

Reference Information User Guide

## **Oracle FLEXCUBE Investor Servicing**

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# 1. About this Manual

## 1.1 Introduction

Welcome to Oracle FLEXCUBE Investor Servicing a comprehensive mutual funds automation software.

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

## 1.2 Related Documents

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

## 1.3 Audience

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

## 1.4 Organization

The Fund Manager User Manual is organized under the following chapter sequence:

Chapter	Description
Chapter 1	<i>About This Manual</i> Acquaints you with the use, structure and audience of the manual.
Chapter 2	<i>Overview</i> enables you learn about the Reference Information.
Chapter 3	<i>Reference Information – Maintaining System Parameters</i> explains how to maintain system parameters.
Chapter 4	<i>Reference Information – Maintaining Currencies and Capturing Exchange Rates</i> Explains how you can maintain currencies, exchange rate sources, pair currencies and also, how you can capture prevailing exchange rates.
Chapter 5	<i>Reference Information – Importing Bulk Client Information</i> takes you through the processes involved in configuring the system to process bulk import of business information.
Chapter 6	<i>Reference Information – Maintaining Currencies</i> provides the AMC with the facility of transacting with different currencies, maintaining different exchange rate sources and also capturing exchange rates.
Chapter 7	<i>Reference Information – FATCA</i> deals with Foreign Account Tax Compliance regulation.
Chapter 8	<i>Reference Information – Setting up Loads</i> The process of setting up the different fees and incentives that would be applied by your AMC is explained.

Chapter	Description
Chapter 9	<i>Reference Information – Maintaining Time Zones</i> The process of capturing time zones for different modules is explained.
Chapter 10	<i>Reference Information – CRS</i> provides details about Common Reporting Standards
Chapter 11	<i>Reference Information – Appendix</i> deals with the following activities on the screens available in the browser:

## 1.5 Conventions used in this manual

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

### 1.5.1 General Conventions





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

### 1.5.2 Keyboard Conventions

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

## 1.6 Glossary of Icons

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

Icons	Function
	Exit
	Add Row
	Delete Row
	Option List



## 1.7 Abbreviations and Acronyms

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

<b>Abbreviation/ Acronym</b>	<b>Meaning</b>
ADMIN	User Administrator
AEOI	Automatic Exchange Of Information
AGY	The Agency Branch component of the system
AMC	Asset Management Company
BOD	Beginning of Day
CDSC	Contingent Deferred Sales Charge
CGT	Capital Gains Tax
CIF	Customer Information File
CRS	Common Reporting Standard
EOD	End of Day
EPU	Earnings per unit
FATCA	Foreign Account Tax Compliance Act
FCC	FLEXCUBE Corporate
FC-IS	FLEXCUBE Investor Servicing
FMG	The Fund Manager component of the system
FPADMIN	FLEXCUBE Administrator
GTA	Global Transfer Agency
ID	Identification
IHPP	Inflation Hedged Pension Plan
IPO	Initial Public Offering
LEP	Life and Endowment Products
LOI	Letter of Intent
NAV	Net Asset Value
OECD	Organization for Economic Co-operation and Development
REG	The Registrar component of the system
ROA	Rights of Accumulation
ROI	Return on Investment

<b>Abbreviation/ Acronym</b>	<b>Meaning</b>
SI	Standing Instructions
SMS	Security Management System
URL	Uniform Resource Locator
VAT	Value Added Tax
WAUC	Weighted Average Unit Cost

## **1.8 Getting Help**

Online help is available for all tasks. You can get help for any function by clicking the help icon provided or by pressing F1.

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## 2. Overview

Oracle FLEXCUBE Investor Servicing (FCIS) is flexible, comprehensive automation software for mutual fund investor services. It provides both online and offline automation for a network for the purpose of distributing open-ended as well as close-ended funds.

With FC-IS, you can set up highly parameterized funds, create and service investor accounts, organize the declaration and disbursement of dividends and automate your bookkeeping.

This chapter contains the following sections:

- [Section 2.1, "Password Change"](#)
- [Section 2.2, "Record Maintenance Operations"](#)
- [Section 2.3, "Module Default Detail"](#)
- [Section 2.4, "Structure"](#)
- [Section 2.5, "Fund Manager"](#)
- [Section 2.6, "Agency Branch"](#)

### 2.1 Password Change

To change the Password, after logging into the system, click on the change password button which is on the Toolbar at the top of the screen. The Change Password screen will be displayed. You must key in your new desired password in the New Password field, and confirm the same by re-keying it in the Confirm New Password field. This new password entered will be verified, encrypted and stored.

For security reasons, you should change your password at regular intervals. At the end of this interval, the Change Password screen will appear automatically as soon as you login.

If you exceed the number of specified invalid logon attempts, your user profile is disabled, and must be created again.

### 2.2 Record Maintenance Operations

This section contains the following topics:

- [Section 2.2.1, "Invoking the Record Maintenance Operation Screen"](#)

#### 2.2.1 Invoking the Record Maintenance Operation Screen

There are generally two types of screens in the agency branch system. Each business function is therefore operable in either or both of the following screens:

##### **The Detail screen**

To perform any of the following operations use the Detail option:

- Enter the New Record
- Query the existing record
- Delete the existing Record
- Unlock the existing Record
- Copy the existing Record

## The Summary screen

To perform any of the following operations on a previously entered business function record, use the Summary option:

- View Authorized and Unauthorized Records
- Advance query
- Reset
- Refresh

Once you specify the search criteria for retrieving the records, the system will display the appropriate records. If there are more than 15 records, you can specify the number of records that has to be listed in the screen. You can also navigate between the pages using the arrow buttons or specify the Page Number.

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### Note

As a user, you can perform any of the operations in a Summary screen, provided the operation has been allowed for your user profile (or role profile).

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A user can perform any of the following operations for the purpose of record maintenance, in any screen, provided the operation has been allowed for the user profile.

### 2.2.1.1 Entering New Records

The Detail screens in the system are opened in the Disable mode. You can enable all the fields to enter the values in the fields. To enable the fields, click 'New'.

To enter a new record in a Detail screen, follow the steps given below:

1. Click 'New' Specify the record details as desired, in the fields on the screen.
2. Click the Save button provided.
3. You must specify all mandatory details before you click the Save button. If you do not, the system prompts you to specify the same when you choose the Save button.
4. When the Save operation is successfully completed, a message "Record Saved", along with any ID generated for the record is displayed.

### 2.2.1.2 Editing Records

If you specify incorrect or incomplete information while creating a new record, an edit facility is provided to correct these situations. You can edit/amend to make changes before authorization is performed. To edit/amend a record, click 'Unlock'.

To edit a record in the Detail screens, follow the steps given below:

1. Retrieve the maintenance record that you want to edit by querying the record, by pressing F7 for entering a record and F8 to retrieve the record.
2. Click 'Unlock', then all the fields will be enabled for editing.
3. Click the Save button in the Detail screen to save your changes. The Detail screen is then closed and the changed details are displayed in the Summary screen, in the lower grid list portion of the screen.
4. Even when you are editing, you must specify all mandatory details before you choose the Save button in the Detail screen. If you do not, the system prompts you to specify the same when you choose the Save option.

5. When the Save operation is successfully completed, a message "Record Saved" is displayed.

The system will not allow more than one user to edit/ delete a Record simultaneously.

### **2.2.1.3 Viewing Records**

You can select records for viewing in any Summary screen, in any of the modes.

To view a record in any of the Summary screens, follow the steps given below:

1. In the Authorization Status field, choose the status of the record which is to be viewed.
2. Retrieve the maintenance record that you want to view from the database by specifying search parameters in the Summary screen. The search parameters for each business function are different.
3. When the record or record list is displayed in the lower grid portion of the screen, double click on the record. The record is displayed in view mode in the Detail screen for the function, and you can view the details. You will not be able to change any information displayed on the Summary or Detail screen in the View mode.

### **2.2.1.4 Deleting Records**

Only unauthorized records can be deleted from the system. When you delete a record, it is physically deleted from the database and you cannot retrieve such a record again under any circumstances.

To delete a record from the Summary screen, follow the steps given below:

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

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

To delete a record from the Detail screen, follow the steps given below

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

1. Press F7
2. Input the Identification Number
3. Press F8

You can perform Delete operation by selecting from the Action list.

The system will not allow more than one user to edit or delete a record simultaneously.

### **2.2.1.5 Saving Records**

When you save a record in any Detail screen, the details that you have specified (or changed) in the record are accepted and written into the database in the system. In the case of records

such as fund rule records, unit holder account records, transaction request entry records and Load details records, the information you have specified is accepted as unauthorized information if it is entered for the first time (or if you have edited the record, i.e., you have made changes using the Edit option). This information must subsequently be authorized to make it effective in the system.

To save a record in any Detail screen, follow the steps given below

1. Specify all the details necessary to save a record in the fields on the screen. In particular, specify all the mandatory details.
2. Click 'Ok' button to save your specifications, or changes made to a record. If you specify incomplete information and omit mandatory details, the system prompts you to specify the same when you click the Save button, and the record will not be saved until you specify these details.
3. If the record is invalid for any other reason, the system will display an error message.
4. When the Save operation is successfully completed, a message "Record Saved", along with any ID generated for the record is displayed.

The system does not allow more than one user to Save a record simultaneously.

### **2.2.1.6 Finding Records**

In any of the Summary screens, you can retrieve any record to perform any operation as follows:

1. Invoke the Summary screen from the Browser, and specify the details in the corresponding fields.
2. Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

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#### **Note**

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

- Press F7
  - Input the Identification Number
  - Press F8
- 

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

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

For example

You can search the record for Identification Number by using the combination of % and alphanumeric value as follows:-

- Search by A%: System will fetch all the records whose Identification Number starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose Identification Number ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%:- System will fetch all the records whose Identification Number contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.

If there are more than 15 records, you can specify the number of records that has to be listed in the screen. You can also navigate between the pages using arrow buttons or specify the Page Number.

### **2.2.1.7 Closing Active Screen**

When you close the active screen, the system prompts you that any information that you have specified in the active Detail screen will be lost if you close the screen.

To close the active screen, click the Close button found at the right top portion of the screen. The system will close the active screen.

### **2.2.1.8 Getting Help**

To get help on the active screen, click the Help button found at the right top portion of the screen. The system will display help on the active screen.

### **2.2.1.9 Amending Authorized Records**

When you authorize a record, it becomes effective in the system. If, after authorization, you need to change the details in a record, you can amend it. The Amend operation is available only on authorized records. You can access the amend operation through the Summary screen of the desired business function menu item.

It is important to remember that before a record is authorized, you can make any changes to it by editing it. After authorization, you cannot edit the record, but you can make any further changes to it by amending it.

When you amend a record and save the changes you have made, it is saved as an unauthorized record. You must subsequently authorize the record to make it effective.

To amend an authorized record in the Summary screen,

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

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

### **2.2.1.10 Viewing Record**

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

1. Invoke the Summary Screen from the Browser.
2. Select the status of the transaction that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.

3. Specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double click the record that you want to view in the list of displayed records. The Detail screen is displayed in View mode.

### **2.2.1.11 Authorizing Records**

Any business maintenance or processing information that is entered into the system must be authorized for it to be effective in the system database. A user other than the one who entered it must perform the authorization.

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

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

#### **Assigning a record for editing**

If a record requires to be edited, and the user that entered the record (the maker) is not available, a user with authorization rights can assign the record to another user who can make the necessary edits.

You can assign a transaction through Delegation screen. Select the Delegate operation and select the user to whom the record is being assigned.

Assigning of records in this manner is audit trailed.

## **2.3 Module Default Detail**

This section contains the following topics:

- [Section 2.3.1, "Invoking Module Default Detail Screen"](#)

### **2.3.1 Invoking Module Default Detail Screen**

You can maintain module details using 'Module Default Detail' screen. You can invoke this screen by typing UTDMODDE in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button

You can specify the following details:

#### **Module Details**

##### **Module ID**

*Alphanumeric; 50 Characters; Mandatory*

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



**Registrar ID**

*Alphanumeric; 12 Characters; Optional*

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

**Country Code**

*Alphanumeric; 15 Characters; Optional*

Specify the country code.

**Company Name**

*Alphanumeric; 60 Characters; Optional*

Specify the name of the company

**Company Short Name**

*Alphanumeric; 15 Characters; Optional*

Specify the short name of the company.

**Date Yesterday**

*Date Format; Optional*

Select the previous date from the adjoining calendar.

**Date Today**

*Date Format; Optional*

Select the current date from the adjoining calendar.

**Date Tomorrow**

*Date Format; Optional*

Select the next date from the adjoining calendar.

**Holiday Preference**

Select the appropriate check box adjacent to holiday date. The options are as follows:

- Sunday
- Monday
- Tuesday
- Wednesday
- Thursday
- Friday
- Saturday

## 2.4 **Structure**

Oracle FLEXCUBE Investor Servicing consists of inter-dependent components:

- Fund Manager
- Agency Branch

The Fund Manager component automates all the fund-related administrative functions within the AMC.

The Agency Branch component facilitates the maintenance of investor accounts, and processing of investor transactions.

## 2.5 Fund Manager

This section contains the following topics:

- [Section 2.5.1, "Maintaining Reference Information"](#)
- [Section 2.5.2, "Maintaining Funds and Products"](#)
- [Section 2.5.3, "Authorization Functions in Fund Manager"](#)
- [Section 2.5.4, "Interfaces to External Systems"](#)
- [Section 2.5.5, "Scheduler Services"](#)
- [Section 2.5.6, "Security and Control"](#)
- [Section 2.5.7, "Reports"](#)
- [Section 2.5.8, "End of Day Processes"](#)
- [Section 2.5.9, "Other Functions"](#)
- [Section 2.5.10, "Conventions to be Followed in Screens"](#)
- [Section 2.5.11, "Before You Login"](#)
- [Section 2.5.12, "Logging in to Fund Manager"](#)
- [Section 2.5.13, "Fund Manager –Menu"](#)

### 2.5.1 Maintaining Reference Information

The Fund Manager is the entity that handles all administrative functions within the AMC. This involves the following operations and activities:

1. The set up and maintenance of reference and static data concerning all entities, currencies, exchange rate sources and exchange rates.
2. The set up and maintenance of all funds floated by the AMC
3. Authorization of all data related to static information, unit holder accounts, information change requests, amended transactions, closure of accounts and bulk clients information

The Fund Manager component, therefore, acts as an administrative core that seamlessly integrates with the rest of the system in an offline hand-off mode or an online mode.

In Fund Manager, you maintain basic reference information that would be used for processing in the system. This includes:

- Entities that the AMC would transact with, such as agents, agency branches, banks, bank branches, registrars, trustees, bulk clients, check vendors, underwriters and custodians. You can also maintain different AMC's as entities.
- The different values for static system parameters, such as countries, identification, corporation and occupation types, account types, investor categories, fee categories, and so on.
- Currency information, such as the different currencies, exchange rate sources and pair currencies. On a daily basis, you can also capture the prevalent exchange rates.
- Tax processing information that would be applicable to investor categories, country tax laws, cash dividends, brokers and funds floated by the AMC.
- The different fees, incentives or loads that would apply to transactions of investors in the funds of the AMC. This includes fees such as contingent deferred sales charge (CDSC), trailing commissions and ongoing management fees.
- The holiday calendar for the AMC

## 2.5.2 Maintaining Funds and Products

In Fund Manager, you can maintain the different funds that your AMC would offer to investors for investment. If your AMC offers investment in umbrella funds, or fund families you can maintain these in the system. You can also maintain the different products for retirement plans, or endowment policies, and so on.

### **Fund Hierarchies**

Your AMC could offer investors opportunities to invest not just in a single fund, but into umbrella funds, or fund families. You can maintain these hierarchies in the system.

### **Fund Rules**

For each individual fund, you can maintain exhaustive guidelines for processing investment. These guidelines are organized into different sets of rules, which you can maintain for each fund. The rules will apply cumulatively, on all investment into the fund, and they are called the fund rules, as given below:

- Fund Demographics (the basic profile of the fund including the name and effective date)
- Corporate Actions (rules governing the processing of dividends and distribution of earnings derived by investors from investment into the fund)
- General Operating Rules (guidelines for pricing policies, automatic redemption, check writing, and so on)
- Shares Characteristics (guidelines for scrip-based and scrip-less funds, for certificate processing)
- Transaction Processing Rules (the processing limits for each transaction type, allocation rules, limits for investor categories, standing instructions and transaction requests coming through each communication mode)
- Fund Load Setup (associating the fees, charges or incentives to be applicable to investment transactions in each fund)
- Fund Formula Maintenance (maintaining expressions for calculation of NAV or transaction base price, for each transaction type)
- Fund Sale Country (identifying the countries of domicile in which the AMC can offer the fund for sale)
- Fund Transaction Currencies (identifying the currencies in which the AMC can accept investment into the fund)
- Fund Residency Restriction (identifying the nationalities of investors that can invest in the fund)
- Specific Price Dates for funds (identifying specific dates on which prevalent prices can be used for ascertaining the value of investment in the fund)
- Amount Limits for IRA Transactions (identifying the limits for investment into funds that are part of the portfolio of a retirement product)
- SI Specific Information (maintaining rules for standing instruction generation for a fund)
- Fund Delivery Instruction
- Fund Investment Account (associating the fund investment account types allowed with a fund)
- KYC Maintenance (maintaining the list of KYC documents specific to the fund)
- Additional Information (maintaining additional information under the information heads specific to an AMC)

If you do not maintain fund rules for a fund, you cannot process investment into the fund, in the system.

### **Associating entities with funds**

You can associate entities such as agents with a fund that you maintain. Such agents would be allowed to market the fund.

If check writing facilities are allowed for a fund, you can also associate the check vendors that would print the checks, for the fund.

### **Groups of funds with common load characteristics**

You can maintain groups of funds, for which common loads are applicable on transactions. The group of funds (or load group) facility is especially useful for loads that are applicable in the case of privileges of the investor such as rights of accumulation (ROA) or a letter of intent (LOI).

### **Investment Products**

You can also maintain processing guidelines for investment products that you offer to investors. You can maintain products with different attributes, to attract specific investors. The attributes could be funding, retirement features, premium and annuity features, loans, withdrawals and so on.

### **Fund Prices**

You can also maintain the NAV and the transaction base prices for each fund, for each transaction type, for each business day.

### **Other Fund Activities**

You can also maintain bank accounts used by the fund, in each currency in which the fund transacts.

*Refer the following chapters in Fund Manager User Manual for a full discussion of all maintenance functions in Fund Manager.*

- Maintaining Reference Information
- Setting up Loads
- Maintaining Currencies and Capturing Exchange Rates
- Other Maintenance Functions in the Maintenance Module
- Setting up Funds

### **Hedge Funds**

Hedge funds are special type of investment funds that use leveraging and other investment strategies to hedge the exposure of a portfolio against the movements in the equity market. They can take both short and long positions, use arbitrage, trade options and bonds and invest in any opportunity where they can make impressive gains at reduced risk.

Hedge funds are handled by hedge fund managers. They charge the investors a fee called performance fee, which is a percentage of the gains received by the investor. As investors enter and exit hedge funds at different points in time, the performance gains received by them also differ accordingly. Hence, the performance fee calculations are carried out using a special accounting methodology called equalization accounting which ensures that the fund manager is paid the correct performance fee and also that the fees are fairly allocated between each investor in the fund. The investors also receive profit only for the period during which they stay invested in the fund.

Hedge funds can be of any of the following types or structures:

### **Simple**

A simple hedge fund is a regular fund with normal processing rules. These funds usually have monthly dealing frequency and valuation points. Performance fee is generally accrued on monthly basis and paid out on yearly basis.

### **Master-Feeder**

A master-feeder fund structure is set up to accept assets from both foreign and domestic investors in the most tax and trading efficient manner possible. A traditional setup consists of a master fund company into which different feeder funds invest. The transactions of feeder funds will be fed into master fund either on net or non-netted basis.

### **Fund of Funds**

A fund of hedge fund invests in hedge funds rather than investing in individual securities. Performance fee will be collected at two levels; one for the underlying hedge funds and the other for the fund of funds. Net asset value also is calculated separately for the underlying funds and the fund of funds.

The details related to the minimum and maximum number of investors investing is maintained in case of fund of funds. For fund of funds, the investors usually need to give a notice period which signifies the number of days in advance that the investor must notify the fund in order to receive the payment.

### **Side Pockets**

A side pocket is a special type of account used in hedge funds to separate illiquid assets from other more liquid investments. Once an investment enters a side pocket account, only the present participants in the hedge fund will be entitled to a share of it. Future investors will not receive a share of the proceeds in the event the asset's returns get realized. Investors who leave the hedge fund will still receive a share of the side pocket's value when it gets realized.

Investments that get locked into a side pocket cannot be redeemed until a realization event happens and the side-pocket gets converted back into a tradable series. The dealing and valuation frequencies and the net asset value of the side pockets will be different from that of the main fund.

*Refer the following chapters for more details on the maintenances required for hedge funds and the calculation of performance fees.*

- Maintaining Reference Information
- Setting up Fund Rules
- Other Fund Activities
- Fund Rule Upload Formats

## **2.5.3 Authorization Functions in Fund Manager**

Each of the reference data and fund-related maintenances must be authorized within the system for them to be effective in processing.

The creation of new investor accounts (known as unit holder accounts), with all the investor preferences, and the entry of any transactions in the account are all functions that are managed in the Agency Branch. However, any changes made to authorized accounts or authorized transactions will require the scrutiny and approval of the fund manager, and can only be authorized through the Fund Manager component.

You can also authorize any interface defined with an external system as well as any defined job (associated with the Scheduler Services).

## 2.5.4 Interfaces to External Systems

FCIS provides the facility to define and process interfaces to external systems for the purpose of effecting data transfers and information exchanges. For instance, the NAV for a fund may be imported from an external Asset Management system by processing an internally defined interface.

You can define and execute these interfaces through Fund Manager.

## 2.5.5 Scheduler Services

The FCIS system provides a facility that you can use to schedule any internal activities that need to be executed either on a periodic basis, or event-based frequency. When you schedule these activities, they will be executed by the Scheduler Services as pre-programmed proceedings according to the frequency defined for them.

## 2.5.6 Security and Control

The Fund Manager System provides application level security features that will prevent unauthorized users from accessing the system.

*Refer the Ensuring Security chapter in this User Manual for a detailed discussion of the Security Management System of Oracle FLEXCUBE Investor Servicing.*

Typically, the business user roles associated with the Agency Branch component of the system are the following:

### **Fund Administrator**

The Fund Administrator is responsible for maintenance of reference information and the fund related information.

### **Supervisor**

The Supervisor is responsible for any authorization activities carried out in Fund Manager.

### **Operator**

The Operator is responsible for carrying out the End of Day activities.

## 2.5.7 Reports

The Fund Manager component allows you to view and print various kinds of reports either on a daily basis or at periodic intervals. E.g. If you want to print the transfer transactions that have taken place, you can print the Transfer Summary Report, which shows all the Transfer transactions received for a given date on which units have been allotted.

The reports that are available for generation, preview and print include:

- Performance Across All Funds (Amount)
- Performance Across All Funds (Units)
- Unit Holder Register
- Transaction Load Listings
- Check Printing
- Payment Summary
- Letter Of Intents
- Login Tracking Report
- Unit Holder Transaction

- Unit Holder Transaction Fee
- Rejected Transactions Report
- Maturity Date Report
- Account Transfer Payments
- Exchange Rate Override Report
- Bulk Account Client Related Reports
- Fund Bank Account Transfer Report

*Refer the Reports chapter in Reports User Manual for a full discussion of these reports.*

## **2.5.8 End of Day Processes**

The Fund Manager is responsible for running the End of Day (EOD) activities of the Fund Manager component of the system. The Fund Administrator user typically performs EOD activities. The Fund Manager is also responsible for those branches that have not completed the activities for the day. The EOD activities include:

- Allocation of transactions of any transaction type
- EOD Maintenance
- Execute Pre-EOD
- Execute EOD
- Execute Mini EOD
- Execute BOD
- Branch Sign-on/Sign-off
- EOD Log Report
- Sending / Receiving Messages

You can also execute and process any authorized interface that has been defined with an external system, through the Online Execution of Interfaces option.

*For a full discussion of the End of Day Operations Module refer the End of Day Activities chapter in this User Manual.*

## **2.5.9 Other Functions**

### **Defaults Maintenance**

In Fund Manager, the implementers maintain the system default information that will be used in processing, that is specific to your installation. You can make changes to this information subsequently, if necessary, through the Defaults Maintenance function in Fund Manager.

### **Query Builder**

Fund Manager provides a query facility that allows you to extract business information from the system database by constructing simple query statements, called the Query Builder.

## **2.5.10 Conventions to be Followed in Screens**

- The words “screen” and “form” (noun) are used interchangeably throughout the entire document. They refer to the active interface presented to the user for the purpose of data entry operations throughout the system.
- In the screens, all checkboxes can accept only two valid entries – “Yes” or “No”. If the user checks a checkbox, a cross-mark or a tick-mark appears in the box, indicating to the system that the value specified is a “Yes”. If the box is not checked, and is empty, the value indicated to the system is a “No”.

For example, if the “On-line Allocation” checkbox has a cross mark or a tick-mark in it, it indicates to the system that on-line allocation is to be allowed. If the box is empty, it indicates to the system that on-line allocation is not to be allowed.

#### **Entering Dates:**

The user is advised to check all dates that he has specified in any of the forms before executing a “Save” operation.

### **2.5.11 Before You Login**

Before you attempt to log in to Fund Manager, ensure that all the following activities have been performed:

- The user profile has to be defined by the system administrator for all the users of the back-office.
- The Defaults required for Fund Manager, namely the default language; currency and so on must already have been defined.

### **2.5.12 Logging in to Fund Manager**

#### **Invoking Fund Manager**

When the Fund Manager component is installed on the workstation, you can access it through the supported browser. You must specify the URL of the installation in the Address box in the supported browser Address Bar.

For instance, if the URL of the installation is //install/fundmanager/flexsms/emg, you must key in this URL in the Address Bar of the supported browser.

You can configure the supported browser to invoke the URL of the Fund Manager installation by default.

#### **The Login Screen**

When Fund Manager is successfully invoked in the manner described above, the login screen is displayed. In the Login screen, specify your name and password to login to the system.

If you are logging in for the first time, specify the password allotted to you by the System Administrator. After you have logged in for the first time, the system forces you to change your password. Whenever you login subsequently, you must use this password.

### **2.5.13 Fund Manager –Menu**

When you successfully log into the system, the Fund Manager Main Menu screen is displayed and the various options are enabled or disabled based on the rights given to you in your user profile.

#### **2.5.13.1 Choosing Fund Manager AMC Module**

You must choose the module of your Fund Manager AMC installation in which you are going to operate in, in the AMC Branch field. When you choose the module, the menu that is accessible to you, according to the definitions made in your user profile, are displayed.

#### **2.5.13.2 Logging in to Different Branch**

To login to a different AMC Fund Manager module, click the Chg Brn button, and choose the relevant branch in the AMC Branch field.



### **2.5.13.3 Main Menu Screen**

The main menu screen is as shown below. You can choose any of the options from the left hand side of the screen.

In each screen, you will only be allowed to perform those operations that are allowed in your user profile.

If you do not perform any activity for more than ten minutes, the system will automatically log you out, after displaying a message.

## **2.6 Agency Branch**

This section contains the following topics:

- [Section 2.6.1, "Details on Agency Branch"](#)
- [Section 2.6.2, "Servicing Investors"](#)
- [Section 2.6.3, "Entry, Maintenance and Processing of Transactions"](#)
- [Section 2.6.4, "Setting up Standing Instructions for Unit Holders"](#)
- [Section 2.6.5, "Clearing of Payment Instruments"](#)
- [Section 2.6.6, "Unit Holder Account Servicing Operations"](#)
- [Section 2.6.7, "Transactions Operations"](#)
- [Section 2.6.8, "Security and Control"](#)
- [Section 2.6.9, "Conventions to be followed in Screens"](#)
- [Section 2.6.10, "Before You Login"](#)
- [Section 2.6.11, "Logging in to Agency Branch"](#)
- [Section 2.6.12, "Agency Branch - Menu"](#)

### **2.6.1 Details on Agency Branch**

The Agency Branch is the entity that actually interacts with the investors or unit holders in an AMC scenario.

In Oracle FLEXCUBE Investor Servicing, the following operations are handled by the web-enabled interface of the Agency Branch:

- The servicing and maintenance of unit holder accounts and daily unit holder operations.
- The servicing and maintenance of brokers
- The entry, maintenance and processing of transactions
- The setting up of standing instructions for unit holders
- The maintenance of the clearing status of payment instruments used in transaction processing.
- Other functions that include maintenance of deals for unit holders, income distribution options, letters of intent, non-tax limits, and so on.
- Maintenance of static data such as system parameters, defaults for the agency branch or the AMC, additional information heads for unit holders, fee categories for unit holders, and mapping of information heads for entities.

### **2.6.2 Servicing Investors**

The service and maintenance of unit holder accounts involves the following operations and activities:

- Creating and maintaining new unit holder accounts
- Setting up deals, standing instructions, letters of intent options, income distribution options and non-tax limits for unit holder accounts.
- Making changes to the information in authorized unit holder accounts
- Closing unit holder accounts
- Capturing details of authorized representatives for unit holders

For a fuller understanding of how unit holder servicing is facilitated in the system, refer the “Managing Investor Accounts”

### **2.6.3 Entry, Maintenance and Processing of Transactions**

Applications for any transactions that the investors want to enter into using their accounts in the AMC are accepted and processed in the Agency Branch. The transactions are entered into the system, and they can be tracked at all stages in the processing cycle.

The following transaction types can be processed in the system:

- IPO subscription transactions
- Subscription transactions
- Redemption transactions
- Switch transactions involving switching of units from one fund to another for a unit holder.
- Transfer transactions involving transferring of units from one unit holder to another within a fund.
- Blocking of units (lien processing)
- Unblocking of units (lifting of lien)
- Consolidation of units
- Splitting of units
- Reissue of units
- Enrichment of payment details for a transaction

For a fuller understanding of how the entry and processing of transactions is facilitated in the system, refer the “Processing Transactions”

### **2.6.4 Setting up Standing Instructions for Unit Holders**

Any Regular Savings/ Withdrawal Plans that an investor desires to issue standing instructions for can be set up and maintained in the Agency Branch.

The system provides for the maintenance of standing instructions for a unit holder.

For a fuller understanding of how the entry and processing of standing instructions transactions is facilitated in the system, refer the “Maintaining Standing Instructions”

### **2.6.5 Clearing of Payment Instruments**

The clearing status of payment instruments used for transactions and standing instructions can be updated at the Agency Branch.

For a complete understanding of how the clearing of payment instruments is facilitated in the system, refer the “*Data Entry*”

The system provides an option to print the acknowledgment/confirmation slips on-line. They can be printed again, if required, for investor related operations.

## **2.6.6 Unit Holder Account Servicing Operations**

### **2.6.6.1 Opening New Unit Holder Account**

The investor fills out an account opening application and hands it over to the agent along with supporting documents. The Account Administrator crosschecks the application and the supporting documents and enters the details into the system. The system prints an acknowledgment slip on saving the new account. After the new account is authorized, the unit holder number for the account is generated.

The request for opening an account could be made by any means, through telephone, fax, etc.

### **2.6.6.2 Closing Unit Holder Account**

The unit holder fills out an account closure application along with the redemption slips to redeem the units held in various funds and hands them over to the agent. The agent checks the details and enters them into the system. The system marks the account as "pending closure". If the number of units in all the funds for a unit holder becomes zero, then the system closes the corresponding unit holder account automatically. An account once closed can be re-opened.

### **2.6.6.3 Making Changes to Unit Holder Account**

The unit holder fills out a change request application and hands it over to the Agent. The agent checks the details and inputs it into the system. The agent will then hand over the acknowledgment slip to the unit holder.

## **2.6.7 Transactions Operations**

### **2.6.7.1 Making Transaction Requests**

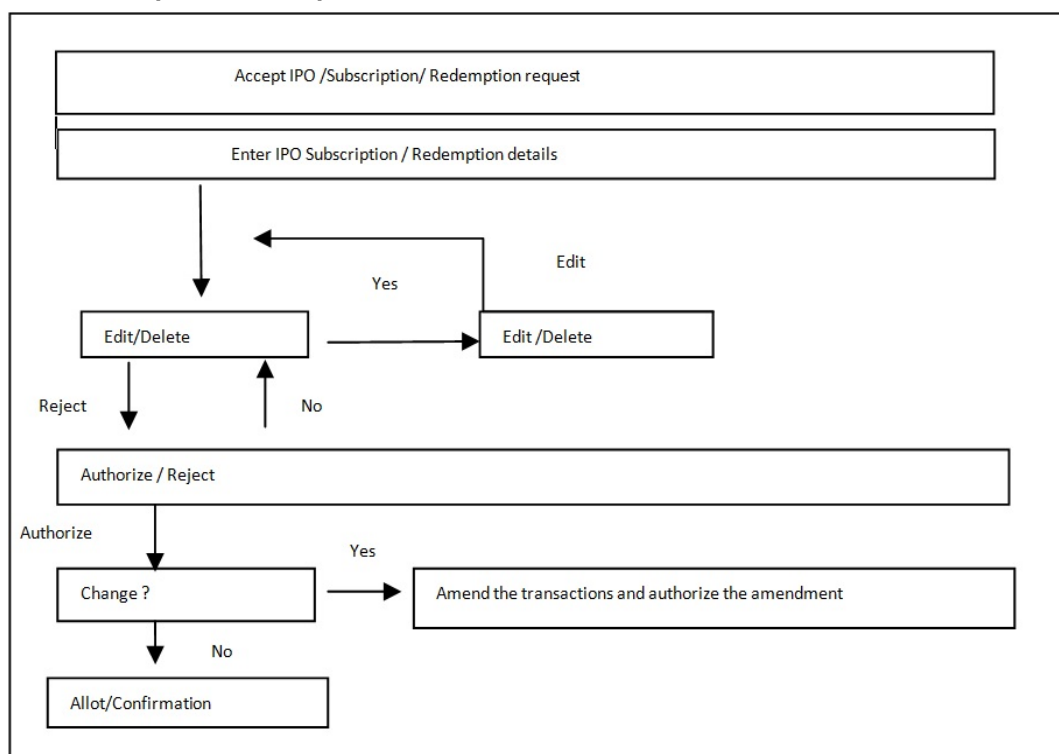
If the transaction request is being made directly over the counter, the unit holder fills out a transaction application and hands it over to the teller. Alternatively, the transaction requests can be made by any means, such as by telephone, through fax, and so on. The unit holder can pay by cash, transfer, check, credit card or demand draft. The teller checks the completeness of the form and inputs the transaction details into the system. If a fee is to be collected from the unit holder at the time of accepting the application form, the system prompts for this.

### **2.6.7.2 IPO Subscription/ Subscription Transactions**

The system validates the details that were entered against the fund rules. The fund manager allocates the IPO subscription/ subscription based on the NAV declared for the fund for that day. After the allocation, the agency branch can print the confirmation/ rejection note.

If the fund is scrip-based, the certificate-related information is also captured either from the fund or the unit holder based on the fund rule definition.

## IPO Subscription/Redemption



### 2.6.7.3 Redemption Transactions

The fund manager allocates the redemption based on the NAV or any other formula that is computed for the fund for that day or the last fund price declaration day. If the redemption allocation is partial on a given date, the unit holder will receive multiple confirmation notes for the transaction. After the allocation, the agency branch can print the confirmation / rejection note. The check or the draft as specified by the unit holder that is equal to the redemption consideration handed over.

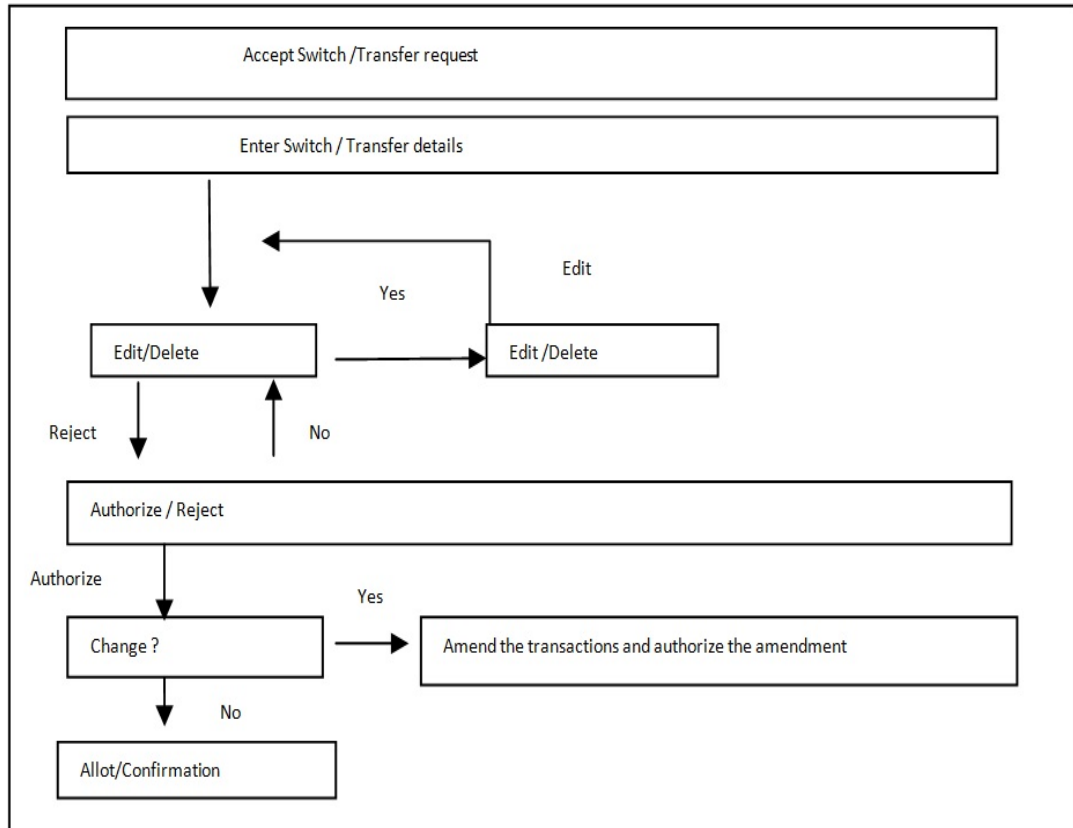
If the fund is scrip-based, the certificate-related information, including the denominations, is also captured either from the fund or the unit holder based on the fund rule definition. Wherever certificates are to be surrendered to the AMC, the certificate numbers are captured and validated against the certificate information defined in the system.

### 2.6.7.4 Switch Transactions

The system validates the details that were entered against the fund rules for switch transaction. The fund manager allocates the switch based on the NAV declared for the fund or based on any other formula for that day or the last day of declaration of price. If the switch allocation is partial on a given date, the unit holder will receive multiple confirmation notes for the same transaction. The other activities are same as those that are followed in a normal transaction, as for any of the transaction types

If the fund is scrip-based, the certificate - related information, including the denominations, is also captured either from the fund or the unit holder, based on the fund rule definition. Wherever certificates are to be surrendered to the AMC, the certificate numbers are captured and validated against the certificate information defined in the system.

## Switch/Transfer Transactions



### 2.6.7.5 Transfer Transactions

The system validates the details that were entered, against the fund rules and issues an acknowledgment slip to the unit holder for a transfer transaction. The fund manager allocates the transfer based on the NAV declared for the fund for that day or any other transfer price. After the allocation, the agency branch can print the confirmation/ rejection note. The allocation information is then used to update the transferee and transferor.

If the fund is scrip-based, the certificate related information is also captured either from the fund or the unit holder based on the fund rule definition.

### 2.6.7.6 Block (Lien Processing) Transactions

The system validates the details that were entered, against the fund rules and issues an acknowledgment slip to the unit holder for a block transaction. The fund manager allocates the block based on the NAV declared for the fund for that day or on any special block prices that could be derived through any specific formula. All the other activities are the same as those followed for any of the transaction types. The scrip-based funds are also handled in the same manner as for the other transaction types.

### 2.6.7.7 Unblock (Lien Processing) Transactions

The system validates the details entered, against the fund rules and issues an acknowledgment slip to the unit holder for the unblock transactions. The fund manager allocates the unblock transaction based on the NAV declared for the fund or any special unblock price for that day. All the other activities are the same as those followed for any of the transaction types.

### **2.6.7.8 Consolidation Transactions**

The system validates the details entered, against the scrip-based fund rules and issues an acknowledgment slip to the unit holder for the consolidation transaction. The fund manager allocates the consolidation based on the NAV declared for the scrip-based fund for that day or any other formula based price. After the allocation, the agency branch can print the confirmation / rejection note. The certificate related information is also captured either from the fund or the unit holder based on the fund rule definition. In the system, consolidation transactions are supported only for scrip- based funds.

### **2.6.7.9 Reissue Transactions**

The system validates the details entered, against the scrip-based fund rules and issues an acknowledgment slip to the unit holder for the reissue transaction. The fund manager allocates the reissue based on the NAV declared for the scrip-based fund for that day. After the allocation, the agency branch can print the confirmation/ rejection note. The certificate related information is also captured either from the fund or the unit holder based on the fund rule definition. In the system, reissue transactions are supported only for scrip-based funds.

## **2.6.8 Security and Control**

The Oracle FLEXCUBE Investor Servicing system provides application level security features that will prevent unauthorized users from accessing the system.

*For a detailed discussion of the Security Management System of Oracle FLEXCUBE Investor Servicing, refer Ensuring Security*

Typically, the business user roles associated with the Agency Branch component of the system are the following:

- Teller – This role is responsible for accepting the transaction requests from investors. The teller will check all the application forms and enter the transactions in the system.
- Supervisor – This role is responsible for authorizing the transactions entered by the teller group.
- Accounts Officer – This role is responsible for opening, maintaining and closing unit holder Accounts.

### **2.6.9 Conventions to be followed in Screens**

- The words “screen” and “form” (noun) are used interchangeably throughout the entire document. They refer to the active interface presented to the user for the purpose of data entry operations throughout the system.
- In the screens, all checkboxes can accept only two valid entries – “Yes” or “No”. If the user checks a checkbox, a cross-mark or a tick-mark appears in the box, indicating to the system that the value specified is a “Yes”. If the box is not checked, and is empty, the value indicated to the system is a “No”.

For example, if the “On-line Allocation” checkbox has a cross mark or a tick-mark in it, it indicates to the system that on-line allocation is to be allowed. If the box is empty, it indicates to the system that on-line allocation is not to be allowed.

#### **Entering Dates**

The user is advised to check all dates that he has specified in any of the forms before executing a “Save” operation.

## **2.6.10 Before You Login**

Before you attempt to log in to the Agency Branch component, ensure that all the following activities have been performed:

- The user profile has to be defined by the system administrator for all the users of the branch.
- The Defaults required for the branch namely the default language; currency and so on must already have been defined.

## **2.6.11 Logging in to Agency Branch**

When the Agency Branch component is installed on the workstation, you can access it through the browser.

In the Login screen, specify your name and password to login to the system.

If you are logging in for the first time, specify the password allotted to you by the System Administrator. After you have logged in for the first time, the system forces you to change your password. Whenever you login subsequently, you must use this password.

## **2.6.12 Agency Branch - Menu**

When you successfully log into the system, the Agency Branch Main Menu screen is displayed and the various options are enabled or disabled based on the rights given to you in your user profile.

### **2.6.12.1 Choosing your AMC Branch**

You must choose the branch of the AMC that you are going to operate in, in the AMC Branch field. When you choose the AMC branch, the menu that is accessible to you, according to the definitions made in your user profile, are displayed.

### **2.6.12.2 Logging in to Different Branch**

To login to a different branch, click the Chg Brn button, and choose the relevant branch in the AMC Branch field.

### **2.6.12.3 Main Menu Screen**

You can specify the operations from the main menu items in your user profile. If you do not perform any activity for more than the time maintained as the session timeout, the system will automatically log you out, after displaying a message.

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## 3. Maintaining Reference Information

Before you begin to use the Oracle FLEXCUBE Investor Servicing system (FCIS), you must ensure that all data that will eventually be used by the system to help you operate funds has been set up in the system. You must prepare the system to recognize this data and process it the way you want it to. Therefore, you must ensure that the following activities are done:

- Setting up System Parameters
- Setting up Reference Information, including entities
- Setting up Currencies and capturing Exchange Rates
- Setting up Funds
- Setting up miscellaneous maintenance functions

Only after these maintenance activities are completed, can you actually set up your unit holders and accept transactions for the funds. The maintenance activities that fall under each of the categories mentioned above are available as menu items in the Maintenance Menu Item of the Fund Manager component.

This chapter deals with the first category, the maintenance of reference information.

This section contains the following topics:

- [Section 3.1, "Reference Information Setup"](#)
- [Section 3.2, "Fund Types"](#)
- [Section 3.3, "Fund Type Maintenance Summary Screen"](#)
- [Section 3.4, "Entities"](#)
- [Section 3.5, "Single Entity Maintenance \(Summary\) Screen"](#)
- [Section 3.6, "Entity Mapping Detail"](#)
- [Section 3.7, "Entity Mapping Summary"](#)
- [Section 3.8, "Relationship Maintenance Detail"](#)
- [Section 3.9, "Income Distribution Setup \(IDS\) Options"](#)
- [Section 3.10, "Income Distribution Setup Summary"](#)
- [Section 3.11, "Payment Details for Entities"](#)
- [Section 3.12, "FCIS Entity Payment Maintenance Summary Screen"](#)
- [Section 3.13, "Consent Maintenance Detail"](#)
- [Section 3.14, "Consent Maintenance Summary"](#)
- [Section 3.15, "Agents Setup"](#)
- [Section 3.16, "Agent Level Rounding"](#)
- [Section 3.17, "Agent Level Unit Rounding Summary"](#)
- [Section 3.18, "Agency Branches Setup"](#)
- [Section 3.19, "AMC Setup"](#)
- [Section 3.20, "Distributors Setup"](#)
- [Section 3.21, "Distributor Rules Summary"](#)
- [Section 3.22, "Bank Details Maintenance"](#)
- [Section 3.23, "Unit Holder Bank Verification Summary"](#)
- [Section 3.24, "Setting up ISA Fund Managers"](#)
- [Section 3.25, "Withholding Tax"](#)
- [Section 3.26, "Withholding Tax Setup Summary Screen"](#)



- Section 3.27, "UH Dividend Component Override"
- Section 3.28, "UH Dividend Component Override Summary"
- Section 3.29, "Holidays Maintenance"
- Section 3.30, "Holiday Maintenance Summary Screen"
- Section 3.31, "Emergency Holiday Maintenance"
- Section 3.32, "Emergency Holiday Maintenance Summary"
- Section 3.33, "Emergency Holiday Transaction Processing"
- Section 3.34, "Fund Transaction Sign Off Screen"
- Section 3.35, "Mode of Payment"
- Section 3.36, "Mode of Payment Detail Summary Screen"
- Section 3.37, "Static Maintenance for Switch Transactions"
- Section 3.38, "Switch Privilege List Setup Summary Screen"
- Section 3.39, "Period Definition for Allowing Automatic Switch"
- Section 3.40, "Exchange List Maintenance Summary Screen"
- Section 3.41, "Indexation Values"
- Section 3.42, "Indexation Summary Screen"
- Section 3.43, "Collection Centers and Payout Accounts"
- Section 3.44, "AGY Bank A/C Mapping Summary Details Screen"
- Section 3.45, "Replication of Changes"
- Section 3.46, "Auto Replication Preference Maintenance Summary"
- Section 3.47, "Preferences for Country"
- Section 3.48, "Country Preference Maintenance Summary Screen"
- Section 3.49, "Multiple Languages Maintenance"
- Section 3.50, "KYC/ AML Maintenance"
- Section 3.51, "KYC Maintenance Summary Screen"
- Section 3.52, "KYC Ref Type Restrictions"
- Section 3.53, "KYC Ref Type Restrictions Summary Screen"
- Section 3.54, "SIP/ SWP/ STP Rules"
- Section 3.55, "Frequency Preferences Summary Screen"
- Section 3.56, "Interest Rate Details"
- Section 3.57, "Interest Rate Summary Screen"
- Section 3.58, "Rate Details for Hedge Funds"
- Section 3.59, "Rate Maintenance Summary Screen"
- Section 3.60, "High Water Mark Details"
- Section 3.61, "High Water Mark Summary Screen"
- Section 3.62, "Data Elements"
- Section 3.63, "Element Maintenance Summary Screen"
- Section 3.64, "Rules for Performance Fee Calculation"
- Section 3.65, "Rule Maintenance Summary"
- Section 3.66, "Group Rule Mapping"
- Section 3.67, "PF Group Maintenance Summary Screen"
- Section 3.68, "Policy Restrictions for Guaranteed Funds"
- Section 3.69, "GF Policy Restrict Mapping Summary Screen"
- Section 3.70, "Delegate Detail at Fund Price"

- [Section 3.71, "Settlement Basis Detail"](#)
- [Section 3.72, "Settlement Basis Summary"](#)
- [Section 3.73, "Settlement Cycle Maintenance Detail"](#)
- [Section 3.74, "Settlement Cycle Maintenance Summary"](#)
- [Section 3.75, "Settlement Price Detail"](#)
- [Section 3.76, "Succession Price Detail"](#)
- [Section 3.77, "Succession Price Summary"](#)

## **3.1 Reference Information Setup**

Information that is static and will need to be set up only the first time, and subsequently altered very little or not at all, constitutes reference information. This includes:

- Entities that the AMC would transact with, such as agents, agency branches, banks, bank branches, registrars, trustees, bulk clients, check vendors, underwriters and custodians. You can also maintain different AMC's as entities.
- The different values for static system parameters, such as countries, identification, corporation and occupation types, account types, investor categories, fee categories, and so on.
- Currency information, such as the different currencies, exchange rate sources and pair currencies. On a daily basis, you can also capture the prevalent exchange rates.
- Tax processing information that would be applicable to investor categories, country tax laws, cash dividends, brokers and funds floated by the AMC.
- The different fees, incentives or loads that would apply to transactions of investors in the funds of the AMC. This includes fees such as contingent deferred sales charge (CDSC), trailing commissions and ongoing management fees.
- The holiday calendar for the AMC, and the holiday calendar for the fund, if required.

This chapter deals with setting up the following reference information:

- Fund Types
- Entities
- Withholding Tax
- Modes of Payment
- Holidays
- Static maintenance for switch transactions
- Indexation values for capital gains tax

## **3.2 Fund Types**

This section contains the following topics:

- [Section 3.2.1, "Setting up Fund Types"](#)

### **3.2.1 Setting up Fund Types**

Before any fund may be set up in the system, the types of funds that can be maintained must be set up in the 'Fund Type Maintenance Detail' screen. You can invoke the 'Fund Type Maintenance Detail' screen by typing 'UTDFNTYP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The 'Fund Type Maintenance

Detail' screen is displayed. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the Fund Type.

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

### **Fund Type**

*Numeric; 38 Characters; Mandatory*

Specify an identification for the fund type that you wish to set up.

### **Description**

*Alphanumeric; 20 Characters; Mandatory*

Enter a brief description for the fund type.

## **3.3 Fund Type Maintenance Summary Screen**

This section contains the following topics:

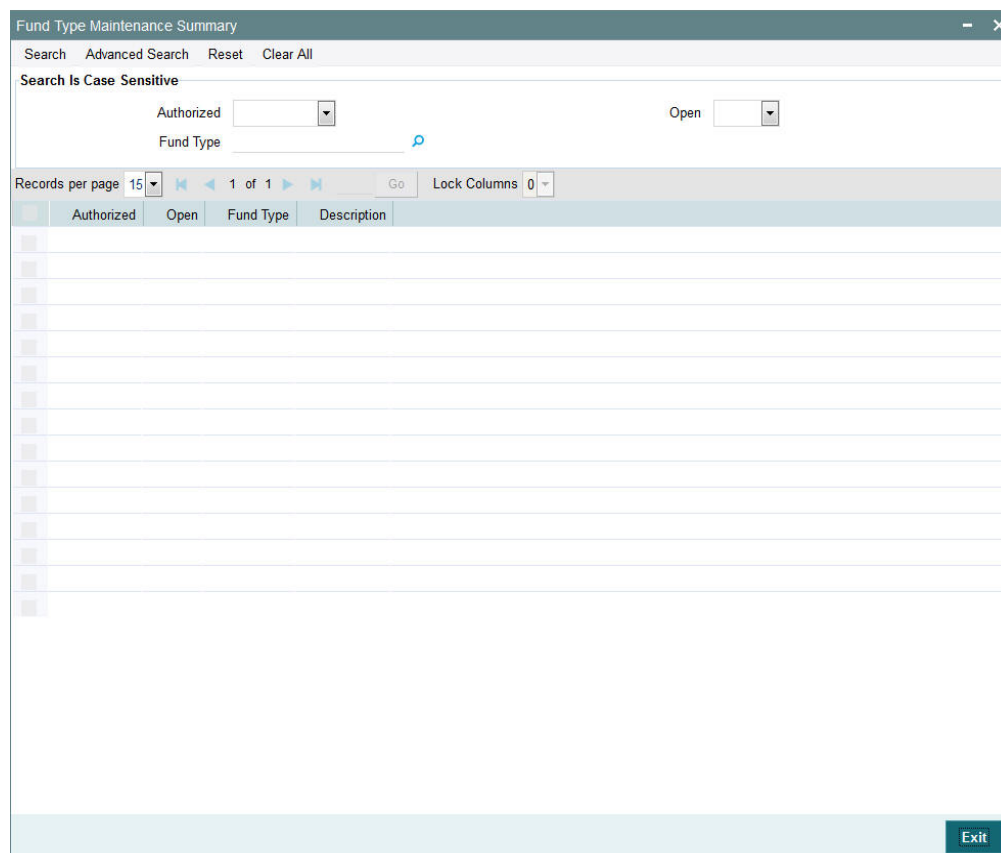
- [Section 3.3.1, "Invoking the Fund Type Maintenance Summary Screen"](#)
- [Section 3.3.2, "Retrieving Fund Type in Summary Screen"](#)
- [Section 3.3.3, "Editing Fund Type"](#)
- [Section 3.3.4, "Viewing Fund Type"](#)
- [Section 3.3.5, "Deleting Fund Type"](#)
- [Section 3.3.6, "Authorizing Fund Types"](#)
- [Section 3.3.7, "Amending Fund Types"](#)
- [Section 3.3.8, "Authorizing Amended Fund Types"](#)
- [Section 3.3.9, "Copying Attributes"](#)

### **3.3.1 Invoking the Fund Type Maintenance Summary Screen**

You can use the 'Fund Type Maintenance Summary' screen to:

- Edit an existing fund type
- View existing fund types
- Delete an existing fund type
- Authorize a fund type
- Amend an authorized fund type

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



### 3.3.2 Retrieving Fund Type in Summary Screen

You can retrieve a previously entered fund type in the Summary screen, as follows:

- Invoke the Fund Type Summary screen and specify the following:
  - The status of the fund type in the Authorized field. If you choose the “Blank Space” option, then all the fund types are retrieved.
  - The status of the fund type in the Open field. If you choose the “Blank Space” option, then all the fund types are retrieved.
  - The Fund Type
- After you have specified the required details, click 'Search' button. All Fund Types with the specified details are retrieved and displayed in the lower portion of the screen.

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

- Press F7
- Input the Fund Type
- Press F8

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

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

For example, you can search the record for Fund Type or Fund Type description by using the combination of % and alphanumeric value as follows:-

- **Search by M%:** The system will fetch all the records whose Fund Type description starts from Alphabet 'M'. For example, Mutual Fund.
- **Search by %7 :** The system will fetch all the records whose Fund Type ends by numeric value ' 7' For example, 217,267,77 and so forth.
- **Search by %17%:** The system will fetch all the records whose Fund Type contains the numeric value 17. For example, 3217, 2172 and so forth.

### **3.3.3 Editing Fund Type**

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

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

### **3.3.4 Viewing Fund Type**

To view a fund type that you have previously entered:

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

### **3.3.5 Deleting Fund Type**

You can delete only unauthorized fund types in the system.

To delete a fund type:

- Invoke the Fund Type Summary screen from the Browser.
- Select the status of the fund types that you want to retrieve for deletion.
- Specify any or all of the details of the fund type in the corresponding fields on the screen.
- Click 'Search' button. All fund types with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the fund type that you want to delete. The Fund Type Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **3.3.6 Authorizing Fund Types**

An unauthorized fund type must be authorized in the system for it to be processed.

To authorize a fund type:

- Invoke the Fund Type Summary screen from the Browser.
- Select the status of the fund type that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop down list.
- Specify any or all of the details of the fund type in the corresponding fields on the screen.
- Click 'Search' button. All fund types with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the fund type that you wish to authorize. The Fund Type Maintenance screen displayed. Select Authorize operation from Action.

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

### **3.3.7 Amending Fund Types**

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

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

### **3.3.8 Authorizing Amended Fund Types**

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

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

### **3.3.9 Copying Attributes**

If you want to create a Fund Type having the same attributes of an existing Fund Type, you can copy the attributes of an existing fund type to a new fund type.

To copy the attributes:

- Retrieve the fund type whose attributes the new fund type should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the ID for the new Fund Type. You can however change the details of the Fund Type if required.

## 3.4 **Entities**

This section contains the following topics:

- [Section 3.4.1, "Setting up Entities"](#)
- [Section 3.4.2, "Invoking Single Entity Maintenance Detail"](#)
- [Section 3.4.3, "Basic Information Tab"](#)
- [Section 3.4.4, "Other Information Allowed"](#)
- [Section 3.4.5, "Correspondence Address Tab"](#)
- [Section 3.4.6, "Bank Details Tab"](#)
- [Section 3.4.7, "Alternate Language Details Tab"](#)
- [Section 3.4.8, "CPF Account Types Tab"](#)
- [Section 3.4.9, "Default Broker Details Tab"](#)
- [Section 3.4.10, "Additional Information Tab"](#)
- [Section 3.4.11, "Related Parties Tab"](#)
- [Section 3.4.12, "Swift Message Type Button"](#)
- [Section 3.4.13, "Entity Mapping Button"](#)

### 3.4.1 **Setting up Entities**

Each business entity that the AMC interacts with in the course of managing investment can be profiled in the FC-IS system with a unique profile. You can use the Single Entity Maintenance screen to set up the following entities in the system:

- Agency Branches
- Agents
- AMC
- Banks
- Bank Branches
- Bulk Clients
- Registrars
- Trustees
- Check Vendors
- Underwriters
- Custodians
- Clearing Agents
- Account and Valuation Agents
- Independent Financial Advisors (IFA)
- Participating Employer
- Account Officers
- Paying Agent

- Cash Management Account
- ISA (Individual Savings Account) Manager
- Legal Entity

**Note**

AMCs can only be maintained at Distributor installations. At an AMC installation, the profile of the logged in AMC can be viewed in the Single Entity screen, but a new profile cannot be created.

**3.4.2 Invoking Single Entity Maintenance Detail**

You can invoke the ‘Single Entity Maintenance Detail’ screen by typing ‘UTDENTMN’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The ‘Single Entity Maintenance Detail’ screen is displayed. Select ‘New’ from the Actions menu in the Application tool bar or click new icon to enter the details of the entity.

You can specify the following details:

**Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

The Entity ID is a unique Identification for an entity in the system. Any detail regarding an entity is obtained by using the entity ID for reference. The ID you specify here must be unique and not already in use for any other entity in the system.



**Entity Name**

*Alphanumeric; 60 Characters; Mandatory*

Specify the name (or description) of the entity being set up in the system.

**Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the type of entity being set up. This could be any of the following:

- Agency Branch
- Agent
- AMC
- Bank
- Bank Branch
- Bulk Client
- Registrar
- Trustee
- Check Vendor
- Underwriter
- Custodian
- Clearing Agent
- Account and Valuation Agent
- Independent Financial Advisors (IFA)
- Participating Employer
- Paying Agent
- Cash Management Account
- Fund Manager

**Entity Type Description**

*Display*

The system displays description for the specified entity type here based on the details maintained in the system.

**Entity Category**

*Alphanumeric; 2 Characters; Optional*

Specify whether the entity being maintained belongs to the Individual or Corporate categories. This specification is optional; if specified, you must also select the appropriate category in the Entity Category field.

**Entity Category Description**

*Display*

The system displays the description for the selected entity category.

**Entity Category Type**

*Optional*

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

- Individual
- Corporate

---

**Note**

AMC entity supports only corporate category.

---

**Restrict cross branching within agent**

*Optional*

Select Yes Cross Branching is allowed at this branch. By enabling this, the agency branch will be allowed to view details, perform transactions pertaining to the unit holders created by the other agency branches in the system. If this field is not clicked, the agency branch will be able to view details and transact for the unit holders created by him only.

**Nationality**

*Alphanumeric; 3 Characters; Optional*

Select the nationality from the adjoining option list.

**Nationality Description**

*Display*

The system displays the description of the selected nationality code.

**Country of Birth**

*Alphanumeric; 3 Characters; Optional*

Select the country of birth from the adjoining option list.

**Country Of Birth Description**

*Display*

The system displays the description of the selected country of birth code.

**Country of Domicile**

*Alphanumeric; 3 Characters; Optional*

Select the country of domicile from the adjoining option list.

**Country Of Domicile Description**

*Display*

The system displays the description of the selected country of domicile code.

**Incorporation Country**

*Alphanumeric; 3 Characters; Optional*

Select the Incorporation country from the adjoining option list.

**Country Of Incorporation Description**

*Display*

The system displays the description of the selected country of incorporation code.

**Fund Structure Applicable**

*Optional*

Select if fund structure is applicable or not from the adjoining drop-down list. Following are the options available:

- Yes
- No

### 3.4.3 Basic Information Tab

The following window is displayed:

#### Base Currency

*Alphanumeric; 3 Characters; Mandatory*

Select the base currency of the entity, from the drop down list. This is the currency in which the entity normally transacts.

#### Currency Name

*Display*

The system displays the name of the currency for the selected base currency.

#### Parent Entity Code

*Alphanumeric; 12 Characters; Optional*

Specify the parent entity code. The adjoining option list displays all valid parent entity code maintained in the system. You can choose the appropriate one.

This is applicable only for specific entity types.

#### Parent Entity Name

*Display*

The system displays the name for the selected parent entity code.

#### Authorized Signatory

*Alphanumeric; 70 Characters; Optional*

Enter the name of the Authorized Signatory at the office of the AMC.

**MICR Code**

*Alphanumeric; 12 Characters; Optional*

Specify MICR code of the specified Bank here. This code is applicable for both Bank and Bank Branch entity.

**Global Intermediary Identification Number (GIIN)**

*Alphanumeric; 30 Characters; Optional*

You can select or specify the GIIN from the adjoining option list.

**GIIN Issue Date**

*Date Format; Optional*

Specify the GIIN issue date.

The GIIN issue date cannot be greater than the application date.

**GIIN Expiry Date**

*Date Format; Optional*

Specify the GIIN expiry date.

The GIIN expiry date cannot be lesser than the GIIN issue date.

**GIIN Verified Flag**

*Display*

System displays the GIIN verified flag based on the GIIN. If you specify the GIIN then, GIIN verified flag gets displayed as 'No'. If you select the GIIN then, GIIN verified Flag gets displayed as 'Yes'.

**Electronic Dealing Allowed**

*Optional*

Check this box to enable specific AMC / Legal Entity for electronic dealing trades.

This field will be available for the entity types AMC / Legal Entity.

**Default Agency Branch**

*Optional*

Check this box to default the agency branch code.

**US Indicia Available**

*Display*

The system defaults US Indicia Available as Yes or No depending on the following:

- The nationality is US
- The country of birth is US
- The country of domicile is US
- The country of incorporation is US
- The country of correspondence or alternate address is US
- The country code of the telephone number is 01
- The country code of the bank branch address is US

**FATCA Status**

*Display*

The system displays the FATCA Status based on the FATCA maintenance.

**FATCA Classification**

*Display*

The system displays the FATCA classification type.

**Description**

*Display*

The system displays the description for the selected FATCA classification.

**Employer ID Number**

*Alphanumeric; 50 Characters; Optional*

Specify the employer ID number.

**FATCA Sponsor Type**

*Optional*

Select the FATCA sponsor type from the adjoining drop down list. The values are:

- Sponsoring Entity
- Sponsored

If you select 'Sponsoring Entity', you need to specify the sponsoring entity type and sponsoring entity ID.

If you select 'Sponsored', you need not to specify the sponsoring entity type and sponsoring entity ID.

**Sponsoring Entity Type**

*Alphanumeric; 1 Character; Optional*

Specify the sponsoring entity type. You can also select the valid entity type from the adjoining option list.

**Sponsoring Entity ID**

*Alphanumeric; 12 Characters; Optional*

Specify the sponsoring entity for the FATCA entity type. You can also select the valid entity ID from the adjoining option list.

**Tax Category**

*Alphanumeric; 12 Characters; Optional*

Specify the tax category.

**Tax Circle**

*Alphanumeric; 15 Characters; Optional*

Specify the tax circle country details.

**Tax ID**

*Alphanumeric; 50 Characters; Optional*

Specify the tax identification.

**Tax Certificate Effective Date**

*Date Format; Optional*

Specify the date from which the tax certificate is effective.

## Tax Certificate Expiry Date

*Date Format; Optional*

Specify the expiry date of the tax certificate.

## Week

Check the appropriate box to indicate the day in a week. The options are as follows:

- Sunday
- Monday
- Tuesday
- Wednesday
- Thursday
- Friday
- Saturday

### 3.4.4 Other Information Allowed

Clicking 'Other Information' tab in the 'Single Entity Maintenance Detail' screen, the following window is displayed:

Single Entity Maintenance Detail

Save

Entity ID \* \_\_\_\_\_

Entity Name \* \_\_\_\_\_

Entity Type \* \_\_\_\_\_

Entity Type Description \_\_\_\_\_

Entity Category \_\_\_\_\_

Entity Category Description \_\_\_\_\_

Entity Category Type Individual v

Restrict cross branching within agent No v

Nationality \_\_\_\_\_

Nationality Description \_\_\_\_\_

Country of Birth \_\_\_\_\_

Country Of Birth Description \_\_\_\_\_

Country Of Domicile \_\_\_\_\_

Country Of Domicile Description \_\_\_\_\_

Incorporation Country \_\_\_\_\_

Country Of Incorporation Description \_\_\_\_\_

Fund Structure Applicable No v

Basic Information **Other Information** Corresp. Address Bank Details Alt.Lang.Details CPF Account Types Def.Broker Details Additional Info Related Parties

Module/Agent Type \_\_\_\_\_

Module/Agent Description \_\_\_\_\_

Nature of Business \_\_\_\_\_

Effective Date for Capital \_\_\_\_\_

Finware Posting v

ISA Reference No \_\_\_\_\_

SWIFT message types | Entity Mapping

Input by \_\_\_\_\_

Authorized by \_\_\_\_\_

DateTime \_\_\_\_\_

Mod No \_\_\_\_\_

Record Status \_\_\_\_\_

Authorization Status \_\_\_\_\_

Cancel

## Others

### Section

*Alphanumeric; 40 Characters; Optional*

Specify any descriptive text about or qualification for the AMC being maintained.

## **Cross Branching Allowed**

*Optional*

Select 'Yes' if you want to allow cross branching for the specified entity ID from the adjoining drop-down list. If you need to disallow cross branching, then select 'No' from the adjoining drop-down list.

This field is applicable only for Agency Branch entity type. It indicates whether Cross Branching is allowed or not in given agency branch. If you select 'Yes', Cross branching is True for a agency branch, Unit holders that are created in other agency branches are allowed to view and transact in this agency branch. Otherwise this agency branch is allowed to view and transact only for the unit holders that are created in the agency branch.

---

### **Note**

In Global Transfer Agency Setup, this field is not amendable for Agency Branch Entity Type.

---

## **Module/Agent Type**

*Alphanumeric; 3 Characters; Optional*

Select the type of the Module that is being set up.

## **Nature of Business**

*Alphanumeric; 1 Character; Optional*

Specify the business avenues supported by the AMC. This option is only available for entities where the entity type is AMC.

## **Relationship Termination Date**

*Display*

The system displays the relationship termination date.

## **Customer Interface Key**

*Optional*

This facility is to be used if customer information from an installation of Oracle FLEXCUBE Corporate (FCC) is to be imported into the FC-IS system using the bulk interface facility, for the creation of unit holder accounts.

The customer interface key determines the level at which unit holder account creation must take place in the FC-IS system, for a given Customer Information File (CIF) in Oracle FLEXCUBE Corporate – either at CIF level or at a customer account level. Accordingly, you can indicate either of the following two options:

- For each CIF, a corresponding unit holder may be created in the FC-IS system. For this option, choose CIF from the drop down list in this field.
- For each CASA (Customer Access System Account) account in a CIF, a corresponding unit holder may be created in the FC-IS system. For this option, choose Account from the drop down list in this field.

The FC-IS system will create corresponding unit holder accounts when the customer information is imported from FCC, according to option you exercise in this field.

---

### **Note**

If you select either FCR or FCC as the Bulk Client Type, then you must specify the Customer Interface Key as mandatory information.

---

### **FLEXCUBE-IS Installed**

*Optional*

Select 'Yes' from the drop-down list to check if Oracle FLEXCUBE Investor Servicing is installed at the Agency Branch.

### **Module/Agent Description**

*Alphanumeric; 60 Characters; Optional*

The system displays description for the specified agent type.

### **Effective Date for Capital Gains Calculations**

*Date Format, Mandatory*

Specify the date on which capital gains calculations must begin, for the AMC. This feature is only available if your installation has specifically requested for it.

It is mandatory for you to specify the effective date if EUSD average cost is to be computed.

### **Auto Settle Switch Transaction**

*Optional*

Select if switch in transactions needs to be auto settled or not from the adjoining drop-down list. Following are the options available:

- Yes
- No

This field is enabled only for AMC entity type.

While saving, If 'Fund Structure Applicable' and 'Auto Settle Switch Transaction' fields are selected as 'Yes' for other Entity types (apart from AMC), then the system will display the warning message as 'Selected field (fund structure applicable/Auto settle switch transaction) not applicable for the entity type'.

### **Pay Dividend During Redemption**

*Optional*

Select pay dividend during redemption status from the drop-down list. The list displays the following values:

- 100% Only
- ALL

### **Online Interface**

*Optional*

Select 'Yes' to utilize the created Bulk Client as online interface from the adjoining drop-down list, if you have maintained 'Entity Type' as 'Bulk Client'. This field is not applicable for other entity types.

### **Signed Off?**

*Display*

This indicates whether the given Agent has signed off for the day. This is not used at setup time, but used only for EOD purposes. by default, when you set up an agent, the agent record is set up with the status 'signed on', which means this field has a 'No' value.

### **Finware Posting**

*Optional*

Choose 'Yes' if you wish to allow FINWARE posting.



**ISA Reference Number**

*Alphanumeric; 5 Characters; Optional*

Specify ISA reference number.

**Min ISA Transfer In**

*Numeric; 18 Characters; Optional*

Specify the minimum ISA that is validated during the transfer in.

**Min ISA Transfer Out**

*Numeric; 18 Characters; Optional*

Specify the minimum ISA that is validated during the transfer out.

**Switching Logic**

*Optional*

Select the type of logic to be enforced by the AMC in accepting switch transactions from the drop-down list. The list displays the following values:

- Switch transactions restricted to fund family: In this case, switch transactions will be accepted only if the From and To funds are part of the same fund family. Cross-fund family switching is not allowed.
- Switch transactions within AMC: In this case, switch transactions are accepted across fund families so long as both families belong to the same AMC.
- No Restrictions

For distributor installations, the switching logic will not be applicable.

**Unit Holder Generation Logic**

*Optional*

Click on the drop-down menu and choose any one of the options available as follows:

- AGT&BRN&SERIAL
- SERIAL&AMC/DIST&CHK
- SERIAL&AGT&CHK
- No Logic
- Reference Number
- AJF Generation Logic
- Ctry(1)&Busi(1)&FMG/DIST&A-Z(1)&NUM(5) stands
- InstallationId(4)&(A-Z)(1)&Num(7)

This option enables multiple AMC branches to opt for different unit holder ID generation logic. Therefore the UH Generation Logic field will be a valid value from UH generation table for a specific AMC, service provider, or a distributor.

- The first option i.e., AGT&BRN&SERIAL&CHK stands for the Agent Code, Branch Code, Serial Number and Check Digit.
- The second option i.e., SERIAL&AMC&CHK stands for the Serial Number, AMC ID (or Distributor ID) and Check Digit.
- The third option i.e., SERIAL&AGT&CHK stands for the Serial Number, Agent Code and Check Digit.
- The fourth option i.e., LEADINGZERO&SERIAL stands for Leading Six Zeros and a running Serial Number.
- The fifth option i.e., Unit Holder ID is assigned with User entered Unit Holder Reference Number.

- The sixth option i.e., AJF Generation Logic
- The seventh option i.e, Ctry(1)&Busi(1)&FMG/DIST(4)&A-Z(1)&NUM(5) stands for Country Code, Business Type, AMC ID (or Distributor ID), a running Serial character and running Serial Number.
- The eighth option i.e., <Installed Entity ID/ 4 characters segment code> + Sequence Type + Running Serial No

---

**Note**

The above option is applicable only for service provider installations.

---

### 3.4.5 Correspondence Address Tab

As part of correspondence details, you can capture correspondence address, alternate address and SWIFT address. Click 'Corresp Address' tab to maintain the correspondence details.

### Contact Information

#### Address Type

##### *Mandatory*

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

- Correspondence Address
- Alternate Address
- Swift Address

### **Address Lines 1-2**

*Alphanumeric; 105 Characters; Optional (Address Line 1 is Mandatory)*

Enter the address of the entity being set up in the system.

### **City**

*Alphanumeric; 80 Characters; Optional*

Enter the city where the entity is located. You can select the city from the drop down list provided. The available options depend on the values defined at the params maintenance. If the city is not available in the list, you can specify the city in the field provided alongside.

### **State**

*Alphanumeric; 80 Characters; Optional*

Enter the State where the City is located. You can select the state from the drop down list provided. The available options depend on the values defined at the params maintenance. If the state is not available in the list, you can specify the city in the field provided alongside.

### **US State**

*Optional*

Select 'Yes' option from drop-down list to indicate that the specified state is a US (United States) state.

### **Zip Code**

*Alphanumeric; 10 Characters; Optional*

Enter the Zip Code of the Address of the entity being set up.

### **Country**

*Alphanumeric; 3 Characters; Mandatory*

Select the country in which the entity is based, from the drop-down list. If the Address type is SWIFT Address, enter the country of the SWIFT address for the entity.

### **Int. Dialing Code +**

*Alphanumeric; 10 Characters; Optional*

Specify the international dialling code.

### **Telephone 1**

*Alphanumeric; 60 Characters; Optional*

Enter the telephone number of the entity who is being set up in the system.

### **Int. Dialing Code +**

*Alphanumeric; 10 Characters; Optional*

Specify the international dialling code.

### **Telephone 2**

*Alphanumeric; 60 Characters; Optional*

Enter the telephone number of the entity who is being set up in the system.

### **Fax Number**

*Alphanumeric; 120 Characters; Optional*

Enter the fax number of the entity who is being set up in the system.

**Email**

*Alphanumeric; 255 Characters; Optional*

Specify the Email address of the entity being set up.

**Contact Person**

*Alphanumeric; 70 Characters; Optional*

Enter the name of the contact person at the entity's offices.

**Int. Dialing Code +**

*Alphanumeric; 10 Characters; Optional*

Specify the international dialling code.

**Cell Phone Number**

*Alphanumeric; 60 Characters; Optional*

Specify the cell phone number of the entity being set up.

**Effective From Date**

*Date Format; Optional*

This is applicable if the Address Type is Alternate Address.

Specify the date that marks the beginning of the period for which the specified alternate address is in effect.

**Effective To Date**

*Date Format; Optional*

This is applicable if the Address Type is Alternate Address.

Specify the date that marks the end of the period for which the specified alternate address is in effect.

**BIC Code**

*Alphanumeric; 12 Characters; Optional*

Specify the Bank Identifier Code (BIC) of the entity.

### **3.4.6 Bank Details Tab**

You can capture details of bank accounts held by the entity, with multiple accounts in foreign currencies, if required. These are the settlement details that would be used for settlement of payment to the entities. You must designate one default account for each currency, which would be deemed to be the default settlement account in the selected currency, for the entities.

Bank details can be captured for all entities other than Bank Branches, and are optional for all entities except AMCs and Distributors. For Banks, you can capture the details of Correspondent Banks as part of the bank details.

Commission payments for an entity are made to the default settlement account designated in the Income Distribution Setup (IDS) record maintained for the entity. If no IDS have been maintained, the default bank account designated in the entity details record is considered as the default settlement account.

You can capture the following details for each entity bank account:

- Bank and branch in which the account resides
- Account number

- Account name and the owner of the account
- Account currency
- Whether direct debits are allowed for the account
- Whether the account is the default account for the entity

Click 'Bank Details' tab to capture the bank details in the Bank Details section in the Single Entity Maintenance screen.

The screenshot displays the 'Single Entity Maintenance Detail' window. The 'Bank Details' tab is active, showing various input fields for account information. The 'General Information' section includes fields for Entity ID, Entity Name, Entity Type, Entity Category, Entity Category Type (set to 'Individual'), Nationality, Country of Birth, Country of Domicile, Incorporation Country, and Fund Structure Applicable (set to 'No'). The 'Bank Details' section includes Account Name, Account Currency, Bank, Account Type, Account Number, Reference 1, Reference 2, IBAN, Branch, Account Operation Type, Direct Debit Applicable, Default, Swift Format, Bank Charged, Further Credit Name, and Further Credit Acct No. The 'Beneficiary Details' section includes Beneficiary, Beneficiary BIC Code, and Beneficiary Add1. The bottom status bar shows fields for Input by, Authorized by, DateTime, Mod No, Open, and Authorized, along with a Cancel button.

## **Bank Details**

### **Account Name**

*Alphanumeric; 100 Character; Mandatory*

Specify the name in which the entity holds the specified bank account.

### **Account Currency**

*Alphanumeric, 3 Characters; Mandatory*

From the list, select the currency that the specified bank account uses. You can maintain any number of accounts in each currency; however, you must designate one default bank account for each currency.

### **Bank**

*Alphanumeric; 12 Characters; Mandatory*

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

**Account Type**

*Alphanumeric; 1 Character; Mandatory*

From the list, select the nature of the account held by the entity.

The list provides all account types that have been set up in the Account Type Maintenance records.

**Account Number**

*Alphanumeric; 34 Characters; Mandatory*

Specify the number of the account held by the entity in the selected bank.

**Reference 1**

*Alphanumeric; 35 Characters; Optional*

Enter the first reference

**Default**

*Optional*

Select 'Yes' from drop-down list to identify the bank account that is to be reckoned as the default bank account for the entity in the system, for the selected currency.

**Direct Debit Applicable**

*Optional*

You can use this field to indicate whether direct debits may be raised in respect of the bank account you are defining for the entity. Select 'Yes' to indicate that direct debits are allowed; leave it unchecked to indicate that they are not.

**Branch**

*Alphanumeric; 60 Characters; Mandatory*

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

**Account Operation Type**

*Display*

The system displays the description of account operation type.

**IBAN**

*Alphanumeric; 40 Characters; Optional*

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

**Reference2**

*Alphanumeric; 35 Characters; Optional*

Specify the second reference

**Swift Format**

*Optional*

Indicate one of the following swift formats from the drop-down list:

- MT103
- MT102

**Bank Charged**

*Optional*

Indicate one of the following from the drop-down list:

- Beneficiary

- Remitter
- Share

**Further Credit Name**

*Alphanumeric; 35 Characters; Optional*

Specify the further credit name.

**Further Credit Acct No**

*Alphanumeric; 35 Characters; Optional*

Specify the further credit account number.

**Beneficiary Details****Beneficiary**

*Alphanumeric; 35 Characters; Optional*

Enter the beneficiary Details.

**Beneficiary Acct No**

*Alphanumeric; 34 Characters; Optional*

Specify the account number of the beneficiary.

**Beneficiary Info**

*Alphanumeric; 100 Characters; Optional*

Specify the information about the beneficiary.

**Beneficiary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Specify the BIC code of the beneficiary.

**Beneficiary Code**

*Alphanumeric; 24 Characters; Optional*

Specify the code of the beneficiary.

**Beneficiary IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the beneficiary IBAN.

**Beneficiary Add1**

*Alphanumeric; 105 Characters; Optional*

Specify the first line of beneficiary address.

**Beneficiary Add2**

*Alphanumeric; 105 Characters; Optional*

Specify the second line of beneficiary address.

**Beneficiary Add3**

*Alphanumeric; 105 Characters; Optional*

Specify the third line of beneficiary address.

**Intermediary Details****Intermediary**

*Alphanumeric; 35 Characters; Optional*

Specify the intermediary details.

**Intermediary Acct No**

*Alphanumeric; 34 Characters; Optional*

Specify the account number of the intermediary.

**Intermediary Info**

*Alphanumeric; 100 Characters; Optional*

Specify the information about the intermediary.

**Intermediary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Specify the BIC Code of the intermediary.

**Intermediary Code**

*Alphanumeric; 24 Characters; Optional*

Specify the code of the intermediary.

**Intermediary IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the intermediary IBAN.

**Intermediary Add 1**

*Alphanumeric; 105 Characters; Optional*

Specify the first line of beneficiary intermediary.

**Intermediary Add 2**

*Alphanumeric; 105 Characters; Optional*

Specify the second line of beneficiary intermediary.

**Intermediary Add 3**

*Alphanumeric; 105 Characters; Optional*

Specify the third line of beneficiary intermediary.



### 3.4.7 Alternate Language Details Tab

The system allows you to capture entity details in an alternate language of your desire. These fields are captured for information purposes only and no processing would be done on them. Click 'Alt Lang Details' tab to maintain the alternate language details.

Single Entity Maintenance Detail

Save

**General Information**

Entity ID \*  
Entity Type \*  
Entity Category  
Entity Category Type Individual  
Nationality  
Country of Birth  
Country Of Domicile  
Incorporation Country  
Fund Structure Applicable No

Entity Name \*  
Entity Type Description  
Entity Category Description  
Restrict Cross Branching within Agent No  
Nationality Description  
Country Of Birth Desc  
Country Desc  
Country Of Incorporation Desc

Basic Information | Other Information | Corresp. Address | Bank Details | **Alt Lang Details** | CPF Account Types | Def.Broker Details | Additional Info | Related Parties

Entity Name  
Contact Person

**Correspondence Address**

Address Line 1  
Address Line 2  
City  
State

**Alternate Address**

Address Line 1  
Address Line 2

Swift Message Types | Mapped Installation IDs

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

Cancel

You can maintain the following information in an alternate language provided you have captured the information in the default language.

#### **Entity Name**

*Alphanumeric; 60 Characters; Optional*

Specify the name of the entity being set up in the system.

#### **Contact Person**

*Alphanumeric; 70 Characters; Optional*

Enter the name of the contact person at the entity's offices.

#### **Correspondence Address**

##### **Address Lines 1-2**

*Alphanumeric; 105 Characters; Optional*

Enter the default postal address that is to be used for correspondence with the entity being set up in the system.

**City**

*Alphanumeric; 80 Characters; Optional*

Enter the city where the entity is located.

**State**

*Alphanumeric; 80 Characters; Optional*

Enter the State where the City is located.

**Alternate Address****Address Lines 1-2**

*Alphanumeric; 105 Characters; Optional*

Enter the alternate postal address that is to be used for correspondence with the entity being set up in the system.

**City**

*Alphanumeric; 80 Characters; Optional*

Enter the city where the entity is located.

**State**

*Alphanumeric; 80 Characters; Optional*

Enter the State where the City is located.

### 3.4.8 CPF Account Types Tab

Each Fund is explicitly defined for the eligibility of a specific investment type (Like CPFOA Approved? CPFSA Approved? etc) and only on this basis, transactions like Subscription, Redemption, Switch can be processed for specific investment types on these Funds. Also, the approval date and the corresponding Fund ID as identified for that investment account type is captured for each of the fund in the system.

Only the agent banks that are approved by the CPF board or any other relevant authority are allowed to maintain these accounts for its customers.

The Account Type for the unit holder bank details should be of same type as UH Account Type for a CPF Account. The number of bank details to be captured for the CPF Account will be restricted to only one account. Also it will be mandatory to specify at least one account.

Unit holder upload will capture of CPF account types and also validate the account type with bank details. For non-CPF account types, the system will check that bank details maintained for the unit holder is not a CPF account type.

You can specify the following information on Central Provident Fund (CPF) account types:

## Account Type

*Alphanumeric; 2 Characters; Mandatory*

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

## Account Type Description

*Display*

Enter the CPF account type description.

### 3.4.9 Default Broker Details Tab

Click 'Def.Broker Details' tab to enter the defaulting broker details.

The screenshot shows the 'Single Entity Maintenance Detail' application window. The 'Def. Broker Details' tab is active, displaying a table with two columns: 'Transaction Type \*' and 'Broker Defaulting Mechanism \*'. The table contains one row with a checkmark in the first column and a blue link icon in the second column. The 'Save' button is visible at the bottom right of the window.

Transaction Type *	Broker Defaulting Mechanism *
<input checked="" type="checkbox"/>	<a href="#">ⓘ</a>

## Transaction Type

*Alphanumeric; 20 Characters; Mandatory*

Indicate the type of transaction for which you are specifying the broker details defaulting preferences. You can specify the defaulting preferences for IPO Subscription, Subscription, Redemption, Switch, Transfer and Reinvestment type of transaction.

## Broker Defaulting Mechanism

*Alphanumeric; 3 Characters; Optional*

Specify the defaulting preferences for broker details for the AMC. The following options are available in the list:

- No Defaulting – Broker details will not be defaulted to DIRECT
- Last Transaction Broker – If the user does not have any transaction in that fund, then system looks for the immediate last transaction (based on the authorized time stored with the system). If the user has not done any transaction, system will default the default intermediary of the unit holder.  
While defaulting, if one of the Brokers is disabled, system will default from the unit holder. If the broker is disabled at the unit holder level as well then system will default to DIRECT
- Split Percentage – This is applicable only Reinvestment type of transactions. System tracks the holdings per broker. During re-investment generation, system will use these brokers as the reinvestment transaction's intermediaries with the appropriate ratio.
- While defaulting, if one of the Brokers is disabled, system will default from the unit holder. If the broker is disabled at the unit holder level as well then system will default to DIRECT.
- Default Broker – Broker maintained at the unit holder will be defaulted

If the broker is disabled at the unit holder level as well then system will default to DIRECT.

---

### Note

You can view the 'Defaulting of Broker Details Section' provided the client country parameter 'TXNBROKERS' is set to True for the installation in your bank.

---

### 3.4.10 Additional Information Tab

The system displays the following values:

- Other Info Field - The system displays the additional info data type, maintained as Date, which is mapped to an entity (agent).
- Field Value

Default date format (DD-MON-YYYY) is mentioned in 'Other Info' field label for date data type while defaulting.

Click 'Get Additional Information' button in the screen. Any additional info like bank details will be maintained.

After saving the above listed details in the single entity maintenance screen, click on the Exit button.

### 3.4.11 Related Parties Tab

Click 'Related Parties' tab to specify the details.

Single Entity Maintenance Detail

Save

**General Information**

Entity ID \*  
Entity Type \*  
Entity Category  
Entity Category Type Individual  
Nationality  
Country of Birth  
Country Of Domicile  
Incorporation Country  
Fund Structure Applicable No

Entity Name \*  
Entity Type Description  
Entity Category Description  
Restrict Cross Branching within Agent No  
Nationality Description  
Country Of Birth Desc  
Country Desc  
Country Of Incorporation Desc

Basic Information Other Information Corresp. Address Bank Details Alt.Lang.Details CPF Account Types Def.Broker Details Additional Info **Related Parties**

**Related Parties**

Entity Type *	Entity ID *	Entity Name	Reporting Level *	Preferred Mailing Mode	Link Notes	Related

Swift Message Types | Mapped Installation IDs

Input by  
Authorized by

DateTime  
DateTime

Mod No

Open  
Authorized

Cancel

You can specify the following details:

#### Entity Type

*Alphanumeric; 2 Characters; Mandatory*

Select the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity type maintained in the system.

The system will allow you to add a related Party only for the Agent Entity Type.

#### Entity ID

*Alphanumeric; 12 Characters; Mandatory*

Select the entity ID from the option list. These entities are based on the Entity Type chosen.

#### Entity Name

*Display*

The entity name gets displayed on selection of entity ID.

#### Reporting Level

*Alphanumeric; 1 Character; Mandatory*

Select the reporting level from the list. The following are the reporting levels:

- A: All Reports

- C: Contract notes and trade acknowledgement
- V: Valuations and statements
- N: No Reporting

By default, the system defaults Reporting Level as 'ALL'.

### **Preferred Mailing Mode**

*Alphanumeric; 1 Character; Optional*

Select the preferred mailing mode from the list. The following are the preferred mailing modes:

- Mail
- E-Mail
- Fax
- SWIFT

### **Link Notes**

*Alphanumeric; 255 Characters; Optional*

The link notes stores free format text which is used to explain the reason for linking the entity with the unit holder.

---

#### **Note**

Related Parties are captured for informational purpose only and no processing impact is associated.

---

### **Related Party Level**

*Mandatory*

Select the related party level from the adjoining drop-down list. Following are the options available:

- All
- Fund
- Fund Family
- Legal Entity
- AMC

### **Related Party Value**

*Alphanumeric; 12 Characters; Mandatory*

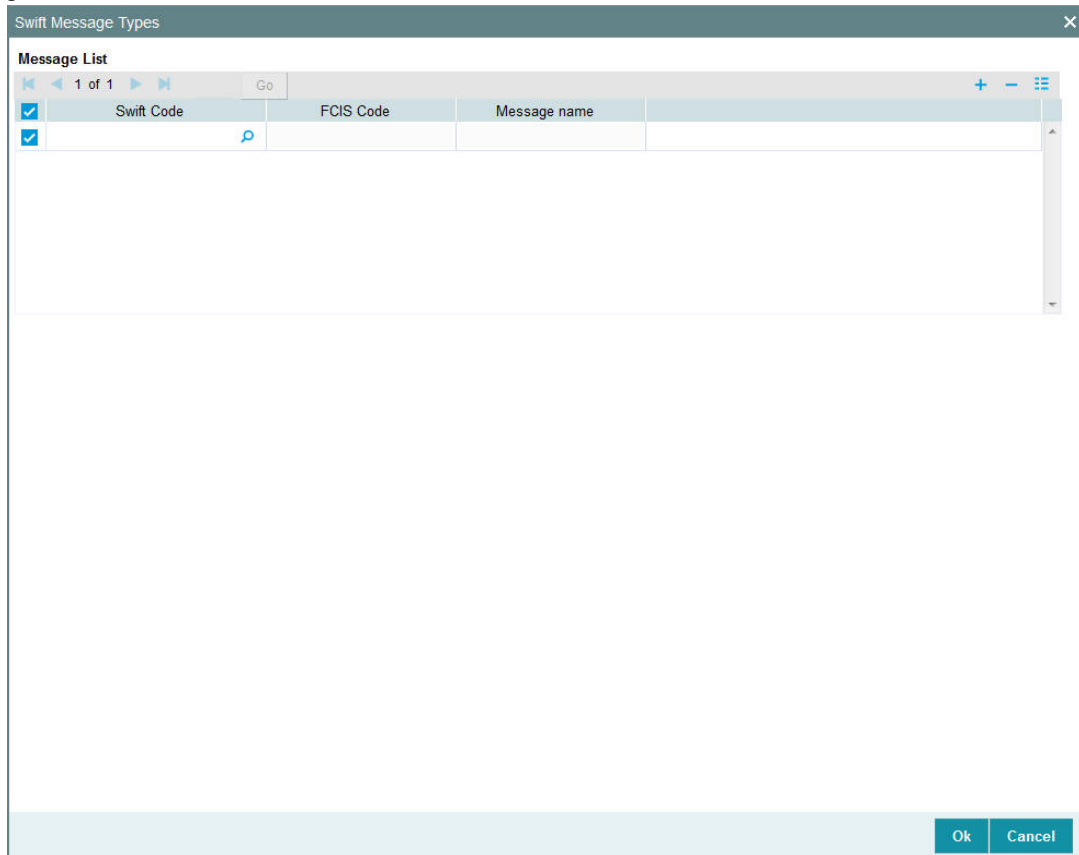
Specify the related party value. The adjoining option list displays all valid related party values maintained in the system. You can choose the appropriate one.

If you select 'All' in 'Related Party Level' field, then you need to select 'All' from the adjoining option list in 'Related Party Value' field as well. The system will not allow any more records to be added if ALL has been selected in the 'Related Party Level' field for a particular entity ID and entity type combination.



### 3.4.12 Swift Message Type Button

Clicking 'Swift Message Type' button to specify the list of SWIFT messages allowed for that given AMC.



You can specify the following details:

#### **Swift Code**

*Alphanumeric; 30 Characters; Optional*

Specify the swift code. Alternatively, you can select the swift code from the option list. The list displays the following values:

#### **FCIS Code**

*Display*

The system displays the FCIS code based on the Swift code selected.

#### **Message Code**

*Display*

The system displays the message code based on the swift code selected.

The 'Swift Message Type' screen is enabled only if you have checked 'Electronic deal box in 'Basic Information' tab.

### 3.4.13 Entity Mapping Button

Click Entity mapping button to view the mapped FMG and AGY modules.

The screenshot shows a web application window titled "Single Entity Maintenance Detail" with a sub-header "Entity Mapping". At the top, there are two input fields: "Entity ID" and "Entity Type". Below these are two data tables. The first table, "FMG Modules Mapped", has a header row with "Installation ID" and "Module ID". The second table, "AGY Modules Mapped", has a header row with "AGY Module ID", "Agent Code", and "Branch Code". Both tables are currently empty. There are navigation buttons like "Go" and "Exit" visible.

You can view the following details:

- Entity ID
- Entity Type
- Mapped FMG Modules
  - Installation ID
  - Module ID
- Mapped AGY Modules
  - AGY Module ID
  - Agent Code
  - Branch code

## 3.5 Single Entity Maintenance (Summary) Screen

This section contains the following topics:

- [Section 3.5.1, "Invoking the Single Entity Maintenance Summary Screen"](#)
- [Section 3.5.2, "Retrieving Entity in Summary Screen"](#)
- [Section 3.5.3, "Editing Entity"](#)
- [Section 3.5.4, "Viewing Entity"](#)
- [Section 3.5.5, "Deleting Entity"](#)
- [Section 3.5.6, "Authorizing Entities"](#)
- [Section 3.5.7, "Amending Entities"](#)
- [Section 3.5.8, "Authorizing Amended Entities"](#)

### 3.5.1 Invoking the Single Entity Maintenance Summary Screen

After you have set up an entity of any type in the system, you must have another user authorize the record so that it would be effective in the system.

Before the entity record is authorized, you can edit it as many times as necessary. You can also disable an entity before the entity record is authorized.

After authorization, you can only make changes to the entity details through an amendment.

The 'Single Entity Maintenance Summary' screen can be used for the following operations on entities:

- Retrieval for viewing
- Editing unauthorized records
- Disabling unauthorized entities
- Authorizing entities
- Amending authorized entities.

Invoke the 'Single Entity Maintenance Summary' screen by typing 'UTSENTMN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Single Entity Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Open

Entity ID  Entity Name

Entity Type

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Open	Entity ID	Entity Name	Entity Type
----------------------	------	-----------	-------------	-------------

Exit

### 3.5.2 Retrieving Entity in Summary Screen

You can retrieve a previously entered entity as follows:

- Invoke the Entity Maintenance Summary screen and specify the following:

- The status of the entity in the Authorization Status field. If you choose the “Blank Space” option, then all the entities are retrieved.
- The status of the entity in the Open field. If you choose the “Blank Space” option, then all the entities are retrieved.
- The Entity ID
- Entity Type
- Entity Name
- Click ‘Search’ button after you have specified the required details, all entities with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### **Note**

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

- Press F7
  - Input any parameter in the screen
  - Press F8
- 

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

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

For example, you can search the record for Entity ID by using the combination of % and alphanumeric value as follows:-

- Search by D%:- System will fetch all the records whose Entity ID starts from Alphabet ‘D’. For example, Direct.
- Search by %7:- System will fetch all the records whose entity ID Type ends by numeric value ‘7’. For example, AGENT7.
- Search by %17%:- System will fetch all the records whose Entity ID contains the numeric value 17. For example, AGENT17.

### **3.5.3 Editing Entity**

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

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

### 3.5.4 Viewing Entity

To view an entity that you have previously entered:

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

### 3.5.5 Deleting Entity

You can delete only unauthorized entities in the system. To delete an entity:

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

### 3.5.6 Authorizing Entities

An unauthorized entity must be authorized in the system for it to be processed. To authorize an entity:

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

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

### 3.5.7 Amending Entities

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

- Invoke the Single Entity Summary screen from the Browser.
- Select the status of the entity that you wish to retrieve for amendment. You can only amend records of entities that are authorized.

- Specify any or all of the details of the entity in the corresponding fields on the screen.
- Click 'Search' button. All entities with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the entity that you want to amend. The Single Entity Maintenance screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the entity.
- Amend the necessary information. Click the Save button to save the changes.

### 3.5.8 Authorizing Amended Entities

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

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

#### Copying Attributes

If you want to create an entity having the same attributes of an existing entity, you can copy the attributes of an existing entity to a new entity.

To copy the attributes:

- Retrieve the entity whose attributes the new entity should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the ID for the new Entity. You can however change the details of the entity if required.

## 3.6 Entity Mapping Detail

This section contains the following topics:

- [Section 3.6.1, "Invoking Entity Mapping Detail Screen"](#)

### 3.6.1 Invoking Entity Mapping Detail Screen

You can map entity details using 'Entity Mapping Detail' screen. You can invoke this screen by typing 'UTDENTMP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

### **Entity Type**

*Alphanumeric; 1 Character; Mandatory*

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

### **Entity Type Description**

*Display*

The system displays the description for the selected entity type.

### **Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

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

### **Entity Name**

*Display*

The system displays the description for the selected entity ID.

### **Fund Manager ID**

*Display; Alphanumeric; 30 Characters*

The system displays the current logged in fund manager ID.

### **AGY Module Mapping**

AGY Module Mapping is used to map the entity to one or more AGY modules of the Fund manager. It includes the following fields.

- AGY Module ID
- Agent Code
- Branch Code

---

### **Note**

If there is no module mapped in 'AGY Module Mapping' section, then the entity will be listed in all Agency branches of the mapped Fund Manager.

If there is any module mapped in 'AGY Module Mapping' section, then the entity will be listed only in the mapped Agency branch of the mapped Fund Manager.

---

### **AGY Module ID**

*Alphanumeric; 30 Characters; Mandatory*

Specify the AGY module ID. Alternatively, you can select the AGY module ID from the LOV. The list displays the same maintained in the system.

### **Agent Code**

*Display*

The system displays the default agent code for the selected AGY Module ID.

### **Branch Code**

*Display*

The system displays the default branch code for the selected AGY Module ID.

## 3.7 Entity Mapping Summary

This section contains the following topics:

- [Section 3.7.1, "Retrieving Entity Mapping Record in Summary Screen"](#)
- [Section 3.7.2, "Editing Entity Mapping Record"](#)
- [Section 3.7.3, "Viewing Entity Mapping Record"](#)
- [Section 3.7.4, "Deleting Entity Mapping Record"](#)
- [Section 3.7.5, "Authorizing Entity Mapping Record"](#)
- [Section 3.7.6, "Amending Entity Mapping Record"](#)
- [Section 3.7.7, "Authorizing Amended Entity Mapping Record"](#)

### 3.7.1 Retrieving Entity Mapping Record in Summary Screen

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

Authorized	Open	Entity ID	Entity Type
------------	------	-----------	-------------

You can retrieve a previously entered Entity Mapping records in the Summary screen, as follows:

- Invoke the Entity Mapping Summary screen and specify the following:
  - The status of the entity ID in the Authorized field. If you choose the "Blank Space" option, then all the entity IDs are retrieved.
  - The status of the entity ID in the Open field. If you choose the "Blank Space" option, then all the entity IDs are retrieved.
  - Entity ID
  - Entity Type



- After you have specified the required details, click 'Search' button. All Entity Mapping records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve the Entity Mapping records from the detail screen by doing query in the following manner:-

- Press F7
- Input the Entity ID
- Press F8

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

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

For example, you can search the record for Entity ID by using the combination of % and alphanumeric value as follows:-

- **Search by M%**: The system will fetch all the records whose Entity ID starts from Alphabet 'M'. For example, Mutual Fund.
- **Search by %7** : The system will fetch all the records whose Entity ID ends by numeric value ' 7 ' For example, 217,267,77 and so forth.
- **Search by %17%**: The system will fetch all the records whose Entity ID contains the numeric value 17. For example, 3217, 2172 and so forth.

### 3.7.2 Editing Entity Mapping Record

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

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

### 3.7.3 Viewing Entity Mapping Record

To view a Entity Mapping records that you have previously entered:

- Invoke Entity Mapping Summary Screen from the Browser.
- Select the status of the Entity Mapping records that you want to retrieve for viewing in the Authorized field. You can also view all Entity Mapping records that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
- Specify any or all of the details of the Entity Mapping records in the corresponding fields on the screen.

- Click 'Search' button. All Entity Mapping records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the Entity Mapping records that you want to view in the list of displayed Entity Mapping records. The Entity Mapping Detail screen is opened in view mode.

### **3.7.4 Deleting Entity Mapping Record**

You can delete only unauthorized Entity Mapping records in the system.

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

### **3.7.5 Authorizing Entity Mapping Record**

An unauthorized Entity Mapping records must be authorized in the system for it to be processed.

To authorize a Entity Mapping records:

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

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

### **3.7.6 Amending Entity Mapping Record**

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

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

- Double click the Entity Mapping records that you want to amend. The Entity Mapping Detail screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the Entity Mapping records.
- Amend the necessary information. Click the Save button to save the changes.

### **3.7.7 Authorizing Amended Entity Mapping Record**

An amended Entity Mapping records must be authorized for the amendment to be made effective in the system. The process of authorization is subsequently the same as that for normal transactions.

---

#### **Note**

- If the client country 'AUTOENTITYMAP' is enabled, then the auto mapping of entities on entity creation will continue to happen and by default, the entities will be available within the LOB in which the entity created.
  - If the client country 'AUTOENTITYMAP' is disabled, then the user should map the entities manually through Entity Mapping Screen, even to access the entities in the LOB where the entity created.
- 

## **3.8 Relationship Maintenance Detail**

This section contains the following topics:

- [Section 3.8.1, "Invoking Relationship Maintenance Detail Screen"](#)

### 3.8.1 Invoking Relationship Maintenance Detail Screen

You can maintain relationship detail using 'Relationship Maintenance Detail' screen. You can invoke this screen by typing 'UTDENTRL' in the field at the top right corner of the Application tool bar.

Relationship Maintenance Detail

Save

Details

Entity Type\* Broker

Entity ID\*

Relationship\*

Unit Holder ID\*

Find UH

Input by                      DateTime                      Mod No                      Open

Authorized by                      DateTime                      Authorized

Cancel

You can specify the following details:

#### **Details**

##### **Entity Type**

###### *Mandatory*

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

- Broker
- Unit Holder

##### **Relationship**

###### *Alphanumeric; 2 Characters; Mandatory*

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

### **Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

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

### **Unit Holder ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the unit holder ID.

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

## **3.9 Income Distribution Setup (IDS) Options**

This section contains the following topics:

- [Section 3.9.1, "Maintaining Income Distribution Setup \(IDS\) Options"](#)
- [Section 3.9.2, "Payment Details Tab "](#)
- [Section 3.9.3, "Reinvestment Details Tab"](#)
- [Section 3.9.4, "Routing Details Tab"](#)

### **3.9.1 Maintaining Income Distribution Setup (IDS) Options**

The different entities involved in transactions in funds of the AMC avail of earnings resulting from their involvement. For instance, an intermediary (such as a broker) derives commission earnings from the transactions in the funds of the AMC.

Each of the entities could opt for any of the following ways of using earnings from transactions:

- Receive the entire earnings, dividend or commission, as payment, either entirely through checks or account transfer.
- Not receive the earnings by way of payment, but invest the earnings back into the funds of the AMC. This is known as reinvestment. Also, the reinvestment could be made into a designated unit holder account too.
- Receive a portion of the earnings by way of payment, and reinvest the remaining portion.

The pattern chosen by the entity to use earnings is known as the Income Distribution Setup pattern or the IDS pattern for the entity.

You can capture this pattern for any entity in the Oracle FLEXCUBE Investor Servicing system, in the 'Income Distribution Setup Detail' screen. You can invoke this screen by typing 'UTDBRIDS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

The screenshot shows the 'Income Distribution Setup Detail' form with the following sections and fields:

- Client Information:** Entity Type \*, Entity ID \*, Entity Name, Description.
- Details:** Fund ID \*, Distribution Mode \*, Payment Percentage, Rule Applicable for All Funds (checkbox), Payment Currency \*, Reinvestment Percentage, ISIN Code, Fund Name, Currency Name.
- Payment Details:** Payment Mode, Payment Type (Self).
- Third Party Details:** Third Party Reference, Address, City, US State/ Non-US State, ZIP Code.
- Transfer Details:** A/c No, Bank, Bank Name, A/c Type, Branch, A/c Ccy, A/c Holder Name, IBAN.
- Metadata:** Input by, Authorized by, DateTime, Mod No, Open Authorized, and a Cancel button.

In this screen, you set up the IDS pattern by:

- Specifying the type of entity for which the IDS options are being maintained.
- Indicating the entity for which the option is being set up, by specifying the entity ID.
- Specifying the fund for which the option is applicable, in the Fund ID field. You can also specify the ISIN Code for the fund. The option you will set up will be applied only for dividend earnings on the fund you select here. If you wish to set up income distribution options to be applicable for all funds, you can do so by setting the 'Rule Applicable for All Funds' option (this option is available for all entity types except brokers and unit holders)
- Specifying the mode of distribution, in the Distribution Mode field. For brokers, distribution by payment or reinvestment, or both, can be set. For all other entities, only distribution by payment can be set.
- For brokers, specifying the percentages that represent the portions of dividend earnings to be paid and reinvested, as desired by the broker, in the Payment Percentage and Reinvestment Percentage fields.
- For brokers, specifying the payment details for the paid portion, in the Payment Details section, and the reinvestment details, for the reinvestment portion, in the Reinvestment Details section.
- For entities other than brokers, specifying the payment details for commission payments, in the Payment Details section.
- Save your changes.

## **Client Information**

In this section, select the code of the broker for whom you are creating an income distribution setup record.

### **Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Select the type of entity for which you are setting up Income Distribution options from the option list. You can select any of the following entity types, as applicable:

- Accounting and Valuation Agent
- Agent
- Agency Branch
- AMC
- Broker
- Bulk Client
- Check Vendor
- Clearing Agent
- Custodian
- Distributor
- IFA
- Registrar
- Trustee
- Underwriter
- Product Administrator

For entities other than brokers, the IDS options that you set up in this screen are applicable for commission payments only, and only the 'Payment' distribution mode can be set.

### **Entity Name**

*Display*

Based on your selection for Entity ID, the system displays the corresponding Entity Name.

### **Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the ID of the entity for whom you are creating the income distribution options in this screen. The name of the entity that you select is displayed alongside the field.

### **Description**

*Display*

The system displays description of the specified entity here based on the details maintained at 'Single Entity Maintenance' level.

### **Details**

In this section, you can indicate the fund, the income earnings from which will be distributed according to the IDS options you are creating for the selected entity. You can also indicate the manner in which the income must be distributed.

For all entity types other than brokers and unit holders, you can define IDS options to be applicable for all funds. Specific IDS options for individual funds can still be defined for the

entity even if IDS options have been defined to be applicable for all funds, and these specific options will supersede the option defined for all funds.

### **Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Select the ID of the fund from which the selected entity derives income, which will be distributed according to the IDS options you are creating in this screen.

If the selected entity receives income from many funds, then you must create the IDS options for the income from each fund in this screen as applicable, if so requested by the entity.

When you specify the ID of the fund, the ISIN Code of the fund is displayed in the ISIN Code field.

---

#### **Note**

The ALL option is defaulted in this field and cannot be changed if the 'Rule Applicable for All Funds' option has been chosen. In such a case, the IDS options being defined would be applicable for income earned by the selected entity from all funds. Also, if specific options need to be defined for an individual fund, they can be defined separately. Such specific options, if defined for an individual fund, would take precedence (only for income earnings from the fund for which they are defined) over options defined for ALL funds.

---

### **ISIN Code**

*Display*

The system displays the ISIN Code for the selected fund.

---

#### **Note**

The ALL option is defaulted in this field and cannot be changed if the 'Rule Applicable for All Funds' option has been chosen. In such a case, the IDS options being defined would be applicable for income earned by the selected entity from all funds. Also, if specific options need to be defined for an individual fund, they can be defined separately. Such specific options, if defined for an individual fund, would take precedence (only for income earnings from the fund for which they are defined) over options defined for ALL funds.

---

### **Fund Name**

*Display*

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

### **Currency Name**

*Display*

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

### **Distribution Mode**

*Mandatory*

From the drop-down list, indicate the manner in which the selected entity prefers to avail of income earned in the selected fund. The list displays the following values:

- **Full Payment:** Choose this option to indicate that the entity prefers to receive the entire income derived from an income distribution cycle in the selected fund as a payment.



---

**Note**

For commission payments for entities other than brokers, the distribution mode is considered to be 'Full Payment' by default. This option is selected and cannot be changed.

---

Further, the entity can choose to avail of payment either in the form of a check, or an account transfer.

- **Full Reinvestment:** Choose this option to indicate that the entity prefers to reinvest the entire income derived from an income distribution cycle in the AMC back into the funds of the AMC. This option is available only for brokers and not for other entity types.

Further, the entity can choose to have the income reinvested either in the entity's own default unit holder account or the account of another unit holder. In the latter case, the unit holder in whose account the reinvestment is proposed (i.e., the Reinvestment Unit Holder) must belong to the same AMC as the source entity.

- **Both:** Choose this option to indicate that the entity prefers to have the income derived from an entire income distribution cycle in the selected fund divided into two portions, receive one portion as payment, and reinvest the remaining portion. This option is available only for brokers and not for other entity types.

---

**Note**

In some funds in which reinvestment is not allowed, according to the Corporate Actions profile for the fund and corporate action type, the entity cannot choose to have income earnings reinvested. In such cases, this field is locked with the "Full Payment" option displayed as a non-editable default option. Also, the Payment Percentage field is locked with a default, non-editable value of one hundred percent displayed, and the Reinvestment Percentage field is locked with a default, non-editable value of zero percent displayed.

If you have chosen the distribution mode in this field as 'Full Reinvestment' or "Both", and the reinvestment fund has a restriction on the nationality of the entity as maintained in the Fund Residency Restriction list, then reinvestment is not allowed at all.

---

**Payment Percentage**

*Numeric; 5 Characters; Optional (Mandatory if distribution mode is either Both or Full Payment)*

Specify the percentage of income earned that the entity prefers to receive by way of payment.

- If the distribution mode chosen is Both, specify a percentage that is below one hundred percent.
- If the distribution mode chosen is Full Payment, this field contains one hundred percent as a default value. If so, you cannot specify any other value.
- If the distribution mode chosen is Full Reinvestment, and the reinvestment is disallowed for the selected fund, this field contains one hundred percent as a default value. If so, you cannot change it.

**Payment Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the currency of income earned that the entity prefers to receive by way of payment.

**Reinvestment Percentage**

*Numeric; 22 Characters; Optional (Mandatory if distribution mode is either Both or Full Reinvestment)*

Specify the percentage of income earned that the entity prefers to reinvest back into the funds of the AMC.

- If the distribution mode chosen is Both, specify a percentage that is below one hundred percent.
- If the distribution mode chosen is Full Reinvestment, this field contains one hundred percent as a default value. If so, you cannot specify any other value.
- If the distribution mode chosen is Full Reinvestment, and the reinvestment is disallowed for the selected fund, this field contains zero as a default value. If so, you cannot change it.

#### **Rule Applicable for All Funds**

##### *Optional*

You can use this field to indicate that the IDS options being defined are applicable for income earned by the entity from all funds. If this option is chosen,

- This cannot be changed through either the edit or amend operations.
- The 'ALL' option is displayed in the Fund ID and ISIN Code fields and cannot be changed.
- The specific IDS options can still be *separately* defined for individual funds, which would mean that the selected entity might have IDS options defined for all funds, as well as specifically for individual funds. In such a case, the specific IDS setup for an individual fund (if any) would take precedence over the IDS options defined for all funds.

---

#### **Note**

This option is available for all entity types except unit holders and brokers.

---

### **3.9.2 Payment Details Tab**

As part of maintaining the payment details, you can define the pattern in which the entity can receive income earnings in the form of payment. The entity can receive the payment income either in the form of checks or through account transfers.

If you have chosen either Both or Full Payment as the distribution mode, you must specify all information in this section.

Click 'Payment Details' tab in the 'Income Distribution Set Up Detail' screen to specify the payment details for the entity.

The screenshot shows the 'Income Distribution Setup Detail' window with the following sections:

- Client Information:** Entity Type \*, Entity ID \*, Entity Name, Description.
- Details:** Fund ID \*, Distribution Mode \*, Payment Percentage, Rule Applicable for All Funds (checkbox), Payment Currency \*, Reinvestment Percentage, ISIN Code, Fund Name, Currency Name.
- Payment Details:** Payment Mode, Payment Type (Self).
- Third Party Details:** Third Party Reference, Address, City, US State/ Non-US State, ZIP Code.
- Transfer Details:** A/c No, Bank, Bank Name, A/c Type, Branch, A/c Ccy, A/c Holder Name, IBAN.

At the bottom, there is a metadata section with fields for Input by, Authorized by, DateTime, Mod No, Open, and Authorized, along with a 'Cancel' button.

### Payment Mode

*Optional*

From the drop-down list, select the mode in which the entity prefers to receive the paid portion of the income earned – either in the form of a check or an account transfer.

### Payment Type

*Optional*

From the drop-down list, indicate whether the check payment instrument must be addressed to the entity (self) or a third party.

### Third Party Details

You will be allowed to maintain the third party details if you have selected 'Third Party' for Payment Type.

#### Third Party Reference

*Alphanumeric; 255 Characters; Mandatory for 'Third Party' payment*

Specify the name or reference of the third party for which the check instrument must be made out.

#### Address

*Alphanumeric; 255 Characters; Mandatory for 'Third Party' payment*

Specify the address of the third party for which the check instrument must be made out.

**City**

*Alphanumeric; 20 Characters; Mandatory for 'Third Party' payment*

Select the city of residence of the third party for which the check instrument must be made out.

**US State/Non-US State**

*Alphanumeric; 20 Characters; Mandatory for 'Third Party' payment*

Select the state of residence of the third party for which the check instrument must be made out.

**Zip Code**

*Alphanumeric; 10 Characters; Mandatory for 'Third Party' payment*

Specify the zip code of the city of residence of the third party for which the check instrument must be made out.

**Transfer Details****A/c No**

*Alphanumeric; 34 Characters; Mandatory for Self payment type*

Select the bank account number to which the transfer payment of the income must be made.

The details of the account you select are displayed in the bank account details fields.

You must select a bank account number for which the currency is a valid fund bank account currency so that the income payment transfer can be affected.

---

**Note**

For commission payments for entities other than brokers, the account you specify here is used as the default settlement account. If IDS options have not been set for an entity, (and this account is not specified), settlement of commission payment is made to the entity's default bank account, specified in the Entity Maintenance.

---

**Bank Name**

*Alphanumeric; 12 Characters; Mandatory for Third Party transfer payment*

Select the name of the bank in which the transfer account is present, from the drop down list.

**Branch**

*Alphanumeric; 12 Characters; Mandatory for Third Party transfer payment*

Specify the branch name of the bank in which the transfer account is present.

**A/C Type**

*Display*

The system displays the account type (Fixed, Savings or Current) of the transfer account.

**A/C Ccy**

*Display*

The system displays the currency of the transfer account.

**A/C Holder Name**

*Display*

The system displays the name of the holder of the third party account.

## IBAN

### Display

The system displays the IBAN (International Bank Account Number) of the account holder.

### 3.9.3 Reinvestment Details Tab

As part of maintaining the reinvestment details, you can define the pattern in which the entity can reinvest income earnings back into the funds of the AMC. The entity can reinvest earned income in any of the following ways:

- Reinvest either in the entity's own default unit holder account, or another unit holder account. In the latter case, the unit holder in whose account the reinvestment is proposed (i.e., the Reinvestment Unit Holder) must belong to the same AMC as the source entity.
- Reinvest the income back into any of the funds of the AMC.
- Reinvest the income in as many target fund/unit holder combinations, subject to the constraints expressed above. This is again subject to the consideration that the sum of the percentages of reinvestment in all these combinations must be equal to 100.

---

#### Note

Reinvestment is only allowed into or out of a fund if so designated in the Corporate Actions profile for the fund and corporate action type.

---

If you have chosen either Both or Full Reinvestment as the distribution mode, specifying all information in this section is mandatory.

Click 'Reinvestment Details' tab to capture the details.

The screenshot shows the 'Income Distribution Setup Detail' window. At the top, there is a 'Save' button. Below it, the 'Client Information' section contains fields for 'Entity Type \*', 'Entity ID \*', 'Entity Name', and 'Description'. The 'Details' section includes 'Fund ID \*', 'Distribution Mode \*' (a dropdown menu), 'Payment Percentage', 'Rule Applicable for All Funds' (a checkbox), 'Payment Currency \*', 'Reinvestment Percentage', 'ISIN Code', 'Fund Name', and 'Currency Name'. Below these are tabs for 'Payment Details', 'Reinvestment Details' (which is selected), and 'Routing Details'. The 'Reinvestment Details' tab contains a table with the following columns: 'Reinvestment Unit Holder ID \*', 'Find UH', 'Reinvestment Unit Holder Name', 'Reinvestment Fund ID \*', 'Fund Name', and 'Split Pe'. The first row of the table has a 'Find UH' button in the second column. At the bottom of the window, there is a footer area with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

**Reinvestment Unit Holder ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the ID of the unit holder in whose account the income is to be reinvested. When you select the ID of the reinvestment unit holder, the name of the unit holder is displayed in the Reinvestment Unit Holder Name field.

The entity's default Unit Holder ID is displayed here. If necessary, you can change it.

You can also query reinvestment unit holder ID by clicking 'Find UH' button.

**Reinvestment Unit Holder Name**

*Display*

The system displays the name of the Unit Holder based on the Reinvestment Unit Holder ID.

**Reinvestment Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Select the ID of the fund in which the income is to be reinvested.

**Fund Name**

*Display*

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

**Split Percentage**

*Numeric; 5 Characters; Mandatory*

Specify the percentage of the derived income that is to be reinvested in the specified reinvestment unit holder's account, in the specified reinvestment fund. You can make any number of such entries, specifying a percentage for each combination. The sum total of all split percentages for all reinvestment unit holder – reinvestment fund ID combinations you have specified must be equal to one hundred percent.

### 3.9.4 Routing Details Tab

Click on the Routing Details tab to enter routing details.

The screenshot shows the 'Income Distribution Setup Detail' window with the 'Routing Details' tab selected. The form is organized into several sections:

- Client Information:** Fields for Entity Type, Entity ID, Entity Name, and Description.
- Details:** Fields for Fund ID, Distribution Mode, Payment Percentage, Payment Currency, Reinvestment Percentage, ISIN Code, Fund Name, and Currency Name. A checkbox for 'Rule Applicable for All Funds' is also present.
- Payment Details:** Fields for Swift Format and Bank Charged, with a 'Default' button.
- Beneficiary Details:** Fields for Beneficiary, Beneficiary Add1, Beneficiary Add2, Beneficiary Add3, Beneficiary BIC Code, Beneficiary Acct No, Beneficiary Code, and Beneficiary Info.
- Intermediary Details:** Fields for Intermediary, Intermediary Add1, Intermediary Add2, Intermediary Add3, Intermediary BIC Code, Intermediary Acct No, Intermediary Code, and Intermediary Info.

At the bottom of the form, there is a 'Cancel' button and a table with columns for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized'.

You need to maintain the following details:

#### SWIFT Format

*Optional*

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

- MT103
- MT202

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

#### Bank Charged

*Optional*

Indicate whether the bank charges must be levied upon the beneficiary, the remitter or must be shared between the two. The drop-down list displays the following values:

- Beneficiary
- Remitter
- Share

## **Beneficiary Details**

### **Beneficiary**

*Alphanumeric; 35 Characters; Optional*

Specify the beneficiary name.

### **Beneficiary Add 1-3**

*Alphanumeric; 105 Characters; Optional*

Specify the beneficiary address. There are three lines available for the same.

### **Beneficiary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Specify the BIC code of the beneficiary.

### **Beneficiary Acct No**

*Alphanumeric; 34 Characters; Optional*

Specify the account number of the beneficiary.

### **Beneficiary Code**

*Alphanumeric; 24 Characters; Optional*

Specify the code of the beneficiary.

### **Beneficiary Info**

*Alphanumeric; 100 Characters; Optional*

Enter more information about the beneficiary.

### **Beneficiary IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the beneficiary IBAN details.

## **Intermediary Details**

### **Intermediary**

*Alphanumeric; 35 Characters; Optional*

Specify the intermediary detail.

### **Intermediary Add 1-3**

*Alphanumeric; 105 Characters; Optional*

Specify the intermediary address. There are three lines available for the same

### **Intermediary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Specify the BIC code of the Intermediary.

### **Intermediary Acct No**

*Alphanumeric; 34 Characters; Optional*

Specify the account number of the Intermediary.

### **Intermediary Code**

*Alphanumeric; 24 Characters; Optional*

Specify the code of the Intermediary.



### **Intermediary Info**

*Alphanumeric; 100 Characters; Optional*

Enter more information about the Intermediary.

### **Intermediary IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the intermediary IBAN details.

### **Further Credit Details**

#### **Further Credit Name**

*Alphanumeric; 40 Characters; Optional*

Specify the further credit name.

#### **Further Credit Acct No**

*Alphanumeric; 35 Characters; Optional*

Specify the further credit account number.

### **Reference**

#### **Reference1**

*Alphanumeric; 35 Characters; Optional*

Specify reference details.

#### **Reference2**

*Alphanumeric; 35 Characters; Optional*

Specify reference details.

Save all the details to proceed or click Cancel button to cancel the operation.

## **3.10 Income Distribution Setup Summary**

This section contains the following topics:

- [Section 3.10.1, "Operations on Income Distribution Setup Records"](#)
- [Section 3.10.2, "Retrieving Income Distribution Setup Record"](#)
- [Section 3.10.3, "Editing Income Distribution Setup Parameters"](#)
- [Section 3.10.4, "Viewing Income Distribution Setup Record"](#)
- [Section 3.10.5, "Deleting Income Distribution Setup Record"](#)
- [Section 3.10.6, "Authorizing Income Distribution Setup"](#)
- [Section 3.10.7, "Amending Income Distribution Setup"](#)
- [Section 3.10.8, "Authorizing Amended Income Distribution Setup Details"](#)
- [Section 3.10.9, "Copying Attributes"](#)

### **3.10.1 Operations on Income Distribution Setup Records**

After you set up the IDS options for an entity in the Income Distribution Setup screen, you can perform any of the following operations before the record is authorized:

- Edit the specified options in the setup. At this stage, you can alter any of the details, other than the fund and the unit holder ID.
- Delete the setup.

After authorization, you can make changes to the options through an amendment operation. To perform any of these operations – Edit, Delete, Authorize or Amend, use the Income Distribution Setup Summary screen.

Invoke the 'Income Distribution Setup Summary' screen by typing 'UTSBRIDS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Income Distribution Setup Summary' application window. The window title is 'Income Distribution Setup Summary'. It features a search bar with options for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below the search bar, there is a section for search criteria including 'Authorization Status', 'Open', 'Entity ID', and 'Fund ID'. A table below the search criteria shows columns for 'Authorization Status', 'Open', 'Entity ID', 'Entity Type', 'Fund ID', 'Payment Currency', 'Product ID', 'Policy Number', 'Payment Percentage', and 'Re'. The table is currently empty. At the bottom of the window, there are buttons for 'Authorize', 'Delete', and 'Exit'.

### 3.10.2 Retrieving Income Distribution Setup Record

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

- Specify any or all of the following details in the Income Distribution Setup Summary screen:
  - The status of the record in the Authorization Status field. If you choose the “Blank Space” option, then all the records that involve are retrieved.
  - The status of the Income Distribution Setup record in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The Entity ID
  - The Entity Type
  - Fund ID
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve the individual Income Distribution Setup detail from the Detail screen by doing a query in the following manner:

- Press F7
- Input the Entity ID

- Press F8

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

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

Example

You can search the record for Entity ID by using the combination of % and alphanumeric value as follows:-

- Search by A%:- System will fetch all the records whose Entity ID starts from Alphabet 'A'. Ex: - AGC17, AGVO6, AGC74 etc.
- Search by %7:- System will fetch all the records whose Entity ID ends by numeric value '7'. Ex: - AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Entity ID contains the numeric value 17. Ex: - GSD217, GSD172, AGC17 etc.

### **3.10.3 Editing Income Distribution Setup Parameters**

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

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

### **3.10.4 Viewing Income Distribution Setup Record**

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

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

### **3.10.5 Deleting Income Distribution Setup Record**

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

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

### **3.10.6 Authorizing Income Distribution Setup**

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

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

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

### **3.10.7 Amending Income Distribution Setup**

After an Income Distribution Setup is authorized, it can be modified using the Unlock operation from Action list. To make changes to an income distribution setup after authorization:

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

### **3.10.8 Authorizing Amended Income Distribution Setup Details**

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

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

### **3.10.9 Copying Attributes**

If you want to create a new Income Distribution Setup having the same attributes of an existing Setup, you can copy the attributes of an existing Income Distribution Setup to a new Income Distribution Setup.

To copy the attributes:

- Retrieve the record whose attributes the new Income Distribution should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' from the Action list.
- Indicate the ID for the new Income Distribution Setup. You can however change the details of the new Income Distribution Setup if required.

## **3.11 Payment Details for Entities**

This section contains the following topics:

- [Section 3.11.1, "Setting up Payment Details for Entities"](#)

### **3.11.1 Setting up Payment Details for Entities**

You can define the payment details for entities, which would be used for commission payments, using the 'FCIS Entity Payment Maintenance Detail' screen. You can invoke the 'FCIS Entity Payment Maintenance Detail' screen by typing 'UTDENTPY' in the field at the top

right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

## **Entity Payment Details**

### **Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Select the type of entity for which the payment details are being defined.

### **Description**

*Display*

The system displays description of the specified entity type based on the details maintained at 'Single Entity Maintenance' level.

### **Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the ID for the entity for whom you are defining the payment details.

### **Entity Name**

*Display*

Based on your selection for Entity ID, the system displays the corresponding Entity Name.

## **Payment Options**

### **Next Payment Date**

*Date Format, Mandatory*

When you are setting up the Payment Details for the first time, specify the next payment date on which the entity is to receive commission payment.

### **Payment Frequency**

*Alphanumeric; 1 Character; Mandatory*

Specify the frequency at which commission payment is to be processed for the entity. The following commission payment frequencies are available:

- Daily
- Weekly
- Fortnightly
- Monthly
- Quarterly
- Half Yearly
- Yearly

If the next payment date is 1st June and Payment Frequency selected is Monthly then the next payment date will be 1st July

### **Payment Frequency Description**

*Display*

The system displays description of the selected payment frequency.

### **Last Processed Date**

*Display*

The system displays the last date when the entity commission was processed.

### **Last Payment No**

*Display*

The system displays the payment number of the entity commission which was processed last.

### **GST Applicable**

*Mandatory*

Indicate whether GST is applicable or not for the entity. The rate maintained will get added to commission amount.

### **GST Rate (%)**

*Numeric; 5 Characters; Mandatory (If you have indicated GST Applicable)*

If you have made GST applicable, specify the GST rate as a percentage.

GST applicable rate is for the entity payment

### **Min Amount Reference Currency**

*Alphanumeric; 3 Characters; Optional*

This indicates the currency of the minimum accrued amount that can be paid to the entity.

### **Reference Currency Description**

*Display*

The system displays currency name of the specified reference currency here.

**Min. Payment Amount (in Ref. Ccy)**

*Numeric; 30 Characters; Optional*

Stipulate the minimum accrued amount that can be paid out to the entity.

If the amount accrued for the payment period is less than the minimum amount specified, the system carries forward this amount to the next payment cycle.

For instance, if the commission is set to 100 USD, and if the computed commission falls below 100 USD then there will not be any payout made, once the commission exceeds 100 USD for the corresponding payment, then the payout will be made including the residual commission which was not paid earlier.

**Mode of Payment**

*Alphanumeric; 1 Character; Mandatory*

Select the mode of payment - Check or Transfer.

**Mode of Payment Description**

*Display*

The system displays description of the selected mode of payment.

**Include Trailer Fee?**

*Mandatory*

Select 'Yes' from drop-down list to indicate that trailing commission in respect of the entity must be paid out using the payment details you have specified.

**Hold Back Payment?**

*Mandatory*

Indicate if commission payment to the entity is to be held and not paid. If you select 'Yes' from the drop-down list, then all commission accrued is carried forward to the next cycle.

**Payment Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the payment currency. The adjoining option list displays all valid payment currencies maintained in the system. You can choose the appropriate one.

**Payment Currency Description**

*Display*

Upon selection of the payment currency, the system displays the description of the specified payment currency.

## **3.12 FCIS Entity Payment Maintenance Summary Screen**

This section contains the following topics:

- [Section 3.12.1, "Invoking the FCIS Entity Payment Maintenance Summary Screen"](#)
- [Section 3.12.2, "Retrieving an Entity Payment Record"](#)
- [Section 3.12.3, "Editing an Entity Payment Record"](#)
- [Section 3.12.4, "Viewing an Entity Payment Record"](#)
- [Section 3.12.5, "Delete an Entity Payment Record"](#)
- [Section 3.12.6, "Authorizing an Entity Payment Record"](#)
- [Section 3.12.7, "Amending an Entity Payment Record"](#)
- [Section 3.12.8, "Authorizing an amended Entity Payment Record"](#)
- [Section 3.12.9, "Copying Attributes"](#)



### 3.12.1 Invoking the FCIS Entity Payment Maintenance Summary Screen

You can invoke the 'FCIS Entity Payment Maintenance Summary' screen by typing 'UTSENTPY' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The following operations can be performed in the Fund Entity Payment Maintenance Summary screen:

- Retrieving an Entity Payment Record
- Editing an Entity Payment Record
- Viewing an Entity Payment Record
- Delete an Entity Payment Record
- Authorizing an Entity Payment Record
- Amending an Entity Payment Record
- Authorizing an amended Entity Payment Record
- Copying the Attributes

The screenshot displays the 'FCIS Entity Payment Maintenance Summary' application window. At the top, there is a search bar with options for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below the search bar, there are dropdown menus for 'Authorized' and 'Open', and input fields for 'Entity ID' and 'Entity Type'. A table below shows columns for 'Authorized', 'Open', 'Entity ID', and 'Entity Type', with 15 records per page. The table is currently empty. An 'Exit' button is located in the bottom right corner.

### 3.12.2 Retrieving an Entity Payment Record

To retrieve a previously entered exchange rate record:

- Invoke the Entity Payment Summary screen and specify the following:

- The authorization status of the exchange rate record in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
- The status of the exchange rate records in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
- Entity ID
- Entity Type
- After you have specified the required details, click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve an individual exchange rate detail from the Detail screen by doing query in the following manner:-

- Press F7
- Input the Entity ID
- Press F8

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

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

### **3.12.3 Editing an Entity Payment Record**

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

1. Invoke the Entity Payment Summary screen from the Browser.
2. Select the authorization status of the records that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
3. Specify any or all of the search parameters for retrieving the records.
4. Click 'Search'. All unauthorized exchange rate records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to modify. The Entity Payment Detail screen is displayed.
6. Select Unlock Operation from Action list to modify the record. Modify the necessary information.
7. Click Save to save the changes. The Entity Payment Detail screen is closed and the changes made are reflected in the Entity Payment Summary screen.

### **3.12.4 Viewing an Entity Payment Record**

To view the exchange rate details that you have previously entered:

1. Invoke the Entity Payment Summary Screen from the Browser.
2. Select the authorization status of the exchange rate records that you want to retrieve for viewing in the Authorized field. You can also view all the exchange rate records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
3. Specify any or all of the search parameters for retrieving the records.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.

5. Double click the record that you want to view. The Entity Payment screen Detail is displayed in view mode.

### **3.12.5 Delete an Entity Payment Record**

You can delete only unauthorized records in the system. To delete an exchange rate record:

1. Invoke the Entity Payment Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the currency record that you want to delete. The Entity Payment Detail screen is displayed.
6. Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **3.12.6 Authorizing an Entity Payment Record**

An unauthorized exchange rate record must be authorized in the system for it to come into effect. To authorize an exchange rate:

1. Invoke the Entity Payment Summary screen from the Browser.
2. Select the status of the exchange rate record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you wish to authorize. The Entity Payment screen displayed. Select Authorize operation from Action.

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

### **3.12.7 Amending an Entity Payment Record**

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

1. Invoke the Entity Payment Summary screen from the Browser.
2. Select the status of the record that you wish to retrieve for amendment. You can only amend records that are authorized.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to amend. The Entity Payment Detail screen is displayed in Amendment mode.
6. Click the Unlock operation from the Action list to amend the record.
7. Amend the necessary information. Click the Save button to save the changes

### 3.12.8 Authorizing an amended Entity Payment Record

An amended exchange rate record must be authorized for the amendment to be made effective in the system. The process of authorization is the same as the process of normal authorization.

### 3.12.9 Copying Attributes

If you want to create an entity type having the same attributes of an existing entity type, you can copy the attributes of an existing entity type to a new entity type.

To copy the attributes:

1. Retrieve the entity type whose attributes the new entity type should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
2. Click on 'Copy' in the Actions list.
3. Indicate the ID for the new entity type. You can however change the details of the entity type if required.

## 3.13 Consent Maintenance Detail

This section contains the following topics:

- [Section 3.13.1, "Invoking Consent Maintenance Detail Screen"](#)

### 3.13.1 Invoking Consent Maintenance Detail Screen

You can capture the consent details using 'Consent Maintenance Detail' screen. You can invoke this screen by typing 'UTDCONMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Consent Purpose *	Consent Details	Status	Submitted Date *	Valid From Date *	Valid Till Date *
		Accept			

You can specify the following details:

### **Consent Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the consent entity type. Alternatively, you can select consent entity type from adjoining option list. The list displays all valid consent entity type maintained in CONSENTENTITY Param code.

### **Description**

*Display*

The system displays the description for the selected consent entity type.

### **Consent Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

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

If you select 'U - Unit Holder ID' in 'Consent Entity Type' field, then 'Find UH' button will return unit holder details. If you select 'P - PAS Party ID', then 'Find UH' is not applicable.

### **Consent Details**

#### **Consent Purpose**

*Alphanumeric; 100 Characters; Mandatory*

Specify the purpose of consent. Alternatively, you can select consent purpose from adjoining option list. The list displays all valid consent purpose maintained in the CONSENTPURS param code.

#### **Consent Details**

*Alphanumeric; 255 Characters; Optional*

Specify the details of the consent.

#### **Status**

*Optional*

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

- Accept
- Withdraw

#### **Submitted Date**

*Date Format; Mandatory*

Select the date on when the consent request is received from the adjoining calendar.

#### **Valid From Date**

*Date Format; Mandatory*

Select the validity period from the adjoining calendar.

This field is applicable only if you have selected 'Status' field as 'Active'.

#### **Valid Till Date**

*Date Format; Mandatory*

Select the validity period from the adjoining calendar.

This field is applicable only if you have selected 'Status' field as 'Active'.

### **Withdrawal Date**

*Date Format; Optional*

Select the date of withdrawal from the adjoining calendar.

This field is applicable only if you have selected 'Status' field as 'Withdraw'.

## **3.14 Consent Maintenance Summary**

This section contains the following topics:

- [Section 3.14.1, "Retrieving a Record in Consent Maintenance Summary Screen"](#)
- [Section 3.32.2, "Editing Emergency Holiday Record"](#)
- [Section 3.32.3, "Viewing Emergency Holiday Record "](#)
- [Section 3.32.4, "Deleting Emergency Holiday Record"](#)
- [Section 3.32.5, "Authorizing Emergency Holiday Record "](#)
- [Section 3.33, "Emergency Holiday Transaction Processing"](#)
- [Section 3.14.6, "Authorizing Amended Consent Maintenance Record"](#)

### **3.14.1 Retrieving a Record in Consent Maintenance Summary Screen**

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

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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Consent Entity ID
- Consent Purpose
- Consent Entity Type

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

---

**Note**

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

- Press F7
  - Input the Source Code
  - Press F8
-

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

### **3.14.2 Editing Consent Maintenance Record**

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

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

Click Save to save your changes. The Consent Maintenance screen is closed and the changes made are reflected in the Consent Maintenance Summary screen.

### **3.14.3 Viewing Consent Maintenance Record**

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

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

### **3.14.4 Authorizing Consent Maintenance Record**

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



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

### **3.14.5 Amending Consent Maintenance Record**

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

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

### **3.14.6 Authorizing Amended Consent Maintenance Record**

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

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

## **3.15 Agents Setup**

Agents, as mentioned earlier, are conduits that the AMC uses for broad-basing its operations. Each Agent that will be operating for the AMC is given a unique profile in the system.

The term Agents as used in the system is distinct from Brokers. This distinction can be depicted as follows:

- **Level 1** : Fund Manager - representing the AMC
- **Level 2** : Agents - who act for the AMC
- **Level 3** : Agency branches - which act for the agents
- **Level 4** : Brokers - that interact with investors directly and mobilize investments from them

You can set up an Agent in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu item in the Maintenance menu category of the Browser menu.

To set up an agent in the Single Entity Maintenance screen, select the Agent option from the drop down list in the Entity Type field in the Common Information section, and then proceed to enter the details for the agent.

The attributes specific to maintaining agents are:

- Restrict Cross Banking Within Agent
- Agent Type
- Signed Off

Refer to the section 'Fields in the Single Entity Maintenance Screen' in this chapter for details.

## 3.16 Agent Level Rounding

Agent Level Unit rounding screen is available to capture rounding precision for units at agent level.

### **Design scope:**

Along with the existing Rounding Precision at fund level, Rounding Precision at agent level has been also considered during units rounding process.

- If the Agent level rounding is not maintained, then the fund level precisions will be considered.
- If the Agent level precisions are higher than the fund level, then the later will be considered.

This topic is better explained with the following sections,

- [Section 3.16.1, "Features in scope"](#)
- [Section 3.16.2, "Agent Level Unit Rounding Detail"](#)
- [Section 3.16.3, "Examples explaining the Rounding Precision for units"](#)

### 3.16.1 Features in scope

Below features are impacted in Agent Level Rounding enhancement,

- No. of Decimals for Units which is maintained for the Intermediary Agent, has to be considered during allocation along with the existing round off or truncate flag at the fund level.
- If TXNBROKERS is turned on, then the No. of Decimals for Units is not applicable.
- Lien marking/Unmarking (Block/Unblock) transactions are not in the scope of Agent Level Rounding. Fund Level rounding is continued for such Block/Unblock transactions.
- The latest available precision maintained for the agent has to be considered during allocation. Subsequent maintenance/amendment will not impact the allotted units.
- Rounding precision for units is applicable only for below mentioned Transactions.
  - IPO
  - Subscription
  - Redemption
  - Switch Transfer

### 3.16.2 Agent Level Unit Rounding Detail

The operations supported by this screen are New, Modify, Edit, Delete, Authorize, Close and Re-Open.

This section contains the following topic:

- [Section 3.16.2.1, "Invoking Agent Level Unit Rounding Detail screen"](#)

#### 3.16.2.1 Invoking Agent Level Unit Rounding Detail screen

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

You can specify the following details:

### Agent Code

*Alphanumeric; 12 Characters; Mandatory; Non amendable field*

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

### Agent Name

*Display*

The system displays the Agent Name for the selected Agent Code.

### No of Decimal for Units

*Mandatory; Amendable field*

Specify the number of decimals for units.

- Minimum value: The minimum value for the field will be 0.
- Maximum value: The maximum value for the field will be 12.
- Decimals values are not allowed for the field.

## 3.16.3 Examples explaining the Rounding Precision for units

Following examples explain the rounding precision for units. The different number of decimal for units at agent and fund level are considered and possible results are explained in the remark section.

Agent level Rounding precision for units:

Agent Code	No of Decimal For Units
ALRAGT1	2
ALRAGT2	8
ALRAGT3	0
ALRAGT4	Nil

Fund Level No. of Decimals for Units (at TPR> Pricing) for transaction types 02, 03, 04, 05 and 54:

Fund ID	Rounding Options For Units	Rounding Precision For Units
ALROFF	Round off	6

**Currency maintenance:**

The No. of decimals considered in currency maintenance is as follows,

Number Of Decimals	Round Off/ Truncate
3	Round off

The following Gross amount Subscriptions shows the rounding precision for the allotted units, which is arrived according to the unit rounding precision maintained at Fund level and Agent level as mentioned above.

Txn Type	Fund ID	UH ID	Intermediary Agent	Amount Applied	Unit Price	Load (5%)	Load 1000	Net Amt In FBC	Allotted Units
02	ALROFF	UH1	ALRGT1	100000	9.4573	5000	0.027	95000.027	9950.46
02	ALROFF	UH2	ALRGT2	99500	9.4573	4975	-	94525.000	9900.704911
02	ALROFF	UH3	ALRGT3	100000	9.4573	5000	4.365	94995.635	9950
02	ALROFF	UH4	ALRGT4	107000	9.4573	5350	-	101650.000	10646.989201

**Remarks:**

From the above,

- Allotted units for UH 1 is 9950.46, because the rounding precision for units maintained at Agent level is (2) and at Fund level is (6). So the system considered the lowest precision of 2 decimals (Agent level).
- Allotted units for UH 2 is 9900.704911, because the rounding precision for units maintained at Agent level (8) is greater than Fund level (6). So the system considered the lowest precision (TPR).
- Allotted units for UH 3 is 9950, because the rounding precision for units maintained at Agent level (0) is lesser than Fund level (6). So the system considered the lowest precision (Agent).
- Allotted units for UH 4 is 10646.989201, because the rounding precision is not maintained for the Agent and so the system considered the Fund level maintenance (TPR) which is 6 decimals.

## 3.17 Agent Level Unit Rounding Summary

This section contains the following topics:

- [Section 3.17.1, "Retrieving a Record in Agent Level Unit Rounding Summary Screen"](#)
- [Section 3.17.2, "Editing Agent Level Unit Rounding Record"](#)
- [Section 3.17.3, "Viewing Agent Level Unit Rounding Record"](#)
- [Section 3.17.4, "Authorizing Agent Level Unit Rounding Record"](#)
- [Section 3.17.5, "Amending Agent Level Unit Rounding Record"](#)
- [Section 3.17.6, "Authorizing Agent Level Unit Rounding Record"](#)

### 3.17.1 Retrieving a Record in Agent Level Unit Rounding Summary Screen

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

Invoke the 'Agent Level Unit Rounding Summary' screen by typing 'UTSAGLUR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

The screenshot displays the 'Agent Level Unit Rounding Summary' application window. At the top, there are search options: 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, a search bar contains the text 'Search Is Case Sensitive'. Two dropdown menus are visible: 'Authorization Status' and 'Record Status'. An 'Agent Code' field with a search icon is also present. A navigation bar shows 'Records per page' set to 15, '1 of 1' records, and a 'Go' button. Below the navigation bar is a table with the following columns: 'Authorization Status', 'Record Status', 'Agent Code', and 'No of Decimal For Units'. The table is currently empty. An 'Exit' button is located in the bottom right corner of the window.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Agent Code

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

---

**Note**

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

- Press F7
  - Input the Source Code
  - Press F8
- 

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

### **3.17.2 Editing Agent Level Unit Rounding Record**

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

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

Click Save to save your changes. The Agent Level Unit Rounding screen is closed and the changes made are reflected in the Agent Level Unit Rounding Summary screen.

### **3.17.3 Viewing Agent Level Unit Rounding Record**

To view a record that you have previously input, you must retrieve the same in the Agent Level Unit Rounding Summary screen as follows:

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

### **3.17.4 Authorizing Agent Level Unit Rounding Record**

- An unauthorized Agent Level Unit Rounding record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the Agent Level Unit Rounding Summary screen from the Browser.

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

### **3.17.5 Amending Agent Level Unit Rounding Record**

After a Agent Level Unit Rounding record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the Agent Level Unit Rounding Summary screen from the Browser.
- Select the status of the record that you want to retrieve to amend. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to amend. The Agent Level Unit Rounding screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **3.17.6 Authorizing Agent Level Unit Rounding Record**

An amended Agent Level Unit Rounding record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module.

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

## **3.18 Agency Branches Setup**

Agency branches in the system perform the role of accepting new unit holder related information and transactions from unit holders in various funds.

Only such agency branches as are set up using this screen can have Oracle FLEXCUBE installations.

You can set up an Agency Branch in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu item in the Browser. To set up an agency branch, select the Agency Branch option from the drop down list in the Entity Type field and then proceed to enter the details for the agency branch

The Agent Code - Branch Code combination should be unique, and not already in use for any other entity in the system. If so, an error message is displayed when you save the record.

## **3.19 AMC Setup**

You can enter the record of an AMC into the system, by creating it as an entity.

You can set up an AMC in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up an AMC, select the AMC option from the drop down list in the Entity Type field and then proceed to enter the details for the AMC. You must specify all information such as the common information, basic information and contact details for any AMC that you set up.

---

**Note**

AMCs can only be maintained at Distributor installations. At an AMC installation, the profile of the logged in AMC can be viewed in the Single Entity screen, but a new profile cannot be created.

---

The attributes specific to setting up of AMC's are:

- Weekend
- Section
- Switching Logic
- UH Generation Logic
- Nature of Business
- Effective Date for Capital Gains Calculations
- Finware Posting
- Address Details

*Refer to the section 'Fields in the Single Entity Maintenance Screen' in this chapter for details on each of these attributes.*

## **3.20 Distributors Setup**

The details that must be captured for a distributor are the same as those you capture for an AMC.

If your installation is a distributor installation, you can view the record of the default distributor in this screen. You can edit the profile. You cannot, however, create a new distributor record in this screen. The distributor installation feature is only available if your installation has specifically requested for it.

This section contains the following topics:

- [Section 3.20.1, "Invoking Distributor Rules Details Screen"](#)



### 3.20.1 Invoking Distributor Rules Details Screen

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

The screenshot shows the 'Distributor Rules Detail' window with the following fields and options:

- SI Maintenance:**
  - Agent Code\* (text input with search icon)
  - Fund ID\* (text input with search icon)
  - Rule Effective Date\* (calendar icon)
- Details:**
  - Transaction Type\* (text input with search icon)
  - Default SI Frequency\* (Select One dropdown)
  - Holiday Rule\* (Prior dropdown)
  - Calendar Basis\* (System Calendar dropdown)
  - Rule Effective Date (calendar icon)
  - Account Type\* (text input with search icon)
  - Enforce Generation\* (No dropdown)
  - SI Generation Freq.\* (Select One dropdown)
- SI Details:**
  - Specific Gen.Day (text input)
  - SI Minimum Amount (text input)
  - SI Minimum Units (text input)
  - SI Cut-Off Day (text input)
  - Max No. of SI Txns (text input)
  - Last Day of SI Gen Cycle (No dropdown)
  - SI Description (text input with search icon)
  - SI Maximum Amount (text input)
  - SI Maximum Units (text input)
  - SI Cut-Off Lag (text input)
  - Max. Validity(Days) (text input)
- Footer:**
  - Input by (text input)
  - Authorized by (text input)
  - DateTime (text input)
  - Mod No (text input)
  - Record Status (text input)
  - Authorization Status (text input)
  - Ok (button)
  - Cancel (button)

You can specify the following details:

#### **SI Maintenance**

##### **Agent Code**

*Alphanumeric; 12 Characters; Mandatory*

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

##### **Fund ID**

*Alphanumeric; 12 Characters; Mandatory*

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

##### **Rule Effective Date**

*Date Format; Mandatory*

Select rule effective date from the adjoining calendar.

## **Details**

### **Transaction Type**

*Alphanumeric; 2 Characters; Mandatory*

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

### **Default SI Frequency**

*Mandatory*

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

- Daily
- Weekly
- FortNightly
- Monthly
- Quarterly
- Half-Yearly
- Yearly

### **Holiday Rule**

*Mandatory*

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

- Prior
- After

### **Calendar Basis**

*Mandatory*

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

- System Calendar
- Actual Calendar
- Fund Calendar

### **Rule Effective Date**

*Date Format; Optional*

Select rule effective date from the adjoining calendar.

### **Account Type**

*Alphanumeric; 2 Characters; Mandatory*

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

### **Enforce Generation**

*Mandatory*

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

- Yes
- No

### **SI Generation Freq.**

*Mandatory*

Select the frequency for generating the SI from the drop-down list. The list displays the following values:

- Monthly
- Quarterly
- Half-Yearly
- Yearly

### **SI Details**

#### **Specific Gen.Day**

*Alphanumeric; 2 Characters; Optional*

Specify the specific generation day.

#### **SI Minimum Amount**

*Numeric; 30 Characters; Optional*

Specify the SI minimum amount.

#### **SI Minimum Units**

*Numeric; 27 Characters; Optional*

Specify the SI minimum units.

#### **SI Cut-Off Day**

*Numeric; 2 Characters; Optional*

Specify the SI cut-off day.

#### **Max No. of SI Txns**

*Numeric; 4 Characters; Optional*

Specify the maximum number of SI transactions.

#### **Last Day of SI Gen Cycle**

*Optional*

Select 'Yes' from the drop-down list to indicate the last day of the SI generation cycle. Else, select 'No'.

#### **SI Description**

*Alphanumeric; 255 Characters; Optional*

Specify SI description.

#### **SI Maximum Amount**

*Numeric; 30 Characters; Optional*

Specify the SI maximum amount.

#### **SI Maximum Units**

*Numeric; 27 Characters; Optional*

Specify the SI maximum units.

#### **SI Cut-Off Lag**

*Numeric; 1 Character; Optional*

Specify the SI cut-off lag.

#### **Max. Validity(Days)**

*Numeric; 4 Characters; Optional*

Specify maximum validity period in days.

## 3.21 Distributor Rules Summary

This section contains the following topics:

- [Section 3.21.1, "Retrieving Record in Distributor Rules Summary Screen"](#)
- [Section 3.21.2, "Editing Record in Distributor Rules Summary Screen"](#)
- [Section 3.21.3, "Viewing Distributor Rules Record"](#)
- [Section 3.21.4, "Deleting Distributor Rules Record"](#)
- [Section 3.21.5, "Authorizing Distributor Rules Record"](#)
- [Section 3.21.6, "Amending Distributor Rules Record"](#)
- [Section 3.21.7, "Authorizing Amended Distributor Rules Record"](#)

### 3.21.1 Retrieving Record in Distributor Rules Summary Screen

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

Invoke the 'Distributor Rules Summary' screen by typing 'UTSDISSI' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. You can perform the following operations in 'Distributor Rules Summary' screen:

Distributor Rules Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Agent Code  Fund ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Agent Code	Fund ID	Rule Effective Date
----------------------	---------------	------------	---------	---------------------

Exit

Specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.

- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Agent Code
- Fund ID

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

### **3.21.2 Editing Record in Distributor Rules Summary Screen**

You can modify the details of a record in Distributor Rules Detail screen that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

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

### **3.21.3 Viewing Distributor Rules Record**

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

- Invoke the Distributor Rules Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Distributor Rules Detail screen is displayed.

### **3.21.4 Deleting Distributor Rules Record**

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

- Invoke the Distributor Rules Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to modify in the list of displayed records. The Distributor Rules Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **3.21.5 Authorizing Distributor Rules Record**

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

- Invoke the Distributor Rules Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only authorize unauthorized records. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Distributor Rules Detail screen is displayed.
- Select Authorize operation from the Action List.

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

### **3.21.6 Amending Distributor Rules Record**

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

- Invoke the Distributor Rules Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Distributor Rules Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

### **3.21.7 Authorizing Amended Distributor Rules Record**

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

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

## **3.22 Bank Details Maintenance**

This section contains the following topics:

- [Section 3.22.1, "Maintaining Bank Details"](#)

- [Section 3.22.2, "Bank Branch Entity Maintenance"](#)
- [Section 3.22.3, "Registrars Setup"](#)
- [Section 3.22.4, "Trustees Setup"](#)
- [Section 3.22.5, "Check Vendors Setup"](#)
- [Section 3.22.6, "Underwriters Setup"](#)
- [Section 3.22.7, "Custodians Setup"](#)
- [Section 3.22.8, "Accounting and Valuation Agents Setup"](#)
- [Section 3.22.9, "Participating Employers Setup"](#)
- [Section 3.22.10, "Paying Agents Setup"](#)

### **3.22.1 Maintaining Bank Details**

You can enter the record of a bank into the system, by creating it as an entity.

You can set up a bank in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up a bank, select the Bank option from the drop-down list in the Entity Type field, and then proceed to enter the details for the bank.

### **3.22.2 Bank Branch Entity Maintenance**

You can enter the record of a branch of a bank into the system, by creating it as an entity.

You can set up a bank branch in the Single Entity Maintenance screen. Invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up a bank branch, select the Bank Branch option from the drop down list in the Entity Type field in the Common Information section, and then proceed to enter the details for the bank branch.

You must specify all information such as the common information, basic information and contact details for all bank branches that you set up. You must also capture the following additional details specifically for bank branches

### **3.22.3 Registrars Setup**

You can enter the record of a registrar into the system, by creating it as an entity.

You can set up a registrar in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up a registrar, select the Registrar option from the drop down list in the Entity Type field and then proceed to enter the details for the registrar.

### **3.22.4 Trustees Setup**

You can enter the record of a trustee into the system, by creating it as an entity.

You can set up a trustee in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up a trustee, select the Trustee option from the drop down list in the Entity Type field and then proceed to enter the details for the trustee. You must specify all information such as

the common information, basic information and contact details for all trustees that you set up. You must also capture the following additional details specifically for trustees:

### **3.22.5 Check Vendors Setup**

The AMC may issue checkbooks to investors who wish to avail the check writing facility. Such checkbooks are typically printed by external agencies called check vendors. You can also maintain records for check vendors as entities in the system. For check vendors, you can maintain basic details such as contact information, signatories and base currency.

You can set up a check vendor in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up a check vendor, select the Check Vendor option list in the Entity Type field and then proceed to enter the details for the vendor. You must specify all information such as the common information, basic information and contact details for all check vendors that you set up.

---

#### **Note**

You must associate a check vendor that you create a record for, to the fund for which investors avail the check writing facility. You can indicate the association in the Fund Entity screen.

---

### **3.22.6 Underwriters Setup**

Underwriters are entities to which the AMC would pay trailing commission and ongoing management fees for underwriting any of the funds floated by the AMC. You can also maintain records for underwriters as entities in the system. For underwriters, you can maintain basic details such as contact information, signatories and base currency.

You can set up an underwriter in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up an underwriter, select the Underwriter option from the drop down list in the Entity Type field in the Common Information section, and then proceed to enter the details for the underwriter. You must specify all information such as the common information, basic information and contact details for all underwriters that you set up.

---

#### **Note**

You must associate an underwriter that you create a record for, to the fund for which investors avail the check writing facility. You can indicate the association in the Fund Entity screen. You can also associate an underwriter with the trailing fee load due to the underwriter, in the Periodic Load Maintenance screen.

---

### **3.22.7 Custodians Setup**

You can also maintain records for custodians as entities in the system. For custodians, you can maintain basic details such as contact information, signatories and base currency.

You can set up a custodian in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.



To set up a custodian, select the Custodian option in the Entity Type field and then proceed to enter the details for the vendor. You must specify all information such as the common information, basic information and contact details for all custodians that you set up.

### **3.22.8 Accounting and Valuation Agents Setup**

You can enter the record of an accounting and valuation agent into the system, by creating it as an entity, in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up an accounting and valuation agent, select the Account and Valuation Agent option from the drop down list in the Entity Type field in the Common Information section, and then proceed to enter the details for the agent. You must specify all information such as the common information, basic information and contact details for all agents that you set up.

You must also capture the following additional details specifically for accounting and valuation agents:

### **3.22.9 Participating Employers Setup**

You can maintain records for participating employers as entities in the system. For participating employers, you can maintain basic details such as contact information, signatories and base currency.

You can set up a participating employer in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up a participating employer, select the Participating Employer in the Entity Type field and then proceed to enter the details. You must specify all information such as the common information, basic information, bank details and contact details for all participating employers that you set up.

### **3.22.10 Paying Agents Setup**

You can maintain records for paying agents as entities in the system. For paying agents, you can maintain basic details such as contact information, signatories and base currency.

You can set up a paying agent in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up a paying agent, select the Paying Agent option from the drop down list in the Entity Type field in the Common Information section, and then proceed to enter the details. You must specify all information such as the common information, basic information, and contact details for all paying agents that you set up.

## **3.23 Unit Holder Bank Verification Summary**

This section contains the following topics:

- [Section 3.23.1, "Invoking Bank Verification Summary"](#)

### 3.23.1 Invoking Bank Verification Summary

You can verify unit holder bank details using 'Unitholder Bank Verification Summary' screen. You can invoke this screen by typing 'UTDUHBVR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Unit Holder ID	Bank	Branch	Account Type	Account Number	IBAN	Account Name

You can specify the following details:

#### **Unit Holder ID**

*Alphanumeric; 12 Characters; Optional*

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

#### **Unit Holder Name**

*Display*

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

#### **CIF Number**

*Display*

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

After specifying unit holder ID, click 'Bank Details' button. The system displays the following values:

- Unit Holder ID
- Bank

- Bank Branch
- Account Type
- Account Number
- IBAN
- Account Name
- Account Currency
- Account Category
- Current Status

#### **Status**

##### *Optional*

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

- Verified
- Failed

#### **Process**

##### *Optional*

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

- Yes
- No

## **3.24 Setting up ISA Fund Managers**

You can maintain records for ISA Managers as entities in the system. For ISA Fund Managers, you can maintain details such as ISA Reference Number, Minimum ISA Transfer in and Minimum ISA Transfer Out.

You can set up an ISA Manager in the Single Entity Maintenance screen. You can invoke this screen by clicking the Detail option under the Entity menu in the Browser.

To set up an ISA Fund Manager, select the ISA Fund Manager option (entity 2) from the drop down list in the Entity Type field in the Common Information section, and then proceed to enter the details. You must specify all information such as the common information, basic information, and contact details for all ISA Managers that you set up.

During Unit holder Modify operation, if ISA unit holder resident status is changed, then the system will display the warning message as 'This is an existing ISA account and will affect future investments'

You can then change RPO code accordingly to disallow transactions into this account. The system will display an error message if you try to open more accounts than the limit specified at the account type maintenance level.

## **3.25 Withholding Tax**

This section contains the following topics:

- [Section 3.25.1, "Setting up Withholding Tax"](#)
- [Section 3.25.2, "Computation of Withholding Tax"](#)

### 3.25.1 Setting up Withholding Tax

You can configure the system to perform withholding tax (WHT) deductions out of the earnings derived from any investor or a broker. To do this, you must specify the slabs according to which the rates will be determined. WHT is deducted from the earnings of an investor or a broker, according to the WHT slabs that you maintain in the system, before the net earnings are paid out or reinvested depending upon the Income Distributions Setup.

You can maintain such slabs for earnings from cash dividends that involve capital gains as well as income earnings.

In the system, you maintain the slab details for WHT Input in the 'FCIS Withholding Tax Setup Detail' screen. You can invoke this screen by typing 'UTDWHTAX' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

FCIS WithholdingTax Setup Detail

Save

Sequence Number

**Withholding Tax Maintenance**

Entity Type \* UnitHolder

Effective Date \* MMDDYYYY

Investor Status \*

Investor Status Name

Round Off / Truncate \*

Tax Computation Currency \*

Tax Computation Currency Name

Product ID

Product Name

Fund Base Currency

ISIN Code

Entity Category \*

Category Name

Tax ID \*

Tax Component Name

Round Off / Truncate Rule

Tax Payment Currency \*

Tax Payment Currency Name

Dividend Component ID \*

Component Description

Fund ID

Allow Override No

**Country Details**

Country Code *	Country Name	Currency Code	Currency Name
<input checked="" type="checkbox"/>			
<input checked="" type="checkbox"/>			

Input by      DateTime      Mod No      Open

Authorized by      DateTime      Authorized

Ok      Cancel

You can use this screen to enter the Withholding Tax component slab details that are applicable:

- For a particular investor category
- For a broker category
- For a particular country and currency
- For a specific fund and fund base currency
- For a specific product
- For investors of local residence as well as foreign investors
- For earnings from cash dividends involving capital gains

- For income earnings from cash dividends

You can either choose to set up tax slabs at the fund level or at the product level. Product level WHT applies to all funds available in that product portfolio.

You can also give each set of slabs a separate tax component ID.

You can define slabs for different income ranges and give each of the slabs a sequence number. You cannot, however, set up duplicate tax slab sequences for the same investor category.

Before you set up the Withholding Tax details for an investor category for a country, it is desirable to ensure that the following information is already set up in the system:

- The countries have been maintained in the Country Maintenance and the currencies have been set up in the Currency Maintenance.
- The countries have been associated with currencies in the Country Currency Maintenance.
- The different investor and broker categories have been maintained in the System Parameters.

Specify the following fields in this screen:

**Sequence Number**

*Alphanumeric 16 Characters; Optional*

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

---

**Note**

This field is enabled only in 'Enter Query' option.

---

**Withholding Tax Maintenance**

**Entity Type**

*Mandatory*

Indicate whether the WHT slabs are being maintained to be applicable to an Unit Holder or a broker from the drop-down list. The values in drop-down list are as follows:

- Unit Holder
- Broker

**Entity Category**

*Alphanumeric; 6 Characters; Mandatory*

Specify a valid category of the unit holder you need to assign to specified entity type. The adjoining option list displays all valid entity categories maintained. You can select the appropriate one.

**Category Name**

*Display*

The system displays unit holder's category name, if the 'Entity Type' is maintained as 'Unitholder'.

**Effective Date**

*Date Format; Mandatory*

Specify the date the system should consider for calculating tax.

**Investor Status**

*Alphanumeric, 1 Character; Mandatory*

You will be allowed to select the status if the entity type is 'Unit Holder'. Select the status for which this tax slab is applicable. The system displays the corresponding 'Investor Status Name'. This will enable the system to decide which tax slab needs to be applied depending on whether the unit holder is a foreign / resident unit holder.

If the entity type is a broker, the system defaults the investor status. You will not be able to modify the status.

**Investor Status Name**

*Display*

The system displays the description for the selected investor status name.

**Tax ID**

*Alphanumeric, 3 Characters; Mandatory*

From the list, select the tax ID to be used for application of withholding tax according to the slabs maintained, for the entity type. The system displays the associated Tax Component Name.

Each set of slabs can be given an ID that reflects the nature of the slabs.

The value list for the Tax ID's is obtained from the system parameter values maintained for the Tax ID system parameter code.

**Tax Component Name**

*Display*

The system displays the description for the selected tax ID.

**Roundoff/Truncate**

*Alphanumeric; 1 Character; Mandatory*

Indicate whether the decimal portion of the amount should be rounded off or truncated.

**Round Off/ Truncate Rule**

*Display*

The system displays the rule used to round off or truncate the decimal portion of the amount based on the roundoff or truncate selected.

**Tax Computation Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the currency in which the tax must be computed for the selected tax ID. By default, it is reckoned to be the currency of the selected country. You will be allowed to specify the currency only for Unit Holders.

**Tax Computation Currency Name**

*Display*

The system displays the description for the selected tax computation currency code.

**Tax Payment Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the currency in which the tax must be paid for the selected tax ID. By default, it is reckoned to be the fund base currency. You will be allowed to specify the currency only for Unit Holders.

**Tax Payment Currency Name**

*Display*

The system displays specified tax payment currency name based on the details maintained at 'Currency Maintenance' level.

**Product ID**

*Alphanumeric; 10 Characters; Optional*

Select the product for which you are setting up the tax slabs. The option list contains all valid products maintained in the system. With-Holding Tax will be applicable to all funds mapped to the product. GL entries will be populated with the respective product Id and policy number along with the dividend payment details and tax details.

**Product Name**

*Display*

The system displays the name of the product for the selected product ID.

**Dividend Component ID**

*Alphanumeric; 25 Characters; Mandatory*

Specify whether the tax slab details being maintained apply to capital gains earnings from cash dividends or income earnings from cash dividends, for the fund.

The system defaults the Dividend Component ID and Description for brokers. You will not be able to modify the ID.

**Component Description**

*Display*

The system displays the description for the selected dividend component ID.

**Fund ID**

*Alphanumeric; 6 Characters; Optional*

Select the fund for which you are setting up the tax slabs. The base currency of the fund is displayed in the Fund Base Currency Code field.

**Fund Base Currency**

*Display*

The system displays the fund base currency name for the selected fund ID.

**ISIN Code**

*Display*

The system displays the ISIN code for the selected fund ID.

This is applicable only for Unit Holder type of entity. If you specify the ISIN Code of a fund, the ID of the fund is displayed in the Fund ID field.

**Allow Override**

*Optional*

Select if you need to override the taxation applicability for UT /LEP or not from the adjoining drop-down list. Following are the options available:

- Yes
- No

## **Country Details**

### **Country Code**

*Alphanumeric; 3 Characters; Mandatory*

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

This is the country for which the tax slabs that are being set up must be applicable. All tax deductions and computations will be done in this currency.

### **Country Name**

*Display*

The system displays the country name for the selected country code.

### **Currency Code**

*Display*

The system displays the currency code for the selected country code.

### **Currency Name**

*Display*

The system displays the currency code for the selected country code.

## **Tax Details section**

In the lower grid portion of the screen, maintain the details of each slab, as follows:

### **Slab Sequence No**

*Numeric; 22 Characters; Optional*

Enter the slab number for this investor category tax definition.

### **Income From**

*Numeric; 30 Characters; Mandatory*

Specify the minimum income for which this tax slab definition is applicable, for the specified investor category. This slab will apply to incomes that range between the values you specify in this field and the Income To field for the specified investor category.

### **Income To**

*Numeric; 30 Characters; Mandatory*

Specify the maximum income for which this tax slab definition is applicable, for the specified investor category. This slab will apply to incomes that range between the values you specify in this field and the Income From field, for the specified investor category.

### **Tax Percent**

*Numeric; 5 Characters; Mandatory*

Enter the Tax Percent that is applicable to the given Investor category in the specified slab. This percentage may be equal to or below one hundred percent, but not greater.

### **No of Decimals for Tax**

*Numeric; 1 Character; Mandatory*

Indicate the rounding precision or the number of decimals to be applied on the withholding tax amount pertaining to the slab. The decimal portion of the amount will be rounded off or truncated to the number of decimal places you specify here.



### **3.25.2 Computation of Withholding Tax**

Withholding tax is computed for funds for cash dividend corporate action types only. This is applicable for normal UT investments. Dividend tax can be computed based on the source product and With-Holding Tax maintained for the product. For stock dividends, the TDS Basis maintained in Corporate Actions profile is "Tax-exempt", and the tax is not computed.

For each tax component, the computation currency and payment currency may be specified as two different currencies, so as to enable payment to be made in the desired currency. By default, when you set up a withholding tax record for a fund, investor category and country combination, the computation currency is deemed to be the currency of the country and the payment currency is deemed to be the fund base currency.

## **3.26 Withholding Tax Setup Summary Screen**

This section contains the following topics:

- [Section 3.26.1, "Invoking the Withholding Tax Setup Summary Screen"](#)
- [Section 3.26.2, "Retrieving Withholding Tax Details Record"](#)
- [Section 3.26.3, "Editing Withholding Tax Setup Record"](#)
- [Section 3.26.4, "Viewing Withholding Tax Setup Record"](#)
- [Section 3.26.5, "Deleting Withholding Tax Setup Record"](#)
- [Section 3.26.6, "Authorizing Withholding Tax Setup"](#)
- [Section 3.26.7, "Amending Withholding Tax Setup Parameters"](#)
- [Section 3.26.8, "Authorizing Amended Withholding Tax Setup Parameters"](#)
- [Section 3.26.9, "Copying Attributes"](#)

### **3.26.1 Invoking the Withholding Tax Setup Summary Screen**

After you have set up the WHT details, you must have another user authorize them so that they would be effective in the system.

Before the WHT details are authorized, you can edit them as many times as necessary. You can also delete a WHT record before it is authorized.

After authorization, you can only make changes to WHT details through an amendment.

The With-Holding Tax Find screen can be used for the following operations on WHT details:

- Retrieval for viewing
- Editing unauthorized details
- Disabling unauthorized details if necessary. This is possible during editing or amendment.
- Authorizing details
- Amending authorized details

Invoke the 'FCIS Withholding Tax Setup Summary' screen by typing 'UTSWHTAX' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

### 3.26.2 Retrieving Withholding Tax Details Record

You can retrieve a previously entered entity in the Summary screen, as follows:

- Invoke FCIS Withholding Tax Setup Summary screen and specify the following:
  - The status of the entity in the Authorized field. If you choose the “Blank Space” option, then all the entities are retrieved.
  - The status of the entity in the Open field. If you choose the “Blank Space” option, then all the entities are retrieved.
  - Sequence Number
  - Entity Category
  - Entity Type
  - Investor Status
  - Effective Date
  - Fund ID
  - Tax ID
  - Dividend Component ID
  - Product ID

- After you have specified the required details, click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

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

- Press F7
  - Input any Withholding Tax setup parameter
  - Press F8
- 

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

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

### **3.26.3 Editing Withholding Tax Setup Record**

You can modify the details of a withholding tax setup record that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

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

### **3.26.4 Viewing Withholding Tax Setup Record**

To view a withholding tax setup record that you have previously entered:

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

### **3.26.5 Deleting Withholding Tax Setup Record**

You can delete only unauthorized records in the system. To delete a withholding tax setup record:

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

### **3.26.6 Authorizing Withholding Tax Setup**

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

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

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

### **3.26.7 Amending Withholding Tax Setup Parameters**

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

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

### 3.26.8 Authorizing Amended Withholding Tax Setup Parameters

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

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

### 3.26.9 Copying Attributes

If you want to create a withholding tax setup having the same attributes of an existing record, you can copy the attributes of an existing tax setup to a new tax setup.

To copy the attributes:

- Retrieve the entity whose attributes the new entity should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the ID for the new Entity. You can however change the details of the entity if required.

## 3.27 UH Dividend Component Override

This section contains the following topic:

- [Section 3.27.1, "Invoking UH Dividend Component Override Screen"](#)

### 3.27.1 Invoking UH Dividend Component Override Screen

You can override the tax rate for an UH- component combination. You can also mention the policy number for which the new tax rate has to be applicable using 'UH Dividend Component Override' screen. You can invoke this screen by typing 'UTDDCTRO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

UH Dividend Component Override Detail

Save

Unit Holder ID \*  UH FIND

Policy Number \* ALL  UH Name

Effective From Date \* MM/DD/YYYY  Effective To Date \* MM/DD/YYYY

Dividend Component ID \*  Tax Percent \*

Dividend Component Description

Additional Information Details

Other Info Field	Field Value
------------------	-------------

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

Ok Cancel

You can specify the following details:

**Unit Holder ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the unit holder for which the new tax rate has to be defined.

You can also query unit holder ID by clicking 'UH FIND' button.

**UH Name**

*Display*

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

**Policy Number**

*Alphanumeric; 16 Characters; Mandatory*

Specify the policy number for which the new tax rates to be applied. By default ALL will be selected.

- If the policy number field value is maintained as 'ALL' (system default value) then the new tax defined for a Unit holder and component combination with the new dates and rates will be applicable across LEP and UT.
- If the default value in the policy field is maintained as 'UT' then the override maintained will be applicable for the UH and component only (applicable for UT alone).
- If you specify the policy number then the new tax defined for a Unit holder and component combination with the new dates and rates will be applicable for the specified policy number alone and will not be applicable for any other fund where the component ID is mapped for a dividend process

**Effective From Date**

*Date Format; Mandatory*

Specify effective from date for the tax rate to be applicable.

**Effective To Date**

*Date Format; Mandatory*

Specify effective to date for the tax rate to be applicable.

**Dividend Component ID**

*Alphanumeric; 2 Characters; Mandatory*

Specify dividend component ID for which the new tax rate has to be defined.

**Dividend Component Description**

*Display*

The system displays the description for the selected dividend component ID.

**Tax Percent**

*Numeric; 5 Characters; Mandatory*

Specify the tax percent for the slab being defined.

The system will check if there is new tax rate for the UH- component combination and withhold the tax as per the new effective date and rate maintained.

---

**Note**

The new tax defined for a Unit holder and component combination with the new dates and rates will be applicable across UT and LEP wherever the component is mapped for the UH.

---

**Additional Information Details****Other Info Field***Display*

The system displays the other information.

**Field Value***Display*

The system displays the field value.

The system will allow 30 add info details along with other operations. For instance, at the 'Entity Additional Information Mapping (UTDENMAP)' the entity type will be '5' and description will be 'Override WHT'.

**3.27.1.1 Processing UH Dividend Component Override**

The system will check if there is new tax rate for the UH- component combination and withhold the tax as per the new effective date and rate maintained. This maintenance is applicable only during WHT processing.

The new tax defined for a Unit holder and component combination with the new dates and rates will be applicable across UT and LEP wherever the component is mapped for the UH.

If the policy number field value is maintained as 'ALL' (system default value) then the new tax defined for a Unit holder and component combination with the new dates and rates will be applicable across LEP and UT.

If the default value in the policy field is maintained as 'UT' then the override maintained will be applicable for the UH and component only (applicable for UT alone).

If you specify the policy number, then the new tax defined for a Unit holder and component combination with the new dates and rates will be applicable for the specified policy number alone and will not be applicable for any other fund where the component ID is mapped for a dividend process.

This maintenance will have "additional information" tab where the user can maintain the required additional defined values.

The system will not allow you to maintain a duplicate record for UH-Component and date combination. If new tax rate to be maintained (override the existing override tax rate) then you should amend the record and maintain new tax rate.

If any change to the Tax rate, the maintenance has to be closed and a new maintenance with new tax rate and date should to be maintained.

**3.28 UH Dividend Component Override Summary**

This section contains the following topics:

- [Section 3.28.1, "Retrieving Record in UH Dividend Component Override Summary Screen"](#)

- [Section 3.28.2, "Editing Record in UH Dividend Component Override Screen"](#)
- [Section 3.28.3, "Viewing UH Dividend Component Override Record"](#)
- [Section 3.28.4, "Deleting UH Dividend Component Override Record"](#)
- [Section 3.28.5, "Authorizing UH Dividend Component Override Record"](#)
- [Section 3.28.6, "Amending UH Dividend Component Override Record"](#)
- [Section 3.28.7, "Authorizing Amended UH Dividend Component Override Record"](#)

### 3.28.1 **Retrieving Record in UH Dividend Component Override Summary Screen**

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

Invoke the 'UH Dividend Component Override Summary' screen by typing 'UTSDCTRO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. You can perform the following operations in 'UH Dividend Component Override Summary' screen:

Specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.



- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Unit Holder ID
- Dividend Component ID
- Effective From Date

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

### **3.28.2 Editing Record in UH Dividend Component Override Screen**

You can modify the details of a record in UH Dividend Component Override Detail screen that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

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

### **3.28.3 Viewing UH Dividend Component Override Record**

To view a record that you have previously input, you must retrieve the same in the UH Dividend Component Override Summary screen as follows:

- Invoke the UH Dividend Component Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The UH Dividend Component Override Detail screen is displayed.

### **3.28.4 Deleting UH Dividend Component Override Record**

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

- Invoke the UH Dividend Component Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The UH Dividend Component Override Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **3.28.5 Authorizing UH Dividend Component Override Record**

An unauthorized UH Dividend Component Override record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the UH Dividend Component Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only authorize unauthorized records. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The UH Dividend Component Override Detail screen is displayed.
- Select Authorize operation from the Action List.

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

### **3.28.6 Amending UH Dividend Component Override Record**

After a UH Dividend Component Override record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the UH Dividend Component Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The UH Dividend Component Override Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

### **3.28.7 Authorizing Amended UH Dividend Component Override Record**

An amended UH Dividend Component Override must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

## 3.29 Holidays Maintenance

This section contains the following topics:

- [Section 3.29.1, "Invoking the Holiday Maintenance Detail Screen"](#)

### 3.29.1 Invoking the Holiday Maintenance Detail Screen

You must define the weekly holidays and yearly holidays in the holiday calendar for each year.

Different AMC's could have different holiday calendars. Further, for funds floated by a single AMC across different locations, the holiday calendar for specific funds could be different from the AMC holiday calendar. You may, therefore, need to designate holiday calendars separately for the following entities:

- System
- AMC
- Fund
- Currencies

In the system, you designate holidays for any of the above, in the Holiday Maintenance screen. You must first designate the System Calendar, before you designate the other calendars. The system calendar, once designated, is taken to be the default AMC and fund calendar. You can make appropriate changes, if necessary, for each.

Invoke the 'Holiday Maintenance Detail' screen by typing 'UTDHOLID' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Holiday Maintenance Detail' application window. At the top, there is a 'Save' button. Below it are three input fields: 'Year\*' with the value '2016' and navigation arrows, 'Calendar Type\*' with a search icon, and 'Entity ID\*' with a search icon. A 'Display Calendar' button is located below the input fields. The main area displays a calendar grid for the months of January, February, March, April, MAY, and June. Each month's grid shows days of the week (S, M, T, W, Th, F, Sa) and a grid of cells for marking holidays. At the bottom, there is a status bar with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

**Year**

*Numeric; 4 Characters; Mandatory*

The system displays the year. However, you can change the calendar year after specifying the calendar type and entity ID.

**Calendar Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the calendar type. The system displays the description in the adjoining field.

**Entity ID**

*Alphanumeric; 12 Character; Mandatory*

Specify the entity ID. The system displays the description in the adjoining field.

You can use this screen to:

- View the system holiday calendar for the year
- Designate the system holiday calendar for future years
- Designate a holiday calendar for either an AMC, or a fund, or a currency, or for all, for the year
- Add to the holiday list in the AMC, fund and / or currency calendar
- Make a previously designated holiday a working day in any or all of the calendars

On opening this screen, by default the system holiday calendar for the current year, which was set up at the time of installation, with the designated holiday dates checked off against their respective boxes in each month. You can use the Previous and Next links to navigate between years.

Select the day in the calendar and check the box alongside the date to add it to the list of Holidays. Select the day from the list of holidays and uncheck the box alongside it to remove it from the list of Holidays.

Click 'Ok' button to save your changes. The changes must be authorized by another user to be effective in the system.

To maintain an AMC holiday calendar, specify 'AMC' in the Calendar Type field, and select the AMC for which the calendar is being maintained, in the AMC field. Similarly, to maintain a fund holiday calendar, specify 'Fund' in the Calendar Type field, and select the fund for which the calendar is being maintained, in the Fund ID field, and the ISIN Code for the fund in the Fund ISIN field.

To maintain a currency holiday calendar, select the 'Currency' option in the Calendar Type field, and select the currency for which the calendar is being maintained in the Currency Code field.

**3.29.1.1 Guidelines for Holiday Calendars**

- The main system calendar must be maintained as mandatory reference information, before the AMC and fund calendars can be maintained.
- A separate AMC calendar can only be maintained if the system calendar has already been maintained, and a separate fund calendar can only be maintained if both the AMC and system calendars have already been maintained.
- The system calendar, once maintained, is replicated to be the AMC calendar as well as the fund calendar for all funds of the AMC. If separate calendars are required for the AMC and for a specific fund, these can be maintained after the system calendar is maintained. Therefore, maintaining the AMC and fund calendars is optional.

- If separate calendars are maintained, a day can be designated a working day in the AMC calendar only if it is also a working day in the system calendar. A day can be designated a working day in the fund calendar only if it is also a working day in both the AMC as well as system calendars.
- If a working date in the system calendar is set as a holiday, it takes effect after authorization of the record.
- When a fund calendar is maintained, the rule effective date of the fund cannot be designated as a holiday. Similarly, when the AMC calendar is maintained, the rule effective date of any of the funds of the AMC cannot be designated as a holiday.
- If a working day in the system calendar is subsequently designated a system holiday, it must be a holiday in the AMC and fund calendars too, if they have been maintained.
- The weekend options maintained at the time of installation (i.e., for the system) are reckoned by default to be the weekend options for the AMC calendar; however, you can alter these options when you set up the AMC calendar. Similarly, the AMC calendar weekend options are taken as default options for the fund calendar, and you can alter them when you set up the fund calendar.
- The current system date cannot be set as a holiday.

### **3.29.1.2 Effect of Defining Holiday Calendars**

The effect of setting up holiday calendars in the system is discussed below, for all maintenance or transaction input operation:

#### **Fund Rules**

##### **Fund Demographics**

The Start Date and Rule Effective Dates for a fund must be working days for the AMC or in the system calendar.

##### **General Operating Rules**

The Next Price Date and Maturity Date must be a working day in the system calendar and AMC calendar (if maintained) and the fund calendar (if maintained).

For limit order processing, the 'prior' or 'after' rule may be specified.

##### **Corporate Actions**

The First Dividend Declare Date must be a working day in the system calendar and AMC calendar (if maintained) and the fund calendar (if maintained).

##### **Amendment of Fund Rules**

The new (amended) Rule Effective Date for the fund must be a working day in the system calendar and AMC calendar (if maintained) and the fund calendar (if maintained).

##### **Fund Price**

The prices for a fund cannot be entered into the system for a holiday in the system calendar or AMC calendar (if maintained) and the fund calendar (if maintained). If fund prices are being uploaded through bulk upload process, the fund calendar is used to arrive at the Next Price Date.

##### **Fund Dividend Maintenance**

Dividend maintenance for the fund can be done only on working days in the system calendar, AMC calendar (if maintained) and the fund calendar (if maintained).

Also, the Freeze Holdings Date and Ex-Dividend NAV Date must also be working days for the system, AMC (if maintained) and the fund (if maintained).

### **Specifying transaction sign off on a working day**

On a working day for the fund, you can signal the end of transaction input on an ad-hoc basis, if necessary. The transaction date of any transaction that is entered after the sign off status has been marked for the day, will be defaulted to the next working day according to the fund calendar (if maintained) or AMC calendar (if maintained) or the system calendar.

## **3.30 Holiday Maintenance Summary Screen**

This section contains the following topics:

- [Section 3.30.1, "Invoking the Holiday Maintenance Summary Screen"](#)
- [Section 3.30.2, "Retrieving Holiday List"](#)
- [Section 3.30.3, "Editing Holiday Maintenance Record"](#)
- [Section 3.30.4, "Viewing Holiday Maintenance Record"](#)
- [Section 3.30.5, "Deleting Holiday Maintenance Record"](#)
- [Section 3.30.6, "Authorizing Holidays"](#)
- [Section 3.30.7, "Amending Holiday Records"](#)
- [Section 3.30.8, "Authorizing Amended Holiday Records"](#)

### **3.30.1 Invoking the Holiday Maintenance Summary Screen**

After you have set up the list of designated system holidays in the Holiday Maintenance Detail screen, you must have another user authorize the list.

Before the holiday list is authorized, you can edit it as many times as necessary. You can also delete a holiday list before it is authorized.

After authorization, you can make changes to the holiday list through an amendment.

The 'Holiday Maintenance Summary' screen can be used for the following operations on holiday lists:

- Retrieval for viewing.
- Editing an unauthorized list.
- Deleting an unauthorized list.
- Authorizing a list.
- Amending an authorized list.

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

The screenshot shows the 'Holiday Maintenance Summary' application window. The window title is 'Holiday Maintenance Summary'. It features a search bar with options for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below the search bar, there are several input fields: 'Authorized' (a dropdown menu), 'Open' (a dropdown menu), 'Year' (a text field with a search icon), and 'Calendar Type' (a text field with a search icon). Below these fields, there are 'Entity ID' and 'Entity ID' fields, each with a search icon. A pagination bar shows 'Records per page 15', '1 of 1', and 'Go'. There is also a 'Lock Columns' dropdown set to '0'. Below the pagination bar is a table with columns: 'Authorized', 'Open', 'Year', 'Calendar Type', and 'Entity ID'. The table is currently empty. At the bottom right of the window, there is an 'Exit' button.

### 3.30.2 Retrieving Holiday List

You can retrieve a previously entered holiday in the Summary screen, as follows:

- Invoke the Holiday Maintenance Summary screen and specify the following :
  - The status of the record in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the entity in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - Year
  - Calendar Type
  - Entity ID
- After you have specified the required details, click ‘Search’ button. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### Note

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

- Press F7
- Input the Entity ID

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

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

For example, you can search the record for Entity ID by using the combination of % and alphanumeric value as follows:-

- Search by D%:- System will fetch all the records whose Entity ID starts from Alphabet 'M'. For example, Direct.
- Search by %7:- System will fetch all the records whose Entity ID Type ends by numeric value '7'. For example, AGENT7.
- Search by %17%:- System will fetch all the records whose Entity ID contains the numeric value 17. For example, AGEN17.

### **3.30.3 Editing Holiday Maintenance Record**

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

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

### **3.30.4 Viewing Holiday Maintenance Record**

To view a holiday record that you have previously entered:

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



### **3.30.5 Deleting Holiday Maintenance Record**

You can delete only unauthorized records in the system. To delete an holiday record:

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

### **3.30.6 Authorizing Holidays**

An unauthorized holiday must be authorized in the system for it to be come into effect. To authorize a holiday:

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

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

### **3.30.7 Amending Holiday Records**

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

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

### 3.30.8 Authorizing Amended Holiday Records

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

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

## 3.31 Emergency Holiday Maintenance

This section contains the following topics:

- [Section 3.31.1, "Invoking Emergency Holiday Maintenance Screen"](#)

### 3.31.1 Invoking Emergency Holiday Maintenance Screen

A typhoon is a mature tropical cyclone that develops in the western part of the North Pacific Ocean. It comes as a warning in typically mid day and depending on the severity, a holiday can be declared on the same day thereby necessitating the need to postpone the operations/ processing activities to next business day.

A normal business day declared as a non-business day or Typhoon day when there is a typhoon incident happened on that day. In view of this, there is a requirement on the contingency procedures on the external system to handle the Typhoon day activities. The system should treat all transactions fall under that typhoon date as non-business date and automatically move the unprocessed activities to next business date.

All un-allotted transactions fall under such emergency holiday will be treated as non-business date transactions and automatically move the transaction attributes to next business date.

On emergency holiday, you can move the transaction date, price date, settlement date and other attributes of un-allotted transactions to next applicable day. Also system will complete other pending activities and move the calendar to be followed for each date fields in the new date derivation as follows:

<b>Date Type</b>	<b>Calendar to be considered</b>
Transaction Date	Fund
Price Date	Fund/ Maintenance at Specific Fund Price
Dealing Date	Fund
FX Deal Date	Currency
FX Value Date	Currency
Settlement Due Date	Currency
Payment Date	System

You can maintain current business day as emergency holiday using 'Emergency Holiday Maintenance' screen. You can invoke this screen by typing 'UTDEM'HOL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

## **Emergency Maintenance**

### **Emergency Date**

#### *Display*

The system defaults the system date.

### **Entity Type**

#### *Mandatory*

Select the level of emergency holiday declaration from the drop-down list. The list displays the following values:

- System - If you select 'Entity Type' as 'System' then the entity ID always will be System.
- Fund - If you select 'Entity Type' as 'Fund', then the entity ID will fetch the Funds that need to be marked as emergency holiday. The system will refine funds for the LOV 'Entity ID' based on the segment selected by the user.
- AMC - If you select 'Entity Type' as 'AMC', then the entity ID will fetch the AMC list that need to be marked as emergency holiday. All the funds linked to that AMC will be considered as emergency holiday maintained on that day.
- Fund Country - If you select 'Entity Type' as 'Fund Country' then the entity ID will fetch the Country list that need to be marked as emergency holiday. This will declare emergency holiday for all the funds which are mapped to the mentioned country.
- Currency - If you select 'Entity Type' as 'Currency' then the entity ID will fetch the available currency list that need to be marked as emergency holiday on that day.

---

### **Note**

- For the field Entity Type 'Fund', the Entity ID is enriched with the value 'ALL'. When emergency holiday is maintained for a segment with Entity Type as 'Fund' and Entity ID as 'ALL', then all the funds linked to that segment will be considered as emergency holiday for the current business day.
- In case of continuous typhoon holiday, user should declare holiday for the segment by selecting Entity Type as 'Fund' and Entity ID as 'ALL'.

- When emergency holiday is maintained for a segment with Entity Type as 'Fund' and Entity ID as Specific Fund ID, then only that fund for that selected segment will be considered as emergency holiday for the current business day.
- 

### **Segment ID**

*Alphanumeric; 12 Characters; Mandatory*

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

---

#### **Note**

In GTAP environment, Segment ID will list only 'FMG'.

---

### **Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the entity ID corresponding to the Entity type selected. Alternatively, you can select entity ID from the option list. The list displays entity ID corresponding to the entity type selected.

### **Segment Description**

*Display*

The system displays the description of the selected Segment ID.

### **Entity Name**

*Display*

The system displays the description of the selected Entity ID.

### **Alert Received Time(HH24:MI)**

*Time Format; Optional*

Specify the time when the alert is received. You need to maintain the time in HH24:MI format.

### **Copy Exchange Rate**

*Optional*

Select if the exchange rate should be copied or not from the drop-down list. The list displays the following values:

- Yes
- No

If you select 'Yes', and if exchange rate is not maintained for any of the currency pair, the system will copy the latest exchange rate maintained to current date.

---

#### **Note**

In case of continuous emergency holiday, you need to maintain current day as emergency holiday. If subsequent dates are also declared as emergency holiday, then the system declares those days as system holiday using Holiday Maintenance.

---

The system will allow you to maintain the emergency holiday only once for the following combination:

- Emergency Date
- Entity Type

- Entity ID

If you have declared SYSTEM level emergency holiday for a particular day then the system will not allow you to maintain other level of emergency day for the same day. The system will display an error message as “Emergency holiday already maintained for current day with entity ID as SYSTEM”.

For instance, if you declare emergency holiday on 05-MAY-2017 for the fund FUNDA against fund level. You maintain another emergency holiday on 05-MAY-2017 for AMC/ Fund Country level. This AMC/ Fund Country also includes FUNDA. In this case, the system will not raise error message for duplicate record for the fund ID ‘FUNDA’.

On Authorization, the funds which are linked to the entity type and entity ID will be marked as emergency holiday for the entity types other than SYSTEM and Currency.

If you have maintained calendar in Holiday Maintenance (UTDHOLID) screen and maintain emergency holiday for an entity type, then the system will display corresponding day in different colour to indicate that emergency holiday has been declared on that particular day.

---

**Note**

This screen supports Interface Upload for IF20170750000001.

---

## **3.32 Emergency Holiday Maintenance Summary**

This section contains the following topics:

- [Section 3.32.1, "Retrieving a Record in Emergency Holiday Maintenance Summary Screen"](#)
- [Section 3.32.2, "Editing Emergency Holiday Record"](#)
- [Section 3.32.3, "Viewing Emergency Holiday Record "](#)
- [Section 3.32.4, "Deleting Emergency Holiday Record"](#)
- [Section 3.32.5, "Authorizing Emergency Holiday Record "](#)

### **3.32.1 Retrieving a Record in Emergency Holiday Maintenance Summary Screen**

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

You can invoke 'Emergency Holiday Maintenance Summary' screen by typing 'UTSEMHOL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Emergency Date
- Segment ID
- Copy Exchange Rate
- Alert Received Time
- Entity Type
- Entity ID

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

---

#### Note

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

- Press F7
  - Input the Entity ID
  - Press F8
-

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

---

**Note**

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

---

### **3.32.2 Editing Emergency Holiday Record**

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

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

Click Save to save your changes. The Emergency Holiday Maintenance Detail screen is closed and the changes made are reflected in the Emergency Holiday Maintenance Summary screen.

### **3.32.3 Viewing Emergency Holiday Record**

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

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

### **3.32.4 Deleting Emergency Holiday Record**

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

- Invoke the Emergency Holiday Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.

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

### **3.32.5 Authorizing Emergency Holiday Record**

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

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

After authorization of emergency holiday maintenance, transactions captured in the system will be moved to next business date.

## **3.33 Emergency Holiday Transaction Processing**

This section contains the following topics:

- [Section 3.33.1, "Processing Emergency Holiday Transaction"](#)
- [Section 3.33.2, "Invoking Emergency Holiday Transaction Processing Screen"](#)
- [Section 3.33.3, "Processing Emergency Day"](#)

### **3.33.1 Processing Emergency Holiday Transaction**

If there are any changes in price date, dealing date or settlement date of previously captured transactions due to emergency holiday those transactions will be logged by the system during Mini EOD. You need to review and confirm all transactions to proceed with EOD. The transactions logged during mini EOD process will be populated based on the criteria.

If any of the listed transaction to be excluded, you can manually remove the same before saving. Based on the action selected, system will either confirm the date changes or ignore these transactions. On save, the system will generate a reference number for this batch update.

You should review all the applicable transactions to proceed with emergency day EOD. The system will perform mandatory pre-EOD check to show the transactions which are not reviewed for date change.

You can use 'Emergency Day Transaction Processing' to review or modify transactions having price date, settlement date, and dealing Date as current date or future date. For unallotted transactions, the system will update transaction date, price date, settlement date and



dealing date. For unsettled allotted transactions, the system will update settlement date and payment date.

---

### Note

When we query for emergency holiday transaction, the system will display the emergency holidays in different color (blue color) to differentiate emergency holiday with the normal holidays.

---

## 3.33.2 Invoking Emergency Holiday Transaction Processing Screen

You can process emergency holiday transaction using 'Emergency Holiday Transaction Processing' screen. You can invoke this screen by typing 'UTDEMPRC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Emergency Holiday Transaction Processing

Save

Reference Number  [🔗](#) Action  ▾

**Filter Criteria**

Segment ID <input type="text"/> <a href="#">🔗</a>	Segment Name <input type="text"/>	Transaction Number <input type="text"/> <a href="#">🔗</a>
AMC ID <input type="text"/> <a href="#">🔗</a>	AMC Description <input type="text"/>	Date Type <input type="button" value="Select"/> ▾
Fund Family <input type="text"/> <a href="#">🔗</a>	Fund Family Description <input type="text"/>	From Date <input type="button" value="📅"/>
Fund ID <input type="text"/> <a href="#">🔗</a>	Fund Name <input type="text"/>	To Date <input type="button" value="📅"/>
Transaction Type <input type="text"/> <a href="#">🔗</a>	Transaction Name <input type="text"/>	<input type="button" value="Fetch"/>
Ref Type <input type="text"/> <a href="#">🔗</a>	Reftype Description <input type="text"/>	

**Transaction Details**

◀ 1 of 1 ▶

<input type="checkbox"/>	AMC ID	Fund Family	Fund ID	Transaction Type	Ref Type	Transaction Number	Transaction Date	New Transaction Date
--------------------------	--------	-------------	---------	------------------	----------	--------------------	------------------	----------------------

You can specify the following details:

### Reference Number

#### *Display*

The system generates the reference number during save.

This field is applicable only for Query option.

### Action

#### *Optional*

Select the action required for processing emergency holiday from the drop-down list. the list displays the following values:

- Confirm - select this option to confirm the processing of emergency holiday
- Ignore - select this option to ignore the processing of emergency holiday

## **Filter Criteria**

### **Segment ID**

*Alphanumeric; 12 Characters; Optional*

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

---

#### **Note**

Segment ID is mandatory in Global Transfer Agency(GTA) Setup. In Non GTA Setup, Segment ID will be defaulted to value 'FMG'.

---

### **Segment Name**

*Display*

The system displays the name of the selected Segment ID.

### **Transaction Number**

*Alphanumeric; 16 Characters; Optional*

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

### **AMC ID**

*Alphanumeric; 6 Characters; Optional*

Specify the AMC ID. Alternatively, you can select AMC ID from the option list. The list displays the valid AMC ID from the option list.

### **AMC Description**

*Display*

The system displays the description for the selected AMC ID.

### **Date Type**

*Optional*

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

- Transaction Date
- Price Date
- Settlement Due Date
- Dealing Date
- Payment Date

### **Fund Family**

*Alphanumeric; 6 Characters; Optional*

Specify the fund family. Alternatively, you can select fund family from the option list. The list displays the valid fund family from the option list.

### **Fund Family Description**

*Display*

The system displays the description for the selected fund family.

### **From Date**

*Date Format; Optional*

Select the from date from the adjoining calendar.

**Fund ID**

*Alphanumeric; 6 Characters; Optional*

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

**Fund Name**

*Display*

The system displays the fund name based on the fund name selected.

**To Date**

*Date Format; Optional*

Select the to date from the adjoining calendar.

**Transaction Type**

*Alphanumeric; 2 Characters; Optional*

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

**Transaction Name**

*Display*

The system displays the name of the selected transaction type.

**Ref Type**

*Alphanumeric; 2 Characters; Optional*

Specify the reference type. Alternatively, you can select reference type from the option list. The list displays the valid reference type from the option list.

**Reftype Description**

*Display*

The system displays the description for the selected reference type.

**Transaction Details**

Clicking 'Fetch' button, the system displays the following values:

- AMC ID
- Fund Family
- Fund ID
- Transaction Type
- Ref Type
- Transaction Number
- Transaction Date
- New Transaction Date
- Price Date
- New Price Date
- Settlement Due Date
- New Settlement Due Date
- Dealing Date
- New Dealing Date
- Payment Date
- New Payment Date

For all un-allotted transactions which are having transaction date as emergency holiday date, the system will update the following attributes:

- Transaction Date
- Settlement due date
- Payment Date
- Price Date
- Dealing Date
- FX Deal date
- FX Value Date

For unsettled allotted transactions, the system will update the payment date and settlement due date.

**Example: [Assuming all transactions are un-allotted]**

The transaction attributes will be as follows:

Consider the following setup:

Current day: 05th July

	Transaction Type	Holiday	Settlement	Price Date
Fund A	SUB	9,10	T+2	T+1
Fund A	RED	9,10	T+2	T+1
Fund A	Transfer	9,10	T+0	T+0
Fund B	SUB	6	T+0	T+0
Fund B	RED	6	T+2	T+0

Consider the following transactions have been identified as impacted by the emergency holiday:

Fund	Transaction type	Transaction Date	Settlement Due Date	Payment Date
Fund A	Subscription	5-Jul	7-Jul	7-Jul
Fund B	Subscription	5-Jul	5-Jul	5-Jul
Fund A	Redemption	4-Jul	6-Jul	6-Jul
Fund B	Redemption	1-Jul	5-Jul	5-Jul
Fund B	Redemption	4-Jul	7-Jul	7-Jul
Fund B	Switch out	4-Jul	7-Jul	7-Jul
Fund B	Switch In	7-Jul	7-Jul	7-Jul
Fund B	RSP (system generated)	5-Jul	5-Jul	5-Jul
Fund A	Target Yield Switch Out (system generated)	4-Jul	6-Jul	6-Jul

<b>Fund</b>	<b>Transaction type</b>	<b>Transaction Date</b>	<b>Settlement Due Date</b>	<b>Payment Date</b>
Fund B	Reinvestments (system generated)	8-Jul	8-Jul	8-Jul
Fund A	Dividend payment (system generated)	NA	8-Jul	8-Jul
Fund B	Dividend payment (system generated)	NA	5-Jul	5-Jul

Post executing the emergency holiday process, the attributes will be as follows:

<b>Settlement Due Date</b>	<b>Paid Date</b>	<b>Transaction Date</b>	<b>Fund</b>	<b>Transaction type</b>	<b>New Transaction date</b>	<b>New Price Date</b>	<b>New Settlement Due date</b>	<b>New Payment Date</b>
7-Jul	7-Jul	5-Jul	Fund A	Subscription	6-Jul	7-Jul	8-Jul	8-Jul
5-Jul	5-Jul	5-Jul	Fund B	Subscription	7-Jul	7-Jul	7-Jul	7-Jul
6-Jul	6-Jul	4-Jul	Fund A	Redemption	Unchanged	6-Jul	7-Jul	7-Jul
5-Jul	5-Jul	1-Jul	Fund B	Redemption	Unchanged	Unchanged	7-Jul	7-Jul
7-Jul	7-Jul	4-Jul	Fund B	Redemption	Unchanged	Unchanged	8-Jul	8-Jul
7-Jul	7-Jul	4-Jul	Fund B	Switch out	Unchanged	unchanged	8-Jul	8-Jul
7-Jul	7-Jul	7-Jul	Fund B	Switch In	8-Jul	8-Jul	8-Jul	8-Jul
5-Jul	5-Jul	5-Jul	Fund B	RSP (system generated)	7-Jul	7-Jul	7-Jul	7-Jul
6-Jul	6-Jul	4-Jul	Fund A	Target Yield Switch out(system generated)	4-Jul	6-Jul	7-Jul	7-Jul
8-Jul	8-Jul	8-Jul	Fund B	Reinvestments (system generated)	unchanged	unchanged	unchanged	unchanged

Settlement Due Date	Paid Date	Transaction Date	Fund	Transaction type	New Transaction date	New Price Date	New Settlement Due date	New Payment Date
8-Jul	8-Jul	NA	Fund A	Dividend (system generated)	NA	NA	Unchanged	Unchanged
5-Jul	5-Jul	NA	Fund B	Dividend (system generated)	NA	NA	7-Jul	7-Jul

If there is a weekly price fund C for which the transaction cut off is 5th July for pricing on 8th, the system will consider only transactions captured till 4th July in this cycle (for pricing on 8th)

The system will move all transactions captured on 5th July to the next pricing cycle, i.e., 15th July.

### 3.33.3 Processing Emergency Day

The existing date attribute changes will be impacted only if the emergency holiday has been declared for the particular fund if emergency day has been declared other than SYSTEM and Currency. It can be either fund level or AMC level or Fund Country level.

The impacted UT transactions are as follows:

- All un-allotted transactions with transaction date as emergency holiday date, the system will update the following attributes:
  - Transaction Date
  - Settlement due date
  - Payment Date
  - Price Date
  - Dealing Date
  - FX Deal date
  - FX Value Date
- For unsettled allotted transactions, the system will update confirmation date, payment date and settlement due date.

---

#### Note

If the settlement due date is greater than or equal to derived date then the settlement due date will not be impacted.

---

Currency level emergency holiday will impact the Settlement Due Date/ Settlement Date derivation for all the unsettled allotted transactions.

The system changes the date attribute accordingly for the following scenarios:

**Settlement Due Date Example**

**Fund level parameters**

Fund ID	Payment Lag	Payment Lag Basis
FUND1	2	Fund Calendar
FUND2	2	Currency Calendar

The following examples shows that the settlement due date impact on different entity type of emergency level holidays for the above fund level setup:

Fund ID	Transaction Date	Settlement Due Date	Emergency Day	Emergency Level	New Settlement Due Date
FUND1	2-May-17	4-May-17	3-May-17	Fund	5-May-17
FUND1	2-May-17	4-May-17	3-May-17	Currency	4-May-17
FUND2	2-May-17	4-May-17	3-May-17	Fund	4-May-17
FUND2	2-May-17	4-May-17	3-May-17	Currency	5-May-17
FUND1	2-May-17	4-May-17	4-May-17	Fund	5-May-17
FUND1	2-May-17	4-May-17	4-May-17	Currency	5-May-17
FUND2	2-May-17	4-May-17	4-May-17	Fund	5-May-17
FUND2	2-May-17	4-May-17	4-May-17	Currency	5-May-17

**Payment Date Example**

**Fund level parameters**

Fund ID	Transaction Type	Allocation Lag
FUND3	3	1

The following examples shows that the payment date impact on different entity type of emergency level holidays for the above fund level setup:

Fund ID	Transaction Date	Payment Date	Emergency Day	Emergency Level	New Payment Date
FUND3	2-May-17	3-May-17	3-May-17	Fund	4-May-17
FUND3	2-May-17	3-May-17	3-May-17	Currency	3-May-17
FUND3	2-May-17	3-May-17	3-May-17	System	4-May-17

**Confirmation Date Example**

When fund is made emergency holiday then the system will confirm the next fund working date after the (allocation date + confirmation lag)

**Fund level parameters**

Fund ID	Confirmation Lag
FUND3	2

The following example shows that the confirmation date impact on different entity type of emergency level holidays for the above fund level setup:

Fund ID	Transaction Date	Allocation Date	Actual Confirmation Date	Emergency Day	Emergency Level	Revised Confirmation Date
FUND3	2-May-17	3-May-17	5-May-17	4-May-17	Fund	5-May-17
FUND3	2-May-17	3-May-17	5-May-17	4-May-17	Currency	5-May-17
FUND3	2-May-17	3-May-17	5-May-17	4-May-17	System	5-May-17
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	Fund	6-May-17
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	Currency	5-May-17
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	System	6-May-17

**Entity Commission Payment due date**

The system will not process entity commission payment for system level emergency holiday, whereas the system will process for all other emergency holidays.

**Broker Commission Payment Date**

The system will not process broker commission payment for system level emergency holiday, whereas the system will process for all other emergency holidays.

**LEP Transaction Date**

The system will move all LEP transactions date to next business day which is common to all the attached funds in that product.

The system will move Policy Start Date of policy to next business day which is common to all the attached funds in that product.

Example:

Policy Number	Rule Effective Date	Policy Start Date
HSPOLICY01	2-May-17	2-May-17

If emergency holiday is declared on 02-MAY-2017 at Fund level for any one of the fund which is attached to the policy HSPOLICY01 then policy date will be next working date of all the funds.

Policy Number	Rule Effective Date	Policy Start Date
---------------	---------------------	-------------------



HSPOLICY01	2-May-17	3-May-17
------------	----------	----------

**Dividend Date**

Fund dividends with Daily Payments for which Daily Dividends have not been processed, then the system will skip that dividend.

Emergency holiday defined for Fund will be having the following impact:

- If freeze holding is completed, then the system will not move freeze holding date to next business date, Unprocessed dividends declared for the date will be moved to next business day.
- The system will move Payment Date and Reinvestment Date to next business day. Dividend Declare Date and Freeze Holdings Date will be moved to non MMF funds.

Emergency holiday defined for Currency will have following impact:

- For dividend payout operation, if the dividend payment currency is marked as emergency holiday at Currency level then the system will move dividend payment date to next working date in that currency.

If you declare an emergency holiday for the fund, then MMF and non MMF fund dividend attribute changes as follows:

**Example 1: Non MMF Fund**

Fund ID	Dividend No	Dividend Declare Date	Freeze Holding Date	Payment Date	Reinvestment Date
AFUND1	5	2-May-17	2-May-17	2-May-17	2-May-17

If emergency holiday is declared on 02-MAY-2017 for the fund AFUND1 then dividend attributes will be moved to next business day as follows:

Fund ID	Dividend No	Dividend Declare Date	Freeze Holding Date	Payment Date	Reinvestment Date
AFUND1	5	3-May-17	3-May-17	3-May-17	3-May-17

**Example 2:**

Fund ID	Dividend No	Dividend Declare Date	Freeze Holding Date	Payment Date	Reinvestment Date
MMFFND	575	2-May-17	2-May-17	2-May-17	2-May-17

If emergency holiday is declared on 02-MAY-2017 for the fund MMFFND then dividend attributes will be moved to next business day as follows:

Fund ID	Dividend No	Dividend Declare Date	Freeze Holding Date	Payment Date	Reinvestment Date
MMFFND	575	2-May-17	2-May-17	3-May-17	3-May-17

## 3.34 Fund Transaction Sign Off Screen

This section contains the following topics:

- [Section 3.34.1, "Invoking Fund Transaction Sign Off Screen"](#)

### 3.34.1 Invoking Fund Transaction Sign Off Screen

You can mark the sign off status in the 'Fund Transaction Sign Off' screen. You can invoke this screen by typing 'UTDTSOFF' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

The screenshot shows a web application window titled "Fund Transaction Sign Off". The window has a header bar with a close button. Below the header is a section labeled "Execute Query" containing four input fields: "Segment ID", "Fund ID", "AMC", and "Fund Identification Number". Each input field has a magnifying glass icon to its right. A "Save" button is positioned below the "Fund ID" field. Below the "Execute Query" section is a "Fund Calendar Info" section. It features a navigation bar with "1 of 1" and "Go" buttons. Below the navigation bar is a table with two columns: "Fund ID" and "Sign Off". The table is currently empty. At the bottom right of the window is a "Cancel" button.

#### **Segment ID**

*Alphanumeric; 12 Characters; Optional*

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

---

#### **Note**

Segment ID is mandatory in Global Transfer Agency(GTA) Setup. In Non GTA Setup, Segment ID will be defaulted to value 'FMG'.

---

#### **Fund ID**

*Alphanumeric; 6 Characters; Optional*

Specify the Fund ID.

#### **AMC**

*Display*

The system displays the description for the selected fund ID.

After specifying fund ID, click 'Execute Query' button. the following fund calendar information is displayed:

- Fund ID

- Sign Off

### **Fund Identification Number**

#### *Display*

The system displays the description for the selected fund ID.

### **Trading Transactions**

Trading transactions can only be entered on working days for the fund in the fund calendar (if maintained) or AMC calendar (if maintained) or system calendar.

### **Transactions**

The transaction date (date of entry) is defaulted to the application date.

The transaction date is defaulted to next working day for the fund if it falls on a holiday, or if the transaction is entered after marking of transaction sign off for the day, or after cut-off time. The transaction date for switch transactions is arrived at by considering the fund calendar, if any, maintained for the 'switch from' fund; the date must be a working day for the 'switch from' fund, but need not be so for the 'switch to' fund.

The backdating limit for backdated transactions is derived from the fund calendar.

Dates for instrument clearing are also based on the fund calendar.

### **Settlement Dates**

The settlement dates for payments must not be holidays for the settlement currency, as designated in the currency calendar.

During transaction entry, the payment date or clearing date for a subscription is computed based on the transaction date and payment lag. The system checks that the payment date derived is a working date for the transaction currency.

For redemptions, the redemption confirmation process arrives at the payment date (check date) based on payment lag. This date should be a working date for the currency.

Dividend payments in respect of unit holders are in each unit holder's preferred currency. The payment date for a unit holder should be a working date for the currency of payment. Therefore a single dividend payment may still be made on different dates for different unit holders. The payment date for a broker should be a working date for the broker payment currency.

### **Batch Functions**

#### **Menu Allocation**

Menu allocation is done only for funds working on the application date.

#### **Redemption Confirmation**

Redemption Confirmation is done only for funds working on the application date.

#### **Dividend Payments**

The payment date must be a working day for the fund.

#### **Dividend Reinvestments**

Value date for dividend reinvestment must be a working day in the system calendar.

If the reinvestment fund has a holiday on the reinvestment transaction value date, the transaction date is set to the next fund working day.

### **Pre-End of Day Checks**

The pre-end of day checks are only performed for the funds working on the application date.

### **End of Day Activities**

- Broker reinvestment transactions are only processed for those funds working on the application date.
- Allocations for transactions of all types, for all funds working on the application date, are performed.
- Switch transactions are only allocated if the current date is a working day for both funds. The 'switch from' leg is allocated at the prevalent price on transaction date, and the 'switch to' leg, with the current price. Ageing entries for the 'switch from' leg are booked as of transaction date, and those for the 'switch to' leg, as of the allocation date.
- The Specific Fund Price date is arrived at after applying the 'Prior' or 'After' holiday rule, as specified in the fund rules. Specific price dates for a fund, if applicable, are updated only on fund working days.
- Periodic load processing is done for all funds only on the value date for periodic load processing, which is arrived at after periodic fee computation, and must be a fund working date.
- Trading net settlement processing as well as trading summary calculation is done only for funds working on the current date.
- Fund bank account transfer processing is done only for funds working on the current date.
- Dividend processing, dividend reinvestment processing and the generation of dividend records are done only for funds working on the current date. For those funds working on the current date, the first dividend record will be generated. For other dividends, if the dividend record generation date arrived at is a fund holiday, the 'Prior' or 'After' fund holiday rule is applied to arrive at a valid fund working day from the fund calendar. If this date is the same as the system date, the dividend record for the fund is generated.
- GL Export processing is done only for funds working on the current date.
- Updating of the latest rule for a fund is done only for funds working on the current date.
- The Beginning of Day outstanding units for a fund are only updated if the fund is working on the current date.
- After the system date change, the fund holiday status change process updates the holiday status for all the funds, and resets the transaction sing-on status.
- Standing instructions escalation processing is done only for funds working on the current date. The generation of standing instructions is done on fund working days, and the generation date is arrived at taking into account the fund calendar, after the standing instructions holiday rule has been applied.
- Amount unblock transactions, as well as amount block escalations and amount block transaction generation for the fund are generated only on fund working days.
- Automatic redemption transactions are only generated for funds working on the current date.

#### **3.34.1.1 Restricting Transactions into Fund on Working Day**

On a working day for the fund, you restrict sale of the fund, if necessary. On doing so, the current date is marked as a holiday for the fund.

When a sale restriction is marked, it must be authorized for it to be effective in the system.

When you restrict sale of a fund in this manner, you can opt for either of the following options for transactions that have been entered after the restrict sale status has been marked for the day:

### **Reverse**

If you choose this option, any unauthorized transactions entered after the restrict sale status has been marked for the day are deleted. Any authorized transactions including system generated transactions or those that have been entered on the previous system working day after the transaction cut-off time are reversed.

Any transactions allotted after the restrict sale status has been marked are left unaltered. An error message is displayed when the sale restriction is authorized, in respect of these transactions.

### **Carry forward**

If you choose this option, the transaction date of any transaction that is entered *after* the restrict sale status has been marked for the day, will be defaulted to the next working day according to the fund calendar (if maintained) or AMC calendar (if maintained) or the system calendar.

Any transactions allotted after the restrict sale status has been marked are left unaltered. An error message is displayed when the sale restriction is authorized, in respect of these transactions.

## **3.34.1.2 Uploading Holiday Details**

You can use the upload facility to upload holiday details, if required.

*For more details on holiday upload file formats, refer Upload File Formats chapter in FC-IS system..*

## **3.35 Mode of Payment**

This section contains the following topics:

- [Section 3.35.1, "Invoking the Mode of Payment Detail Screen"](#)

### **3.35.1 Invoking the Mode of Payment Detail Screen**

You can use this screen to set up the clearing options for the various modes of payments that are valid in the system. For each mode of payment, you can:

- Enter the clearing options.
- Edit the existing, unauthorized clearing options.
- Authorize the clearing periods.
- View existing clearing options for any of the Modes of Payment.
- Amend the authorized clearing periods. During amendment or editing, it is possible to alter the Clearing Period and set the Auto Clear Option.

During installation, the modes of payment and the default clearing periods for each mode are entered into the system automatically. Subsequently, if you need to view or make a change to any of the clearing options, you can retrieve the record in this screen by clicking on 'Ok' button in this screen. All the clearing options maintained for each of the modes of payment are displayed in the lower portion of the screen.

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

### Payment Mode

*Alphanumeric; 1 Character; Mandatory*

Specify the different modes of payment. The different modes of payment can be Cheque (Q), Demand Draft (D), Money Transfer (T) and Card (R).

### Payment Mode Description

*Display*

A description of the mode of payment is displayed here. This could be any of the instruments such as Draft, Check, Transfer, Credit Card, etc.

### Sub Payment Mode

*Alphanumeric; 2 Characters; Mandatory*

Specify the code or short name given to any of the payment modes used in the system.

After specifying payment and sub payment mode, click 'Execute Query' button. The following values are displayed:

### Minimum Clearing Period

*Numeric; 22 Characters; Mandatory*

The system displays the number of days after which you will be able to clear the payment instrument for a particular mode of payment. You can alter the value that is displayed here by clicking 'Unlock' button.

For each mode of payment, the Minimum Clearing Period is the period after which you will be able to clear the payment instrument.

### Maximum Clearing Period

*Numeric; 22 Characters; Mandatory*

The system displays the number of days before which the payment instrument must be cleared for a particular mode of payment. You can alter the value that is displayed here.

For each mode of payment, the Maximum Clearing Period is the period before which you must clear the payment instrument.

## **Auto Clearing Process**

### *Optional*

Select auto clearing process from the drop-down list. The list displays the following values:

- Yes
- No

If you have selected 'Yes' option, the instrument automatically gets cleared if you do not clear the same before the maximum clearing period.

## **3.36 Mode of Payment Detail Summary Screen**

This section contains the following topics:

- [Section 3.36.1, "Retrieving Mode of Payment Summary Screen"](#)
- [Section 3.36.2, "Editing Mode of Payment Details"](#)
- [Section 3.36.3, "Viewing Mode of Payment Details"](#)
- [Section 3.36.4, "Deleting Mode of Payment Details"](#)
- [Section 3.36.5, "Authorizing Mode of Payment Details"](#)
- [Section 3.36.6, "Amending Mode of Payment Details"](#)
- [Section 3.36.7, "Authorizing Amended Mode of Payment Details"](#)

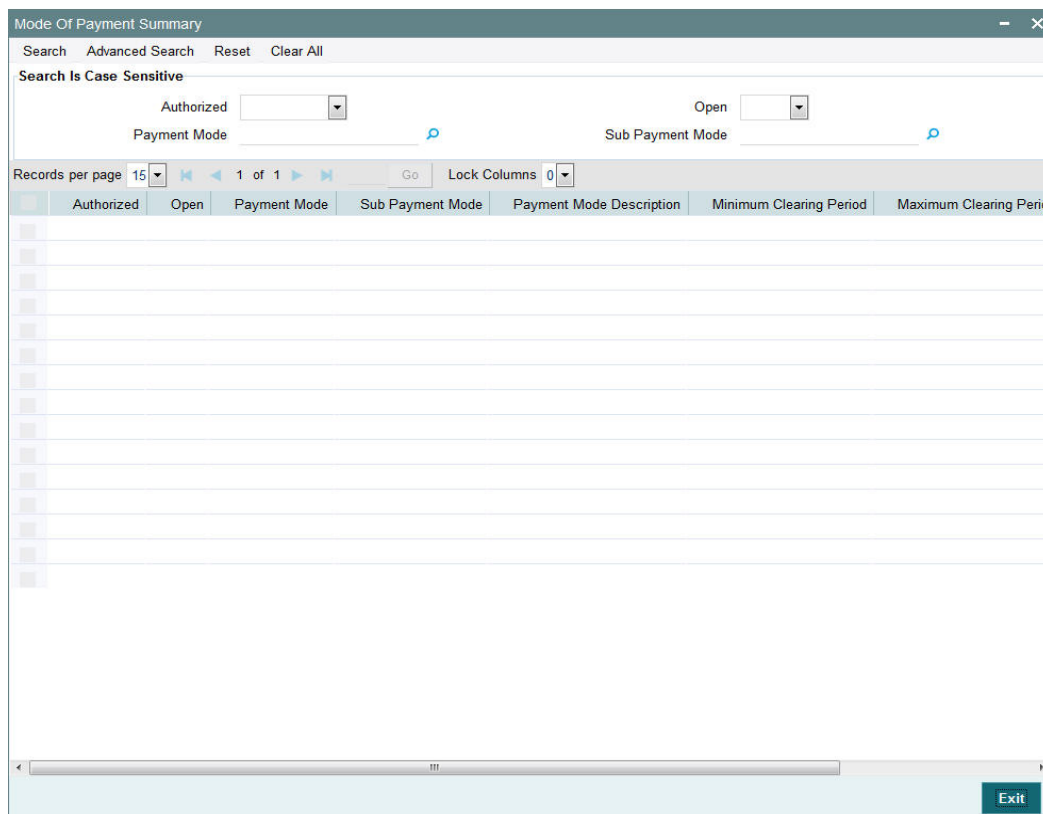
### **3.36.1 Retrieving Mode of Payment Summary Screen**

You can use this screen to set up the clearing options for the various modes of payments that are valid in the system. For each mode of payment, you can:

- Enter the clearing options
- Edit the existing, unauthorized clearing options
- Authorize the clearing periods
- View existing clearing options for any of the Modes of Payment
- Amend the authorized clearing periods. During amendment or editing, it is possible to alter the Clearing Period and set the Auto Clear Option.

During installation, the modes of payment and the default clearing periods for each mode are entered into the system automatically. Subsequently, if you need to view or make a change to any of the clearing options, you can retrieve the record in this screen by clicking on OK in this screen. All the clearing options maintained for each of the modes of payment are displayed in the lower portion of the screen.

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



You can retrieve a previously entered Payment Mode in the Summary screen, as follows:

- Invoke the Mode Of Payment Summary screen and specify the following:
  - The status of the fund type in the Authorized field. If you choose the “Blank Space” option, then all the fund types are retrieved.
  - The status of the fund type in the Open field. If you choose the “Blank Space” option, then all the fund types are retrieved.
  - Payment Mode
  - Sub Payment Mode
- After you have specified the required details, click 'Search' button. All mode of payments with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve the Payment Mode detail from the detail screen by doing query in the following manner:-

- Press F7
- Input the Payment Mode
- Press F8

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

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



For example, you can search the record for Payment Mode by using the combination of % and alphanumeric value as follows:-

- **Search by M%:** The system will fetch all the records whose Payment Mode description starts from Alphabet 'M'. For example, Mutual Fund.
- **Search by %7 :** The system will fetch all the records whose Payment Mode ends by numeric value ' 7' For example, 217,267,77 and so forth.
- **Search by %17%:** The system will fetch all the records whose Payment Mode contains the numeric value 17. For example, 3217, 2172 and so forth.

### **3.36.2 Editing Mode of Payment Details**

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

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

### **3.36.3 Viewing Mode of Payment Details**

To view a Payment Mode that you have previously entered:

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

### **3.36.4 Deleting Mode of Payment Details**

You can delete only unauthorized Payment Modes in the system.

- Invoke the Mode of Payment Summary screen from the Browser.
- Select the status of the payment mode that you want to retrieve for deletion.
- Specify any or all of the details of the Payment Mode in the corresponding fields on the screen.

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

### **3.36.5 Authorizing Mode of Payment Details**

An unauthorized payment mode must be authorized in the system for it to be processed.

To authorize a Payment Mode code:

- Invoke the Mode of Payment Summary screen from the Browser.
- Select the status of the Payment mode Code that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop-down list.
- Specify any or all of the details of the fund type in the corresponding fields on the screen.
- Click 'Search' button. All Payment Modes with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the Payment Mode code type that you wish to authorize. The Mode of Payment screen displayed. Select Authorize operation from Action.

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

### **3.36.6 Amending Mode of Payment Details**

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

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

### **3.36.7 Authorizing Amended Mode of Payment Details**

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

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

## **3.37 Static Maintenance for Switch Transactions**

This section contains the following topics:

- [Section 3.37.1, "Setting up Switch Privileges"](#)

### 3.37.1 Setting up Switch Privileges

You can set up a restrictive list of switching between share classes for switch transactions, in the 'Switch Privilege Setup Detail' screen. You can invoke this screen by typing 'UTDSWPRV' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

#### **From Share Class ID**

*Alphanumeric; 2 Characters; Mandatory*

Select the share class from which a switch transaction can be entered into from the option list.

#### **Switch Privilege Set Up**

##### **To Share Class ID**

*Alphanumeric; 2 Characters; Mandatory*

Select the share classes to which switching must be allowed from the option list.

Save your changes by clicking the Save button.

## 3.38 Switch Privilege List Setup Summary Screen

This section contains the following topics:

- [Section 3.38.1, "Invoking the Switch Privilege List Setup Screen"](#)
- [Section 3.38.2, "Retrieving Switch Privilege Setup List in Summary Screen"](#)
- [Section 3.38.3, "Editing Switch Privilege Setup List"](#)
- [Section 3.38.4, "Viewing Switch Privilege Setup List"](#)
- [Section 3.38.5, "Deleting a Switch Privilege Setup"](#)
- [Section 3.38.6, "Authorizing Switch Privilege Setup Lists"](#)
- [Section 3.38.7, "Amending Switch Privilege Setup Lists "](#)

- [Section 3.38.8, "Authorizing Amended Switch Privilege Setups"](#)

### 3.38.1 Invoking the Switch Privilege List Setup Screen

After you have set up a restrictive list of switching between share classes for switch transactions, you must have another user authorize it so that it becomes effective in the system.

Before the restrictive list is authorized, you can edit it as many times as necessary. You can also delete it before it is authorized.

After authorization, you can only change the switch period through an amendment.

The 'Switch Privilege Setup Summary' screen can be used for the following operations on restrictive (privilege) lists:

- Retrieval for viewing
- Editing an unauthorized restrictive (privilege) list
- Deleting unauthorized restrictive (privilege) list
- Authorizing switch restrictive (privilege) list
- Amending switch restrictive (privilege) list

Invoke the 'Switch Privilege Setup Summary' screen by typing 'UTSSWPRV' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

### 3.38.2 Retrieving Switch Privilege Setup List in Summary Screen

You can retrieve a previously entered entity in the Summary screen, as follows:

- Invoke the Switch Privilege Setup Summary screen and specify the following:
  - The status of the privilege setup in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the record in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - From Share Class ID
- After you have specified the required details, click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### Note

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

- Press F7.
  - Input any parameter in the screen.
  - Press F8.
- 

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

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

For example, you can search the record for From Share Class Type ID by using the combination of % and alphanumeric value as follows:-

- **Search by A%:** The system will fetch all the records whose Share Class ID starts from Alphabet ‘A’. For example, AA.
- **Search by %7:** The system will fetch all the records whose Share Class ID Type ends by numeric value ‘7’. For example, -S7.
- **Search by %17%:** The system will fetch all the records whose Share Class ID contains the numeric value 17. For example, - 17.

### 3.38.3 Editing Switch Privilege Setup List

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

- Invoke the Switch Privilege Setup List Summary screen from the Browser.
- Select the status of the records that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- Specify the From Share Class ID (optional) in the corresponding field.
- Click ‘Search’ button. All unauthorized switch privilege setup lists with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The Switch Privilege Setup Maintenance screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The Switch Privilege Setup Maintenance screen is closed and the changes made are reflected in the Switch Privilege Setup Summary screen.

### **3.38.4 Viewing Switch Privilege Setup List**

To view a switch privilege list that you have previously entered:

- Invoke the Switch Privilege Setup List Summary Screen from the Browser.
- Select the status of the switch privilege list that you want to retrieve for viewing in the Authorized field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify the Share Class ID (optional) in the corresponding field.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view. The Switch Privilege Setup List Maintenance screen is opened in view mode.

### **3.38.5 Deleting a Switch Privilege Setup**

You can delete only unauthorized switch privilege setup in the system. To delete a switch privileges setup list:

- Invoke the Switch Privilege List Setup Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify Share Class ID (Optional) in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The Switch Privilege List Setup Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **3.38.6 Authorizing Switch Privilege Setup Lists**

An unauthorized switch privilege setup must be authorized in the system for it to come into effect. To authorize:

- Invoke the Switch Privilege Setup Summary screen from the Browser.
- Select the status of the records that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop down list.
- Specify the Share Class ID (optional) in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Switch Privilege Setup Maintenance screen is displayed. Select Authorize operation from Action.

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

### **3.38.7 Amending Switch Privilege Setup Lists**

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

- Invoke the Switch Privilege Setup Summary screen from the Browser.

- Select the status of the record that you wish to retrieve for amendment. You can only amend records of entities that are authorized.
- Specify Share Class ID (optional) in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Switch Privilege Setup screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the setup.
- Amend the necessary information. Click the Save button to save the changes.

### 3.38.8 Authorizing Amended Switch Privilege Setups

An amended switch privilege setup must be authorized for the amendment to be made effective in the system. The process of authorization is subsequently the same as that for normal transactions.

## 3.39 Period Definition for Allowing Automatic Switch

This section contains the following topics:

- [Section 3.39.1, "Invoking the Auto Switch Setup Detail Screen"](#)

### 3.39.1 Invoking the Auto Switch Setup Detail Screen

You can define a period for allowing switch transactions between share classes, in the 'Auto Switch Setup Detail' screen. You can invoke this screen by typing 'UTDASSSD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to maintain the list.

The screenshot shows a software window titled "AutoSwitch Setup Detail". At the top left, there is a "Save" button. Below this is a section titled "Auto Switch Setup Information" which contains three input fields: "From Share Class ID \*", "To Share Class ID \*", and "Period \*". Each of these fields has a magnifying glass icon to its right, indicating a search function. At the bottom of the window, there are labels for "Input by", "Authorized by", "DateTime", "Mod No", "Open", and "Authorized". A "Cancel" button is positioned in the bottom right corner of the window.

## **Auto Switch Setup Information**

### **From Share Class ID**

*Alphanumeric; 2 Characters; Mandatory*

Specify the share classes, switching between which will be allowed after the period has elapsed.

### **To Share Class ID**

*Alphanumeric; 2 Characters; Mandatory*

Specify the share classes, switching between which will be allowed after the period has elapsed.

### **Period**

*Numeric; 2 Characters; Mandatory*

Specify the period at the end of which the switching will be permitted.

Save your changes by clicking the Save button.

## **3.40 Exchange List Maintenance Summary Screen**

This section contains the following topics:

- [Section 3.40.1, "Invoking the Exchange List Maintenance Summary Screen"](#)
- [Section 3.40.2, "Retrieving Exchange List in Summary Screen"](#)
- [Section 3.40.3, "Editing Exchange List"](#)
- [Section 3.40.4, "Viewing Exchange List Record"](#)
- [Section 3.40.5, "Deleting Exchange List Record"](#)
- [Section 3.40.6, "Authorizing Exchange Lists"](#)
- [Section 3.40.7, "Amending Exchange Lists "](#)
- [Section 3.40.8, "Authorizing Amended Exchange Lists"](#)
- [Section 3.40.9, "Copying Attributes"](#)

### **3.40.1 Invoking the Exchange List Maintenance Summary Screen**

After you have designated a period for allowing switch transactions between share classes, you must have another user authorize it so that it becomes effective in the system.

Before the switch period is authorized, you can edit it as many times as necessary. You can also delete it before it is authorized.

After authorization, you can only change the switch period through an amendment.

The 'Exchange List Maintenance Summary' screen can be used for the following operations on switch periods:

- Retrieval for viewing
- Editing an unauthorized switch period
- Deleting unauthorized switch periods
- Authorizing switch period definitions
- Amending switch period definitions



Invoke the 'Exchange List Maintenance Summary' screen by typing 'UTSASSSD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

### 3.40.2 Retrieving Exchange List in Summary Screen

You can retrieve a previously entered entity in the Summary screen, as follows:

- Invoke the Exchange List Maintenance Summary screen and specify the following:
  - The status of the exchange list in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the record in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - From Share Class ID
- After you have specified the required details, click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

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

- Press F7
- Input any parameter in the screen
- Press F8

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

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

For Example:

You can search the record for From Share Class ID by using the combination of % and alphanumeric value as follows:-

- **Search by A%**: The system will fetch all the records whose From Share Class ID starts from Alphabet 'A'. For example, AA.
- **Search by %7**: The system will fetch all the records whose From Share Class ID Type ends by numeric value '7'. For example, S7.
- **Search by %17%**: The system will fetch all the records whose From Share Class ID contains the numeric value 17. For example, 17.

### **3.40.3 Editing Exchange List**

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

- Invoke the Exchange List Summary screen from the Browser.
- Select the status of the records that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- Specify the From Share Class Type ID (optional) in the corresponding field.
- Click 'Search' button. All unauthorized exchange lists with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The Exchange List Maintenance screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The Exchange List Maintenance screen is closed and the changes made are reflected in the Exchange List Summary screen.

### **3.40.4 Viewing Exchange List Record**

To view an exchange list record that you have previously entered:

- Invoke the Exchange List Summary Screen from the Browser.
- Select the status of the exchange list records that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify the Share Class ID (optional) in the corresponding field.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view. The Exchange List Maintenance screen is opened in view mode.

### **3.40.5 Deleting Exchange List Record**

You can delete only unauthorized exchange list records in the system. To delete an exchange list record:

- Invoke the Switch Privilege List Setup Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify Share Class Type ID (Optional) in the corresponding fields on the screen.

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

### **3.40.6 Authorizing Exchange Lists**

An unauthorized exchange list setup must be authorized in the system for it to come into effect. To authorize:

- Invoke the Exchange List Summary screen from the Browser.
- Select the status of the records that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop-down list.
- Specify the Share Class ID (optional) in the corresponding field on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Exchange List Maintenance screen is displayed. Select Authorize operation from Action.

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

### **3.40.7 Amending Exchange Lists**

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

- Invoke the Exchange List Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend records of entities that are authorized.
- Specify Share Class ID (optional) in the corresponding field on the screen.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Exchange List Summary screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the list.
- Amend the necessary information. Click the Save button to save the changes.

### **3.40.8 Authorizing Amended Exchange Lists**

An amended exchange list must be authorized for the amendment to be made effective in the system. The process of authorization is subsequently the same as that for normal transactions.

### **3.40.9 Copying Attributes**

If you want to create an exchange list having the same attributes of an existing setup, you can copy the attributes of an existing setup to a new setup.

To copy the attributes:

- Retrieve the exchange list whose attributes the new entity should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the ID for the new exchange list. You can however change the details of the exchange list if required.

## 3.41 Indexation Values

This section contains the following topics:

- [Section 3.41.1, "Setting up Indexation Values"](#)

### 3.41.1 Setting up Indexation Values

Investors may opt for indexation to be applicable for the computation of income or capital gains on earnings from investments, on which capital gains tax can be applied. You must maintain the indexation values to be applicable for specific periods, which can then be applied for the computation of capital gains income.

You maintain indexation values to be applicable within a specific period bounded by a 'From' and a 'To' date.

You can use the 'Indexation Maintenance Detail' screen to maintain indexation values. You can invoke this screen by typing 'UTDINDEX' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to maintain the indexation.

You must specify the indexation value to be applicable between two given dates. Any transactions allocated between those two dates, which result in application of capital gains tax with indexation, will use these values for the tax computation.

**From Date**

*Date Format; Mandatory*

Specify the date on and following which the indexation value is to be applicable, for computation of capital gains income.

**To Date**

*Date Format, Mandatory*

Specify the date up to which the indexation value is applicable for computation of capital gains income.

**Indexation**

*Numeric; 22 Characters; Mandatory*

Specify the indexation value that is to be applicable between the 'From' and 'To' dates that you have specified. You cannot specify duplicate indexation values for a period, and for a given range, you can only specify one value.

## **3.42 Indexation Summary Screen**

This section contains the following topics:

- [Section 3.42.1, "Invoking the Indexation Maintenance Summary Screen"](#)
- [Section 3.42.2, "Retrieving Indexation in Summary Screen"](#)
- [Section 3.42.3, "Editing Indexation"](#)
- [Section 3.42.4, "Viewing Exchange List Record"](#)
- [Section 3.42.5, "Authorizing Indexations"](#)
- [Section 3.42.6, "Amending Indexations "](#)
- [Section 3.42.7, "Authorizing Amended Exchange Lists"](#)
- [Section 3.42.8, "Copying Attributes"](#)

### **3.42.1 Invoking the Indexation Maintenance Summary Screen**

An indexation value you have specified for a given period must be authorized for it to be effective in the system. You can use the Indexation Summary screen to authorize the value.

You can also perform the following operations on an indexation value record in this screen:

- Edit unauthorized values
- View records
- Delete unauthorized values
- Amend authorized values. You can only amend the current indexation value record, and not any of the earlier records.

When you amend a value specified for a period, it will come into effect when another user authorizes the amendment.

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

### 3.42.2 Retrieving Indexation in Summary Screen

You can retrieve a previously entered entity in the Summary screen, as follows:

- Invoke the Exchange List Maintenance Summary screen and specify the following:
  - The status of the indexation record in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the record in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - From Date and To Date for which the indexation is maintained.
  - Specify the indexation value. The adjoining option list displays the valid indexation values maintained in the system. You can choose the appropriate one.
- After you have specified the required details, click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

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#### Note

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

- Press F7.
- Input any parameter in the screen.

- Press F8.
- 

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

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

For example, you can search the record for Indexations ID by using the combination of % and numeric value as follows:-

- **Search by %7:** The system will fetch all the records whose Indexation ID ends by numeric value ' 7'. For example, 27.
- **Search by %17%:** The system will fetch all the records whose Indexation ID contains the numeric value 17. For example, 17.

### **3.42.3 Editing Indexation**

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

- Invoke the Indexation Summary screen from the Browser.
- Select the status of the records that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- Specify the parameters based on which you want to search.
- Click 'Search' button. All unauthorized indexations with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The Indexation Maintenance screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The Indexation Maintenance screen is closed and the changes made are reflected in the Indexation Summary screen.

### **3.42.4 Viewing Exchange List Record**

To view an indexation list record that you have previously entered:

- Invoke the Indexation Summary Screen from the Browser.
- Select the status of the indexations that you want to retrieve for viewing in the Authorized field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify the other parameters based on which you want to retrieve the records (Optional).
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view. The Indexation Maintenance screen is displayed in view mode.

### **3.42.5 Authorizing Indexations**

An unauthorized indexation must be authorized in the system for it to come into effect. To authorize:

- Invoke the Indexation Summary screen from the Browser.

- Select the status of the records that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop down list.
- Specify the parameters based on which you want to retrieve the records (Optional).
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Indexation Maintenance screen is displayed. Select Authorize operation from Action.

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

### **3.42.6 Amending Indexations**

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

- Invoke the Indexation Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend records of entities that are authorized.
- Specify the date parameters based on which the system should retrieve the records.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Indexation Summary screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the list.
- Amend the necessary information. Click the Save button to save the changes.

### **3.42.7 Authorizing Amended Exchange Lists**

An amended exchange list must be authorized for the amendment to be made effective in the system. The process of authorization is subsequently the same as that for normal transactions.

### **3.42.8 Copying Attributes**

If you want to create an indexation having the same attributes of an existing indexation, you can copy the attributes of an existing indexation to a new indexation.

To copy the attributes:

- Retrieve the indexation whose attributes the new indexation should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the indexation number for the new indexation. You can however change the details if required.

### **3.42.9 Applying Indexation**

When you have specified the indexation values for a period, you must also configure the system to apply indexation for the computation of capital gains tax for an investor, by taking the following steps:



- You must indicate the application of indexation for capital gains tax, in the unit holder's account profile.
- Set up a load for the application of capital gains tax, in the Load Maintenance.
- You must associate this load with the appropriate fund, in the Fund Load Setup, in the fund rules. You must set up the following attributes for this association:
  - The applicability of indexation for the load.
  - The slab basis (gross or net amount)
  - The basis of application (as 'capital gains indexation')
  - The frequency of application (as 'post allocation')

*For more information on how the indexation value is applied in the computation of capital gains tax, refer the chapter **The Allocation Process** of FC-IS system.*

## **3.43 Collection Centers and Payout Accounts**

This section contains the following topics:

- [Section 3.43.1, "Maintaining Collection Centers and Payout Accounts"](#)
- [Section 3.43.2, "Maintaining Collection Center Accounts"](#)
- [Section 3.43.3, "Maintaining Default and Correspondent Payout Accounts"](#)

### **3.43.1 Maintaining Collection Centers and Payout Accounts**

The agency branch maintains accounts in banks that serve as collection centers for receipt of payment for inflow transactions from unit holders. Also, it maintains payout accounts to which payment for outflow transactions would be directed, from where unit holders could cash their payment instruments. Maintenance of collection center accounts and payout accounts is necessary as the default local accounts would not be able to service all unit holders who subscribe to the funds of the AMC.

From each collection center bank and payout bank, the agency branch receives a list of zip codes serviced by the banks. The system uses the maintained accounts and the zip code information while printing payment instruments for outflow transactions or pay-in slips for inflow transactions, to direct them to collection or payout banks that service the unit holders' zip code.

For instance, if your AMC's local branch is in London, you would maintain a default collection center and payout account with a London-based bank. However, to service investors of your AMC in Dover, you would need to maintain a collection center and payout account with a bank based in Dover, on a correspondent basis.

*For details on how the collection center account or the payout account is reckoned for a transaction, refer to the section 'Printing Checks and Pay-in Slips' in the Dividend Maintenance chapter of FC-IS system.*

For each agency branch, in FLEXCUBE, you can maintain the appropriate collection center accounts as well as payout accounts to be used. You can assign a default collection center, and a default payout account. You can also maintain other collection center accounts and correspondent payout accounts, to service investors whose zip code is different from any codes serviced by the local default accounts.

### **3.43.2 Maintaining Collection Center Accounts**

In the 'AGY Bank A/C Mapping Detail' screen, you can maintain collection center accounts for a combination of:

- Agency branch module ID
- Inflow transaction type (either subscription or IPO)
- Payment mode or sub payment mode
- Fund ID

This would mean that you could maintain collection centers for each agency branch, to receive payments through any mode, from unit holders for subscriptions or IPO transactions into each fund.

Use the 'AGY Bank A/C Mapping Detail' screen to designate the collection centers and payout accounts. You can invoke this screen by typing 'UTDAGYBN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

For each collection center account, you need to specify the following information in the 'AGY Bank A/C Mapping Detail' screen:

- The code of the bank and branch collection center
- The type of account maintained in the collection center bank or branch
- The currency of the account
- The number of the account and the owner of the account
- Whether the account is the default collection center account for the agency branch, transaction type, payment mode and fund ID combination.

You must maintain at least one default collection center account.

### **3.43.3 Maintaining Default and Correspondent Payout Accounts**

In the AGY Bank A/C Mapping Details Maintenance screen, you can maintain payout accounts for a combination of:

- Agency branch module ID
- Outflow transaction type (either redemption, switch out or transfer)
- Payment mode
- Fund ID

This would mean that you could maintain payout accounts for each agency branch, to direct payments to unit holders through any mode, for outflow transactions from each fund.

For each payout account, you need to specify the following information in the AGY Bank Branch Details screen:

- The code of the payout bank and branch
- The type of account maintained in the payout bank or branch
- The currency of the account
- The number of the account and the owner of the account
- The limit placed on the payment amount directed to the bank for a transaction. If this limit is exceeded, a demand draft payment would have to be made.
- Whether the account is the default payout account for the agency branch, transaction type, payment mode and fund ID combination. You must maintain at least one default payout account.
- The correspondent bank accounts to which payment would be directed, if the zip code of the unit holder receiving the payment is not serviced by the payout bank

To maintain correspondent bank details, click on the Details button. The Correspondent Bank Details Section screen is opened, where you can specify the details. You maintain the same details as for a payout account, with a limit amount.

#### **Module ID**

*Alphanumeric; 30 Characters; Mandatory*

Select the module (agency branch) for which you are designating the collection center or payout account in this screen.

#### **Transaction Type**

*Alphanumeric; 15 Characters; Mandatory*

Select the type of outflow transaction for which you are designating the payout account, or the type of inflow transaction for which you are designating a collection center, in this screen.

#### **Payment Mode**

*Alphanumeric; 2 Characters; Mandatory*

Specify the mode of payment for which the collection center is applicable, for the selected module and transaction type. For redemption transactions, the payment mode is not applicable.

#### **Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the fund for which the collection center or payout account is applicable, for the selected module, transaction type and payment mode.

## **Bank Details**

### **Bank**

*Alphanumeric; 12 Characters; Mandatory*

Specify the code of the bank that is being designated as a collection center or a payout bank. The collection account or the payout account must reside in this bank.

### **Branch**

*Alphanumeric; 12 Characters; Mandatory*

Specify the code of the branch of the bank that is being designated as a collection center or a payout bank. The collection account or the payout account must reside in this branch of the selected bank.

### **Account Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the type of the collection or payout account.

### **Account Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the currency of the collection or payout account.

### **IBAN**

*Alphanumeric; 40 Characters; Optional*

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

### **Account Holder Name**

*Alphanumeric; 100 Characters; Mandatory*

Specify the name of the owner of the collection or payout account.

### **Account Number**

*Alphanumeric; 34 Characters; Mandatory*

Specify the number of the collection or payout account.

### **Limit Amount**

*Numeric; 22 Characters; Mandatory*

Specify the value of the limit placed on payouts to the payout account. If the value of the payment exceeds this value, a demand draft payment must be made. For payments below this value, check payments may be made.

### **Default Account**

*Optional*

You can use this field to indicate whether the specified account is deemed to be the default collection or payout account for the selected module, transaction type, payment mode and fund combination. Select this box to indicate that it is the default account, or leave it unselected to indicate that it is one of the other accounts.

## **Correspondent Bank Details**

### **Bank Code**

*Alphanumeric; 12 Characters; Optional*

Specify the code of the bank that is being designated as a correspondent bank for the collection center or a payout bank. The correspondent collection account or the payout account must reside in this bank.

**Branch Code**

*Alphanumeric; 12 Characters; Optional*

Specify the code of the branch of the bank that is being designated as a correspondent bank for collection center or a payout bank. The correspondent collection account or the payout account must reside in this branch of the selected bank.

**Account Type**

*Alphanumeric; 1 Character; Optional*

Specify the type of the correspondent collection or payout account.

**Account Currency**

*Alphanumeric; 3 Characters; Optional*

Specify the currency of the correspondent collection or payout account.

**Account Number**

*Alphanumeric; 34 Characters; Optional*

Specify the number of the correspondent collection or payout account.

**Account Holder Name**

*Alphanumeric; 100 Characters; Optional*

Specify the name of the owner of the correspondent collection or payout account.

**Limit Amount**

*Numeric; 22 Characters; Optional*

Specify the value of the limit placed on payouts to the correspondent payout account. If the value of the payment exceeds this value, a demand draft payment must be made. For payments below this value, check payments may be made.

**Correspondent IBAN**

*Alphanumeric; 40 Characters; Optional*

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

## **3.44 AGY Bank A/C Mapping Summary Details Screen**

This section contains the following topics:

- [Section 3.44.1, "Invoking the AGY Bank A/C Mapping Summary Details Screen"](#)
- [Section 3.44.2, "Retrieving an AGY Bank Branch Record"](#)
- [Section 3.44.3, "Editing an AGY Bank Branch Record"](#)
- [Section 3.44.4, "Viewing an AGY Bank Branch Record"](#)
- [Section 3.44.5, "Deleting an AGY Bank Branch Record"](#)
- [Section 3.44.6, "Authorizing an AGY Bank Branch Record"](#)
- [Section 3.44.7, "Amending an AGY Bank Branch Record"](#)
- [Section 3.44.8, "Authorizing an amended AGY Bank Branch Record"](#)
- [Section 3.44.9, "Copying the Attributes"](#)

### 3.44.1 Invoking the AGY Bank A/C Mapping Summary Details Screen

You can invoke the 'AGY Bank A/C Mapping Summary' screen by typing 'UTSAGYBN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

AGY Bank Account Mapping Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Module ID  Transaction Type

Bank  Branch

Account Number  Bank Code

Branch Code  Account Number

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Module ID	Transaction Type	Payment Mode	Bank	Branch	Account Number	Account Holder Name	Acc
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Exit

You can perform the following operations from this screen:

- Retrieving an AGY Bank Branch Record
- Editing an AGY Bank Branch Record
- Viewing an AGY Bank Branch Record
- Deleting an AGY Bank Branch Record
- Authorizing an AGY Bank Branch Record
- Amending an AGY Bank Branch Record
- Authorizing an amended AGY Bank Branch Record
- Copying the Attributes

### 3.44.2 Retrieving an AGY Bank Branch Record

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

- Invoke the AGY Bank A/C Mapping Summary screen
- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Module ID

- Transaction Type
- Bank
- Branch
- Account Number
- Bank Code
- Branch Code

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

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

- Press F7
- Input the Module ID
- Press F8

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

### **3.44.3 Editing an AGY Bank Branch Record**

You can modify the details of a AGY Bank A/C Mapping record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

1. Invoke the AGY Bank A/C Mapping Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click 'Search'. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to modify in the list of displayed records. The AGY Bank A/C Mapping Detail screen is displayed.
6. Select Unlock Operation from the Action list to modify the record. Modify the necessary information.
7. Click Save to save your changes. The AGY Bank A/C Mapping Detail screen is closed and the changes made are reflected in the AGY Bank A/C Mapping Summary screen.

### **3.44.4 Viewing an AGY Bank Branch Record**

To view a record that you have previously input, you must retrieve the same in the AGY Bank A/C Mapping Summary screen as follows:

1. Invoke the AGY Bank A/C Mapping Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click 'Search'. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to view in the list of displayed records. The AGY Bank A/C Mapping Detail screen is displayed in View mode.

### **3.44.5 Deleting an AGY Bank Branch Record**

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

1. Invoke the AGY Bank A/C Mapping Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to delete in the list of displayed records. The AGY Bank A/C Mapping Detail screen is displayed.
6. Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database. You can delete only unauthorized records in the system. To delete a record that you have previously entered:

1. Invoke the Agency Branch A/O Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to delete in the list of displayed records. The Agency Branch A/O Detail screen is displayed.
6. Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **3.44.6 Authorizing an AGY Bank Branch Record**

An unauthorized AGY Bank A/C Mapping record must be authorized in the system for it to be processed. To authorize a record:

1. Invoke the AGY Bank A/C Mapping Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you wish to authorize. The AGY Bank A/C Mapping Detail screen is displayed. Select Authorize operation from the Action List.

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



### **3.44.7 Amending an AGY Bank Branch Record**

After a AGY Bank A/C Mapping record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

1. Invoke the AGY Bank A/C Mapping Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
3. Specify any or all of the details in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you wish to authorize. The AGY Bank A/C Mapping Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
6. Amend the necessary information and click on Save to save the changes.

### **3.44.8 Authorizing an amended AGY Bank Branch Record**

An amended AGY Bank A/C Mapping record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

### **3.44.9 Copying the Attributes**

If you want to create an AGY Bank A/C Mapping record having the same attributes of an existing AGY Bank A/C Mapping record, you can copy the attributes of an existing AGY Bank A/C Mapping record to a AGY Bank A/C Mapping record.

To copy the attributes:

1. Retrieve the AGY Bank A/C Mapping record whose attributes the new AGY Bank A/C Mapping record should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
2. Click on 'Copy' in the Actions list.

## **3.45 Replication of Changes**

This section contains the following topics:

- [Section 3.45.1, "Invoking the Auto Replication Preference Maintenance Detail Screen"](#)

### **3.45.1 Invoking the Auto Replication Preference Maintenance Detail Screen**

Modifications made to a unit holder account under a CIF, through an Information Change operation, might require to be replicated to all unit holder accounts under the CIF. Oracle FLEXCUBE Investor Servicing provides the facility of configuring the system so that automatic replication could be achieved.

You can maintain a template that contains the fields in the Unit Holder New Account Maintenance, for which you require replication of any modifications that are made through an Information Change. The templates can be maintained at two levels – CIF level and Identification Type level.

To maintain the templates, use the 'Auto Replication Preference Maintenance Detail' screen. You can invoke this screen by typing 'UTDAUTRE' 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 maintain the following details to maintain the template:

- A unique ID for the template.
- The level at which the automatic replication of changes made through Information Change is required – either CIF level or Identification Type level.

### Template ID

*Alphanumeric; 6 Characters; Mandatory*

Specify a unique identification for the automatic replication template being maintained.

### Auto Replication Code

*Alphanumeric; 25 Characters; Mandatory*

This field indicates the type of entity for which the automatic replication template preferences are being maintained. The entity types for which the automatic replication feature is available are pre-configured for your installation. The Unit Holder Information Change and Broker Info Change options are displayed in this field and cannot be changed.

### Description

*Display*

The appropriate description is displayed in the Description field.

### Applicable For

*Alphanumeric; 1 Character; Mandatory*

Specify the level at which the automatic replication of changes made through Information Change is required – either CIF level or Identification Type level. Depending upon your choice, CIF-relevant fields or Identification Type fields are available for selection for automatic replication.

---

**Note**

If you select auto replication code as 'BROKERINFOCHANGE' and applicable for option as B-Broker and click on Populate button, the system displays the list of all available fields for creating a template.

---

**Description***Display*

The appropriate description is displayed in the Description field.

After specifying the mandatory details, click on 'Populate' button to view the field name and field description. However, you can amend these values.

**Field Name***Alphanumeric; 30 Characters; Mandatory*

Select the fields in the Unit Holder New Account maintenance, changes to which are to be replicated to all accounts under a CIF. You can choose either CIF-relevant fields, or fields pertaining to Identification Type, depending on the level at which the automatic replication is required, which you have selected in the Applicable For field.

The list of fields for which the automatic replication feature is available is pre-configured for your installation.

**Field Description***Display*

The system displays the description for the selected field name.

## **3.46 Auto Replication Preference Maintenance Summary**

This section contains the following topics:

- [Section 3.46.1, "Invoking Auto Replication Preference Maintenance Summary Screen"](#)
- [Section 3.46.2, "Retrieving Template "](#)
- [Section 3.46.3, "Editing Template Parameters"](#)
- [Section 3.46.4, "Viewing Auto Replication Record"](#)
- [Section 3.46.5, "Deleting Auto Replication Preference"](#)
- [Section 3.46.6, "Authorizing Auto Replication Preference"](#)
- [Section 3.46.7, "Amending Auto Replication Preference"](#)
- [Section 3.46.8, "Authorizing Amended Auto Replication Preferences"](#)
- [Section 3.46.9, "Copying Attributes"](#)

### **3.46.1 Invoking Auto Replication Preference Maintenance Summary Screen**

You can perform the following operations on a template for automatic replication:

- Edit the fields defined for the template, before authorization
- Delete the template before authorization
- View the template
- Have another user authorize the template
- Amend the template after authorization

---

**Note**

During edit or amend operations, the template ID cannot be changed. Only the fields tagged to the template, are allowed to be changed.

---

To perform any of these operations, use the 'Auto Replication Preference Maintenance Summary' screen. You can invoke this screen by typing 'UTSAUTRE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Auto Replication Preference Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Auto Replication Code  Template ID

Applicable For

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Auto Replication Code	Template ID	Applicable For
------------	------	-----------------------	-------------	----------------

Exit

### 3.46.2 Retrieving Template

You can retrieve a previously entered template in the Summary screen, as follows:

- Specify any or all of the following details in the Auto Replication Preference Summary screen:
  - The status of the record in the Authorized field. If you choose the “Blank Space” option, then all the records that involve the specified unit holder are retrieved.
  - The status of the Template record in the open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - Auto Replication Code
  - Template ID
  - Applicable For
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual Template ID details from the Detail screen by doing a query in the following manner:

- Press F7.
  - Input any parameter in the screen.
  - Press F8.
- 

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

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

For example, you can search the record for Template ID by using the combination of % and alphanumeric value as follows:-

- **Search by T%**: The system will fetch all the records whose Template ID starts from Alphabet 'A'. For example, TMPL.
- **Search by %7**: The system will fetch all the records whose Template ID ends by numeric value '7'. For example, TMP7.
- **Search by %17%**: The system will fetch all the records whose Template ID contains the numeric value 17. For example, TMP17.

### **3.46.3 Editing Template Parameters**

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

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

### **3.46.4 Viewing Auto Replication Record**

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

- Invoke the Summary Screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorized field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.

- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The Auto Replication Preference screen is displayed in View mode.

### **3.46.5 Deleting Auto Replication Preference**

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

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

### **3.46.6 Authorizing Auto Replication Preference**

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

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

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

### **3.46.7 Amending Auto Replication Preference**

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

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

### **3.46.8 Authorizing Amended Auto Replication Preferences**

An amended auto replication preference record must be authorized for the amendment to be made effective in the system. The authorization of amended records can only be done from Fund Manager Module and Agency branch Module. The process of authorization is subsequently the same as that for normal transactions.

### **3.46.9 Copying Attributes**

If you want to create a new auto replication preference having the same attributes of an existing preference, you can copy the attributes of an existing preference to a new preference.

To copy the attributes:

- Retrieve the record whose attributes the new preference should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' from the Action list.
- Indicate the Template ID for the auto replication preference Setup. You can however change the details of the new setup if required.

## **3.47 Preferences for Country**

This section contains the following topics:

- [Section 3.47.1, "Invoking the Country Preference Maintenance Detail Screen"](#)

### **3.47.1 Invoking the Country Preference Maintenance Detail Screen**

Oracle FLEXCUBE Investor Servicing provides the facility to associate certain attributes for countries maintained in the system. You can define the reputation risk of a country, the EUSD option associated with it and assign alpha codes in the Country Preference Maintenance screen. You can invoke the 'Country Preference Maintenance Detail' screen by typing

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

Country Preference Maintenance Detail

Save

Country Code \*

CRRT Risk Level

EUSD Options

Alpha Country Code

Input by  
Authorized by

DateTime  
DateTime

Mod No

Open  
Authorized

Cancel

Before you associate any attribute with a country, it is desirable to ensure that the following information is already setup in the system:

- The countries that must be associated with EUSD options must be set up in the system in the Country Maintenance.

### **Country Code**

*Alphanumeric; 3 Characters; Mandatory*

Select the country for which you wish to define preferences.

### **CRRT Risk Level**

*Optional*

Select the CRRT i.e. the Country Reputation Risk Table associated with the country from the drop-down list. The reputation risk level may either be 'High' or 'Low'. High implies that it is a high risk country while Low indicates cautionary risk country.

While creating a unit holder, if the unit holder domicile country is listed in the CRRT list, then system throws up an error depending on the country risk level.

### **EUSD Options**

*Optional*

You need to associate a EUSD (European Union Savings Directive) option with each country. Based upon unit holder's country of domicile, the corresponding EUSD option of that country will get defaulted during unit holder creation.



The list displays the following values:

- With Holding Tax
- Exchange of Information

By default no option will be selected. If no option is selected the system will consider that the EUSD is not applicable and the system will not track the average cost as required for EUSD. If any of the option is selected then the system will consider that the EUSD is applicable.

The EUSD option at transaction level will be defaulted from the unit holder's EUSD Option. You can also modify the EUSD option at transaction level. The transaction level option will be taken as the EUSD option for a transaction. The following EUSD Options would be available at transaction level.

- With Holding Tax (WHT)
- Exchange of Information (EOI)
- Tax Certificate (TCE)

For all of the above three options, the system will calculate the EUSD tax. However, if you select With Holding Tax, the system will deduct it from the settlement amount.

### **Alpha Country Code**

*Alphanumeric; 3 Characters; Optional*

After you have defined the preferences of a country, you must have another user authorize it so that it would be effective in the system.

Before the record is authorized, you can edit it as many times as necessary. You can also delete it before it is authorized.

After authorization, you can only make changes to the record through an amendment.

## **3.48 Country Preference Maintenance Summary Screen**

This section contains the following topics:

- [Section 3.48.1, "Invoking the Country Preference Maintenance Summary Screen"](#)
- [Section 3.48.2, "Retrieving Country Preference Details"](#)
- [Section 3.48.3, "Editing Country Preference Details"](#)
- [Section 3.48.4, "Viewing Country Preference Details"](#)
- [Section 3.48.5, "Deleting Country Preference Details"](#)
- [Section 3.48.6, "Authorizing Country Preference Details"](#)
- [Section 3.48.7, "Amending Country Preference Details"](#)
- [Section 3.48.8, "Authorizing Country Preference Details"](#)
- [Section 3.48.9, "Copying the attributes"](#)

### **3.48.1 Invoking the Country Preference Maintenance Summary Screen**

After you have set up the country preferences, you must have another user authorize it so that it would be effective in the system. Country preferences for an unauthorized record will not be used in the system

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

Country Preference Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Country Code  CRRT Risk Level

EUSD Options

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Country Code	CRRT Risk Level	EUSD Options
------------	------	--------------	-----------------	--------------

Exit

You can perform the following operations from this screen:

- Retrieving Country Preference Details
- Editing Country Preference Details
- Viewing Country Preference Details
- Deleting Country Preference Details
- Authorizing Country Preference Details
- Amending Country Preference Details
- Authorizing Country Preference Details
- Copying the Attributes

### 3.48.2 Retrieving Country Preference Details

To retrieve a previously entered currency record:

1. Invoke the Country Preference Maintenance Summary screen and specify the following:
  - The authorization status of the currency record in the Authorization Status field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the currency records in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The Country Code
  - EUSD Options

- CRRT Risk Level
- 2. After you have specified the required details, click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve an individual Country Preference Maintenance from the Detail screen by doing query in the following manner:

- 1. Press F7
- 2. Input the Country Code
- 3. Press F8

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

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

For example, you can search the record for country code by using the combination of % and alphanumeric value.

Search by Z% :- System will fetch all the records whose country code starts from Alphabet 'Z'.

### **3.48.3 Editing Country Preference Details**

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

1. Invoke the Country Preference Maintenance Summary screen from the Browser.
2. Select the authorization status of the currency records that you want to retrieve for modification in the Authorized field. You can only modify records of currencies that are unauthorized. Accordingly, choose the unauthorized option from the drop down list.
3. Specify any or all of the search parameters of the currency for retrieving the records.
4. Click 'Search'. All unauthorized currencies with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the currency that you want to modify. The Country Preference Maintenance Detail screen is displayed.
6. Select Unlock Operation from Action list to modify the record. Modify the necessary information.
7. Click Save to save the changes. The Country Preference Maintenance screen is closed and the changes made are reflected in the Country Preference Maintenance Summary screen.

### **3.48.4 Viewing Country Preference Details**

To view the currency details that you have previously entered:

1. Invoke the Country Preference Maintenance Summary Screen from the Browser.
2. Select the authorization status of the currency records that you want to retrieve for viewing in the Authorized field. You can also view all currencies that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
3. Specify any or all of the search parameters.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.

5. Double click the record that you want to view. The Country Preference Maintenance screen Detail is displayed in view mode.

### **3.48.5 Deleting Country Preference Details**

You can delete only unauthorized records in the system. To delete a country preference record:

1. Invoke the Country Preference Maintenance Summary screen from the Browser.
2. Select the status of the currency record that you want to retrieve for deletion.
3. Specify any or all of the search parameters of the currency record in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the currency record that you want to delete. The Country Preference Maintenance Detail screen is displayed.
6. Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

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

1. Invoke the Currency Maintenance Summary screen from the Browser.
2. Select the status of the currency record that you want to retrieve for deletion.
3. Specify any or all of the search parameters of the currency record in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the currency record that you want to delete. The Currency Maintenance Detail screen is displayed.
6. Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **3.48.6 Authorizing Country Preference Details**

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

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

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

### **3.48.7 Amending Country Preference Details**

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

1. Invoke the Country Preference Maintenance Summary screen from the Browser.
2. Select the status of the currency record that you wish to retrieve for amendment. You can only amend records of currencies that are authorized.
3. Specify any or all of the search parameters of the currency in the corresponding fields on the screen.
4. Click 'Search'. All currency records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the currency that you want to amend. The Country Preference Maintenance screen is displayed in Amendment mode.
6. Click the Unlock operation from the Action list to amend the currency.
7. Amend the necessary information. Click the Save button to save the changes.

### **3.48.8 Authorizing Country Preference Details**

An amended country preference record must be authorized for the amendment to be made effective in the system. The process of authorization is the same as the process of normal authorization.

### **3.48.9 Copying the attributes**

If you want to create a new country preference record having the same attributes of an existing country preference record, you can copy the attributes of an existing country preference record to a new country preference record.

To copy the attributes:

1. Retrieve the country preference record whose attributes the new preference should inherit. You can retrieve the country preference record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.

## **3.49 Multiple Languages Maintenance**

This section contains the following topics:

- [Section 3.49.1, "Invoking the Language Support Detail Screen"](#)

### **3.49.1 Invoking the Language Support Detail Screen**

FCIS provides the facility to maintain multiple languages in the system. You may select different languages at the time of installation. However, you may select additional languages at a later stage. Existing Information entered in the default language gets copied to all the languages selected.

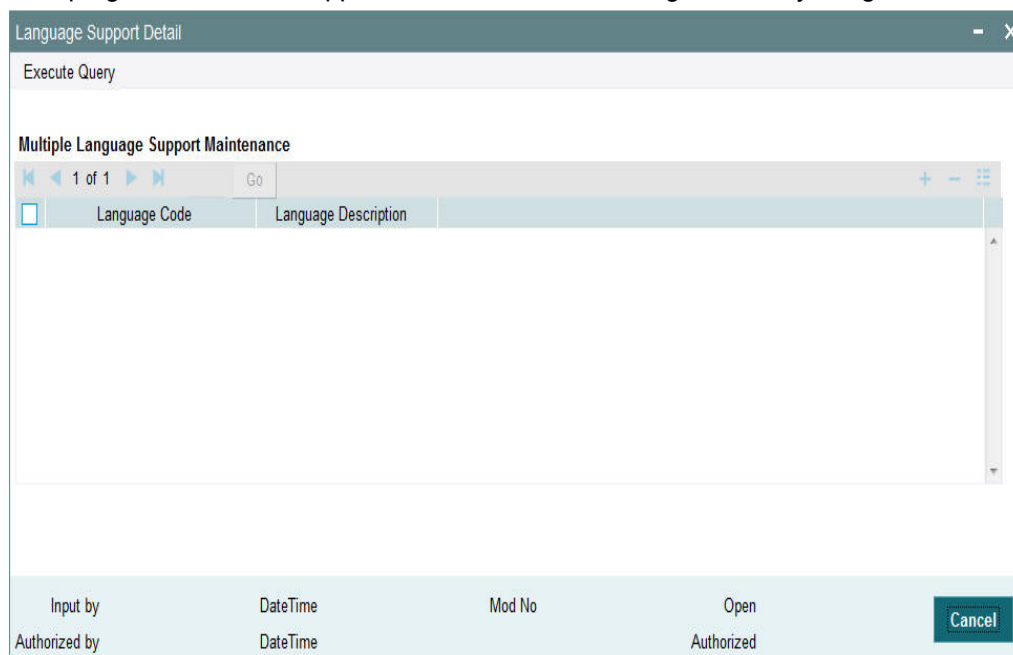
The 'Multiple Language Support Maintenance' screen allows you to select languages in which information is stored in the system apart from the default English language.

A list of factory shipped languages is provided. You may select the language codes that the system should support. You can capture information such as the currency name, fund name, etc. in the languages chosen in this screen.

The Multiple Language Support Maintenance screen can be used for the following operations on multiple languages:

- Retrieval for viewing
- Selecting additional language codes
- Editing an unauthorized language selection
- Authorizing language codes selected
- Amending authorized language selections

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



Specify the following language support details:

### **Multiple Language Support Maintenance**

#### **Language Code**

*Alphanumeric; 12 Characters; Optional*

Specify the code of the language. The adjoining option list displays valid language codes maintained in the system. You can select the appropriate one.

#### **Language Description**

*Display*

Upon selection of the language code, the system displays the description of the specified language code.

The above fields will be enabled only after executing the query.

## **3.50 KYC/ AML Maintenance**

This section contains the following topics:

- [Section 3.50.1, "Invoking the KYC Maintenance Detail Screen"](#)

### 3.50.1 Invoking the KYC Maintenance Detail Screen

For each jurisdiction (segment), you need to maintain standard and additional lists of documents to be collected from the investor. You may capture transactions; however system does not allow you to complete a transaction unless all the KYC requirements for that unit holder are met.

The lists of such documents vary based on the following parameters:

- Investor Entity Type (Trust, Individual, Fund, etc)
- Origin of funds: the investor's bank account is in a FATF or Non FATF Country

Use the 'KYC Maintenance Detail' screen to maintain the standard and additional lists of documents. You can invoke this screen by typing 'UTDKYCMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the KYC details.:

The screenshot shows the 'KYC Maintenance Detail' application window. At the top, there is a 'Save' button. Below it, there are three input fields: 'Country Type \*', 'Investor Category \*', and 'Category Description', each with a search icon. To the right, there are two text boxes: 'Country Type Description' containing 'Entity ID HKGDISTE' and 'Entity Name DIST HKG Entity'. Below these is a 'KYC Requirement List' section with a table. The table has columns for 'Document Type \*', 'Document \*', and 'Document Description'. The first row has 'Additional' in the 'Document Type' column. At the bottom, there are fields for 'Input by', 'DateTime', 'Mod No', 'Open', and 'Authorized by', along with a 'Cancel' button.

The ID of the entity assigned to the agent and its corresponding description are shown when you invoke the screen.

You need to set up the following parameters:

#### Country Type

*Alphanumeric; 1 Character; Mandatory*

In FC-IS, countries are categorized into four types; FATF (Financial Action Task Force), Non – FATF, NCCT, CRRT. FATF is an inter-governmental body for developing and promoting policies to combat money laundering.

Select FATF if you wish to maintain list of required KYC documents for investor account residing in a FATF country. Else, select Non - FATF.

#### Country Type Description

*Display*

The system displays the description for the selected country type.

**Investor Category**

*Alphanumeric; 2 Characters; Mandatory*

Select the category of investor for whom the list of required KYC documents is to be set up, from the drop-down list.

**Category Description**

*Display*

The system displays the description for the selected investor category.

**Entity ID**

*Display*

The system defaults the Entity ID linked to the selected country type.

**Entity Name**

*Display*

The system defaults the corresponding name of the defaulted entity here.

**KYC Requirement List****Document Type**

*Optional*

You can either classify documents as Standard or as Additional.

**Document**

*Alphanumeric; 255 Characters; Mandatory*

Specify the document name.

**Document Description**

*Display*

The system displays document description for the selected document.

## **3.51 KYC Maintenance Summary Screen**

This section contains the following topics:

- [Section 3.51.1, "Invoking the KYC Maintenance Summary Screen"](#)
- [Section 3.51.2, "Retrieving KYC List"](#)
- [Section 3.51.3, "Editing KYC Parameters"](#)
- [Section 3.51.4, "Viewing KYC Details"](#)
- [Section 3.51.5, "Deleting KYC Details"](#)
- [Section 3.51.6, "Authorizing KYC Details"](#)
- [Section 3.51.7, "Amending KYC Details"](#)
- [Section 3.51.8, "Authorizing Amended KYC Details"](#)
- [Section 3.51.9, "Copying Attributes"](#)

### **3.51.1 Invoking the KYC Maintenance Summary Screen**

After you have maintained lists of required KYC documents in the system, you can perform any of the following operations before the record is authorized:

- Edit the specified documents in the record.
- Delete the record.



After authorization, you can make changes to the record through an amendment operation.

The KYC Find Options screen helps you locate and retrieve the KYC list that you want to edit, view, delete, authorize or amend, from the database. You can invoke the 'KYC Maintenance Summary' screen by typing 'UTSKYCMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

KYC Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Country Type  Investor Category

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Country Type	Investor Category
------------	------	--------------	-------------------

Exit

### 3.51.2 Retrieving KYC List

The KYC Documents feature is available only if your installation has specifically requested for it.

To perform any operation on a KYC record, you must first retrieve the record from the database in the Summary screen.

- Specify any or all of the following details in the KYC Maintenance Summary screen:
  - The status of the record in the Authorized field. If you choose the “Blank Space” option, then all the records that involve are retrieved.
  - The status of the KYC records in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - Country Type
  - Investor Category
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### Note

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

- Press F7.

- Input any parameter in the screen.
  - Press F8.
- 

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

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

Example

You can search the record for Investor Category by using the combination of % and alphanumeric value that is, Search by N%: The system will fetch all the records whose Investor Category starts with the alphabet 'N'. Ex: NR.

### **3.51.3 Editing KYC Parameters**

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

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

### **3.51.4 Viewing KYC Details**

To view the KYC details, that you have previously entered:

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

### **3.51.5 Deleting KYC Details**

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

- Invoke the KYC Maintenance Summary screen from the Browser.

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

### **3.51.6 Authorizing KYC Details**

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

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

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

### **3.51.7 Amending KYC Details**

After the KYC details are authorized, it can be modified using the Unlock operation from Action list. To make changes to the KYC details after authorization:

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

### **3.51.8 Authorizing Amended KYC Details**

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

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

### 3.51.9 Copying Attributes

If you want to create a new KYC record having the same attributes of an existing record, you can copy the attributes of an existing KYC record to a new KYC record.

To copy the attributes:

- Retrieve the record whose attributes the new Income Distribution should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' from the Action list.
- Indicate the ID for the new Income Distribution Setup. You can however change the details of the new Income Distribution Setup if required.

## 3.52 KYC Ref Type Restrictions

This section contains the following topics:

- [Section 3.52.1, "Invoking the KYC Ref Type Restrictions Screen"](#)

### 3.52.1 Invoking the KYC Ref Type Restrictions Screen

According to FICA (Financial Intelligence Compliance Act), redemption payment transactions should not be processed until the required KYC documents have been received from the investor. However, you can configure the system to exclude certain reference types of transactions from the restrictions on redemption payouts even though the unit holder is FICA non-compliant.

Use the 'KYC Ref Type Restrictions Detail' screen to exclude ref types from redemption payout restrictions. You can invoke this screen by typing 'UTDKYCRE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

KYC Ref Type Restrictions Detail

Save

KYC Ref Type Restriction for Redemption

Auto Invest Applicable Yes

Auto Invest Lag

Reminder Lag

Ref Type Details

Ref Type	Ref Type Description
<input checked="" type="checkbox"/>	

Input by                      DateTime                      Mod No                      Open

Authorized by                      DateTime                      Authorized

Cancel

You can use this screen to:

- Enter new KYC ref type restrictions.
- Edit existing KYC ref type restrictions.
- View existing KYC ref type restrictions.
- Delete existing KYC ref type restrictions.
- Authorize KYC ref type restrictions.
- Amend authorized KYC ref type restrictions.

You can specify the following details in this screen:

#### **Auto Invest Applicable**

*Optional*

Check this box to indicate auto investment feature is applicable.

#### **Auto Invest Lag**

*Numeric; 22 Characters; Optional*

If auto investment feature is applicable, then you need to specify the payment lag in days, if any, to be applicable for redemption payouts.

#### **Reminder Lag**

*Numeric; 22 Characters; Optional*

Specify the reminder lag, in days, after which reminders must be generated for the redemption payout. The reminder lag must be less than the auto invest lag period specified in the previous field.

### **Ref Type Details Section**

#### **Ref Type**

*Alphanumeric; 50 Characters; Optional*

Select the code of the reference type from the adjoining option list.

#### **Ref Type Description**

*Display*

The system displays the description of the selected reference type.

## **3.53 KYC Ref Type Restrictions Summary Screen**

This section contains the following topics:

- [Section 3.53.1, "Invoking the KYC Ref Type Restriction Summary Screen"](#)
- [Section 3.53.2, "Retrieving KYC Ref Type Restriction Record"](#)
- [Section 3.53.3, "Editing KYC Ref Type Restrictions"](#)
- [Section 3.53.4, "Viewing KYC Ref Type Restrictions Record"](#)
- [Section 3.53.5, "Delete KYC Ref Type Restrictions Record"](#)
- [Section 3.53.6, "Authorizing KYC Ref Type Restrictions Record"](#)
- [Section 3.53.7, "Amending KYC Ref Type Restrictions Record"](#)
- [Section 3.55.8, "Authorizing Amended Frequency Preferences"](#)
- [Section 3.55.9, "Copying Attributes"](#)

### 3.53.1 Invoking the KYC Ref Type Restriction Summary Screen

You can invoke the 'KYC Ref Type Restrictions Summary' screen by typing 'UTSKYCRE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

KYC Ref Type Restrictions Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized [dropdown] Open [dropdown]

Auto Invest Applicable [dropdown] Auto Invest Lag [input]

Reminder Lag [input]

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Auto Invest Applicable	Auto Invest Lag	Reminder Lag
------------	------	------------------------	-----------------	--------------

Exit

The following operations can be performed in the KYC Ref Type Restrictions Summary screen:

- Retrieving KYC Ref Type Restriction Record
- Editing KYC Ref Type Restrictions
- Viewing KYC Ref Type Restrictions Record
- Delete KYC Ref Type Restrictions Record
- Authorizing KYC Ref Type Restrictions Record
- Amending KYC Ref Type Restrictions Record
- Authorizing KYC Ref Type Restrictions Record
- Copying the Attributes

### 3.53.2 Retrieving KYC Ref Type Restriction Record

You can retrieve a previously entered entity in the Summary screen, as follows:

Invoke the KYC Ref Type Restriction Summary screen and specify the following:

- The status of the entity in the Authorized field. If you choose the "Blank Space" option, then all the entities are retrieved.
- The status of the entity in the Open field. If you choose the "Blank Space" option, then all the entities are retrieved.

- Auto Invest Applicable
- Auto Invest lag
- Reminder Lag

After you have specified the required details, click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve the individual interest rate details from the Detail screen by doing query in the following manner:-

- Press F7
- Indicate whether auto invest applicable
- Press F8

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

### **3.53.3 Editing KYC Ref Type Restrictions**

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

1. Invoke the KYC Ref Type Restriction Summary screen from the Browser.
2. Select the status of the records that you want to retrieve for modification in the Authorization Status field. You can only modify records of entities that are unauthorized. Accordingly, choose the unauthorized option from the drop down list.
3. Specify any or all of the search parameters of KYC Ref Type Restriction parameters in the corresponding fields on the screen to retrieve the entity that is to be modified.
4. Click 'Search'. All unauthorized entities with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to modify. The KYC Ref Type Restriction Detail screen is displayed.
6. Select Unlock Operation from Action list to modify the record. Modify the necessary information.
7. Click Save to save the changes. The KYC Ref Type Restriction Detail screen is closed and the changes made are reflected in the KYC Ref Type Restriction Summary screen.

### **3.53.4 Viewing KYC Ref Type Restrictions Record**

To view the interest rate details that you have previously entered:

1. Invoke the KYC Ref Type Restriction Summary Screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to view. The KYC Ref Type Restriction Detail screen is opened in view mode.

### **3.53.5 Delete KYC Ref Type Restrictions Record**

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

1. Invoke the KYC Ref Type Restriction Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to delete. The KYC Ref Type Restriction Detail screen is displayed.
6. Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **3.53.6 Authorizing KYC Ref Type Restrictions Record**

An unauthorized record must be authorized in the system for it to be processed. To authorize the interest rate details:

1. Invoke the KYC Ref Type Restriction Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you wish to authorize. The KYC Ref Type Restriction screen displayed. Select Authorize operation from Action.

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

### **3.53.7 Amending KYC Ref Type Restrictions Record**

After the interest rate details are authorized, they can be modified using the Unlock operation from Action list. To make changes to the interest rate details after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

1. Invoke the 'Interest Rate Maintenance' Summary screen from the Browser.
2. Select the status of the record that you wish to retrieve for amendment. You can only amend records of entities that are authorized.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to amend. The 'Interest Rate Maintenance' screen is displayed in Amendment mode.
6. Click the Unlock operation from the Action list to amend the entity.
7. Amend the necessary information. Click the Save button to save the changes.



### 3.53.8 Authorizing KYC Ref Type Restrictions Record

Any amended interest rate details must be authorized for the amendment to be made effective in the system. The process of authorization is subsequently the same as that for normal transactions.

### 3.53.9 Copying the Attributes

If you want to create a KYC Ref Type Restriction having the same attributes of an existing restriction, you can copy the attributes of an existing KYC Ref Type restriction to a new restriction.

To copy the attributes:

1. Retrieve the KYC Ref Type Restriction record whose attributes the restriction should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
2. Click on 'Copy' in the Actions list.
3. Indicate the parameters for the new KYC Ref Restriction type. You can however change the details if required.

## 3.54 SIP/ SWP/ STP Rules

This section contains the following topics:

- [Section 3.54.1, "Maintaining Systematic Plans"](#)

### 3.54.1 Maintaining Systematic Plans

FCIS allows you to meet the following requirements related to rules for systematic plans:

- Multiple frequencies for SIP/ SWP/ STP
- Min / Max SI amount per frequency and automatic cancellation after 'n' failures
- Minimum number of SIP/ SWP/ STP to be committed per frequency
- Validation of holdings for SWP/ STP setup
- Automatic cancellation after last installment in SWP/ STP

The multiple frequencies provided for SI at Fund level are as mentioned below:

Frequency	Available values for each frequency	Explanation
Weekly (A)	1,8,15,22 2,10,20,28 3,6,16,27 4,7,18,29 5,10,15,20	You need to select any 4 dates from 1 to 31. There would be 5 such sets of dates at fund level.  While capturing SI, you can select any of the sets available at the fund level and map it to the unitholder.
Weekly (B)	Sun/Mon/Tue/ Wed/Thu/Fri/Sat	At the fund rules level, there are a set of values from Sunday to Saturday. Fund would map any day(s) as applicable.  While capturing SI, you would be able to select any day from the set available at Fund level.

Frequency	Available values for each frequency	Explanation
Fortnightly	1,22 2,28 3,27 4,29 5,20	You can select any 2 dates from 1 to 31. There would be 5 such sets of dates at fund level.  While capturing SI, you can select any of the sets available at Fund level.
Monthly	Any date of month	User would choose any date(s) from 1 to 31.  While capturing SI, user would select any of the date from the allowed dates at fund level.
Quarterly	Any date of month	You can choose any date(s) from 1 to 31.  While capturing SI, you can select any of the date from the allowed dates at fund level. If the first SI is to generate on 18 <sup>th</sup> Jan, the next generation would happen on 18 <sup>th</sup> April.

---

**Note**

Only one of the weekly frequencies is applicable to a fund i.e. either date based or week based.

---

You are allowed to capture minimum amount, maximum amount and minimum balance of SI for each frequency and transaction type. Example, for SIP of weekly frequency, the minimum amount is Rs. 500 and maximum amount is Rs. 1000. The SI setup validates the SI for the amount captured at the frequency level.

The System should automatically cancels SIP/ SWP/ STP after 3 (parameterized value) continuous failures. Also, minimum balance in amount is captured for every frequency. At the time of setting up SWP and STP, the system validates this amount against the amount by multiplying the balance and the latest NAV. The STP validation is applicable in the fund from which STP is done.

FCIS also allows you to capture the minimum number of SI at frequency level. SI setup is allowed until the criteria for minimum number of SI is met. The start date and end date of the SI is generated depending on the SI rules.

For example,

UH can invest in monthly frequency – SI dates are 2<sup>nd</sup> or 10<sup>th</sup> of a month

UH can invest in quarterly frequency – SI dates are 3<sup>rd</sup> or 15<sup>th</sup> of a month

Minimum number of installments for monthly frequency is 6 and for quarterly frequency is 2.

Assuming that a unit holder decides to invest in monthly SIP and selects 10<sup>th</sup> as the SIP date. The application is submitted on 9<sup>th</sup> Jan and UH gives 6 instructions. The SI setup is allowed because criteria for 6 SI's are met. Also the start date and end date is defaulted to 10<sup>th</sup> Jan and 10<sup>th</sup> Jun respectively.

In case SWP/ STP results in lesser amount being confirmed back by RTA (a case where no further balance is available), the SWP/ STP is automatically canceled.

The 'Frequency Preferences Detail' screen can be used to define setup of dates / days that can be used for mapping in Fund rules and Standing Instructions.

You can invoke this screen by typing 'UTDFRQPR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the frequency preference details.

You can capture the following information

### Frequency ID

*Alphanumeric; 10 Characters; Mandatory*

Enter a unique ID for the setup.

### Description

*Alphanumeric; 255 Characters; Mandatory*

Specify the description of the setup.

### Frequency

*Alphanumeric; 1 Character; Mandatory*

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

### Set Type

*Mandatory*

This is applicable only if frequency selected is Weekly. The Applicable values being

- Dates

- Days

For other frequencies, it would be defaulted to Dates and you will not be allowed to change it.

### **Display individual set values**

#### *Display*

The system automatically derives Display Individual Set Values based on the Frequency and Set Type selected. If you have selected 'Frequency' as 'Weekly', then you can select 'Set Type' as Dates or Days.

The logic of 'Display individual set values' derived by the system is as follows:

<b>Frequency</b>	<b>Set type</b>	<b>Display individual set values</b>
Weekly	DATE	NO
Weekly	DAY	YES
Fortnightly	DATE	NO
Monthly	DATE	YES/NO (only one value in one SET so functionally no use)
Quarterly	DATE	YES/NO (only one value in one SET so functionally no use)

### **Frequency Details**

#### **Set ID**

*Alphanumeric; 10 Characters; Mandatory*

Specify the unique ID for this set depending on the frequency specified.

---

#### **Note**

If Set ID is already mapped to the SI, you cannot delete the same during amendment. This will be checked by looking at the funds that are mapped to the Freq. ID for which SI has been setup for a particular Set ID

---

#### **List Of Dates/Days**

*Alphanumeric; 255 Characters; Mandatory*

Specify the dates or days based on the 'Set Type'.

---

#### **Note**

If the client country parameter is set to "SIRULEATFREQ" for your bank please refer to Annex\_A.doc for further details.

---

## **3.55 Frequency Preferences Summary Screen**

This section contains the following topics:

- [Section 3.55.1, "Invoking the Preferences Frequency Summary Screen"](#)
- [Section 3.55.2, "Retrieving Frequency Preferences"](#)
- [Section 3.55.3, "Editing Frequency Preference Record"](#)

- [Section 3.55.4, "Viewing Frequency Preference Record"](#)
- [Section 3.55.5, "Deleting Frequency Preference Record"](#)
- [Section 3.55.6, "Authorizing Frequency Preferences"](#)
- [Section 3.55.7, "Amending Frequency Preferences"](#)
- [Section 3.55.8, "Authorizing Amended Frequency Preferences"](#)
- [Section 3.55.9, "Copying Attributes"](#)

### 3.55.1 Invoking the Preferences Frequency Summary Screen

The 'Frequency Preferences Summary' screen can be used to view the details regarding setup of dates / days that can be used for mapping in Fund rules and Standing Instructions.

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

### 3.55.2 Retrieving Frequency Preferences

You can retrieve a previously entered frequency preferences record in the Summary screen, as follows:

- Invoke the Frequency Preferences Summary screen and specify the following:
  - The authorization status of the record in the Authorized field.
  - The status of the record in the Open field.
  - The Frequency ID
  - Frequency
  - Set Type

- After you have specified the required details, click 'Search' button. All entities with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

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

- Press F7.
  - Input any parameter in the screen.
  - Press F8.
- 

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

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

For Example:

- You can search the record for Entity ID by using the combination of % and numeric value:
- Search by %7:- System will fetch all the records whose entity ID Type ends by numeric value '7'. For example, 1247.
- Search by %17%:- System will fetch all the records whose Entity ID contains the numeric value 17. For example, 1417.

### **3.55.3 Editing Frequency Preference Record**

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

- Invoke the Frequency Preference Summary screen from the Browser.
- Select the status of the frequency ID record that you want to retrieve for modification in the Authorized field. You can only modify records of entities that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- Specify any or all of the search parameters in the corresponding fields on the screen to retrieve the entity that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the entity that you want to modify. The Frequency Preferences Maintenance screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The Frequency Preferences Maintenance screen is closed and the changes made are reflected in the Frequency Preferences Summary screen.

### **3.55.4 Viewing Frequency Preference Record**

To view a frequency preference record that you have previously entered:

- Invoke the Frequency Preference Summary Screen from the Browser.

- Select the status of the record that you want to retrieve for viewing in the Authorized field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the search parameters in the corresponding fields on the screen.
- Click 'Search' button . All entities with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the entity that you want to view. The Frequency Preferences Maintenance screen is displayed in view mode.

### **3.55.5 Deleting Frequency Preference Record**

You can delete only unauthorized records in the system. To delete a frequency preference record:

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

### **3.55.6 Authorizing Frequency Preferences**

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

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

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

### **3.55.7 Amending Frequency Preferences**

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

- Invoke the Frequency Preference Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend records of entities that are authorized.
- Specify any or all of the search parameters in the corresponding fields on the screen.

- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the entity that you want to amend. The Single Entity Maintenance screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the entity.
- Amend the necessary information. Click the Save button to save the changes.

### **3.55.8 Authorizing Amended Frequency Preferences**

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

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

### **3.55.9 Copying Attributes**

If you want to create a frequency preference having the same attributes of an existing preference, you can copy the attributes of an existing preference to a new preference.

To copy the attributes:

- Retrieve the record whose attributes the new frequency preference should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the Frequency ID for the new preference. You can however change the details if required.

## **3.56 Interest Rate Details**

This section contains the following topics:

- [Section 3.56.1, "Maintaining Interest Rate Details"](#)

### **3.56.1 Maintaining Interest Rate Details**

The interest rate that is to be used for interest calculation is maintained using the Interest Rate Maintenance screen. In order to arrive at the rate of interest, you have to maintain the effective date, transaction currency details and Interest Rate of the transaction.

You can invoke the 'FCIS Interest Rate Maintenance Detail' screen by typing 'UTDINRMN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow



button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

FCIS Interest Rate Maintenance Detail

Save

Effective Date\*  [Calendar Icon]

Interest Rate(%)\*

Transaction Currency\*  [Dropdown Arrow Icon]

Currency Name

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

Cancel

#### **Effective Date**

*Date Format; Mandatory*

Specify the date the system should consider for calculating the rate of interest.

#### **Interest Rate (%)**

*Numeric; 30 Characters; Mandatory*

Specify the Interest Rate for the currency you have selected.

#### **Transaction Currency**

*Alphanumeric; 3 Characters; Mandatory*

Select the currency of transaction from the option list.

#### **Currency Name**

*Display*

The system displays the name of the selected transaction currency.

## **3.57 Interest Rate Summary Screen**

This section contains the following topics:

- [Section 3.57.1, "Invoking the FCIS Interest Rate Maintenance Summary Screen"](#)
- [Section 3.57.2, "Retrieving Entity in Summary Screen"](#)
- [Section 3.57.3, "Editing Interest Rate"](#)
- [Section 3.57.4, "Viewing Interest Rate Details"](#)
- [Section 3.57.5, "Deleting Interest Rate Details"](#)
- [Section 3.57.6, "Authorizing Interest Rate Details"](#)
- [Section 3.57.7, "Amending Interest Rate Details"](#)
- [Section 3.57.8, "Authorizing Amended Interest Rate Details"](#)
- [Section 3.57.9, "Copying Attributes"](#)

### 3.57.1 Invoking the FCIS Interest Rate Maintenance Summary Screen

After you have maintained Interest Rates, you must authorize it to be effective in the system. Before the Interest Rates are authorized, you can edit it as many times as necessary.

Here, in this screen you can view the summary of all the transactions on different dates, currencies and interest rates. Hence this screen helps you keep track of the interest rates.

You can invoke the 'FCIS Interest Rate Maintenance Summary' screen by typing 'UTSINRMN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Interest Rate Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Open

Effective Date  Interest Rate(%)

Transaction Currency

Records per page: 15 1 of 1 Go Lock Columns: 0

Authorization Status	Open	Effective Date	Interest Rate(%)	Transaction Currency
----------------------	------	----------------	------------------	----------------------

Exit

### 3.57.2 Retrieving Entity in Summary Screen

You can retrieve a previously entered entity in the Summary screen, as follows:

- Invoke the Entity Maintenance Summary screen and specify the following :
  - The status of the entity in the Authorization Status field. If you choose the “Blank Space” option, then all the entities are retrieved.
  - The status of the entity in the Open field. If you choose the “Blank Space” option, then all the entities are retrieved.
  - Effective Date
  - Interest Rate(%)
  - Transaction Currency
- After you have specified the required details, click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual interest rate details from the Detail screen by doing query in the following manner:-

- Press F7
  - Input any parameter in the screen
  - Press F8
- 

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

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

Example:

You can search the record for Interest Rate by using the combination of % and alphanumeric value as follows:-

- **Search by Z%:** The system will fetch all the records whose Interest Rate starts from Alphabet 'Z'. For example, ZAR.
- **Search by %2:** The system will fetch all the records whose Interest Rate ends by numeric value '2'. For example, 12.

### **3.57.3 Editing Interest Rate**

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

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

### **3.57.4 Viewing Interest Rate Details**

To view the interest rate details that you have previously entered:

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

- Double click the record that you want to view. The Interest Rate Maintenance Detail screen is opened in view mode.

### **3.57.5 Deleting Interest Rate Details**

You can delete only unauthorized records in the system. To delete an interest rate parameter:

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

### **3.57.6 Authorizing Interest Rate Details**

An unauthorized record must be authorized in the system for it to be processed. To authorize the interest rate details:

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

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

### **3.57.7 Amending Interest Rate Details**

After the interest rate details are authorized, they can be modified using the Unlock operation from Action list. To make changes to the interest rate details after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

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

### 3.57.8 Authorizing Amended Interest Rate Details

Any amended interest rate details must be authorized for the amendment to be made effective in the system.

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

### 3.57.9 Copying Attributes

If you want to create an interest rate definition having the same attributes of an existing interest rate, you can copy the attributes of an existing interest rate to a new rate.

To copy the attributes:

- Retrieve the interest rate record whose attributes the new interest rate should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the parameters for the new interest rate. You can however change the details if required

## 3.58 Rate Details for Hedge Funds

This section contains the following topics:

- [Section 3.58.1, "Invoking the Rate Maintenance Screen"](#)
- [Section 3.58.2, "Operations on Interest Rate Details"](#)

### 3.58.1 Invoking the Rate Maintenance Screen

You can maintain the interest rate details for hedge funds in 'Rate Maintenance' screen. You can invoke this screen by typing 'UTDRATES' 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 "Rate Maintenance" with a "Save" button at the top left. The main area contains four input fields: "Rate Code \*" with a search icon, "Currency Code \*" with a search icon, "Effective Date \*" with a date picker icon and a mask of "MM/DD/YYYY", and "Rate \*". At the bottom, there are labels for "Input by", "Authorized by", "DateTime", "Mod No", "Open", and "Authorized", along with a "Cancel" button.

**Rate Code**

*Alphanumeric; 10 Characters; Mandatory*

Specify the rate code applicable for hedge fund or select the rate code from the option list provided. All rate codes maintained for the system parameter 'RATECODE' get displayed in the option list.

**Currency Code**

*Alphanumeric; 3 Characters; Mandatory*

Specify currency code related to the hedge fund or select the same from the option list provided. All valid currency codes maintained in the system get displayed in the option list.

**Effective Date**

*Date Format; Mandatory*

Specify the date on which the selected rate code becomes effective in the system. You can select the date by clicking the 'Calendar' icon provided.

**Rate**

*Numeric; 10 Characters; Mandatory*

Specify the interest rate to be applied for hedge funds. The rate specified here becomes effective on the 'Effective Date' indicated previously.

### **3.58.2 Operations on Interest Rate Details**

You can perform the following operations on an interest rate record.

- **New** – an unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
- **Modify** – an unauthorized record can be modified by the maker (edit rights required)
- **Delete** – an unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).
- **Authorize** – an unauthorized record can be authorized by anyone other than the maker (authorize rights required)
- **Amendment** – you can also amend a rate record, if required

## **3.59 Rate Maintenance Summary Screen**

This section contains the following topics:

- [Section 3.59.1, "Invoking the Rate Maintenance Summary Screen"](#)
- [Section 3.59.2, "Viewing a Rate Maintenance Record"](#)
- [Section 3.59.3, "Modifying a Rate Maintenance Record"](#)
- [Section 3.59.4, "Deleting a Rate Maintenance Record"](#)
- [Section 3.59.5, "Authorizing a Rate Maintenance Record"](#)
- [Section 3.59.6, "Amending a Rate Maintenance Record"](#)



- Click Query. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The Rate Maintenance screen is displayed in View mode.

### **3.59.3 Modifying a Rate Maintenance Record**

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

- Invoke the Rate Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all the records that involve the specified tax compliance document Maintenance are retrieved.
- Rate Code
- Currency Code
- Click Query. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Rate Maintenance Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The High Water Mark Detail screen is closed and the changes made are reflected in the Rate Maintenance Summary screen.

### **3.59.4 Deleting a Rate Maintenance Record**

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

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

### **3.59.5 Authorizing a Rate Maintenance Record**

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

- Invoke the Rate Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.



- Click Query. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Rate Maintenance Detail screen is displayed. Select Authorize operation from the Action List.

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

### **3.59.6 Amending a Rate Maintenance Record**

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

Invoke the Rate Maintenance Summary screen from the Browser.

- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click Query. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Rate Maintenance screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

## **3.60 High Water Mark Details**

This section contains the following topics:

- [Section 3.60.1, "Maintaining High Water Mark Details"](#)
- [Section 3.60.2, "Operations on High Water Mark"](#)

### **3.60.1 Maintaining High Water Mark Details**

High Water Mark (HWM) is defined to determine the performance fee associated with a hedge fund. High Water Mark mechanism ensures that the Fund Managers do not get the performance fee when the fund has negative performance compared to the previous performance fee period. The Fund Manager receives performance fee only on increases in Net Asset Value of the fund, in excess of the highest net asset value (High Water Mark) it had previously achieved.

The following example illustrates performance fee calculations for hedge funds having High Water Marks:

Example,

Assume that a fund launched at a net asset value of \$100 per share, rose to \$120 in its first year. In this case performance fee would be payable on the \$20 return on each share. If in the next year the share value drops to \$110, no performance fee will be paid. If in the third year the share value rises to \$130, performance fee will be calculated only on the \$10 return from the previous highest value, \$120 (high water mark), rather than on the full return from \$110 to \$130.

You can maintain the details related high water mark for a fund in 'High Water Mark Maintenance' screen. You can invoke this screen by typing 'UTDHWM' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

### Fund ID

*Alphanumeric; 6 Characters; Mandatory*

Specify the fund Id for which you wish to maintain high water mark or select the fund Id from the option list provided.

### Fund Name

*Display*

The name of the selected fund gets displayed here.

### Effective Date

*Date Format; Mandatory*

Specify the date on which the high water mark value becomes effective for the fund. You can also select the date by clicking the 'Calendar' icon provided.

### High Water Mark

*Numeric; 27 Characters; Mandatory*

Specify the high water mark value for the selected fund, beyond which if the fund value increases, the performance fee gets collected. You need to capture this value only for the first valuation period for the fund. For subsequent periods, the system will automatically populate the highest net asset value previously achieved by the fund.

## 3.60.2 Operations on High Water Mark

You can perform the following operations on a high water mark record.

- **New** – an unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
- **Modify** – an unauthorized record can be modified by the maker (edit rights required)
- **Delete** – an unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).

- **Authorize** – an unauthorized record can be authorized by anyone other than the maker (authorize rights required)
- **Amendment** – you can amend an HWM record; however the amendment will not be allowed if fund price is maintained for the day later than or equal to HWM effective date.

## 3.61 High Water Mark Summary Screen

This section contains the following topics:

- [Section 3.61.1, "Invoking the High Water Mark Summary Screen"](#)
- [Section 3.61.2, "Viewing a High Water Mark record"](#)
- [Section 3.61.3, "Modifying a High Water Mark record"](#)
- [Section 3.61.4, "Deleting a High Water Mark record"](#)
- [Section 3.61.5, "Authorizing a High Water Mark record"](#)
- [Section 3.61.6, "Amending High Water Mark record"](#)

### 3.61.1 Invoking the High Water Mark Summary Screen

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

The screenshot shows the 'High Water Mark Summary' application window. At the top, there is a search bar with buttons for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below the search bar, there is a section for search criteria including 'Authorized' (a dropdown menu), 'Fund ID', 'Open' (a dropdown menu), and 'Effective Date' (a date picker). There is also a field for 'High Water Mark (HWM)'. Below these fields is a table with columns: 'Authorized', 'Open', 'Fund ID', 'Effective Date', and 'High Water Mark (HWM)'. The table is currently empty. At the bottom right of the window is an 'Exit' button.

You can perform the following operations in this screen:

### **3.61.2 Viewing a High Water Mark record**

To view a record that you have previously input, you must retrieve the same in the High Water Mark Summary screen as follows:

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

### **3.61.3 Modifying a High Water Mark record**

You can modify the details of a High Water Mark record that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

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

### **3.61.4 Deleting a High Water Mark record**

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

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

### **3.61.5 Authorizing a High Water Mark record**

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

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

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

### **3.61.6 Amending High Water Mark record**

After a High Water Mark record is authorized, it can be modified using the Unlock operation from the Action List. You will not be allowed to amend the record if fund price is maintained for the day later than or equal to HWM effective date.

- To make changes to a record after authorization:
- Invoke the High Water Mark Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click Query. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The High Water Mark screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

## **3.62 Data Elements**

This section contains the following topics:

- [Section 3.62.1, "Maintaining Data Elements"](#)
- [Section 3.62.2, "Operations on Data Elements"](#)

### **3.62.1 Maintaining Data Elements**

Data elements are maintained to calculate the performance fee associated with hedge funds. Data elements can be of either of the following two types:

- Non-Derived or factory shipped - e.g. HWM, SUB\_PRICE (Subscription price), RED\_PRICE (Redemption price) etc.
- Derived - you can define your own set of elements to use while building the performance fee formula

Some of the derived elements like APFPS, CL\_FACTOR, RED\_AMT, SUB\_AMT, RED\_UNITS, SUB\_UNITS and PF\_VAL are also factory shipped.

You can capture the details related to derived data elements in 'Element Maintenance' screen.

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

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

### **Element ID**

*Alphanumeric; 20 Characters; Mandatory*

Specify a unique code to identify the data element.

### **Element Description**

*Alphanumeric; 255 Characters; Mandatory*

Specify a suitable description for the element.

In this screen, you can also modify an existing derived data element. The tables given below list the factory-shipped non-derived and derived data elements:

**Non-derived (Factory Shipped)**

<b>Element Id</b>	<b>Element Description</b>
HWM	Latest High Water Mark
HWM_RED	High Water Mark at time of redemption
HWM_SUB	High Water Mark at time of subscription
HWMHR_RED	(High Water Mark+Hurdle Rate) at time of redemption
HWMHR_SUB	(High Water Mark+Hurdle Rate) at time of subscription
HWMHR_LAT	Latest (High Water Mark+Hurdle Rate)
END_PRC	End Price (Price at period end)
SUB_PRC	Subscription Price
RED_PRC	Redemption Price
GAV	Latest Gross Asset Value
GAV_SUB	Gross Asset Value ( On Subscription Date)
GAV_RED	Gross Asset Value ( On Redemption Date)
LOT_HWM_RED	Lot level High Water Mark at time of redemption
LOT_HWM_SUB	Lot level High Water Mark at time of subscription
LOT_HWMHR_RED	(Lot level High Water Mark+Hurdle) at time of redemption
LOT_HWMHR_SUB	(Lot level High Water Mark+Hurdle) at time of subscription
TXN_UNITS	Transaction Units
PF_RATE	Performance Fee Rate defined at Fund/Investor Category level.

### Derived (Factory Shipped)

Element Id	Element Description
APFPS_IN	Accrued Performance fee per share calculated during inflow transactions
CLFAC_IN	Contingent Liquidation Factor calculated during inflow transactions
RED_AMT	Redemption Amt
SUB_AMT	subscription Amt
RED_UNITS	Redemption units
SUB_UNITS	subscription units
PF_VAL	PF Value
CL_VAL	Contingent liquidation Value calculated during inflow(Will be used as an expression element id to calculate the total CL value, This represent the additional performance fee investor needs to pay to the fund manager in case of Early redemption /Period End, if Sub Price < HWM + hurdle during subscription and during redemption GAV > red / end price.

### 3.62.2 Operations on Data Elements

You can perform the following operations on a data element record.

- **New** – an unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
- **Modify** – an unauthorized record can be modified by the maker (edit rights required)
- **Delete** – an unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).
- **Authorize** – an unauthorized record can be authorized by anyone other than the maker (authorize rights required)

## 3.63 Element Maintenance Summary Screen

This section contains the following topics:

- [Section 3.63.1, "Invoking the Element Maintenance Summary Screen"](#)
- [Section 3.63.2, "Viewing an Element Maintenance record"](#)
- [Section 3.63.3, "Modifying an Element Maintenance record"](#)
- [Section 3.63.4, "Deleting an Element Maintenance record"](#)
- [Section 3.63.5, "Authorizing an Element Maintenance record "](#)



### 3.63.1 Invoking the Element Maintenance Summary Screen

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

The screenshot shows the 'Element Maintenance Summary' application window. At the top, there is a search bar with buttons for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below the search bar, there are two dropdown menus labeled 'Authorized' and 'Open', and a text field for 'Element ID' with a search icon. A table below shows columns for 'Authorized', 'Open', 'Element ID', and 'Element Description'. The table is currently empty. At the bottom right, there is an 'Exit' button.

You can perform the following operations in this screen:

- Viewing an Element Maintenance record
- Modifying an Element Maintenance record
- Deleting an Element Maintenance record
- Authorizing an Element Maintenance record

### 3.63.2 Viewing an Element Maintenance record

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

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

### **3.63.3 Modifying an Element Maintenance record**

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

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

### **3.63.4 Deleting an Element Maintenance record**

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

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

### **3.63.5 Authorizing an Element Maintenance record**

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

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

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

## 3.64 Rules for Performance Fee Calculation

This section contains the following topics:

- [Section 3.64.1, "Maintaining Rules for Performance Fee Calculation"](#)
- [Section 3.64.2, "Condition Builder Button"](#)
- [Section 3.64.3, "Expression Builder Button"](#)
- [Section 3.64.4, "Operations on Performance Fee Rules"](#)

### 3.64.1 Maintaining Rules for Performance Fee Calculation

You can maintain the formulas and expressions used to set up the rule for performance fee calculation in 'Rule Maintenance' screen. The derived and non derived data elements are used to create expressions and formula while setting up the rules.

You can invoke 'Rule Maintenance' screen by typing 'UTDHDRUL' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.

Formula No *	Condition	Element ID *	Expression *	Condition Builder	Expression Buil
<input checked="" type="checkbox"/>				Condition Builder	Expression Buil

Input by	DateTime	Mod No	Open	Ok	Cancel
Authorized by	DateTime		Authorized		

#### **Rule ID**

*Numeric; 5 Characters; Mandatory*

Specify a unique code to identify the performance fee calculation rule.

#### **Description**

*Alphanumeric; 255 Characters; Mandatory*

Specify a suitable description for the rule.

## **Rule Details**

### **Formula No**

*Numeric; 5 Characters; Mandatory*

Specify the line number associated with the rule.

### **Condition**

*Alphanumeric; 4000 Characters; Optional*

Click 'Condition Builder' to specify the condition to be associated with the rule. The condition specified in the 'Condition Builder' screen is displayed here.

### **Element ID**

*Alphanumeric; 20 Characters; Mandatory*

The result obtained from the 'Expression Builder' screen is displayed here.

### **Expression**

*Alphanumeric; 4000 Characters; Mandatory*

Click 'Expression Builder' to specify the expression to be used to derive the performance fee. The condition specified in the 'Expression Builder' screen is displayed here.

### **Rounding Basis**

*Mandatory*

Select the basis for rounding from the options provided in the drop-down list. The following options are provided:

- Unit Rounding - unit based rounding defined at the given fund level
- Currency Rounding - rounding option as defined at FBC
- User defined - Round up/Round Down /Round/Truncate with number of decimals

### **Rounding Option**

*Optional*

Select the rounding options from the drop-down list. The following options are provided:

- Round Standard
- Rounding Up
- Rounding Down
- Truncate

### **No of Decimals**

*Numeric; 2 Characters; Optional*

Specify the number of decimals to be applied during rounding.

### 3.64.2 Condition Builder Button

Click 'Condition Builder' to invoke the 'Condition Builder' screen where you can specify the condition to be checked for performance fee calculation.

The screenshot shows a 'Condition Builder' dialog box. It contains the following elements:

- Field Name:** A text input field with a search icon.
- Condition:** A text input field.
- Additional Operator:** A dropdown menu.
- Value:** A text input field.
- Logical Operator:** A dropdown menu.
- Mathematical Operator:** A dropdown menu.
- Buttons:** 'And', 'Or', 'Accept', 'Clear' (on the right); 'Ok', 'Cancel' (at the bottom right).

You can specify the following details in this screen:

#### **Field Name**

*Alphanumeric; 30 Characters; Optional*

Specify the data element to be used to derive the condition for the rule or select the element Id from the option list provided.

#### **Condition**

*Alphanumeric; 4000 Characters; Optional*

Specify the condition to be used.

#### **Logical Operator**

*Optional*

Select the logical operator to be used to derive the condition for the rule from the drop-down list provided. The list displays the following values:

- <
- >
- =
- <>
- <=
- >=

### **Mathematical Operator**

*Optional*

Select the mathematical operator to be used to derive the condition for the rule from the drop-down list provided. The list displays the following values:

- +
- -
- %
- /

### **Additional Operator**

*Optional*

Select the additional operator to be used to derive the condition for the rule from the drop-down list provided. The list displays the following values:

- Comma
- (
- )
- Min
- Max

### **Value**

*Alphanumeric; 30 Characters; Optional*

Specify the value.

You can use the 'And' or 'Or' button to join the conditions, if required.

Click 'Accept' to add to the existing value in the condition and click 'Clear' to clear the condition.

### 3.64.3 Expression Builder Button

You can specify the expression to be evaluated to derive the performance fee in the 'Expression Builder' screen. Click 'Expression Builder' in 'Rule Maintenance' screen to invoke the 'Expression Builder' screen.

The screenshot shows the 'Expression Builder' dialog box. It contains the following elements:

- Field Name:** A text input field with a search icon.
- Expression:** A text input field.
- Additional Operator:** A dropdown menu.
- Value:** A text input field.
- Mathematical Operator:** A dropdown menu.
- Accept:** A blue button.
- Clear:** A blue button.
- Ok:** A button at the bottom right.
- Cancel:** A button at the bottom right.

#### **Field Name**

*Alphanumeric; 30 Characters; Mandatory*

Specify the data element to be used to derive the condition for the rule or select the element Id from the option list provided.

#### **Expression**

*Alphanumeric; 4000 Characters; Optional*

Specify the expression to be used.

#### **Additional Operator**

*Optional*

Select the additional operator to be used to derive the condition for the rule from the drop-down list provided. The list displays the following values:

- Comma
- (
- )

- Min
- Max

**Value**

*Alphanumeric; 30 Characters; Optional*

Specify the value.

**Mathematical Operator**

*Optional*

Select the mathematical operator to be used to derive the condition for the rule from the drop-down list provided. The list displays the following values:

- +
- -
- %
- /

Click 'Accept' to add to the existing value in the condition and click 'Clear' to clear the condition.

In this screen, you can specify the expression to derive performance fee in the same manner as condition builder. The result obtained from the 'Expression Builder' screen gets displayed at the 'Element ID' field.

If the system encounters predefined factory shipped elements like RED\_AMT, SUB\_AMT, RED\_UNITS or SUB\_UNITS as expression element, then the system generates the transactions as indicated below.

- RED\_AMT - amount based (Net) redemption transaction is generated
- SUB\_AMT - amount based (Gross) subscription transaction is generated
- RED\_UNIT - unit based (Gross) redemption transaction is generated
- SUB\_UNIT - unit based (Net) subscription transaction is generated

For outflow transactions, the elements 'PF\_VAL' and 'CL\_VAL' are used for the performance fee calculation.

**3.64.4 Operations on Performance Fee Rules**

You can perform the following operations of a performance fee rule record.

- **New** – an unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
- **Modify** – an unauthorized record can be modified by the maker (edit rights required)
- **Delete** – an unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).
- **Authorize** – an unauthorized record can be authorized by anyone other than the maker (authorize rights required)

---

**Note**

The dynamic packages will get recreated on unlock, save and authorisation.

---



## 3.65 Rule Maintenance Summary

This section contains the following topics:

- [Section 3.65.1, "Retrieving a Record in Rule Maintenance Summary Screen"](#)
- [Section 3.65.2, "Editing Rule Maintenance Record"](#)
- [Section 3.65.3, "Viewing Rule Maintenance Record"](#)
- [Section 3.65.4, "Deleting Rule Maintenance Record"](#)
- [Section 3.65.5, "Authorizing Rule Maintenance Record"](#)
- [Section 3.65.6, "Amending Rule Maintenance Record"](#)
- [Section 3.65.7, "Authorizing Amended Rule Maintenance Record"](#)

### 3.65.1 Retrieving a Record in Rule Maintenance Summary Screen

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

Invoke the 'Rule Maintenance Summary' screen by typing 'UTSHDRUL' in the field at the top right corner of the Application tool bar. Click on the adjoining arrow button and specify any or all of the following details in the corresponding details.

The screenshot displays the 'Rule Maintenance' application window. At the top, there are search options: 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, a checkbox indicates 'Search Is Case Sensitive'. The search criteria section contains four fields: 'Authorized' (a dropdown menu), 'Open' (a dropdown menu), 'Rule ID' (a text input field with a magnifying glass icon), and 'Description' (a text input field with a magnifying glass icon). Below the search criteria, there is a table with columns for 'Authorized', 'Open', 'Rule ID', and 'Description'. The table is currently empty. At the bottom right of the window, there is an 'Exit' button.

- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.

- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Rule ID

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

---

**Note**

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

- Press F7
  - Input the Rule ID
  - Press F8
- 

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

### **3.65.2 Editing Rule Maintenance Record**

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

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

Click Save to save your changes. The Rule Maintenance screen is closed and the changes made are reflected in the Rule Maintenance Summary screen.

### **3.65.3 Viewing Rule Maintenance Record**

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

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

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

### **3.65.4 Deleting Rule Maintenance Record**

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

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

### **3.65.5 Authorizing Rule Maintenance Record**

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

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

### **3.65.6 Amending Rule Maintenance Record**

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

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

### 3.65.7 Authorizing Amended Rule Maintenance Record

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

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

## 3.66 Group Rule Mapping

This section contains the following topics:

- [Section 3.66.1, "Maintaining Group Rule Mapping"](#)
- [Section 3.66.2, "Operations on Group Rule Mapping"](#)

### 3.66.1 Maintaining Group Rule Mapping

You can define a Group ID and map the default Rule Ids for a given event like Inflow, Outflow or Period End in 'PF Group Maintenance' screen.

You can invoke 'PF Group Maintenance' screen by typing 'UTDHRGMP' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.

PF Group Maintenance

Save

Group Maintenance

Group ID \*      Group Description \*

Group Rule

In Flow      In Flow Description

Out Flow \*      Out Flow Description

Period End      Period End Description

Disallowed Transactions

1 of 1

Txn Type	Ref Type

Input by      DateTime      Mod No      Open

Authorized by      DateTime      Authorized

Ok      Cancel

### Group Maintenance

#### Group ID

*Alphanumeric; 5 Characters; Mandatory*

Specify a group Id for mapping the rules or select a group Id from the option list provided. This Group ID created will get linked at fund level.

### **Group Description**

*Alphanumeric; 255 Characters; Mandatory*

Specify a suitable description for the group.

### **Group Rule**

#### **Inflow**

*Alphanumeric; 5 Characters; Optional*

Specify the default rule to be used for inflows for the given group Id. You can also select the rule Id from the option list provided.

#### **Inflow description**

*Display*

The system displays the description for the selected inflow rule.

#### **Outflow**

*Alphanumeric; 5 Characters; Mandatory*

Specify the default rule to be used for outflows for the given group Id. You can also select the rule Id from the option list provided.

#### **Out Flow Description**

*Display*

The system displays the description for the selected outflow rule.

#### **Period End**

*Numeric; 5 Characters; Optional*

Specify the default rule to be used for period end for the given group Id. You can also select the rule Id from the option list provided.

#### **Period End Description**

*Display*

The system displays the description for the selected period end rule.

### **Disallowed Transactions**

In this section you can indicate if you wish to disallow any transaction based on the transaction type and reference type.

For e.g., If you map Rule ID '001' to the event 'Inflow' and choose to disallow this rule for transaction type '02' (subscription transaction) and if the reference type is 'RE' (Reinvestment), then during processing the system will not apply this rule for reinvestment transactions generated as a result of dividend processing.

Disallowed transaction type is applicable for all the rules maintained for the group.

#### **Txn Type**

*Alphanumeric; 2 Characters; Optional*

Specify the transaction type for which you wish to disallow the transaction or select the transaction type from the option list provided.

#### **Ref Type**

*Alphanumeric; 2 Characters; Optional*

Specify the transaction reference type for which you wish to disallow the transaction or select the reference type from the option list provided.

### 3.66.2 Operations on Group Rule Mapping

You can perform the following operations of a group-rule mapping record.

- **New** – an unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
- **Modify** – an unauthorized record can be modified by the maker (edit rights required)
- **Delete** – an unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).
- **Authorize** – an unauthorized record can be authorized by anyone other than the maker (authorize rights required)

## 3.67 PF Group Maintenance Summary Screen

This section contains the following topics:

- [Section 3.67.1, "Invoking the PF Group Maintenance Summary Screen"](#)
- [Section 3.67.2, "Viewing a Group Maintenance record"](#)
- [Section 3.67.3, "Modifying a Group Maintenance record"](#)
- [Section 3.67.4, "Deleting a Group Maintenance record"](#)
- [Section 3.67.5, "Authorizing a Group Maintenance record"](#)

### 3.67.1 Invoking the PF Group Maintenance Summary Screen

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

PF Group Maintenance

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Group ID  Group Description

In Flow  Out Flow

Period End

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Group ID	Group Description	In Flow	Out Flow	Period End
------------	------	----------	-------------------	---------	----------	------------

Exit

You can perform the following operations in this screen:

- Viewing an Element Maintenance record
- Modifying an Element Maintenance record
- Deleting an Element Maintenance record
- Authorizing an Element Maintenance record

### **3.67.2 Viewing a Group Maintenance record**

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

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

### **3.67.3 Modifying a Group Maintenance record**

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

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

### **3.67.4 Deleting a Group Maintenance record**

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

- Invoke the Group Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.

- Click Query. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Group Maintenance Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **3.67.5 Authorizing a Group Maintenance record**

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

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

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

## **3.68 Policy Restrictions for Guaranteed Funds**

This section contains the following topics:

- [Section 3.68.1, "Maintaining Policy Restrictions for Guaranteed Funds"](#)

### **3.68.1 Maintaining Policy Restrictions for Guaranteed Funds**

You can maintain a list of policies that you wish to either include or exclude for GF Correction run. You can do this by enabling (disabling to exclude) the policies in the 'GF Policy Restrict Mapping' screen.



You can invoke this screen by typing 'UTDGFPLR' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button

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

You can specify the following details in this screen:

#### **Policy Number**

*Alphanumeric; 16 Characters; Optional*

Specify the policy for which you wish to indicate the correction run preferences. You can also select the policy number from the option list provided.

#### **Disabled?**

*Optional*

Select the option to indicate whether you wish to enable or disable correction run for the policy number specified.

You can indicate your preferences for both Simulation run and Final run. For any GF Correction run, the system considers only those policies which have this option enabled.

In this screen, you can perform the following operations:

- Create a new record
- Authorize a record
- Amend a record

*For details on Mock Processing for Guaranteed Funds, refer to the chapter 'End of Day Activities' in FC-IS system..*

## **3.69 GF Policy Restrict Mapping Summary Screen**

This section contains the following topics:

- [Section 3.69.1, "Invoking the GF Policy Restrict Mapping Summary Screen"](#)
- [Section 3.69.2, "Retrieving a Record in the Policy Guaranteed Summary screen "](#)
- [Section 3.69.3, "Editing a Policy Guaranteed Fund Record"](#)

- [Section 3.69.4, "Viewing a Policy Guaranteed Fund Record"](#)
- [Section 3.69.5, "Deleting a Policy Guaranteed Fund Record"](#)
- [Section 3.69.6, "Authorizing a Policy Guaranteed Fund Record"](#)
- [Section 3.69.7, "Amending a Policy Guaranteed Fund Record"](#)
- [Section 3.69.8, "Authorizing an Amended Policy Guaranteed Fund Record"](#)
- [Section 3.69.9, "Copying the Attributes"](#)

### 3.69.1 **Invoking the GF Policy Restrict Mapping Summary Screen**

You can invoke the 'GF Policy Restrict Mapping Summary' screen by typing 'UTSGFPLR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can perform the following operations in the Policy Guaranteed Summary screen:

- Retrieving a Record in the Policy Guaranteed Summary screen
- Editing a Policy Guaranteed Fund Record
- Viewing a Policy Guaranteed Fund Record
- Deleting a Policy Guaranteed Fund Record
- Authorizing a Policy Guaranteed Fund Record
- Amending a Policy Guaranteed Fund Record
- Authorizing an Amended Policy Guaranteed Fund Record
- Copying the Attributes

### 3.69.2 **Retrieving a Record in the Policy Guaranteed Summary screen**

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

1. In the Browser, select GF Restrict Mapping menu and click on Summary, specify any or all of the following details in the corresponding fields:
  - The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
  - The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
  - Policy Number
  - Disable?

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

2. You can also retrieve the individual record detail from the detail screen by querying in the following manner:
  - 1. Press F7
  - 2. Input the Policy Number, Disabled.
  - 3. Press F8

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

#### Example

You can search the record for Policy Number by using the combination of % and alphanumeric value as follows:-

1. Search by P%: System will fetch all the records whose Policy Number starts from Alphabet 'P'. For example, POLS117, PLY118, PLC110 etc.
2. Search by %7: System will fetch all the records whose Policy Number ends by numeric value '7'. For example, POL117, GSD267, AGC77 etc.
3. Search by %17%: System will fetch all the records whose Policy Number contains the numeric value 17. For example, POL117, GSD172, AGC17 etc.

### **3.69.3 Editing a Policy Guaranteed Fund Record**

You can modify the details of a Policy Guaranteed Fund record that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

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

7. Click Save to save your changes. The Policy Guaranteed Fund Detail screen is closed and the changes made are reflected in the Policy Guaranteed Fund Summary screen.

### **3.69.4 Viewing a Policy Guaranteed Fund Record**

To view a record that you have previously input, you must retrieve the same in the Policy Guaranteed Fund Summary screen as follows:

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

### **3.69.5 Deleting a Policy Guaranteed Fund Record**

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

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

### **3.69.6 Authorizing a Policy Guaranteed Fund Record**

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

1. Invoke the Policy Guaranteed Fund Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you wish to authorize. The Policy Guaranteed Fund Detail screen is displayed. Select Authorize operation from the Action List.

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

### **3.69.7 Amending a Policy Guaranteed Fund Record**

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

1. Invoke the Policy Guaranteed Fund Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
3. Specify any or all of the details in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you wish to authorize. The Policy Guaranteed Fund Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
6. Amend the necessary information and click on Save to save the changes.

### **3.69.8 Authorizing an Amended Policy Guaranteed Fund Record**

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

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

### **3.69.9 Copying the Attributes**

If you want to create a new Policy Guaranteed Fund record with the same attributes of an existing one, you can copy the attributes of an existing Policy Guaranteed Fund record to a new one.

To copy the attributes:

1. Retrieve the record whose attributes the new Policy Guaranteed Fund should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous sections of this chapter.
2. Click on Copy.
3. Indicate the ID for the new Policy Guaranteed Fund. You can, however, change the details of the new maintenance.

## **3.70 Delegate Detail at Fund Price**

This section contains the following topics:

- [Section 3.70.1, "Invoking Delegate Detail Screen"](#)

### **3.70.1 Invoking Delegate Detail Screen**

You can delegate the amendment or deletion of the fund price to another user to help in reducing the risk of authorizing or wrong fund price. It will also help to reduce delay in the end of day process for which authorization of a fund price is mandatory.

The delegate operation will allow you to change the maker ID of fund price maintenance. This will enable the new maker to Edit /delete the specific fund price. You can delegate using

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

Unique ID1	Unique ID2	Unique ID3	Unique ID4	Maker ID	Mod NO	Delegate To User
<input checked="" type="checkbox"/>						

You can specify the following details:

### **Delegate Function**

*Alphanumeric; 25 Characters; Optional*

Specify the delegate function. The adjoining option list displays all valid delegate functions maintained in the system. You can choose the appropriate one. from the adjoining drop-down list.

For Fund Manager, following are the options available in the option list:

- Fund Price Maintenance

For Agency Branch, following are the options available in the option list:

- Policy
- Policy Transaction
- Unit Holder
- Unit Trust Transaction

Clicking on the 'Query' button, the system displays the following details:

- The unique fund ID for which the maker ID delegation has to be done
- Maker identification number of the user who has input the fund price
- Number of times the fund price maintenance has been modified
- The list of user IS's maintained in the system to whom the fund price maintenance can be delegated to

Click 'Refresh' button to refresh the delegate details.

Click 'Reset' button to reset the entered details.

While saving, the fund price maintenance maker ID is delegated to another user.

---

**Note**

Delegate cannot be supported when Tanking is set.

---

During authorization, the system will validate the current User ID and the original Maker ID. If both are same, then the system will display an error message as 'Original/ Delegated Maker cannot authorise the record'.

If Unit holder and Fund Price is been selected for delegation and Tanking is enabled, then system will display an error message as 'Tanked record cannot be delegated'.

---

**Note**

Based on the role mapped, you can access corresponding screens/batches. For running EOD like operations, separate privileges needs to be maintained and the same needs to be mapped for the user.

---

## 3.71 Settlement Basis Detail

This section contains the following topics:

- [Section 3.71.1, "Invoking Settlement Basis Detail Screen"](#)

### 3.71.1 Invoking Settlement Basis Detail Screen

You can specify the settlement basis for agent code under the AMC for specific account types using 'Settlement Basis Details' screen. You can invoke this screen by typing UTDSETBA in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Account Type *	Reporting Based On	Settlement Based On
<input checked="" type="checkbox"/>	Select One	Select One

You can specify the following details:

#### **Agent Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the agent code for which the settlement basis needs to be captured. Alternatively, you can select agent code from the option list. The list displays all valid agent code maintained in the system.

#### **AMC ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC ID for which the settlement basis needs to be captured. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC ID maintained in the system.

#### **Effective Date**

*Date Format; Mandatory*

Select the effective date from the adjoining calendar.

#### **Account Type**

*Alphanumeric; 2 Characters; Mandatory*

Specify the account type for which the settlement basis needs to be captured. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.

#### **Reporting Based on**

*Optional*

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

- Gross
- Net

#### **Settlement Based on**

*Optional*

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

- Gross
- Net

## **3.72 Settlement Basis Summary**

This section contains the following topics:

- [Section 3.72.1, "Retrieving a Settlement Basis Record"](#)
- [Section 3.72.2, "Editing Settlement Basis Record"](#)
- [Section 3.72.3, "Viewing Settlement Basis Record "](#)
- [Section 3.72.4, "Deleting Settlement Basis Record"](#)
- [Section 3.72.5, "Authorizing Settlement Basis Record "](#)
- [Section 3.72.6, "Amending Settlement Basis Record "](#)
- [Section 3.72.7, "Authorizing Amended Settlement Basis Record"](#)

### **3.72.1 Retrieving a Settlement Basis Record**

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



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

Settlement Basis Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Agent Code  AMC ID

Effective Date

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Agent Code	AMC ID	Effective Date
------------	------	------------	--------	----------------

Exit

- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Agent Code
- Effective Date
- AMC ID

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

---

#### Note

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

- Press F7
  - Input the AMC ID
  - Press F8
-

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

---

**Note**

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

---

For example:

You can search the record for AMC ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose AMC ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7:- System will fetch all the records whose AMC ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose AMC ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

### **3.72.2 Editing Settlement Basis Record**

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

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

Click Save to save your changes. The Settlement Basis Detail screen is closed and the changes made are reflected in the Settlement Basis Summary screen.

### **3.72.3 Viewing Settlement Basis Record**

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

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

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

### **3.72.4 Deleting Settlement Basis Record**

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

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

### **3.72.5 Authorizing Settlement Basis Record**

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

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

### **3.72.6 Amending Settlement Basis Record**

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

- Invoke the Settlement Basis Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Settlement Basis Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### 3.72.7 Authorizing Amended Settlement Basis Record

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

## 3.73 Settlement Cycle Maintenance Detail

This section contains the following topic:

- [Section 3.73.1, "Invoking Settlement Cycle Maintenance Detail Screen"](#)

### 3.73.1 Invoking Settlement Cycle Maintenance Detail Screen

You can maintain the settlement cycle for agent for the inflow and outflow transactions. using 'Settlement Cycle Maintenance Details' screen. You can invoke this screen by typing 'UTDSETCY' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Transaction Type *	Account Type *	Settlement Frequency	Settlement Day	Payment Lag Basis	Payment Lag (Day)
		Select One	Select One	Select One	

You can specify the following details:

#### Settlement Cycle

##### **Agent Code**

*Alphanumeric; 12 Characters; Mandatory*

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

## **Settlement Basis**

*Mandatory*

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

- Payment Lag
- Settlement Frequency

## **Effective Date**

*Date Format; Mandatory*

Select the effective date from the adjoining calendar.

## **Transaction Details**

### **Transaction Type**

*Alphanumeric; 2 Characters; Mandatory*

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

### **Account Type**

*Alphanumeric; 2 Characters; Mandatory*

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

### **Settlement Frequency**

*Optional*

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

- Weekly

### **Settlement Day**

*Optional*

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

- 1st
- 2nd
- 3rd
- 4th
- 5th
- 6th
- 7th

### **Payment Lag Basis**

*Optional*

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

- Fund Calendar
- System Calendar
- Currency Calendar

### **Payment Lag (Days)**

*Numeric; 3 Characters; Optional*

Specify the payment lag details.

# 3.74 Settlement Cycle Maintenance Summary

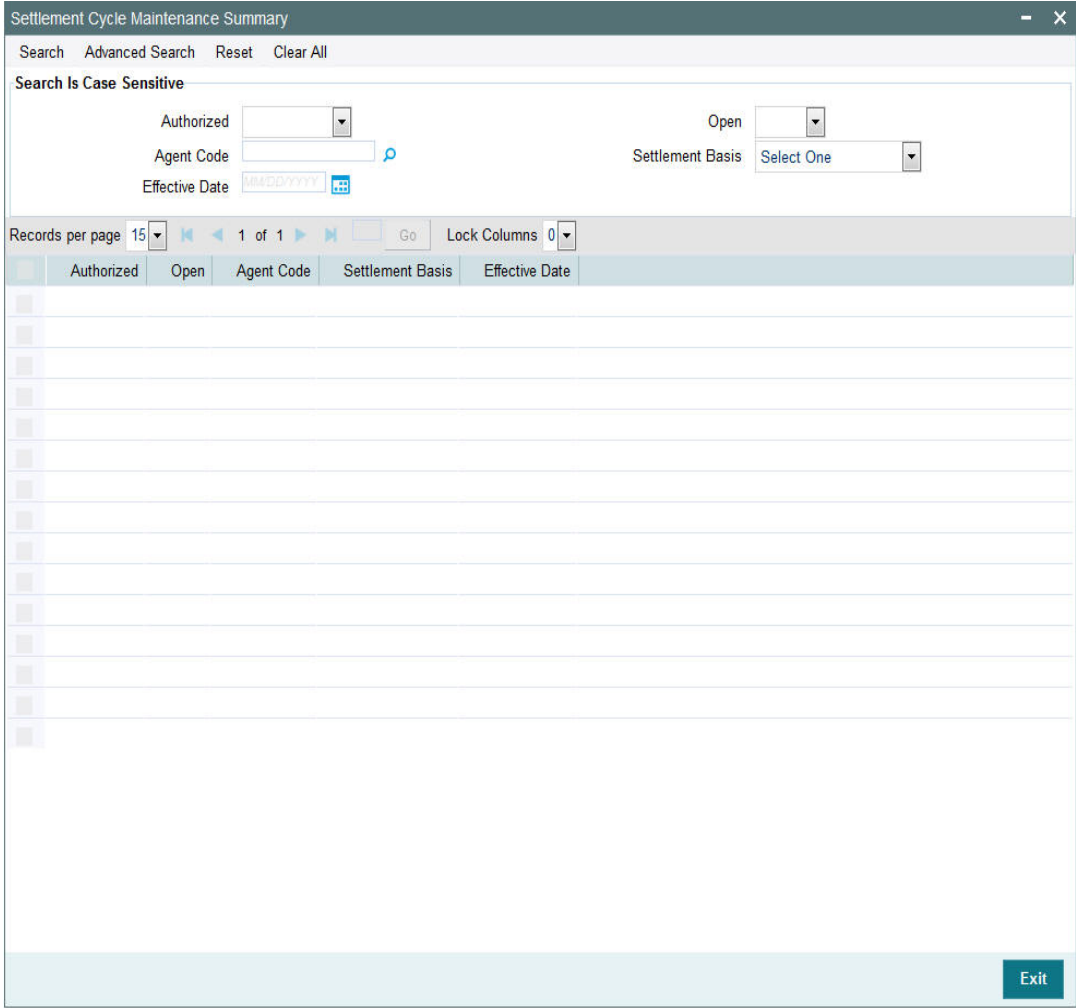
This section contains the following topics:

- Section 3.74.1, "Retrieving a Settlement Cycle Maintenance Record"
- Section 3.74.2, "Editing Settlement Cycle Maintenance Record"
- Section 3.74.3, "Viewing Settlement Cycle Maintenance Record "
- Section 3.74.4, "Deleting Settlement Cycle Maintenance Record"
- Section 3.74.5, "Authorizing Settlement Cycle Maintenance Record "
- Section 3.74.6, "Amending Settlement Cycle Maintenance Record "
- Section 3.74.7, "Authorizing Amended Settlement Cycle Maintenance Record"

## 3.74.1 Retrieving a Settlement Cycle Maintenance Record

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

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



- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.

- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Agent Code
- Effective Date
- Settlement Basis

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

---

**Note**

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

- Press F7
  - Input the Agent Code
  - Press F8
- 

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

---

**Note**

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

---

For example:

You can search the record for Agent Code by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Agent Code starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7:- System will fetch all the records whose Agent Code ends by numeric value '7' . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Agent Code contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

### **3.74.2 Editing Settlement Cycle Maintenance Record**

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

- Invoke the Settlement Cycle Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to modify in the list of displayed records. The Settlement Cycle Maintenance Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The Settlement Cycle Maintenance Detail screen is closed and the changes made are reflected in the Settlement Cycle Maintenance Summary screen.

### **3.74.3 Viewing Settlement Cycle Maintenance Record**

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

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

### **3.74.4 Deleting Settlement Cycle Maintenance Record**

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

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

### **3.74.5 Authorizing Settlement Cycle Maintenance Record**

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

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



### 3.74.6 Amending Settlement Cycle Maintenance Record

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

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

### 3.74.7 Authorizing Amended Settlement Cycle Maintenance Record

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

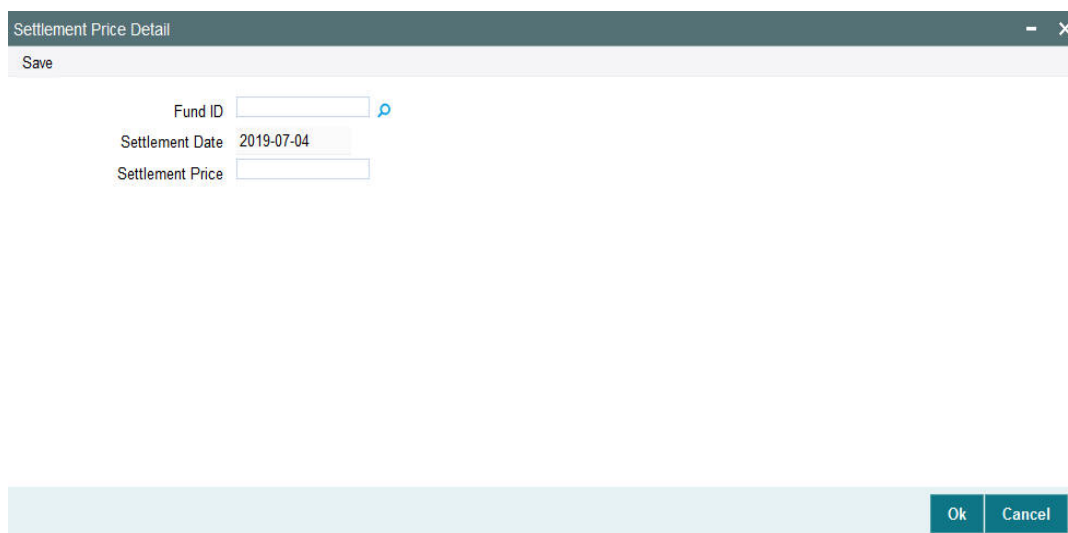
## 3.75 Settlement Price Detail

This section contains the following topic:

- [Section 3.75.1, "Invoking Settlement Price Detail Screen"](#)

### 3.75.1 Invoking Settlement Price Detail Screen

You can update the fund price for the closed ended funds for settlement using 'Settlement Price Detail' screen. You can invoke this screen by typing 'UTDSETTP' 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 "Settlement Price Detail". At the top left of the window is a "Save" button. Below this, there are three input fields: "Fund ID" with a search icon to its right, "Settlement Date" with the value "2019-07-04", and "Settlement Price". At the bottom right of the window, there are two buttons: "Ok" and "Cancel".

You can specify the following details:

## Fund ID

*Alphanumeric; 6 Characters; Optional*

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

## Settlement Date

*Display*

The system displays the current application date.

## Settlement Price

*Numeric; 22 Characters; Optional*

Specify the price for settlement of all eligible redemption transactions for a closed ended funds here. The system allots redemptions based on this price.

## 3.76 Succession Price Detail

This section contains the following topic:

- [Section 3.76.1, "Invoking Succession Price Detail Screen"](#)

### 3.76.1 Invoking Succession Price Detail Screen

You can update the succession price using 'Settlement Price Detail' screen. You can invoke this screen by typing 'UTDSUCPR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Succession Price Detail

Save

Criteria

Price Date \* 2017-08-09

From Date \*

To Date \*

Ok

Succession Price

Fund ID *	Fund Base Currency	Price Details *	Price In Euro

Input by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Mod No: \_\_\_\_\_ Open Authorized: \_\_\_\_\_

Authorized by: \_\_\_\_\_ DateTime: \_\_\_\_\_

Ok Cancel

You can specify the following details:

### **Criteria**

#### **Price Date**

*Display*

The system displays the price date.

#### **From Date**

*Date Format; Mandatory*

Select the date from when succession price to be considered from the adjoining calendar.

#### **To Date**

*Date Format; Mandatory*

Select the date till when succession price to be considered from the adjoining calendar.

### **Succession Price**

#### **Fund ID**

*Alphanumeric; 6 Characters; Optional*

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

#### **Fund Base Currency**

*Display*

The system displays the fund base currency.

#### **Price Details**

*Numeric; 22 Characters; Mandatory*

Specify the succession price details.

#### **Price In Euro**

*Display*

The system displays the price in Euro.

## **3.77 Succession Price Summary**

This section contains the following topic:

- [Section 3.77.1, "Retrieving a Record in Succession Price Summary Screen"](#)
- [Section 3.77.2, "Editing Succession Price Record"](#)
- [Section 3.77.3, "Viewing Succession Price Record"](#)
- [Section 3.77.4, "Deleting Succession Price Record"](#)
- [Section 3.77.5, "Authorizing Succession Price Record"](#)
- [Section 3.77.6, "Amending Succession Price Record"](#)
- [Section 3.77.7, "Authorizing Amended Succession Price Record"](#)

### **3.77.1 Retrieving a Record in Succession Price Summary Screen**

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

Invoke the 'Succession Price Summary' screen by typing 'UTSSUCPR' in the field at the top right corner of the Application tool bar. Click on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Price Date
- From Date
- To Date

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

---

#### Note

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

- Press F7
  - Input the Price Date
  - Press F8
-

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

### **3.77.2 Editing Succession Price Record**

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

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

Click Save to save your changes. The Succession Price Detail screen is closed and the changes made are reflected in the Succession Price Summary screen.

### **3.77.3 Viewing Succession Price Record**

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

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

### **3.77.4 Deleting Succession Price Record**

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

- Invoke the Succession Price Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Succession Price Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **3.77.5 Authorizing Succession Price Record**

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

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

### **3.77.6 Amending Succession Price Record**

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

- Invoke the Succession Price Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Succession Price Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **3.77.7 Authorizing Amended Succession Price Record**

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

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

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## 4. Maintaining System Parameters

In Oracle FLEXCUBE Investor Servicing, you can maintain static parameter data such as additional information heads, fee categories for investors, and codes for additional parameters. You can also map these maintained parameters to be applicable for certain entities such as unit holders and brokers. The additional parameters enable you to capture information relating to entities such as unit holders and brokers that are not otherwise captured in the system.

This chapter describes the definition and maintenance of these parameters in the system. It also includes the definition and maintenance of basic system default data. Default data is information that will be used as defaulted in any maintenance operation such as setting up investor accounts, setting up entities, setting up brokers and so on.

All the menu options pertaining to the maintenance of system parameters and default information can be accessed through the System Parameters menu item in the Maintenance menu category of the Agency Branch main menu. The following screens can be accessed through this menu item:

- **Defaults Setup:** Use this option to access the Defaults Maintenance screen, where you can set up the system default information.
- **Parameters Setup:** Use this option to access the System Parameter Codes Maintenance screen, where you can view defined codes for parameters that will be used in the maintenance of entities as well as other data in the system, and add any applicable valid values.
- **Entity Mapping:** Use this option to access the Entity Additional Information Mapping screen, where you can map any additional information heads to be applicable for the maintenance of entities such as unit holders and brokers.
- **Addl Info Maint:** Use this option to access the Additional Information Maintenance screen, where you can define any additional information heads.
- **Fee Category Setup:** Use this option to access the Fee Category Codes Maintenance screen, where you can view any specific defined fee category (and sub category) that is applicable to different investor types. You can also add new fee sub-categories.
- **Data Maintenance:** Use this option to access the FCIS Data Mapping Codes Maintenance screen, where you can define data mapping between an external system and FCIS.

This chapter contains the following sections:

- [Section 4.1, "System Default Information"](#)
- [Section 4.2, "System Segment Information"](#)
- [Section 4.3, "Segment Maintenance Summary Screen"](#)
- [Section 4.4, "System Parameters"](#)
- [Section 4.5, "Module Default Detail"](#)
- [Section 4.6, "Feature Applicable Detail"](#)
- [Section 4.7, "Feature Applicable Summary Screen"](#)
- [Section 4.8, "Print Reports"](#)
- [Section 4.9, "Additional Information Heads"](#)
- [Section 4.10, "Entity Additional Information Mapping"](#)
- [Section 4.11, "Entity Additional Information Mapping Summary Screen"](#)
- [Section 4.12, "Fee Categories and Sub-categories"](#)
- [Section 4.13, "Fee Category Setup Summary"](#)

- [Section 4.14, "Data Mapping"](#)
- [Section 4.15, "User Event Mapping"](#)
- [Section 4.16, "Dividend Component Details"](#)
- [Section 4.17, "Dividend Components Summary"](#)
- [Section 4.18, "Stop Code Maintenance"](#)
- [Section 4.19, "Stop Code Summary"](#)
- [Section 4.20, "RDR Parameters"](#)

## **4.1 System Default Information**

This section contains the following topics:

- [Section 4.1.1, "Maintaining System Default Information"](#)

### **4.1.1 Maintaining System Default Information**

To set up system default information, use the 'Defaults Maintenance' screen. You can invoke this screen by typing 'UTDDEFMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button..



In this screen press F7/F8 to query the data. You need to unlock and then modify the data if required.



## **Company Details**

### **Company Short Name**

*Alphanumeric; 15 Characters; Optional*

Enter the short name of the Company that is using Oracle FLEXCUBE Investor Servicing.

### **Company Name**

*Alphanumeric; 60 Characters; Optional*

Enter the full name of the Company that is using Oracle FLEXCUBE Investor Servicing. The system will print this as the company name in all the reports.

## **Distributor Defaults**

In this section, define the default information applicable for the AMC, in any maintenance operation in the system.

### **Distributor ID**

*Alphanumeric; 12 Characters; Optional*

Enter the ID of the default distributor for the installation.

### **Country**

*Alphanumeric; 3 Characters; Optional*

Enter the default Country of the unit holder.

### **Minor Age**

*Numeric; 22 Characters; Mandatory*

Enter the default age limit for the Minors.

### **Check Validity Period**

*Numeric; 22 Characters; Optional*

Enter the number of days for which a Check is valid, by default during transactions.

### **Registrar ID**

*Alphanumeric; 12 Characters; Optional*

Enter the ID of the default Registrar for the installation.

### **Nationality**

*Alphanumeric; 3 Characters; Optional*

Enter the default Nationality of the unit holder.

### **Bank**

*Alphanumeric; 12 Characters; Optional*

Enter the code of the default Bank for the system.

### **Low Date**

*Date Format; Optional*

Enter the default Low date value for the system.

### **High Date**

*Date Format; Optional*

Enter the default High Date Value for the system.

**High Amount**

*Numeric; 30 Characters; Mandatory*

Enter the default high amount value.

**High Units**

*Numeric; 27 Characters; Mandatory*

Enter the default high unit value.

**Round Off Amount**

*Numeric; 22 Characters; Mandatory*

Enter the default value for round off amount.

**VAT Percent**

*Numeric; 5 Characters; Optional*

Displays the default value of Value Added Tax (VAT) Percentage.

**Amend Period**

*Numeric; 22 Characters; Optional*

Enter the default Amendment period for the Fund Rule/Transactions.

**Default Level**

*Numeric; 2 Characters; Mandatory*

This displays the hierarchy default number in the fund. For instance, if the existing fund has a parent fund, then the default level will be '2'.

**High Counter**

*Numeric; 22 Characters; Optional*

Enter the default high counter value.

**Check UH Duplicates**

*Mandatory*

Select Yes or No from drop-down list to check for unit holder Duplicates.

**Source ID**

*Alphanumeric; 6 Characters; Optional*

From the list, select the default exchange rate source for the AMC.

**Country Code**

*Alphanumeric; 3 Characters; Optional*

Displays the code given to the country where the client site is located.

**Client Code**

*Alphanumeric; 15 Characters; Optional*

Displays the code given to the client where Oracle FLEXCUBE Investor Servicing has been installed.

**FPAM Installed**

*Optional*

If Oracle FLEXCUBE Asset Management has been installed at the client site, select 'Yes' from the drop-down list.

**FPAM User Name**

*Alphanumeric; 15 Characters; Optional*

Specify the name of the user where Oracle FLEXCUBE Asset Management has been installed.

**Tax Year Start**

*Date Format, Optional*

Specify the start date from which the tax payment should be considered.

**Tax Year End**

*Date Format, Optional*

Specify the date till which the tax payment should be considered.

**EUSD Options**

*Optional*

Select the default EUSD (European Union Savings Directive) option for the segment. The options available are:

- **WithHolding Tax (WHT):** EUSD tax is computed and deducted
- **Exchange of Information (EOI):** EUSD tax is computed but not deducted
- **Tax Exemption Certificate (TEC):** EUSD tax is computed but not deducted

By default, the option is left unchecked. If you do not indicate any EUSD option, then EUSD option will not be applicable for the segment.

---

**Note**

This functionality is applicable only for the Fund Manager module.

---

**Settlement Level**

*Optional*

Indicate whether the payment amount must be compared with the fund base currency amount or the transaction currency amount from the drop-down list while processing transaction settlements.

**Interim Tax Paid Date**

*Date Format; Optional*

Specify the tax payment date here. This is only applicable for non-pensions funds.

---

**Note**

It is mandatory to specify the interim tax for funds where IOF/IRRF is applicable.

---

**Interim Tax Frequency**

*Numeric; 2 Characters; Optional*

Specify the tax payment frequency here. This is only applicable for non-pensions funds.

---

**Note**

It is mandatory to specify the interim tax frequency for funds where IOF/IRRF is applicable.

---

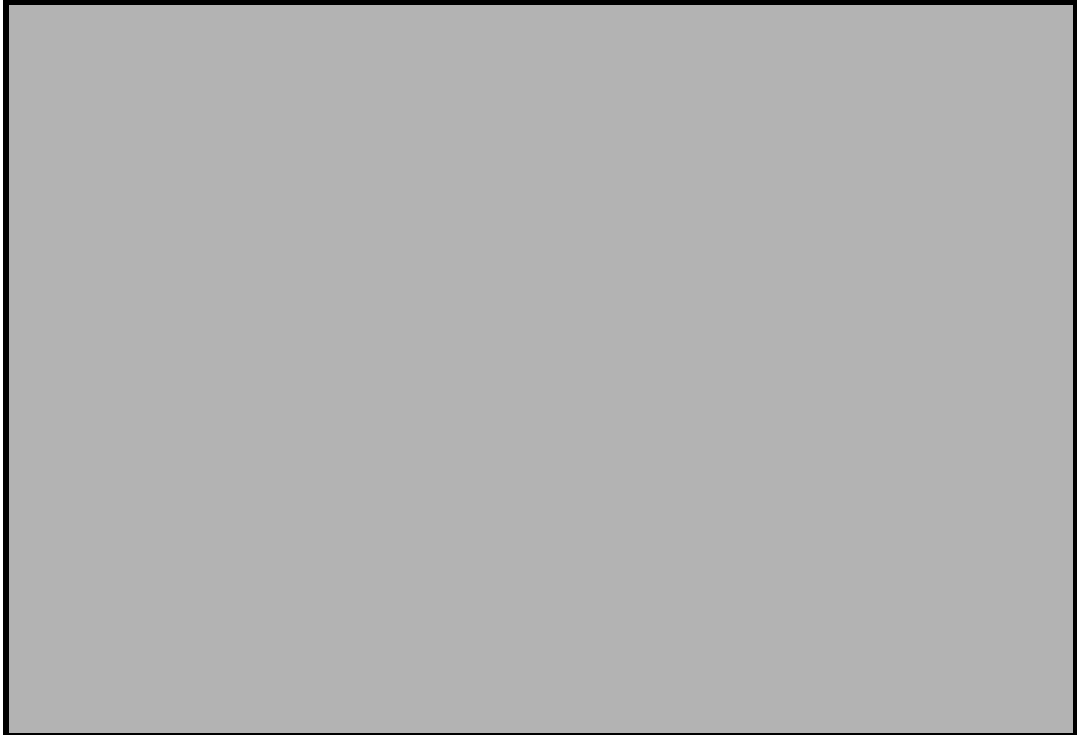
### **Fund ID Generation Logic**

*Alphanumeric; 6 Characters; Optional*

Indicate the pattern using which the fund ID needs to be generated, where the first two characters represent the ISO Country Code (except for any jurisdiction with distributor schemas where the 2nd character will designate whether it is "R"egistrar-world or "D"istributor-world) and the following four characters are auto generated numerals.

### **Branch Defaults**

In this section, define the default information applicable for any branch of the AMC, in any maintenance operation in the system.



### **Title**

*Alphanumeric; 15 Characters; Optional*

Enter the Title to default during unit holder Data Entry. You can make a blank specification so that a blank entry may be accepted as a title by the system.

### **Investor Type**

*Optional*

Enter the default Investor Type, whether Individual or Corporate from the drop-down list, during unit holder data entry.

### **Marital Status**

*Optional*

Select the Marital Status from the drop-down list to default during unit holder data entry. The list displays the following values:

- Divorced
- Married
- Not Available
- Single
- Widow

**Resident Status**

*Optional*

Enter Resident or Non-Resident as the Resident Status to default during unit holder data entry.

**Sex**

*Optional*

Select Male or Female from drop-down list as the Sex to default during unit holder Data Entry.

**Mode of Payment**

*Alphanumeric; 1 Character; Optional*

Enter Cash, Check or Transfer as the Payment Mode to default during Transaction data entry.

**Redemption Mode**

*Optional*

Enter Amount or Units as the Redemption Mode to default during transaction acceptance.

**Account Type**

*Alphanumeric; 1 Character; Optional*

Enter Current, Savings or Fixed as the Payment Mode to default during Transaction data entry.

**Language**

*Alphanumeric; 12 Characters; Optional*

Enter English or Non-English as the default language in which the system should display messages.

**Password Valid For (in days)**

*Numeric; 22 Characters; Optional*

Enter the minimum number of days after which the Users will have to change the Password. At the end of this retention period, the system will automatically prompt the User at login time to change the password.

**System General Reference Number**

*Mandatory*

Enter the option of using a System General Reference Number. If yes, then the Reference Number for all the transactions will also be generated by the system. If not, the Reference Number must be specified at the time of entering the transaction.

**Error Level**

*Numeric; 22 Characters; Optional*

Enter the Error Messages Level.

- Enter 1 if you want the system to display an Error Message and not log it.
- Enter 2 if you want the system not to display an Error Message but to log it.
- Enter 3 if you want the system to display an Error Message and Log it.
- If any other level is indicated, the system will display Error Messages and Log it.

**Online**

*Optional*

Select the online status of the branch from the drop-down list, at the time of viewing this record. The list displays the following values:

- Yes

- No

### **Default Time Zone**

*Alphanumeric; 12 Characters; Mandatory; Non-amendable*

Select the default time zone from the values available. All time zones you have maintained through the Time Zone Maintenance screen are displayed in the option list.

### **Auto Clear Reinvestments**

*1 Character Maximum, Alphanumeric, Mandatory*

Indicate whether 100% outflow transactions include freeze held and reinvestment units.

You can specify any of the following options:

- **Option not allowed:** Freeze held/reinvestment units should not be considered while processing 100% outflow transactions.
- **Allowed – Default checked:** Freeze held/reinvestment units should be considered while processing 100% outflow transactions by default.
- **Allowed – Default unchecked:** Freeze held/reinvestment units will not be considered while processing 100% outflow transactions by default. However, you can check this option while performing transactions.

### **Auto Clear Provisional Balance**

*Mandatory*

Indicate whether 100% outflow transactions include provisionally allotted units. You can specify any of the following options:

- **Option not allowed:** Provisionally allotted units should not be considered while processing 100% outflow transactions.
- **Allowed – Default checked:** Provisionally allotted units should be considered while processing 100% outflow transactions by default.
- **Allowed – Default unchecked:** Provisionally allotted units will not be considered while processing 100% outflow transactions by default. However, you can check this option while performing transactions.

### **Other Defaults**

In this section, define the other default information applicable for the AMC, in any maintenance operation in the system.

#### **Database**

*Alphanumeric; 15 Characters; Optional*

Enter the name of database that contains all the objects (tables, stored procedures, etc.) used by the system. This will be displayed at the footer of all the screens at run time. This field cannot be edited after it has been entered for the first time.

When you are in Edit mode, this is a Display Only field.

#### **Agent**

*Alphanumeric; 12 Characters; Optional*

Enter the code of the default Agent for the system.

#### **Branch**

*Alphanumeric; 12 Characters; Optional*

Enter the code of the default Agency Branch for the system.

When you are in Edit mode, the Agent and Branch fields are Display Only fields.

## Component

*Alphanumeric; 1 Character; Optional*

Enter the default Component of the system for the installation.

## Segment ID

*Alphanumeric; 12 Characters; Optional; Amendable*

Specify the segment ID. Alternatively, you can select segment ID from the LOV. The list displays all the valid segment ID of current Installation maintained in the system.

The segment ID maintenance should be done as following,

- For Non-Global Transfer Agency Setup, Segment ID should not be maintained.
- For Global Transfer Agency Setup, Segment ID has to be selected from LOV in Defaults maintenance and the same will be defaulted to the user in the Local branch in UTDUH screen.
- For Global Transfer Agency Setup, Segment ID should not be maintained in Defaults maintenance whereas in Unit holder maintenance, Segment Id has to be selected by the user from LOV in the Global Branch.

## 4.2 System Segment Information

This section contains the following topics:

- [Section 4.2.1, "Maintaining System Segment Information"](#)

### 4.2.1 Maintaining System Segment Information

To set up system segment information, use the 'Segment Maintenance Detail' screen, which is available only in the fund manager. Each segment can potentially represent one country/ Agency Branch. Multiple segments can be created in the system. Created Segments can be associated with Agency Branch, Unit holder and Fund in the system.

This screen supports New, Edit, Delete, Authorize, Copy, Amend and Close operations. A Segment can be closed unless it is mapped to any Agency Branch or Unit holder or Fund.

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

Segment Maintenance Detail

Save

Segment ID \*

Segment Description \*

Input by      DateTime      Mod No      Record Status

Authorized by      DateTime      Authorization Status

Cancel

### Segment ID

*Alphanumeric; 12 Characters; Mandatory; Non Amendable*

Enter the segment ID.

### Segment Description

*Alphanumeric; 255 Characters; Optional; Amendable*

Enter the segment Description.

---

#### Note

On authorization of a new segment, the Pre-EOD list of the corresponding segment will be defaulted from static Pre-EOD list.

---

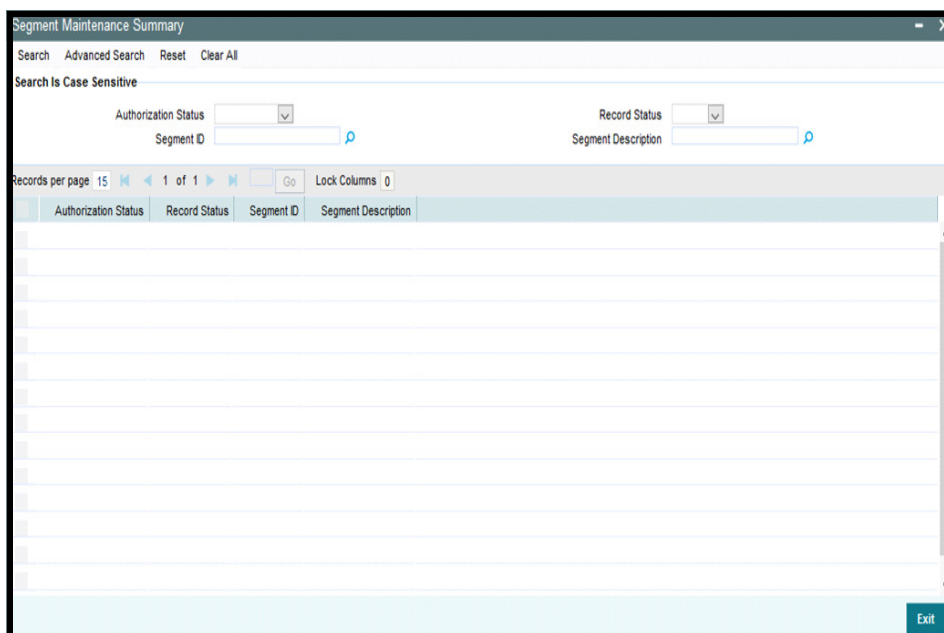
## 4.3 Segment Maintenance Summary Screen

This section contains the following topics:

- [Section 4.3.1, "Retrieving Records in Segment Maintenance Summary Screen"](#)
- [Section 4.3.2, "Editing Records in Segment Maintenance Summary Screen"](#)
- [Section 4.3.3, "Viewing Records in Segment Maintenance Summary Screen."](#)
- [Section 4.3.4, "Deleting Records in Segment Maintenance Summary Screen"](#)
- [Section 4.3.5, "Authorizing Records in Segment Maintenance Summary Screen"](#)
- [Section 4.3.6, "Amending Records in Segment Maintenance Summary Screen"](#)
- [Section 4.3.7, "Authorizing Amend for Segment Maintenance Summary Screen"](#)

### 4.3.1 Retrieving Records in Segment Maintenance Summary Screen

Invoke the 'Segment Maintenance Summary' screen by typing 'UTSSEGMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can retrieve a previously entered record in the Segment maintenance Summary screen, as follows:



- Specify any or all of the following details in the Segment maintenance Summary screen:
  - The status of the record in the Authorization Status field. If you choose the “Blank Space” option, then all the records that involve the specified criteria are retrieved.
  - The status of the record in the Open field. If you choose the “Blank Space” option, then all the records that involve the specified criteria are retrieved.
  - Segment ID
  - Segment Description
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

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

- Press F7
  - Input any parameter in the screen
  - Press F8
- 

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

### **4.3.2 Editing Records in Segment Maintenance Summary Screen**

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

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

### **4.3.3 Viewing Records in Segment Maintenance Summary Screen.**

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

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

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

#### **4.3.4 Deleting Records in Segment Maintenance Summary Screen**

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

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

#### **4.3.5 Authorizing Records in Segment Maintenance Summary Screen**

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

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

#### **4.3.6 Amending Records in Segment Maintenance Summary Screen**

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

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

When you retrieve a segment maintenance record for the purpose of making an information change, it is displayed in the segment Maintenance Detail screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

### 4.3.7 Authorizing Amend for Segment Maintenance Summary Screen

An amended segment maintenance record must be authorized for the amendment to be made effective in the system. This process of authorization is the same as that of the authorizations before amendment.

## 4.4 System Parameters

This section contains the following topics:

- [Section 4.4.1, "Maintaining System Parameters"](#)
- [Section 4.4.2, "System Parameter Codes Maintenance Screen"](#)

### 4.4.1 Maintaining System Parameters

At the time of installation of Oracle FLEXCUBE Investor Servicing, the implementers set up codes for parameters that will be used in any maintenance operation in the system, involving both static tables and processing. They also set up a list of values that would be considered valid for each parameter code. In any drop down list in a maintenance screen where the parameter code is used, the valid values list will appear.

The implementers set up these codes and values based on the requirements at each installation. Through the System Parameter maintenance, static information such as the following master lists can be maintained:

- Bank account types
- Countries
- Corporation types
- Identification types
- Occupation types
- Dividend component types
- Investor category types
- Investment Component types

You as a user will be able to add to a list of valid values for a parameter code, if so designated by the implementers at the time of installation.

The valid value lists that you set up will be displayed in the option lists in the user interface, in whatever operation a system parameter value is required to be picked up.

For instance, when bank account types are maintained as a system parameter, a value list containing the different account types is maintained as part of the System Parameter maintenance. In the system, in any screen that requires an account type as input information, the value list will be displayed to the user to select the required account type.

You must define the various components required for validating Prudential Investment Guidelines/ Foreign Exchange Compliance under the parameter code "INVESTMENTCOMP". This is a necessary maintenance required if you have selected Prudential Investment Guidelines as part of the Fund Product categories. The procedure for specifying the investment component code is the same for any other Parameter value to be maintained.

---

**Note**

For communication mode Param value is restricted to the length of 2 characters. No validation will be done during the maintenance.

---

You cannot modify or delete the factory shipped communication mode in 'Parameter Setup' screen. The system will display an error message as 'Selected Param value cannot be Modified/Deleted'.

#### 4.4.2 **System Parameter Codes Maintenance Screen**

To view the system parameters codes and add to valid value lists for the same, use the System 'Parameter Setup Detail' screen. You can invoke this screen by typing 'UTDPARAM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

Param Value *	Param Language *	Param Text *	Sort Order *
---------------	------------------	--------------	--------------

You can specify the following details:

#### **Parameter Maintenance**

##### **Param Code**

*Alphanumeric; 25 Characters; Mandatory*

Specify the param code.

##### **Param Description**

*Display*

The system displays the description for the selected param code.

##### **Maintainable**

*Display*

The system displays the maintained status.

After specifying the 'Param Code', click on 'Execute Query' button. The system displays the following values:

- Param Value
- Param Language
- Param Text
- Sort Order

## 4.5 Module Default Detail

This section contains the following topics:

- [Section 4.5.1, "Invoking Module Default Detail Screen"](#)

### 4.5.1 Invoking Module Default Detail Screen

You can maintain module details using 'Module Default Detail' screen. You can invoke this screen by typing UTDMODDE in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.

You can specify the following details:

#### Module Details

##### **Module ID**

*Alphanumeric; 50 Characters; Mandatory*

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

##### **Registrar ID**

*Alphanumeric; 12 Characters; Optional*

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

##### **Country Code**

*Alphanumeric; 15 Characters; Optional*

Specify the country code.

**Company Name**

*Alphanumeric; 60 Characters; Optional*

Specify the name of the company

**Company Short Name**

*Alphanumeric; 15 Characters; Optional*

Specify the short name of the company.

**Date Yesterday**

*Date Format; Optional*

Select the previous date from the adjoining calendar.

**Date Today**

*Date Format; Optional*

Select the current date from the adjoining calendar.

**Date Tomorrow**

*Date Format; Optional*

Select the next date from the adjoining calendar.

**Holiday Preference**

Select the appropriate check box adjacent to holiday date. The options are as follows:

- Sunday
- Monday
- Tuesday
- Wednesday
- Thursday
- Friday
- Saturday

## **4.6 Feature Applicable Detail**

You can maintain client country features using 'Feature Applicable Detail' screen. The feature for a Client/Country code can be turned on or off with this screen. It supports Query and Unlock operation.

This section contains the following topics:

- [Section 4.6.1, "Invoking Feature Applicable Detail Screen"](#)

### **4.6.1 Invoking Feature Applicable Detail Screen**

You can invoke the 'Feature Applicable Detail' screen by typing 'UTDCLNFR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. It can be invoked from the FMG module.



It includes the following fields.

- Feature Code
- Client/Country Code
- Feature Applicable

#### **Feature Code**

*Alphanumeric; 15 Characters; Mandatory*

Specify the Feature Code. Alternatively, you can select it from the option list. The list displays all valid codes maintained in the system.

#### **Client/Country Code**

*Display*

The system displays the Client/Country Code for the selected Feature Code.

#### **Feature Applicable**

Features can be set as applicable or not.

---

#### **Note**

In GTA Setup, client country 'CIFFORLINKENT' should be turned ON and client country 'UHFORLINKENTITY' should be turned OFF.

---

## **4.7 Feature Applicable Summary Screen**

This section contains the following topics:

- [Section 4.7.1, "Retrieving Records in Feature Applicable Summary Screen"](#)
- [Section 4.7.2, "Editing Records in Feature Applicable Summary Screen"](#)
- [Section 4.7.3, "Viewing Records in Feature Applicable Summary Screen"](#)

### **4.7.1 Retrieving Records in Feature Applicable Summary Screen**

Invoke the 'Feature Applicable Summary' screen by typing 'UTSCLNFR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can retrieve a previously entered record in the Feature Applicable Summary screen, as follows:

- Specify any or all of the following details in the Feature Applicable Summary screen:
  - Feature applicable can be set as Yes or No. If you choose the “Blank Space” option, then all the records that involve the specified criteria are retrieved.
  - The status of the record in the Open field. If you choose the “Blank Space” option, then all the records that involve the specified criteria are retrieved.
  - Feature Code
  - Client/Country Code
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

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

- Press F7
  - Input any parameter in the screen
  - Press F8
- 

You can perform Edit operation by selecting from the Action list.

#### **4.7.2 Editing Records in Feature Applicable Summary Screen**

You can modify the value of Feature Applicable parameter to Yes or No, that you have already entered into the system. You can perform this operation as follows:

- Invoke the Feature Applicable Summary screen from the Browser.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Double click the record that you want to modify in the list of displayed record. The Feature Applicable Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.



- Click Save to save your changes. The Feature Applicable Detail screen is closed and the changes made are reflected in the Feature Applicable Summary screen.

### 4.7.3 Viewing Records in Feature Applicable Summary Screen

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

- Invoke the Feature Applicable Summary Screen from the Browser.
- Specify any or all of the details of the record in the corresponding fields on the screen, and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The Feature Applicable Detail screen is displayed in View mode.

## 4.8 Print Reports

This section contains the following topics:

- [Section 4.8.1, "Invoking Print Reports Screen"](#)

### 4.8.1 Invoking Print Reports Screen

You can update the new cheque number against an old expired dividend payment cheque using 'Print Reports' screen. You can invoke this screen by typing 'UTDPRDIV' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

#### **Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the fund ID in which the dividend payment cheque was issued. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Payment Date**

*Alphanumeric; 11 Characters; Mandatory*

Specify the payment date for the dividend transaction. Alternatively, you can select payment date from the option list.

**Payment Number**

*Numeric; 5 Characters; Mandatory*

Specify the dividend payment number

**Old Check Number**

*Alphanumeric; 16 Characters; Mandatory*

Specify the old cheque number that was issued against the dividend payment.

**Check Number**

*Alphanumeric; 16 Characters; Mandatory*

Specify the new cheque number that is to be issued against the old dividend payment.

**Report Language**

*Optional*

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

- English
- German

## **4.9 Additional Information Heads**

This section contains the following topics:

- [Section 4.9.1, "Maintaining Additional Information Heads"](#)

### **4.9.1 Maintaining Additional Information Heads**

The Oracle FLEXCUBE Investor Servicing system gives you the facility of defining heads under which you can capture any additional information pertaining to any entities that you set up in the system, especially unit holders and brokers.

You can also set up a list of acceptable, valid values for each information head.

To define these additional information heads and their valid values, use the 'Additional Information Maintenance' screen. You can invoke this screen by typing 'UTDADINF' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

Additional Information Maintenance

Save

Language Code \*  
Description

Add Info Details

<input checked="" type="checkbox"/>	Label Code *	Label Description *	Custom Values Setup *	Add Info Data Type	Custom Values
<input checked="" type="checkbox"/>			No	All	Custom Values

Cancel

You can specify the following details:

### **Language Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the language for which you want to define the additional information heads.

### **Description**

*Display*

The system displays the description for the selected language code.

### **Add Info Details**

To add a new information head, click the Add link in the Additional Information Maintenance screen. A new row is inserted at the bottom of the list.

### **Label Code**

*Alphanumeric; 30 Characters; Mandatory*

Specify the label code.

### **Label Description**

*Alphanumeric; 100 Characters; Mandatory*

Specify the description of the selected label code.

## **Custom Values Setup**

### *Mandatory*

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

- Yes
- No

## **Add Info Data Type**

### *Optional*

Select the type of data that can be entered into the additional information field. This specification can be made only for those additional information heads that are not linked to a system parameter.

In the system, when a value is entered into the additional information field, the data type of the entered value is validated by the system.

The drop-down list displays the following values:

- All
- Alphanumeric
- Numeric
- Date

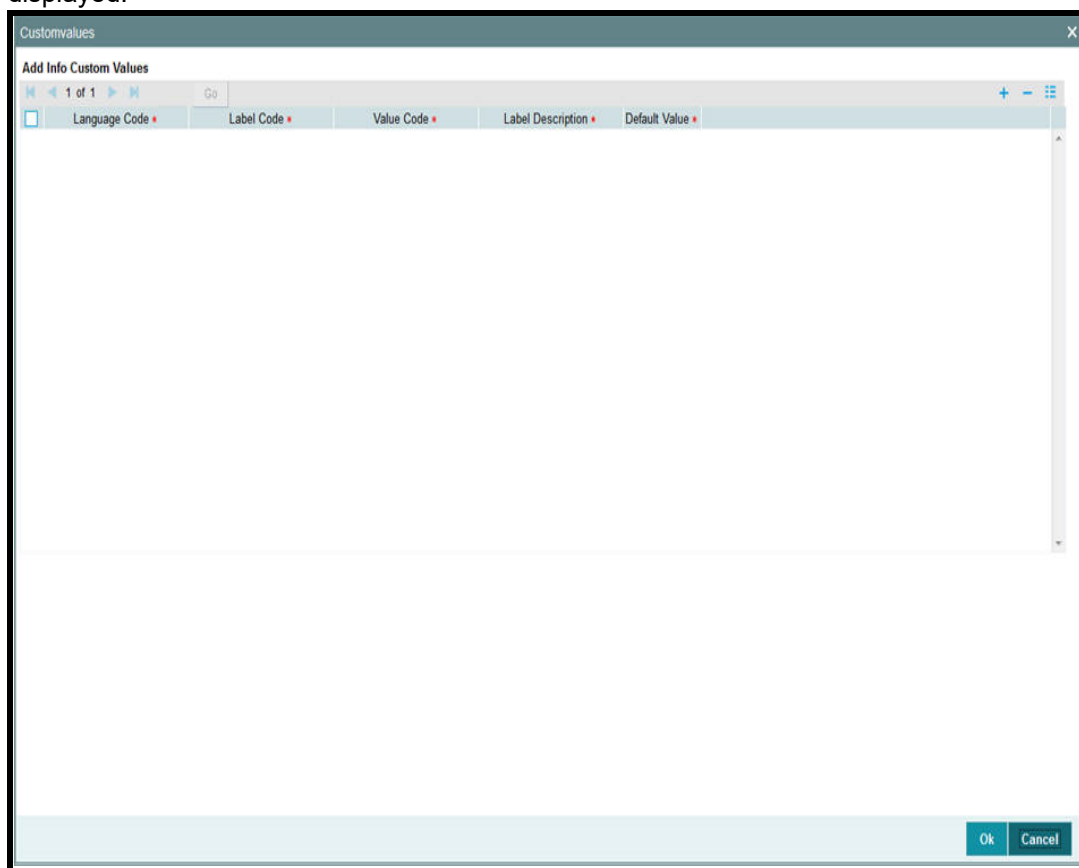
## **Param Code**

*Alphanumeric; 25 Characters; Optional*

Specify the param code.

If the additional information head being maintained is to be linked to a system parameter that has been maintained for the installation, you must also enter the code of the specific system parameter to which the additional information head is linked. The values maintained for the linked parameter are also applicable for the additional information head. When you click on the Custom Values button, you can select the system parameter to which the additional information head must be linked.

To define a set of valid values, click the Valid Values button. The following window is displayed:



The screenshot shows a window titled 'Customvalues' with a sub-header 'Add Info Custom Values'. Below the header is a table with the following columns: Language Code, Label Code, Value Code, Label Description, and Default Value. The table is currently empty. At the bottom right of the window are 'Ok' and 'Cancel' buttons.

You can specify the following values:

**Language Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the language for which you want to define the additional information heads.

**Label Code**

*Alphanumeric; 30 Characters; Mandatory*

Specify the label code.

**Value Code**

*Alphanumeric; 30 Characters; Mandatory*

Specify the value code.

**Label Description**

*Alphanumeric; 100 Characters; Mandatory*

Specify the label description.

**Default Value**

*Mandatory*

Select if the value is to be shown as default, in the drop down list for this information head, in any maintenance screen in the system. The values available in drop-down list is as follows:

- Yes

- No

Click 'Ok' button. Your changes are saved, the List of Values screen is closed, and you are returned to the main Additional Information Maintenance screen.

### **Linking an additional information head to a system parameter**

You can use the Link to Param field to indicate whether the additional information head that is being maintained is linked to a system parameter that has been maintained for the installation. Check this box to indicate such a linkage.

If a linkage is indicated, you must also enter the code of the specific system parameter to which the additional information head is linked. The values maintained for the linked parameter are also applicable for the additional information head. When you click on the Valid Values button, you can select the system parameter to which the additional information head must be linked.

You cannot maintain a restrictive list for an additional information head that is linked to a system parameter.

In the system, when the additional information field that is linked to a parameter code is displayed for data entry, a list of values button is provided for selection of the values defined for the linked parameter code.

#### **4.9.1.1 Specifying RPO Code for Account Status as Additional Information Head**

When you set up a unit holder account in the system, you can capture the RPO Code that would be used for tracking the status of the account. To enable this, the RPO Code is provided as an additional information head in the Additional Information Maintenance, with valid values such as Bankrupt, Deceased, Lien on Holdings, Return Mail and so on, as a pre-shipped maintenance.

Based on the RPO Code, specific transaction types could be allowed or disallowed, as follows:

<b>RPO Code</b>	<b>Processing Implications</b>
Normal/Active	No associated RPO Code
Bankrupt	Redemptions, Transfer-In will be allowed. Subscription, Switch-Out, Switch-In, Transfer-Out transactions will not be allowed
Deceased	All transaction types disallowed
Deceased Estate	All transaction types disallowed
Frozen	All transaction types disallowed
Hold	All transaction types allowed
Blacklist	All transaction types disallowed
Suspicious	All transaction types allowed
Closed	All transaction types disallowed

The RPO code can be tracked separately for each installation; therefore, the same account could have the BLOCKED status in one installation and ACTIVE in another. To mark a status, an Information Change must be used.

To capture the effective date for the RPO status, an additional information head RPO Effective Date is provided, with the data type as 'Date Type'. The format for the date is picked up from the Parameter Code 'DATEFORMATFORADDINFO', which is a pre-shipped maintenance.

These additional information heads are provided at your installation only if specifically requested for.

## 4.10 Entity Additional Information Mapping

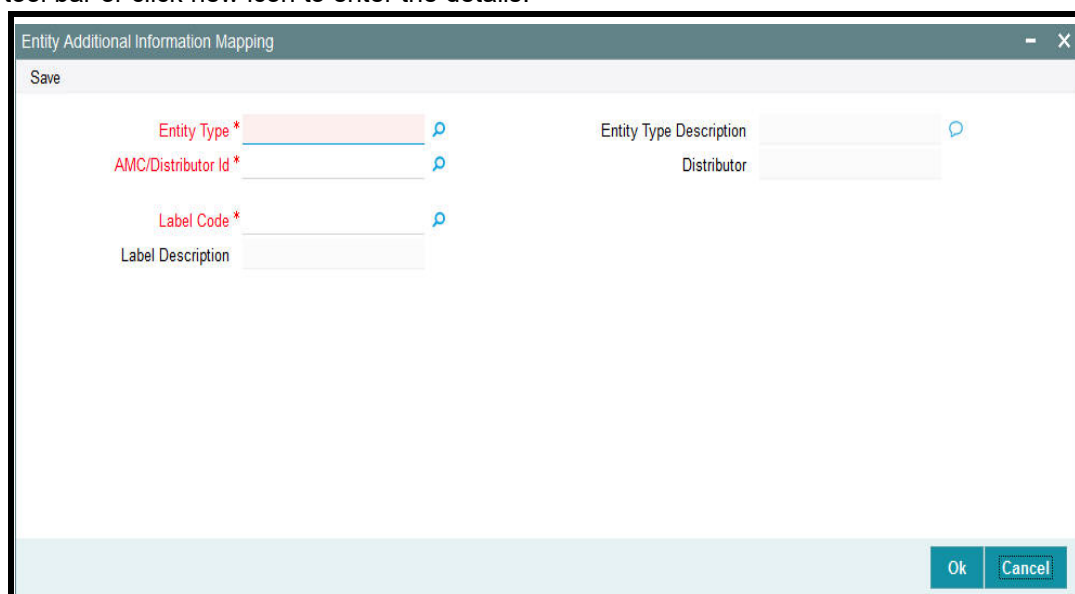
This section contains the following topics:

- [Section 4.10.1, "Invoking the Entity Additional Information Mapping Screen"](#)

### 4.10.1 Invoking the Entity Additional Information Mapping Screen

After you have defined the additional information heads with their valid values in the Additional Information Maintenance screen, you must map them to be applicable during the maintenance of entities.

To do so, use the 'Entity Additional Information Mapping' screen. You can invoke this screen by typing 'UTDENMAP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.



You can specify the following details:

#### **Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the entity type for which the information head must be mapped.

#### **Entity Type Description**

*Display*

The system displays the description for the selected entity type.

**AMC/Distributor Id**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC or distributor ID for which the mapping is applicable.

**Distributor**

*Display*

The system displays the description for the selected distributor ID.

**Label Code**

*Alphanumeric; 30 Characters; Mandatory*

Specify the label code.

**Label Description**

*Display*

The system displays the description for the selected label code.

After you have mapped all the desired information heads in this manner, click the Save button to save your changes.

You can map a maximum of 30 add infos to an entity. If you try to map more than 30 entities, then the system will display an error message.

## **4.11 Entity Additional Information Mapping Summary Screen**

This section contains the following topics:

- [Section 4.11.1, "Retrieving Record in Entity Additional Information Mapping Summary Screen"](#)
- [Section 4.11.2, "Editing Record in Entity Additional Information Mapping Summary Screen"](#)
- [Section 4.11.3, "Viewing Entity Additional Information Mapping Record"](#)
- [Section 4.11.4, "Deleting Entity Additional Information Mapping Record"](#)
- [Section 4.11.5, "Authorizing Entity Additional Information Mapping Record"](#)
- [Section 4.11.6, "Amending Entity Additional Information Mapping Record"](#)
- [Section 4.11.7, "Authorizing Amended Entity Additional Information Mapping Record"](#)

### **4.11.1 Retrieving Record in Entity Additional Information Mapping Summary Screen**

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

Invoke the 'Entity Additional Information Mapping Summary' screen by typing 'UTSENMAP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow



button. You can perform the following operations in 'Entity Additional Information Mapping Summary' screen:

The screenshot shows a web application window titled "Entity Additional Information Mapping". At the top, there is a search bar with buttons for "Search", "Advanced Search", "Reset", and "Clear All". Below the search bar, there is a section labeled "Search Is Case Sensitive" with two input fields: "Entity Type" and "Label Code", each with a search icon. Below the search fields, there is a table with columns: "AMC ID", "Entity Type", "Entity Name", "Record Number", "Label Code", and "Label Description". The table is currently empty. At the bottom right of the window, there is an "Exit" button.

Specify any or all of the following details in the corresponding fields:

- Entity Type
- Label Code

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

#### **4.11.2 Editing Record in Entity Additional Information Mapping Summary Screen**

You can modify the details of a record in Entity Additional Information Mapping Detail screen that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Entity Additional Information Mapping Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Entity Additional Information Mapping Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

### **4.11.3 Viewing Entity Additional Information Mapping Record**

To view a record that you have previously input, you must retrieve the same in the Entity Additional Information Mapping Summary screen as follows:

- Invoke the Entity Additional Information Mapping Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Entity Additional Information Mapping Detail screen is displayed.

### **4.11.4 Deleting Entity Additional Information Mapping Record**

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

- Invoke the Entity Additional Information Mapping Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Entity Additional Information Mapping Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **4.11.5 Authorizing Entity Additional Information Mapping Record**

An unauthorized Entity Additional Information Mapping record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the Entity Additional Information Mapping Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only authorize unauthorized records. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to modify in the list of displayed records. The Entity Additional Information Mapping Detail screen is displayed.
- Select Authorize operation from the Action List.

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

#### **4.11.6 Amending Entity Additional Information Mapping Record**

After a Entity Additional Information Mapping record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the Entity Additional Information Mapping Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Entity Additional Information Mapping Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

#### **4.11.7 Authorizing Amended Entity Additional Information Mapping Record**

An amended Entity Additional Information Mapping must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

### **4.12 Fee Categories and Sub-categories**

This section contains the following topics:

- [Section 4.12.1, "Setting up Fee Categories and Sub-categories"](#)
- [Section 4.12.2, "Fee Category Code Maintenance Screen"](#)

#### **4.12.1 Setting up Fee Categories and Sub-categories**

At the time of installation of Oracle FLEXCUBE Investor Servicing, the implementers set up codes for fee categories that will be deemed applicable for specific investor categories. They also set up a list of fee sub-categories that would be considered valid for each fee category.

The implementers set up these codes and values based on the requirements at each installation.

You as a user will be able to add to a list of fee sub-categories for a fee category code. However, you cannot set up any new fee categories.

## 4.12.2 Fee Category Code Maintenance Screen

To view a list of defined fee category codes or add any new fee sub-categories, use the 'Fee Category Setup Detail' screen. You can invoke this screen by typing 'UTDFEECA' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

The screenshot shows the 'Fee Category Setup Detail' application window. It features a 'Save' button at the top left. The main area is divided into two sections: 'Fee Category Code Maintenance' and 'Fee Sub Category Value Maintenance'. The 'Fee Category Code Maintenance' section includes input fields for 'Language Code \*', 'Fee Category \*', 'Language Description', 'Fee Category Description', and 'Investor Type'. The 'Fee Sub Category Value Maintenance' section is a table with columns 'Fee Sub Category \*' and 'Description \*'. The table has one row with a checked checkbox in the first column. At the bottom, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

You can specify the following details:

### Fee Category Code Maintenance

#### **Language Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the language for which you want to view the defined fee category codes.

#### **Language Description**

*Display*

The system displays the description for the selected language code.

#### **Fee Category**

*Alphanumeric; 3 Characters; Mandatory*

Specify the fee category details. Alternatively, you can select the fee category from the option list. The list displays all defined fee categories for the selected language code.

### **Fee Category Description**

#### *Display*

The system displays the description for the selected fee category.

### **Investor Type**

#### *Display*

The system displays the type of investor.

### **Fee Sub Category Value Maintenance**

To add a fee sub-category, click the Add link. A new row is inserted at the bottom of the list.

### **Fee Sub Category**

*Alphanumeric; 6 Characters; Mandatory*

Specify the fee sub category.

### **Description**

*Alphanumeric; 60 Characters; Mandatory*

Specify the description for the selected fee sub category.

## **4.13 Fee Category Setup Summary**

This section contains the following topics:

- [Section 4.13.1, "Retrieving Record in Fee Category Setup Summary Screen"](#)
- [Section 4.13.2, "Editing Record in Fee Category Setup Summary Screen"](#)
- [Section 4.13.3, "Viewing Fee Category Setup Record"](#)
- [Section 4.13.4, "Deleting Fee Category Setup Record"](#)
- [Section 4.13.5, "Authorizing Fee Category Setup Record"](#)
- [Section 4.13.6, "Amending Fee Category Setup Record"](#)
- [Section 4.13.7, "Authorizing Amended Fee Category Setup Record"](#)

### **4.13.1 Retrieving Record in Fee Category Setup Summary Screen**

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

Invoke the 'Fee Category Setup Summary' screen by typing 'UTSFEECA' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. You can perform the following operations in 'Fee Category Setup Summary' screen:

Specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Language Code
- Fee Category
- Investor Type

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

#### 4.13.2 **Editing Record in Fee Category Setup Summary Screen**

You can modify the details of a record in Fee Category Setup Detail record that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Fee Category Setup Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Fee Category Setup Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

### **4.13.3 Viewing Fee Category Setup Record**

To view a record that you have previously input, you must retrieve the same in the Fee Category Setup Summary screen as follows:

- Invoke the Fee Category Setup Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Fee Category Setup Detail screen is displayed.

### **4.13.4 Deleting Fee Category Setup Record**

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

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

### **4.13.5 Authorizing Fee Category Setup Record**

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

- Invoke the Fee Category Setup Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only authorize unauthorized records. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to modify in the list of displayed records. The Fee Category Setup Detail screen is displayed.
- Select Authorize operation from the Action List.

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

#### **4.13.6 Amending Fee Category Setup Record**

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

- Invoke the Fee Category Setup Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Fee Category Setup Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

#### **4.13.7 Authorizing Amended Fee Category Setup Record**

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

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

### **4.14 Data Mapping**

This section contains the following topics:

- [Section 4.14.1, "Maintaining Data Mapping"](#)



## 4.14.1 Maintaining Data Mapping

You can map data from external systems to FCIS using the 'FCIS Data Mapping Maintenance Detail' screen. You can invoke this screen by typing 'UTDDMAP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a web application window titled "FCIS Data Mapping Maintenance Detail". At the top, there is an "Execute Query" section with a search field labeled "External System \*". Below this is an "External System Details" section containing a table with three columns: "Code Description \*", "FCIS Code \*", and "External System \*". The table is currently empty. At the bottom of the window, there are several input fields: "Input by", "Authorized by", "DateTime", "Mod No", "Open", and "Authorized", along with a "Cancel" button.

### External System

*Alphanumeric; 30 Characters; Mandatory*

Specify the external system from which the data needs to be mapped. The options being:

- CAMS
- TEMPLETON
- KARVY
- HSBC
- Oasis

### External System Details Section

#### Code Description

*Alphanumeric; 100 Characters; Mandatory*

Specify the category of codes from factory shipped values available.

#### FCIS Code

*Alphanumeric; 255 Characters; Mandatory*

Specify the corresponding factory shipped value available in FCIS for the specified category code.

#### External System Code

*Alphanumeric; 50 Characters; Mandatory*

Specify the external system code here.

---

**Note**

If the code description selected from the available list is linked to any existing PARAMS, system would display all valid codes irrespective of the maintenance.

---

## 4.15 User Event Mapping

This section contains the following topics:

- [Section 4.15.1, "Invoking the User Event Mapping Screen"](#)

### 4.15.1 Invoking the User Event Mapping Screen

FCIS provides the facility to map the users responsible for each event that can be raised during the End of Day (EOD) process. You can also capture the user's telephone numbers.

To map an EOD operator with an event, use the 'Event User Mapping Detail' screen. You can invoke this by typing 'UTDEUMAP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

User ID *	User Name *	Contact Number 1 *	Contact Number 2	Contact Number 3

#### **Event Code**

*Alphanumeric; 20 Characters; Mandatory*

Select the event for which you wish to map a user from the drop-down list. The list contains all the valid event codes maintained in the system.

#### **Event Description**

*Display*

On selecting the event code, the system displays the description of the event code.

## Event User Mapping Section

### User ID

*Alphanumeric; 12 Characters; Mandatory*

Select the User Id of the person who is to be mapped to the chosen event. The list contains all the valid users maintained in the system.

### User Name

*Display*

The system displays the name of the user for the selected user ID.

### Contact Numbers 1 – 3

*Alphanumeric; 16 Characters; Contact Number 1 is Mandatory*

Enter the contact telephone numbers of the user. You can enter up to three contact numbers.

## 4.16 Dividend Component Details

This section contains the following topics:

- [Section 4.16.1, "Maintaining Dividend Component Details"](#)

### 4.16.1 Maintaining Dividend Component Details

Earnings from a dividend can be classified as permissible or non permissible. As per *Shariah* laws, non permissible income cannot be reinvested into the fund.

You can maintain dividend component details in the 'Dividend Components Detail' screen. You can invoke this screen by typing 'UTDDVCOM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

Dividend Components Detail

Save

Dividend Components

Component ID \*

Parent Component ID

Tax Rebate Flag

Exclude EPU

Component Description \*

NPI Applicable

Tax Rebate Link Component

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

Ok Cancel

You can specify the following fields in this screen:

**Component ID**

*Alphanumeric; 2 Characters; Mandatory*

Enter a unique identifier for the dividend component that is to be classified as Non permissible income.

**Component Description**

*Display*

Enter a description of the component.

**Parent Component ID**

*Alphanumeric; 2 Characters; Mandatory if the component is NPI Applicable*

If the component has been classified as NPI Applicable then specify the parent dividend component. The parent component specified here will be used for reporting purposes. The option list contains the valid dividend component Ids maintained in the system.

**NPI Applicable**

*Optional*

Select 'Yes' from drop-down list to indicate that income from this component is non permissible.

**Tax Rebate Flag**

*Optional*

Select if tax to be deducted at source or not from the drop-down list. The list displays the following values:

- Yes
- No

**Tax Rebate Link Component**

*Alphanumeric; 2 Characters; Optional*

Specify the tax deducted at source link component to be linked.

**Exclude EPU**

*Optional*

Select if EPU component should be marked for exclusion of Tax or not from the adjoining drop-down list. Following are the options available:

- Yes
- No

The dividend tax process will check the dividend component ID's marked as Tax rebate and the link component. The system will calculate the dividend withholding tax amount. If the tax difference amount is greater than zero then new WHT amount will be same as of Tax Difference Amount; Otherwise New WH Tax Amount will be zero.

**4.16.1.1 Processing Fund Dividend WHT**

You can mark the component defined as tax rebate component or as a link component. The component can also be marked to define if the Tax has to be excluded or included..

The dividend tax process will check if the dividend component ID's marked as Tax rebate and the link component and calculate the dividend withholding tax amount. If the tax difference amount is greater than zero then new WHT amount will be same as of Tax Difference Amount; Otherwise New WH Tax Amount will be zero.

For all other taxable dividend components (meaning taxable component id which are not maintained as "Tax Rebate"), the system will calculate the dividend withholding tax as per the regular method / calculation. This is applicable for both UT and LEP business.

If 'Exclude EPU' is maintained as Yes then during fund dividend processing (fund dividend screen), the system will not add up to derive the EPU else there will be no change in processing the dividend.

## **4.17 Dividend Components Summary**

This section contains the following topics:

- [Section 4.17.1, "Retrieving Record in Dividend Components Summary Screen"](#)
- [Section 4.17.2, "Editing Record in Dividend Components Screen"](#)
- [Section 4.17.3, "Viewing Dividend Components Record"](#)
- [Section 4.17.4, "Deleting Dividend Components Record"](#)
- [Section 4.17.5, "Authorizing Dividend Components Record"](#)
- [Section 4.17.6, "Amending Dividend Components Record"](#)
- [Section 4.17.7, "Authorizing Amended Dividend Components Record"](#)

### **4.17.1 Retrieving Record in Dividend Components Summary Screen**

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

Invoke the 'Dividend Components Summary' screen by typing 'UTSDVCOM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. You can perform the following operations in 'Dividend Components Summary' screen:

Specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Component ID
- Component Description

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

#### 4.17.2 Editing Record in Dividend Components Screen

You can modify the details of a record in Dividend Components Detail screen that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Dividend Components Summary screen from the Browser.

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

### **4.17.3 Viewing Dividend Components Record**

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

- Invoke the Dividend Components Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Dividend Components Detail screen is displayed.

### **4.17.4 Deleting Dividend Components Record**

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

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

### **4.17.5 Authorizing Dividend Components Record**

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

- Invoke the Dividend Components Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only authorize unauthorized records. Accordingly, choose the unauthorized option.

- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Dividend Components Detail screen is displayed.
- Select Authorize operation from the Action List.

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

#### **4.17.6 Amending Dividend Components Record**

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

- Invoke the Dividend Components Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Dividend Components Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

#### **4.17.7 Authorizing Amended Dividend Components Record**

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

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

### **4.18 Stop Code Maintenance**

This section contains the following topics:

- [Section 4.18.1, "Maintaining Stop Code"](#)
- [Section 4.18.2, "Invoking Stop Code Maintenance Screen"](#)

#### **4.18.1 Maintaining Stop Code**

You can maintain the Transaction Restrictions with different attributes such as IPO Subscription (UTDTXN01), Subscription (UTDTXN02), Redemption (UTDTXN03), Switch Out (UTDTXN04), Switch In (UTDTXN04), Transfer Out (UTDTXN05), Transfer In (UTDTXN05), Block (UTDTXN06), Unblock (UTDTXN07) and Standing Instruction Set up (UTDSIN). Restrictions applied to these transaction types will be applicable for all ref types under each transaction type.

Once the Stop Code is added and authorized in the system, you cannot delete it.



On modification/ changes in the Stop Codes restrictions (Transaction/Dividend/Payment) in 'Stop Codes Maintenance screen, the restrictions will be effective to all the Unit Holders in the system once the stop codes maintenance screen is authorized.

## 4.18.2 Invoking Stop Code Maintenance Screen

You can maintain new Stop codes using the predefined attributes in 'Stop Code Maintenance Detail' screen. You can invoke this screen by typing 'UTDSTOPC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Stop Code Maintenance Detail

Save

Stop Code \*

Stop Code Description

**Transaction Restrictions**

IPO Subscription

Subscription

Redemption

Switch

Transfer In

Transfer Out

Block/UnBlock

Standing Instructions

**Dividend Restrictions**

Force Dividend Reinvestment

Force Dividend Payment

Deduct all Dividend Tax

**Payment Restrictions**

Redemption Payout

Dividend Payout

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

Ok Cancel

You can specify the following details:

### Stop Code

*Alphanumeric; 25 Characters; Mandatory*

Specify the stop code.

### Stop Code Description

*Alphanumeric; 255 Characters; Optional*

Specify the description for the stop code.

### Transaction Restrictions

#### IPO Subscription

*Optional*

Select IPO Subscription transaction restrictions from the adjoining drop-down list. Following are the options available:

- Applicable

- Not Applicable
- Applicable with Warning

### **Subscription**

#### *Optional*

Select Subscription transaction restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable
- Applicable with Warning

### **Redemption**

#### *Optional*

Select redemption transaction restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable
- Applicable with Warning

If you select 'Not Applicable' and you try to map the relevant stop code to the UH, then the system will stop the Redemption payment generation for the UH. If you generate payment for Redemption with restriction as 'Not Applicable', the system will display an error message stating generating payment is restricted.

Redemption transactions which requires confirmations will not be available to confirm in 'confirm redemption' batch if 'Redemption Payment' is restricted for the UH.

### **Switch**

#### *Optional*

Select switch transaction restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable
- Applicable with Warning

### **Transfer In**

#### *Optional*

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

- Applicable
- Not Applicable
- Applicable with Warning

### **Transfer Out**

#### *Optional*

Select transfer out transaction restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable
- Applicable with Warning

## **Block/UnBlock**

### *Optional*

Select block/unblock transaction restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable
- Applicable with Warning

## **Standing Instructions**

### *Optional*

Select standing instruction transaction restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable

---

### **Note**

- If Standing Instructions is 'Not Applicable' then it will Pause the existing SI and will disallow the new ones
  - If Standing Instructions is 'Applicable' then it will allow the new SI and Pause SI (if any) will be restarted
- 

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

In case for a particular transaction type, restriction is 'Applicable with Warning', then the system will display a warning message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder' stating this transaction is restricted. You can override the warning message.

## **Dividend Restrictions**

### **Force Dividend Reinvestment**

#### *Optional*

Select the force dividend reinvestment restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable

If the relevant Stop Code where restriction is applied for 'Forced Dividend Reinvestment' is mapped to the Unit Holder, the system will reinvest the dividend distribution irrespective of UH IDS maintenance.

### **Force Dividend Payment**

#### *Optional*

Select the force dividend payment restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable

If the relevant Stop Code where restriction is applied for 'Forced Dividend Payout' is mapped to the Unit Holder, system will Payout the dividend distribution irrespective of UH IDS maintenance.

### **Deduct all Dividend Tax**

*Optional*

Select the dividend tax restrictions from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable

If the relevant Stop Code where restriction is applied for 'Deduct All Dividend Tax' is mapped to the Unit Holder, system will Payout the dividend distribution irrespective of UH IDS maintenance.

### **Payment Restrictions**

#### **Redemption Payout**

*Optional*

Select the redemption payment restriction from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable

If you select 'Redemption Payout' field as 'Not Applicable', and the relevant Stop code is mapped to the UH, then the system will stop the Redemption payment generation for the UH. If you try to generate payment for Redemption with this status, then the system will display an error message stating generating payment is restricted.

#### **Dividend Payout**

*Optional*

Select the dividend payment restriction from the adjoining drop-down list. Following are the options available:

- Applicable
- Not Applicable

If you select 'Dividend Payout' field as 'Not Applicable', and the relevant Stop code is mapped to the UH, then the system will stop the dividend payment generation for the UH. If you try to generate payment for a dividend with this status, then the system will display an error message stating generating payment is restricted.

The system will use these restrictions in EFT file generation for Redemptions and Dividend Payments. Check Payments and Transfer will be restricted based on Payment restrictions. Upon release of the Payment restrictions, the system will generate all the pending Dividend and Redemption payments individually.

## **4.19 Stop Code Summary**

This section contains the following topics:

- [Section 4.19.1, "Retrieving Stop Code in Summary Screen"](#)
- [Section 4.19.2, "Editing Stop Code Details"](#)
- [Section 4.19.3, "Viewing Stop Code Details"](#)

- [Section 4.19.4, "Deleting Stop Code Details"](#)
- [Section 4.19.5, "Authorizing Stop Code Details"](#)
- [Section 4.19.6, "Amending Stop Code Details"](#)
- [Section 4.19.7, "Authorizing Amended Stop Code Details"](#)

#### 4.19.1 Retrieving Stop Code in Summary Screen

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

You can retrieve a previously entered stop code in the Summary screen, as follows:

- Invoke the Stop Code Summary screen and specify the following:
  - The status of the stop code in the Authorized field. If you choose the "Blank Space" option, then all the stop codes are retrieved.
  - The status of the stop code in the Open field. If you choose the "Blank Space" option, then all the stop codes are retrieved.
  - Stop Code
  - Stop Code Description
- After you have specified the required details, click 'Search' button. All Stop codes with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve the stop code detail from the detail screen by doing query in the following manner:-

- Press F7
- Input the Stop Code
- Press F8

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

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

For example, you can search the record for Stop Code or Stop Code description by using the combination of % and alphanumeric value as follows:-

- **Search by M%:** The system will fetch all the records whose Stop Code description starts from Alphabet 'M'. For example, Mutual Fund.
- **Search by %7 :** The system will fetch all the records whose Stop Code ends by numeric value ' 7 ' For example, 217,267,77 and so forth.
- **Search by %17%:** The system will fetch all the records whose Stop Code contains the numeric value 17. For example, 3217, 2172 and so forth.

#### **4.19.2 Editing Stop Code Details**

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

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

#### **4.19.3 Viewing Stop Code Details**

To view a Stop Code that you have previously entered:

- Invoke Stop Code Summary Screen from the Browser.
- Select the status of the stop code that you want to retrieve for viewing in the Authorization Status field. You can also view all stop codes that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
- Specify any or all of the details of the stop code in the corresponding fields on the screen.
- Click 'Search' button. All stop codes with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the stop code that you want to view in the list of displayed Stop Codes. The Stop Code Maintenance Detail screen is opened in view mode.

#### **4.19.4 Deleting Stop Code Details**

You can delete only unauthorized stop codes in the system.

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

#### **4.19.5 Authorizing Stop Code Details**

An unauthorized stop code must be authorized in the system for it to be processed.

To authorize a stop code:

- Invoke the Stop Code Summary screen from the Browser.
- Select the status of the Stop Code that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop-down list.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All stop codes with the specified details that are pending for authorization are retrieved and displayed in the lower portion of the screen.
- Double click the stop code type that you wish to authorize. The Stop Code Maintenance screen displayed. Select Authorize operation from Action.

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

#### **4.19.6 Amending Stop Code Details**

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

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

## 4.19.7 Authorizing Amended Stop Code Details

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

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

## 4.20 RDR Parameters

This section contains the following topics:

- [Section 4.20.1, "Maintaining RDR Parameters"](#)
- [Section 4.20.2, "Invoking RDR Parameter Maintenance Screen"](#)
- [Section 4.20.3, "Processing RDR Parameters"](#)
- [Section 4.20.4, "Front-end Fees and Trail Commission Payments"](#)

### 4.20.1 Maintaining RDR Parameters

The Financial Services Authority (FSA) is an independent non-governmental regulatory body. FSA has proposed new regulations Retail Distribution Review (RDR) on Retail Advised portion of the Fund Market with effect from 1st January 2013.

The Retail Distribution Review regulations ban the payment of commission on retail advised retail business after 31<sup>st</sup> December 2012. Execution only Business can be defined as transactions by investor post-RDR without any advice from any advisor. While Advised Business can be defined as transactions done by investor post-RDR based on advice from advisor. Post RDR, neither front-end nor trail commission can be paid on advised new retail business. However, payment of commission (front-end/trail) can continue on New Business classified as 'Execution only Business'. Commission payments can also continue to be paid on 'Legacy Business'. Post RDR, the payment of commissions will depend on the classification of transactions ('Legacy Business', 'Advised Business', and 'Execution Only Business').

The RDR regulations will be applicable to UK domiciled advisor irrespective of whether they purchase UK funds or non-UK funds. The TAs for funds outside UK that are purchased as result of advice from a UK domiciled advisor will need to comply with RDR. It will be required to ascertain whether the advisor is domiciled in UK or not.

It is required to define the front-end commission and trail commission payable based on classification of transaction and domicile of advisor. It will be required to provide the audit trail for front-end commission and trail commission.

In the absence of commission payments on new advised business, investor will be required to pay fees to the advisor for the advice received. The advisor fee will be agreed upon by the investor and the advisor. The advisor will also be able to charge for ongoing services provided to investors. It will be required to provide audit trail for advisor fees. These fees are expected to be handled outside the system.

An investor may hold units in a fund and could have made investments based on advice received Pre-RDR and Post RDR. The payment of commission or fees will depend on the classification of transactions. It will be required to segregate an investors holding (Pre-RDR/ Post-RDR) and classify them. Segregation of investor's holdings will also be required to classify transactions resulting from reinvestment of dividends. It will be required to provide the audit trail for Pre-RDR and Post-RDR holdings.



Payment of commission on SI transactions will depend on whether the SI transaction is classified as “Legacy Business”, “Advised Business” or “Execution Only Business”. The escalation in SI transactions will also need to be classified similarly.

Re-registration of an investment from one platform to another will not be by default classified as an advised event and trail commission can continued to be paid. In case the re-registration is based on advised activity, then trail commission cannot be paid. It will be required to capture whether re-registration is based on advice or not.

Post RDR, in case there is a change in agent, the reason for the same will determine the eligibility for payment of commission. In case the change of agent is due to agent’s decision like old agent selling his business, the new agent will inherit the terms of holdings and receive trail commission. If the change of agent is due decision by investor, no trial commission is payable to the new agent. Trail commission can be paid to the investor and reinvested.

At present, from the management fee charged by the AMC, a portion is paid to advisor as trail commission, portion paid to platform providers and the balance is retained for fund management. The RDR regulations ban payment of trail commission on new retail advised business. In order to comply with the regulations, the AMC may introduce a new fund class for all the existing funds with lower management fees. The AMC may also retain the existing funds and modify the fee structure. Post RDR, AMCs may reduce the management fees or retain the old structure and pay rebate to either or both platform providers and investors. In case platform providers are continued to be paid from the management fees, the same will required to be disclosed to the investors. In the future, the FSA would like to enforce all platforms to receive fees from investors for services provided.

The actual fee charging will be driven by business rules by mapping appropriate load ref type.

#### 4.20.2 Invoking RDR Parameter Maintenance Screen

You need to segregate into pre-RDR and post-RDR holdings while paying the commission. You need to classify the transactions for the purpose of commission payments. the front-end load and trail commission (management fees) will be mapped as loads with appropriate ref types.

You can maintain RDR Parameters using ‘RDR Parameter Maintenance’ screen. You can invoke this screen by typing ‘UTDRDRPM’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

RDR Parameter Maintenance

Execute Query

RDR Applicable [v]  
RDR Date MMDDYYYY  
RDR Warning [v]  
RDR Hierarchy [v]

1 of 1 Go

Country	Country Name

Input by                      DateTime                      Mod No                      Open  
Authorized by                      DateTime                      Authorized

Cancel

You can specify the following details:

### **RDR Applicable**

*Optional*

Select if RDR is applicable or not from the adjoining drop-down list. Following are the options available:

- Yes
- No

### **RDR Date**

*Date Format; Optional*

Specify RDR date.

### **RDR Warning**

*Optional*

Select if RDR warning is applicable or not from the adjoining option list. Following are the options available:

- Yes
- No

### **RDR Hierarchy**

*Optional*

Select if RDR hierarchy is applicable or not from the adjoining option list. Following are the options available:

- Yes
- No

### **Country**

*Alphanumeric; 3 Characters; Optional*

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

### **Country Name**

*Display*

The system displays the name of the country for the selected country code.

The system will determine the payment of commission by the classification of transactions, such as, IPO subscriptions, subscription, switch and transfer In, where transaction date is less than RDR Effective date and advisor is UK domiciled broker as 'Legacy/Direct Business'.

Post RDR for UK domiciled advisor, the system will track the transactions, such as, IPO subscriptions, subscription, switch transfer In and Trail Commission reinvestment as new business. Based on the value of 'Transaction Category' field at the transaction level, the system will classify the transactions as either 'Legacy/Direct Business', 'Advised Business' or 'Execution Only Business'.

For Non UK domiciled adviser, the system will default the Transaction category to 'Legacy/Direct Business'. The defaulting of 'Transaction Category' field will happen on clicking the 'Enrich Transaction' button.

If you change the transaction category for non UK domiciled advisor to Advised/Execution Only Business, the system will display the following warning message:

**Default Transaction Category has been overridden. Do you want to continue?**

The above validation is also applicable, if you change the transaction category during edit/amend operation.

In case of agent hierarchy, if any entity in the hierarchy is domiciled in UK, you should tag the transaction as 'Advised or Execution Business'. In such a case, if you choose the transaction category as Legacy Business, even if any one of the entity mapped in the Hierarchy is domiciled in UK, then the system will display the following warning message:

**Default Transaction Category has been overridden. Do you want to continue?**

The above validation is also applicable, if you change the transaction category during edit/amend operation.

The system will default the 'Transaction Category' field based on the country of Domicile of Advisor, RDR Applicable, RDR Date and the classification of broker at UH maintenance screen.

In case the transaction has broker which is not mapped at UH level and if the intermediary is UK domiciled, the system will default the transaction category to Execution. For non UK domiciled intermediary, the system will default the transaction category to Legacy/Direct Business.

The above validation is applicable if RDR Applicable is selected as 'Yes' and the transaction date is greater than or equal to RDR Date.

Post RDR, the holdings in a fund due to Share Class Conversion, Fund Merger, Fund Split, Dividend Reinvestment, Reverse split will be classified as 'Legacy/Direct Business', 'Advised Business' or 'Execution Only Business', based on the category of original holdings.

If a regular savings plan is in force at the RDR date, the system will continue the front end commission to be paid on each subsequent contribution. In addition, the system will tag the units/ shares allocated to the transaction as legacy/direct.

If for an existing or a new SI (post RDR Date), the SI is amended for escalation, then the system will display the following warning message:

**SI is being escalated for UK domiciled broker transaction – Do you wish to continue?**

If the transaction category is amended, the system will reflect the new category from next SI generation onwards.

For Non-UK domiciled advisor, all transactions including Switch/SI/escalations in SI will continue to be marked as Legacy/Direct Business irrespective of the trade date/SI registered Date.

### **4.20.3 Processing RDR Parameters**

The system will charge front end fees, post RDR, based on the transaction category. The system will charge front end fees for transactions classified as 'Legacy/Direct Business' and 'Execution Only Business' done through a UK domiciled advisor.

For agent hierarchy, you need to map appropriate transaction category– depending on the business needs.

- Case1: If agent is domiciled in UK, then irrespective of the hierarchy, they may follow RDR rules

- Case 2: If agent is not domiciled in UK, then irrespective of the domicile of other entities in Hierarchy, they may not follow RDR rules.

Post RDR, the system will compute trail commission based on transaction category for the transactions, such as, 'Legacy/Direct Business' and 'Execution Only Business' done through a UK domiciled advisor. For 'Advised Business' done via a UK domiciled advisor, the system will not compute trail commission. You can maintain different rates of trail commission for the different transaction categories.

You can also set up configuration such that all trailer commission on legacy business get paid to the unitholder.

Post RDR, the AMC can maintain the same management fee for transactions done through a UK domiciled Advisor and give rebate to investor. The management fee (periodic load) with From entity as 'AMC' and To Entity as 'Unit Holder' to be given based on appropriate mapping.

In case of a Product periodic load, if at Unitholder level, and if Trailer commission preference at UH level is reinvestment, then the system will generate transaction into CMA fund for the UH on trailer commission payment date. If CMA fund is not maintained, then the system will generate reinvestment transaction into the preferred fund. If preferred fund is not maintained, then the system will generate reinvestment transaction for all funds available in the policy for which trailer fee has been computed.

The transaction category for this transaction will be legacy/execution depending on the advisor is UK domiciled or non UK domiciled. In case of reinvestment of trailer commissions, the transaction category will be updated as follows:

- Post RDR date, if default broker at UH level is UK domiciled and advise mode at UH level is Advised, then the transaction category will be Advised Business, else it will be Execution Business.
- Pre RDR Date, if default broker at UH level is UK domiciled, then the Transaction category will be Legacy/Direct business.
- If default broker is non UK domiciled, the generated transaction will have the transaction category as Legacy/Direct business.

The AMC can also decide to lower the management fee to be charged when the advisor is domiciled in UK. The new lower management fee with appropriate category for Advisor domiciled in UK will be mapped.

## **4.20.4 Front-end Fees and Trail Commission Payments**

### **4.20.4.1 For legacy business**

In cases, where To Entity is Unitholder, investor may receive trailer commission in the form of Cash or reinvestment (into same fund) – This is only applicable when from Entity is M.

#### 4.20.4.2 For Execution business

##### Front end fee:

###### Case 1:

Load	From Entity	To Entity
L1	Unit Holder	AMC
L2	AMC	Broker/Agent

###### Case 2:

Load	From Entity	To Entity
L1	Unit Holder	Broker
L2	Broker	AMC

##### Trailer Fee:

###### Case 1:

Load	From Entity	To Entity
T1	AMC	Broker/Agent

###### Case 2:

Load	From Entity	To Entity
T1	AMC	Broker/Agent
T2	Broker/Agent	Unit Holder

###### Case 3:

Load	From Entity	To Entity
T1	AMC	Unit Holder

###### Case 4:

Load	From Entity	To Entity
T1	AMC	Broker/Agent
T2	AMC	Unit Holder

###### Case 5:

Load	From Entity	To Entity
T1	Unit Holder	Broker/Agent

In this case Unitholder can mention his preferred fund, and fee can be paid by redeeming units from this fund.

### 4.20.4.3 For Advisor Business

#### Front end fee:

##### Case 1:

Load	From Entity	To Entity
L1	Unit Holder	AMC

#### Trailer Fee

##### Case 1:

Load	From Entity	To Entity
T1	AMC	Unit Holder

However the fee configurations are expected to be handled operationally by the business. Hence, for UK domiciled broker when the transaction category is Advised Business, you should not map any load which will have 'To Entity' as 'Broker/Agent/Agency Branch/Account Officer/IFA'.

Appropriate transaction categories will be mapped to enable system to skip transactions where the transaction category is Advised business for trailer commissions when the To Entity is mapped as 'Broker/Agent/Agency Branch/Account Officer/IFA'.

In case of Agent/Agency Branch /AO/IFA hierarchy, the system will compute Trailer commission based on the transaction category mapped for the hierarchy.

If the trailer commission computed for the hierarchy does not include 'Advised Business' transactions, then commission shared among other entities (in the hierarchy below the entity for which trailer commission has been computed) will also not include the commission eligible due to Advised Business.

Post RDR, the system will setup the payment of front-end fees based on load ref type.

In fund load mapping/group load mapping and product load mapping screen, you can map the appropriate load ref type for applying desired fee rate.

---

## 5. Importing Bulk Client Information

The AMC may need to import information relating to investor accounts and investor transactions from an external source or client, into its database. The volume of information that is imported in such cases is usually very large.

The external source or client, in such cases, is called a bulk client. The information is usually handed off in flat files, ASCII text or any other text format. The 'import' of this information means updation of the AMC database (with the information that is found in the hand-off files) so that the AMC database may reflect the import information. All necessary validations for the successful updating the database with the imported information are performed during the import.

The Oracle FLEXCUBE Investor Servicing (FCIS) system enables the AMC to import information in bulk, from an external client, relating to any of the following:

- Unit holder information (setting up of new accounts and changing unit holder information on existing accounts)
- Transactions for unit holders (only new subscription, redemption, transfer and conversion transactions, and amended transactions if indicated for the bulk client)
- Policy transactions for unit holders
- Income distribution setup for unit holders
- Standing instructions for unit holders
- Overrides of loads on transactions, for unit holders
- Fund prices for transactions
- Unit Holder Deal uploads
- Broker details
- Check Book requests
- Fund Rules
- Redemption Checks

The import can be performed using the generic interface or bulk interface facility.

This chapter contains the following sections:

- [Section 5.1, "Process of Importing Bulk Client Information"](#)
- [Section 5.2, "Bulk Import Clients Setup"](#)
- [Section 5.3, "Interfaces for Import Setup"](#)
- [Section 5.4, "Import Interfaces Schedule"](#)
- [Section 5.5, "Imported Bulk Information"](#)
- [Section 5.6, "Errors during Import or Processing of Client Information"](#)
- [Section 5.7, "Bulk Account Clients Maintenance"](#)
- [Section 5.8, "Bulk Clients Defaults Maintenance"](#)
- [Section 5.9, "Default Information for Bulk Client Imports"](#)
- [Section 5.10, "Default Information for Fund Rules Imports"](#)
- [Section 5.12, "Default Information for Fund Price Imports"](#)
- [Section 5.14, "Default Information for Income Distribution Setup Imports"](#)
- [Section 5.16, "Default Information for Redemption Check Imports"](#)
- [Section 5.18, "Default Information for Standing Instructions Imports"](#)

- [Section 5.20, "Default Information for Transactions Imports"](#)
- [Section 5.22, "Default Information for Transaction Load Override Imports"](#)
- [Section 5.24, "Default Information for Unit Holder Accounts Imports"](#)
- [Section 5.26, "Default Information for Check Book Requests Imports"](#)
- [Section 5.28, "Default Information for Policy Transactions"](#)
- [Section 5.30, "Default Information for Broker"](#)
- [Section 5.32, "Default Information for UH Deal Upload"](#)
- [Section 5.34, "Bulk Clients Defaults Summary Screen"](#)

## **5.1 Process of Importing Bulk Client Information**

To import information from bulk clients and process the same in the FC-IS system, you must:

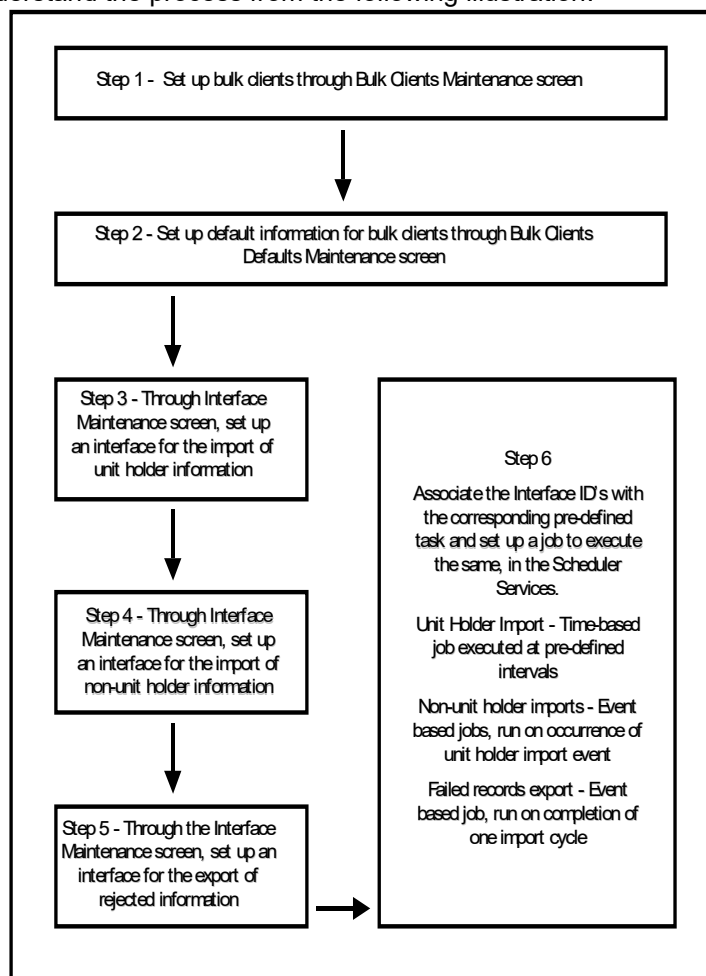
- Set up the bulk client in the system and maintain default information for the client.
- Set up interfaces that will actually perform the uploading (the import) of information from the hand-off files to the system database.
- Schedule the interfaces to be run whenever necessary, without manual intervention.

For a fuller discussion of each of the steps, refer the following sections under the appropriate heads in this chapter:

- Setting up the bulk import clients
- Setting up the interfaces for the import
- Scheduling the interfaces to be executed



You can understand the process from the following illustration:



## 5.2 Bulk Import Clients Setup

The client from whom bulk information needs to be imported must be introduced into the FC-IS system. You can do so as follows:

1. Identify the external client (called the bulk client) in the system by providing a profile for the same. You can do this using the Bulk Clients Maintenance screen. Access this screen through the Bulk Clients Defaults menu Browser.
2. Set up the information that would be used as default for import of any information from the bulk client. If the import information files from the client do not contain the required data, then the default information maintained for the bulk client in the FC-IS system is used to furnish the same.

To set up the default information for a bulk client, use the Bulk Clients Defaults Maintenance screen. Access this screen through the Bulk Clients Defaults option in the Browser. Click new icon to enter the details.

The following considerations must be borne in mind when you set up the default information for a bulk client in the Bulk Client Default Maintenance screen:

---

### Note

- If any mandatory information required in the FC-IS system is not found either in the import hand off file, or the defaults maintained for the client, the entire import fails and the import records are rejected.

- Each file that needs to be imported from the bulk client into the system for all the information set has a specified format. If the file is formatted in any other way than prescribed in the required format, then the import will fail and all the import records will be rejected.
- 

*The prescribed formats for the hand-off files from the bulk client that are to be uploaded are found in the chapter 'Appendix B – Upload File Formats B' of the 'Upload Format' User Manual. Refer the same for complete information about the file formats.*

---

#### **Note**

- The default information that you maintain for a SMDPARAM' bulk client in the Bulk Clients Defaults Maintenance screen contains the defaults for all the different types of data imports – unit holder new accounts, information change, transactions, unit holder income distribution setup, standing instructions, transaction load overrides, fund prices, Unit Holder Deal uploads, broker details, check book requests, fund rules and redemption checks.
  - When the import of data is performed by the system, the validations for the imported data are performed in the same manner, as they are applicable when you set up the default information for the bulk client in the Bulk Client Defaults Maintenance screen.
- 

## **5.3 Interfaces for Import Setup**

After you have set up the client from whom the bulk information is being imported, you must set up the interfaces in the system that will actually drive the import according to the frequency at which it is required to run.

#### **Note**

- Initially, on the first instance that the interfaces are to be set up, the implementers at the installation will do so. Subsequently, the administrator at the installation would perform any change to the interface.
- 

You need to set up the following interfaces:

- One interface to drive the import of all unit holder account-related information. This interface will facilitate the uploading of new unit holder accounts as well as those for which an information change must occur.
- One interface for the import of the following information:
  - New and amended transactions
  - Unit holder income distribution setup
  - Standing instructions
  - Load overrides for transactions
  - Fund prices for transactions
- One interface for the export of all records that fail to be imported (that is, those that are rejected by the import process for any reason)
- Through the Interface Definition (Summary) screen in the Maintenance menu category of the Fund Manager component, authorize the interfaces you have created.
- Uploads for Unit Holder deals
- Broker details

- Check Book requests
- Fund Rules for transactions
- Redemption Checks

You can set up all the interfaces through the Interface Maintenance screen that is invoked by clicking the Interface Maintenance menu item in the Maintenance menu item of the Fund Manager component.

## 5.4 Import Interfaces Schedule

This section contains the following topics:

- [Section 5.4.1, "Scheduling Import Interfaces to be Executed"](#)
- [Section 5.4.2, "Setting up Jobs for Interface-related Tasks"](#)

### 5.4.1 Scheduling Import Interfaces to be Executed

After you have set up the interfaces that will drive the import of information from an external client, you must schedule their execution, so that the imports can occur according to a pre-defined frequency, without manual intervention.

You must schedule all the three interfaces that have been set up for the import of bulk information. You can do this as follows:

- For each interface, through the Task Maintenance screen, set up the corresponding interface ID as a parameter for the pre-defined task set up for the interface.

---

#### **Note**

Initially, at the first instance when the interfaces are scheduled, they are associated with the pre-defined tasks in the Scheduler Services Task Maintenance facility. The implementers at the installation will perform this activity. Subsequently, the administrator at the installation would perform any change to the task.

---

- Through the Job Maintenance screen in the Maintenance menu category in the Fund Manager component, set up each of the tasks as jobs in the system. These jobs can be scheduled as follows:
  - The import of unit holder new accounts and information changes must be set up as a time-based job, with a specific, desired frequency.
  - For the import of all the information sets apart from unit holder information, you must set up an event-based job.
  - For the export of rejected records, set up an event-based job.

Refer the section 'Setting up jobs for interface-related tasks' in this chapter to understand how to set up the jobs in the Job Maintenance screen.

- Through the Authorize Job screen in the Authorization menu category of the Fund Manager component, authorize the jobs you have created.
- The system uses the Scheduler Services to actually automatically perform both the import operations and the export of rejected records, based on the authorized jobs that you have maintained.

### 5.4.2 Setting up Jobs for Interface-related Tasks

#### **Setting up a job for the import of unit holder information**

To set up a job for the import of new unit holder accounts and information change accounts,

- Access the Job Maintenance screen in the Maintenance menu category of the Fund Manager component.
- In the Task ID field, select the UHIMPORT task ID.
- In the Frequency Basis field, select the Time-based option.
- Check the Enabled check box so that the job is enabled.
- In the Schedule section, select the Recurring option
- In the Recurring section, specify the frequency at which the import of unit holder information from the bulk client is required to be executed by the job.
- In the Occurs section, specify whether the import is to be executed on a daily, weekly or monthly basis. If daily, then specify the number of days apart that the import must be executed, in the Daily section.
- In the Duration section, specify the start and end dates that will signify the period during which the import is required to be executed. If the import is to run without an end date, then check the No End Date check box.
- In the Time tab, specify the start and end times for the first and last occurrence of the execution on the day of occurrence, and the frequency of occurrence between. If it is to be executed only once during the day of occurrence, specify the time of occurrence in the Occurs Once At field.
- Save the job. The Job ID is displayed by the system.

---

#### **Note**

Whenever this job is executed, the system creates an event for the execution and inserts it into the event log. Now, the system is ready to perform the other imports, using this one as a trigger for the execution of all the other import as well.

---

#### **Setting up a job for the import of all information other than unit holder information**

To set up a job for the import of new or amended transactions, income distribution setups and standing instructions for unit holders, load overrides for transactions and fund prices for transactions, proceed in the manner described below.

- Access the Job Maintenance screen in the Maintenance menu category of the Fund Manager component.
- In the Task ID field, select the TXNIMPORT task ID
- In the Frequency Basis field, select the Event-based option
- Check the Enabled check box so that the job is enabled
- In the Schedule section, select the Recurring option. If the unit holder import job is scheduled as a recurring job, then this import must also be scheduled the same.
- In the Recurring section, specify the frequency at which the import of transactions and other information from the bulk client is required to be executed by the job. It is important that you specify the same frequency as for the unit holder import.
- In the Occurs section, specify whether the import is to be executed on a daily, weekly or monthly basis. If daily, then specify the number of days apart that the import must be executed, in the Daily section.
- In the Duration section, specify the start and end dates that will signify the period during which the import is required to be executed. If the import is to run without an end date, then check the No End Date check box.
- In the Event Code field in the Event tab, select the Bulk UH option
- Save the job. The Job ID is displayed by the system

---

**Note**

Typically, the import of any information other than unit holder information is performed after the successful import of unit holder information. Accordingly, when the unit holder import job is executed, the system creates an event ('BulkUH') for the execution and inserts it into the event log. Now, the system is ready to perform the other imports, using this as a trigger for the execution of all the other imports.

---

**Setting up a job for the export of records rejected during import**

To set up a job for the export of records that are rejected during import, proceed in the manner described below.

- Access the Job Maintenance screen in the Maintenance menu category of the Fund Manager component.
- In the Task ID field, select the FAILEDRECS task ID.
- In the Frequency Basis field, select the Event-based option
- Check the Enabled check box so that the job is enabled
- In the Schedule section, select the Recurring option. If the unit holder and the transactions import jobs are scheduled as recurring jobs, then this export must also be scheduled the same.
- In the Recurring section, specify the frequency at which the export of rejected records must be executed by the job. It is important that you specify the same frequency as for the unit holder and the transaction imports.
- In the Occurs section, specify whether the export is to be executed on a daily, weekly or monthly basis. If daily, then specify the number of days apart that the export must be executed, in the Daily section.
- In the Duration section, specify the start and end dates that will signify the period during which the export is required to be executed. If the export is to run indefinitely without an end date, then check the No End Date check box.
- In the Event Code field in the Event tab, select the FAILEDRECS option
- Save the job. The Job ID is displayed by the system

---

**Note**

Typically, the import of any information other than unit holder information is performed after the successful import of unit holder information. Accordingly, when both the import jobs have been executed, the system creates an event ('FAILEDRECS') for the execution and inserts it into the event log. All records that have failed the imports are also identified and stored in the database, for the purpose of exporting. The system is now ready to perform the export, using the completion of the two imports as a trigger for the execution of the export.

---

*Refer the Interfaces User Manual in FC-IS system for a fuller discussion of the Job Maintenance screen.*

## **5.5 Imported Bulk Information**

This section contains the following topics:

- [Section 5.5.1, "Processing Imported Bulk Information"](#)
- [Section 5.5.2, "Bulk Import Processing Workflow"](#)

## 5.5.1 Processing Imported Bulk Information

After you have set up the Scheduler Services to automatically perform the upload of bulk client information, the import and processing of data will proceed according to the defined frequencies.

The import of each file containing bulk client information is given a unique Process ID. The export of rejected records corresponding to the import is likewise given a unique Process ID. Therefore, the Process ID is unique for each file that is imported or exported.

The job that you have set up for the automatic execution of the imports will trigger processes that:

- Perform all system and business validations for the data that is being imported.
- Update the system database with the imported data.

---

### Note

The validations for the imported data are performed in the same manner, as they are applicable when you set up the default information for the bulk client in the Bulk Client Defaults Maintenance screen.

---

## 5.5.2 Bulk Import Processing Workflow

After you have set up the import interfaces and scheduled the imports, the system automatically performs the import and the processing of imported information in the following sequence:

- Import of unit holder new accounts and information change. If errors occur during this import, all subsequent processes are terminated. The details of the errors are logged into the interface error log table.
- Processing of the imported unit holder information. This results in updating the system database with the new unit holder accounts and the information change accounts. Again, if errors occur during this processing, all subsequent processes are terminated. The details of the errors are logged into the interface error log table.
- Upon successful completion of the unit holder information import and processing, the event 'Bulk UH' is raised by the system, and the subsequent bulk imports are triggered.
- Import and processing of new and amended transactions and standing instructions, load overrides, income distribution setup records and fund prices. The system database is updated with the new records created.
- Upon successful completion of all the non-unit holder imports and processing of the same, the event 'FAILEDRECS' is raised by the system.
- The FAILEDRECS event triggers the export of rejected records and reports the errors encountered during the processing.
- The entire import and processing cycle is now complete. It will begin again according to the frequency defined for the unit holder import interface.

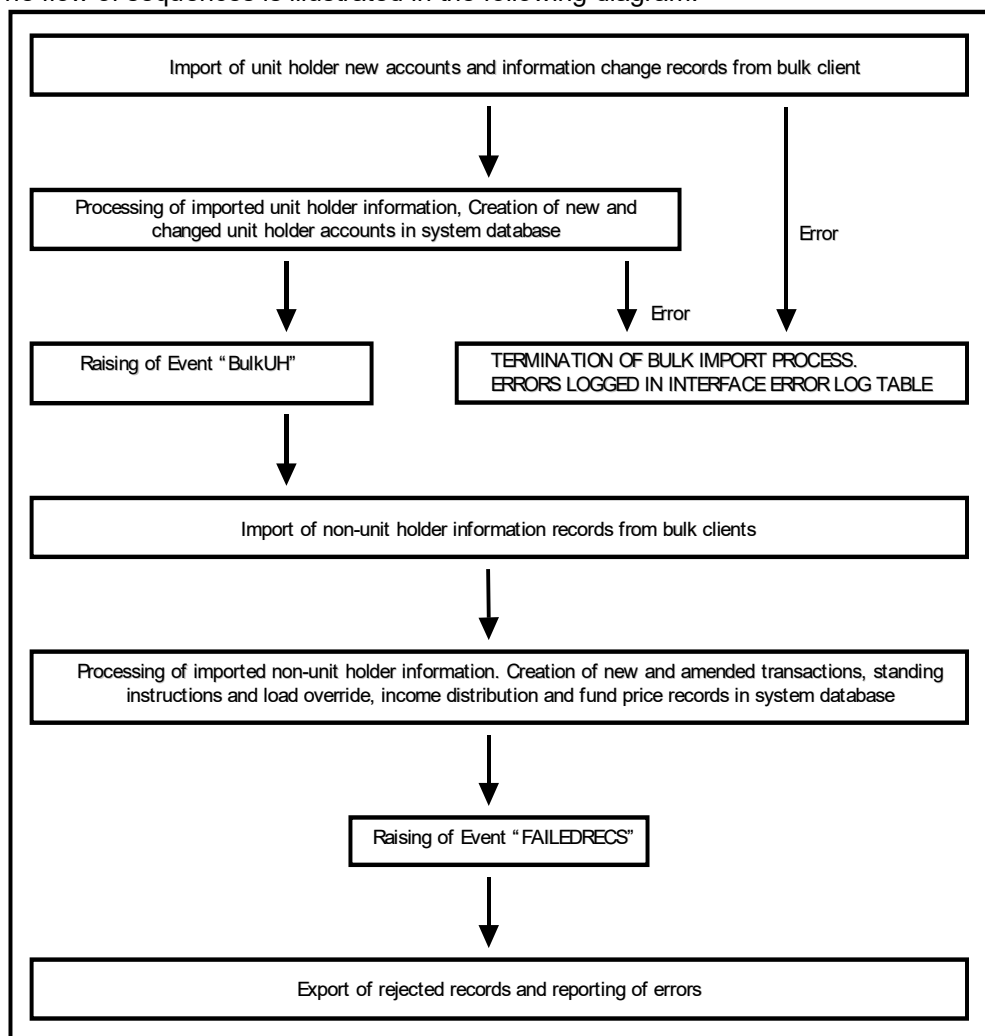
---

### Note

Sequences 1 and 2 are performed by the execution of interface definition you have set up for the unit holder import. Sequence 4 is performed by the execution of the interface definition you have set up for the non-unit holder information import. Sequence 6 is performed by the execution of the interface definition you have set up for the export of rejected records.

---

The flow of sequences is illustrated in the following diagram:



## 5.6 Errors during Import or Processing of Client Information

If any error occurs during the import of unit holder information or the processing of the same, then the 'BulkUH' event is not raised by the system. Since this event is the trigger for all remaining bulk import processes, all subsequently scheduled imports and processing will terminate.

Errors occurring during import of bulk information or processing of the bulk interfaces could be due to:

- The import information failing to meet system or business validations
- The import or hand off file not being in the prescribed format
- Abnormal termination of an interface process

The errors are logged into the interface error log tables. The interface log will display the success or failure of the interface process, and the detail log displays the details of the errors.

When the export of rejected records are triggered by the raising of the 'FAILEDRECS' events the reporting of logged errors are also triggered. The details of the errors can be obtained in an Excel worksheet for printing.

When a bulk interface process is terminated abnormally for reasons other than errors relating to imported data, the system maintains the status of the terminated processes as 'In-process' or 'Running'. The End of Day process checks for the completion of these processes, and they can be cleared manually.

## **5.7 Bulk Account Clients Maintenance**

This section contains the following topics:

- [Section 5.7.1, "Invoking Single Entity Maintenance Detail Screen"](#)

### **5.7.1 Invoking Single Entity Maintenance Detail Screen**

You can enter the record of a client for whom the bulk import facility would be used, into the system, by creating it as an entity.

You can set up a bulk client in the 'Single Entity Maintenance Detail' screen. You can invoke this screen by typing 'UTDENTMN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

To set up a bulk client, select the Bulk Client option from the option list in the Entity Type field in the General Information section, and then proceed to enter the details for the bulk client. You must specify all information such as the common information, basic information and contact details for any bulk client that you set up.

You must also capture the following additional details specifically for a bulk client:



Only those fields specific to bulk clients are detailed here.



Refer the chapter 'Maintaining Reference Information' of FC-IS system for a discussion of the other fields common to all entity type.

## **Other Information Section**

### **Customer Interface Key**

#### *Optional*

This facility is to be used if customer information from an installation of Oracle FLEXCUBE Corporate (FCC) is to be imported into the FCIS system using the bulk interface facility, for the creation of unit holder accounts. The drop-down list displays the following values:

- Customer
- Account

The customer interface key determines the level at which unit holder account creation must take place in the FC-IS system, for a given Customer Information File (CIF) in Oracle FLEXCUBE Corporate – either at CIF level or at a customer account level. Accordingly, you can indicate either of the following two options:

- For each CIF, a corresponding unit holder may be created in the FC-IS system. For this option, choose CIF from the drop down list in this field.
- For each CASA (Customer Access System Account) account in a CIF, a corresponding unit holder may be created in the FC-IS system. For this option, choose Account from the drop down list in this field.

The FC-IS system will create corresponding unit holder accounts when the customer information is imported from FCC, according to option you exercise in this field.

---

#### **Note**

If you select either FCR or FCC as the Bulk Client Type, then you must specify the Customer Interface Key as mandatory information.

---

### **Bulk Client Type**

#### *Optional*

Select the type of client from which information is to be imported using the bulk interface. This could be any of the following:

- FCC (Oracle FLEXCUBE Corporate)
- FCR (Oracle FLEXCUBE Retail)

### **Online Interface**

#### *Optional*

This facility is also available for imports of customer information from FCC. It allows you to control the uploading of customer information from FCC into the data stores in FC-IS.

- To indicate to the system that the back end data stores in FC-IS will be uploaded with the customer information (i.e., the interface would be online), check this box.
- To indicate that the uploading will take place on a batch or tanked basis, without an online interface, leave this box unchecked.

### **Print Rejected Imports Report**

#### *Mandatory*

Select 'Yes' if a report consisting of a list of rejected imports along with the reason for rejection must be printed by the system. If not, select 'No'. By default, this field contains a 'Yes' value.

## **Print Successful Imports Report**

### *Mandatory*

Select 'Yes' if a report consisting of a list of successful imports along with the other details must be printed by the system. If not, select 'No'. By default, this field contains a 'Yes' value.

## **5.8 Bulk Clients Defaults Maintenance**

This section contains the following topics:

- [Section 5.8.1, "Maintaining Bulk Client Default Information"](#)

### **5.8.1 Maintaining Bulk Client Default Information**

You can use this screen to map the default values for all information that must be applicable during bulk information import for a particular bulk client, for a particular AMC or Distributor.

For any import from any bulk client, the information specified in the hand-off file will be accepted and imported as part of the imported record, even if a specification exists in this screen for the same field or column name. Any information that is not specified in the hand-off file will be picked up from the specifications you make in this screen.

You can maintain default information for bulk imports relating to:

- Fund rules
- Fund price
- Check book requests
- Income distribution setup
- Redemption checks
- Standing instructions
- Transactions
- Load override for transactions
- Unit holder accounts
- Uploads for Unit Holder deals
- Broker details

You can invoke this screen by clicking the Detail option under the Bulk Client Defaults menu in the Browser. Click new icon to enter the details.

## **5.9 Default Information for Bulk Client Imports**

This section contains the following topics:

- [Section 5.9.1, "Maintaining Default Information for Bulk Client Imports"](#)

### **5.9.1 Maintaining Default Information for Bulk Client Imports**

In the Bulk Client Defaults Maintenance screen, you can maintain default information for bulk imports from a bulk client, to be applicable for a distributor institution. The specifications you make in any of the fields here, for each upload type, are accepted as the default values for the corresponding field or column name, for all bulk imports where the hand off files from the bulk client do not contain the corresponding information.

Accordingly, you must select the ID of the bulk client for whom the default information is applicable, in the Bulk Account Client Code field, and the AMC / distributor entity in the AMC / Distributor ID field.

For some of the upload types, the default information consists of fields from the corresponding maintenance in the system; therefore, the default information is very similar to a maintenance template or blueprint. For instance, when you define the defaults for fund rules import, you specify all the fund rules in the Bulk Clients Defaults screen. This is just like filling in the fund rules in the system for a new fund; validations for all fields are similar to those made in the Fund Rules screens when a new fund is entered.

The default information for each upload type is listed in this chapter; for field level information, you must refer the chapters in the user manual where the corresponding entry screen in the system is discussed.

### **5.9.1.1 Note on Scheme/ Cross Reference Number**

The Bulk Client would wish to export, in the hand off files, a unique identifying number for each upload type that might be different from that of the Oracle FLEXCUBE generated identification. In such cases it is possible to set a reference between the Oracle FLEXCUBE identification and the unique identifying number given by the bulk client. To specify such a request, use the Scheme/Cross Reference Number field; for transaction and unit holder related data imports, and the Fund Scheme / Cross Reference Number for fund information related imports.

#### **Effect of applying Scheme / Cross Reference Number**

For example, the Credit Card Number of investors can be a uniquely identifiable value. In such cases the credit card number can be setup as an additional information and this field can be referred to here as a unique value by making it the Scheme/Cross Reference number column in the Bulk Client -AMC default maintenance. This means that when the unit holder import file upload is performed, the relevant Scheme/Cross Reference Number field will be populated with the value given in the import file.

---

#### **Note**

The Scheme/Cross Reference Number value should be given in the appropriate field position in the import file. This is not applicable where the Scheme/Cross Reference Number is, itself, the Unit Holder ID (for transaction and unit holder related imports) or the Fund ID (for fund information related imports).

---

When the transaction import file upload is performed for the Bulk Client - AMC combination, the Unit Holder ID field value should contain the Scheme/Cross Reference Number value.

---

#### **Note**

The system will not validate for uniqueness if the same field is populated with duplicate values through the Unit Holder Additional Information Maintenance screen. It is assumed that such cross-reference numbers are populated only through import file uploads.

---

#### **Scheme / Cross Reference Numbers for Transactions and Unit Holder Related Imports Scheme / Cross Reference Number from additional information**

The specification made in the scheme/cross reference number field will pertain to any one of the fields mentioned below and should be properly specified (in the relevant field position) in the import file given for unit holder new accounts. For example, if the Scheme/Cross Reference Number has been specified as the third additional information set, this information should correspond to being the AdditionalInformation3 field in the import file.

- AdditionalInformation1
- AdditionalInformation2
- AdditionalInformation3
- AdditionalInformation4
- AdditionalInformation5
- AdditionalInformation6
- AdditionalInformation7
- AdditionalInformation8
- AdditionalInformation9
- AdditionalInformation10

All the above fields are additional information that can be optionally set to capture additional data relating to the investor.

It is possible to set a restrictive list of values to be captured in the additional information value fields.

All additional information setup through the additional information master where the restrictive clause is not applied are considered to be free-format fields. These fields will be the candidates to be set as the scheme/cross reference numbers.

#### **Scheme / Cross Reference Number as Unit Holder ID**

If the Scheme/Cross Reference Number value is set the same as the Unit Holder ID, this means that the bulk client would supply the Unit Holder ID in all the file imports. If the Scheme/Cross Reference Number is another uniquely identifiable value then the relevant value should be specified in the import file. In such cases the system will map the Scheme/Cross Reference Number to Unit Holder ID and the transaction will be tagged to the relevant unit holder.

#### **Scheme / Cross Reference Number as Unit Holder Reference Number**

If the Scheme/Cross Reference Number value is set the same as the Unit Holder Reference Number, this means that the bulk client would supply the Unit Holder Reference Number in all the file imports. If the Scheme/Cross Reference Number is another uniquely identifiable value then the relevant value should be specified in the import file. In such cases the system will map the Scheme/Cross Reference Number to Unit Holder Reference Number and the transaction will be tagged to the relevant unit holder.

#### **Scheme / Cross Reference Numbers for Fund Information Related Imports**

For fund information related imports, the scheme / cross-reference number can be set as any of the following:

- Fund ID
- Fund Identification Number
- Fund Ticker Symbol

### **5.9.1.2 Specifying Generation of System Reference Numbers**

It is required in the FC-IS system that the reference numbers be mentioned along with the unit holder new account details and the transaction details. If this option is specified, the system will generate reference numbers wherever the reference number field in the import file is empty.

### **5.9.1.3 Specifying Checking of Duplicates during Imports**

You can choose this indicate that all the records that have duplicate Scheme/Cross Reference Number values should be rejected when the transaction or unit holder import file up-loads are performed. If this option is not chosen, the following processes would occur:

- The system ignores the duplicates in the case of unit holder uploads, and creates unit holders in the system.
- For transaction uploads, the system goes ahead and creates the transaction on behalf of the first Unit Holder ID occurrence found in the system.

### **5.9.1.4 Specifying Generation of Authorized Data during Import**

This option, if chosen, signifies which imported information sets would generate authorized records – fund rules, transactions, unit holder accounts, income distribution setup, standing instructions, fund price or transaction load override.

#### **Redemption Payouts to Unit Holder Bank Accounts Only?**

*Optional*

Check this box to indicate that, by default, it must be designated that for all unit holder accounts imported, redemption payouts are to be made to the unit holder bank account only.

## **5.10 Default Information for Fund Rules Imports**

This section contains the following topics:

- [Section 5.10.1, "Invoking Default Information for Fund Rules Imports"](#)
- [Section 5.10.2, "Bulk Client Tab"](#)
- [Section 5.10.3, "Fund Account Details Tab"](#)
- [Section 5.10.4, "Fund Agency Back Dating Tab"](#)
- [Section 5.10.5, "Fund Agent Mapping Tab"](#)

### 5.10.1 Invoking Default Information for Fund Rules Imports

You can invoke the FCIS Bulk Clients Defaults (Fund Rule) Detail screen by typing 'UTDBLKFR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

## 5.10.2 Bulk Client Tab

Click 'Bulk Client' tab in 'FCIS Bulk Clients Defaults - Fund Rule - Detail' screen.

The screenshot shows the 'FCIS Bulk Clients Defaults - Fund Rule - Detail' window. The 'Bulk Client' tab is selected. The form is organized into several sections:

- Bulk Clients:** Fields for Bulk Account Client Code \*, Distributor ID \*, Bulk Client Name, and Distributor.
- Client Defaults:** Fields for Fund Base Currency \*, Fund Country \*, Fund Family \*, Fund Type \*, Minimum Holding Period \*, and AMC/Distributor Id \*.
- Shares Characteristics Defaults:** Fields for Scrip Based \* (dropdown) and Account statement frequency \*.
- General Operating Rules Defaults:** Fields for Post Priced? (dropdown), Price Declare Frequency, Ageing Policy (dropdown), NAV Lot \*, No of Decimals for NAV \*, Roundin of NAV \* (dropdown), and Minimum Holding Period \* Violation (dropdown).
- Incoming Distribution Rules Defaults:** Fields for Default Distribution Mode (dropdown), EPU Lot \*, and Look Ahead Processing? (dropdown).

At the bottom, there is a table for user information and a 'Cancel' button.

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

Cancel

You must maintain the following default information for fund rules imports:

### **Bulk Clients**

#### **Bulk Account Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

#### **Bulk Client Name**

*Display*

The system displays the name of the selected bulk client code.

#### **Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC or distributor ID.

#### **Distributor**

*Display*

The system displays the name of the selected AMC or Distributor ID.

## **Client Defaults**

### **Fund Base Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the fund base currency.

### **Fund Country**

*Alphanumeric; 3 Characters; Mandatory*

Specify the fund country code.

### **Fund Family**

*Alphanumeric; 6 Characters; Mandatory*

Specify the fund family details.

### **Fund Type**

*Alphanumeric; 38 Characters; Mandatory*

Specify the type of fund.

### **Minimum Holding Period**

*Numeric; 22 Characters; Mandatory*

Specify the minimum holding period.

### **AMC/Distributor Id**

*Alphanumeric; 255 Characters; Mandatory*

Specify the AMC or distributor ID.

## **Shares Characteristics Defaults**

### **Scrip Based**

*Mandatory*

Select the scrip based fund from the drop-down list. The list displays the following values:

- Certificate-Option
- ScripBased
- ScripLess

### **Account statement frequency**

*Alphanumeric; 1 Character; Mandatory*

Specify the account statement frequency.

## **General Operating Rules Defaults**

### **Post Priced?**

*Optional*

Select if the fund is post priced or not from the drop-down list. The list displays the following values:

- Yes
- No

### **Price Declare Frequency**

*Alphanumeric; 1 Character; Optional*

Specify the price date frequency.



### **Ageing Policy**

*Optional*

Select the ageing policy for the fund from the drop-down list. The list displays the following values:

- FIFO
- Txn-Receipts

### **NAV Lot**

*Numeric; 6 Characters; Mandatory*

Specify the NAV lot

### **No of Decimals for NAV**

*Numeric; 22 Characters; Mandatory*

specify the number of decimal points to be used for NAV.

### **Roundin of NAV**

*Mandatory*

Select the rounding option of NAV from the drop-down list. The list displays the following values:

- Round Off
- Round Down
- Round Up

### **Minimum Holding Period Violation**

*Mandatory*

Select if the value of Enforce Minimum Holding Period or Not from the drop-down list. The list displays the following values:

- Yes
- No

### **Income Distribution Rules Defaults**

#### **Default Distribution Mode**

*Optional*

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

- Payout-A/C Transfer
- Payout-Cheque
- Full Reinvestment

#### **EPU Lot**

*Numeric; 6 Characters; Mandatory*

Specify the EOU lot value.

#### **Look Ahead Processing?**

*Optional*

Select if fund will be marked for Look Ahead Processing or not during dividend process from the drop-down list. The list displays the following values:

- Yes
- No

## Fund Level Holiday Defaults

### **Holiday Rule**

Mandatory

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

- After
- Prior

Click 'Default Holiday Maintenance' button to view calendar.

### **5.10.3 Fund Account Details Tab**

Click 'Fund Account Details' tab in 'FCIS Bulk Clients Defaults - Fund Rule - Detail' screen.

FCIS Bulk Clients Defaults - Fund Rule - Detail

Save

Bulk Client: **Fund Account Details** Fund Agency Back Dating Transaction Processing Rules Fund Agent Mapping

Bank Details

Bank	Branch	Account Number	IBAN	Account Currency	Account Name

Input by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Mod No: \_\_\_\_\_ Open: \_\_\_\_\_  
Authorized by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Authorized: \_\_\_\_\_ Cancel

You can specify the following details:

#### **Bank**

*Alphanumeric; 12 Characters; Optional*

Specify the bank name.

**Branch**

*Alphanumeric; 50 Characters; Optional*

Specify the branch name.

**Account Number**

*Alphanumeric; 34 Characters; Optional*

Specify the account number.

**IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

**Account Currency**

*Alphanumeric; 3 Characters; Optional*

Specify the account currency code.

**Account Name**

*Alphanumeric; 50 Characters; Optional*

Specify the account holder name.

**5.10.4 Fund Agency Back Dating Tab**

Click 'Fund Agency Back Dating' tab in 'FCIS Bulk Clients Defaults - Fund Rule - Detail' screen.

The screenshot shows a web application window titled "FCIS Bulk Clients Defaults - Fund Rule - Detail". At the top, there is a "Save" button. Below it, a navigation bar contains tabs: "Bulk Client", "Fund Account Details", "Fund Agency Back Dating" (highlighted in red), "Transaction Processing Rules", and "Fund Agent Mapping". The main content area is titled "Agency Back Dating" and contains a table with the following columns: "Agent Code", "Agency Branch Code", "Transaction Type", and "Backdating Period". The table has a search icon and a "Go" button. The bottom of the screen features a footer with the following fields: "Input by", "Authorized by", "DateTime", "Mod No", "Open", "Authorized", and a "Cancel" button.

You can specify the following details:

**Agent Code**

*Alphanumeric; 12 Characters; Optional*

Specify the agent code.

### Agency Branch Code

*Alphanumeric; 12 Characters; Optional*

Specify the agency branch code.

### Transaction Type

*Alphanumeric; 2 Characters; Optional*

Specify the type of transaction.

### Backdating Period

*Numeric; 22 Characters; Optional*

Specify the backdating period.

## Transaction Processing Rules Tab

Click 'Transaction Processing Rules' tab in 'FCIS Bulk Clients Defaults - Fund Rule - Detail' screen.

The screenshot shows the 'Transaction Processing Rules' tab in the 'FCIS Bulk Clients Defaults - Fund Rule - Detail' screen. The interface includes a 'Save' button at the top left and a navigation bar with tabs: 'Bulk Client', 'Fund Account Details', 'Fund Agency Back Dating', 'Transaction Processing Rules' (highlighted), and 'Fund Agent Mapping'. The main content area is divided into several sections:

- Transaction Rules:** Contains fields for 'Start Date \*', 'End Date \*', 'Start Period \*', 'End Period \*', 'Transaction Frequency \*', 'Start Time(HH24:MI:SS)' (00:00:01), 'End Time(HH24:MI:SS)' (23:59:00), and 'Cutoff Time(HH24:MI)' (23:59:00).
- Transaction Limits:** Contains fields for 'Minimum Amount \*', 'Maximum Amount \*', 'Minimum Units \*', 'Maximum Units \*', 'Step Amount \*', and 'Step Units \*'.
- Pricing:** Contains a 'Back-Dating Allowed?' dropdown (set to 'No'), 'Rounding Precision For Unit Price', 'Rounding Options For Unit Price' (set to 'Round Off'), 'Price Lag \*', 'Back-Dating Limit', and 'Rounding Options For Units' (set to 'Round Off').
- Policies:** Contains fields for 'Allocation Lag \*', 'Confirmation Lag \*', and three 'Check On Par With Cash?' dropdowns (all set to 'No').

At the bottom, there is a metadata section with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

You can specify the following details:

## Transaction Rules

### Start Date

*Date Format; Mandatory*

Select the start date from the adjoining calendar.

**End Date**

*Date Format; Mandatory*

Select the end date from the adjoining calendar.

**Start Period**

*Numeric; 22 Characters; Mandatory*

Specify the transaction start period.

**End Period**

*Numeric; 22 Characters; Mandatory*

Specify the transaction end period.

**Transaction Frequency**

*Alphanumeric; 1 Character; Mandatory*

Specify the transaction frequency.

**Start Time(HH24:MI:SS)**

*Alphanumeric; 15 Characters; Mandatory*

Specify the transaction start time for a day. By default, the system displays 00:00:01. However, you can amend the value accordingly.

**End Time(HH24:MI:SS)**

*Alphanumeric; 15 Characters; Mandatory*

Specify the transaction end time for a day. By default, the system displays 23:59:00. However, you can amend the value accordingly.

**CutOff Time(HH24:MI)**

*Alphanumeric; 15 Characters; Mandatory*

Specify the transaction cut-off time for a day. By default, the system displays 23:59:00. However, you can amend the value accordingly.

**Transaction Limits****Minimum Amount**

*Numeric; 30 Characters; Mandatory*

Specify the minimum transaction amount.

**Maximum Amount**

*Numeric; 30 Characters; Mandatory*

Specify the maximum transaction amount.

**Minimum Units**

*Numeric; 27 Characters; Mandatory*

Specify the minimum transaction units.

**Maximum Units**

*Numeric; 27 Characters; Mandatory*

Specify the maximum transaction units.

**Step Amount**

*Numeric; 30 Characters; Mandatory*

Specify the step amount for the transaction amount.

### **Step Units**

*Numeric; 27 Characters; Mandatory*

Specify the step units for the transaction unit.

### **Pricing**

#### **Back-Dating Allowed?**

*Mandatory*

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

- Yes
- No

#### **Rounding Precision For Unit Price**

*Numeric; 22 Characters; Optional*

Specify the rounding precision for unit price.

#### **Rounding Options For Unit Price**

*Optional*

Select the rounding options for unit price from the drop-down list. the list displays the following values:

- Round Off
- Round Down
- Round Up

#### **Price Lag**

*Numeric; 22 Characters; Mandatory*

Specify the price lag details.

#### **Back-Dating Limit**

*Numeric; 22 Characters; Optional*

Specify the back-dating limit.

#### **Rounding Options For Units**

*Optional*

Select the rounding options for units from the drop-down list. the list displays the following values:

- Round Off
- Round Down
- Round Up

### **Policies**

#### **Allocation Lag**

*Numeric; 22 Characters; Mandatory*

Specify the allocation lag.

#### **Confirmation Lag**

*Numeric; 22 Characters; Mandatory*

Specify the confirmation lag.

**Check On Par With Cash?**

*Mandatory*

Select if the check on par with cash is required or not from the drop-down list. The list displays the following values:

- Yes
- No

**Credit Card On Par With Cash?**

*Mandatory*

Select if the credit on par with cash is required or not from the drop-down list. The list displays the following values:

- Yes
- No

**Transfer On Par With Cash?**

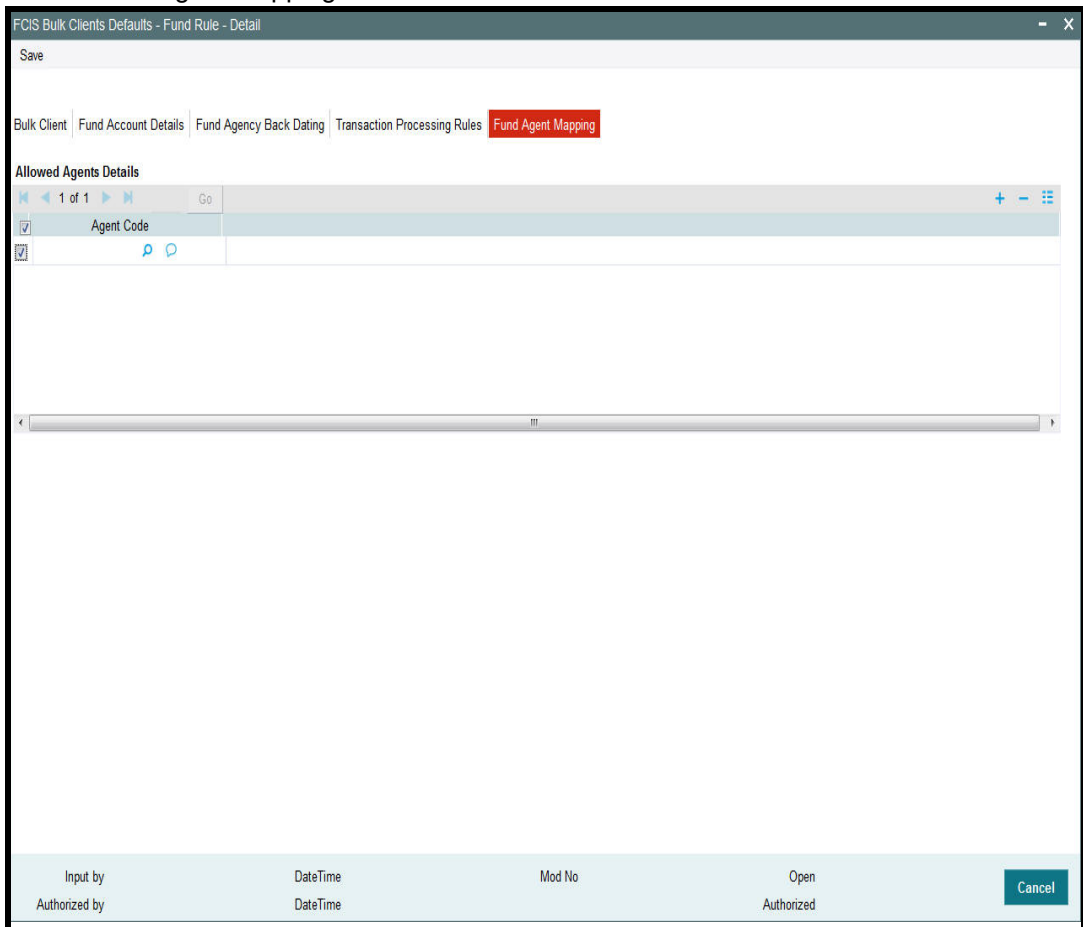
*Mandatory*

Select if the transfer on par with cash is required or not from the drop-down list. The list displays the following values:

- Yes
- No

**5.10.5 Fund Agent Mapping Tab**

Select 'Fund Agent Mapping' tab in 'FCIS Bulk Clients Defaults - Fund Rule - Detail' screen.



You can specify the following details:

### **Allowed Agents Details**

#### **Agent Code**

*Alphanumeric; 255 Characters; Optional*

Specify the agent code.

## **5.11 FCIS Bulk Clients Defaults - Fund Rule - Summary**

This section contains the following topics:

- [Section 5.11.1, "Retrieving Bulk Clients Defaults - Fund Rule in Summary Screen"](#)
- [Section 5.11.2, "Editing Bulk Clients Defaults - Fund Rule Details"](#)
- [Section 5.11.3, "Viewing Bulk Clients Defaults - Fund Rule Details"](#)
- [Section 5.11.4, "Deleting Bulk Clients Defaults - Fund Rule Details"](#)
- [Section 5.11.5, "Authorizing Bulk Clients Defaults - Fund Rule Details"](#)
- [Section 5.11.6, "Amending Bulk Clients Defaults - Fund Rule Details"](#)
- [Section 5.11.7, "Authorizing Amended Bulk Clients Defaults - Fund Rule Details"](#)



### 5.11.1 Retrieving Bulk Clients Defaults - Fund Rule in Summary Screen

You can invoke the 'FCIS Bulk Clients Defaults - Fund Rule - Summary' screen by typing 'UTSBLKFR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a web application window titled "FCIS Bulk Clients Defaults - Fund Rule - Summary". The interface includes a search bar with options for "Search", "Advanced Search", "Reset", and "Clear All". Below the search bar, there are four input fields: "Authorization Status" (a dropdown menu), "Record Status" (a dropdown menu), "Bulk Account Client Code" (a text input field with a magnifying glass icon), and "Distributor ID" (a text input field with a magnifying glass icon). Below the input fields, there is a table with columns: "Authorization Status", "Record Status", "Bulk Account Client Code", and "Distributor ID". The table is currently empty. At the bottom right of the window, there is an "Exit" button.

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

- Invoke the FCIS Bulk Clients Defaults - Fund Rule - Summary screen and specify the following:
  - The status of the record in the Authorized field. If you choose the "Blank Space" option, then all the fund types are retrieved.
  - The status of the fund type in the Record Status field. If you choose the "Blank Space" option, then all the records are retrieved.
  - Bulk Account Client Code
  - Distributor ID
- After you have specified the required details, click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

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

- Press F7

- Input the Bulk Account Client Code
- Press F8

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

### **5.11.2 Editing Bulk Clients Defaults - Fund Rule Details**

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

- Invoke the FCIS Bulk Clients Defaults - Fund Rule - Summary screen from the Browser.
- Select the status that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop-down list.
- Specify any or all of the details in the corresponding fields on the screen to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The FFCIS Bulk Clients Defaults - Fund Rule - Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The FCIS Bulk Clients Defaults - Fund Rule - Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - Fund Rule - Summary screen.

### **5.11.3 Viewing Bulk Clients Defaults - Fund Rule Details**

To view a record that you have previously entered:

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

### **5.11.4 Deleting Bulk Clients Defaults - Fund Rule Details**

You can delete only unauthorized records in the system.

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

### **5.11.5 Authorizing Bulk Clients Defaults - Fund Rule Details**

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

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

### **5.11.6 Amending Bulk Clients Defaults - Fund Rule Details**

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

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

### **5.11.7 Authorizing Amended Bulk Clients Defaults - Fund Rule Details**

An amended Bulk Clients Defaults - Fund Rule must be authorized for the amendment to be made effective in the system. The process of authorization is subsequently the same as that for normal transactions.

## **5.12 Default Information for Fund Price Imports**

This section contains the following topics:

- [Section 5.12.1, "Invoking Default Information for Fund Price Imports"](#)

### **5.12.1 Invoking Default Information for Fund Price Imports**

The only default information to be maintained for fund price import is whether authorized fund prices must be generated for the fund.

Specify this in the Generate Authorized Fund Price field. You must also specify the Fund Scheme / Cross Reference Number.

You can invoke the FCIS Bulk Clients Defaults (Fund Price) Detail screen by typing 'UTDCDFP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Fund Price - Detail

Save

**Bulk Clients Details**

Bulk Client Code\*

Bulk Client Name

Distributor ID\*

Distributor

**Client Defaults**

Generate Authorized Fund Price\*

**Other Details**

Fund Scheme/Cross Reference Number\*

Check Fund Price Fluctuation

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

You can specify the following details:

### **Bulk Clients Details**

#### **Bulk Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk client code.

#### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk client code.

#### **Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the distributor ID.

#### **Distributor**

*Display*

The system displays name of the distributor for the selected distributor ID.

### **Client Defaults**

#### **Generate Authorized Fund Price**

*Mandatory*

Select 'Yes' from drop-down list if authorized fund price has to be generated. The options available in the drop-down are as follows:

- Yes
- No

#### **Other Details**

**Fund Scheme/Cross Reference Number**

*Alphanumeric; 60 Characters; Mandatory*

Specify the fund scheme or cross reference number.

**Check Fund Price Fluctuation**

*Optional*

Select 'Yes' from drop-down list to check fund price fluctuation. The options available in the drop-down are as follows:

- Yes
- No

## **5.13 FCIS Bulk Clients Defaults - Fund Price - Summary**

This section contains the following topics:

- [Section 5.13.1, "Retrieving a Bulk Clients Defaults - Fund Price Record"](#)
- [Section 5.13.2, "Editing Bulk Clients Defaults - Fund Price Record"](#)
- [Section 5.13.3, "Viewing Bulk Clients Defaults - Fund Price Record "](#)
- [Section 5.13.4, "Deleting Bulk Clients Defaults - Fund Price Record"](#)
- [Section 5.13.5, "Authorizing Bulk Clients Defaults - Fund Price Record "](#)
- [Section 5.13.6, "Amending Bulk Clients Defaults - Fund Price Record "](#)
- [Section 5.13.7, "Authorizing Amended Bulk Clients Defaults - Fund Price Record"](#)

### **5.13.1 Retrieving a Bulk Clients Defaults - Fund Price Record**

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

You can invoke 'FCIS Bulk Clients Defaults - Fund Price - Summary' screen by typing 'UTSCDFP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Fund Price - Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Bulk Client Code  Distributor ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Bulk Client Code	Distributor ID
----------------------	---------------	------------------	----------------

Exit

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Account Code
- Distributor ID

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

---

#### Note

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

- Press F7
  - Input the Distributor ID
  - Press F8
-

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

### **5.13.2 Editing Bulk Clients Defaults - Fund Price Record**

You can modify the details of FCIS Bulk Clients Defaults - Fund Price record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The FCIS Bulk Clients Defaults - Fund Price - Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - Fund Price - Summary screen.

### **5.13.3 Viewing Bulk Clients Defaults - Fund Price Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Clients Defaults - Fund Price - Summary screen as follows:

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

### **5.13.4 Deleting Bulk Clients Defaults - Fund Price Record**

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

- Invoke the FCIS Bulk Clients Defaults - Fund Price - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Bulk Clients Defaults - Fund Price - Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **5.13.5 Authorizing Bulk Clients Defaults - Fund Price Record**

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

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

### **5.13.6 Amending Bulk Clients Defaults - Fund Price Record**

After a Bulk Clients Defaults - Fund Price record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Clients Defaults - Fund Price - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Clients Defaults - Fund Price - Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **5.13.7 Authorizing Amended Bulk Clients Defaults - Fund Price Record**

An amended Bulk Clients Defaults - Fund Price record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

## **5.14 Default Information for Income Distribution Setup Imports**

This section contains the following topics:

- [Section 5.14.1, "Invoking Default Information for Income Distribution Setup Imports"](#)



## 5.14.1 Invoking Default Information for Income Distribution Setup Imports

You can invoke the FCIS Bulk Clients Defaults (Income Distribution Rule) screen by typing 'UTDCDIDS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a web application window titled "FCIS Bulk Clients Defaults - Income Distribution Rule - Detail". The window has a "Save" button at the top left. The main content area is divided into three sections:

- Bulk Clients Details:** Contains four fields: "Bulk Account Client Code\*" (with a search icon), "Bulk Client Name", "Distributor ID\*" (with a search icon), and "Distributor".
- Client Defaults:** Contains one field: "Generate Authorized IDS\*" with a dropdown menu set to "No".
- Other Details:** Contains four fields: "Scheme/Cross Reference Number\*" (with a search icon), "Fund Scheme/Cross Reference Number\*" (with a search icon), "Check Duplicates\*" (with a dropdown menu set to "No"), and an empty field.

The footer of the window contains a grid of fields for user information and a "Cancel" button:

Input by	DateTime	Mod No	Open	Cancel
Authorized by	DateTime		Authorized	

For income distribution setup import, you must maintain:

- Whether authorized income distribution setup records are to be generated in the system
- Scheme/ Cross Reference Number
- Fund Scheme/ Cross Reference Number
- Whether checking for duplicates must be done

### **Bulk Clients Details**

#### **Bulk Account Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

#### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

**Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the distributor ID.

**Distributor**

*Display*

The system displays the name of the distributor for the selected distributor ID.

**Client Defaults****Generate Authorized IDS**

*Mandatory*

Select 'Yes' from the drop-down list if authorized IDS has to be generated. The options available in the drop-down are as follows:

- Yes
- No

**Other Details****Scheme/Cross Reference Number**

*Alphanumeric; 12 Characters; Mandatory*

Specify the scheme or cross reference number.

**Fund Scheme/Cross Reference Number**

*Alphanumeric; 60 Characters; Mandatory*

Specify the fund scheme or cross reference number.

**Check Duplicates**

*Mandatory*

Select 'Yes' from drop-down list if check duplicates are available. The options available in the drop-down are as follows:

- Yes
- No

## **5.15 FCIS Bulk Clients Defaults - Income Distribution Setup - Summary**

This section contains the following topics:

- [Section 5.15.1, "Retrieving a Bulk Clients Defaults - Income Distribution Setup Record"](#)
- [Section 5.15.2, "Editing Bulk Clients Defaults - Income Distribution Setup Record"](#)
- [Section 5.15.3, "Viewing Bulk Clients Defaults - Income Distribution Setup Record "](#)
- [Section 5.15.4, "Deleting Bulk Clients Defaults - Income Distribution Setup Record"](#)
- [Section 5.15.5, "Authorizing Bulk Clients Defaults - Income Distribution Setup Record "](#)
- [Section 5.15.6, "Amending Bulk Clients Defaults - Income Distribution Setup Record "](#)
- [Section 5.15.7, "Authorizing Amended Bulk Clients Defaults - Income Distribution Setup Record"](#)

### **5.15.1 Retrieving a Bulk Clients Defaults - Income Distribution Setup Record**

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

You can invoke 'FCIS Bulk Clients Defaults - Income Distribution Setup - Summary' screen by typing 'UTSCDIDS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Income Distribution Setup - Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Bulk Account Client Code  Distributor ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Bulk Account Client Code	Distributor ID	Generate Authorized IDS	Scheme/Cross Reference Number
----------------------	---------------	--------------------------	----------------	-------------------------	-------------------------------

Exit

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Account Client Code
- Distributor ID

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

---

#### Note

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

- Press F7
  - Input the Distributor ID
  - Press F8
-

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

### **5.15.2 Editing Bulk Clients Defaults - Income Distribution Setup Record**

You can modify the details of Bulk Clients Defaults - Income Distribution Setup record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The FCIS Bulk Clients Defaults - Income Distribution Setup - Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - Income Distribution Setup - Summary screen.

### **5.15.3 Viewing Bulk Clients Defaults - Income Distribution Setup Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Clients Defaults - Income Distribution Setup - Summary screen as follows:

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

### **5.15.4 Deleting Bulk Clients Defaults - Income Distribution Setup Record**

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

- Invoke the FCIS Bulk Clients Defaults - Income Distribution Setup - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.

- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Bulk Clients Defaults - Income Distribution Setup - Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **5.15.5 Authorizing Bulk Clients Defaults - Income Distribution Setup Record**

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

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

### **5.15.6 Amending Bulk Clients Defaults - Income Distribution Setup Record**

After a Bulk Clients Defaults - Income Distribution Setup record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Clients Defaults - Income Distribution Setup - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Clients Defaults - Income Distribution Setup - Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **5.15.7 Authorizing Amended Bulk Clients Defaults - Income Distribution Setup Record**

An amended Bulk Clients Defaults - Income Distribution Setup record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

## **5.16 Default Information for Redemption Check Imports**

This section contains the following topics:

- [Section 5.16.1, "Invoking Default Information for Redemption Check Imports"](#)

## 5.16.1 Invoking Default Information for Redemption Check Imports

You can invoke the FCIS Bulk Clients Defaults (Redemption Check) screen by typing 'UTDBLKRC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

For redemption check imports, you must maintain:

- Whether checking for duplicates must be done
- Scheme/ Cross Reference Number

### **Bulk Clients Details**

#### **Bulk Account Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

#### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

#### **Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC or distributor ID.

#### **Distributor**

*Display*

The system displays the name of the AMC or distributor for the selected AMC or distributor ID.

## **Client Defaults**

### **Check Duplicates**

*Mandatory*

Select 'Yes' from drop-down list if check duplicates are available. The options available in the drop-down are as follows:

- Yes
- No

### **Scheme/Cross Reference Number**

*Alphanumeric; 12 Characters; Mandatory*

Specify the scheme or cross reference number. Alternatively, you can select scheme or cross reference number from the option list. This option list will fetch the add info details for the entity add info for Unit holder as well as unit holder ID and UH reference number.

## **5.17 FCIS Bulk Clients Defaults - Redemption Check - Summary**

This section contains the following topics:

- [Section 5.17.1, "Retrieving a Bulk Clients Defaults - Redemption Check Record"](#)
- [Section 5.17.2, "Editing Bulk Clients Defaults - Redemption Check - Record"](#)
- [Section 5.17.3, "Viewing Bulk Clients Defaults - Redemption Check Record "](#)
- [Section 5.17.4, "Deleting Bulk Clients Defaults - Redemption Check Record"](#)
- [Section 5.17.5, "Authorizing Bulk Clients Defaults - Redemption Check Record "](#)
- [Section 5.17.6, "Amending Bulk Clients Defaults - Redemption Check Record "](#)
- [Section 5.17.7, "Authorizing Amended Bulk Clients Defaults - Redemption Check Record"](#)

### **5.17.1 Retrieving a Bulk Clients Defaults - Redemption Check Record**

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

You can invoke 'FCIS Bulk Clients Defaults - Redemption Check - Summary' screen by typing 'UTSBLKRC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Redemption Check - Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Bulk Account Client Code  Distributor ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Bulk Account Client Code	Distributor ID
----------------------	---------------	--------------------------	----------------

Exit

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Account Client Code
- Distributor ID

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

---

#### Note

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

- Press F7
  - Input the Distributor ID
  - Press F8
-



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

### **5.17.2 Editing Bulk Clients Defaults - Redemption Check - Record**

You can modify the details of Bulk Clients Defaults - Redemption Check record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The FCIS Bulk Clients Defaults - Redemption Check - Detail screen is closed and the changes made are reflected in the Bulk Clients Defaults - Redemption Check - Summary screen.

### **5.17.3 Viewing Bulk Clients Defaults - Redemption Check Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Clients Defaults - Redemption Check - Summary screen as follows:

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

### **5.17.4 Deleting Bulk Clients Defaults - Redemption Check Record**

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

- Invoke the FCIS Bulk Clients Defaults - Redemption Check - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to delete in the list of displayed records. The FCIS Bulk Clients Defaults - Redemption Check - Detail screen is displayed.

Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **5.17.5 Authorizing Bulk Clients Defaults - Redemption Check Record**

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

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

### **5.17.6 Amending Bulk Clients Defaults - Redemption Check Record**

After a Bulk Clients Defaults - Redemption Check record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Clients Defaults - Redemption Check - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Clients Defaults - Redemption Check - Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **5.17.7 Authorizing Amended Bulk Clients Defaults - Redemption Check Record**

An amended Bulk Clients Defaults - Redemption Check record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

## **5.18 Default Information for Standing Instructions Imports**

This section contains the following topics:

- [Section 5.18.1, "Invoking Default Information for Standing Instructions Imports"](#)

## 5.18.1 Invoking Default Information for Standing Instructions Imports

You can invoke the FCIS Bulk Clients Defaults (Standing Instruction) screen by typing 'UTDBLCSI' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Standing Instruction - Detail

Save

**Bulk Clients Details**

Bulk Client Code \*

Bulk Client Name

AMC/Distributor Id \*

Distributor

**Client Defaults**

Generate Authorized SI \*

**Other Details**

Scheme/Cross Reference \*

Number

Fund Scheme/Cross Reference \*

Number

Check Duplicates \*

Input by  DateTime  Mod No  Open

Authorized by  DateTime  Authorized

For standing instructions imports, you must maintain:

- Whether authorized standing instruction records are to be generated in the system
- Scheme / Cross Reference Number
- Fund Scheme / Cross Reference Number
- Whether checking for duplicates must be done

### **Bulk Clients Details**

#### **Bulk Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

### **AMC/Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC or distributor ID.

### **Distributor**

*Display*

The system displays the name of the AMC or distributor for the selected AMC or distributor ID.

## **Client Defaults**

### **Generate Authorized SI**

*Mandatory*

Select 'Yes' from the drop-down list if authorized SI has to be generated. The options available in the drop-down are as follows:

- Yes
- No

## **Other Details**

### **Scheme/Cross Reference Number**

*Alphanumeric; 12 Characters; Mandatory*

Specify the scheme or cross reference number. Alternatively, you can select scheme or cross reference number from the option list. This option list will fetch the add info details for the entity add info for Unit holder as well as unit holder ID and UH reference number.

### **Fund Scheme/Cross Reference Number**

*Alphanumeric; 60 Characters; Mandatory*

Indicates the param value for the param code FUNDSCHEMECROSSREFTYPES.

### **Check Duplicates**

*Mandatory*

Select 'Yes' from drop-down list if check duplicates are available. The options available in the drop-down are as follows:

- Yes
- No

## **5.19 Bulk Clients Defaults - Standing Instruction Summary**

This section contains the following topics:

- [Section 5.19.1, "Retrieving a Bulk Clients Defaults - Standing Instruction Record"](#)
- [Section 5.19.2, "Editing Bulk Clients Defaults - Standing Instruction Record"](#)
- [Section 5.19.3, "Viewing Bulk Clients Defaults - Standing Instruction Record "](#)
- [Section 5.19.4, "Deleting Bulk Clients Defaults - Standing Instruction Record"](#)
- [Section 5.19.5, "Authorizing Bulk Clients Defaults - Standing Instruction Record "](#)
- [Section 5.19.6, "Amending Bulk Clients Defaults - Standing Instruction Record "](#)

- [Section 5.19.7, "Authorizing Amended Bulk Clients Defaults - Standing Instruction Record"](#)

### 5.19.1 **Retrieving a Bulk Clients Defaults - Standing Instruction Record**

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

You can invoke 'FCIS Bulk Clients Defaults - Standing Instruction - Summary' screen by typing 'UTSBLKSI' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Client Code
- AMC/Distributor ID

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

---

**Note**

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

- Press F7
  - Input the Bulk Client Code
  - Press F8
- 

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

### **5.19.2 Editing Bulk Clients Defaults - Standing Instruction Record**

You can modify the details of Bulk Clients Defaults - Standing Instruction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The FCIS Bulk Clients Defaults - Standing Instruction - Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - Standing Instruction - Summary screen.

### **5.19.3 Viewing Bulk Clients Defaults - Standing Instruction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Clients Defaults - Standing Instruction - Summary screen as follows:

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

#### **5.19.4 Deleting Bulk Clients Defaults - Standing Instruction Record**

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

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

#### **5.19.5 Authorizing Bulk Clients Defaults - Standing Instruction Record**

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

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

#### **5.19.6 Amending Bulk Clients Defaults - Standing Instruction Record**

After a Bulk Clients Defaults - Standing Instruction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Clients Defaults - Standing Instruction - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Clients Defaults - Standing Instruction - Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

## 5.19.7 Authorizing Amended Bulk Clients Defaults - Standing Instruction Record

An amended Bulk Clients Defaults - Standing Instruction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

## 5.20 Default Information for Transactions Imports

This section contains the following topics:

- [Section 5.20.1, "Invoking Default Information for Transactions Imports"](#)

### 5.20.1 Invoking Default Information for Transactions Imports

You can invoke the FCIS Bulk Clients Defaults (Transaction) screen by typing 'UTDBLTXN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Bulk Clients Defaults - Transaction - Detail

Save

**Bulk Clients Details**

Bulk Client Code \*  AMC/Distributor Id \*

Bulk Client Name  Distributor

**Client Defaults**

Generate Authorized Transactions \*  System Generated Reference Number

Redemption Bank

**Other Details**

Scheme/Cross Reference Number \*  Default Date Format

Check Duplicates \*

Fund Scheme/Cross Reference Number \*

Communication Mode \*  Translation Required

Sub Payment Mode \*  Amendment Allowed

LOI Transaction

Input by  DateTime  Mod No  Open

Authorized by  DateTime  Authorized

Cancel

For imports of new subscription, redemption, transfer and conversion transactions, and amended transactions if indicated for the bulk client, you must maintain:

- Whether authorized transaction records are to be generated in the system
- Whether it must be designated by default that payouts must be made to the unit holder bank account only
- Whether a system generated reference number is indicated



- Scheme / Cross Reference Number
- Fund Scheme / Cross Reference Number
- Whether checking for duplicates must be done
- Default date format
- Communication mode
- Sub payment mode
- Letter of Intent (LOI) applicable
- Whether translation is required
- Whether amended transactions must be uploaded

---

**Note**

If you wish to disallow upload of amended transactions for a particular client, select the 'No' option in the Allow Amendment field, when you are setting up the default information for the bulk client. During bulk upload of transactions from a bulk client, amended orders are not imported if disallowed in the Bulk Clients Defaults Maintenance for the bulk client, but errors are logged in respect of them.

---

**Bulk Clients Details****Bulk Account Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

**Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

**AMC/Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the distributor ID.

**Distributor**

*Display*

The system displays the name of the distributor for the selected distributor ID.

**Client Defaults****Generate Authorized Transactions**

*Mandatory*

Select 'Yes' from the drop-down list if authorized transactions has to be generated. The options available in the drop-down are as follows:

- Yes
- No

**Redemption Bank**

*Optional*

Select if redemption bank has to be selected or not from the drop-down list. The list displays the following values:

- Yes
- No

### **System Generated Reference Number**

*Optional*

Select if reference number has to be system generated or not from the drop-down list. The list displays the following values:

- Yes
- No

### **Other Details**

#### **Scheme/Cross Reference Number**

*Alphanumeric; 12 Characters; Mandatory*

Specify the scheme or cross reference number.

#### **Check Duplicates**

*Mandatory*

Select 'Yes' from drop-down list if check duplicates are available. The options available in the drop-down are as follows:

- Yes
- No

#### **Fund Scheme/Cross Reference Number**

*Alphanumeric; 60 Characters; Mandatory*

Specify the fund scheme or cross reference number.

#### **Default Date Format**

*Display*

The system displays the date format.

#### **Communication Mode**

*Alphanumeric; 2 Characters; Mandatory*

Specify the communication mode.

#### **Sub Payment Mode**

*Alphanumeric; 2 Characters; Mandatory*

Specify the sub payment mode.

#### **LOI Transaction**

*Optional*

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

- Yes
- No

#### **Translation Required**

*Optional*

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

- Yes
- No

## **Amendment Allowed**

### *Optional*

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

- Yes
- No

## **5.21 Bulk Clients Defaults Summary Screen**

This section contains the following topics:

- [Section 5.21.1, "Retrieving a Bulk Clients Defaults Record"](#)
- [Section 5.21.2, "Editing Bulk Clients Defaults Record"](#)
- [Section 5.21.3, "Viewing Bulk Clients Defaults Record "](#)
- [Section 5.21.4, "Deleting Bulk Clients Defaults Record"](#)
- [Section 5.21.5, "Authorizing Bulk Clients Defaults Record "](#)
- [Section 5.21.6, "Amending Bulk Clients Defaults Record "](#)
- [Section 5.21.7, "Authorizing Amended Bulk Clients Defaults Record"](#)

### **5.21.1 Retrieving a Bulk Clients Defaults Record**

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

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

Bulk Clients Defaults Summary screen

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Bulk Client Code  AMC/Distributor Id

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Bulk Client Code	AMC/Distributor Id	Generate Authorized Transactions	Scheme/Cross Reference Num
----------------------	---------------	------------------	--------------------	----------------------------------	----------------------------

Exit

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Client Code
- AMC/ Distributor ID

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

---

#### Note

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

- Press F7
  - Input the Distributor ID
  - Press F8
-

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

### **5.21.2 Editing Bulk Clients Defaults Record**

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

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

Click Save to save your changes. The Bulk Clients Defaults Detail screen is closed and the changes made are reflected in the Bulk Clients Defaults Summary screen.

### **5.21.3 Viewing Bulk Clients Defaults Record**

To view a record that you have previously input, you must retrieve the same in the Bulk Clients Defaults Summary screen as follows:

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

### **5.21.4 Deleting Bulk Clients Defaults Record**

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

- Invoke the Bulk Clients Defaults Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Bulk Clients Defaults Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **5.21.5 Authorizing Bulk Clients Defaults Record**

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

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

### **5.21.6 Amending Bulk Clients Defaults Record**

After a Bulk Clients Defaults Summary record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the Bulk Clients Defaults Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Bulk Clients Defaults Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **5.21.7 Authorizing Amended Bulk Clients Defaults Record**

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

## **5.22 Default Information for Transaction Load Override Imports**

This section contains the following topics:

- [Section 5.22.1, "Invoking Default Information for Transaction Load Override Imports"](#)

### **5.22.1 Invoking Default Information for Transaction Load Override Imports**

For load override imports, you must maintain whether authorized load override records must be generated in the system.

You can invoke the FCIS Bulk Clients Defaults (Transaction Load Override) screen by typing 'UTDBLTLO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Transaction Load Override - Detail

Save

**Bulk Clients Details**

Bulk Client Code \*

Bulk Client Name

AMC/Distributor Id \*

Distributor

**Client Defaults**

Generate Authorized Load \*

Override

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

Cancel

You can specify the following details:

### **Bulk Clients Details**

#### **Bulk Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

#### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

#### **AMC/Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC or distributor ID.

#### **Distributor**

*Display*

The system displays the name of the AMC or distributor for the selected AMC or distributor ID.

### **Client Defaults**

#### **Generate Authorized Load Override**

*Mandatory*

Select 'Yes' from the drop-down list if authorized load override has to be generated. The options available in the drop-down are as follows:

- Yes
- No

## 5.23 FCIS Bulk Clients Defaults - Transaction Load Override - Summary

This section contains the following topics:

- [Section 5.23.1, "Retrieving a Bulk Clients Defaults - Transaction Load Override Record"](#)
- [Section 5.23.2, "Editing Bulk Clients Defaults - Transaction Load Override Record"](#)
- [Section 5.23.3, "Viewing Bulk Clients Defaults - Transaction Load Override Record "](#)
- [Section 5.23.4, "Deleting Bulk Clients Defaults - Transaction Load Override Record"](#)
- [Section 5.23.5, "Authorizing Bulk Clients Defaults - Transaction Load Override Record "](#)
- [Section 5.23.6, "Amending Bulk Clients Defaults - Transaction Load Override Record "](#)
- [Section 5.23.7, "Authorizing Amended Bulk Clients Defaults - Transaction Load Override Record"](#)

### 5.23.1 Retrieving a Bulk Clients Defaults - Transaction Load Override Record

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

You can invoke 'FCIS Bulk Clients Defaults - Transaction Load Override - Summary' screen by typing 'UTSBLTLO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Transaction Load Override - Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Bulk Client Code  AMC/Distributor Id

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Bulk Client Code	AMC/Distributor Id	Generate Authorized Load Override
----------------------	---------------	------------------	--------------------	-----------------------------------

Exit



- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Account Client Code
- Distributor ID

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

---

**Note**

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

- Press F7
  - Input the Distributor ID
  - Press F8
- 

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

### **5.23.2 Editing Bulk Clients Defaults - Transaction Load Override Record**

You can modify the details of Bulk Clients Defaults - Transaction Load Override record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The FCIS Bulk Clients Defaults - Transaction Load Override - Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - Transaction Load Override - Summary screen.

### **5.23.3 Viewing Bulk Clients Defaults - Transaction Load Override Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Clients Defaults - Transaction Load Override - Summary screen as follows:

- Invoke the FCIS Bulk Clients Defaults - Transaction Load Override - Summary screen from the Browser.

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

#### **5.23.4 Deleting Bulk Clients Defaults - Transaction Load Override Record**

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

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

#### **5.23.5 Authorizing Bulk Clients Defaults - Transaction Load Override Record**

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

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

#### **5.23.6 Amending Bulk Clients Defaults - Transaction Load Override Record**

After a FCIS Bulk Clients Defaults - Transaction Load Override - Summary record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Clients Defaults - Transaction Load Override - Summary screen from the Browser.

- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Clients Defaults - Transaction Load Override - Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### 5.23.7 Authorizing Amended Bulk Clients Defaults - Transaction Load Override Record

An amended Bulk Clients Defaults - Transaction Load Override record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

## 5.24 Default Information for Unit Holder Accounts Imports

This section contains the following topics:

- [Section 5.24.1, "Invoking Default Information for Unit Holder Accounts Imports"](#)
- [Section 5.24.2, "Bulk Clients Tab"](#)
- [Section 5.24.3, "Additional Info Tab"](#)
- [Section 5.24.4, "Other Details Tab"](#)

### 5.24.1 Invoking Default Information for Unit Holder Accounts Imports

You can invoke the FCIS Bulk Clients Defaults (Unit Holder) screen by typing 'UTDBLKUH' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

## 5.24.2 Bulk Clients Tab

Click 'Bulk Clients' tab in 'FCIS Bulk Clients Defaults - Unit Holder - Detail' screen.

FCIS Bulk Clients Defaults - Unit Holder - Detail

Save

Bulk Clients Additional Info Other Details

**Bulk Clients**

Bulk Account Client Code \* Bulk Client Name

Distributor ID \* Distributor

**Client Defaults**

Title \* Marital Status \*

Default to Introducer Broker \* No Redemption Mode of Payment \*

Sex \* Select One Resident Status \*

System Generated Reference Number Yes Account Type \*

Investor Type \* Occupation \*

Account Operation Type \* Account Statement Frequency

Country \* Corporation \*

Identification Type \* Introducer Broker \*

Language \* Account Statement Currency \*

Unit Holder Base Currency \* Category (Corporate)

Nationality \* Template ID

Bank Account Currency \* Place of Issue

Category (Individual) Preferred Fund ID for Redemption

Input by DateTime Mod No Open

Authorized by DateTime Authorized

Cancel

You can specify the following details:

### **Bulk Clients**

#### **Bulk Account Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

#### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

#### **Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC or distributor ID.

#### **Distributor**

*Display*

The system displays the name of the AMC or distributor for the selected AMC or distributor ID.

## **Client Defaults**

### **Title**

*Alphanumeric; 15 Characters; Mandatory*

Specify the customer title.

### **Default to Introducer Broker**

*Mandatory*

Select if the client details has to be defaulted to introducer broker or not from the drop-down list. The list displays the following values:

- Yes
- No

### **Sex**

*Mandatory*

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

- Male
- Female
- Not Available

### **System Generated Reference Number**

*Optional*

Select if reference number has to be system generated or not from the drop-down list. The list displays the following values:

- Yes
- No

### **Marital Status**

*Alphanumeric; 1 Character; Mandatory*

Specify the marital status.

### **Redemption Mode of Payment**

*Alphanumeric; 1 Character; Mandatory*

Specify the redemption mode of payment.

### **Resident Status**

*Alphanumeric; 1 Character; Mandatory*

Specify the resident status.

### **Account Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the type of account.

### **Investor Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the type of investor.

### **Account Operation Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the account operation type of the customer.

**Country**

*Alphanumeric; 3 Characters; Mandatory*  
Specify the country code of the customer.

**Identification Type**

*Alphanumeric; 3 Characters; Mandatory*  
Specify the identification type.

**Occupation**

*Alphanumeric; 3 Characters; Mandatory*  
Specify the occupation of the customer.

**Account Statement Frequency**

*Alphanumeric; 1 Character; Optional*  
Specify the account statement frequency.

**Corporation**

*Alphanumeric; 3 Characters; Mandatory*  
Specify the corporation details.

**Introducer Broker**

*Alphanumeric; 12 Characters; Mandatory*  
Specify the introducer broker details of the unit holder.

**Language**

*Alphanumeric; 12 Characters; Mandatory*  
Specify the language code.

**Unit Holder Base Currency**

*Alphanumeric; 3 Characters; Mandatory*  
Specify the unit holder base currency code.

**Nationality**

*Alphanumeric; 3 Characters; Mandatory*  
Specify the nationality of the customer.

**Bank Account Currency**

*Alphanumeric; 3 Characters; Mandatory*  
Specify the bank account currency code.

**Category (Individual)**

*Alphanumeric; 2 Characters; Optional*  
Specify the individual category code.

**Account Statement Currency**

*Alphanumeric; 3 Characters; Mandatory*  
Specify the account statement currency code.

**Category (Corporate)**

*Alphanumeric; 2 Characters; Optional*  
Specify the corporate category code.

### Template ID

*Alphanumeric; 6 Characters; Optional*

Specify the template ID.

### Place of Issue

*Alphanumeric; 3 Characters; Optional*

Specify the place of issue details.

### Preferred Fund ID for Redemption

*Alphanumeric; 6 Characters; Optional*

Specify the preferred fund ID for redemption.

## 5.24.3 Additional Info Tab

Click 'Additional Info' tab in 'FCIS Bulk Clients Defaults - Unit Holder - Detail' screen.

FCIS Bulk Clients Defaults - Unit Holder - Detail

Save

Bulk Clients **Additional Info** Other Details

**Additional Information Defaults**

Scheme/Cross Reference \* Number  Reject duplicates during Imports

**Additional Information Details**

1 of 1 Go

Other Info Field	Field Value
<input checked="" type="checkbox"/> ADDRESS	GX
<input type="checkbox"/> DATE TESTING (DD-W)	

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_  
Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

You can specify the following details:

### Additional Information Defaults

#### **Scheme/Cross Reference Number**

*Alphanumeric; 12 Characters; Mandatory*

Specify the scheme/ cross reference number.

### **Reject duplicates during Imports**

*Optional*

Select if duplicate records needs to be deleted during import or not from the drop-down list. The list displays the following values:

- Yes
- No

### **Additional Information Details**

#### **Other Info Field**

*Alphanumeric; 100 Characters; Optional*

Specify the other additional information.

#### **Field Value**

*Alphanumeric; 100 Characters; Optional*

Based on the Other Info Field, specify the field value.

## **5.24.4 Other Details Tab**

### **Other Details**

#### **UH Account Type**

*Alphanumeric; 2 Characters; Optional*

Specify the unit holder account type.

#### **IRS Notification on A/C**

*Alphanumeric; 10 Characters; Optional*

Specify the IRS notification on account.

#### **RPO Code**

*Alphanumeric; 10 Characters; Optional*

Specify the RPO code.

#### **Telephone Redemption**

*Mandatory*

Select if redemption request by telephone is allowed or not from the drop-down list. The list displays the following values:

- Yes
- No

#### **Telephone Switch**

*Mandatory*

Select if switch request by telephone is allowed or not from the drop-down list. The list displays the following values:

- Yes
- No

#### **Registration Type**

*Alphanumeric; 2 Characters; Optional*

Specify the type of registration.



**Preferred Mailing Mode**

*Alphanumeric; 2 Characters; Optional*

Specify the preferred mailing mode.

**Write Check for MMF**

*Mandatory*

Select 'Yes' option from drop-down list if system allows check writing.

**Fee Category (Individual)**

*Alphanumeric; 3 Characters; Optional*

Specify the fee category for an individual.

**Fee Sub Category (Individual)**

*Alphanumeric; 6 Characters; Optional*

Specify the fee sub category for an individual.

**Fee Category (Corporate)**

*Alphanumeric; 3 Characters; Optional*

Specify the fee category for corporate.

**Fee Sub Category (Corporate)**

*Alphanumeric; 6 Characters; Optional*

Specify the fee sub category for corporate.

**Pay by FEDWIRE / ACH**

*Mandatory*

Select 'Yes' option from drop-down list if paid by FEDWIRE/ ACH.

#### **5.24.4.1 Choosing Template for Automatic Replication**

Modifications made to a unit holder account under a CIF, through an Information Change operation, might require to be replicated to all unit holder accounts under the CIF. Oracle FLEXCUBE Investor Servicing provides the facility of configuring the system so that automatic replication could be achieved, through automatic replication templates.

For each bulk client, you can define the template to be used for automatic replication, as part of the client default information. The automatic replication template you select here is used for replication of changes made to a unit holder account through Information Change, to all unit holder accounts belonging to the CIF.

**How the template is used**

Any changes that have been made through Information Change, to any of the fields defined in the template, are replicated to all unit holder accounts belonging to the CIF, when the Information Change is authorized. The replication occurs at the level defined for the template – CIF level (changes made to CIF fields are replicated) or Identification Type level (changes made to Identification Type fields are replicated)

**Additional Information Defaults**

For the additional information defaults, the list shown is the additional information for which the valid values (restrictive list) are maintained as part of Additional Information Master Setup and Additional Information Valid Values Setup.

## **5.25 FCIS Bulk Clients Defaults - Unit Holder - Summary**

This section contains the following topics:

- [Section 5.25.1, "Retrieving a Bulk Clients Defaults - Unit Holder Record"](#)
- [Section 5.25.2, "Editing Bulk Clients Defaults - Unit Holder Record"](#)
- [Section 5.25.3, "Viewing Bulk Clients Defaults - Unit Holder Record "](#)
- [Section 5.25.4, "Deleting Bulk Clients Defaults - Unit Holder Record"](#)
- [Section 5.25.5, "Authorizing Bulk Clients Defaults - Unit Holder Record "](#)
- [Section 5.25.6, "Amending Bulk Clients Defaults - Unit Holder Record "](#)
- [Section 5.25.7, "Authorizing Amended Bulk Clients Defaults - Unit Holder Record"](#)

### 5.25.1 **Retrieving a Bulk Clients Defaults - Unit Holder Record**

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

You can invoke 'FCIS Bulk Clients Defaults - Unit Holder - Summary' screen by typing 'UTSBLKUH' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Account Client Code
- Distributor ID

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

---

**Note**

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

- Press F7
  - Input the Distributor ID
  - Press F8
- 

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

### **5.25.2 Editing Bulk Clients Defaults - Unit Holder Record**

You can modify the details of Bulk Clients Defaults - Unit Holder record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The FCIS Bulk Clients Defaults - Unit Holder - Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - Unit Holder - Summary screen.

### **5.25.3 Viewing Bulk Clients Defaults - Unit Holder Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Clients Defaults - Unit Holder - Summary screen as follows:

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

#### **5.25.4 Deleting Bulk Clients Defaults - Unit Holder Record**

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

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

#### **5.25.5 Authorizing Bulk Clients Defaults - Unit Holder Record**

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

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

#### **5.25.6 Amending Bulk Clients Defaults - Unit Holder Record**

After a Bulk Clients Defaults - Unit Holder record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Clients Defaults - Unit Holder - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Clients Defaults - Unit Holder - Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

## 5.25.7 Authorizing Amended Bulk Clients Defaults - Unit Holder Record

An amended Bulk Clients Defaults - Unit Holder record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

## 5.26 Default Information for Check Book Requests Imports

This section contains the following topics:

- [Section 5.26.1, "Invoking Default Information for Check Book Requests Imports"](#)

### 5.26.1 Invoking Default Information for Check Book Requests Imports

For check book request imports, you must maintain whether check book requests are mandatory.

You can invoke the FCIS Bulk Clients Defaults (Cheque Book Request) screen by typing 'UTDBLCBR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Cheque Book Request - Detail

Save

**Bulk Clients Details**

Bulk Client Code \*

AMC/Distributor Id \*

Bulk Client Name

Distributor

**Client Defaults**

Cheque Book Request Mandatory \*

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

You can specify the following details:

#### **Bulk Clients Details**

##### **Bulk Account Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

##### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

##### **AMC/Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC/ distributor ID.

## **Distributor**

### *Display*

The system displays the name of the distributor for the selected AMC/ distributor ID.

## **Client Defaults**

### **Cheque Book Request Mandatory**

#### *Mandatory*

Select if check book request is mandatory or not from the drop-down list. The list displays the following values:

- Yes
- No

## **5.27 FCIS Bulk Clients Defaults - Cheque Book Request - Summary**

This section contains the following topics:

- [Section 5.27.1, "Retrieving Bulk Clients Defaults - Cheque Book Request in Summary Screen"](#)
- [Section 5.27.2, "Editing Bulk Clients Defaults - Cheque Book Request Details"](#)
- [Section 5.27.3, "Viewing Bulk Clients Defaults - Cheque Book Request Details"](#)
- [Section 5.27.4, "Deleting Bulk Clients Defaults - Cheque Book Request Details"](#)
- [Section 5.27.5, "Authorizing Bulk Clients Defaults - Cheque Book Request Details"](#)
- [Section 5.27.6, "Amending Bulk Clients Defaults - Cheque Book Request Details"](#)
- [Section 5.27.7, "Authorizing Amended Bulk Clients Defaults - Cheque Book Request Details"](#)

## 5.27.1 Retrieving Bulk Clients Defaults - Cheque Book Request in Summary Screen

You can invoke the 'FCIS Bulk Clients Defaults - Cheque Book Request - Summary' screen by typing 'UTSBLCBR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Authorization Status	Record Status	Bulk Client Code	AMC/Distributor Id	Cheque Book Request Mandatory
----------------------	---------------	------------------	--------------------	-------------------------------

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

- Invoke the FCIS Bulk Clients Defaults - Cheque Book Request - Summary screen and specify the following:
  - The status of the record in the Authorized field. If you choose the “Blank Space” option, then all the fund types are retrieved.
  - The status of the fund type in the Record Status field. If you choose the “Blank Space” option, then all the records are retrieved.
  - Bulk Client Code
  - AMC/ Distributor ID
- After you have specified the required details, click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

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

- Press F7
- Input the Bulk Client Code
- Press F8

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

### **5.27.2 Editing Bulk Clients Defaults - Cheque Book Request Details**

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

- Invoke the FCIS Bulk Clients Defaults - Cheque Book Request - Summary screen from the Browser.
- Select the status that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop-down list.
- Specify any or all of the details in the corresponding fields on the screen to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The FCIS Bulk Clients Defaults - Cheque Book Request - Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The FCIS Bulk Clients Defaults - Cheque Book Request - Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - Cheque Book Request - Summary screen.

### **5.27.3 Viewing Bulk Clients Defaults - Cheque Book Request Details**

To view a record that you have previously entered:

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

### **5.27.4 Deleting Bulk Clients Defaults - Cheque Book Request Details**

You can delete only unauthorized records in the system.

- Invoke the FCIS Bulk Clients Defaults - Cheque Book Request - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.



- Double click the record that you want to delete. The FCIS Bulk Clients Defaults - Cheque Book Request - Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **5.27.5 Authorizing Bulk Clients Defaults - Cheque Book Request Details**

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

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

### **5.27.6 Amending Bulk Clients Defaults - Cheque Book Request Details**

After a Bulk Clients Defaults - Cheque Book Request is authorized, it can be modified using the Unlock operation from Action list. To make changes to a Bulk Clients Defaults - Cheque Book Request after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

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

### **5.27.7 Authorizing Amended Bulk Clients Defaults - Cheque Book Request Details**

An amended Bulk Clients Defaults - Cheque Book Request must be authorized for the amendment to be made effective in the system. The process of authorization is subsequently the same as that for normal transactions.

## **5.28 Default Information for Policy Transactions**

This section contains the following topics:

- [Section 5.28.1, "Invoking Default Information for Policy Transactions"](#)

## 5.28.1 Invoking Default Information for Policy Transactions

You can invoke the FCIS Bulk Clients Defaults (Policy Transaction) screen by typing 'UTDBLKPT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Policy Transaction - Detail

Save

**Bulk Clients Details**

Bulk Client Code \*

Bulk Client Name

Distributor ID \*

Distributor

**Client Defaults**

Generate Authorized Transactions \*

System Generated Reference Number

**Other Details**

Scheme/Cross Reference Number \*

Fund Scheme/Cross Reference Number \*

Transaction Intermediary \*

Input by  DateTime  Mod No  Open

Authorized by  DateTime  Authorized

Ok Cancel

For policy transactions import, you must maintain:

- Whether authorized transaction records are to be generated in the system
- Whether a system generated reference number is indicated
- Scheme / Cross Reference Number
- Fund Scheme / Cross Reference Number
- Whether the broker associated in policy creation or the default broker details of the unit holder are to be defaulted if intermediary details are not provided.

You can specify the following details:

### **Bulk Clients Details**

#### **Bulk Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

#### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

#### **AMC/Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC or distributor ID.

#### **Distributor**

*Display*

The system displays the name of the AMC or distributor for the selected AMC or distributor ID.

## **Client Defaults**

### **Generate Authorized Transactions**

#### *Mandatory*

Select if authorized transactions needs to be generated or not from the drop-down list. The list displays the following values:

- Yes
- No

### **System Generated Reference Number**

#### *Optional*

Select if reference number needs to be system generated or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Other Details**

### **Scheme/Cross Reference Number**

#### *Alphanumeric; 12 Characters; Mandatory*

Specify the scheme/cross reference number. Alternatively, you can select scheme or cross reference number from the option list. This option list will fetch the add info details for the entity add info for Unit holder as well as unit holder ID and UH reference number.

### **Fund Scheme/Cross Reference Number**

#### *Alphanumeric; 60 Characters; Mandatory*

Indicates the param value for the param code FUNDSCHEMECROSSREFTYPES.

### **Transaction Intermediary**

#### *Mandatory*

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

- Unit Holder
- Policy

## **5.29 FCIS Bulk Clients Defaults - Policy Transaction Summary**

This section contains the following topics:

- [Section 5.29.1, "Retrieving a Bulk Clients Defaults - Policy Transaction Record"](#)
- [Section 5.29.2, "Editing Bulk Clients Defaults - Policy Transaction Record"](#)
- [Section 5.29.3, "Viewing Bulk Clients Defaults - Policy Transaction Record "](#)
- [Section 5.29.4, "Deleting Bulk Clients Defaults - Policy Transaction Record"](#)
- [Section 5.29.5, "Authorizing Bulk Clients Defaults - Policy Transaction Record "](#)
- [Section 5.29.6, "Amending Bulk Clients Defaults - Policy Transaction Record "](#)
- [Section 5.29.7, "Authorizing Amended Bulk Clients Defaults - Policy Transaction Record"](#)

## 5.29.1 Retrieving a Bulk Clients Defaults - Policy Transaction Record

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

You can invoke 'FCIS Bulk Clients Defaults - Policy Transaction - Summary' screen by typing 'UTSBLKPT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Policy Transaction - Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Bulk Client Code  Distributor ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Bulk Client Code	Distributor ID	Transaction Intermediary
----------------------	---------------	------------------	----------------	--------------------------

Exit

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Client Code
- Distributor ID

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

---

### Note

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

- Press F7
  - Input the Distributor ID
  - Press F8
-

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

### **5.29.2 Editing Bulk Clients Defaults - Policy Transaction Record**

You can modify the details of Bulk Clients Defaults - Policy Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The FCIS Bulk Clients Defaults - Policy Transaction - Summary Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - Policy Transaction - Summary screen.

### **5.29.3 Viewing Bulk Clients Defaults - Policy Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Clients Defaults - Policy Transaction - Summary screen as follows:

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

### **5.29.4 Deleting Bulk Clients Defaults - Policy Transaction Record**

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

- Invoke the FCIS Bulk Clients Defaults - Policy Transaction - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to delete in the list of displayed records. The FCIS Bulk Clients Defaults - Policy Transaction - Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **5.29.5 Authorizing Bulk Clients Defaults - Policy Transaction Record**

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

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

### **5.29.6 Amending Bulk Clients Defaults - Policy Transaction Record**

After a Bulk Clients Defaults - Policy Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Clients Defaults - Policy Transaction - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Clients Defaults - Policy Transaction - Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **5.29.7 Authorizing Amended Bulk Clients Defaults - Policy Transaction Record**

An amended Bulk Clients Defaults - Policy Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

## **5.30 Default Information for Broker**

This section contains the following topics:

- [Section 5.30.1, "Invoking Default Information for Broker"](#)

### 5.30.1 Invoking Default Information for Broker

You can invoke the FCIS Bulk Clients Defaults (Broker) screen by typing 'UTDBLCBD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - Broker - Detail

Save

**Bulk Clients Details**

Bulk Account Client Code \* | \_\_\_\_\_ | Distributor/AMC ID \* | \_\_\_\_\_ |

Bulk Client Name | \_\_\_\_\_ | Distributor | \_\_\_\_\_ |

**Client Defaults**

Broker Base Currency \* | \_\_\_\_\_ | Broker Type | \_\_\_\_\_ |

VAT Registered | No | Use Broker Type Payment Dates | No |

Commission Percentage \* | \_\_\_\_\_ | Broker Category | Select One |

Commission Payment Frequency \* | \_\_\_\_\_ |

**Additional Information Details**

1 of 1 | Go

Other Information Field	Field Value
<input checked="" type="checkbox"/> ADDRESS	BTP
<input type="checkbox"/> CONTACT NUMBER	

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

Cancel

For Broker import, you must maintain:

- Broker Base Currency
- Commission Payment Frequency
- Commission Percentage

You can specify the following details:

#### **Bulk Clients Details**

##### **Bulk Account Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

##### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

**Distributor/AMC ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the distributor or AMC ID.

**Distributor**

*Display*

The system displays the name of the distributor or AMC ID for the selected distributor or AMC ID.

**Client Defaults****Broker Base Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the broker base currency code.

**VAT Registered**

*Optional*

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

- Yes
- No

**Commission Percentage**

*Numeric; 5 Characters; Mandatory*

Specify the commission percentage.

**Commission Payment Frequency**

*Alphanumeric; 1 Character; Mandatory*

Specify the commission payment frequency.

**Broker Type**

*Alphanumeric; 6 Characters; Optional*

Specify the broker type.

**Use Broker Type Payment Dates**

*Optional*

Select if broker type payment dates can be used or not from the drop-down list. The list displays the following values:

- Yes
- No

**Broker Category**

*Optional*

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

- Individual
- Corporate

**Additional Information Details****Other Information Field**

*Display*

The system displays the mapped field against that function ID.



## Field Value

### Display

The system displays the field value based on other information field.

## 5.31 FCIS Bulk Clients Defaults Broker Summary

This section contains the following topics:

- [Section 5.31.1, "Retrieving Amended Bulk Clients Defaults Broker Record"](#)
- [Section 5.31.2, "Editing Amended Bulk Clients Defaults Broker Record"](#)
- [Section 5.31.3, "Viewing Amended Bulk Clients Defaults Broker Record"](#)
- [Section 5.31.4, "Deleting Amended Bulk Clients Defaults Broker Record"](#)
- [Section 5.31.5, "Authorizing Amended Bulk Clients Defaults Broker Record"](#)
- [Section 5.31.6, "Amending Amended Bulk Clients Defaults Broker Record"](#)
- [Section 5.31.7, "Authorizing Amended Bulk Clients Defaults Broker Record"](#)

### 5.31.1 Retrieving Amended Bulk Clients Defaults Broker Record

You can retrieve a previously entered record in the FCIS Bulk Clients Defaults Broker Summary screen, as follows:

Invoke the FCIS Bulk Clients Defaults Broker Summary screen by typing 'UTSBLCBD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'FCIS Bulk Clients Defaults Broker Summary' application window. At the top, there is a search bar with options for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, a 'Search Is Case Sensitive' checkbox is present. The main search area contains four input fields: 'Authorized' (a dropdown menu), 'Open' (a dropdown menu), 'Bulk Account Client Code' (a text box with a magnifying glass icon), and 'Distributor/AMC ID' (a text box with a magnifying glass icon). Below the search fields is a navigation bar with 'Records per page' set to 15, navigation arrows, '1 of 1', a 'Go' button, and 'Lock Columns' set to 0. The main area of the window is a table with a header row containing 'Authorized', 'Open', 'Bulk Account Client Code', and 'Distributor/AMC ID'. The table body is currently empty. At the bottom right corner of the window, there is an 'Exit' button.

Specify any or all of the following details in the corresponding fields:

- The status of the transaction in the Authorized field. If you choose the “Blank Space” option, then all the records that involve the specified unit holder are retrieved.
- The status of the record in the Open field. If you choose the “Blank Space” option, then all the records that involve the specified unit holder are retrieved.
- Bulk Account Client Code
- Distributor/AMC ID

Click ‘Advanced Search’ button for advanced level of query where records can be retrieved based on specific fields. Click ‘Reset’ button, so that the entire search criteria will be cleared for a new level of search. Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen. Click ‘Refresh’ button, so that the search criteria will be refreshed based on existing criteria.

---

**Note**

You can also retrieve the individual record detail from the FCIS Bulk Clients Defaults Broker detail screen by doing query in the following manner:

- Press F7
  - Input the Bulk Account Client Code
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operation by selecting from the Action list. To edit and amend a record a user has to click unlock button under Action menu.

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

**Example**

You can search the record by using the combination of % and alphanumeric value as follows:-

- Search by A%: System will fetch all the records whose Bulk Account Client Code starts from Alphabet ‘A’. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose Bulk Account Client Code ends by numeric value ‘7’. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose Bulk Account Client Code contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.

### **5.31.2 Editing Amended Bulk Clients Defaults Broker Record**

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

- Invoke the FCIS Bulk Clients Defaults Broker Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to modify in the list of displayed records. The FCIS Bulk Clients Defaults Broker Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The FCIS Bulk Clients Defaults Broker Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults Broker Summary screen.

### **5.31.3 Viewing Amended Bulk Clients Defaults Broker Record**

To view a record that you have previously entered, you must retrieve the same in the FCIS Bulk Clients Defaults Broker Summary screen, as follows:

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

### **5.31.4 Deleting Amended Bulk Clients Defaults Broker Record**

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

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

### **5.31.5 Authorizing Amended Bulk Clients Defaults Broker Record**

An unauthorized Bulk Clients Defaults Broker record must be authorized in the system for it to be processed. To authorize a record:

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

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

### 5.31.6 Amending Amended Bulk Clients Defaults Broker Record

After a Bulk Clients Defaults Broker is authorized, it can be modified using the Unlock operation from Action list. To make changes to a transaction after authorization:

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

### 5.31.7 Authorizing Amended Bulk Clients Defaults Broker Record

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

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

## 5.32 Default Information for UH Deal Upload

This section contains the following topics:

- [Section 5.32.1, "Invoking Default Information for UH Deal Upload"](#)

### 5.32.1 Invoking Default Information for UH Deal Upload

You can invoke the FCIS Bulk Clients Defaults (UH Deal Upload) screen by typing 'UTDBLUHD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Bulk Clients Defaults - UH Deal Upload - Detail

Save

**Bulk Clients Details**

Bulk Client Code \*

Bulk Client Name

AMC/Distributor Id \*

Distributor

**Client Defaults**

Apply At CIF Level

Scheme/Cross Reference \*

Number

Input by  DateTime  Mod No  Open

Authorized by  DateTime  Authorized

Cancel

For UH deal import, you must maintain:

- Scheme Cross Reference Number.

Only those fields in the header portion of the screen are discussed here. For the other fields, depending upon the upload type, you must refer the user manual files for the corresponding maintenance in the system.

You can specify the following details:

### **Bulk Clients Details**

#### **Bulk Account Client Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bulk account client code.

#### **Bulk Client Name**

*Display*

The system displays the bulk client name for the selected bulk account client code.

#### **AMC/Distributor ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the distributor ID.

#### **Distributor**

*Display*

The system displays the name of the distributor for the selected distributor ID.

### **Client Defaults**

#### **Apply At CIF Level**

*Optional*

Select if UH deal has to be applied at CIF level or not from the drop-down list. The list displays the following values:

- Yes
- No

#### **Scheme/Cross Reference Number**

*Alphanumeric; 12 Characters; Mandatory*

Specify the scheme/cross reference number.

## **5.33 FCIS Bulk Clients Defaults - UH Deal Upload - Summary**

This section contains the following topics:

- [Section 5.33.1, "Retrieving a FCIS Bulk Clients Defaults - UH Deal Upload Record"](#)
- [Section 5.33.2, "Editing Bulk Clients Defaults - UH Deal Upload Record"](#)
- [Section 5.33.3, "Viewing Bulk Clients Defaults - UH Deal Upload Record "](#)
- [Section 5.33.4, "Deleting Bulk Clients Defaults - UH Deal Upload Record"](#)
- [Section 5.33.6, "Amending Bulk Clients Defaults - UH Deal Upload Record "](#)
- [Section 5.33.6, "Amending Bulk Clients Defaults - UH Deal Upload Record "](#)
- [Section 5.33.7, "Authorizing Amended Bulk Clients Defaults - UH Deal Upload Record"](#)

### 5.33.1 Retrieving a FCIS Bulk Clients Defaults - UH Deal Upload Record

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

You can invoke 'FCIS Bulk Clients Defaults - UH Deal Upload - Summary' screen by typing 'UTSBLUHD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Authorization Status	Record Status	Bulk Client Code	AMC/Distributor Id	Scheme/Cross Reference Number	Apply At CIF Level
----------------------	---------------	------------------	--------------------	-------------------------------	--------------------

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Account Client Code
- Distributor ID

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

---

#### Note

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

- Press F7

- Input the Distributor ID
  - Press F8
- 

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

### **5.33.2 Editing Bulk Clients Defaults - UH Deal Upload Record**

You can modify the details of Bulk Clients Defaults - UH Deal Upload record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The FCIS Bulk Clients Defaults - UH Deal Upload - Detail screen is closed and the changes made are reflected in the FCIS Bulk Clients Defaults - UH Deal Upload - Summary screen.

### **5.33.3 Viewing Bulk Clients Defaults - UH Deal Upload Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Clients Defaults - UH Deal Upload - Summary screen as follows:

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

### **5.33.4 Deleting Bulk Clients Defaults - UH Deal Upload Record**

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

- Invoke the FCIS Bulk Clients Defaults - UH Deal Upload - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.

- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Bulk Clients Defaults - UH Deal Upload - Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **5.33.5 Authorizing Bulk Clients Defaults - UH Deal Upload Record**

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

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

### **5.33.6 Amending Bulk Clients Defaults - UH Deal Upload Record**

After a Bulk Clients Defaults - UH Deal Upload record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Clients Defaults - UH Deal Upload - Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Clients Defaults - UH Deal Upload - Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **5.33.7 Authorizing Amended Bulk Clients Defaults - UH Deal Upload Record**

An amended Bulk Clients Defaults - UH Deal Upload record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

## **5.34 Bulk Clients Defaults Summary Screen**

This section contains the following topics:



- [Section 5.34.1, "Viewing Bulk Clients Default Summary"](#)
- [Section 5.34.2, "Retrieving Default Specifications Record for Bulk Client"](#)
- [Section 5.34.3, "Editing Bulk Client Details"](#)
- [Section 5.34.4, "Viewing Bulk Client Details"](#)
- [Section 5.34.5, "Deleting Bulk Client Details"](#)
- [Section 5.34.6, "Authorizing Bulk Client Details Records"](#)
- [Section 5.34.7, "Amending Bulk Client Records"](#)
- [Section 5.34.8, "Authorizing Amended Bulk Client Details"](#)
- [Section 5.34.9, "Copying Attributes"](#)

### **5.34.1 Viewing Bulk Clients Default Summary**

After you have set up all the default specifications for a bulk client, you must have another user authorize the defaults so that they would be effective in the system database.

Before the default specifications are authorized, you can edit them as many times as necessary. You can also delete a default specification for a bulk client before it is authorized.

After authorization, you can only make changes to any of the specifications through an amendment.

The Bulk Client Summary screen can be used for the following operations on bulk client default specifications:

- Retrieving bulk client default specifications for viewing
- Editing unauthorized bulk client default specifications
- Deleting unauthorized bulk client default specifications
- Authorizing bulk client default specifications
- Amending authorized bulk client default specifications.

To invoke the Bulk Client Default Find screen, click on Summary under the Bulk Client Defaults menu in the Browser.

You can invoke the FCIS Bulk Clients Defaults (Broker) Summary screen by typing 'UTSENTMN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

### 5.34.2 Retrieving Default Specifications Record for Bulk Client

To retrieve a previously entered default specifications record for a bulk client:

- Invoke the Bulk Clients Defaults Maintenance Summary screen and specify the following :
- The authorization status of the entity in the Authorization Status field. If you choose the “Blank Space” option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the “Blank Space” option, then all the record are retrieved.
- Entity ID
- Entity Type
- Entity Name
- Click ‘Search’ button after you have specified the required details, all records with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### **Note**

You can also retrieve an individual bulk client detail from the Detail screen by doing query in the following manner:

- Press F7
  - Input any parameter in the screen
  - Press F8
-

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

#### Example

You can search the record for Bulk Account Client code by using the combination of % and alphanumeric value.

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

### 5.34.3 **Editing Bulk Client Details**

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

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

### 5.34.4 **Viewing Bulk Client Details**

To view the bulk client details that you have previously entered:

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

### 5.34.5 **Deleting Bulk Client Details**

You can delete only unauthorized records in the system. To delete a bulk client record:

- Invoke the Bulk Clients Maintenance Summary screen from the Browser.
- Select the status of the bulk client records that you want to retrieve for deletion.

- Specify any or all of the search parameters.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the bulk client record that you want to delete. The FCIS Bulk Client Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **5.34.6 Authorizing Bulk Client Details Records**

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

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

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

### **5.34.7 Amending Bulk Client Records**

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

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

### **5.34.8 Authorizing Amended Bulk Client Details**

An amended bulk client record must be authorized for the amendment to be made effective in the system.

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

### 5.34.9 Copying Attributes

If you want to create a bulk client record having the same attributes of an existing record:

- Retrieve the bulk client record whose attributes the new record should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the new Bulk Client Code. You can however change the details if required.

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## 6. Maintaining Currencies

The Oracle FLEXCUBE Investor Servicing system provides the AMC with the facility of transacting with different currencies, maintaining different exchange rate sources and also capturing exchange rates. The following menu options are available in the Data Entry Menu Item of the Fund Manager component to take care of these functions:

- Currency Maintenance
- Country Currency Maintenance
- Source Maintenance
- Exchange Rate Maintenance
- Currency Cutoff - Time Maintenance

This chapter contains the following sections:

- [Section 6.1, "Currency Maintenance"](#)
- [Section 6.2, "Currency Maintenance Summary Screen"](#)
- [Section 6.3, "Country Association with its Currency"](#)
- [Section 6.4, "Country Currency Summary Screen"](#)
- [Section 6.5, "Exchange Rate Sources"](#)
- [Section 6.6, "Source Currency Pair Maintenance Screen"](#)
- [Section 6.7, "Exchange Rates"](#)
- [Section 6.8, "Exchange Rate Maintenance Summary Screen"](#)
- [Section 6.9, "Currency Cutoff - Time"](#)
- [Section 6.10, "Currency Cutoff Summary Screen"](#)

### 6.1 Currency Maintenance

This section contains the following topics:

- [Section 6.1.1, "Invoking the Currency Maintenance Detail Screen"](#)
- [Section 6.1.2, "Multi Language Details Button"](#)

#### 6.1.1 Invoking the Currency Maintenance Detail Screen

The different currencies that will be in use in the processing of transactions must be uniquely identified in the system and a profile maintained for each. You can use the 'Currency Maintenance Detail' screen to set up the currencies in the system. You can invoke this screen by typing 'UTDCURMA' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the currency details.

The profile that is maintained for each currency includes the following details:

- The currency type. There are three types of currencies that you can maintain, and these are enumerated below in the discussion for the Currency Type field in this screen.
- The currency separators
- The fixed conversion rate for In currencies
- The number of decimals for the currency
- The round-off/ truncate setup for the currency
- The amount formats

- The validity period for In currencies

The currency Euro must be maintained with a profile of its own in this maintenance screen. After the Euro currency has been defined and set up, no other currency can be designated to be of currency type Euro, which means that only one currency can be set up as a Euro Currency in the system.

## **Currency Information**

### **Currency Code**

*Alphanumeric; 3 Characters; Mandatory*

Specify a unique 3-character code for the currency that is being maintained in this record.

### **Currency Name**

*Alphanumeric; 35 Characters; Mandatory*

Specify a unique name for the currency that is being maintained in this record.

## **Currency Details**

### **Number of Decimals**

*Mandatory*

Select the number of decimals to be displayed and considered in the amount formats for the currency from the drop-down list. The list displays the following values:

- 0
- 1
- 2
- 3

This value is used by the system to determine the relationship between the Higher and Lower Currencies. For example, let us suppose that the number of decimals specified is 2. This would mean that 100 units of the Lower Currency must be considered as equivalent to one unit of the Higher Currency. Similarly, if the number of decimals specified is 3, 1000 units of the Lower Currency must be considered as equivalent to one unit of the Higher Currency.

### **Amount Format**

*Mandatory*

Select the format in which amounts in this currency must appear either Millions or Crores.

### **Round-Off/Truncate**

*Mandatory*

Indicate whether the currency format is to be rounded off or truncated.

### **Currency Type**

*Mandatory*

Select the type of currency that is being maintained in this record from the drop-down list. This could be any of the following 3 types:

- **Out Currency:** Select this option to maintain a currency that will be not subsumed into the Euro Currency and will always have an exchange rate against the Euro. Therefore, no validity periods or fixed conversion rates will need to be captured for this currency, and none of the restrictions that apply to In currencies will be applicable. Once a currency is designated as an Out Currency, it can later be designated as an In Currency on editing its record profile in this screen.
- **In Currency:** Select this option to maintain a currency that will be subsumed by the Euro Currency as a matter of course. For such currencies, the validity period must be captured, as well as the fixed conversion rate against the Euro. Once a currency is designated to be an In Currency, it cannot later be designated to be an Out Currency.
- **Euro Currency:** Select this option to maintain the Euro Currency in this screen. This is typically an initial setup that will not be changed later on. Once the Euro Currency is maintained by choosing this option, it is disabled and no other currency can be designated as Euro Currency.

### **Conversion Rate**

*Numeric; 6 Characters; Optional*

Specify the fixed conversion rate that will apply for this currency against the Euro currency. This will be used in processing transactions that will use this currency.

### **Currency Higher**

*Alphanumeric; 15 Characters; Mandatory*

Specify the actual currency for example the US Dollar

### **Currency Lower**

*Alphanumeric; 15 Characters; Optional*

Express the currency specified above in its lower denomination for example Cents if the higher currency is USD.



## Currency Separator

*Alphanumeric; 15 Characters; Optional*

You can maintain the separator details for the currencies. The Currency Higher must be specified because it is mandatory, but if the number of decimals has been specified as zero, the Currency Lower and the Currency Separator details need not be specified.

## Validity From and To Dates

*Date Format; Conditional Mandatory*

Specify the date range that represents the validity period for this In Currency. During this validity period, the currency will be used as a physical currency, but the conversion rates will apply. At the end of this period, this currency will cease to exist and will be subsumed by the Euro Currency. These dates may be altered on editing the record.

The Validity From Date must not be earlier than application date of the system. The Validity To Date is defaulted to a date 3 years later than the specified Validity From date. This can be altered, but it must always be later than the Validity From Date, and must not be earlier than the application date of the system.

### 6.1.2 Multi Language Details Button

Click 'Multi Language Details' button to access the Multi Language Details screen.

Currency Code	Currency Name	Language Code	Language Name
---------------	---------------	---------------	---------------

The system displays the following values:

- Currency code
- Currency Name
- Language Code

- Language Name

Refer the chapter 'Maintaining Reference Information' in FCIS system for information about Multiple language support.

## **6.2 Currency Maintenance Summary Screen**

This section contains the following topics:

- [Section 6.2.1, "Making Changes to Currency Profiles"](#)
- [Section 6.2.2, "Retrieving Currency Record"](#)
- [Section 6.2.3, "Editing Currency Details"](#)
- [Section 6.2.4, "Viewing Currency Details"](#)
- [Section 6.2.5, "Deleting Currency Details"](#)
- [Section 6.2.6, "Authorizing Currencies"](#)
- [Section 6.2.7, "Amending Currency Details"](#)
- [Section 6.2.8, "Authorizing Amended Currency Details"](#)
- [Section 6.2.9, "Copying Attributes"](#)

### **6.2.1 Making Changes to Currency Profiles**

After you have set up a currency, you must have another user authorize it so that it would be effective in the system. An unauthorized currency cannot be associated with any entity in the system.

Before the currency is authorized, you can edit its details as many times as necessary. You can also delete it before it is authorized.

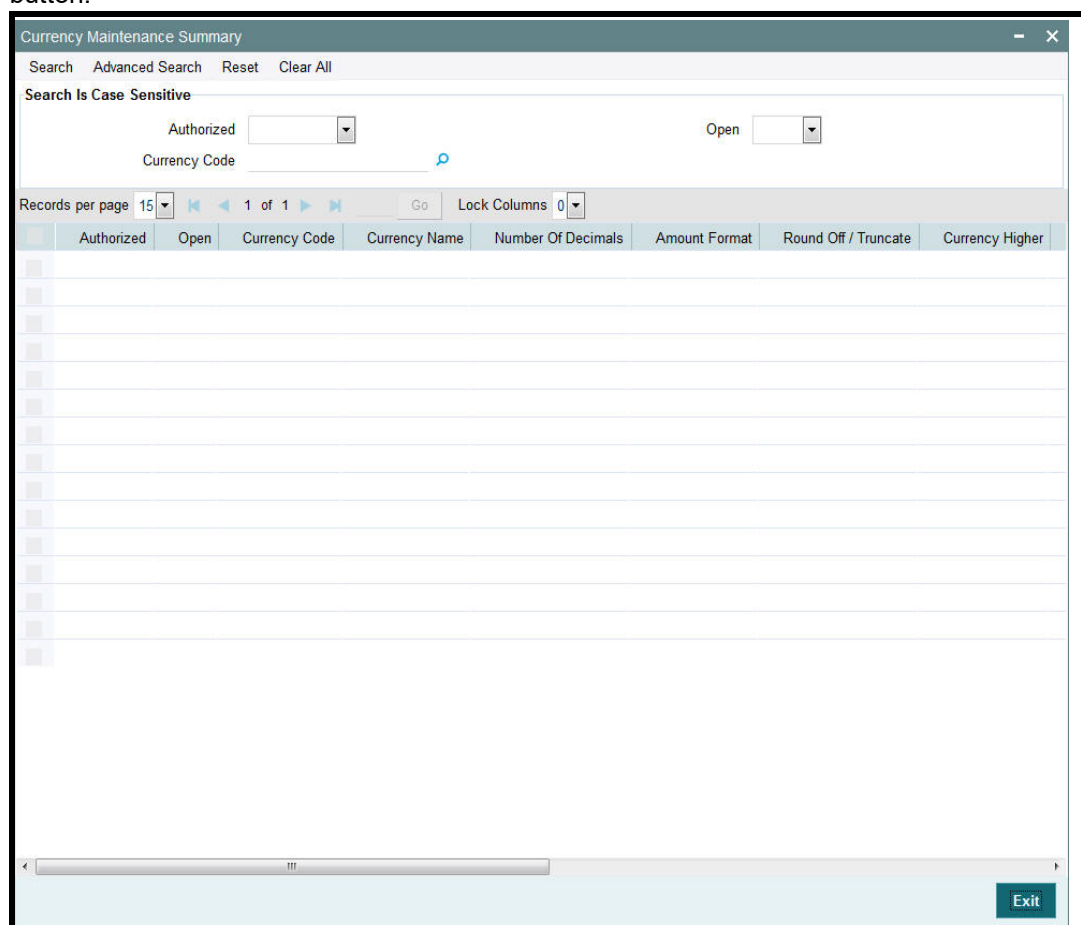
After authorization, you can only make changes to any of the details through an amendment, except in the following circumstances:

- The currency selected for deletion is in use as a source reference currency for an exchange rate source in the system.
- There is at least one fund bank account maintained in this currency in the system.
- There is at least one unit holder bank account maintained in this currency in the system.
- The currency selected for deletion has already been associated with a country in the Country Currency Maintenance.

The 'Currency Maintenance Summary' screen can be used for the following operations on currencies:

- Retrieval for viewing
- Editing unauthorized currencies
- Deleting unauthorized currencies
- Authorizing currencies
- Amending authorized currencies, if amendment is possible

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



## 6.2.2 Retrieving Currency Record

To retrieve a previously entered currency record:

- Invoke the Currency Maintenance Summary screen and specify the following :
  - The authorization status of the currency record in the Authorized field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the currency records in the Record Status field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The Currency Code
- After you have specified the required details, click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

### Note

You can also retrieve an individual currency detail from the Detail screen by doing query in the following manner:-

- Press F7
  - Input any parameter in the screen
  - Press F8
-

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

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

Example

You can search the record for currency code by using the combination of % and alphanumeric value that is, Search by Z%: The system will fetch all the records whose currency code starts from Alphabet 'Z'. For example, ZAR.

### **6.2.3 Editing Currency Details**

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

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

### **6.2.4 Viewing Currency Details**

To view the currency details that you have previously entered:

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

### **6.2.5 Deleting Currency Details**

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

- Invoke the Currency Maintenance Summary screen from the Browser.
- Select the status of the currency record that you want to retrieve for deletion.
- Specify any or all of the search parameters of the currency record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the currency record that you want to delete. The Currency Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **6.2.6 Authorizing Currencies**

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

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

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

### **6.2.7 Amending Currency Details**

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

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

### **6.2.8 Authorizing Amended Currency Details**

An amended currency must be authorized for the amendment to be made effective in the system. The process of authorization is the same as the process of normal authorization.

### **6.2.9 Copying Attributes**

If you want to create a currency having the same attributes of an existing currency, you can copy the attributes of an existing currency to a new currency.

To copy the attributes:

- Retrieve the currency whose attributes the new currency should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the currency code for the new currency. You can however change the details of the currency if required.

## 6.3 Country Association with its Currency

This section contains the following topics:

- [Section 6.3.1, "Invoking the Country Currency Maintenance Detail Screen"](#)

### 6.3.1 Invoking the Country Currency Maintenance Detail Screen

The countries maintained in the system must be associated with their respective currencies. This association is used in the Fund Rules setup for a fund, where the base currency of the fund may be defaulted to the currency associated with the country of domicile of the fund.

To set up the country-currency association, use the 'Country Currency Maintenance Detail' screen. You can invoke this screen by typing 'UTDCONCU' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to maintain a new country currency association.

The screenshot shows a software window titled "Country Currency Maintenance Detail". At the top left of the window is a "Save" button. Below this, there are two input fields: "Country Code \*" and "Currency Code \*". Each field has a magnifying glass icon to its right, indicating a search or lookup function. The bottom of the window features a status bar with several fields: "Input by", "Authorized by", "DateTime", "Mod No", "Open", and "Authorized". A "Cancel" button is located in the bottom right corner of the status bar.

Before you associate a country with its currency, it is desirable to ensure that the following information is already setup in the system:

- The countries that must be associated with their currencies must be set up in the system in the Country Maintenance.
- The currencies must also be set up in the system in the Currency Maintenance.

You can specify the following fields in this screen:

#### **Country Code**

*Alphanumeric; 3 Characters; Mandatory*

Select the country that must be associated with its currency, from the list provided. A country can be associated with only one currency in the system.

#### **Currency Code**

*Alphanumeric; 3 Characters; Mandatory*

Select the currency that must be associated with the selected country.

## **6.4 Country Currency Summary Screen**

This section contains the following topics:

- [Section 6.4.1, "Amending Country Currency Association"](#)
- [Section 6.4.2, "Retrieving Country Currency Association"](#)
- [Section 6.4.3, "Editing Country Currency Association Details"](#)
- [Section 6.4.4, "Viewing Country Currency Association Details"](#)
- [Section 6.4.5, "Deleting Country Currency Association Details"](#)
- [Section 6.4.6, "Authorizing Country Currency Associations"](#)
- [Section 6.4.7, "Amending Country Currency Associations"](#)
- [Section 6.4.8, "Authorizing Amended Currency Details"](#)

### **6.4.1 Amending Country Currency Association**

After you have mapped a country to a currency, you must have another user authorize the mapping. An unauthorized mapping cannot be used in the system.

Before a country currency association is authorized, you can edit it as many times as necessary. An unauthorized country currency mapping can also be deleted.

After a country currency association is authorized, it can be changed only through an amendment, only under the following circumstances:

- The Country Currency record has not been used in a unit holder account as the domicile or preferred currency.
- The Country Currency record is not in use as a base currency for an entity, broker, agency branch or fund.
- The currency that is part of the record is not in use as a source reference currency for an exchange rate source in the system.
- There is not even a single fund bank account maintained in this currency
- There is not even a single unit holder bank account maintained in this currency.

If any of these conditions is true, the country currency association record cannot be changed through an amendment.

The 'Country Currency Maintenance Summary' screen can be used for the following operations on country currency mappings:

- Retrieval for viewing
- Editing unauthorized mappings
- Deleting unauthorized mappings
- Authorizing mappings
- Amending authorized mappings (only under the circumstances mentioned above)

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

The screenshot displays the 'Country Currency Maintenance Summary' application window. The window title is 'Country Currency Maintenance Summary'. The interface includes a search bar with options for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below the search bar, there are two dropdown menus labeled 'Authorized' and 'Open', and two text input fields labeled 'Currency Code' and 'Country Code'. A table below these fields shows columns for 'Authorized', 'Open', 'Currency Code', and 'Country Code'. The table is currently empty. At the bottom right of the window, there is an 'Exit' button.

## 6.4.2 Retrieving Country Currency Association

To retrieve a previously entered currency record:

- Invoke the Country Currency Maintenance Summary screen and specify the following :
  - The authorization status of the country currency association record in the Authorized field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the country currency association records in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
  - Currency Code
  - Country Code



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

---

**Note**

You can also retrieve an individual country currency association from the Detail screen by doing query in the following manner:-

- Press F7.
  - Input any parameter in the screen.
  - Press F8.
- 

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

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

For Example:

You can search the record for currency code by using the combination of % and alphanumeric value that is, Search by Z%: The system will fetch all the records whose currency code starts from Alphabet 'Z'. For example, ZAR.

### **6.4.3 Editing Country Currency Association Details**

You can modify the details of a country currency association that you have already entered into the system, provided it has not been authorized. You can perform this operation as follows:

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

### **6.4.4 Viewing Country Currency Association Details**

To view the country currency associations that you have previously entered:

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

- Double click the record that you want to view. The Country Currency Maintenance screen Detail is displayed in view mode.

#### **6.4.5 Deleting Country Currency Association Details**

You can delete only unauthorized records in the system. To delete a country currency record:

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

#### **6.4.6 Authorizing Country Currency Associations**

An unauthorized country currency association must be authorized in the system for it to be processed. To authorize a country currency association:

- Invoke the Country Currency Maintenance Summary screen from the Browser.
- Select the status of the country currency association that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop down list.
- Specify any or all of the search parameters for retrieving the records.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the country currency association that you wish to authorize. The Country Currency Maintenance screen is displayed. Select Authorize operation from Action.

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

#### **6.4.7 Amending Country Currency Associations**

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

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

## 6.4.8 Authorizing Amended Currency Details

An amended country currency association must be authorized for the amendment to be made effective in the system. The process of authorization is the same as the process of normal authorization.

## 6.5 Exchange Rate Sources

This section contains the following topics:

- [Section 6.5.1, "Maintaining Exchange Rate Sources"](#)
- [Section 6.5.2, "Source Mapping"](#)

### 6.5.1 Maintaining Exchange Rate Sources

All sources that will be used to derive prevailing exchange rates between any two currencies must be identified in the system, with a unique identification and a profile. You can maintain these sources through the 'Source Currency Pair Maintenance Detail' screen. You can invoke this screen by typing 'UTDSORCE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The profile for each source will consist of the following details:

- The unique ID and the name of the source
- The reference currency associated with this source, against which exchange rates for all other currencies will be derived.
- The default fluctuation percentage that is admissible for this source. Exchange Rates derived from this source can be overridden only within this percentage range.
- Units of quotation for the source reference currency, which will be used for the direct rates.
- The pair currencies for which the exchange rates will be captured against the reference currency. This setup can be maintained in the Pair Currencies section of the Source Maintenance screen and is discussed later on in this chapter.

Pair Currency	Quotation Mode	Fluctuation Allowed	Quotation Units	Currency Disabled?
	Direct			No

Before you maintain an exchange rate source in this screen, it is desirable to ensure that the currencies must be set up in the system in the Currency Maintenance.

### **Source Information Section**

#### **Source ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify a unique identification for the Source that is to be maintained.

#### **Source Name**

*Alphanumeric; 60 Characters; Mandatory*

Specify the name of the Source that is to be maintained.

### **Source Reference Currency Details**

#### **Source Reference Currency**

*Alphanumeric; 3 Characters; Mandatory*

Select the currency that is to be designated as the reference currency for this source. This is the currency in which the rates are to be maintained for the other currencies.

An In Currency can be designated as the Reference Currency for a Source only if the validity period (transition period) for the currency has not commenced. At that point when the validity period commences, exchange rates can no longer be captured for this Source. The Reference Currency is defaulted once you select the Source.

#### **Default Fluctuation Allowed (%)**

*Numeric; 5 Characters; Mandatory*

Specify the default percentage by which the exchange rates can be overridden or within which they can be allowed to fluctuate.

#### **Quotation Units for Reference Currency**

*Alphanumeric; 27 Characters; Mandatory*

Specify the units of quotation that must be used for direct rates for the reference currency.

### **Pair Currency Details Section**

Before you set up the pair currencies for a source, it is desirable to ensure that the following information is already setup in the system:

- The source for which the currency pair setup must be maintained has already been set up in the Source Maintenance.
- The currencies have already been maintained in the Currency Maintenance

#### **Pair Currency**

*Alphanumeric; 3 Characters; Mandatory*

Select the currency that must be set up as a pair currency for the source, from the drop-down list.

An In Currency can be designated as a Pair Currency for a particular reference currency only if the validity period (transition period) for the currency has not commenced. At that point when the validity period commences, no exchange rates can be maintained for this currency. The Pair Currency is already set up for the source; you have to only select the pair currency for which exchange rate needs to be maintained

### Quotation Mode

#### *Mandatory*

Select the mode of quotation that will be used to derive the exchange rate for this currency pair from the drop-down list. It could be a direct or an indirect quote.

### Fluctuation Allowed

#### *Numeric; 5 Characters; Mandatory*

Specify the default percentage by which the exchange rates can be overridden or within which they can be allowed to fluctuate for this currency pair. This is defaulted to the value specified in the Source Maintenance record for this source, but it can be altered at this stage.

### Quotation Units

#### *Numeric; 5 Characters; Mandatory*

Specify the units of quotation that must be used in direct rates for this currency pair. This is defaulted to the units specified in the Source Maintenance record for this source. If the mode of quotation specified for the pair is direct, then the default value cannot be altered. If the mode is indirect, then the default value may be altered.

### Currency Disabled?

#### *Mandatory*

Select 'Yes' option if currency is disabled from the drop-down list. Else select 'No'.

## 6.5.2 Source Mapping

It displays the lists of FMG and Agency branch modules mapped to the Exchange Rate source.

Click Source Mapping to view the mapped FMG and AGY Modules.

Source Currency Pair Maintenance Detail

Source Mapping

Source ID  Source Name

**FMG Modules Mapped**

1 of 1 Go

<input type="checkbox"/>	Installation ID	Module ID
--------------------------	-----------------	-----------

**AGY Modules Mapped**

1 of 1 Go

<input type="checkbox"/>	AGY Module ID	Agent Code	Branch Code
--------------------------	---------------	------------	-------------

Cancel

You can view the following details:

### **Source Mapping**

#### *Display*

- Source ID
- Source Name

### **Source ID**

#### *Display*

The system displays the specified Source ID.

### **Source Name**

#### *Display*

The system displays the specified source Name.

### **FMG Module Mapped**

The system displays the mapped FMG Module with following fields.

- Installation ID
- Module ID

### **Installation ID**

#### *Display*

The system displays the Installation ID.

### **Module ID**

#### *Display*

The system displays the Module ID.

### **AGY Module Mapped**

The system displays the mapped AGY Module with following fields.

- AGY Module ID
- Agent Code
- Branch Code

### **AGY Module ID**

#### *Display*

The system displays the AGY Module ID.

### **Agent Code**

#### *Display*

The system displays the agent code.

### **Branch Code**

#### *Display*

The system displays the branch code.

## **6.6 Source Currency Pair Maintenance Screen**

This section contains the following topics:

- [Section 6.6.1, "Making Changes to Sources or Currency Pairs for Source"](#)
- [Section 6.6.2, "Retrieving Source Currency Pair Record"](#)

- [Section 6.6.3, "Editing Source Currency Pair Details"](#)
- [Section 6.6.5, "Deleting Source Currency Pair Details"](#)
- [Section 6.6.6, "Authorizing Source Currency Pair Details"](#)
- [Section 6.6.7, "Amending Source Currency Pair Associations"](#)
- [Section 6.6.8, "Authorizing Amended Source Currency Pair Details"](#)
- [Section 6.6.9, "Copying Attributes of Source Currency Pairs"](#)

### **6.6.1 Making Changes to Sources or Currency Pairs for Source**

After you have set up an exchange rate source, you must have another user authorize it so that it would be effective in the system. Exchange rates for an unauthorized source will not be used in the system.

Before the exchange rate source with its associated pair currencies is authorized, you can edit its details as many times as necessary. You can also delete it before it is authorized.

After authorization, you can only make changes to any of the details of the source and currency pairs through an amendment, except in the following circumstances:

- It has been specified as the default source for the AMC in the Defaults Maintenance.
- Exchange Rates have been captured for the source
- The currency combination selected for amendment is in use as a fund base currency - transaction currency combination for any one fund in the system.
- The currency combination selected for deletion is being used to arrive at a derived rate between two currencies that do not form part of a currency pair for a source.

The 'Source Currency Pair Maintenance Summary' screen can be used for the following operations on exchange rate sources:

- Retrieval for viewing
- Editing unauthorized sources and currency pairs
- Deleting unauthorized sources and currency pairs
- Authorizing sources and currency pairs
- Amending authorized sources and currency pairs, if amendment is possible

You can invoke the 'Source Currency Pair Maintenance Summary' screen by typing 'UTSSORCE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

## 6.6.2 Retrieving Source Currency Pair Record

To perform any operation on a source and currency pair:

- Invoke the Source Currency Pair Maintenance Summary screen and specify the following:
  - The authorization status of the source currency pair record in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the source currency pair records in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - Source ID
  - Source Name
  - Source Reference Currency
  - Quotation Units for Reference Currency
- Click 'Search' button after you have specified the required details. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

### Note

You can also retrieve an individual source currency pair from the Detail screen by doing query in the following manner:

- Press F7



- Input any parameter in the screen
  - Press F8
- 

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

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

Example

You can search the record for Source ID by using the combination of % and alphanumeric value that is, Search by R%: The system will fetch all the records whose Source ID starts from Alphabet 'R'. For example, Reuters

### **6.6.3 Editing Source Currency Pair Details**

You can modify the details of a source currency pair that you have already entered into the system, provided it has not been authorized. You can perform this operation as follows:

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

### **6.6.4 Viewing Source Currency Pair Details**

To view the source currency pair details that you have previously entered:

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

### **6.6.5 Deleting Source Currency Pair Details**

You can delete only unauthorized records in the system. To delete a source currency pair record:

- Invoke the Source Currency Maintenance Summary screen from the Browser.

- Select the status of the source currency pair record that you want to retrieve for deletion.
- Specify any or all of the search parameters for retrieving the records.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the source currency pair that you want to delete. The Source Currency Pair Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **6.6.6 Authorizing Source Currency Pair Details**

An unauthorized source currency pair association must be authorized in the system for it to be processed. To authorize a source currency pair:

- Invoke the Source Currency Pair Maintenance Summary screen from the Browser.
- Select the status of the source currency pair records that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop down list.
- Specify any or all of the search parameters for retrieving the records.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the source currency pair association that you wish to authorize. The Source Currency Pair Maintenance screen is displayed. Select Authorize operation from Action.

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

### **6.6.7 Amending Source Currency Pair Associations**

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

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

### **6.6.8 Authorizing Amended Source Currency Pair Details**

An amended source currency pair must be authorized for the amendment to be made effective in the system. The process of authorization is the same as the process of normal authorization.

## 6.6.9 Copying Attributes of Source Currency Pairs

If you want to maintain a source currency pair having the same attributes of an existing source currency pair rate, you can copy the attributes of an existing source currency pair to a new source currency pair.

To copy the attributes:

- Retrieve the source currency pair record whose attributes the new currency pair should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the new Source ID. You can however change the details if required.

## 6.7 Exchange Rates

This section contains the following topics:

- [Section 6.7.1, "Capturing Exchange Rates"](#)

### 6.7.1 Capturing Exchange Rates

Exchange rates must be captured manually in the system. To enter exchange rates, use the 'Exchange Rate Maintenance Detail' screen. You can invoke this screen by typing 'UTDEXCRM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the exchange rate details.

You can enter exchange rates for each currency pair that is maintained for an exchange rate source maintained in the system. Exchange rates can be entered as many times during the course of a working business day, and are effective as and when they are entered. No authorization is necessary. You can enter a buy rate and sell rate for each currency pair that is maintained for a source.

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

Before you capture an exchange rate for a currency pair in a source, it is desirable to ensure that the following information is already setup in the system:

- The different exchange rate sources must be set up in the system in the Source Maintenance.
- The different currency pairs must be set up for the exchange rate sources, in the Currency Pair Setup maintenance.

You can specify the following fields in this screen:

### **Source ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the Source ID of the source for which the exchange rates are being entered.

When the selected Source ID is populated in this field, the following fields are populated with the corresponding details of the Source, from the Source Maintenance record for the source:

- The Source Name
- The Source Reference Currency
- The different Pair Currencies that have been maintained for the source
- The Modes of Quotation specified for each currency pair that has been maintained for the source.
- The Units of Quotation for the reference currency that have been maintained for each currency pair.

### **Source Name**

*Display*

The system displays the source name for the selected source ID.

### **Pair Currency**

*Alphanumeric; 3 Characters; Mandatory*

Select the currency that must be set up as a pair currency for the source.

### **Mode of Quotation**

*Display*

The system displays the mode of quotation that will be used to derive the exchange rate for this currency pair. It could be a direct or an indirect quote.

### **Units of Quotation**

*Display*

The system displays the units of quotation that must be used in direct rates for this currency pair. This is defaulted to the units specified in the Source Maintenance record for this source.

### **Currency Name**

*Display*

The system displays currency name here.

### **FX Deal Date**

*Date Format; Mandatory*

Specify the deal date for the currency pair. This date cannot be earlier or later than the application date.

### **FX Value Date**

*Date Format, Mandatory*

Specify the date on which the exchange rates must be effective. This date cannot be lesser than the date specified as the 'FX Deal Date', Additionally, you can enter a future date as the 'FX Value Date' only if you have set the 'Exchange Rate for Report' as 'No'.

The exchange rates may be captured any number of times during a business day. Each exchange rate is given a serial number in the system, and the entry bearing the latest number is deemed to be the latest rate that will be effective.

---

**Note**

The system will allow input in the 'FX Deal Date' and 'FX Value Date' fields only if the client country parameter 'FORWARD\_FX\_RATE' is set to true. If this parameter is set to false, then the system will allow only the application date as valid values in both these fields.

---

**Reference Currency***Display*

The system displays the currency that is to be designated as the reference currency for this source. This is the currency in which the rates are to be maintained for the other currencies.

**Buy Rate**

*Numeric; 21 Characters; Mandatory*

Specify the buy rate for the pair currency.

**Sell Rate**

*Numeric; 21 Characters; Mandatory*

Specify the sell rate for the pair currency. This rate must always be greater than zero and greater than the buy rate.

**Exchange Rate for Report**

*Optional*

You can indicate whether multiple exchange rates for a date in the past are allowed. The system will use only those exchange rates where this option is not checked for calculation purposes in various batch processes of FCIS.

## 6.8 Exchange Rate Maintenance Summary Screen

This section contains the following topics:

- [Section 6.8.1, "Making Changes to Exchange Rates"](#)
- [Section 6.8.2, "Retrieving Exchange Rate Record"](#)
- [Section 6.8.3, "Editing Currency Details"](#)
- [Section 6.8.4, "Viewing Exchange Rate Details"](#)
- [Section 6.8.5, "Deleting Exchange Rate Details"](#)
- [Section 6.8.6, "Authorizing Exchange Rate Records"](#)
- [Section 6.8.7, "Copying Attributes of Exchange Rates"](#)

### 6.8.1 Making Changes to Exchange Rates

After you have entered an exchange rate, you must have another user authorize it so that it would be effective in the system. An unauthorized exchange rate will not be picked up for processing in the system.

Editing is possible only on the latest exchange rate entered. Deletion of an exchange rate that has not been used in the system is possible.

After authorization, you can only make changes to any of the details through an amendment, except in the following circumstances:

The most recent exchange rate (or the latest rate) that has been entered and authorized can be amended, but if this rate has already been used in processing, then amendment is not possible.

The 'Exchange Rate Maintenance Summary' screen can be used for the following operations on currencies:

- Retrieval for viewing
- Editing unauthorized exchange rates
- Deleting unauthorized exchange rates
- Authorizing exchange rates

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

Exchange Rate Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Open

Source ID  FX Value Date

Exchange Rate for Report  FX Deal Date

Serial Number  Pair Currency

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Open	Status	Source ID	FX Value Date	Exchange Rate for Report	FX Deal Date	Serial Number	Pair Currency
----------------------	------	--------	-----------	---------------	--------------------------	--------------	---------------	---------------

Authorize | Delete

Exit

## 6.8.2 Retrieving Exchange Rate Record

To retrieve a previously entered exchange rate record:

- Invoke the Exchange Rate Maintenance Summary screen and specify the following :
  - The authorization status of the exchange rate record in the Authorization Status field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the exchange rate records in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
  - Source ID
  - Exchange Rate for Report
  - Serial Number
  - FX Value Date

- FX Deal Date
- Pair Currency
- After you have specified the required details, click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve an individual exchange rate detail from the Detail screen by doing query in the following manner:-

- Press F7
  - Input any parameter in the screen
  - Press F8
- 

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

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

### **6.8.3 Editing Currency Details**

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

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

### **6.8.4 Viewing Exchange Rate Details**

To view the exchange rate details that you have previously entered:

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

### 6.8.5 Deleting Exchange Rate Details

You can delete only unauthorized records in the system. To delete an exchange rate record:

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

### 6.8.6 Authorizing Exchange Rate Records

An unauthorized exchange rate record must be authorized in the system for it to come into effect. To authorize an exchange rate:

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

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

### 6.8.7 Copying Attributes of Exchange Rates

If you want to maintain an exchange rate having the same attributes of an existing exchange rate, you can copy the attributes of an existing exchange rate to a new exchange rate.

To copy the attributes:

- Retrieve the exchange rate record whose attributes the new exchange rate should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the new Source ID. You can however change the details if required.

## 6.9 Currency Cutoff - Time

This section contains the following topics:

- [Section 6.9.1, "Maintaining Currency Cutoff - Time"](#)

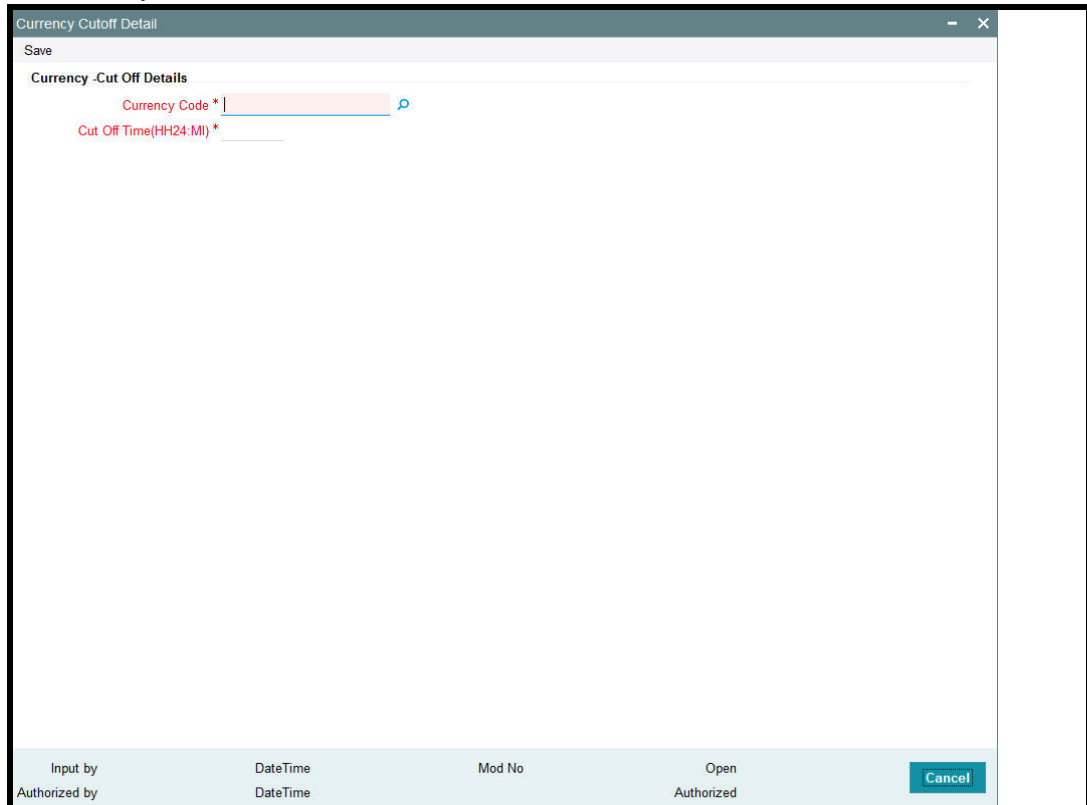


## 6.9.1 Maintaining Currency Cutoff - Time

FCIS enables you to capture cutoff - time for each currency that is maintained in the system. Transaction instructions received post cutoff – time of the currency involved in the transaction, then the transaction will be processed on the next working day.

To enter cutoff – time for currencies, use the 'Currency Cutoff Detail' screen. You can invoke this screen by typing 'UTDCURCT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to maintain the currency cutoff time.



### **Currency**

*Alphanumeric; 3 Characters; Mandatory*

Enter the currency code for which you wish to maintain the cut off time.

### **Cut Off Time**

*Alphanumeric; 5 Characters; Mandatory*

Enter the cutoff – time for the chosen currency. Cutoff – time should be within 00:00 to 23:59.

Click 'Ok' button to store the record in the database. While saving, system checks for any duplicate records. If the record is being modified by any other user at the time of saving, then system throws up an error.

## 6.10 Currency Cutoff Summary Screen

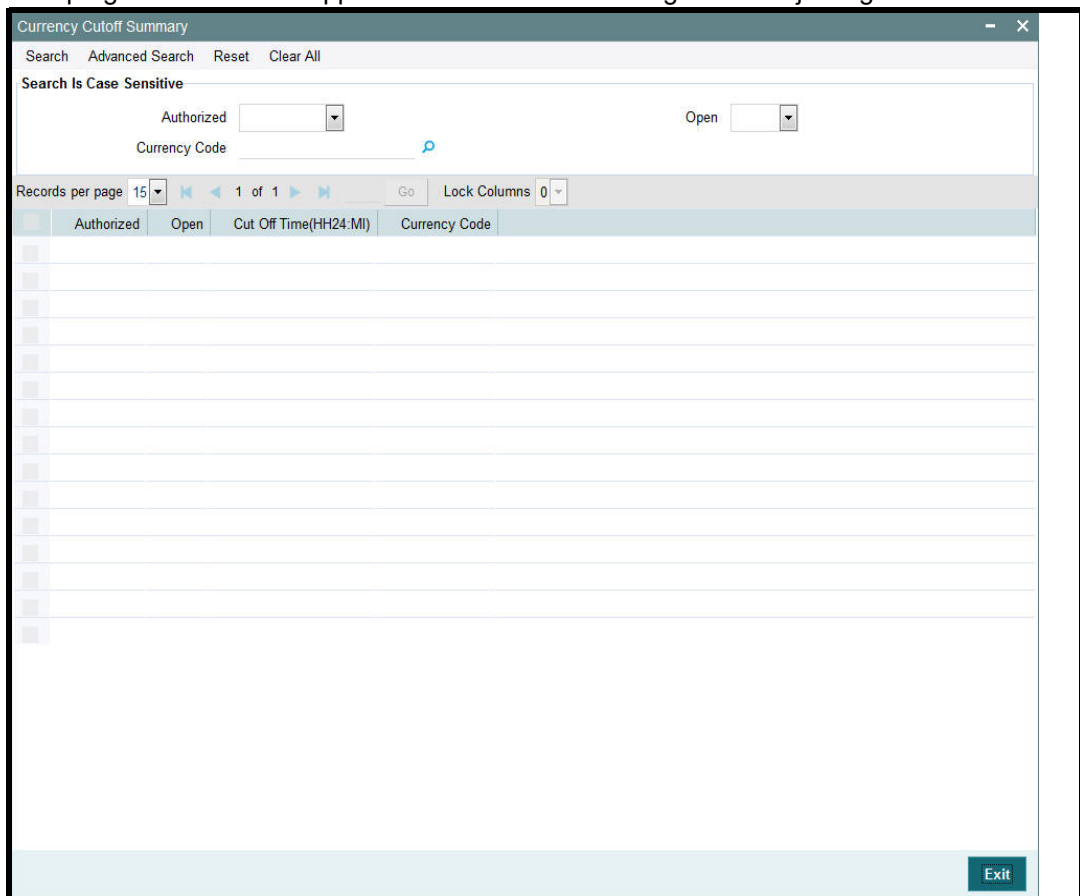
This section contains the following topics:

- [Section 6.10.1, "Invoking the Currency Cutoff Summary Screen"](#)

- Section 6.10.2, "Making Changes to Currency Cutoff - Time "
- Section 6.10.3, "Retrieving Currency Cutoff Records"
- Section 6.10.4, "Editing Currency Cutoff Time"
- Section 6.10.5, "Viewing Currency Cutoff Times"
- Section 6.10.6, "Deleting Currency Cutoff Time Record"
- Section 6.10.7, "Authorizing Currency Cutoff Records"
- Section 6.10.8, "Amending Currency Cutoff Times"
- Section 6.10.9, "Authorizing Amended Currency Cutoff Time Details"
- Section 6.10.10, "Copying Attributes of Cutoff Time "

### 6.10.1 Invoking the Currency Cutoff Summary Screen

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



Before you associate a country with its currency, it is desirable to ensure that the currencies must be set up in the system in the Currency Maintenance.

### 6.10.2 Making Changes to Currency Cutoff - Time

After you have set up the cutoff – time for a currency, you must have another user authorize it so that it would be effective in the system. Cutoff - time for an unauthorized record will not be used in the system

The Currency Cutoff – Time Summary screen can be used for the following operations on Currency Cutoff – Time:

- Retrieval for viewing
- Editing unauthorized records
- Deleting unauthorized records
- Authorizing cutoff-time for a currency
- Amending authorized records

### **6.10.3 Retrieving Currency Cutoff Records**

To retrieve previously maintained records of currency cut off times:

- Invoke the Exchange Rate Summary screen and specify the following :
  - The authorization status of the currency cutoff time records in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the currency cutoff time records in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - Currency Code
- After you have specified the required details, click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### **Note**

You can also retrieve an individual currency cutoff record from the Detail screen by doing query in the following manner:-

- Press F7
  - Input any parameter in the screen
  - Press F8
- 

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

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

You can search the record for Currency Code by using the combination of % and alphanumeric value. Search by Z%:- System will fetch all the records whose Currency Code starts from Alphabet ‘Z’. For example, ZAR

### **6.10.4 Editing Currency Cutoff Time**

You can modify the cutoff time for a currency that you have already entered into the system, provided it has not been authorized. You can perform this operation as follows:

- Invoke the Currency Cutoff Summary screen from the Browser.
- Select the authorization status of the currency cutoff records that you want to retrieve for modification in the Authorization Status field. You can only modify the currency cutoff that is unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- Specify any or all of the search parameters for retrieving the records.
- Click ‘Search’ button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The Currency Cutoff Detail screen is displayed.

- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The Currency Cutoff Detail screen is closed and the changes made are reflected in the Currency Cutoff Summary screen.

### **6.10.5 Viewing Currency Cutoff Times**

To view the currency cutoff times that you have previously entered:

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

### **6.10.6 Deleting Currency Cutoff Time Record**

You can delete only unauthorized records in the system. To delete a currency cutoff time record:

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

### **6.10.7 Authorizing Currency Cutoff Records**

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

- Invoke the Currency Cutoff Summary screen from the Browser.
- Select the status of the currency cutoff records that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop down list.
- Specify any or all of the search parameters for retrieving the records.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the currency cutoff record that you wish to authorize. The Currency Cutoff Detail screen is displayed. Select Authorize operation from Action.

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

### **6.10.8 Amending Currency Cutoff Times**

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

1. Invoke the Currency Cutoff Summary screen from the Browser.
2. Select the status of the currency cutoff record that you wish to retrieve for amendment. You can only amend records of associations that are authorized.
3. Specify any or all of the search parameters for retrieving the records.
4. Click 'Search' button. All the records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the currency cutoff record that you want to amend. The Currency Cutoff Detail screen is displayed in Amendment mode.
6. Click the Unlock operation from the Action list to amend the association.
7. Amend the necessary information. Click the Save button to save the changes.

### **6.10.9 Authorizing Amended Currency Cutoff Time Details**

An amended cutoff time for a currency must be authorized for the amendment to be made effective in the system. The process of authorization is the same as the process of normal authorization.

### **6.10.10 Copying Attributes of Cutoff Time**

If you want to maintain the same cut off time for another, you can copy the cut off time of an existing currency to a new currency.

To copy the attributes:

- Retrieve the currency whose cutoff time the new currency should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the new currency code. You can however change the cutoff time for the new record if required.

## 7. Foreign Account Tax Compliance Act (FATCA)

FATCA is the acronym for Foreign Account Tax Compliance Act enacted by the US Government as part of the Hiring Incentives to Restore Employment (HIRE) Act, in 2010. The purpose of FATCA is to help Internal Revenue Service (IRS) to identify and collect tax from US Persons (USP) holding financial assets outside US.

This chapter deals with Foreign Account Tax Compliance regulation. It includes the description about functions that would help FCIS to support FATCA.

This chapter contains the following sections:

- [Section 7.1, "System Parameters"](#)
- [Section 7.2, "Entity FATCA Classification"](#)
- [Section 7.3, "Entity FATCA Classification Maintenance"](#)

### 7.1 System Parameters

The below mentioned table describe the system parameters for the related fields:

Field	System Parameter	Maximum Length
FATCA Classification –Individual	FATCACATIND	10
FATCA Classification –Corporate	FATCACATCOR	10
FATCA Classification Reasons	FATCACATREASON	10
FATCA Effective Date	FATCAEFFDATE	10
FATCA Individual UH Reporting	FATCAINDUHLIMIT	10
FATCA Corporate UH Reporting	FATCACORPUHLIMIT	10
FATCA Verification Time Limit in days	FATCAVERTMLIMIT	4
FATCA Due Diligence Date	FATCADUEDELIGENCEDATE	10
FATCA Country Code	FATCACNTRYCD	3
FATCA Amount Limit	FATCAAMOUNTLIMIT	10
FATCA WHT Applicable	FATCAWHTAPPLICABLE	3
FATCA WHT Effective Date	FATCAWHTEFFDT	10
FATCA WHT Percentage	FATCAWHTPERCENTAGE	3
Document for individuals	MASTERDOCIND	Max
Document for corporate	MASTERDOCCORP	Max
Category of the documents	MASTERDOCCAT	3,2
Max % of holding for Corporate UH for the defined directors	FATCAMINPCNTHLDG	Max

Field	System Parameter	Maximum Length
The international dialling country code	INTDIALCODE	

## 7.2 Entity FATCA Classification

This section contains the following topics:

- [Section 7.2.1, "Maintaining Entity FATCA Classification"](#)

### 7.2.1 Maintaining Entity FATCA Classification

You can maintain FATCA Classification and record document details in the 'Entity FATCA Classification Maintenance Detail' screen. To invoke this screen type 'UTDFATMT' in the field at the top right corner of the Application tool bar and click on the adjoining arrow button.

You can capture the following details in this screen:

#### **Reference Number**

*Display*

The system displays the reference number.

#### **FATCA Entity Type**

*Alphanumeric; 2 Characters; Mandatory*

Select the FATCA entity type from the adjoining option list. The options available are:

- Unit Holder
- Broker
- Single Entity
- Nominee

### **FATCA Entity Type Description**

#### *Display*

The system displays the description for the selected FATCA entity type.

### **Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

Select the Entity identification from the adjoining option list.

You can also query for entity ID by clicking 'Find UH' button.

### **Entity Name**

#### *Display*

The system defaults the entity name from the entity record.

### **Entity Category Type**

#### *Display*

The system displays the entity category type.

### **FATCA Classification**

*Alphanumeric; 25 Characters; Mandatory*

Select the FATCA Classification from the adjoining option list.

### **Description**

#### *Display*

The system displays the description for the selected FATCA classification.

### **FATCA Classification Reason**

*Alphanumeric; 25 Characters; Mandatory*

Select the reason for FATCA classification from the adjoining option list.

### **Description**

#### *Display*

The system displays the description for the selected FATCA classification reason.

### **FATCA Reportable**

#### *Optional*

Select the FATCA Reportable status for the entity selected from the drop-down list. The list displays the following values:

- Yes
- No

### **FATCA With holdable**

#### *Optional*

Select the FATCA with holdable status for the entity selected from the drop-down list. The list displays the following values:

- Yes
- No



## **FATCA Documents**

### **Document Category**

*Alphanumeric; 25 Characters; Mandatory*

Select the document category from the adjoining option list.

### **Document Category Description**

*Display*

The system displays the description for the selected document category.

### **Document Type**

*Alphanumeric; 25 Characters; Mandatory*

Select the type of the document from the adjoining option list.

### **Document Type Description**

*Display*

The system displays the description for the selected document type.

### **Mandatory**

*Optional*

You need to indicate whether the document is mandatory or optional. The drop-down list displays the following options:

- Standard - This indicates that the document is mandatory
- Additional - This indicates that the document is optional

Select the appropriate option.

### **Document ID**

*Alphanumeric; 25 Characters; Optional*

Specify the document identification.

### **Issue Date**

*Date Format; Mandatory*

Specify the issue date of the received document.

### **Expiry Date**

*Date Format; Optional*

Specify the expiry date of the received document.

### **Copy Received**

*Mandatory*

Check this box to indicate that the copy is received.

### **Original Received**

*Mandatory*

Check this box to indicate that the original is received.

### **Received Date**

*Date Format; Optional*

Specify the document received date.

**Document Reference Number**

*Alphanumeric; Optional*

Specify the document tracking reference number.

**Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

**Chasing Date**

*Date Format; Optional*

Specify the document chasing date.

**Document Reference Number**

*Alphanumeric; 255 Characters; Optional*

Specify the document reference number

**Document Serial Number**

*Display*

The system displays the document serial number.

**Document Upload**

Click this button to upload or view the documents.

**FATCA Status****FATCA Compliant**

*Display*

The system displays whether you are FATCA compliant.

**Description**

*Display*

The system displays the description for the FATACA compliant.

**Reason**

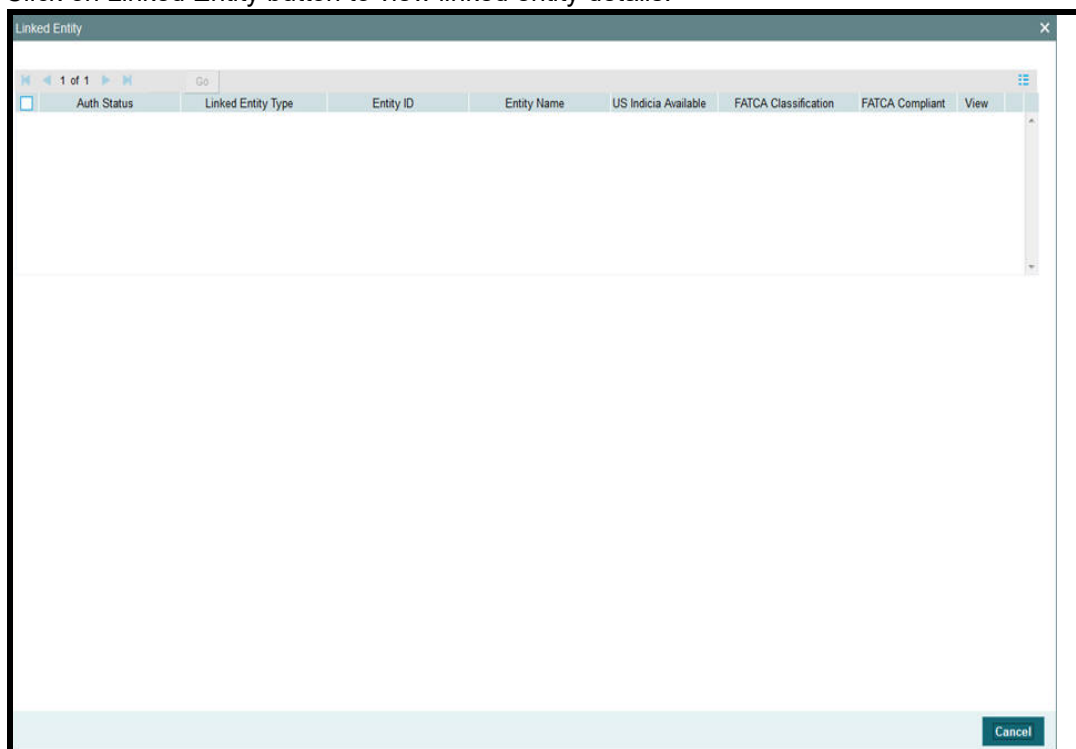
*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

Click 'View' button. The 'Single Entity Maintenance Detail' screen is displayed. You can maintain the details of single entity in this screen.

## Linked Entity Button

Click on Linked Entity button to view linked entity details.



The system displays the following values:

- Auth Status
- Linked Entity Type
- Entity ID
- Entity Name
- US Indicia Available
- FATCA Classification
- FATCA Compliant

### **View**

Click on 'View' to view the details of FATCA Maintenance of a linked entity.

---

### **Note**

During UT Transaction capture for US Indicia Available Funds, if the FATCA Status of the unit holder or linked entity of a unit holder is:

- Pending, then the system displays a warning message as 'Maintain FATCA Classification for UH/Linked entity'.
- Recalcitrant, then the system displays warning message as 'Unit Holder or Linked entities mapped to the Unit Holder is FATCA is recalcitrant'.

During LEP Transaction capture for US Indicia Available Funds, if the FATCA Status of the unit holder or linked entity of a unit holder is:

- Pending, then the system displays a warning message as 'Maintain FATCA Classification for UH/Linked entity'.

- Recalcitrant, then the system displays warning message as ‘Unit Holder or Linked entities mapped to the Unit Holder is FATCA is recalcitrant’.

If the US Indicia is available for one of the customer during the CIF merge, then the customer account to which this account is being merged will also be US Indicia.

## 7.3 Entity FATCA Classification Maintenance

This section contains the following topics:

- [Section 7.3.1, "Viewing Entity FATCA Classification Maintenance"](#)
- [Section 7.3.2, "Deleting Entity FATCA Classification Maintenance Details"](#)
- [Section 7.3.3, "Modifying FATCA Maintenance Details"](#)
- [Section 7.3.4, "Authorizing FATCA Maintenance Details"](#)

### 7.3.1 Viewing Entity FATCA Classification Maintenance

You can view, modify, delete and authorize Entity FATCA Classification Maintenance details in the ‘Entity FATCA Classification Maintenance Summary’ screen. You can invoke this screen by typing ‘UTSFATMT’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Entity FATCA Classification Maintenance Summary' application window. At the top, there are search options: 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, a section titled 'Search Is Case Sensitive' contains several filters: 'Authorization Status' (dropdown), 'Reference Number' (text input with a magnifying glass icon), 'Entity ID' (text input with a magnifying glass icon), 'FATCA Compliant' (checkbox), 'Open' (dropdown), 'FATCA Entity Type' (text input with a magnifying glass icon), and 'Entity Category Type' (text input with a magnifying glass icon). Below the filters is a table with the following columns: 'Authorization Status', 'Open', 'Reference Number', 'FATCA Entity Type', 'Entity ID', 'Entity Name', 'Entity Category Type', and 'FATCA Classification'. The table is currently empty. At the bottom of the table area, there is a 'Records per page' dropdown set to '15', navigation arrows, and a 'Go' button. To the right of the table area, there is a 'Lock Columns' dropdown set to '0'. At the bottom right corner of the application window, there is an 'Exit' button.

You can perform the following actions using this screen

You can view previously entered details of Entity FATCA Classification Maintenance Detail in the ‘Entity FATCA Classification Maintenance Summary’ screen, as follows:

- Specify any or all of the following details in the 'Entity FATCA Classification Maintenance Summary' screen:
  - The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records that involve the specified Entity FATCA Classification Maintenance Detail are retrieved.
  - The status of the record in the Open field. If you choose the 'Blank Space' option, then all the records that involve the specified Entity FATCA Classification Maintenance Detail are retrieved.
  - Reference Number
  - Entity ID
  - FATCA Compliant
  - FATCA Entity Type
  - Entity Category Type

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

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

### **7.3.2 Deleting Entity FATCA Classification Maintenance Details**

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

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

### **7.3.3 Modifying FATCA Maintenance Details**

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

- Invoke the 'Entity FATCA Classification Maintenance Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for modification.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The 'Entity FATCA Classification Maintenance Detail' screen is displayed.
- Select Edit operation from the Action list and modify the details. After modifying the details, click Save to save the modifications.

### **7.3.4 Authorizing FATCA Maintenance Details**

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

- Invoke the 'Entity FATCA Classification Maintenance Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for authorization.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to authorize. The 'Entity FATCA Classification Maintenance Detail' screen is displayed.
- Select authorize operation from the Action list. The system prompts you to confirm the authorization, and the record is authorized.

## 7.4 FATCA WHT Repayment

This section contains the following topics:

- [Section 7.4.1, "Invoking FATCA WHT Repayment Screen"](#)

### 7.4.1 Invoking FATCA WHT Repayment Screen

You can maintain FATCA with holding tax repayment using 'FATCA WHT Repayment' screen. You can invoke this screen by typing 'UTDFATRP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

#### **Entity Type**

*Alphanumeric; 1 Character; Optional*

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

#### **Entity ID**

*Alphanumeric; 12 Characters; Optional*

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

**Submit For**

*Optional*

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

- Process
- Execute

---

## 8. Setting up Loads

This chapter contains the following sections:

- [Section 8.1, "Loads"](#)
- [Section 8.2, "Load Maintenance Screen"](#)
- [Section 8.3, "Load Maintenance Summary Screen"](#)
- [Section 8.4, "Load Mapping"](#)
- [Section 8.5, "Across Schemas Load Mapping Summary"](#)
- [Section 8.6, "Exchange Rate Source Mapping for Different Schemas"](#)
- [Section 8.7, "Exchange Rate Source Mapping Summary"](#)
- [Section 8.8, "Trailing Fees"](#)
- [Section 8.9, "Payment Groups"](#)
- [Section 8.10, "Payment Group Maintenance Summary"](#)
- [Section 8.11, "Periodic Load Screen"](#)
- [Section 8.12, "Periodic Load Maintenance \(Summary\) Screen"](#)
- [Section 8.13, "Computation of Trailing Fees"](#)
- [Section 8.14, "Methodologies of Trailer Commission Computation"](#)
- [Section 8.15, "Trailer Commission Processing"](#)
- [Section 8.16, "Processing Payment of Trailer Commission"](#)
- [Section 8.17, "Target Based Fee"](#)
- [Section 8.18, "Target Based Fee Summary Screen"](#)
- [Section 8.19, "Entity Commission"](#)
- [Section 8.21, "Campaign Maintenance"](#)
- [Section 8.22, "Campaign Summary Screen"](#)
- [Section 8.23, "Campaign Group Maintenance"](#)
- [Section 8.24, "Campaign Group Summary"](#)
- [Section 8.25, "Campaign Counter Updation"](#)
- [Section 8.26, "Campaign Counter Updation Summary"](#)
- [Section 8.27, "Admin Tax Maintenance"](#)
- [Section 8.28, "Admin Tax Maintenance Summary"](#)

### 8.1 Loads

This section contains the following topics:

- [Section 8.1.1, "Types of Loads"](#)
- [Section 8.1.2, "Parameters that form Basis for Applying Load"](#)
- [Section 8.1.3, "Setting up Loads in System"](#)

#### 8.1.1 Types of Loads

When an investor transacts in an AMC, the AMC may charge the investor a certain fee for any or all of the transactions requested. On the other hand, the AMC may give the investor an incentive for reasons of continued loyalty, or for initial investment. These fees or incentives are identified as loads.



A load involves payment by one entity to another. Any entity that makes the payment is known as the “From” entity, and any entity that receives such payment is known as the “To” entity. Accordingly, there are two basic types of loads, from which all other loads derive:

- Fees: Any payment for transaction charges that investors make to the AMC are fees.
- Incentives: An AMC sometimes makes a special preference in terms of charges for initial investors and for those investors that have transacted with the AMC over a considerable period of time. These preferences are known as incentives.

For instance, an AMC may stipulate that for the first 10 investors that invest in a newly floated fund, a differential favourable price would be applied. This is an incentive.

The recipient (or the “To” entity) of an incentive could be a unit holder, a broker or another entity.

A broker may also be required to pay a fee to the AMC for services rendered, such as commission processing and payment, reinvestment processing and so on. If the unit holder is not any of the involved parties then that load is a commission. (that is, the “From” or “To” entities are not unit holders).

### 8.1.2 Parameters that form Basis for Applying Load

Fees, incentives and commissions may be based on many different parameters, or combinations of these parameters, depending upon the requirements of the AMC.

While transacting, the AMC may attach loads to any transaction, be it a fee, incentive or a commission, which may be computed and applied on the basis of any of the following parameters:

#### **Date**

For instance, for any transaction request that is accepted on a certain date or a certain period bounded by any two dates, an incentive may be applied on the amount of the transaction, as follows:

Consider a slab as follows:

Slab	From Date	To Date	Return Value
0-10000	15-10-2000	15-12-2000	5%

Here the slab value may be reckoned as an amount or a number of units.

This means that for all transactions requested after 15-10-2000 and before 15-12-2000, for a volume that lies within the slab, the percentage of the load (incentive) applied is 5%. In such a case, for a transaction coming in on 15-10-2000, if the transaction amount is 5000 Rand, then the investor would be given an incentive amounting to an additional 250 Rand (5/100 \* 5000) worth of units in the fund.

In the same case, if the load were a fee, then the investor would be given only 4750 Rand {5000 - (5/100 \* 5000)} worth of units in the fund.

Generally, this is an early bird incentive in case of an IPO or subscription transaction period.

A load can also be applied based on a certain number of days, months or years that the unit holder remains in the fund. For instance,

Load	Period	Return Value
L45	45 Days	5%
L4M	4 Months	4%
L1Y	1 Year	3%

Let us suppose that a certain unit holder has entered into transactions with the AMC in the following manner:

Transaction Reference Number	Transaction Type	Transaction Amount	Transaction Date
T1	Subscription	1000	3-1-2001
T2	Subscription	2000	3-4-2001
T3	Redemption	3000	3-7-2001

For the redemption transaction on 3-7-2001, the load based on period is explained below. The load for this transaction is based on the period that has elapsed between the original subscription transaction and the redemption transaction through which the units resulting from the original transaction are redeemed.

---

**Note**

The three loads in this example are to be reckoned as separate loads. A single load cannot have slabs based on all three parameters - days, months and years.

---

Load applied based on the subscription transaction T1:

The number of days between the transaction T1 and T3 = Difference in days between 3-7-2001 and 3-1-2001 = 180 days. This period falls in the slab for load L1Y, above, and the load applied will be 3% of the transaction amount:

$$\text{Load} = 3/100 * 3000 = 90$$

Load applied based on the subscription transaction T2:

The number of days between the transaction T2 and T3 = Difference in days between 3-7-2001 and 3-4-2001 = 90 days. This period falls in the slab for load L4M, above, and the load applied will be 4% of the transaction amount:

$$\text{Load} = 4/100 * 3000 = 120$$

Therefore, the total load amount applied for the redemption transaction T3 is 90+120 = 210.

---

**Note**

Both the loads applied as shown in the example above are based on periods, and also on the original subscription transaction(s) that have generated the units being redeemed, in a subsequent redemption transaction. These loads have no other basis than these two

factors. Since they are based on the period for which the unit holder has continued with the fund, they are known as aging loads.

---

### **Loading based on aging policy**

In the example given above, the units value considered for the redemption transaction T3 could also be dependent on the aging policy designated for the fund. If the aging policy is designated to be FIFO (first-in, first-out), the aging would apply as follows:

Out of the 3000 units being redeemed, 1000 units would be aged to 180 days (as corresponding to the first subscription transaction T1).

Therefore, the load for the redemption of these 1000 units would be calculated as follows:

$$3/100 * 1000 = 30$$

The remaining 2000 units would be aged to 90 days (as corresponding to the first subscription transaction T2).

Therefore, the load for the redemption of these 2000 units would be calculated as follows:

$$4/100 * 2000 = 80$$

Therefore, the total loading for T3, with an ageing policy of FIFO, would be  $30+80 = 110$ .

### **Amount**

For each amount slab, the AMC could charge a fee. This would be an amount-based load.

### **Units**

Similarly, as with amount-based loads, the AMC could charge a fee for each slab of units.

### **Date and Amount**

The fee charged could also be operable within a date range, and an amount range.

### **Period and Amount**

The fee could be charged on each amount slab based on a certain number of days, months or years that the unit holder remains in the fund.

---

### **Note**

If the lower boundary is to be inclusive, then a transaction value of 1000 currency units would be reckoned as falling in the slab 002 for any of the loads. If not, as in this case, then the transaction value of 1000 currency units would be reckoned as falling in the slab 001 for any of the loads.

---

Let us suppose that a certain unit holder has entered into transactions with the AMC in the following manner:

<b>Transaction Reference Number</b>	<b>Transaction Type</b>	<b>Total Transaction Amount</b>	<b>Transaction Date</b>
T1	Subscription	1000	3-1-2001
T2	Subscription	2000	3-4-2001
T3	Redemption	3000	3-7-2001

For the redemption transaction on 3-7-2001, the load based on period and amount is explained below, assuming that the ageing policy for the fund is designated to be FIFO (first-in, first-out). The load for this transaction is based on the period that has elapsed between the original subscription transaction and the redemption transaction through which the units resulting from the original transaction are redeemed. It also takes into account the amount being redeemed.

Load applied based on the subscription transaction T1:

The number of days between the transaction T1 and T3 = Difference in days between 3-7-2001 and 3-1-2001 = 180 days. This period falls in the period slab for load L1Y, above, and the number of units falls in the units slab 001 for L1Y. The return value for the load applied will be 75 currency units.

Load applied based on the subscription transaction T2:

The number of days between the transaction T2 and T3 = Difference in days between 3-7-2001 and 3-4-2001 = 90 days. This period falls in the period slab for load L4M, above, and the number of units falls in the units slab 002 for L1Y. The return value for the load applied will be 100 currency units.

Therefore, the total load amount applied for the redemption transaction T3 is  $75+100 = 175$  currency units.

---

**Note**

Both the loads applied as shown in the example above are based on periods and amounts, and also on the original subscription transaction(s) that have generated the units being redeemed, in a subsequent redemption transaction. These loads have no other basis than these two factors. Consequently, they are known as aging loads.

---

**Date and Units**

The fee charged could also be operable within a date range, and a units range.

**Period and Units**

A load can also be applied based on a certain number of days, months or years that the unit holder remains in the fund. For instance,

Load	Period	Slab	From Units	To Units	Return Value	Lower Boundary Inclusive
L45	45 days	001	0	1000	5%	No
		002	1000	2000	4%	No
L4M	4 months	001	0	1000	4%	No
		002	1000	2000	3%	No
L1Y	1 year	001	0	1000	3%	No
		002	1000	2000	2%	No

Let us suppose that a certain unit holder has entered into transactions with the AMC in the following manner:

Transaction Reference Number	Transaction Type	Transaction Amount	Transaction Date
T1	Subscription	1000	3-1-2001
T2	Subscription	2000	3-4-2001
T3	Redemption	3000	3-7-2001

For the redemption transaction on 3-7-2001, the load based on period is explained below. The load for this transaction is based on the period that has elapsed between the original subscription transaction and the redemption transaction through which the units resulting from the original transaction are redeemed.

Load applied based on the subscription transaction T1:

The number of days between the transaction T1 and T3 = Difference in days between 3-7-2001 and 3-1-2001 = 180 days. This period falls in the slab for load L1Y, above, and the load applied will be 3% of the transaction amount:

$$\text{Load} = 3/100 * 3000 = 90$$

(Here again, if the aging policy is FIFO, only 1000 units would be aged, and the load would be  $3/100 * 1000 = 30$ )

Load applied based on the subscription transaction T2:

The number of days between the transaction T2 and T3 = Difference in days between 3-7-2001 and 3-4-2001 = 90 days. This period falls in the slab for load L4M, above, and the load applied will be 4% of the transaction amount:

$$\text{Load} = 4/100 * 3000 = 120$$

(Here again, if the aging policy is FIFO, only 2000 units would be aged, and the load would be  $4/100 * 2000 = 80$ )

Therefore, the total load amount applied for the redemption transaction T3 is  $90+120 = 210$ .

If the aging policy is FIFO, the total load amount would be  $30 + 80 = 110$ .

---

#### Note

Both the loads applied as shown in the example above are based on periods, and also on the original subscription transaction(s) that have generated the units being redeemed, in a subsequent redemption transaction. These loads have no other basis than these two factors. Since they are based on the period for which the unit holder has continued with the fund, they are known as aging loads.

---

#### Loading based on aging date

Ageing for period based loads is calculated based on the ageing date specified at the time of setting up a fund. It can be the dealing date, transaction date or the confirmation date. Period is calculated using the following formula:

*Period = Transaction/Dealing date/Price date of the redemption Link transaction date of the corresponding subscription transaction.*

Here, the link transaction date of the subscription is the date of inflow for the redemption.

### **8.1.3 Setting up Loads in System**

The Oracle FLEXCUBE Investor Servicing system provides the facility of setting up the pattern according to which you can process loads.

To configure the system to process a load, you must:

- Initiate the load in the system, with all its parameters, in the Load Maintenance (Detail) screen. You can access this screen from the Maintenance menu category of the Fund Manager component. At this time, you must also create any derived loads or basis loads, as applicable, for the load.
- Have another user authorize this load, in the Load Maintenance Find (Summary) screen. This screen may be accessed from the Maintenance menu category of the Fund Manager component. When a load is authorized, all the derived and basis loads (if any) that you have created for the load are also authorized simultaneously.
- At this point, you can edit any details for the load, including details of any derived or basis loads that you have created for the load.
- Map this load to be applied on transactions in the desired funds, in the Fund Load Setup screen. You can access this screen through the Fund Demographics screen, from the Fund Rules (Detail) option in the Maintenance menu category of the Fund Manager component.
- You can also map the load to be applicable for a group of funds defined as a load group. You can do this through the Group Load Mapping screen, accessing it through the Maintenance menu category of the Fund Manager component.
- Authorize the fund (with all its fund rules) in the Fund Rule Find (Summary) screen. You can access this screen from the Maintenance menu category of the Fund Manager component.

*Refer the chapters on Setting up Funds and Authorization, respectively, in this user manual for more information on the Fund Load Setup screen and the authorization of a fund.*

---

#### **Note**

- After you create a load in the Load Maintenance screen, you can edit the details as many times as possible, as long as the load is not authorized. During editing, you can define any new derived loads or basis loads, or edit any previously created loads.
  - After a load is authorized, you can edit the details, provided the load is not already mapped to a fund or a load group, through the Fund Load Setup or Group Load Mapping screens. If you do edit an authorized load under these constraints, your changes will be saved as unauthorized changes. These must be subsequently authorized to be reflected in the database.
  - After a load is authorized and then subsequently mapped to a fund or a load group, you cannot edit any of the load details.
- 

## **8.2 Load Maintenance Screen**

This section contains the following topics

- [Section 8.2.1, "Creating Load"](#)

- [Section 8.2.2, "Derived Button"](#)
- [Section 8.2.3, "Basis Button"](#)

### 8.2.1 Creating Load

To create a load in the system, use the 'Load Maintenance Detail' screen. You can invoke this screen by typing 'UTDLOADM'/'UTDLODM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the load details.

In this screen, you create a load as follows:

- Specify the basic parameters on the basis of which the load will be applied and computed, in the main Load Maintenance (Detail) screen. These include the following mandatory information:
- A unique identifier for the load, in the Load ID field.
- Descriptive or narrative text qualifying the load, in the Description field.

- Whether the load is fee or an incentive, in the Load Type field. The system deems the load as a fee or an incentive based on the fund load mapping for a fund.
- Whether the return value of the load is arrived at based on an amount or a percentage, in the Amount or Percentage field.
- Whether the load being defined is a price basis load, in the Price Basis Load field.
- The applicable slab type for the load, in the Slab Mode section.
- The basis upon which the period is reckoned, in the Period Basis field.
- The method of calculation to be used for the load, in the Load Calculation Method field.
- Whether a deal can be maintained for a unit holder based on the load, in the UH Deal Maintainable field.
- Whether the load is a cumulative load, in the Cumulative Loads field.
- Whether the lower boundary of a slab is inclusive for the slab, in the Consider as Lower Boundary field.
- Click OK to save your changes.
- Specify the details of slabs for the load and their boundaries in the Load Details section, in the lowest portion of the screen. Setting up slab details for a load is mandatory. When you have set up the slabs, you need to save the changes.
- If you are not setting up a criteria-based load, basis load or derived load, you can save the load in the main Load Definition screen at this stage.
- If you are setting up a criteria-based load, basis load or derived load, click the appropriate button as follows:
  - If the load is a basis load, click the Basis link. The Basis Definition screen is opened, and you can set up the load.
  - If the load is a derived load, click the Derived link. The Derived Load screen is opened, and you can set up the derived load in this screen.
  - If the load is based on criteria, then click the Criteria link. The Query Builder is opened, and you can set up the criteria for the load.

In each of the screens, you must save your changes. The system closes the screen and returns you to the main Load Definition screen, where you must save the load record again.

---

**Note**

When you create a load for the first time in this screen, it is advisable that you set up any criteria-based loads, derived loads or basis loads simultaneously.

---

After a load is authorized, no changes are possible to the load details, i.e., you cannot subsequently set up derived, basis or criteria-based loads, if it has been already mapped to a fund or a group.

To support benefit plans for investors based on successful deduction counter, the system will setup load based on deduction counter.

You can specify the following information in this screen:

**Basic Information Section**

**Load ID**

*Numeric; 5 Characters; Mandatory*

Specify a unique alphanumeric identifier for the load. Do not specify the ID of an existing load here.



## Load Description

*Alphanumeric; 60 Characters; Mandatory*

Enter some descriptive or narrative text, qualifying the load. It should describe the purpose for which the load has been set.

## Cumulative Loads

*Optional*

Select yes to indicate that the load is cumulative in nature. If you check this box, it will be applied based on the static options set up for processing cumulative loads for the AMC. This type of a load is applicable for funds for which the Rights of Accumulation (ROA) facility is applicable.

## Price Basis Load

*Optional*

You can use this field to indicate whether the load being defined is a price basis load, that is, whether the load could be an inherent fee or incentive in respect of fund prices for which price bases other than the NAV and Transaction Base Price components are used.

---

### Note

Any loads that have been defined as price basis loads are only used as the indicator for computing load values, and are not picked up during evaluation of criteria. That is, the other load details specified for such loads, such as the return value, slabs and so on, are not taken into consideration. The difference between the Transaction Base Price and the Price Basis defined for the transaction is considered as an inherent fee or incentive, during allocation.

---

For instance, if the Price Basis for a transaction is 'Offer Price', and Transaction Base Price is 1.009 and the Offer Price is 1.060, the difference ( $1.06 - 1.009 = 0.051$ , without currency rounding) is considered as the inherent fee (since the TBP is less than the offer price). If the offer price were less than the TBP, the difference between the two is considered an inherent incentive.

## ROA Threshold for Initial Fee

*Numeric; 22 Characters; Mandatory*

Specify a threshold for initial fees for ROA based loads. The system compares the value specified with the cumulative AUM of the client to determine what a client should be charged by way of initial fees.

If the cumulative AUM exceeds the threshold value maintained, the system considers the Cumulative AUM for load slab pick up basis.

If the cumulative AUM is lower than the Threshold value maintained, the system considers the transaction value for load slab pick up basis.

## Load Type

*Optional*

Indicate whether the load is to be applied and processed as a fee or an incentive, by choosing the appropriate value from the drop-down list. The list displays the following values:

- Fee
- Incentive

## **Amount or Percentage**

### *Optional*

Indicate whether the return value for the load is a flat Amount or a Percentage of the Base Price/Transaction Amount, by choosing the appropriate value from the drop-down list. The list displays the following values:

- Amount
- Percentage

## **Consider as Lower Boundary?**

### *Optional*

Select Yes to indicate that a slab basis value (either amount or units or period or date) that is a boundary value separating slabs, must be considered as the lower boundary of a slab.

## **Amount Basis**

### *Optional*

Select whether the load return value is to be applied on the fund capital from the drop-down list. The list displays the following values:

- Net
- Gross

This specification is applicable only for Loaded to Price (LTP) loads. Select the Gross option to indicate that the load return value is to be applied on the fund capital. If not, select the Net option.

## **Slab Mode**

### **UH Deal Maintainable**

#### *Optional*

Select 'Yes' from drop-down list to indicate whether maintaining any deal based on the load would be permitted for unit holders. The list displays the following values:

- Yes
- No

### **Mode**

#### *Optional*

Indicate the parameter, upon which basis the slabs for the load will be defined from the drop-down list. The list displays the following values:

- Date
- Period
- Date Amount
- Period Amount
- Amount
- Units
- Date Units
- Period Units
- Deduction Counter

## **Period Basis**

### *Optional*

Indicate the basis upon which the period specified for period-based loads must be interpreted, by choosing the appropriate option from the drop-down list. The list displays the following values:

- Days
- Months
- Years

This information is mandatory for slab modes based on Period, Period and Amount or Period and Units.

## **Load Calculation Method**

### *Optional*

From the list, select the option that indicates the method by which the load must be computed. The following methods of calculation are available:

- Slab Basis
- Linear Interpolation
- Weighted Average
- Progressive Weighted Average

*Refer the chapter Managing Investor Accounts in the Agency Branch User Manual for more information on deals for unit holder.*

## **Tables Referred**

You can define a single criterion for a single load. Criteria can be based on any one of the ten parameters given under the Tables Referred section. You can check the relevant boxes from the following list:

- Agent
- Agency Branch
- Broker
- IFA
- Investor
- Payment Mode
- Fund
- Investor Fund
- Investor Transaction
- Account Officer
- Transaction Rule
- Transaction Details
- Custom Values

## Criteria

Click 'Criteria' button to specify criteria for criteria-based loads. The Query Builder is opened, and you can specify the required criteria.

The screenshot shows a window titled 'Query Information' with a close button (X) in the top right corner. The window is divided into two main sections: 'Query Information' and 'Detail'.  
In the 'Query Information' section, there is a 'Tables' input field with a search icon, a 'Distinct' checkbox, a 'Fields' input field, and an 'Order By field' input field. Below these, the 'Order By' section has two radio buttons: 'Ascending Order' (selected) and 'Descending Order'.  
The 'Detail' section contains three vertical list boxes for 'Tables', 'Fields', and 'Order By'. To the right of each list box are 'Add' and 'Delete' buttons. Below the list boxes are buttons for 'Join Tables', 'Group By', 'Parameters', and 'Where Criteria'. At the bottom of the 'Detail' section is a 'Show Details' button. At the very bottom of the window are 'Ok' and 'Cancel' buttons.

The criteria could be based on the parameters given. Choose one from the list box and select an Operator like (=, >, <) and enter the value you want to assign. The system will validate the specified criteria and the load will be applied only on successful validation of the same.

You can specify the following details:

### Query Information

#### **Tables**

*Alphanumeric; 35 Characters; Optional*

Specify table details to query.

#### **Distinct**

*Optional*

Check this box for distinct query.

#### **Fields**

*Display*

The system displays the fields value.

#### **Order By field**

*Display*

The system displays the order by field value.

## Order By

### Optional

Select order by option by selecting one of the following options:

- Ascending Order
- Descending Order

## Detail

Click 'Add Table' button to add the table information inside Tables field. You can delete the same by clicking 'Delete Table' button.

Click 'Add Field' button to add the field information inside Fields field. You can delete the same by clicking 'Delete Field' button.

Click 'Add Order By' button to add the field information inside Fields field. You can delete the same by clicking 'Add Order By' button.

Click 'Join Tables' button to join the 2 tables.

Click 'Group By' button to group the tables.

Click 'Parameters'; button to input the following details:

The screenshot shows a dialog box titled "Parameter" with a close button (X) in the top right corner. The dialog contains the following elements:

- A "Parameter Name" dropdown menu with "Fund ID" selected.
- Two buttons: "ADD" and "Delete".
- A "Parameters" list box, which is currently empty.
- At the bottom right, there are "Ok" and "Cancel" buttons.

## **Parameter**

### **Parameter Name**

#### *Optional*

Select the name of the parameter from the drop-down list. The list displays the following options:

- Fund ID
- Unit Holder ID
- Load ID
- Transaction Type
- Transaction Date
- Transaction Amount
- Transaction Units
- MOP
- To Unit Holder ID
- To Fund ID
- Broker Code
- Parent Broker Code
- Agent Code
- Branch
- From Date
- To Date

After selecting the required parameters name click 'ADD' button to add these details to 'Parameters' field. You can delete the added parameters by selecting the same and clicking 'Delete' button.

Click 'Where Criteria' button to input the query details.

The screenshot shows a 'Query Criteria' dialog box. It contains the following elements:

- Field For Criteria:** A text input field with a refresh icon.
- Values To Be Used:** A text input field with a refresh icon.
- Enter Values:** A text input field.
- Operator:** A dropdown menu currently showing 'Select New'.
- Parameter:** A dropdown menu.
- Logical Operators:** Buttons for '(', ')', 'And', 'Or', and 'Not'.
- Query Criteria:** A large text area for entering the criteria.
- Clear:** A button to clear the query criteria.
- Ok/Cancel:** Buttons at the bottom right of the dialog.

## **Query Criteria**

### **Field For Criteria**

*Alphanumeric; 50 Characters; Optional*

Specify the field for criteria.

### **Operator**

*Optional*

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

- =
- <>
- <=
- <
- >=
- >
- Like
- Not Like

### **Values To Be Used**

*Alphanumeric; 1 Character; Optional*

Specify the values to be used.

## Parameter

*Optional*

Select the parameter details.

## Enter Values

*Alphanumeric; 6 Characters; Optional*

Specify the values to be entered to query.

Click one of the following expressions button to add it in the Query Criteria field:

- (
- And
- Or
- Not
- )

Click 'Clear' button to clear the specified details.

Click 'Show Details' button to view the criteria entered.

Requirement for fee based on communication mode and /or investor account classification / category will be handled via criteria based load in load maintenance using the following table:

Table Name to be used in criteria	Column Name to be used in 'Where' clause
TRANSACTIONDETAILS	TRANSACTIONDETAILS.COMMUNICATIONMODE
INVESTOR	INVESTOR.UNITHOLDERCATEGORY

You need to maintain criteria based load to apply short trade penalty for the applicable outflow transactions.

Following are the 2 separate loads to be used for short trade period transactions and transactions with short trade units:

- For Short Trade Period, select the following options:
  - In Mode field, select 'Period'
  - In Period Basis field, select 'Days'
  - In 'Criteria' field, specify the transaction details table and short trade units column., i.e., for short trade period, specify where TRANSACTIONDETAILS.SHORTTRADEUNITS = '0'
- For Short Trade Units, select the following options:
  - In Mode field, select 'Date'
  - In 'Criteria' field, specify the transaction details table and short trade units column, i.e., for short trade units, specify where TRANSACTIONDETAILS.SHORTTRADEUNITS <> '0'

## Load Details

After you have set up the basic parameters for a load in the main Load Definition screen, you must set up the details of any applicable slabs and any criteria for the load, before you actually save the load into the system database.



To do so, scroll down to the Load Details section at the lowest portion of the Load Maintenance screen. Here, you can specify the following information for each slab that you want to define for the load:

**For loads with the Slab Mode 'Date', 'Date and Amount', or 'Date and Units'**

- Specify the lower and upper date boundaries for each slab, in the From Date and To Date fields.
- Specify the lower and upper amount or units boundaries for each slab, in the From Amount and To Amount fields, or the From Units and To Units fields, as applicable.
- Specify the applicable return value for each slab in the Return Value field.
- Specify the floor and ceiling values, if any.
- Save your specifications.

**For loads with the Slab Mode 'Period', 'Period and Amount', or 'Period and Units'**

- Specify the lower and upper period boundaries for each slab, in the From Period and To Period fields.
- Specify the lower and upper amount or units boundaries for each slab, in the From Amount and To Amount fields, or the From Units and To Units fields, as applicable.
- Specify the applicable return value for each slab in the Return Value field.
- Specify the floor and ceiling values, if any.
- Save your specifications.

Load setup for short trade period and units are as follows:

`transactiondetails.ShorttradeloadAppl = 'Y'` for short trade units and short trade period

In case of Pseudo Switch, if From Fund ID and To Fund ID is of same Fund Family, then `'transactiondetails.ShorttradeloadAppl'` will be set to 'N'

In case of Pseudo Switch, if From Fund ID and To Fund ID is of different fund Family then `'transactiondetails.ShorttradeloadAppl'` will be set to 'Y'

For all other transaction type `'transactiondetails.ShorttradeloadAppl'` will be set to 'Y'.

**Load set up for Short Trade Period:**

- Criteria for the Load applicable for Short trade period is `"transactiondetails.shorttradeunits = 0"` and `transactiondetails.ShorttradeloadAppl = 'Y'`
- Load Details for the Load applicable for Short trade period will be from Period 0 and To Period 7
- To Period 7, the number of days as decided by the business for the fund maintained in Fund Preference Maintenance (UTDFPMNT). It will be calendar days
- Return value will be 10%
- The system maps the load for all applicable fund with Based on Income Short Trade selected as Period (T).

**Load set up for Short Trade Units**

- Criteria for the Load applicable for Short trade units is `"transactiondetails.shorttradeunits <> 0"` and `transactiondetails.ShorttradeloadAppl = 'Y'`
- Load Details for the Load applicable for Short trade Date will be from 01/01/1900 and To 12/31/2999.
- Return value will be 10%
- The system maps the load for the applicable fund with Based on Income Short Trade selected as Units (U).

## **Slab Sequence No**

### *Display*

This number is generated by the system for each slab in the order of entry of the slab details. The sequence number begins with 1. You can set up multiple slabs for every load.

## **From Date**

### *Date Format; Mandatory only for date-based loads*

For date-based loads (i.e., the slab mode you selected for the load in the main Load Definition screen is either Date, Date and Amount or Date and Units), specify the date on and following which the slab is applicable.

Any transaction date higher than this date is reckoned as part of the slab.

If you have designated the lower boundary as inclusive the load by checking the Consider as Lower Boundary check box in the main Load Definition screen, then any transaction date that is equal to the date you specified here is also reckoned as part of the slab.

## **To Date**

### *Date Format; Optional*

For date-based loads (i.e., the slab mode you selected for the load in the main Load Definition screen is either Date, Date and Amount or Date and Units), specify the date up to which the slab is applicable.

Specifying the To Date is optional. If not specified, the system defaults the same, based on the system High Date Value maintained in the Defaults Maintenance.

## **From Amount**

### *Numeric, 12 Characters; Mandatory for all loads with Slab Mode as Amount, Date and Amount or Period and Amount only*

Specify the lower amount boundary for the slab. Any amount higher than this amount is reckoned as part of the slab.

If you have designated the lower boundary as inclusive the load by checking the Consider as Lower Boundary check box in the main Load Definition screen, then any transaction amount that is equal to the amount you specified here is also reckoned as part of the slab.

## **To Amount**

### *Numeric; 30 Characters; Optional*

Specify the upper amount boundary for the slab. Any amount lower than this amount is reckoned as part of the slab.

Specifying the To Amount is optional. If not specified, the system defaults the same, based on the system High Amount Value maintained in the Defaults Maintenance.

## **From Units**

### *Numeric; 27 Characters; Mandatory for all loads with Slab Mode as Units, Date and Units or Period and Units only*

Specify the lower units boundary for the slab. Any number of units higher than this value is reckoned as part of the slab.

If you have designated the lower boundary as inclusive the load by checking the Consider as Lower Boundary check box in the main Load Definition screen, then a number of units applied that is equal to the value you specified here is also reckoned as part of the slab.

**To Units**

*Numeric; 27 Characters; Optional*

Specify the upper units boundary for the slab. Any number of units lower than this value is reckoned as part of the slab.

Specifying the To Units is optional. If not specified, the system defaults the same, based on the system High Units Value maintained in the Defaults Maintenance.

**From Period**

*Numeric; 22 Characters; Mandatory only for period-based loads*

For period-based loads (that is, the slab mode you selected for the load in the main Load Definition screen is either Period, Period and Amount or Period and Units), specify the beginning of the period in which the slab is applicable.

Any period higher than this is reckoned as part of the slab.

If you have designated the lower boundary as inclusive the load by checking the Consider as Lower Boundary check box in the main Load Definition screen, then any period that is equal to this specified here is also reckoned as part of the slab.

The period you specify here will be interpreted by the basis you have specified in the Period Basis field in the main Load Definition screen. For instance, if you enter a value '1', then it will be deemed as 1 day of the period basis is 'Days', 1 month if the period basis is 'Months' and 1 year if the period basis is 'Years'.

**To Period**

*Numeric; 22 Characters; Optional*

For period-based loads (i.e., the slab mode you selected for the load in the main Load Definition screen is either Period, Period and Amount or Period and Units), specify the end of the period in which the slab is applicable.

The period you specify here will be interpreted by the basis you have specified in the Period Basis field in the main Load Definition screen. For instance, if you enter a value '1', then it will be deemed as 1 day of the period basis is 'Days', 1 month if the period basis is 'Months' and 1 year if the period basis is 'Years'.

Specifying the To Period is optional. If not specified, the system defaults the same, based on the system High Period Value maintained in the Defaults Maintenance.

**From Counter**

*Numeric; 22 Characters; Optional*

Specify the range value applicable for mode deduction counter.

**To Counter**

*Numeric; 22 Characters; Optional*

Specify the range value applicable for mode deduction counter.

**Return Value**

*Numeric; 30 Characters; Mandatory*

Enter the load value applicable for the slab. This is the value that will be applied if the load is applicable for any transaction.

If the return value is indicated to be a percentage of the base price / transaction amount then the value entered should not be greater than one hundred percent.

**Floor Value**

*Numeric; 22 Characters; Optional*

Specify the minimum amount that must be paid for this load. If the computation of the load returns a value that is lower than this figure, then the applicable load considered is this figure.

**Ceiling Value**

*Numeric; 30 Characters; Optional*

Specify the maximum amount that must be paid for this load. If the computation of the load returns a value that is higher than this figure, then the applicable load considered is this figure.

**UH Deal Ceiling Value**

*Numeric; 30 Characters; Optional*

You can specify the UH deal ceiling value either in terms of amount or in terms of percentage.

*Refer to the section "Arriving at the Load Return Value and Load Amounts" in the chapter 'The Allocation Process' in Volume IV of Fund Manager User Manual for details.*

**8.2.2 Derived Button**

A load can be defined not only on the basis of the parameters, but also 'deriving' from (or dependant on) another load. Such loads are termed as derived loads.

In a typical AMC scenario, for example, the charges that are collected from an investor could constitute the parent load and the particulars, that are dependent on the initial collected charges, could be the derived loads. These could comprise broker charges, VAT component, and so on.

In the Oracle FLEXCUBE Investor Servicing system, you can define loads based on other loads. This means that you can map any load that you set up to a parent load. A tree - structure with multiple levels is therefore possible for loads. The lowest level loads are called Parent Loads, and all other loads will be defined as loads that are dependent on these loads. The loads that are dependent are called derived loads.

Derived loads could also be defined to effect fee and commission sharing between a Distributor and the other intermediaries in the hierarchy, for a transaction.

After you have created a load in the Load Definition screen, you can create a derived load that is dependent on the main load.

To do so, click 'Derived' button. The 'Derived Load Set Up' screen displays, and you can set up the derived load in this screen.

Parent Load Details

Load ID  Description

Derived Load

<input checked="" type="checkbox"/>	Load ID *	Load Description *	Differential Load	Dependent Load	To Entity Type
<input checked="" type="checkbox"/>			No	<a href="#">🔗</a>	Agent

Ok Cancel

The following fields are available for data entry in the Derived Load Set Up screen:

**Load ID**

*Display Only*

The ID of the Load to which the derived load that is being set up should be mapped, is displayed here, from the Load Definition screen. This is the parent load.

**Description**

*Display*

The system displays the description of the load ID.

**Derived Load Section**

In this section, you may specify the parameters for a new derived load. Once you tab out of the last field in the row, (i.e. the Criteria field), the record is saved automatically.

**Load ID**

*Numeric; 5 Characters; Mandatory*

Specify a unique alphanumeric identifier for the derived load. This ID must not be the ID of a load already existing in the system database.

**Load Description**

*Alphanumeric; 60 Characters; Mandatory*

Enter some descriptive or narrative text, qualifying the derived load. It should describe the purpose for which the load has been set.

### **Differential Load**

*Optional*

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

- Yes
- No

### **Dependent Load**

*Alphanumeric; 6 Characters; Mandatory*

Specify the dependent load.

### **To Entity Type**

*Optional*

From the drop-down list, select the type of entity that will be the recipient of the derived load. The load setup must be applicable for the entity type you select in this field. The list displays the following values:

- Agent
- Broker
- Bulk Client
- Distributor
- Fund
- Bank Branch
- Bank
- Clearing Agent
- AMC
- Agency Branch
- Policy
- Check Vendor
- Registrar
- Custodian
- Trustee
- Investor
- Accounting and Valuation Agent
- Underwriter
- Transaction
- Fund Price

### **To Entity ID**

*Alphanumeric; 12 Characters; Optional*

Specify the ID of the entity to which this load is payable. This must be the ID of a valid entity in the system, and the load setup must be applicable for this entity type.

### **Cap to Parent Load Amount**

*Optional*

Select Yes to indicate that the derived load amount is to be capped to the parent load amount. If selected as Yes then the sum of derived load amounts cannot be greater than the parent load amount. If not, the net derived amount can be negative (that is, the resultant front end load for a particular entity could be negative).

This specification is used for derived loads that are set up for the purpose of fee/commission sharing between the AMC and the Distributors.

### **Amount Basis**

*Optional*

In this field, you can indicate whether the derived load is a percentage of the parent load amount, or whether it is derived based on the transaction amount. Select either Gross or Net to indicate that the derived load is to be derived based on the transaction amount; leave this field blank to indicate that the derived load is a percentage of the parent load amount.

This specification is used for derived loads that are set up for the purpose of fee/ commission sharing between the AMC and the Distributors.

### **Return Percentage**

*Numeric; 22 Characters; Optional*

Enter the load percentage that is applicable for this derived load. This value must be greater than zero and less than one hundred.

### **Mandatory**

*Optional*

Select Yes to indicate that the derived load is to be processed as a mandatory load. If you select No then the derived load is deemed to be an optional load.

A mandatory derived load will be applied (or processed) based on the criteria setup for this load.

An optional derived load will be applied based on the priority you assign to it, depending upon the priority number you specify in the Priority No. field in this screen.

### **Priority No.**

*Numeric; 22 Characters; Optional*

Specify the priority number that will indicate the priority of application for the derived load.

### **Criteria**

*Alphanumeric; 12 Characters; Optional*

Specify any criteria that determine how this load is to be applied.

To specify the criteria, click the Criteria link. The Query Builder is opened and you can specify an SQL statement, by the directives of which the load will be processed.

Click 'Criteria' button to invoke Criteria screen.

## **8.2.3 Basis Button**

The basis of application of a load is not restricted only to the following parameters:

- Date
- Period
- Amount
- Units
- Date and Amount
- Date and Units
- Period and Amount
- Period and Units

A load may also be applied based on any other parameter that can be defined as a basis. Such a definition is called a basis definition and the load defined on such a basis is called a basis load.

The following example will make this clear:

Basis definitions are usually defined based on a number of holdings units, or a period of time, in days.

In Oracle FLEXCUBE Investor Servicing, you can create a basis definition for any load, through the Basis Definition screen, after you have created a load in the Load Definition screen.

To do so, click 'Basis' button. The Basis Load screen is opened, and you can set up the basis load in this screen.

The screenshot shows the 'Basis Load' screen with the following details:

- Basic Information:**
  - Basis Criteria: Units
  - Amount Or Percentage: Amount
  - Load ID \*: 123
  - Load Type: Fee
  - Load Description: gfdq
  - Take Current Transaction into Account?:
- Tables Referred:**
  - Ageing:
  - LOI:
  - Group benefits:
  - Fund price Header:
  - Unit Holder Additional Info:
  - Unit Holder Fund Units:
  - Unit Holder Fund Amount:
  - Investor:
- Criteria:** A button labeled 'Criteria' is present below the 'Tables Referred' section.
- Buttons:** 'Ok' and 'Cancel' buttons are located at the bottom right of the screen.

---

### Note

- You cannot build a basis definition more than once on the same load.
  - You can build a basis definition using either the units or period as a basis parameter. It is not possible to build a basis definition using amount as a basis parameter in this screen.
  - Basis definitions can be built only on Period and Units as parameters.
-



## **Basis Information**

### **Basis Criteria**

#### *Optional*

In this section, you can set up the criteria that will characterize this basis definition. Depending upon whether the basis is reckoned on a number of units or a number of days click the Criteria link and then use the Query Builder to make your specification. To do so, click the Criteria link. The Query Builder is opened.

The criteria that you set up through the Query Builder must return a single value. Once you have saved your specification and closed the Query Builder, the SQL statement corresponding to the desired criteria appears in the Criteria box, and the tables that have been referred in the execution of the criteria are clicked in the Tables Referred Box.

### **Load ID**

#### *Display*

The ID of the load that you specified in the Load Definition screen, for which you are creating a basis definition, is displayed here.

### **Load Type**

#### *Display*

The type of the load for which you are creating a basis definition is displayed here, from the Load Definition screen.

### **Amount Or Percentage**

#### *Display*

The system displays if load is amount or percentage.

### **Take Current Transaction into Account**

#### *Optional*

Check this box to indicate the basis definition you are making in this record must take any current transactions into account while computing the return values. By default, this box is not checked.

### **Load Description**

#### *Display*

The system displays the load description.

## **Tables Referred**

### **Display Only**

After you have saved your criteria specification in the Query Builder, and closed the same, the SQL statement corresponding to the desired criteria appears in the Criteria box, and the tables that have been referred in the execution of the criteria are clicked in this Box.

Criteria can be based on any one of the eight parameters given under the Tables Referred section. They can be any of the following - Ageing, LOI, Group Benefits, Fund Price Header, Unit Holder Additional Info, Unit Holder Fund Units, Unit Holder Fund Amount, and Investor.

---

#### **Note**

The dynamic packages will get recreated on unlock, save and authorization.

---

## 8.3 Load Maintenance Summary Screen

This section contains the following topics:

- [Section 8.3.1, "Invoking the Load Maintenance Summary Screen"](#)
- [Section 8.3.2, "Retrieving Load"](#)
- [Section 8.3.3, "Editing Load Maintenance Details"](#)
- [Section 8.3.4, "Viewing Load Maintenance Details"](#)
- [Section 8.3.5, "Deleting Loads"](#)
- [Section 8.3.6, "Authorizing Loads"](#)
- [Section 8.3.7, "Amending Loads"](#)
- [Section 8.3.8, "Authorizing Amended Loads"](#)
- [Section 8.3.9, "Copying Attributes"](#)
- [Section 8.3.10, "Maintaining Fees Applicable on Periodic Basis"](#)
- [Section 8.3.11, "Processing Load and Commission"](#)

### 8.3.1 Invoking the Load Maintenance Summary Screen

After you have set up a load, you must have another user authorize it so that it would be effective in the system.

Before the load is authorized, you can edit it as many times as necessary. You can also delete a load before it is authorized.

After authorization, you can only make changes to a load (or any components such as derived or basis loads) through an amendment.

The 'Load Maintenance Summary' screen can be used for the following operations on loads:

- Retrieval for viewing
- Editing unauthorized loads
- Deleting unauthorized loads
- Authorizing loads
- Amending authorized loads

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

Load Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status [ ] Open [ ]

Load ID [ ] Load Type [ ]

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Open	Load ID	Load Type	Load Description	Amount Or Percentage	Load Calculation Method	UH Deal Maintainable
----------------------	------	---------	-----------	------------------	----------------------	-------------------------	----------------------

Exit

### 8.3.2 Retrieving Load

To retrieve a previously entered load:

- Invoke the Load Maintenance Summary screen and specify the following:
  - The authorization status of the load maintenance records in the Authorization Status field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the load maintenance records in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The Load ID
  - Load Type
- Click 'Search' button after you have specified the required details,. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### Note

You can also retrieve an individual Load ID from the Detail screen by doing query in the following manner:-

- Press F7

- Input any parameter in the screen
  - Press F8
- 

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

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

Example

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

- **Search Load Description by C%**: The system will fetch all the records whose Load ID starts from Alphabet 'C'. For example, Common Load
- **Search Load ID by %5**: The system will fetch all Load ID which end by 5. For example: 5415

### 8.3.3 **Editing Load Maintenance Details**

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

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

### 8.3.4 **Viewing Load Maintenance Details**

To view the load maintenance details that you have previously entered:

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

### 8.3.5 Deleting Loads

You can delete only unauthorized loads in the system. To delete a load:

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

### 8.3.6 Authorizing Loads

When a load is authorized, any derived or basis loads that have been created for the load are also authorized in the database, simultaneously.

After a load is authorized, you can designate that it must be applicable either to a single fund or a group of funds (a load group). You can indicate this mapping in the Fund Load Setup screen (for a single fund) or the Group Load Mapping screen (for a load group)

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

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

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

### 8.3.7 Amending Loads

After a load is authorized, it can be modified using the Unlock operation from Action list. To make changes to an after authorization, you must invoke the Unlock operation which is termed as Amend Operation. If a load is attached to a fund, then the system will not allow amendment of load details.

- Invoke the Load Maintenance Summary screen from the Browser.
- Select the status of the load records that you wish to retrieve for amendment. You can only amend records of loads that are authorized.
- Specify any or all other search parameters for retrieving the records.
- Click 'Search' button. All loads with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the load that you want to amend. The Load Maintenance Detail screen is displayed in Amendment mode.

- Click the Unlock operation from the Action list to amend the load.
- Amend the necessary information. Click the Save button to save the changes.

### **8.3.8 Authorizing Amended Loads**

After a load is authorized in the Load Authorization screen, you can make changes to any of the details of the load, provided the authorized load has not already been designated as applicable for a fund or load group.

If the load has already been mapped to a fund or a load group in the Fund Load Setup screen or the Group Load Mapping screen, you cannot amend the load.

Provided amendment is possible for the load, you can modify the slab details, any derived or basis loads. If there are no derived loads or basis loads created for the load, you can set up these during amendment.

When you amend an authorized load (provided editing is possible), the changes you make will be saved as unauthorized changes in the database. You must subsequently authorize the record of the load again, so that the changes are effected as authorized in the database.

An amended load must be authorized for the amendment to be made effective in the system. The process of authorization is the same as that of normal authorization process.

### **8.3.9 Copying Attributes**

If you want to create a load having the same attributes of an existing load, you can copy the attributes of an existing load to a new load.

To copy the attributes:

- Retrieve the load whose attributes the new load should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the new Load ID. You can however change the details of the load if required.

### **8.3.10 Maintaining Fees Applicable on Periodic Basis**

Some fees or incentives are periodic in nature, that is, they may not be processed each time a transaction is requested or allocated, but they are paid on a periodic basis.

For instance, trailing commission paid to brokers is typically applicable over a period, irrespective of whether any transactions have been entered. Similarly, a management fee charged by an AMC can be applicable on a monthly basis, or a any other frequency, irrespective of whether any transactions have occurred or not.

### **8.3.11 Processing Load and Commission**

In case of transactions done in currency of expression, the load amount during the transaction allocation will be calculated in currency of expression as well as in FBC. If a trade is in FBC; commission will be calculated in FBC. The system internally computes the gross amount and net amount in Fund base currency; these fields are mandatory fields that are to be computed as part of core allocation process.

In case of slab based load, the slab amounts will be held in FBC. The transaction amount in currency of expression will be exchanged to FBC by taking the COE conversion factor and the value will be matched against the slab to get the proper applicable load.

The system will calculate the Normal Average Cost and Weighted Average Cost in Fund Base Currency. The gain will be calculated in Fund Base Currency. The Withholding Tax (EUSD) will be calculated in Fund Base Currency

The maintained fund formula for that fund will be applicable to all the prices in all allowed currency of expression for the Fund along with FBC. For instance, the formula maintained for OFFER component as  $OFFER = NAV + 3\% \text{ of } NAV$  (or the formula maintained can be  $NAV + 2$ ). The formula will be considered to derive the OFFER price component in FBC and other maintained Fund Price currencies for that fund using the NAV entered for respective currencies. This will be similar for other price components maintained in Fund Formula.

The price calculation method must be identical for each transaction currency within each share class. Trailer commission will be calculated in FBC.

In case of load held as amount, the system will apply the COE conversion factor and also the floor, ceiling and return value held in FBC will also use COE currency factor. All the amount values maintained in Load maintenance will be in FBC and the system will use CEO conversion factor for amount based load.

## 8.4 Load Mapping

This section contains the following topics:

- [Section 8.4.1, "Mapping Loads"](#)
- [Section 8.4.2, "Invoking Across Schema Load Mapping Screen"](#)

### 8.4.1 Mapping Loads

For criteria load mapping, the dynamic package will generate in the new schema upon authorization. You can map loads created in other schemas using 'Load Mapping Detail' screen. Using this screen during mapping operation, the system will display all the loads across schemas stored globally and not only those created in that particular schema. This will avoid re-entry and duplication of data. The workflow is as follows:

- Assume operations in two countries Bermuda and Luxembourg, where a fund manager FUNMGR operates. You need to login and choose the module Fund manager of Bermuda (probably represented as FMGBDAAMC) and create a Load ID 1080'.
- You should open Fund Manager module of LUX (probably represented as FMGLUXAMC) and do a map operation of load maintenance in the 'Across Schemas Load Mapping' screen. Select this load record and click 'Save' button.
- The system will enable the LUX schema/segment also to see the Load ID in the respective LOBs of Loads after the record is authorized.
- Upon mapping the load, the system will allow you to map the load created in different schema.

Within the same installation if duplication of data needs to be avoided, then you can use the mapping details to map the load created in one schema into the other.

Loads will be available in the Schema in which they are created similar to Entity Maintenance. The loads will not be defaulted/displayed in all other schemas.

Only authorized Load records will be available for mapping in the 'Across Schemas Load Mapping' screen. You can map the loads created across schemas in the schema in which you have logged in by using the new 'Across Schemas Load Mapping' screen.

You can view only the loads which are mapped to the current module from the detail screen.

Amendment and Modification of load is limited only to the Parent schema in which the load is created. However, Loads will not be allowed for any modification or amendment if it is mapped in the system in any other schemas.

For Criteria Load mapping, on authorization of the load using the 'Load Mapping' (UTDLOAMP) screen, the system will generate the dynamic package.

## 8.4.2 Invoking Across Schema Load Mapping Screen

You can invoke the 'Across Schemas Load Mapping Detail' screen by typing 'UTDLOAMP' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

You can specify the following details:

### **Load ID**

*Numeric; 5 Characters; Mandatory*

Specify the load ID across schema will be available for mapping. Alternatively, you can select the load ID from the option list. The list displays all valid load ID maintained in the system.

### **Load Description**

*Display*

The system displays the description for the selected load ID.

## 8.5 Across Schemas Load Mapping Summary

This section contains the following topic:

- [Section 8.5.1, "Invoking Across Schemas Load Mapping Summary Screen"](#)
- [Section 8.5.2, "Retrieving Across Schemas Load Mapping Details"](#)
- [Section 8.5.3, "Authorizing Across Schemas Load Mapping Details"](#)



## 8.5.1 Invoking Across Schemas Load Mapping Summary Screen

You can invoke 'Across Schemas Load Mapping Summary' screen by typing 'UTSLOAMP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Across Schemas Load Mapping Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Load ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Load ID	Load Description
------------	------	---------	------------------

Exit

## 8.5.2 Retrieving Across Schemas Load Mapping Details

To retrieve a previously entered load mapping details:

- Invoke the Across Schemas Load Mapping Summary screen and specify the following:
- The authorization status of the entity in the Authorized field. If you choose the "Blank Space" option, then all the records are retrieved.
- Open
- Load ID

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

---

### Note

You can also retrieve an individual load mapping detail from the Detail screen by doing query in the following manner:

- Press F7
- Input any parameter in the screen

You can perform Authorize operation by selecting from the Action list.

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

Example

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

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

### 8.5.3 **Authorizing Across Schemas Load Mapping Details**

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

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

## 8.6 **Exchange Rate Source Mapping for Different Schemas**

This section contains the following topics:

- [Section 8.6.1, "Mapping Exchange Rate Source"](#)
- [Section 8.6.2, "Invoking Exchange Rate Source Mapping Screen"](#)

### 8.6.1 **Mapping Exchange Rate Source**

You can use exchange rate in other schemas only when it is mapped. The system will display all the exchange rate source across schemas stored globally and not only those created in that particular schema.

For instance, assume operations in two countries Bermuda and Luxembourg, where a fund manager FUNMGR operates. You need to login and choose the module Fund manager of Bermuda (probably represented as FMGBDAAMC) and create an Exchange Rate Source 'Reuter'.

You open Fund Manager module of LUX (probably represented as FMGLUXAMC) and do a map operation of exchange rate maintenance in the Exchange Rate Source Mapping screen. You need to select this source record and click 'Save' button. The system will enable the LUX schema/segment also to see the Exchange Rate Source (Reuter) in the respective LOBs of Exchange rates after the record is authorized.

Upon mapping the exchange rate source, you can map the source created in different schema. Once the exchange rate source is mapped into the schema, the same will be available for mapped schema across all applicable functions.

Exchange rate source will be available in the Schema in which they are created similar to Entity Maintenance. The source will not be defaulted/displayed in all the schemas.

You can map only authorized exchange rate source records in the 'Exchange Rate Source Mapping' screen. You can also map the Exchange Rate Sources created across schemas in the schema in which you are logged in by using this screen.

You can view Exchange Rate Sources which are mapped to the current module from the detail screen.

Amendment and Modification of exchange rate source is limited only to the Parent schema in which the source is created. However, exchange rate sources will not be allowed for any modification or amendment if it is mapped in the system in any other schema.

## 8.6.2 Invoking Exchange Rate Source Mapping Screen

You can invoke the 'Exchange Rate Source Mapping Detail' screen by typing 'UTDEXRMP' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.

AGY Module ID *	Agent Code	Branch Code
<input checked="" type="checkbox"/>		

You can specify the following details:

### **Source ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the source ID across schema will be available for mapping. Alternatively, you can select the source ID from the option list. The list displays all valid source ID maintained in the system.

### **Source Name**

*Display*

The system displays the source name for the selected source ID.

### **Source Reference Currency**

*Display*

The system displays the source reference currency code.

### **FMG Module**

*Display; Alphanumeric; 30 Characters*

The system displays the current logged in FMG Module.

### **AGY Module Mapping**

AGY Module Mapping is used to map the required exchange rate sources to one or more AGY modules of the Fund manager. It includes the following fields.

- AGY Module ID
- Agent Code
- Branch Code

---

#### **Note**

If there is no module mapped in 'AGY Module Mapping' section, then the entity will be listed in all Agency branches of the mapped Fund Manager.

If there is any module mapped in 'AGY Module Mapping' section, then the entity will be listed only in the mapped Agency branch of the mapped Fund Manager.

---

### **AGY Module ID**

*Alphanumeric; 30 Characters; Mandatory*

Specify the AGY module ID. Alternatively, you can select the AGY module ID from the LOV. The list displays the same maintained in the system.

### **Agent Code**

*Display*

The system displays the default agent code for the selected AGY Module ID.

### **Branch Code**

*Display*

The system displays the default branch code for the selected AGY Module ID.

## **8.7 Exchange Rate Source Mapping Summary**

This section contains the following topic:

- [Section 8.7.1, "Invoking Exchange Rate Source Mapping Summary Screen"](#)
- [Section 8.7.2, "Retrieving Exchange Rate Source Mapping Details"](#)
- [Section 8.7.3, "Authorizing Exchange Rate Source Mapping Details"](#)

## 8.7.1 Invoking Exchange Rate Source Mapping Summary Screen

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

Exchange Rate Source Mapping Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Source ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Source ID	Source Name	Source Reference Currency
------------	------	-----------	-------------	---------------------------

Exit

## 8.7.2 Retrieving Exchange Rate Source Mapping Details

To retrieve a previously entered load mapping details:

- Invoke the Exchange Rate Source Mapping Summary screen and specify the following:
- The authorization status of the entity in the Authorized Status field. If you choose the "Blank Space" option, then all the records are retrieved.
- Open
- Source ID

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

---

### Note

You can also retrieve an individual source mapping detail from the Detail screen by doing query in the following manner:

- Press F7
  - Input any parameter in the screen
  - Press F8
-

You can perform Authorize operation by selecting from the Action list.

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

Example

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

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

### 8.7.3 **Authorizing Exchange Rate Source Mapping Details**

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

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

## 8.8 **Trailing Fees**

A trailing fee is defined as the commission or incentive that is paid, normally by the fund, to unit holders, brokers, agents, agency branches, account officer or IFA for the continued loyalty of the unit holders to the fund. Here the term loyalty refers to the fact that unit holders who are allocated units hold them for a certain minimum period of time, which in turn results in the fund manager being able to project cash flows and investments with a greater degree of accuracy.

The fee is calculated based on the holdings of the investor, using any of the following methods:

- Quarterly Average Holding
- Average Holdings
- Average Units
- Latest Balance

A minimum period can also be set, for which the balances must be held, before a trailing fee can be applied.

FCIS provides the facility to compute trailer commission at any level i.e. Agent, Agency Branch, Account officer or IFA. The commission sharing will be applicable below the level at which trailer commission is computed. For instance, if trailer commission is computed at Agency branch level, commission sharing on flat percentage will be applicable to all levels below agency branch.

## 8.9 Payment Groups

This section contains the following topics

- [Section 8.9.1, "Maintaining Payment Groups"](#)
- [Section 8.9.2, "Entity Information Tab"](#)
- [Section 8.9.3, "Bank Details Tab"](#)
- [Section 8.9.4, "Ongoing Management Fees"](#)

### 8.9.1 Maintaining Payment Groups

To support different trailing fee rate across the different groups, you can maintain payment groups for the unit holder/ agent/ agency branch separately using 'Payment Group Maintenance' screen. You can invoke this screen by typing 'UTDPAYGP' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

Payment Group Maintenance

Save

Payment Group Code \*

Payment Group Description

Entity Information Bank Details

Entity Details

Entity Type *	Entity ID *	Entity Name
<input checked="" type="checkbox"/>		

Input by                      DateTime                      Mod No                      Open

Authorized by                      DateTime                      Authorized

Cancel

In this screen you can maintain the following details:

#### **Payment Group Code**

*Alphanumeric; 6 Characters; Mandatory*

Specify the code to identify the payment group.

#### **Payment Group Description**

*Alphanumeric; 6 Characters; Optional*

Specify the description of the payment group.

## 8.9.2 Entity Information Tab

### Entity Type

*Alphanumeric; 1 Character; Mandatory*

Specify the type of entity. You can also select the entity type from the option list provided. The list consists of all the valid and authorized entities type. You can also link multiple entities of same type to the payment group. However, if an entity is already mapped to a payment group, then you cannot map it again to a different payment group.

### Entity ID

*Alphanumeric; 12 Characters; Mandatory*

Specify the type of entity ID. You can also select the ID from the option list provided. The list consists of all the valid and authorized entities.

### Entity Name

*Display*

Based on the ID selected, the name of the entity is displayed.

## 8.9.3 Bank Details Tab

Click the 'Bank Details' tab to specify the bank details for the payment group.

The screenshot displays the 'Payment Group Maintenance' application window. At the top, there is a 'Save' button. Below it, there are input fields for 'Payment Group Code \*' and 'Payment Group Description'. There are two tabs: 'Entity Information' and 'Bank Details', with 'Bank Details' being the active tab. The 'Bank Details' section contains a table with the following columns: 'Bank \*', 'Branch \*', 'Account Type \*', 'Account Type Description', and 'Account Number'. The table has one row with a blue checkmark in the first column and a magnifying glass icon in the other columns. At the bottom of the window, there are labels for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

You can maintain the following in this screen:



**Bank**

*Alphanumeric; 12 Characters; Mandatory*

Specify the name of the bank for receiving the payment. You can also select the bank from the option list provided. The list consists of all the valid bank names maintained in the system.

**Branch**

*Alphanumeric; 12 Characters; Mandatory*

Specify the branch of the bank. You can also select the branch name from the option list provided. The list consists of all the valid bank branches maintained in the system.

**Account Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the type of account. You can also select the account type from the option list provided. The list consists of all the valid and authorized account types maintained in the system.

**Account Type Description**

*Display*

Account description is displayed based on the account type selected.

**Account Number**

*Alphanumeric; 34 Characters; Mandatory*

Specify the account for receiving the payment.

**IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN of the account holder.

**Account Name**

*Alphanumeric; 100 Characters; Mandatory*

Specify the name of the account holder.

**Account Currency**

*Alphanumeric; 3 Characters; Mandatory*

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

**Default**

*Mandatory*

Select 'Yes' option to set this bank account as the default account to receive the payments. You shall set at least one account as default for each of the currency.

**Direct Debit Allowed**

*Optional*

Select 'Yes' option to debit the account directly.

Click the 'Bank Details' button in the 'Payment Group Maintenance' screen to maintain the additional bank details.

Bank Details

Swift Format

Bank Charged

Beneficiary

Beneficiary BIC Code

Beneficiary Add1

Beneficiary Acct No

Beneficiary Add2

Beneficiary Code

Beneficiary Add3

Beneficiary Info

Beneficiary IBAN

Intermediary

Intermediary BIC Code

Intermediary Add1

Intermediary Acct No

Intermediary Add2

Intermediary Code

Intermediary Add3

Intermediary Info

Intermediary IBAN

Further Credit Name

Further Credit Acct No

Reference1

Reference2

Ok Cancel

In this screen, you can maintain the following details:

### **SWIFT Format**

*Optional*

Select the SWIFT format from the drop-down list for receiving the payments. The drop-down list consists of the following SWIFT message formats:

- MT103
- MT202

### **Bank Charged**

*Optional*

Select the bank to be charged. Select any of the following options:

- Beneficiary
- Remitter
- Share

### **Beneficiary**

*Alphanumeric; 35 Characters; Optional*

Specify the beneficiary of the payment group.

**Beneficiary Add1 - 3**

*Alphanumeric; 105 Characters; Optional*

Specify the beneficiary address.

**Beneficiary IBAN**

*Alphanumeric; 35 Characters; Optional*

Specify the beneficiary IBAN.

**Beneficiary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Specify the BIC of the beneficiary.

**Beneficiary Acct No**

*Alphanumeric; 34 Characters; Optional*

Specify the beneficiary account number.

**Beneficiary Code**

*Alphanumeric; 24 Characters; Optional*

Specify the beneficiary code.

**Beneficiary Info**

*Alphanumeric; 100 Characters; Optional*

Specify any other information of the beneficiary.

**Intermediary**

*Alphanumeric; 35 Characters; Optional*

Specify the intermediary of the payment group.

**Intermediary Add1 - 3**

*Alphanumeric; 105 Characters; Optional*

Specify the intermediary address.

**Intermediary IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the beneficiary IBAN.

**Intermediary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Specify the BIC of the intermediary.

**Intermediary Acct No**

*Alphanumeric; 34 Characters; Optional*

Specify the intermediary account number.

**Intermediary Code**

*Alphanumeric; 24 Characters; Optional*

Specify the intermediary code.

**Intermediary Info**

*Alphanumeric; 100 Characters; Optional*

Specify any other information of the intermediary.

**Further Credit Name**

*Alphanumeric; 35 Characters; Optional*

Enter further credit name.

**Further Credit Acct No**

*Alphanumeric; 35 Characters; Optional*

Enter further credit account number.

**Reference1 and Reference2**

*Alphanumeric; 35 Characters; Optional*

Specify the reference for the account holder.

---

**Note**

The detail maintained through 'Payment Group Maintenance' screen does not have any processing impact on trailing commission and this is just an informative maintenance.

---

**8.9.4 Ongoing Management Fees**

Ongoing management fees are levied by an AMC as payment for maintenance services rendered to unit holders.

In the Periodic Load Details screen, management fee loads are always set up at a fund group level, and are applied based on the Assets Under Management (AUM), in respect of all the funds in the fund group.

The load computation method (Nature of Load) for management fee loads can either be Simple Slab or Weighted Average. Management fee loads can only be set in the Periodic Load Details screen if the trailer commission computation method is Average Daily Balance and daily accrual frequency.

Distribution of commission below the level set in Periodic load should be through entity commission sharing. For instance, if the Periodic load setup is at Agency branch level, then for commission distribution to Account Officer and IFA, commission sharing should be setup.

**8.10 Payment Group Maintenance Summary**

This section contains the following topic:

- [Section 8.10.1, "Retrieving a Record in Payment Group Maintenance Summary Screen"](#)
- [Section 8.10.2, "Editing Payment Group Maintenance Record"](#)
- [Section 8.10.3, "Viewing Payment Group Maintenance Record"](#)
- [Section 8.10.4, "Deleting Payment Group Maintenance Record"](#)
- [Section 8.10.5, "Authorizing Payment Group Maintenance Record"](#)
- [Section 8.10.6, "Amending Payment Group Maintenance Record"](#)
- [Section 8.10.7, "Authorizing Amended Payment Group Maintenance Record"](#)

**8.10.1 Retrieving a Record in Payment Group Maintenance Summary Screen**

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

Invoke the 'Payment Group Maintenance Summary' screen by typing 'UTSPAYGP' in the field at the top right corner of the Application tool bar. Click on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Payment Group Code

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

---

**Note**

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

- Press F7
  - Input the Payment Group Code
  - Press F8
-

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

### **8.10.2 Editing Payment Group Maintenance Record**

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

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

Click Save to save your changes. The Payment Group Maintenance screen is closed and the changes made are reflected in the Payment Group Maintenance Summary screen.

### **8.10.3 Viewing Payment Group Maintenance Record**

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

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

### **8.10.4 Deleting Payment Group Maintenance Record**

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

- Invoke the Payment Group Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Payment Group Maintenance screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **8.10.5 Authorizing Payment Group Maintenance Record**

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

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

### **8.10.6 Amending Payment Group Maintenance Record**

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

- Invoke the Payment Group Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Payment Group Maintenance screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **8.10.7 Authorizing Amended Payment Group Maintenance Record**

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

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

## **8.11 Periodic Load Screen**

This section contains the following topics

- [Section 8.11.1, "Maintaining Periodic Loads"](#)

### **8.11.1 Maintaining Periodic Loads**

The system facilitates the processing of trailing fees or management fees payable from any entity in the system to another entity. This trailing fee is set up in the system as a load in the

Loads Maintenance. The Periodic Load Setup screen facilitates the mapping of the trailing fee (load) to a fund, and setting up the following details regarding the fee:

- The period in respect of which the trailing fee is to be computed.
- The From and To entities in respect of which the trailing fee will be paid out/received
- The frequency at which the trailing fee is processed
- The computation method (nature) of the fee
- The event of application or action of the fee
- The last processed date and the next date on which the fee must be processed
- The number of decimals for the load

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

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the periodic load details.

Before you set up the details for a 'trailing fee' load or periodic load, and apply it to a fund, it is desirable to ensure that the following information is already set up in the system:

- The trailing fee that must be applied must be set up as a periodic load in the Loads Maintenance
- The fund that the load must be associated to must be an authorized fund.
- The different entities which will be the payees or recipients in respect of the trailing fee must be set up in the system



## **Setting up Trailing Fee**

A trailing fee / management fee is usually computed as a percentage of the holdings of the investor, based on the method of computation specified for the fee.

The fee can be set up to apply to the holdings of an investor in:

- Any individual funds
- Funds belonging to a load group
- Funds part of a product or policy / plan portfolio.

To set up the trailing fee in the Periodic Load Setup screen, proceed as follows:

- To set up the trailing fee for a fund, choose the Fund option in the Fund/Product section in the top right portion of the screen. To set up the trailing fee for a product, choose the Product option. To set up the fee for a load group, select the Group option.
- To set up the trailing fee for a fund, choose the Fund option in the Fund/Product section in the top right portion of the screen. To set up the trailing fee for a product, choose the Product option. To set up the fee for a load group, select the Group option.
- Select the ID of the fund, product or group for which you are setting up the trailing fee in the Fund / Product / Group ID field. Any loads that have already been mapped to the selected fund, product or group are displayed with the details in the grid portion in the middle of the screen.
- Specify the dates that form the period in respect of which the computation of the load must be arrived at, in the Rule Effective Date From and To fields.
- For funds, specify the load details in the Load and Load Details sections in the lowest part of the screen, and save the record.
- For products, specify the load details in the Load and Load Details sections. Also, specify the underlying funds or groups for which the load must be applied, and then save the record.

You can specify the following fields in this screen:

### **Reference Number**

#### *Display*

The system displays the reference number.

### **Periodic Load Maintenance**

If you are defining the periodic fee to be applicable for a product, you must define the specific funds and /or groups in the product portfolio to which the fee would be applied. When you select the product in the Fund/Product/Group ID field, any groups or funds that are mapped to the product portfolio are displayed in these sections.

To specify the funds or groups to which the fee must be applicable, use the arrow buttons to move the selected funds or groups from the Available Portfolios / Available Groups boxes to the Mapped boxes.

---

#### **Note**

It is mandatory that you map all available portfolios to the groups.

---

## **Fund/Product/Group**

### *Mandatory*

You can use this field to indicate whether the periodic fee is being set up to be applicable for a fund, a product or a group. The drop-down list displays the following values:

- Fund
- Product
- Group

## **Fund ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the fund ID.

## **Rule Effective From Date**

*Date Format; Mandatory*

By specifying the two dates, indicate the period in respect of which the trailing fee computation must be arrived at.

The system will allow backdating the periodic load Rule effective date for new loads for a fund. For funds where there is no load attached; a new load can be created with 'Rule Effective Date' as back date. This date cannot be less than the 'First price declare date' and 'fund rule effective date'.

## **Rule Effective To Date**

*Date Format; Mandatory*

Specify the period in respect of which the trailing fee computation must be arrived at.

## **Product ID**

*Alphanumeric; 12 Characters; Optional*

Specify the product ID.

## **Product Description**

*Display*

The system displays description for the specified product based on the details maintained for at 'Product Fund Maintenance' level.

## **Group ID**

*Alphanumeric; 12 Characters; Optional*

Specify the group ID.

## **Group Description**

*Display*

The system displays description for the specified group based on the details maintained for at 'Payment Group Maintenance' level.

## **ISIN Code**

*Alphanumeric; 12 Characters; Optional*

Specify the ISIN Code for the periodic fee.

If you specify ISIN code then system displays the fund ID and vice versa.

## **Fund Name**

*Display only*

The system displays description for the specified fund based on the details maintained for at 'Fund Maintenance' level.

Click 'Refresh' button to refresh the details.

## **Load**

### **Load ID**

*Numeric; 5 Characters; Optional*

Select the load that represents the trailing fee / management fee that is to be associated and processed for the fund, product or group, from the drop-down list.

For funds where there is periodic load available and there is change in load information; then you should amend the load ID. After this maintenance, during EOD, the system will start accrual from the first accrual day of this payment cycle till application date/valid accrual date.

### **Load Description**

*Display*

The system displays description for the specified load based on the details maintained at 'Load Maintenance' level.

### **From Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Select the entities that are to be payees of the trailing fee.

The 'From' entities could be any of the following:

- Unit Holder
- Funds
- AMC
- Distributor

### **From Entity Type Description**

*Display*

The system displays description for the entity types maintained as From Entity IDs based on the details maintained at 'Entity Maintenance' level.

### **To Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Select the entities that are to be recipients of the trailing fee.

The 'To' entities could be any of the following:

- Broker
- AMC
- Distributor
- Unit Holder
- Agent
- Product Administrator
- Agency Branch
- Account Officer

- IFA

## To Entity Type Description

### *Display*

The system displays description for the entity types maintained as To Entity IDs respectively, based on the details maintained at 'Entity Maintenance' level.

## Nature of Load

### *Alphanumeric; 10 Characters; Mandatory*

Specify the method of computation to be used for the trailing fee represented by the selected load. This could be any of the following options:

- Average Holdings
- Quarterly Average Holdings
- Latest Balance
- Average of Opening and Closing Balance
- Average Holdings Across Funds
- Pro-rata of holdings across funds

## Nature of Load Description

### *Display*

The system displays the method you need to use for the computation of trailing fee represented by the selected load.

## Action for Load

### *Alphanumeric; 10 Characters; Mandatory*

Select the event at which the fee would be applied and computed. The possible options are:

- Payout in Next Commission: If you select this option, the trailer commission payment would be processed according to the rules maintained in the Entity Commission Payment Setup as well as the payment frequency and payment details maintained in the Entity Payment Details. The settlement can be triggered using the EFT function or through check printing, based on the payment mode.
- Report Trailing Commission: The commission payment data can be viewed as a report.
- Adjust UH Balances: If you select this option, the Unit Holder balance gets adjusted accordingly and there will not be a broker commission payout/adjustment transaction.

---

### **Note**

If you select the option 'Adjust UH Balance', it is mandatory that you select the option 'Unit Holder' against the field 'To Entity Type' or 'From Entity Type'.

- 
- Adjust and Pay Broker: Appropriate broker commission will be done prior to netting (if applicable) and adjustment transaction generation. The commission payout will be according to the Income Distribution Setup for the broker.

---

### **Note**

If you select the option 'Adjust and Pay Broker', it is mandatory that you select the option 'Broker' against the field 'To Entity Type'.

---

**Action Name***Display*

The system displays the description for the event at which you need to apply and compute the field.

**Management Fee Load ID***Alphanumeric; 10 Characters; Optional*

Management fee loads are always set up at a fund group level, and are applied based on the Assets Under Management (AUM), in respect of all the funds in the fund group.

Management fee loads are set up with the Average Daily Balance computation method, with Accrual Frequency as Daily, and can only be set when the periodic load setup is at a group level.

The load computation method (Nature of Load) for management fee loads can either be Simple Slab or Weighted Average.

**Load Description***Display*

The system displays the description for the selected management fee load ID.

**Intermediary***Alphanumeric; 1 Character; Mandatory*

In this field, you can indicate whether the periodic fee payment is to be made to the intermediary of the transaction that resulted in the periodic fee or to the default intermediary specified for the unit holder involved in the transaction that resulted in the periodic fee.

If you are setting up periodic load for Agent, Agency Branch, Account officer or IFA, the Intermediary should be set to either 'Hierarchy' or 'Transaction'. If the Intermediary is set to 'Hierarchy', the commission will be processed to the Default entities maintained at SLA. If the Intermediary is set to 'Transaction', the commission will be processed to the entities maintained at the Transaction level.

In case of CIF Merger/ Hierarchy merger, Trailer commission will be processed to the respective entities till the merger and from the date of merger, the same is processed to the new entities.

**Intermediary Details***Display*

The system displays the description of the intermediary to which you need to pay the periodic fee.

**Last Processed Date***Display*

This indicates the date when the last payment was made.

**Sub Type***Alphanumeric; 3 Characters; Optional*

Specify the sub type to map the transaction sub type created earlier (69A or 69B or 86A) for Fee/incentive Transaction ('69/'86') for given periodic load setup.

## **Load Details**

### **Processing Frequency**

*Alphanumeric; 1 Character; Mandatory*

Specify the frequency at which the load that represents the trailing fee must be computed in the system. The system will then automatically compute the trailing commission as part of End of Day Processing based on this frequency, and a report will be generated.

By default, for daily accrual frequencies, the monthly accrual frequency is set; for other accrual frequencies, the processing frequency is deemed to be the same as the accrual frequency. The default option can be changed. If so, the processing frequency specified must always be greater than the accrual frequency.

The following frequencies are possible:

- Monthly
- Quarterly
- Half yearly
- Yearly

### **Processing Frequency Description**

*Display*

The system displays the description for the selected processing frequency.

### **No of Decimals**

*Alphanumeric; 1 Character; Mandatory*

Specify the number of decimals for the periodic load. Typically, this must be equal to the number of decimals designated for the currency of payment. Trailer commissions are typically paid in the base currency of the fund.

### **Next Date to Process**

*Date Format; Mandatory*

When you are setting up a periodic fee for the first time, you must specify the date on which the fee is to be first processed.

### **Round-off/Truncate**

*Mandatory*

Select whether the computed load must be rounded-off or truncated from the drop-down list.

### **Payment Lag Frequency**

*Alphanumeric; 1 Character; Optional*

Specify the payment lag frequency from the option list.

### **Payment Lag Frequency Description**

*Display*

The system displays description for the specified payment lag frequency based on the details maintained in the system.

### **Minimum Holding Period**

*Numeric; 5 Characters; Optional*

You can indicate a minimum period for which the units must be held, before they can be considered for computation of the trailing fee. This value is reckoned in days. It is not mandatory to set a minimum holding period.

If this value is not specified, all holdings during the trailer commission period are eligible for trailer commission.

### **Accrual Frequency**

*Alphanumeric; 1 Character; Mandatory*

Specify the frequency at which the fee must be accrued in the system. Any of the following frequencies can be set:

- Daily
- Monthly
- Quarterly
- Half yearly
- Yearly

### **Accrual Frequency Description**

*Display*

The system displays the description for the selected accrual frequency.

### **Last Accrual Date**

*Display*

This indicates the last date on which the periodic fee was accrued.

### **Last Accrual Application Date**

*Display*

This indicates the last application date when the periodic fee was accrued.

### **Next Accrual Date**

*Display*

This indicates the next date when the periodic fee will accrue.

### **FDAP Income**

*Optional*

Select to indicate periodic load being distributed is FDAP income or not from the drop-down list. Following are the options available in the drop-down list:

- Yes
- No

### **Payment Lag**

*Numeric; 22 Characters; Optional*

Specify the payment lag to be applicable for the trailing commission fee.

### **First Load To Be Computed**

Select the first load to be computed from AUM. Following are the options available in the drop-down list:

- Trailer Commission
- Management Fee

By default, First Load to be Computed is Trailer Fee.

### **Netted AUM for Second Load**

Select if second load has to be computed on netted AUM. Following are the options available in the drop-down list:

- Yes

- No

If First Load to be Computed is Management Fee then while calculating Trailer Fee, system reduces the AUM by the Management Fee accrual amount and calculate Trailer Fee accrual.

## **Reversal**

### **Reversal Date Basis**

*Alphanumeric; 1 Character; Mandatory*

In this field, you can specify whether the impact of transaction reversals must be affected from the transaction date (Reversal at Source) or from the reversal date (Reversal at Current). Depending upon the option you specify here, the basis units for trailer commission would be affected as of the date of reversal (Reversal at Current) or as of the date of the original transaction (Reversal at Source).

If you opt for the Reversal at Source option, you can choose either the transaction date or the price date option.

### **Reversal Date Basis Description**

*Display*

The system displays description for the specified reversal date basis based on the details maintained in the system.

In cases where the accrual frequency is 'Daily', and the Reversal at Source option is applicable, and a transaction is reversed, if the transaction date is earlier than the last accrued date for trailer commission, the system recalculates the daily trailer commission from the transaction date to the last accrued date.

Also, in cases where the accrual frequency and payment frequency are different, and the Reverse at Source option is applicable, and a transaction is reversed with the transaction date being earlier than the last paid date, the holdings of such a transaction would have already been considered in the previous trailer commission computation. In respect of such a transaction, the system logs the following details, indicating that the transaction payment has already been done:

- Fund ID and AMC ID
- Distributor hierarchy details
- Trailer commission last paid date
- Original trailer commission amount accrued
- Original transaction number
- New transaction number
- Original transaction value
- Current value (zero in case of reversals)

## **Others**

### **Price Basis**

*Mandatory*

Here, you can indicate the price basis for periodic load computation. The options are:

- NAV
- Component Base



**Vat Percentage**

*Numeric; 5 Characters; Optional*

Specify a valid percentage you need to apply for the period load commission.

**Price Component**

*Alphanumeric; 10 Characters; Mandatory if the Price Basis is Component Base*

If the price basis for periodic load computation is component based, then select the fund price component to be utilized for computation from the list. The list displays all the components belonging to the type 'User Entered'.

**Basis for Units**

*Mandatory*

In this field, you can indicate whether the trailing commission is to be based on settled units or all units (both provisional and settled) from the drop-down list.

**Include for Netting?**

*Optional*

Select 'Yes' from the adjoining drop-down list, if you need to net the fees or incentive amount. The system defaults the value as 'No'.

**Holiday Rule for NAV**

*Alphanumeric; 1 Character; Mandatory*

In this field, you can indicate whether the previous day's NAV (Prior) or the following day's NAV (After) is to be considered for market value calculation, if there is an intermediate holiday during the trailer commission period.

**Holiday Rule for NAV Description**

*Display*

The system displays the description for the selected holiday rule for NAV.

**Trailer Commission Transaction Pickup Basis**

*Alphanumeric; 1 Character; Mandatory*

In this field you can indicate the basis upon which the AUM for the trailer commission would be arrived at. The options available are:

- Price date: All transactions with price date in trailing commission period and which have a non-zero holding in the trailer commission period are considered. The commission would accrue as of the price date. The AUM is computed as {Total units as of price date} \* {NAV as of price date}
- Transaction date: All transactions with transaction date in trailing commission period and which have a non-zero holding in the trailer commission period are considered. The commission would accrue as of the transaction date. The AUM is computed as {Total units as of transaction date} \* {NAV as of transaction date}
- Allocation date: All transactions with allocation date in trailing commission period and which have a non-zero holding in the trailer commission period are considered. The commission would accrue as of the allocation date. The AUM is computed as {Total units as of allocation date} \* {NAV as of allocation date}
- Dealing Date: All transactions with dealing date in trailing commission period and which have non-zero holding in the trailer commission period are considered. The commission would accrue as of the dealing date.

**Description**

*Alphanumeric; 60 Characters; Optional*

Specify description for the specified trailing commission transaction pickup basis.

### **Transaction Choose Basis**

*Alphanumeric; Optional*

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

### **Txn Choose Basis Description**

*Display*

The system displays the description for the selected transaction Choose basis value as follows:

- Methodology 1 - Subscription and Redemption for trade date, T, is only accounted for Total Units on T + 1 (Where T + 1 includes all non-trading day)
- Methodology 2- Subscription and Redemption for trade date, T, is only accounted for Total units on T + 1 (where T + 1 excludes all non-trading day)
- Methodology 3- Rejection for trade date, R, is accounted for Total units on R – 1 (where R-1 includes all non-trading day)

### **Threshold on Ongoing Fee**

*Alphanumeric; 30 Characters; Optional*

Specify threshold amount for ongoing fees, if the load type mapped is 'ROA' load.

The system compares the value specified with the cumulative AUM of the client to determine the Trailer fees to be charged.

### **Trailer Comm Aum Slab Basis**

*Mandatory*

Select a valid basis system to pick up AUM to determine the trailer commission load slab from the drop-down list. The list displays the following values:

- UH-Product-Policy-Fund-Level
- UH-Product-Policy-Level
- UH-Product-Level
- UH-Level
- CIF-Product-Level
- CIF-Level

You can not change the AUM basis specified for trailer commission in the accrual cycle after it is defined.

### **Fund Load Details**

#### **Fund ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the fund id. The adjoining option list displays valid fund ids maintained in the system. You can choose the appropriate one.

#### **Load ID**

*Numeric; 22 Characters; Optional*

Specify the load id. The adjoining option list displays valid load ids maintained in the system. You can choose the appropriate one.

**Management Fee Load ID**

*Numeric; 22 Characters; Optional*

Specify the load id of the management fee. The adjoining option list displays valid management fee load IDs maintained in the system. You can choose the appropriate one.

**Transaction Category****Transaction Category**

*Alphanumeric; 1 Character; Mandatory*

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

**Description**

*Display*

The system displays the description for the selected transaction category.

## **8.12 Periodic Load Maintenance (Summary) Screen**

This section contains the following topics

- [Section 8.12.1, "Invoking the Periodic Load Maintenance Summary Screen"](#)
- [Section 8.12.2, "Retrieving Periodic Load"](#)
- [Section 8.12.3, "Editing Periodic Load Maintenance Details"](#)
- [Section 8.12.4, "Viewing Periodic Load Maintenance Details"](#)
- [Section 8.12.5, "Deleting Periodic Loads"](#)
- [Section 8.12.6, "Authorizing Loads"](#)
- [Section 8.12.7, "Amending Periodic Loads"](#)
- [Section 8.12.8, "Authorizing Amended Loads"](#)
- [Section 8.12.9, "Copying Attributes"](#)

### **8.12.1 Invoking the Periodic Load Maintenance Summary Screen**

After you have set up a periodic load, you must have another user authorize it so that it would be effective in the system.

Before the periodic load is authorized, you can edit it as many times as necessary. You can also delete a periodic load before it is authorized.

After authorization, you can only make changes to a periodic load through an amendment.

The 'Periodic Load Maintenance Summary' screen can be used for the following operations on periodic loads:

- Retrieving periodic loads for viewing
- Editing unauthorized fee setups
- Deleting unauthorized setups
- Authorizing setups
- Amending authorized setups

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

## 8.12.2 Retrieving Periodic Load

To perform any operation on a periodic load record:

- Invoke the Load Maintenance Summary screen and specify the following:
  - The authorization status of the periodic load maintenance records in the Authorization Status field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the periodic load maintenance records in the Open field. If you choose the “Blank Space” option, then all the records are retrieved.
  - Reference Number
  - Fund/Product/Group
  - Fund ID
  - Product ID
  - Group ID
  - Load ID
- Click 'Search' button after you have specified the required details. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve an individual Load ID from the Detail screen by doing query in the following manner:-

- Press F7
  - Input any parameter in the screen
  - Press F8
- 

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

**Example**

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

- **Search Fund ID by F%**: The system will fetch all the records whose Fund ID starts from Alphabet 'F'. Example: Fund1.
- **Search Fund by %7**: The system will fetch all the records whose Fund ID ends with 7. Example: FUND7.

### **8.12.3 Editing Periodic Load Maintenance Details**

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

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

### **8.12.4 Viewing Periodic Load Maintenance Details**

To view the periodic load maintenance details that you have previously entered:

- Invoke the Periodic Load Maintenance Summary Screen from the Browser.
- Select the status of the periodic load maintenance records that you want to retrieve for viewing in the Authorized field. You can also view all periodic load maintenance records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the other periodic load search parameters for retrieving the records.
- Click 'Search' button . All the periodic load maintenance records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the periodic load that you want to view. The Periodic Load Maintenance Detail screen is displayed in view mode.

### **8.12.5 Deleting Periodic Loads**

You can delete only unauthorized periodic loads in the system. To delete a Periodic load:

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

### **8.12.6 Authorizing Loads**

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

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

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

### **8.12.7 Amending Periodic Loads**

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

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

## 8.12.8 Authorizing Amended Loads

An amended periodic load must be authorized for the amendment to be made effective in the system. The process of authorization is the same as that of normal authorization process.

## 8.12.9 Copying Attributes

If you want to create a periodic load having the same attributes of an existing periodic load, you can copy the attributes of an existing periodic load to a new periodic load.

To copy the attributes:

- Retrieve the periodic load whose attributes the new periodic load should inherit. You can retrieve the record through the Summary screen or through the F7- F8 operation which is explained in the previous sections of this chapter.
- Click on 'Copy' in the Actions list.
- Indicate the parameters for the new Periodic Load if required.

## 8.13 Computation of Trailing Fees

The computation of trailing fees depends upon the method of calculation that is specified for the trailing fee load. The fee can be calculated either using the Average Holdings approach or the Quarterly Average Holdings approach.

The method of computation also depends upon the entity for whom the fee is payable (i.e., the From Entity). The 'From Entity' could be the fund, the AMC or the unit holder.

The two approaches are explained below. Let us suppose that the trailing fee has been set up with the following slabs:

From Amount	To amount	Return Value (%age)
0	10000	1.25%
10000	30000	2.50%
30000	And above	3.50%

### **Quarterly Average Holdings approach (when the From entity is the fund or the AMC)**

In this approach, instead of considering the value of holdings on each day leading up to the processing date, the balances as on every quarter are considered for calculating the average, on the processing date.

### **Average Holdings approach (when the From entity is the unit holder)**

In this approach, the holdings held by each unit holder associated with the broker for whom the fee is being calculated are summed up for each day till the day of processing is reached, and the average value is taken on that date.

## 8.14 Methodologies of Trailer Commission Computation

The maintenance required for various methods of computation for trailer commission is indicated below:

Methodology	Trailer commission	Accrual frequency	Payment frequency
Daily trailer commission, based on AUM and Trailer Commission (TC) rate	Daily trailer commission = (Daily AUM * TC rate) / 365	Daily or greater than daily; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Daily trailer commission (based on AUM, Management fee, TC rate)	Daily trailer commission = (Daily AUM * Management fee rate * TC rate) / 365	Daily or greater than daily; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Monthly trailer commission (based on AUM on last day of month)	Monthly trailer commission = (AUM on last day of month * TC rate) / 12	Monthly or greater than Monthly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Monthly trailer commission (based on Average AUM for the month)	Monthly trailer commission = (Average AUM for the month * TC rate) / 12  Average AUM for month = Sum(Daily AUM for the month) / Actual number of days in month	Monthly or greater than Monthly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Monthly trailer commission (based on Opening and Closing AUM for the month)	Monthly trailer commission = (Average of Opening and Closing balance of AUM * TC rate) / 12	Monthly or greater than Monthly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Quarterly trailer commission (based on AUM on last day of quarter)	Quarterly trailer commission = (AUM on last day of quarter * TC rate) / 4	Quarterly or greater than Quarterly; should be less than payment frequency	Quarterly Half yearly Yearly
Quarterly trailer commission (based on Average AUM for the quarter)	Quarterly trailer commission = (Average AUM for the quarter * TC Rate) / 4	Quarterly or greater than Quarterly; should be less than payment frequency	Quarterly Half yearly Yearly
Quarterly Trailer Commission (based on Opening and Closing AUM for the quarter)	Quarterly trailer commission = (Average of opening and Closing balance of AUM * TC rate) / 4	Quarterly or greater than Quarterly; should be less than payment frequency	Quarterly Half yearly Yearly



## 8.15 Trailer Commission Processing

This section contains the following topics:

- [Section 8.15.1, "Processing Accrual of Trailer Commission"](#)
- [Section 8.15.2, "Processing Periodic Commission"](#)

### 8.15.1 Processing Accrual of Trailer Commission

The accrual of trailer commission for a fund or group of funds can be executed as a job, which you can trigger in the 'Trailing Commission Accrual Processing' screen.

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

The screenshot shows a window titled "Trailing Commission Accrual Processing". Inside the window, there is a "Save" button at the top left. Below it, there are several input fields and dropdown menus. On the left side, there is a dropdown menu for "Fund/Product/Group" with "Fund" selected. Below it is a text input field for "Fund/Product/Group ID \*", followed by "Description", "Load ID", "From Entity Type", and "To Entity Type". On the right side, there is a dropdown menu for "Process Type" with "-Select-" selected. Below it is a text input field for "Process Date" with a date picker icon, and a text input field for "Reference Number" with a search icon. At the bottom right, there are "Ok" and "Cancel" buttons.

You can specify the following details:

#### **Fund/Product/Group**

*Optional*

Select the category from the adjoining drop-down list. Following are the options available:

- Fund
- Product
- Group

#### **Fund/Product/Group ID**

*Alphanumeric; 50 Characters; Mandatory*

Specify the ID of the fund or fund group for which the trailing commission is to be accrued.

#### **Description**

*Display*

The system displays the description for the selected Fund/Product/Group ID.

#### **Load ID**

*Display*

The system displays the load ID based on the reference number selected.

### **From Entity Type**

*Display*

The system displays the from entity type based on the reference number selected.

### **To Entity Type**

*Display*

The system displays the to entity type based on the reference number selected.

### **Process Type**

*Optional*

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

- Mock
- Actual

### **Process Date**

*Date Format; Optional*

Specify the actual date in this field. As required you can alternatively specify mock accrual date.

The process date should be less than the application date.

You can also change the date to a back date, but the data output will be from last process date till the date provided while running this accrual.

The date input should be greater than last process date (payment date). The system will use From date as last processed date and To date as the report date/application date -1. If you provide last process date, then the system will not do any new accrual for that date and there will be output till the last process date. For instance, if the payment is monthly, and if 31-Dec was last payment date, then 01-Jan will be the From date. If the report is run on 20-Jan as application date, then mock output will be from 01-Jan to 19-Jan.

### **Reference Number**

*Alphanumeric; 50 Characters; Mandatory*

Specify the trailer fee for which the accrual can be fetched. The adjoining option list displays all valid reference number maintained in the system for periodic load. You can choose the appropriate one.

This field is applicable only for mock type

## **8.15.2 Processing Periodic Commission**

The Periodic commission as on date process will support all the methods of calculation currently supported in the system. The accrual frequency applicable is for all methods other than daily accrual. The accruals will be done in Fund base currencies only.

The process can be run multiple times, but the earlier data will be overridden with the latest data stored in a new table. However, you can change the date to a back date, in that case the data output will be from last process date till the date provided while running this accrual.

The date input should be greater than last process date (accrual date). The system will use from date as last processed date and to date as the report date/application date -1. For instance, if the payment is monthly say 31<sup>st</sup> Dec was last payment date then 1<sup>st</sup> Jan will be the from date. If the report is run on 20<sup>th</sup> Jan as application date then mock output will be from 1<sup>st</sup> Jan to 19<sup>th</sup> Jan.

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**Note**

- Quarterly average holding method supports quarterly accrual and yearly payment frequency.
  - Quarterly average holding method is supported for broker set up only
- 

Following client country needs to be “ON” for this method to be functional in system:

- TCQ computation will be done only when the client country AOSTRAILCOMM is ‘ON’ during payment processing.
- The quarterly average holdings computation will be done only when the client country HBGTRAILCOMM is ‘ON’.
- If the client country AOSTRAILCOMM is ‘OFF’, accrual entries will be posted but with basis amount as zero and resulting in zero accrual amount.

## 8.16 Processing Payment of Trailer Commission

This section contains the following topics:

- [Section 8.16.1, "Invoking Trailing Commission Payment Processing Screen"](#)

### 8.16.1 Invoking Trailing Commission Payment Processing Screen

The payment of accrued trailer commission for a fund or group of funds can be executed as a job, which you can trigger in the ‘Trailing Commission Payment Processing’ screen.

You can invoke this screen by typing ‘UTDTCPP’ 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 "Trailing Commission Payment Processing". At the top left, there is a "Save" button. Below it, there is a label "Fund/Product/Group" followed by a dropdown menu showing "Fund". Below that, there is a red asterisk and the text "Fund/Product/Group ID \*". Below that is a text field for "Fund/Product/Group Description". At the bottom right, there are "Ok" and "Cancel" buttons.

#### **Fund/Product/Group**

##### *Optional*

Select the category from the adjoining drop-down list. Following are the options available:

- Fund
- Product

- Group

**Fund/Product/Group ID**

*Alphanumeric; 50 Characters; Mandatory*

Specify the ID of the fund or fund group for which accrued trailing commission is to be paid.

**Description**

*Display*

The system displays the description for the selected Fund/Product/Group ID.

## 8.17 Target Based Fee

This section contains the following topics

- [Section 8.17.1, "Maintaining Target Based Fee"](#)

### 8.17.1 Maintaining Target Based Fee

On achieving target sales for a given period, an agent/broker is paid an additional fee/ brokerage. The broker/agent is eligible to receive a commission on total sales done by him in a given period.

You can maintain target based brokerage at AMC-Fund-Broker level using the 'Target Based Fee' screen. You can invoke this screen by typing 'UTDTGBFE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

**AMC ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC. You can also select the AMC for target based fee from the adjacent option list. The list displays all the valid authorized values maintained in the system.

You can select 'ALL' option if you want to select all the valid AMC maintained in the system.

**Load ID**

*Numeric; 5 Characters; Mandatory*

Specify the Load. You can also select the load from the adjacent option list. The authorized loads having the 'Slab Mode' option selected as 'Date Amount' will be displayed in the option list.

**Load Description**

*Display*

The description of the selected load is displayed.

**Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the fund. You can also select the fund from the adjacent option list. The list displays all the valid authorized values maintained in the system.

You can select 'ALL' option if you want to select all the valid funds maintained in the system.

**Fund Name**

*Display*

The description of the selected fund is displayed.

**Broker ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the broker ID. You can also select the broker from the adjacent option list. The list displays all the valid authorized values maintained in the system.

You can select 'ALL' option if you want to select the entire valid broker maintained in the system.

**Broker Name**

*Display*

The description of the selected broker is displayed.

**Process Date**

*Date Format; Mandatory*

Specify the processing date. The target based brokerage is processed on this date. If the date maintained here is a system holiday, then the system will process the brokerage only on the next working day.

**Reference Number**

*Display*

On saving the transaction, a unique reference number is generated.

**Processed**

*Display*

The system displays 'Yes' value if the transaction is processed on the processed date.

During EOD batch, all the unprocessed transactions with processing date less than or equal to application date will be considered for processing. Based on the load setup, all the transactions with transaction date within the date range specified in the load will be considered. Transaction amount (in fund base currency) will be the basis amount for fee computation. In case of unit based transaction, units applied and latest available NAV will be used to derive the basis amount. If latest NAV is not available, then the system will use the par value. Transaction with in-complete exchange rate details will not be considered for processing. The computed brokerage will be stored in the system.

## 8.18 Target Based Fee Summary Screen

This section contains the following topics

- [Section 8.18.1, "Invoking the Target Based Fee Summary Screen"](#)
- [Section 8.18.2, "Retrieving/Viewing Target Based Fee Details"](#)
- [Section 8.18.3, "Editing Target Based Fee Details"](#)
- [Section 8.18.4, "Deleting Target Based Fee Details"](#)
- [Section 8.18.5, "Authorizing Target Based Fee Details"](#)
- [Section 8.18.6, "Amending Target Based Fee Details"](#)
- [Section 8.18.7, "Closing Target Based Fee Details"](#)
- [Section 8.18.8, "Reopening Target Based Fee Details"](#)

### 8.18.1 Invoking the Target Based Fee Summary Screen

After setting up a target based brokerage, another user must authorize it so that it would be effective in the system.

You can edit the transaction any number of times before the target based fee is authorized. You can also delete a target based fee before it is authorized.

After authorization, you can only make changes to the transaction.

The 'Target Based Fee Summary' screen can be used for the following operations:

- Retrieving target based fee for viewing
- Editing unauthorized target based fee
- Deleting unauthorized target based fee
- Authorizing setups
- Amending authorized setups
- Close target based fee
- Reopen target based fee

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

## 8.18.2 Retrieving/Viewing Target Based Fee Details

To retrieve a previously entered exchange rate record:

- Invoke the 'Target Based Fee Summary' screen and specify the following :
  - The authorization status of the exchange rate record in the Authorized field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the exchange rate records in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
  - Reference Number
  - Fund ID
  - AMC ID
  - Load ID
  - Process Date
  - Broker ID
  - Processed
- After you have specified the required details, click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve a target based fee detail from the Detail screen by doing query in the following manner:

- Press F7
  - Input Reference Number
  - Press F8
- 

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

### **8.18.3 Editing Target Based Fee Details**

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

- Invoke the Target Based Fee Summary' screen and specify the following :
  - The authorization status of the exchange rate record in the Authorized field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the exchange rate records in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
  - Reference Number
  - Fund ID
  - AMC ID
  - Load ID
  - Process Date
  - Broker ID
  - Processed
- After you have specified the required details, click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'Target Based Fee' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'Target Based Fee' screen is closed and the changes made are reflected in the 'Target Based Fee Summary' screen.

### **8.18.4 Deleting Target Based Fee Details**

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

- Invoke the Target Based Fee Summary' screen and specify the following :
  - The authorization status of the exchange rate record in the Authorization Status field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the exchange rate records in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
  - Reference Number
  - Fund ID
  - AMC ID



- Load ID
- Process Date
- Broker ID
- Processed
- After you have specified the required details, click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'Target Based Fee' screen is displayed in the view mode.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **8.18.5 Authorizing Target Based Fee Details**

Apart from the maker, someone else must authorize an unauthorized broker deal in the system for it to be processed. To authorize a record:

- Invoke the 'Target Based Fee Summary' screen from the Browser.
- 'The status of the transaction in the 'Authorized field. Choose the 'Unauthorized' status.
- Click 'Search' button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

### **8.18.6 Amending Target Based Fee Details**

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

- Invoke the 'Target Based Fee Summary' screen from the Browser.
- Select the status of the transaction that you wish to retrieve for amendment. You can only amend only authorized records.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The 'Target Based Fee' screen is displayed.
- Click the Unlock operation from the Action list to amend the record. Amend the necessary information. Click the Save button to save the changes.

### **8.18.7 Closing Target Based Fee Details**

After a target based brokerage is authorized, it can be closed using the Close operation from Action list. To close a record:

- Invoke the 'Target Based Fee Summary' screen from the Browser.
- Select the status of the transaction that you wish to close.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to close. The 'Target Based Fee' screen is displayed.
- Click the Close operation from the Action list to close the record.

### **8.18.8 Reopening Target Based Fee Details**

After a target based brokerage is closed, it can be reopened using the Reopen operation from Action list. To reopen a record after closure:

- Invoke the 'Target Based Fee Summary' screen from the Browser.
- Select the status of the transaction that you wish to reopen.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to reopen. The 'Target Based Fee' screen is displayed.
- Click the Reopen operation from the Action list to open the record.

## **8.19 Entity Commission**

This section contains the following topics:

- [Section 8.19.1, "Invoking the Entity Commission Sharing Detail Screen"](#)

### **8.19.1 Invoking the Entity Commission Sharing Detail Screen**

Trailer commission on holdings in a fund, is typically paid by the fund to the master distributor agent, and the sharing of trailer commission between the master distributor and other transaction intermediaries is processed based on the hierarchy level holdings.

The rules according to which trailer commissions could be shared can be set up in the 'Entity Commission Sharing Detail' screen. You can invoke this screen by typing 'UTDENTCO' in the

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

In this screen, the sharing of commission could be set up by providing the following details:

### **Type Of Commission**

*Alphanumeric; 12 Characters; Mandatory*

Specify the type of commission being shared – Transaction Fee Commission, Trailer Fee Commission or Admin Tax.

### **Description**

*Display*

The system displays the description for the selected type of commission.

### **AMC ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC for which you are defining the sharing setup. If the same setup is applicable for all AMCs, you can select the ALL option.

### **AMC Name**

*Display*

The system displays the description for the selected AMC ID.

**Parent Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the type of entity for which the trailer commission sharing is applicable. This could be the Distributor Agent, Branch, Account Officer or IFA.

**Parent Entity Description**

*Display*

The system displays the description for the selected parent entity type.

**Parent Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the ID of the specific entity of the selected type, for which the trailer commission sharing is applicable. If the same setup is applicable for all underlying entities of the selected type, you can select the ALL option.

**Parent Entity Name**

*Display*

The system displays the description for the selected parent entity name.

**To Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the type of entity for which the trailer commission sharing is applicable.

**To Entity Description**

*Display*

The system displays the description for the selected To Entity type.

**To Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the ID of the specific entity of the selected type, for which the trailer commission sharing is applicable.

**To Entity Name**

*Display*

The system displays the description for the selected To Entity name.

**Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the fund of the AMC for which you are defining the sharing setup. If the same setup is applicable for all funds of the AMC, you can select the ALL option.

**Fund Name**

*Display*

The system displays the description for the selected fund ID.

**Fund ISIN**

*Display*

The system displays the fund ISIN code for the selected fund ID.

If you have specified Fund ISIN code, then the system displays the fund ID.

**Group ID**

*Alphanumeric; 6 Characters; Optional*

Specify the group ID.

**Group Description**

*Display*

The system displays the description for the selected group ID.

**Commission Sharing Methods**

*Alphanumeric; 2 Characters; Mandatory*

Specify the commission sharing methods.

**Description**

*Display*

The system displays the description for the selected commission sharing methods.

**Commission Percentage**

*Numeric; 2 Characters; Optional*

Specify the commission percentage.

---

**Note**

You will not be able to specify the commission percentage, if Admin Tax Sharing is opted as the type of commission to be shared.

---

**Performance Parameters****Load ID**

*Alphanumeric; 5 Characters; Optional*

Specify the load ID.

**Description**

*Display*

The system displays the description for the selected load ID.

**Commission Currency**

*Alphanumeric; 3 Characters; Optional*

Specify the commission currency code.

**Description**

*Display*

The system displays the description for the selected commission currency.

**Processing Frequency**

*Alphanumeric; 1 Character; Optional*

Specify the processing frequency for the sharing, and the next processing date for the commission sharing.

**Description**

*Display*

The system displays the description for the selected processing frequency.

**Calculation Method**

*Alphanumeric; 1 Character; Optional*

Specify the calculation method. The calculation method could either be Daily or Average Balance.

**Description***Display*

The system displays the description for the selected calculation method.

**Next Processing Date***Date Format; Optional*

Specify the next processing date for the commission sharing.

Based on the AMC-Distributor agreement, the commission share of the Branches and IFAs could be processed at the AMC. For this, the commission sharing set up is to be maintained at fund level. At the AMC installation, the set up applies only to AMC funds; at the Distributor, the set up applies to other funds too.

## **8.20 Entity Commission Sharing Summary**

This section contains the following topics:

- [Section 8.20.1, "Retrieving Record in Entity Commission Sharing Summary Screen"](#)
- [Section 8.20.2, "Editing Record in Entity Commission Sharing Summary Screen"](#)
- [Section 8.20.3, "Viewing Entity Commission Sharing Record"](#)
- [Section 8.20.4, "Deleting Entity Commission Sharing Record"](#)
- [Section 8.20.5, "Authorizing Entity Commission Sharing Record"](#)
- [Section 8.20.6, "Amending Entity Commission Sharing Record"](#)
- [Section 8.20.7, "Authorizing Amended Entity Commission Sharing Record"](#)

### **8.20.1 Retrieving Record in Entity Commission Sharing Summary Screen**

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

Invoke the 'Entity Commission Sharing Summary' screen by typing 'UTSENTCO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. You can perform the following operations in 'Entity Commission Sharing Summary' screen:

Specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Type Of Commission
- Parent Entity ID
- To Entity ID
- Fund ID
- Commission Sharing Methods
- Parent Entity Type
- To Entity Type
- AMC ID
- Group ID

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

## **8.20.2 Editing Record in Entity Commission Sharing Summary Screen**

You can modify the details of a record in Entity Commission Sharing Detail screen that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

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

## **8.20.3 Viewing Entity Commission Sharing Record**

To view a record that you have previously input, you must retrieve the same in the Entity Commission Sharing Summary screen as follows:

- Invoke the Entity Commission Sharing Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Entity Commission Sharing Detail screen is displayed.

## **8.20.4 Deleting Entity Commission Sharing Record**

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

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



### **8.20.5 Authorizing Entity Commission Sharing Record**

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

- Invoke the Entity Commission Sharing Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only authorize unauthorized records. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Entity Commission Sharing Detail screen is displayed.
- Select Authorize operation from the Action List.

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

### **8.20.6 Amending Entity Commission Sharing Record**

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

- Invoke the Entity Commission Sharing Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Entity Commission Sharing Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

### **8.20.7 Authorizing Amended Entity Commission Sharing Record**

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

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

## **8.21 Campaign Maintenance**

This section contains the following topics:

- [Section 8.21.1, "Invoking the Campaign Maintenance Screen"](#)
- [Section 8.21.2, "Fund Mapping Tab"](#)
- [Section 8.21.3, "Load Mapping Tab"](#)
- [Section 8.21.4, "Campaign Criteria Tab"](#)
- [Section 8.21.5, "Transaction Types Tab"](#)

- [Section 8.21.6, "Processing of Deduction Counter Tracking"](#)

## 8.21.1 Invoking the Campaign Maintenance Screen

On certain instances, based on some criteria an AMC may offer certain discount to the investors on a fund or group of funds or for all funds. Encouraging business by offering certain discounts to the investor is called Campaign. It is similar to the incentive/fee concept.

You can maintain the campaign details in the 'Campaign Maintenance' screen. You can invoke this screen by typing 'UTDCMPMN' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

In this screen, you can maintain the following details:

### **Campaign Code**

*Alphanumeric; 10 Characters; Mandatory*

Specify the code to identify the campaign,

### **Campaign Description**

*Alphanumeric; 60 Characters; Mandatory*

Specify a name to the campaign.

**Campaign Start Date***Date Format; Mandatory*

Specify the campaign start date.

**Campaign End Date***Date Format; Mandatory*

Specify the campaign end date. The end date cannot be less than or equal to the Application date.

**Campaign Type***Alphanumeric; 1 Character; Optional*

Specify the type of campaign. Alternatively, you can select campaign code from the option list. The list displays all valid campaign type maintained in the 'CAMPAIGNTYPES' parameter list.

**Campaign Type Description***Display*

The system displays the description for the selected campaign type.

The system maintains 'CAMPAIGNTYPES' parameter as follows:

Param Code	Param Description	Max Length (Param Value)	Maintainable	List of values
CAMPAIGN TYPES	Specifies the different campaign types	20	Yes	Account opening date, Transaction date, Loyalty, Birthday.

**Example 1 - Transaction campaign**

Any Individual investor has done an investment more than 1000 TWD from 01-Jan-2017 to 01-Feb-2017 via e-mail will be eligible for the campaign. The system will setup Campaign CMP001 with following attributes:

Attributes	Values
Activity period Basis	Transaction Date
Campaign code	CMP001
Campaign Type	Transaction campaign
Campaign Name	New year campaign
Campaign Start Date	1-Jan-17
Campaign End Date	1-Feb-17
Activity Period from	1-Jan-17
Activity Period (to)	1-Feb-17
Minimum Investment	1000
Investor type	Individual

Attributes	Values
Communication Mode	E-mail
Fund Load	Return value 5%
Overridden Load	Return value 3%

**Example 2- Birthday Range campaign**

Any Individual investor has done an investment more than 1000 TWD from 01-Jan-2017 to 31-Dec-2017 via e-mail and having birth dates between 01-JAN-1980 and 01-JAN-1985 will be eligible for the campaign. The system will setup Campaign CMP002 as follows:

Attributes	Values
Activity period Basis	Birthday Range
Campaign code	CMP002
Campaign Type	Transaction campaign
Campaign Name	Young Investor campaign
Campaign Start Date	1-Jan-17
Campaign End Date	31-Dec-17
Activity Period from	1-Jan-80
Activity Period (to)	1-Jan-85
Minimum Investment	1000
Investor type	Individual
Communication Mode	E-mail
Fund Load	101 (Return value 5%)
Overridden Load	104(Return value 2%)

**Example 3- New Investor campaign**

Any Individual investor has done an investment more than 1000 TWD from 01-Jan-2017 to 31-Dec-2017 via e-mail and have opened account between 01-Jan-2017 to 01-May-2017 will be eligible for the campaign. The system will setup Campaign CMP003 as follows:

Attributes	Values
Activity period Basis	Account opening date
Campaign code	CMP003
Campaign Type	Transaction campaign
Campaign Name	New Investor campaign
Campaign Start Date	1-Jan-17
Campaign End Date	31-Dec-17

Attributes	Values
Activity Period from	1-Jan-17
Activity Period (to)	1-May-17
Minimum Investment	1000
Investor type	Individual
Communication Mode	E-mail
Fund Load ID	101 (Return value 5%)
Overridden Load ID	105 (Return value 1%)

**Example 4- Age Range campaign**

Any Individual investor has done an investment more than 1000 TWD from 01-Jan-2017 to 31-Dec-2017 via E-mail and having age range between 20 to 40 will be eligible for the campaign. The system will setup Campaign CMP004 as follows:

Attributes	Values
Campaign code	CMP004
Campaign Type	Transaction campaign
Campaign Name	Age campaign
Campaign Start Date	1-Jan-17
Campaign End Date	31-Dec-99
Age from	20
AgeTo	40
Minimum Investment	1000
Investor type	Individual
Communication Mode	E-mail
Fund Load	101 (Return value 5%)
Overridden Load	104(Return value 2%)

**Example 5- Loyalty campaign**

Any Individual investor having successful deduction count above 60 months in onshore funds, will be eligible for the fee waiver for subsequent RSP/DRSP transactions. The system will setup Campaign CMP005 as follows:

Attributes	Values
Campaign code	CMP005
Campaign Type	Loyalty campaign

<b>Attributes</b>	<b>Values</b>
Campaign Name	Loyalty campaign
Campaign Start Date	1-Jan-07
Campaign End Date	31-Dec-50
Investor type	Individual
Fund Load	101 (Return value 5%)
Overridden Load	104(Return value 0%)
Fund/Fund Type	Onshore
Period	Monthly
Transaction Type	41 (RSP)/45 (DRSP)

### **8.21.2 Fund Mapping Tab**

#### **Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the fund which has to be mapped to the campaign. You can also select the funds to be mapped from the option list provided. The option list consists of valid and authorised funds maintained in the system.

Select 'ALL' option, if you wish to apply the campaign for all the funds.

#### **Fund Name**

*Display*

On selecting the fund ID, the fund name is displayed.

### 8.21.3 Load Mapping Tab

Select 'Load Mapping' tab to map a load with an override load.

The screenshot shows the 'Campaign Maintenance' application window. At the top, there is a 'Save' button. Below it are several form fields: 'Campaign Code \*', 'Campaign Description \*', 'Campaign Start Date \*' (with a date picker), 'Campaign End Date \*' (with a date picker), 'Campaign Type \*', and 'Campaign Type Description'. Below these fields are four tabs: 'Fund Mapping', 'Load Mapping' (which is highlighted in red), 'Campaign Criteria', and 'Transaction Types'. Under the 'Load Mapping' tab, there is a table with the following columns: 'Load ID \*', 'Load Description', 'Overridden Load Id \*', and 'Overridden Load Description'. The table has one row with checkmarks in the first two columns. Below the table are two buttons: 'Load Details' and 'Overriden Load Details'. At the bottom of the window, there is a status bar with fields for 'Input by', 'DateTime', 'Mod No', 'Open', and 'Authorized by', and a 'Cancel' button.

In this screen, you can maintain the following details:

#### **Load ID**

*Numeric; 5 Characters; Mandatory*

Specify the load ID which should be mapped to the overridden load.

#### **Load Description**

*Display*

The description of the load is displayed.

#### **Overridden Load ID**

*Alphanumeric; 5 Characters; Mandatory*

Specify the overridden load ID which should override the 'from load'.

#### **Override Load Description**

*Display*

The description of the load is displayed.

Click 'Load Details' button to invoke 'Load Maintenance Detail' screen. You can view the load information details.

Click 'Overridden Load Details' button to invoke 'Load Maintenance Detail' screen. You can view Overridden Load Information details.

---

### Note

The Fund Load and the Campaign load (which will override Fund Load) to be of the same type. i.e. either they should be a percentage based return value or amount based return value load.

---

## 8.21.4 Campaign Criteria Tab

Click 'Campaign Criteria' tab to maintain the criterion for the campaign.

The screenshot shows the 'Campaign Maintenance' window with the 'Campaign Criteria' tab selected. The window has a title bar with 'Campaign Maintenance' and standard window controls. Below the title bar is a 'Save' button. The main area contains several input fields and tabs. The 'Campaign Criteria' tab is active, showing fields for 'Investor Type' (set to 'Individual'), 'Investor Category', 'Investor Category Description', 'Communication Mode', 'Communication Mode Description', 'Activity Based on' (set to 'Select'), 'Basis From', 'Birth Day', 'Age Range From', 'Fund/Fund Type', and 'RSP Period'. To the right, there are fields for 'Campaign Code', 'Campaign Start Date', 'Campaign End Date', 'Campaign Description', 'Campaign Type', and 'Campaign Type Description'. Further right are fields for 'Minimum Investment Amount', 'Maximum Investment Amount', 'Occupation', 'Occupation Description', 'Benefit Counter', 'Basis To', 'Birthday Month', 'Age Range To', 'RSP Date', and 'RSP'. At the bottom, there is a footer area with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

In this screen, you can maintain the following details:

### Investor Type

*Optional*

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

- Individual
- Corporate

### Investor Category

*Alphanumeric; 2 Characters; Optional*

Specify the investor's category. You can also select the category from the adjacent option list. The list consists of valid investor categories maintained in the system.



### **Investor Category Description**

*Display*

The system displays the description for the selected investor category.

### **Communication Mode**

*Alphanumeric; 2 Characters; Optional*

Specify the mode of communication. You can also select the mode of communication from the option list provided. The list consists of valid communication modes maintained in the system.

### **Communication Mode Description**

*Display*

The system displays the description for the selected communication mode.

### **Activity Based on**

*Optional*

Select the activity based on which the campaign maintenance is done from the drop-down list. The list displays the following values:

- Transaction Date
- Account Opening Date
- Birthday Range

### **Basis From**

*Date Format; Optional*

Specify the basis from date.

### **Birthday**

*Alphanumeric; 50 Characters; Optional*

Specify the birth day of the investor.

### **Age Range From**

*Numeric; 22 Characters; Optional*

Specify the From age range.

### **Fund/ Fund Type**

*Alphanumeric; 2 Characters; Optional*

Specify the fund/ fund type level deduction counter derivation. Alternatively, you can select fund or fund type maintained in the system.

---

#### **Note**

The option list displays all fund types maintained in the system except Money market funds.

---

If fund is chosen, then the system will derive successful deduction counter at the fund for which RSP is mapped

If fund type is chosen, then the system will derive successful deduction counter for the UH across RSPs for the specific fund type.

If Onshore is chosen, then the system will derive successful deduction counter for the UH across RSPs invested in Onshore funds.

If Offshore is chosen, then the system will derive successful deduction counter for the UH across RSPs invested in Offshore funds.

### **RSP Period**

*Numeric; 1 Character; Optional*

Specify the RSP period to define deduction counter derivation based on period like Monthly/ Quarterly/ Yearly. Alternatively, you can select period from the option list. The list displays all valid period maintained in the system.

The system will derive the deduction counter based on period mentioned.

If Monthly option is selected, and if there are multiple successful transactions in a month for a specified parameter combination, the system will count successful debit counter as only 1.

If Quarterly option is selected, and if there are multiple successful transactions in a quarter for a specified parameter combination, the system will count successful debit counter for that quarter as only 1.

If Yearly option is selected, and if there are multiple successful transactions in a year for a specified parameter combination, the system will count successful debit counter for that year as only 1.

### **Minimum Investment Amount**

*Numeric; 30 Characters; Optional*

Specify the minimum range of investment applicable for this investment.

### **Maximum Investment Amount**

*Numeric; 30 Characters; Optional*

Specify the maximum range of investment applicable for this investment.

### **Occupation**

*Alphanumeric; 3 Characters; Optional*

Specify the occupation of the investor.

### **Occupation Description**

*Display*

The system displays the description for the selected occupation.

### **Benefit Counter**

*Numeric; 22 Characters; Mandatory*

Specify the maximum number of benefit that can be utilized by a unit holder.

### **Basis To**

*Date Format; Optional*

Specify the activity period to.

### **Birthday Month**

*Alphanumeric; 50 Characters; Optional*

Specify the birth month.

### **Age Range To**

*Numeric; 22 Characters; Optional*

Specify the To age range.

## RSP Date

*Date Format; Optional*

Select the RSP date to define deduction counter derivation based on RSP days from the adjoining calendar.

If multiple SI days is considered, the same needs to be entered with comma separated. For instance, if you input 8, 28 as RSP date, the system will derive the successful deduction at UH level and consider the RSP transactions on 8, 28.

## RSP

*Alphanumeric; 8 Characters; Optional*

Specify the RSP details to define deduction counter derivation at RSP plan level.

If this is chosen, the system will derive the counter based on the RSP on which the campaign is applied.

This feature is available only for subscription, switch in and RSP type of transaction. If more than one campaign is running at the same time for a fund, user will select the best campaign for the investor while capturing the transaction.

### 8.21.5 Transaction Types Tab

Click 'Transaction Types' tab to maintain the transaction type for the campaign.

The screenshot displays the 'Campaign Maintenance' application window. At the top, there is a 'Save' button. Below it, several fields are visible: 'Campaign Code \*', 'Campaign Start Date \*' (with a date picker), 'Campaign Type \*', 'Campaign Description \*', 'Campaign End Date \*' (with a date picker), and 'Campaign Type Description'. A tabbed interface at the bottom of this section includes 'Fund Mapping', 'Load Mapping', 'Campaign Criteria', and 'Transaction Types' (which is currently selected and highlighted in red). Below the tabs is a 'Transaction Type Details' table with a header row containing 'Transaction Type \*' and 'Ref Type \*'. The table has one data row with a checked checkbox in the first column. At the bottom of the application window, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

You can specify the following details:

## **Transaction Type Details**

### **Transaction Type**

*Alphanumeric; 2 Characters; Mandatory*

Specify the transaction type applicable for the campaign. Alternatively, you can select transaction type from the option list. The list displays all valid transaction type maintained in the system.

### **Ref Type**

*Display*

The system displays the ref type based on the selected transaction type.

## **8.21.6 Processing of Deduction Counter Tracking**

### **Campaign Maintenance Changes**

Campaigns can be setup with the following logic for deriving the deduction counter based on the attributes available at campaign setup level.

For any of the following methods, the system will not consider RSP into Money Market Fund for successful deduction count.

#### **Example**

Assume the parameter with Period selected as 'Monthly'. If the investor has 3 RSP plans for Fund A, Fund B and Fund C on dates 8, 18 and 28 respectively, the counter should be derived as 1 if at least 1 of these RSP transactions is successful.

In the second month, the counter will be derived as 2, if at least 1 of these RSP transaction is successful in 2<sup>nd</sup> month.

Assume the parameter with Period selected as 'Monthly' and RSP Plan as 'Yes'. If the investor has 3 RSP plans for Fund A, Fund B and Fund C on dates 8, 18 and 28 respectively, the counter should be derived as 3 if all these 3 transactions are successful. (If only 2 transactions are successful, the counter will be derived as 2).

In the second month, the counter will be derived as 6, if all 3 RSP transactions are successful in 2<sup>nd</sup> month.

Select 'FundType' options as 'Onshore'. If the investor has performed 3 successful RSP transactions in an onshore fund and 2 successful RSP transactions in an offshore fund, the successful debit counter will be derived as 3. The 2 successful transactions in offshore fund will not be considered for debit counter derivation.

Plan 1, Plan 2, Plan 3 - Select Period as 'Monthly', Fund Type as 'Equity' and RSP Plan as 'Yes'

Plan 4, Plan 5, Plan 6 – Select Period as 'Monthly', Fund Type as 'Bond' and RSP Plan as 'Yes'.

Plan 1, Plan 2, Plan 3 - If the investor has 3 RSP plans for Fund A, Fund B and Fund C on dates 8, 18 and 28 respectively, the counter should be derived as 1 if at least 1 of these RSP transactions is successful.

In the second month, the counter will be derived as 2, if at least 1 of these RSP transaction is successful in 2<sup>nd</sup> month.

Plan 4, Plan 5, Plan 6 - If the investor has 3 RSP plans for Fund A, Fund B and Fund D on dates 8, 18 and 28 respectively, the counter should be derived as 3 if all these 3 transactions are successful. If only 2 transactions are successful, the counter will be derived as 2.

#### **Rules for defining criteria:**

Combination of above criteria along with other campaign criteria will be supported with following restrictions:

- Fund/ Fund Type can be combined with Period and RSP Date based criteria

- RSP Plan level cannot be combined with other criteria.

Campaign criteria evaluation will always check whether all criteria are met.

## 8.22 Campaign Summary Screen

This section contains the following topics

- [Section 8.22.1, "Invoking the Campaign Summary Screen"](#)
- [Section 8.22.2, "Retrieving/Viewing Campaign Details"](#)
- [Section 8.22.3, "Editing Campaign Details"](#)
- [Section 8.22.4, "Deleting Campaign Details"](#)
- [Section 8.22.5, "Authorizing Campaign Details"](#)
- [Section 8.22.6, "Amending Campaign Details"](#)

### 8.22.1 Invoking the Campaign Summary Screen

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

### 8.22.2 Retrieving/Viewing Campaign Details

You can retrieve/view the campaign details as follows:

- Invoke the 'Campaign Summary' screen from the Browser.
- Specify any or all of the following details in the screen:

- The status of the transaction in the 'Authorization Status' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
- The campaign code in the 'Campaign Code' field. If you choose the blank space, then all the records are retrieved.
- The start date of the campaign in the 'Campaign Start Date' field. If you choose the blank space, then all the records are retrieved.
- The end date of the campaign in the 'Campaign End Date' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'Campaign Maintenance' screen is displayed in the view mode.

### 8.22.3 Editing Campaign Details

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

- Invoke the 'Campaign Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The campaign code in the 'Campaign Code' field. If you choose the blank space, then all the records are retrieved.
  - The start date of the campaign in the 'Campaign Start Date' field. If you choose the blank space, then all the records are retrieved.
  - The end date of the campaign in the 'Campaign End Date' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'Campaign Maintenance' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'Campaign Maintenance' screen is closed and the changes made are reflected in the 'Campaign Summary' screen.

---

#### **Note**

While amending the campaign details, the campaign end date should not be less than or equal to the Application date.

---

### 8.22.4 Deleting Campaign Details

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

- Invoke the 'Campaign Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open field. If you choose the blank space, then all the records are retrieved.
  - The campaign code in the 'Campaign Code' field. If you choose the blank space, then all the records are retrieved.
  - The start date of the campaign in the 'Campaign Start Date' field. If you choose the blank space, then all the records are retrieved.
  - The end date of the campaign in the 'Campaign End Date' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'Campaign Maintenance' screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

---

**Note**

The maker of the record can only delete the unauthorized record.

---

### **8.22.5 Authorizing Campaign Details**

Apart from the maker, someone else must authorize an unauthorized broker deal in the system for it to be processed. To authorize a record:

- Invoke the 'Campaign Summary' screen from the Browser.
- 'The status of the transaction in the 'Authorized field. Choose the 'Unauthorized' status.
- Click 'Search' button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

### **8.22.6 Amending Campaign Details**

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

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

---

**Note**

While amending the campaign details, the campaign end date should not be less than or equal to the Application date.

---

## 8.23 Campaign Group Maintenance

This section contains the following topics:

- [Section 8.23.1, "Invoking Campaign Group Maintenance"](#)

### 8.23.1 Invoking Campaign Group Maintenance

You can group the selective campaign maintenance into one campaign group. You can close and reopen this operation. You can add or delete a campaign in campaign group maintenance screen. You can invoke this screen by typing 'UTDCMPGR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Campaign Code *	Campaign Description	Status
		Active

You can specify the following details:

#### **Campaign Group**

*Alphanumeric; 10 Characters; Mandatory*

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

#### **Campaign Group Description**

*Alphanumeric; 255 Characters; Mandatory*

Specify the description for the campaign group.



## **Campaign Code Details**

### **Campaign Code**

*Alphanumeric; 10 Characters; Mandatory*

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

### **Campaign Description**

*Display*

The system displays the description for the selected campaign code.

### **Status**

*Optional*

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

- Active
- Expired

## **8.24 Campaign Group Summary**

This section contains the following topics:

- [Section 8.24.1, "Retrieving a Record in Campaign Group Summary Screen"](#)
- [Section 8.24.2, "Editing Campaign Group Record"](#)
- [Section 8.24.3, "Viewing Campaign Group Record "](#)
- [Section 8.24.4, "Deleting Campaign Group Record"](#)
- [Section 8.24.5, "Authorizing Campaign Group Record "](#)
- [Section 8.24.6, "Amending Campaign Group Record "](#)
- [Section 8.24.7, "Authorizing Amended Campaign Group Record "](#)

### **8.24.1 Retrieving a Record in Campaign Group Summary Screen**

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

You can invoke 'Campaign Group Summary' screen by typing 'UTSCMPGR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Campaign Group
- Campaign Group Description

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

---

#### Note

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

- Press F7
  - Input the Campaign Group
  - Press F8
- 

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

---

**Note**

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

---

### **8.24.2 Editing Campaign Group Record**

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

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

Click Save to save your changes. The Campaign Group Detail screen is closed and the changes made are reflected in the Campaign Group Summary screen.

### **8.24.3 Viewing Campaign Group Record**

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

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

### **8.24.4 Deleting Campaign Group Record**

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

- Invoke the Campaign Group Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Campaign Group Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **8.24.5 Authorizing Campaign Group Record**

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

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

### **8.24.6 Amending Campaign Group Record**

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

- Invoke the Campaign Group Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Campaign Group Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **8.24.7 Authorizing Amended Campaign Group Record**

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

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

## **8.25 Campaign Counter Updation**

This section contains the following topics:

- [Section 8.25.1, "Invoking Campaign Counter Updation Screen"](#)

## 8.25.1 Invoking Campaign Counter Updation Screen

You can update campaign counter for a particular transaction number using 'Campaign Counter Updation' screen. You can invoke this screen by typing 'UTDCMPUP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Campaign Counter Updation

Execute Query

Campaign Code \*

Unit Holder ID \*

Find UH

Fund ID

Reference Type

Transaction Number \*

Utilized

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

Ok Cancel

You can specify the following details:

### Campaign Code

*Alphanumeric; 10 Characters; Mandatory*

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

### Unit Holder ID

*Alphanumeric; 12 Characters; Mandatory*

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

Click 'Find UH' button to fetch unit holder details.

### Fund ID

*Display*

The system displays the fund ID.

**Reference Type**

*Display*

The system displays the reference type.

**Transaction Number**

*Alphanumeric; 16 Characters; Mandatory*

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

**Utilized**

*Optional*

Select if the campaign should be re-used again for the unit holder from the drop-down list. The list displays the following values:

- Yes
- No

You can re-use a campaign for a particular transaction number by selecting 'Utilized' field as 'No'. The system will in turn update the benefit counter in the campaign.

## **8.26 Campaign Counter Updation Summary**

This section contains the following topics:

- [Section 8.26.1, "Invoking Campaign Counter Updation Summary Screen"](#)
- [Section 8.26.2, "Retrieving Campaign Counter Updates in Summary Screen"](#)
- [Section 8.26.3, "Editing Campaign Counter Updates"](#)
- [Section 8.26.4, "Viewing Campaign Counter Updates"](#)
- [Section 8.26.5, "Deleting Campaign Counter Updates"](#)
- [Section 8.26.6, "Authorizing Campaign Counter Updates"](#)
- [Section 8.28.7, "Amending Admin Tax Maintenance Record"](#)
- [Section 8.28.8, "Authorizing Amended Admin Tax Maintenance Record"](#)

## 8.26.1 Invoking Campaign Counter Updation Summary Screen

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

Campaign Counter Updation Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Campaign Code  Unit Holder ID

Fund ID  Reference Type

Transaction Number  Utilized

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Campaign Code	Unit Holder ID	Fund ID	Reference Type	Transaction Number	Utilized
------------	------	---------------	----------------	---------	----------------	--------------------	----------

Exit

## 8.26.2 Retrieving Campaign Counter Updates in Summary Screen

You can retrieve a previously entered Campaign Counter Updates in the Summary screen, as follows:

- Invoke the Campaign Counter Updation Summary screen and specify the following :
  - The status of the fund type in the Authorized field. If you choose the "Blank Space" option, then all the Campaign Counter Updates are retrieved.
  - The status of the fund type in the Record Status field. If you choose the "Blank Space" option, then all the Campaign Counter Updates are retrieved.
  - Campaign Code
  - Fund ID
  - Transaction Number
  - Unit Holder ID
  - Reference Type
  - Utilized
- After you have specified the required details, click 'Search' button. All campaign counter updates with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve Campaign Counter Updates detail from the detail screen by doing query in the following manner:-

- Press F7
- Input the Fund ID
- Press F8

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

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

For example, you can search the record for Fund ID description by using the combination of % and alphanumeric value as follows:-

- **Search by M%:** The system will fetch all the records whose Fund ID description starts from Alphabet 'M'. For example, Mutual Fund.
- **Search by %7 :** The system will fetch all the records whose Fund ID ends by numeric value ' 7 ' For example, 217,267,77 and so forth.
- **Search by %17%:** The system will fetch all the records whose Fund ID contains the numeric value 17. For example, 3217, 2172 and so forth.

### **8.26.3 Editing Campaign Counter Updates**

You can modify the details of a campaign counter updates type that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Campaign Counter Updation Summary screen from the Browser.
- Select the status of the campaign counter updates type that you want to retrieve for modification in the Authorization Status field. You can only modify records of fund types that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- Specify any or all of the details of the Campaign Counter Updates in the corresponding fields on the screen to retrieve the Campaign Counter Updates that is to be modified.
- Click 'Search' button. All unauthorized Campaign Counter Updates with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the fund type that you want to modify. The Campaign Counter Updation screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The Campaign Counter Updation screen is closed and the changes made are reflected in the Campaign Counter Updation Summary screen.

### **8.26.4 Viewing Campaign Counter Updates**

To view a campaign counter updates that you have previously entered:

- Invoke the Summary Screen from the Browser.
- Select the status of the campaign counter updates that you want to retrieve for viewing in the Authorization Status field. You can also view all Campaign Counter Updates that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
- Specify any or all of the details of the campaign counter updates in the corresponding fields on the screen.



- Click 'Search' button. All Campaign Counter Updates with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the Campaign Counter Updates that you want to view in the list of displayed campaign counter updates. The Campaign Counter Updation screen is opened in view mode.

### **8.26.5 Deleting Campaign Counter Updates**

You can delete only unauthorized Campaign Counter Updates in the system.

To delete a Campaign Counter Updates:

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

### **8.26.6 Authorizing Campaign Counter Updates**

An unauthorized Campaign Counter Updates must be authorized in the system for it to be processed.

To authorize a fund type:

- Invoke the Campaign Counter Updation Summary screen from the Browser.
- Select the status of the Campaign Counter Updates that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop down list.
- Specify any or all of the details of the Campaign Counter Updates in the corresponding fields on the screen.
- Click 'Search' button. All Campaign Counter Updates with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the fund type that you wish to authorize. The Campaign Counter Updation screen displayed. Select Authorize operation from Action.

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

### **8.26.7 Amending Campaign Counter Updates**

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

- Invoke the Campaign Counter Updation Summary screen from the Browser.

- Select the status of the Campaign Counter Updates that you wish to retrieve for amendment. You can only amend records of Campaign Counter Updates that are authorized.
- Specify any or all of the details of the Campaign Counter Updates in the corresponding fields on the screen.
- Click 'Search' button. All Campaign Counter Updates with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the Campaign Counter Updates that you want to amend. The Campaign Counter Update screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the Campaign Counter Updates.
- Amend the necessary information. Click the Save button to save the changes.

### **8.26.8 Authorizing Amended Campaign Counter Updates**

An amended Campaign Counter Updates must be authorized for the amendment to be made effective in the system.

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

## **8.27 Admin Tax Maintenance**

This section contains the following topics:

- [Section 8.27.1, "Invoking the Admin Tax Maintenance Screen"](#)

### **8.27.1 Invoking the Admin Tax Maintenance Screen**

Admin Tax calculated by an external system will be sent to FCIS System as an external file. This can be interfaced and imported into FCIS system. Admin Tax calculated by an external system, can be imported into FLEXCUBE. The amount is accrued and proportionately distributed among the credit unions with respect to the business made till date.

If Calculation method is set to 'Daily', then the admin tax is computed and processed daily taking outstanding balance till date into consideration. On the other hand, if the calculation method is set to 'Average', the admin tax is computed monthly taking average balance into consideration.

---

#### **Note**

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

---

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

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

### **AMC**

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC from which the Admin tax would be distributed. You can make your choice by using the option list.

### **Rule Effective Date (DD/MM/YYYY)**

*Date Format; Optional*

Specify the date on which the admin tax needs to be captured.

---

#### **Note**

The effective date can be lesser than or equal to the system date.

---

### **Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Select the ID of the fund to which the admin tax needs to be distributed.

### **ISIN Code**

*Display*

The system displays the ISIN Code of the fund to which the admin tax needs to be distributed.

### **Admin Tax Value**

*Numeric; 22 Characters; Mandatory*

Specify the admin tax value to be distributed here.

---

#### **Note**

The amount specified here should be greater than zero.

---

### **To Entity Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the entity to which the admin tax needs to be distributed. You can make your choice by using the drop-down list.

## **8.28 Admin Tax Maintenance Summary**

This section contains the following topics:

- [Section 8.28.1, "Invoking Admin Tax Maintenance Summary Screen"](#)
- [Section 8.28.2, "Retrieving Admin Tax Maintenance Record in Summary Screen"](#)
- [Section 8.28.3, "Editing Admin Tax Maintenance Record"](#)
- [Section 8.28.4, "Viewing Admin Tax Maintenance Record"](#)
- [Section 8.28.5, "Deleting Admin Tax Maintenance Record"](#)
- [Section 8.28.6, "Authorizing Admin Tax Maintenance Record"](#)
- [Section 8.28.7, "Amending Admin Tax Maintenance Record"](#)
- [Section 8.28.8, "Authorizing Amended Admin Tax Maintenance Record"](#)

### **8.28.1 Invoking Admin Tax Maintenance Summary Screen**

You can use the 'Admin Tax Maintenance Summary' screen to:

- Edit an existing fund type
- View existing fund types
- Delete an existing fund type
- Authorize a fund type
- Amend an authorized fund type

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

## 8.28.2 Retrieving Admin Tax Maintenance Record in Summary Screen

You can retrieve a previously entered fund type in the Summary screen, as follows:

- Invoke the Admin Tax Maintenance Summary screen and specify the following :
  - The status of the fund type in the Authorized field. If you choose the “Blank Space” option, then all the fund types are retrieved.
  - The status of the fund type in the Record Status field. If you choose the “Blank Space” option, then all the fund types are retrieved.
  - AMC
  - Fund ID
- After you have specified the required details, click 'Search' button. All Fund Types with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve the Detail screen by doing query in the following manner:-

- Press F7
- Input the Fund ID
- Press F8

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

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

For example, you can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- **Search by M%:** The system will fetch all the records whose Fund ID description starts from Alphabet 'M'. For example, Mutual Fund.
- **Search by %7 :** The system will fetch all the records whose Fund ID ends by numeric value ' 7' For example, 217,267,77 and so forth.
- **Search by %17%:** The system will fetch all the records whose Fund ID contains the numeric value 17. For example, 3217, 2172 and so forth.

### **8.28.3 Editing Admin Tax Maintenance Record**

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

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

### **8.28.4 Viewing Admin Tax Maintenance Record**

To view a fund type that you have previously entered:

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

### **8.28.5 Deleting Admin Tax Maintenance Record**

You can delete only unauthorized fund types in the system.

- Invoke the Admin Tax Maintenance screen from the Browser.
- Select the status of the fund types that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to delete. The Admin Tax Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **8.28.6 Authorizing Admin Tax Maintenance Record**

An unauthorized fund type must be authorized in the system for it to be processed.

- Invoke the Admin Tax Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the Unauthorized option from the drop down list.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Admin Tax Maintenance screen displayed. Select Authorize operation from Action.

When the checker authorizes a Admin Tax Maintenance, details of validations, if any, that were overridden by the maker of the transaction during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the fund type.

### **8.28.7 Amending Admin Tax Maintenance Record**

After a record is authorized, it can be modified using the Unlock operation from Action list. To make changes to a record after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

- Invoke the Admin Tax Maintenance Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend records that are authorized.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All record with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Admin Tax Maintenance screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

### **8.28.8 Authorizing Amended Admin Tax Maintenance Record**

An amended record must be authorized for the amendment to be made effective in the system.

The process of authorization is subsequently the same as that for normal transactions.

## 9. Maintaining Time Zones

This chapter contains the following sections:

- [Section 9.1, "Time Zone"](#)
- [Section 9.2, "Time Zone Maintenance Summary Screen"](#)
- [Section 9.3, "Default Time Zones and Scheduler Changes Maintenance"](#)

### 9.1 Time Zone

This section contains the following topics:

- [Section 9.1.1, "Maintaining Time Zones"](#)

#### 9.1.1 Maintaining Time Zones

Oracle FLEXCUBE Investor Servicing (FCIS) enables you to capture time zones for a particular module. This feature is particularly applicable if you are using Oracle FLEXCUBE Investor Servicing for your Financial Services across the globe.

The 'Time Zone Maintenance Detail' screen allows you to capture time zones for various modules. You can invoke this screen by typing 'UTDTIMEZ' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the time zone details.

Time Zone Maintenance Detail

Save

Timezone Maintenance

Time Zone \*

Description \*

Rule Effective Date \* 2016-04-20

Daylight Start Date MMDDYYYY

Daylight End Date MMDDYYYY

Offset From GMT (HH24:MI:SS) \*

Server Time Zone No

Behind GMT No

Input by                      DateTime                      Mod No                      Open

Authorized by                      DateTime                      Authorized

Cancel



You can specify the following fields in this screen:

**Time Zone**

*Alphanumeric; 12 Characters; Mandatory*

Enter the Time Zone. This can be captured for a particular entity.

**Description**

*Alphanumeric; 255 Characters; Mandatory*

Enter a brief description of the Time Zone specified.

**Rule Effective Date**

*Date Format; Mandatory*

Enter the date from when the Time Zone has to be considered for any particular entity.

**Daylight Start Date**

*Date Format; Optional*

Specify the date from when the Daylight Saving Time or Summer Time starts.

**Daylight End Date**

*Date Format; Optional*

Specify the date from when the Daylight Saving Time or Summer Time ends.

**Offset From GMT (HH24:MI:SS)**

*Numeric; 24 Characters; Mandatory*

Enter the time difference between the Time Zone and Greenwich Meridian Time.

**Server Time Zone**

*Optional*

Select 'Yes' from drop-down list to specify if the time zone code is where the server would be located.

**Behind GMT**

*Optional*

Select 'Yes' from drop-down list to denote that the Time Zone being maintained is behind GMT.

Click 'Ok' button to save the Time Zone captured in the system.

---

**Note**

- If there are multiple time zones within a country, one Front office module (agency branch) has to be created and associated to each time zone.
  - The latest rule of the time zone incase it has been amended is updated during BOD processing.
- 

## **9.2 Time Zone Maintenance Summary Screen**

This section contains the following topics:

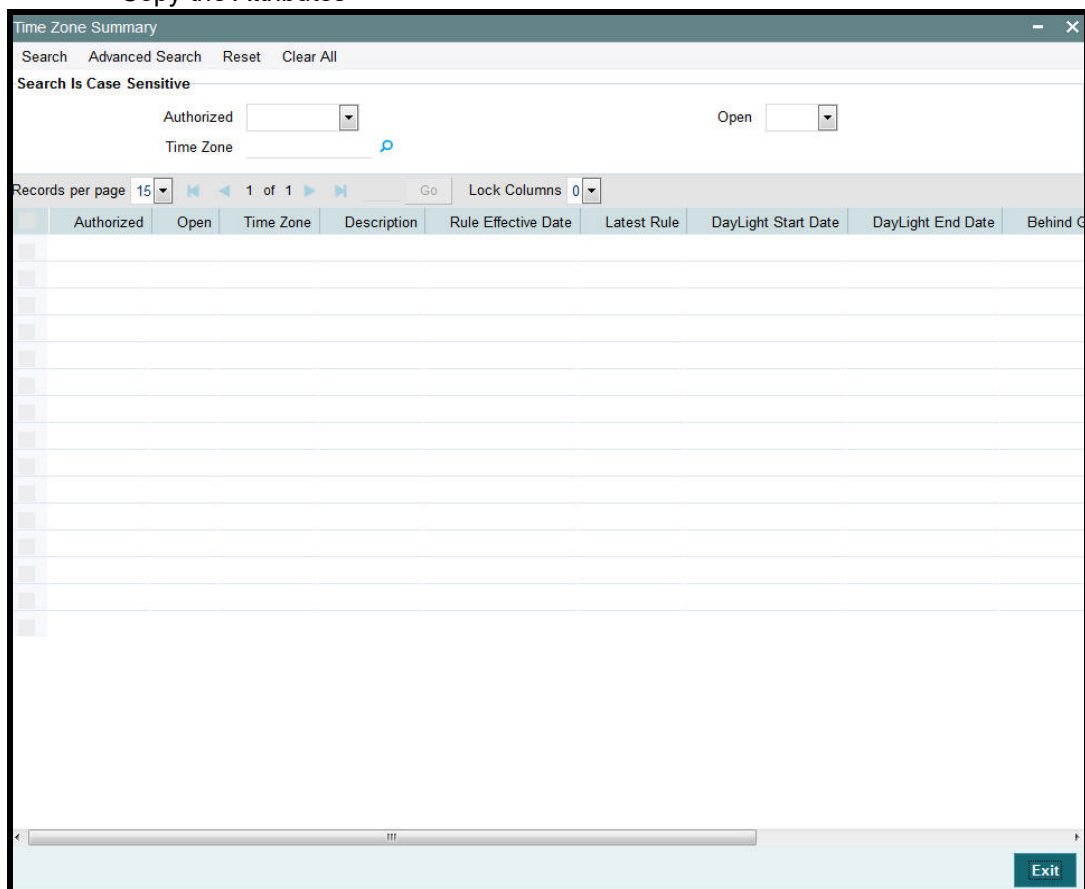
- [Section 9.2.1, "Invoking the Time Zone Maintenance Summary Screen"](#)
- [Section 9.2.2, "Retrieving Record in Time Zone Summary Screen"](#)
- [Section 9.2.3, "Editing Time Zone Maintenance"](#)
- [Section 9.2.4, "Viewing Time Zone Maintenance"](#)

- [Section 9.2.5, "Deleting Time Zone Maintenance"](#)
- [Section 9.2.6, "Authorizing Time Zone Maintenance"](#)
- [Section 9.2.7, "Amending Time Zone Maintenance"](#)
- [Section 9.2.8, "Authorizing Amended Time Zone Maintenance"](#)
- [Section 9.2.9, "Copying Attributes"](#)
- [Section 9.2.10, "Database and Web Server Time"](#)

### 9.2.1 Invoking the Time Zone Maintenance Summary Screen

To perform any operation on Fund-ISIN association, you must first retrieve the record from the database in the Summary screen. You can invoke the 'Time Zone Maintenance Summary' screen by typing 'UTSTIMEZ' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

- You can perform the following operations on a Time Zone:
  - View
  - Edit
  - Delete
  - Authorize
  - Amend
  - Authorize an amended record
  - Copy the Attributes



## 9.2.2 Retrieving Record in Time Zone Summary Screen

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the summary screen and specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Time Zone
- Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

### Note

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Time Zone
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

### Example

You can search the record for Time Zone by using the combination of % and alphanumeric value as follows:-

- **Search by I%:** The system will fetch all the records whose Time Zone starts from Alphabet 'I'. For example, IST and so forth.
- **Search by %7:** The system will fetch all the records whose Time Zone ends by numeric value '7'. For example, AGC17,GSD267,AGC77 and so forth.
- **Search by %17%:** The system will fetch all the records whose Time Zone contains the numeric value 17. For example, GSD217, GSD172, AGC17 and so forth.

## 9.2.3 Editing Time Zone Maintenance

You can modify the details of a Time Zone Maintenance that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Time Zone Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to modify in the list of displayed records. The Time Zone Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The Time Zone Maintenance Detail screen is closed and the changes made are reflected in the Time Zone Summary screen.

#### **9.2.4 Viewing Time Zone Maintenance**

To view a record that you have previously input, you must retrieve the same in the Time Zone Summary screen as follows:

- Invoke the Time Zone Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The Time Zone Maintenance Detail screen is displayed in View mode.

#### **9.2.5 Deleting Time Zone Maintenance**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the Time Zone Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Time Zone Maintenance Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **9.2.6 Authorizing Time Zone Maintenance**

An unauthorized Time Zone Maintenance must be authorized in the system for it to be processed. To authorize a record:

- Invoke the Time Zone Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Time Zone Maintenance Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record, during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

## 9.2.7 Amending Time Zone Maintenance

After a Time Zone Maintenance is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the Time Zone Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Time Zone Maintenance Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

## 9.2.8 Authorizing Amended Time Zone Maintenance

An amended Time Zone Maintenance must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

## 9.2.9 Copying Attributes

If you want to create a new Time Zone Maintenance with the same attributes of an existing maintenance, you can copy the attributes of an existing Time Zone Maintenance to a new one.

To copy the attributes:

- Retrieve the record whose attributes the new Time Zone Maintenance should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous sections of this chapter.
- Click on Copy
- Indicate the ID for the new Time Zone Maintenance. You can, however, change the details of the new maintenance.

## 9.2.10 Database and Web Server Time

The Agency Branch is the entity for which a Time Zone is associated. The Agency Branch module time is used instead of the Database server time as the transaction save and authorization time. The Agency Branch time is arrived by the time zone set for it with respect to the module from which the transaction is being captured.

During handoff of Fund Rule, the cut off time is not changed as per the local time, but Fund Amendment is allowed from distributor. The fund cut off time must be amended manually to reflect the local time by the Distributor. This Fund local time is used to arrive into transaction cut off time at the time of transaction capturing from distributor and if the fund local time exceeds the fund cut off time the transaction date is captured as next working date.

### **9.3 Default Time Zones and Scheduler Changes Maintenance**

Each Agency Branch is associated with a time zone. This time zone is used in case a country has multiple time zones.

While setting up the job for scheduler, you can schedule a job based on the client time. This time has to be the web server time for that module.

The Defaults Maintenance screen allows you to capture the default time zone.

*Refer to the chapter 'Maintaining System Parameters' in this User Manual for further information on the Defaults Maintenance screen.*

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## 10. Common Reporting Standard

This chapter contains the following sections:

- [Section 10.1, "Common Reporting Standard"](#)
- [Section 10.2, "PARAM Maintenance"](#)
- [Section 10.3, "Tax Compliance Setup"](#)
- [Section 10.4, "Tax Compliance Setup Summary"](#)
- [Section 10.5, "Tax Compliance Source Country Maintenance"](#)
- [Section 10.6, "Tax Compliance Source Country Maintenance Summary"](#)
- [Section 10.7, "Tax Compliance Document Maintenance"](#)
- [Section 10.8, "Tax Compliance Document Maintenance Summary Screen"](#)
- [Section 10.9, "Tax Compliance Classification Document Maintenance"](#)
- [Section 10.10, "Tax Compliance Classification Document Maintenance Summary"](#)
- [Section 10.11, "Third Party Maintenance Detail"](#)
- [Section 10.12, "Third Party Entity Maintenance Summary"](#)
- [Section 10.13, "Due Diligence Detail"](#)

### 10.1 Common Reporting Standard

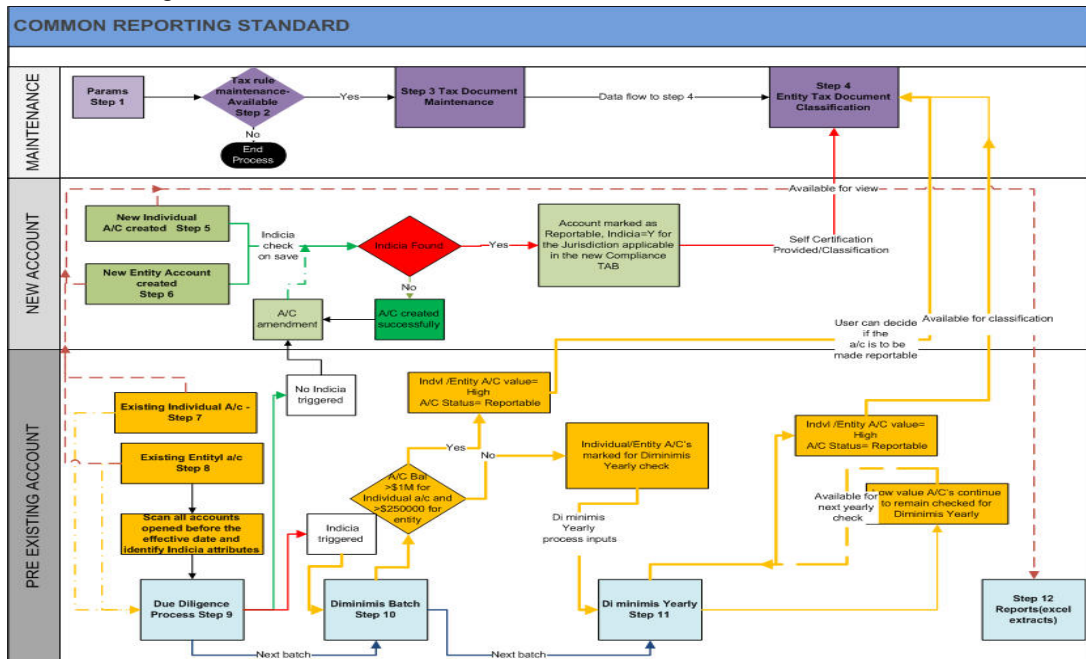
The Common Reporting Standard (CRS), formally referred to as the Standard for Automatic Exchange of Financial Account Information, is an information standard for the Automatic Exchange Of Information (AEOI), developed in the context of the Organization for Economic Co-operation and Development (OECD). The legal basis for exchange of data is the Convention on Mutual Administrative Assistance in Tax Matters and the idea is based on the USA Foreign Account Tax Compliance Act (FATCA) implementation agreements.

On May 6, 2014, Forty-seven countries tentatively agreed on a 'Common Reporting Standard', an agreement to share information on resident's assets and incomes automatically in conformation with the standard. Until now, the parties to most treaties which are in place for sharing information have shared information upon request, which has not proved effective in preventing tax evasion. The new system will automatically and systematically transfer all the relevant information. This agreement is informally referred to as GATCA (the Global version of FATCA), but 'CRS is not just an extension of FATCA'.

Endorsing countries included all OECD countries, as well as Argentina, Brazil, China, Colombia, Costa Rica, India, Indonesia, Latvia, Lithuania, Malaysia, Saudi Arabia, Singapore, and South Africa. In September 2014, the G-20, at its meeting in Cairns, Australia, issued the G20 Common Reporting Standard Implementation Plan as part of its official resources.

On 29 October 2014, 51 jurisdictions signed an agreement to automatically exchange information based on Article 6 of the Convention on Mutual Administrative Assistance in Tax Matters. This agreement specifies the details of what information will be exchanged and

when, as set out in the Standard. China, Hong Kong and more than 80 countries have agreed to become signatories.



## 10.2 PARAM Maintenance

This section contains the following topics:

- [Section 10.2.1, "Maintaining PARAM Codes"](#)

### 10.2.1 Maintaining PARAM Codes

Following PARAM codes support Common Reporting Standard:

Param Code	Param description	Max Length (Param Value)	Maintainable	Param Value-Param Text (Examples of List of Values)
COMPLIANCE-CODES	The regulatory rule applicable e.g. Common Reporting Standard	10	Yes	CRS- Common Reporting Standard
COMPLIANCE-CLASSIND	Classification individual	10	Yes	RIA-Resident Individual Account FIA-Foreign Individual Account NRIA-Non Resident Individual Account



Param Code	Param description	Max Length (Param Value)	Maintainable	Param Value-Param Text (Examples of List of Values)
COMPLIANCE-CLASSCORP	Classification – Corporate	10	Yes	FI- Financial Institution NFI- Non reportable FI NFE- Non Financial Entity PNFE- Passive NFE
COMPLIANCE-CLASSREASON	Classification Reasons	10	Yes	1.RES-Resident 2.ARUSP-Auth Rep is a resident 3. BIRTH-Country of Birth 4. NA-Not applicable
MASTERDOC-CIND	Document for individuals	Max	Yes	Self Certification or KYC documents
MASTERDOC-CORP	Document for corporate	MAX	Yes	Self certification or KYC documents
MASTERDOC-CAT	Category of the documents	MAX	Yes	Address Proof ID Identification Self certification

## 10.3 Tax Compliance Setup

This section contains the following topics:

- [Section 10.3.1, "Invoking Tax Compliance Setup Screen"](#)

### 10.3.1 Invoking Tax Compliance Setup Screen

You can capture tax compliance type, limit maintenance, limit currency details etc. You can also maintain the financial calendar year for reporting account balance.

As part of reporting requirement, you need to submit the account balance as on a calendar year for high value reportable accounts. The financial start and end date field will define the calendar year followed for the reporting.

You can define the rule effective date, due diligence date, individual account limit, corporate account limit and calendar year to be followed for reporting using 'Tax Compliance Setup

Detail' screen. You can invoke this screen by typing 'UTDTCS' 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 "Tax Compliance Setup Detail". At the top left is a "Save" button. The form is organized into two columns. The left column includes fields for "Tax Compliance Rule Type \*", "Effective Date \*", "Limit Currency \*", "Individual account limit", "De minimis individual limit", and "Fiscal Year Start Date". The right column includes fields for "Description", "Due diligence date \*", "Currency Name", "Corporate account limit", "De minimis corporate limit", and "Fiscal Year End Date". At the bottom of the window, there are fields for "Input by", "Authorized by", "DateTime", "Mod No", "Open", and "Authorized", along with "Ok" and "Cancel" buttons.

You can specify the following details:

### **Tax Compliance Rule Type**

*Alphanumeric; 10 Characters; Mandatory*

Specify the tax compliance codes applicable based on rules maintained at PARAMS. Alternatively, you can select tax compliance code from the option list. The list displays all valid tax compliance maintained in the system.

### **Description**

*Display*

The system displays the description for the selected tax compliance code.

### **Effective Date**

*Date Format; Mandatory*

Select the effective date for the tax rule to be applicable in the system from the adjoining calendar.

### **Due Diligence Date**

*Date Format; Mandatory*

Select the due diligence date for the rule being implemented.

### **Limit Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the limit currency in which the tax rule type is applicable.

### **Currency Name**

*Display*

The system displays the name of the currency for the selected limit currency code.

**Individual Account Limit**

*Numeric; 18 Characters; Optional*

Specify the account balance value for individual account.

**Corporate Account Limit**

*Numeric; 18 Characters; Optional*

Specify the account balance value for corporate accounts.

**De minimis Individual Limit**

*Numeric; 18 Characters; Optional*

Specify the de-minimis limit for individual account.

**De-minimis Corporate Limit**

*Numeric; 18 Characters; Optional*

Specify the di-minimis limit for corporate accounts.

**Fiscal Year Start Date**

*Date Format; Mandatory*

Specify the financial year start date for reporting the account balances of the reportable account.

**Fiscal Year End Date**

*Date Format; Mandatory*

Specify the financial year end date for reporting the account balances of the reportable account.

---

**Note**

Once the financial year start and end date are authorized, you cannot change these values. The system will do the incremental date change.

---

You can create only one Tax compliance type in the system, for instance, for Compliance type selected as Common Reporting Standard, the system will not allow one more tax compliance type for common reporting standard.

Once saved and authorized, you cannot delete or change the Tax rule and effective date.

The rule will be applicable across UT and LEP income for a UH and reportable country. The unit holder income reportable will be for confirmed units which include blocked units as well.

## **10.4 Tax Compliance Setup Summary**

This section contains the following topics:

- [Section 10.4.1, "Retrieving Tax Compliance Record"](#)
- [Section 10.4.2, "Editing Tax Compliance Record"](#)
- [Section 10.4.3, "Viewing Tax Compliance Record"](#)
- [Section 10.4.4, "Authorizing Tax Compliance Record"](#)
- [Section 10.4.5, "Amending Tax Compliance Records"](#)
- [Section 10.4.6, "Authorizing Amended Tax Compliance Details"](#)

## 10.4.1 Retrieving Tax Compliance Record

You can view Tax compliance details using 'Tax Compliance Setup Summary' screen. You can invoke this screen by typing 'UTSTCS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot displays the 'Tax Compliance Setup Summary' application window. At the top, there is a search bar with buttons for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below the search bar, there are several input fields: 'Authorized' (a dropdown menu), 'Open' (a dropdown menu), 'Tax Compliance Rule Type' (a text input field), and 'Effective Date' (a text input field with a date picker icon). Below these fields, there is a table with the following columns: 'Authorized', 'Open', 'Tax Compliance Rule Type', 'Effective Date', 'Due diligence date', 'Individual account limit', and 'Corporate account limit'. The table is currently empty. At the bottom right of the window, there is an 'Exit' button.

You can retrieve a previously entered tax compliance record in the Summary screen, as follows:

- Invoke Tax Compliance Setup Summary screen and specify the following:
  - The authorization status of the entity in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the record in the Open field. If you choose the “Blank Space” option, then all the record are retrieved.
  - Tax Compliance Rule Type
  - Effective Date
- After you have specified the required details, click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve an individual tax compliance detail from the Detail screen by doing query in the following manner:

- Press F7
- Input Tax Compliance Rule Type
- Press F8

You can perform Edit, Amend, Authorize operation by selecting from the Action list.

You can also search the record by using combination of % and alphanumeric value.

For example, you can search the record for tax compliance code by using the combination of % and alphanumeric value.

- **Search by A%**: The system will fetch all the records whose Tax Compliance Rule Type starts from Alphabet 'A'. For example, ACCB.
- **Search by %7**: The system will fetch all the records whose Tax Compliance Rule Type has 7. For example: ACT7

#### **10.4.2 Editing Tax Compliance Record**

You can modify the details of the tax compliance details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Tax Compliance Setup Summary screen from the Browser.
- Select the authorization status of the tax compliance records that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop-down list.
- Specify any or all of the search parameters of the tax compliance in the corresponding fields.
- Click 'Search' button. All unauthorized tax compliance records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The Tax Compliance Setup Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The Tax Compliance Setup screen is closed and the changes made are reflected in the Summary screen.

#### **10.4.3 Viewing Tax Compliance Record**

To view the tax compliance record that you have previously entered:

- Invoke the Tax Compliance Setup Summary Screen from the Browser.
- Select the authorization status of the tax compliance records that you want to retrieve for viewing in the Authorization Status field. You can also view all tax compliance records that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
- Specify any or all of the search parameters.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view. The Tax Compliance Setup Detail screen is displayed in view mode.

#### **10.4.4 Authorizing Tax Compliance Record**

An unauthorized tax compliance record must be authorized in the system for it to be processed. To authorize a tax compliance record:

- Invoke the Tax Compliance Setup Summary screen from the Browser.
- Select the status of the Tax Compliance Setup record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop-down list.
- Specify any or all of the search parameters of the Tax Compliance Setup in the corresponding fields on the screen.

- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the Tax compliance record that you wish to authorize. The Tax Compliance Setup screen displayed. Select Authorize operation from Action.

When the checker authorizes an tax compliance record, details of validations, if any, that were overridden by the maker of the record during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the tax compliance record.

#### **10.4.5 Amending Tax Compliance Records**

After a tax compliance is authorized, it can be modified using the Unlock operation from Action list. To make changes to a tax compliance record after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

- Invoke the Tax Compliance Setup Summary screen from the Browser.
- Select the status of the tax compliance records that you wish to retrieve for amendment. You can only amend records of tax compliance that are authorized.
- Specify any or all of the search parameters.
- Click 'Search' button. All tax compliance records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the tax compliance record that you want to amend. The Tax Compliance Setup screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the tax compliance parameters.
- Amend the necessary information. Click the Save button to save the changes.

#### **10.4.6 Authorizing Amended Tax Compliance Details**

An amended tax compliance record must be authorized for the amendment to be made effective in the system.

The process of authorization is the same as that of normal authorization process.

### **10.5 Tax Compliance Source Country Maintenance**

This section contains the following topics:

- [Section 10.5.1, "Invoking Tax Compliance Source Country Maintenance Screen"](#)

#### **10.5.1 Invoking Tax Compliance Source Country Maintenance Screen**

You can maintain source country and the respective reportable countries for a rule type using 'Tax Compliance Source Country Maintenance' screen. For instance, for a Rule type Common Reporting standard, you can maintain a source country for an LOB with multiple reportable countries.

You can invoke 'Tax Compliance Source Country Maintenance' screen by typing 'UTDTCSCM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Tax compliance source country maintenance' application window. The window title is 'Tax compliance source country maintenance'. It features a 'Save' button at the top left. Below it are input fields for 'Tax Compliance Rule Type \*', 'Source Jurisdiction \*', and 'Country Name'. To the right are fields for 'Compliance Description' and 'Int. Dialing Code +'. A section titled 'Reportable Tax Jurisdiction' contains a table with columns for 'Tax Jurisdiction \*', 'Country Name', and 'Int. Dialing Code +'. The table has one row with a checkmark in the first column. At the bottom, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with 'Ok' and 'Cancel' buttons.

You can specify the following details:

### **Tax Compliance Rule Type**

*Alphanumeric; 10 Characters; Mandatory*

Specify the tax compliance rule type based on rules maintained at PARAMS. Alternatively, you can select tax compliance code from the option list. The list displays all valid tax compliance code maintained in the system.

### **Compliance Description**

*Display*

The system displays the description for the selected tax compliance code.

### **Source Jurisdiction**

*Alphanumeric; 3 Characters; Mandatory*

Specify the source jurisdiction code. Alternatively, you can select source jurisdiction code from the option list. The list displays all valid source jurisdiction code maintained in the system.

**Int. Dialing Code +**

*Display*

The system displays the international dialling code based on the source jurisdiction code maintained. For instance, if you have selected source jurisdiction code as India, then the system will display international dialling code as 91.

**Country Name**

*Display*

The system displays the name of the country for the selected source jurisdiction code.

**Reportable Tax Jurisdiction****Tax Jurisdiction**

*Alphanumeric; 3 Characters; Mandatory*

Specify the tax jurisdiction code. Alternatively, you can select tax jurisdiction code from the option list. The list displays all valid tax jurisdiction code maintained in the system.

**Country Name**

*Display*

The system displays the name of the country for the selected source jurisdiction code.

**Int. Dialing Code +**

*Display*

The system displays the international dialling code based on the source jurisdiction code maintained. For instance, if you have selected source jurisdiction code as India, then the system will display international dialling code as 91.

## **10.6 Tax Compliance Source Country Maintenance Summary**

This section contains the following topics:

- [Section 10.6.1, "Retrieving Tax Compliance Source Country Record"](#)
- [Section 10.6.2, "Editing Tax Compliance Source Country Record"](#)
- [Section 10.6.3, "Viewing Tax Compliance Source Country Record"](#)
- [Section 10.6.4, "Deleting Tax Compliance Source Country Record"](#)
- [Section 10.6.5, "Authorizing Tax Compliance Source Country Record"](#)
- [Section 10.6.6, "Amending Tax Compliance Source Country Records"](#)
- [Section 10.6.7, "Authorizing Amended Tax Compliance Source Country Details"](#)

### **10.6.1 Retrieving Tax Compliance Source Country Record**

You can view Tax compliance source country details using 'Tax Compliance Source Country Maintenance Summary' screen. You can invoke this screen by typing 'UTSTCSCM' in the



field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a web application window titled "Tax compliance source country maintenance Summary". The interface includes a search bar with "Search", "Advanced Search", "Reset", and "Clear All" options. Below the search bar, there are two dropdown menus labeled "Authorized" and "Open". There are also two text input fields labeled "Tax Compliance Rule Type" and "Source Jurisdiction", each with a magnifying glass icon. A table below these fields shows search results with columns for "Authorized", "Open", "Tax Compliance Rule Type", and "Source Jurisdiction". The table is currently empty. At the bottom right of the window, there is an "Exit" button.

You can retrieve a previously entered tax compliance source country record in the Summary screen, as follows:

- Invoke Tax Compliance Source Country Maintenance Summary screen and specify the following:
  - The authorization status of the entity in the Authorized field. If you choose the “Blank Space” option, then all the records are retrieved.
  - The status of the record in the Open field. If you choose the “Blank Space” option, then all the record are retrieved.
  - Tax Compliance Rule Type
  - Source Jurisdiction
- After you have specified the required details, click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve an individual tax compliance detail from the Detail screen by doing query in the following manner:

- Press F7
- Input any parameter in the screen
- Press F8

You can perform Edit, Delete, Amend, Authorize operation by selecting from the Action list.

You can also search the record by using combination of % and alphanumeric value.

For example, you can search the record for tax compliance code by using the combination of % and alphanumeric value.

- **Search by A%**: The system will fetch all the records whose Tax Compliance Rule Type starts from Alphabet 'A'. For example, ACCB.
- **Search by %7**: The system will fetch all the records whose Tax Compliance Rule Type has 7. For example: ACT7

## **10.6.2 Editing Tax Compliance Source Country Record**

You can modify the details of the tax compliance source country details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Tax Compliance Source Country Maintenance Summary screen from the Browser.
- Select the authorization status of the tax compliance source country records that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop-down list.
- Specify any or all of the search parameters of the tax compliance source country in the corresponding fields.
- Click 'Search' button. All unauthorized tax compliance source country records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The Tax Compliance Source Country Maintenance Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save the changes. The Tax Compliance Source Country Maintenance screen is closed and the changes made are reflected in the Summary screen.

## **10.6.3 Viewing Tax Compliance Source Country Record**

To view the tax compliance source country record that you have previously entered:

- Invoke the Tax Compliance Source Country Maintenance Summary Screen from the Browser.
- Select the authorization status of the tax compliance source country records that you want to retrieve for viewing in the Authorization Status field. You can also view all tax compliance records that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
- Specify any or all of the search parameters.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view. The Tax Compliance Source Country Maintenance Detail screen is displayed in view mode.

## **10.6.4 Deleting Tax Compliance Source Country Record**

You can delete only unauthorized records in the system. To delete a tax compliance source country record:

- Invoke the Tax Compliance Source Country Maintenance Summary screen from the Browser.

- Select the status of the tax compliance records that you want to retrieve for deletion.
- Specify any or all of the search parameters.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the tax compliance record that you want to delete. The Tax Compliance Source Country Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **10.6.5 Authorizing Tax Compliance Source Country Record**

An unauthorized tax compliance source country record must be authorized in the system for it to be processed. To authorize a tax compliance record:

- Invoke the Tax Compliance Source Country Maintenance Summary screen from the Browser.
- Select the status of the Tax Compliance Source Country Maintenance record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop-down list.
- Specify any or all of the search parameters of the Tax Compliance Source Country in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the Tax compliance source country record that you wish to authorize. The Tax Compliance Source Country Maintenance screen displayed. Select Authorize operation from Action.

When the checker authorizes an tax compliance record, details of validations, if any, that were overridden by the maker of the record during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the tax compliance record.

### **10.6.6 Amending Tax Compliance Source Country Records**

After a tax compliance source country is authorized, it can be modified using the Unlock operation from Action list. To make changes to a tax compliance source country record after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

- Invoke the Tax Compliance Source Country Maintenance Summary screen from the Browser.
- Select the status of the tax compliance source country records that you wish to retrieve for amendment. You can only amend records of tax compliance source country that are authorized.
- Specify any or all of the search parameters.
- Click 'Search' button. All tax compliance source country records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the tax compliance source country record that you want to amend. The Tax Compliance Source Country Maintenance screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the tax compliance source country parameters.
- Amend the necessary information. Click the Save button to save the changes.

## 10.6.7 Authorizing Amended Tax Compliance Source Country Details

An amended tax compliance source country record must be authorized for the amendment to be made effective in the system.

The process of authorization is the same as that of normal authorization process.

## 10.7 Tax Compliance Document Maintenance

This section contains the following topics:

- [Section 10.7.1, "Invoking Tax Compliance Document Maintenance Screen"](#)

### 10.7.1 Invoking Tax Compliance Document Maintenance Screen

You can maintain the list of tax compliance Document details in the 'Tax Compliance Document Maintenance Detail' screen. To invoke this screen type 'UTDFATDT' in the field at the top right corner of the Application tool bar and click on the adjoining arrow button.

The screenshot displays the 'Tax compliance Document Maintenance Detail' application window. The window title is 'Tax compliance Document Maintenance Detail'. It features a 'Save' button at the top left. Below it is the 'Document options' section with fields for 'Tax Compliance Rule Type \*', 'Compliance Description', 'Entity Type \*', 'Entity Type Description', 'Entity Category Type \*' (set to 'Individual'), 'Classification \*', 'Classification Description', 'FATCA Reportable' (set to 'No'), and 'FATCA Withholdable' (set to 'No'). Below the options is a 'Document List' table with columns: 'Document Category \*', 'Document Category Description', 'Document Type \*', 'Document Type Description', and 'Mandatory'. The table shows 1 of 1 records. Below the list is a 'Minimum Document Req'd' table with columns: 'Document Category \*', 'Document Category Description', and 'Minimum Number Req'd \*'. The table also shows 1 of 1 records. At the bottom, there are fields for 'Input by', 'DateTime', 'Mod No', and 'Open', along with 'Ok' and 'Cancel' buttons.

You can specify the following in this screen:

## **Document Options**

### **Tax Compliance Rule Type**

*Alphanumeric; 10 Characters; Mandatory*

Specify the tax compliance rule type. Alternatively, you can select Tax compliance rule type from the option list. The list displays all valid tax compliance rule type maintained in the system.

### **Compliance Description**

*Display*

The system displays the description for the selected tax compliance rule type.

### **Entity Type**

*Alphanumeric; 2 Characters; Mandatory*

Specify the FATCA entity type. Alternatively, you can select entity rule from the option list. The list displays all valid entity type maintained in the system.

### **Entity Type Description**

*Display*

The system displays the description for the selected entity type.

### **Entity Category Type**

*Mandatory*

Select the entity category type from the drop-down list. The list displays the following values:

- Individual
- Corporate

### **Classification**

*Alphanumeric; 25 Characters; Mandatory*

Select the FATCA Classification. Alternatively, you can select entity rule from the option list. The list displays all valid entity type maintained in the system.

### **Classification Description**

*Display*

The system will display the description based on the selected FATCA Classification.

### **FATCA Reportable**

*Optional*

FATCA Reportable gets defaulted from the FATCA document maintenance for the entity selected. You can change the value from 'Yes' to 'No', but vice versa is not allowed.

The system defaults FATCA Reportable as 'No'.

### **FATCA Withholdable**

*Optional*

FATCA With holdable gets defaulted from the FATCA document maintenance for the entity selected. You can change the value from 'Yes' to 'No', but vice versa is not allowed.

The system defaults FATCA With holdable as 'No'.

### **Document List**

#### **Document Category**

*Alphanumeric; 25 Characters; Mandatory*

Select the category of the document. Alternatively, you can select document category from the option list. The list displays all valid document category maintained in the system.

#### **Document Category Description**

*Display*

The system displays the document category description based on the selected document category.

#### **Document Type**

*Alphanumeric; 25 Characters; Mandatory*

Select the type of document. Alternatively, you can select document type from the option list. The list displays all valid document type maintained in the system.

#### **Document Type Description**

*Display*

The system displays the document type based on the selected document type.

#### **Mandatory**

*Mandatory*

Select if the document is mandatory or optional from the drop-down list. The list displays the following values:

- Standard - This indicates that the document is mandatory
- Additional - This indicates that the document is optional

Select the appropriate option.

### **Minimum Document Reqd**

#### **Document Category**

*Alphanumeric; 25 Characters; Mandatory*

Select the document category. Alternatively, you can select document category from the option list. The list displays all valid document category maintained in the system.

#### **Document Category Description**

*Display*

The system displays the document category description based on the selected document category.

#### **Minimum Number Reqd**

*Numeric; 22 Characters; Mandatory*

Specify the minimum number of the standard documents that is required.

## **10.8 Tax Compliance Document Maintenance Summary Screen**

This section contains the following topics:

- [Section 10.8.1, "Retrieving Tax Compliance Document Maintenance Details"](#)

- [Section 10.8.2, "Modifying Tax Compliance Document Maintenance Details"](#)
- [Section 10.8.3, "Authorizing Tax Compliance Document Maintenance Details"](#)

### 10.8.1 Retrieving Tax Compliance Document Maintenance Details

You can view tax compliance document Maintenance details using 'Tax Compliance Document Maintenance Summary' screen. You can invoke this screen by typing 'UTSFATDT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can perform the following actions using this screen

You can view previously entered details of Tax compliance document Maintenance in the 'Tax Compliance Document Maintenance Summary' screen, as follows:

- Specify any or all of the following details in the 'Tax Compliance Document Maintenance Summary' screen:
  - The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records that involve the specified Tax compliance document Maintenance are retrieved.
  - The status of the record in the Open field. If you choose the 'Blank Space' option, then all the records that involve the specified tax compliance document Maintenance are retrieved.
  - Tax Compliance Rule Type
  - Entity Type

- Entity Category Type
- Classification

Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also search the record by using combination of % and alphanumeric value.

### **10.8.2 Modifying Tax Compliance Document Maintenance Details**

You can modify authorized or unauthorized records in the system. To modify a record that you have previously entered:

- Invoke the 'Tax Compliance Document Maintenance Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for modification.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The 'Tax Compliance Document Maintenance Detail' screen is displayed.
- Select Edit operation from the Action list and modify the details. After modifying the details, click Save to save the modifications.

### **10.8.3 Authorizing Tax Compliance Document Maintenance Details**

You can authorize records in the system. To authorize a record that you have previously entered:

- Invoke the 'Tax Compliance Document Maintenance Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for authorization.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to authorize. The 'Tax Compliance Document Maintenance Detail' screen is displayed.
- Select authorize operation from the Action list. The system prompts you to confirm the authorization, and the record is authorized.

## **10.9 Tax Compliance Classification Document Maintenance**

This section contains the following topics:

- [Section 10.9.1, "Invoking Tax Compliance Classification Document Maintenance Screen"](#)

### **10.9.1 Invoking Tax Compliance Classification Document Maintenance Screen**

You can maintain Tax compliance Classification Maintenance and record document details for Unit Holder. You can mark the documents collected in the system, classify the entity in the system and also map the indicia to the UH

The Tax compliance Classification Maintenance Screen will be available as part of AGY for UH only.



You can maintain tax compliance classification maintenance record using 'Tax Compliance Classification Maintenance Detail' screen. You can invoke this screen by typing 'UTDCOMCL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

### **Tax Compliance Rule Type**

*Alphanumeric; 10 Characters; Mandatory*

Specify the tax compliance rule type. Alternatively, you can select tax compliance rule type from the option list. The list displays all valid tax compliance rule type maintained in the system.

### **Compliance Description**

*Display*

The system displays the description for the selected tax compliance rule type.

### **Entity Type**

*Alphanumeric; 2 Characters; Mandatory*

Specify the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity type maintained in the system.

Click 'Find UH' button to select the entity type holder in the system.

**Entity Type Description**

*Display*

The system displays the description of the selected entity type.

**Entity ID**

*Alphanumeric; 20 Characters; Mandatory*

Specify the entity ID to be classified.

**Entity Name**

*Display*

The system displays the name of the specified entity ID.

**Entity Category**

*Display*

The system displays the category of the specified entity ID.

**Source Jurisdiction**

*Alphanumeric; 3 Characters; Mandatory*

Specify the source jurisdiction code.

**Jurisdiction Name**

*Display*

The system displays the name of the specified jurisdiction code.

**Classification**

*Alphanumeric; 25 Characters; Optional*

Specify the classification details. Alternatively, you can select classification code from the option list. The list displays all valid classifications maintained in the system.

**Classification Description**

*Display*

The system displays the description for the selected classification code.

**Classification Reason**

*Alphanumeric; 255 Characters; Optional*

Specify the classification reason. Alternatively, you can select classification reason from the option list. The list displays all valid classification reasons maintained in the system.

**Classification Reason Description**

*Display*

The system displays the description for the selected classification reason.

**Account Value**

*Optional*

Select the value of an account from the drop-down list. The list displays the following values:

- Low
- High

Click 'Indicia Details' button to specify indicia and document details.

## **Indicia Details**

### **Reportable Jurisdiction**

*Alphanumeric; 3 Characters; Optional*

Specify the reportable jurisdiction details for which Indicia are found. Alternatively, you can select reportable jurisdiction details from the option list. The list displays all valid reportable country list maintained as part of tax rule maintenance.

### **Description**

*Display*

The system displays the description for the selected reportable jurisdiction.

### **Indicia**

*Optional*

Select the indicia status from the drop-down list. The list displays the following values:

- Yes
- No

The indicia identification will be based on the criteria defined and this is identified on save for new accounts and for pre existing accounts through due diligence process.

### **Compliance Status**

*Mandatory*

Select if the account has to be reported to the reportable jurisdiction or not from the drop-down list. The list displays the following values:

- Reportable
- Non Reportable

If a UH with no indicia trigger is classified the values will be blank.

### **Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

## **Document Details**

### **Document Category**

*Alphanumeric; 25 Characters; Optional*

Specify the document category such as address proof, ID proof. Alternatively, you can select document category from the option list. The list displays all valid document categories maintained in the system.

### **Document Category Description**

*Display*

The system displays the description for the selected document category.

### **Document Type**

*Alphanumeric; 25 Characters; Optional*

Specify the document type such as passport details. Alternatively, you can select document type from the option list. The list displays all valid document type maintained in the system.

**Document Type Description**

*Display*

The system displays the description for the selected document type.

**Mandatory**

*Optional*

Select if the document category to be defined as standard set or additional set of document from the drop-down list. The list displays the following values:

- Standard
- Additional Documents

**Document ID**

*Alphanumeric; 25 Characters; Optional*

Specify the document identification number.

**Issue Date**

*Date Format; Optional*

Select the issue date from the adjoining calendar.

**Expiry Date**

*Date Format; Optional*

Select the expiry date from the adjoining calendar.

**Copy Received**

*Optional*

Check this box if the copy is received.

**Original Received**

*Optional*

Check this box if the original document is received.

**Received Date**

*Date Format; Optional*

Select the date when the documents were received from the adjoining calendar.

**Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

**Document Reference Number**

*Alphanumeric; 255 Characters; Optional*

Specify the document reference number.

Click 'Upload' button to upload all the required set of documents.

Post authorization of the Unit holder, the unit holder will be available for 'Tax Compliance Classification Document Maintenance'. Based on the documents submitted by the Unit holder, you can classify the unit holder accordingly.

Once the Unit holder is classified in 'Tax Compliance Document Classification Maintenance' screen, if you update any details as Reportable status then the same is updated back to the Tax Compliance tab in UH maintenance screen.

If you identify new Indicia and Tax jurisdiction along with system identified details then the new details will also be added as part of UH (Tax compliance sub screen).

Once the Indicia is identified by the system and classified, the system will not derive indicia status again. The Tax classification document maintenance will be the final status. In case new Indicia is to be added or deleted, you can do the same through this maintenance (Tax Compliance Classification Document Maintenance (UTDCOMCL)) only.

In case indicia is identified /not identified and in case classification is done for the UH (through Tax compliance classification document maintenance (UTDCOMCL)) upon UH amendment indicia will not be system derived.

Once indicia is identified you can change the Compliance Status.

Following table explains the indicia attribute and the corresponding field mapped to the system that trigger indicia for a Unit Holder:

### Individual Accounts (New)

Indicia attributes	Field at UH	Tab	Function ID	Logic
Residence address/ mailing address	Country Field (correspondence country field)	Contact Details TAB	UTDUH	If the country field and telephone no (Tel 1, Tel 2, Cell phone number, Fax number) is one of the reportable jurisdiction country then indicia is triggered for the UH.
Resident of reportable jurisdiction	Domicile Country	Client preference TAB	UTDUH	If the country of domicile is one of the reportable jurisdiction then indicia is triggered for the UH
Effective POA granted to a person with an address in reportable jurisdiction	Auth Rep ID (if an auth rep is mapped to an UH then the country code of auth rep is to be checked for)	Country code field in the Auth rep maintenance	UTDATREP	If the country code mapped at Auth rep maintenance is one of the reportable jurisdiction then indicia is triggered for the UH
Telephone of a reportable jurisdiction or no telephone numbers in participating country	International dialing codes (All four country codes Tel 1, Tel 2, Cell phone number, Fax number)	Contact Details TAB	UTDUH	If anyone of the international dialing code maintained is the dialing code of the reportable jurisdiction then indicia to be triggered for the UH  and  if anyone of the international dialing code maintained is that of a source/participating jurisdiction then indicia should not be triggered
Bank details of a reportable jurisdiction	bank branch country code	Single entity maintenance-Bank branch maintenance	UTDT-PMN	If the bank branch country code is one of the reportable jurisdiction then the UH which is mapped with that bank branch will be triggered with indicia.
Linked Entity-Joint/Nominee (TIN and Date of birth and place of birth)	Issuing jurisdiction	Multiple Tax id details	UTDUH	If the issuing jurisdiction of the Tax id is one/all of the reportable jurisdiction then indicia is triggered for the UH

Indicia attributes	Field at UH	Tab	Function ID	Logic
Nominee/Joint	Correspondence address country field and tax issuing jurisdiction	Nominee/ Joint holder- if they are third party mapped	UTDUH	If the UH being mapped at joint holder/nominee is a third party then; the correspondence address country code field or Tax issuing jurisdictions fields are one of the reportable jurisdiction maintained then indicia is triggered for the UH
	NA	Nominee/ Joint holder- if its and existing UH in the system	UTDUH	If the UH mapped is an existing UH in the system and has indicia triggered then the same indicia triggers will be applicable for the UH. If an existing CIF is being mapped then the county of domicile to trigger indicia.

### Entity Accounts (New accounts)

Indicia attributes	Field at UH	TAB	Function ID	Logic
Residence address/ mailing address	Country Field (correspondence country field)	Contact Details TAB	UTDUH	If the country field telephone no (Tel 1, Tel 2, Cell phone number, Fax number) is one of the reportable jurisdiction country then indicia is triggered for the UH
Resident of reportable jurisdiction	country of incorporation	Corporate Details TAB	UTDUH	If the country of incorporation is one of the reportable jurisdiction then indicia is triggered for the UH
Telephone of a reportable jurisdiction or no telephone numbers in participating country	International dialling codes (All four country codes Tel 1, Tel 2, Cell phone number, Fax number)	Contact Details TAB	UTDUH	If anyone of the international dialling code maintained is the dialling code of the reportable jurisdiction then indicia to be triggered for the UH  And  if anyone of the international dialling code maintained is that of a source/ participating jurisdiction then indicia should not be triggered
Bank details of a reportable jurisdiction	bank branch country code	Single entity maintenance-Bank branch maintenance	UTDT-PMN	If the bank branch country code is one of the reportable jurisdiction then the UH which is mapped with that bank branch will be triggered with indicia.
Linked Entity-director (TIN and Date of birth and place of birth)	Issuing jurisdiction	Multiple Tax id details	UTDUH	The Tax ID issuing jurisdiction is one of the reportable jurisdiction then indicia is triggered for the UH- only if the director is marked as controlling person



Indicia attributes	Field at UH	TAB	Function ID	Logic
Director	Correspondence address country field and tax issuing jurisdiction	Director- if its and existing UH/CIF in the system	UTDUH	<p>If the UH being mapped as director is a third party then; the correspondence address country code field or Tax issuing jurisdictions fields are one of the reportable jurisdiction maintained then indicia is triggered for the UH.</p> <p>If the UH mapped is an existing UH in the system and has indicia triggered then the same indicia triggers will be applicable for the UH.</p> <p>If an existing CIF is being mapped then the county of incorporation to trigger indicia.- only if the director is marked as controlling person</p>

For a corporate account (UH) created, if you map one or all of the director as existing UH in the system there will be no check, if the linked UH is an individual UH in the system. If you map a corporate UH as one of the director then there will be no check and this will be operationally controlled process in the system.

Similarly for a individual account(UH) created, if you map one or all of the joint/Nominee as existing UH in the system there will be no check, if the linked UH is an individual UH in the system. If you map a corporate UH as one of the director then there will be no check and this will be operationally controlled process in the system.

For a corporate account(UH) created, if you map one or all of the director as external entity (Third party) in the system there will be no check if the linked third party is an individual entity in the system. If you map a corporate third party as one of the director then there will be no check and this will be operationally controlled process in the system.

Similarly for an individual account (UH) created; if you map one or all of the external entity (Third party) in the system there will be no check, if the linked third party is an individual entity (third party) in the system. If you map a corporate third party as one of the director then there will be no check and this will be operationally controlled process in the system.

If a unit holder created does not have any indicia triggering attributes except the linked UH (which can be a nominee, joint holder or director for a corporate UH); and if the linked UH has indicia triggered for multiple jurisdictions then the main UH will be triggered with indicia for all the jurisdictions.

If you map UH as joint holder/nominee and if indicia is selected as 'Yes' then; the correspondence address country code field (including the International dialling code)/ Tax issuing jurisdictions/ country of birth field are one of the reportable jurisdiction maintained then indicia is triggered at the main UH.

## 10.10 Tax Compliance Classification Document Maintenance Summary

This section contains the following topics:

- [Section 10.10.1, "Retrieving Tax Compliance Classification Document Maintenance Details"](#)
- [Section 10.10.2, "Deleting Tax Compliance Classification Document Maintenance Details"](#)
- [Section 10.10.3, "Editing Tax Compliance Classification Document Maintenance Details"](#)
- [Section 10.10.4, "Authorizing Tax Compliance Classification Document Maintenance Details"](#)
- [Section 10.10.5, "Amending Tax Compliance Classification Document Maintenance Details"](#)
- [Section 10.10.6, "Authorizing Amended Tax Compliance Classification Document Maintenance Details"](#)

### 10.10.1 Retrieving Tax Compliance Classification Document Maintenance Details

You can view tax compliance classification document Maintenance details using 'Tax Compliance Classification Document Maintenance Summary' screen. You can invoke this screen by typing 'UTSCOMCL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Tax Compliance Classification Maintenance Summary' application window. At the top, there is a search bar with options for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, a section titled 'Search Is Case Sensitive' contains several search filters: 'Authorization Status' (dropdown), 'Open' (dropdown), 'Tax Compliance Rule Type' (text input with a magnifying glass icon), 'Entity Type' (text input with a magnifying glass icon), 'Entity ID' (text input with a magnifying glass icon), 'Classification' (text input with a magnifying glass icon), 'Classification Reason' (text input with a magnifying glass icon), and 'Account Value' (dropdown). Below the search filters is a table with columns: 'Authorization Status', 'Open', 'Tax Compliance Rule Type', 'Entity Type', 'Entity ID', 'Classification', 'Classification Reason', and 'Account Value'. The table is currently empty. At the bottom right of the window, there is an 'Exit' button.

You can view previously entered details of Tax compliance classification document Maintenance in the 'Tax Compliance Classification Document Maintenance Summary' screen, as follows:

- Specify any or all of the following details in the 'Tax Compliance Classification Document Maintenance Summary' screen:
  - The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records that involve the specified Tax compliance document Maintenance are retrieved.
  - The status of the record in the Open field. If you choose the 'Blank Space' option, then all the records that involve the specified tax compliance document Maintenance are retrieved.
  - Tax Compliance Rule Type
  - Entity ID
  - Classification Reason
  - Entity Type
  - Classification
  - Account Value

Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also search the record by using combination of % and alphanumeric value.

### **10.10.2 Deleting Tax Compliance Classification Document Maintenance Details**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the 'Tax Compliance Classification Document Maintenance Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The 'Tax Compliance Classification Document Maintenance Detail' screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **10.10.3 Editing Tax Compliance Classification Document Maintenance Details**

You can modify only unauthorized records in the system. To modify a record that you have previously entered:

- Invoke the 'Tax Compliance Classification Document Maintenance Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for modification.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify. The 'Tax Compliance Classification Document Maintenance Detail' screen is displayed.

- Select Edit operation from the Action list and modify the details. After modifying the details, click Save to save the modifications.

#### **10.10.4 Authorizing Tax Compliance Classification Document Maintenance Details**

You can authorize records in the system. To authorize a record that you have previously entered:

- Invoke the 'Tax Compliance Classification Document Maintenance Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for authorization.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to authorize. The 'Tax Compliance Classification Document Maintenance Detail' screen is displayed.
- Select authorize operation from the Action list. The system prompts you to confirm the authorization, and the record is authorized.

#### **10.10.5 Amending Tax Compliance Classification Document Maintenance Details**

After a tax compliance classification document is authorized, it can be modified using the Unlock operation from Action list. To make changes to a tax compliance classification document after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

- Invoke the 'Tax Compliance Classification Document Maintenance' Summary screen from the Browser.
- Select the status of the tax compliance classification document that you wish to retrieve for amendment. You can only amend records of documents that are authorized.
- Specify any or all of the details of the tax compliance classification document in the corresponding fields on the screen.
- Click 'Search' button. All tax compliance classification document with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the document that you want to amend. The Tax Compliance Classification Document Maintenance screen is displayed in Amendment mode.
- Click the Unlock operation from the Action list to amend the fund type.
- Amend the necessary information. Click the Save button to save the changes.

#### **10.10.6 Authorizing Amended Tax Compliance Classification Document Maintenance Details**

An amended stop code must be authorized for the amendment to be made effective in the system.

The process of authorization is subsequently the same as that for normal transactions.

### **10.11 Third Party Maintenance Detail**

This section contains the following topics:

- [Section 10.11.1, "Invoking Third Party Maintenance Detail Screen"](#)
- [Section 10.11.2, "Basic Information Tab"](#)

- [Section 10.11.3, "Correspondence Address Tab"](#)
- [Section 10.11.4, "Bank Details Tab"](#)
- [Section 10.11.5, "Alternate Language Details Tab"](#)
- [Section 10.11.6, "Additional Info Tab"](#)
- [Section 10.11.7, "Tax Details Tab"](#)
- [Section 10.11.8, "Mapped Installation IDs Button"](#)

### 10.11.1 Invoking Third Party Maintenance Detail Screen

You can map the joint holder/ Nominee/ Director/ Beneficiary at UH maintenance using 'Third Party Maintenance Detail' screen if 'UH/CIF' field is selected as 'No' in 'Unit Holder Maintenance screen (Joint/ Director/ Nominee/ Beneficiary sub screen). The third party entity can be a Joint Holder/ Nominee/ Director that is outside the system. This third party entity can be an individual or a corporate.

#### Note

The 'Third Party Maintenance Detail' screen is available at Agency Branch module.

You can invoke 'Third Party Maintenance Detail' screen by typing 'UTDTPMN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

**Entity ID**

*Alphanumeric; 12 Characters; Mandatory*

The Entity ID is a unique Identification for an entity in the system. Any detail regarding an entity is obtained by using the entity ID for reference. The ID you specify here must be unique and not already in use for any other entity in the system.

**Entity Name**

*Alphanumeric; 60 Characters; Mandatory*

Specify the name (or description) of the entity being set up in the system.

**Entity Category**

*Alphanumeric; 2 Characters; Optional*

Specify the category to which the entity belongs. Alternatively, you can select entity category from the option list. The list displays all valid entity category maintained in the system.

**Entity Category Description**

*Display*

The system displays the description for the selected entity category.

**Entity Category Type**

*Optional*

Select whether the entity being maintained belongs to the Individual or Corporate categories from the drop-down list. The list displays the following values:

- Individual
- Corporate

**Restrict Cross Branching within Agent**

*Optional*

Select if cross branching within agent is restricted or not from the drop-down list. The list displays the following values:

- Yes
- No

**Nationality**

*Alphanumeric; 3 Characters; Mandatory*

Select the nationality of the customer. Alternatively, you can select nation code from the option list. The list displays all valid nation codes maintained in the system.

**Nationality Description**

*Display*

The system displays the description for the selected nation code.

**Country of Birth**

*Alphanumeric; 3 Characters; Mandatory*

Select the country of birth of the customer. Alternatively, you can select country code from the option list. The list displays all valid country code maintained in the system.

**Country Of Birth Desc**

*Display*

The system displays the description for the selected country code.

### Country of Domicile

Alphanumeric; 3 Characters; Mandatory

Select the country of domicile of the customer. Alternatively, you can select country code from the option list. The list displays all valid country code maintained in the system.

### Country Desc

Display

The system displays the description for the selected country code.

### Incorporation Country

Alphanumeric; 3 Characters; Optional

Select the Incorporation country code of the customer. Alternatively, you can select country of incorporation code from the option list. The list displays all valid country code maintained in the system.

### Country Of Incorporation Desc

Display

The system displays the description for the selected country of incorporation code.

## 10.11.2 Basic Information Tab

Click 'Basic Information' tab in 'Third Party Entity Maintenance Detail' screen.

The screenshot displays the 'Third Party Entity Maintenance Detail' window. The 'Basic Information' tab is selected and highlighted in red. The form is divided into two main sections: 'General Information' and 'Basic Information'.

**General Information:**

- Entity ID\* (text input)
- Entity Name\* (text input)
- Entity Category (text input)
- Entity Category Description (text input)
- Entity Category Type: Individual (dropdown menu)
- Restrict cross branching within agent: No (dropdown menu)
- Nationality (text input)
- Nationality Description (text input)
- Country of Birth (text input)
- Country Of Birth Desc (text input)
- Country Of Domicile (text input)
- Country Desc (text input)
- Incorporation Country (text input)
- Country Of Incorporation Desc (text input)

**Basic Information:**

- Base Currency\* (text input)
- Currency Name (text input)
- Authorized Signatory (text input)
- MICR Code (text input)
- Date Of Birth (date picker)
- FATCA Status (text input)
- FATCA Classification (text input)
- Description (text input)
- Employer ID Number (EIN) (text input)
- Tax Category (text input)
- Tax Circle (text input)
- Tax ID (text input)
- Tax Certificate Effective Date (date picker)
- Tax Certificate Expiry Date (date picker)
- Default Agency Branch
- Sunday
- Monday
- Tuesday
- Saturday
- Wednesday
- Thursday
- Friday

**Mapped Installation IDs:**

Input by	Date/Time	Mod No	Open
Authorized by	Date/Time		Authorized

A 'Cancel' button is located at the bottom right of the form.

**Base Currency**

*Alphanumeric; 3 Characters; Mandatory*

Select the base currency of the entity. Alternatively, you can select base currency code from the option list. The list displays all valid base currency code maintained in the system.

This is the currency in which the entity normally transacts.

**Currency Name**

*Display*

The system displays the name of the currency for the selected currency code.

**Authorized Signatory**

*Alphanumeric; 70 Characters; Optional*

Enter the name of the Authorized Signatory at the office of the AMC.

**MICR Code**

*Alphanumeric; 12 Characters; Optional*

Specify MICR code of the specified Bank here. This code is applicable for both Bank and Bank Branch entity.

**Date of Birth**

*Date Format; Optional*

Select the date of birth details for an individual entity being created from the adjoining calendar.

**Default Agency Branch**

*Optional*

Check this box to default the agency branch code.

**FATCA Status**

*Display*

The system displays the FATCA Status based on the FATCA maintenance.

**FATCA Classification**

*Display*

The system displays the FATCA classification type.

**Description**

*Display*

The system displays the description for the selected FATCA classification type.

**Employer ID Number (EIN)**

*Alphanumeric; 50 Characters; Optional*

Specify employee identification number.

**Tax Category**

*Alphanumeric; 10 Characters; Optional*

Specify the tax category details.

**Tax Circle**

*Alphanumeric; 15 Characters; Optional*

Specify the tax circle country details.



### Tax ID

Alphanumeric; 50 Characters; Optional

Specify the tax identification.

### Tax Certificate Effective Date

Date Format; Optional

Specify the date from which the tax certificate is effective.

### Tax Certificate Expiry Date

Date Format; Optional

Specify the expiry date of the tax certificate.

### Week

Check the appropriate box to indicate the day in a week. The options are as follows:

- Sunday
- Monday
- Tuesday
- Wednesday
- Thursday
- Friday
- Saturday

## 10.11.3 Correspondence Address Tab

As part of correspondence details, you can capture correspondence address, alternate address and SWIFT address. Click 'Corresp Address' tab to maintain the correspondence details.

The screenshot displays the 'Third Party Entity Maintenance Detail' window. The 'Corresp. Address' tab is selected. The form is divided into several sections:

- General Information:** Includes fields for Entity ID\*, Entity Name\*, Entity Category, Entity Category Description, Entity Category Type (set to Individual), Restrict cross branching within agent (set to No), Nationality, Nationality Description, Country of Birth, Country of Birth Desc, Country of Domicile, Country Desc, and Incorporation Country, Country of Incorporation Desc.
- Contact Information:** A table with columns: Address Type, Address Line 1, Address Line 2, City, State, US State, and Zip Code. The first row is selected and shows 'Select One' in the Address Type column.
- Mapped Installation IDs:** A table with columns: Input by, Authorized by, DateTime, Mod No, Open, Authorized, and a Cancel button.

You can specify the following details:

### **Address Type**

*Mandatory*

Select the address type from the drop-down list. The list displays the following values:

- Correspondence Address
- Alternate Address
- SWIFT Address

### **Address Lines 1-2**

*Alphanumeric; 105 Characters; Optional (Address Line 1 is Mandatory)*

Enter the address of the third party entity being set up in the system.

### **City**

*Alphanumeric; 80 Characters; Optional*

Enter the city where the entity is located. You can select the city from the drop down list provided. The available options depend on the values defined at the params maintenance. If the city is not available in the list, you can specify the city in the field provided alongside.

### **State**

*Alphanumeric; 80 Characters; Optional*

Specify the State where the City is located. Alternatively, you can select state code from the option list. The list displays all valid state code defined at the params maintenance.

If the state is not available in the list, you can specify the city in the field provided alongside.

### **US State**

*Optional*

Select if the specified state is a US (United States) state or not from the drop-down list. The list displays the following values:

- Yes
- No

### **Zip Code**

*Alphanumeric; 10 Characters; Optional*

Enter the Zip Code of the Address of the entity being set up.

### **Country**

*Alphanumeric, 3 Characters; Mandatory*

Specify the country in which the entity is based. Alternatively, you can select country code from the option list. The list displays all valid country code maintained in the system.

If the Address type is SWIFT Address, enter the country of the SWIFT address for the entity.

### **Int. Dialing Code +**

*Numeric; 10 Characters; Optional*

Specify the international dialling code. Alternatively, you can select international dialling code from the option list. The list displays all valid international dialling code maintained in the system.

**Telephone 1**

*Alphanumeric; 60 Characters; Optional*

Specify the telephone number.

**Int. Dialing Code +**

*Numeric; 10 Characters; Optional*

Specify the international dialling code. Alternatively, you can select international dialling code from the option list. The list displays all valid international dialling code maintained in the system.

**Telephone 2**

*Alphanumeric; 60 Characters; Optional*

Specify the alternative telephone number.

**Int. Dialing Code +**

*Numeric; 10 Characters; Optional*

Specify the international dialling code. Alternatively, you can select international dialling code from the option list. The list displays all valid international dialling code maintained in the system.

**Fax**

*Alphanumeric; 120 Characters; Optional*

Specify the fax number of the third party entity who is being set up in the system.

**Email**

*Alphanumeric; 255 Characters; Optional*

Specify the E-mail address of the third party entity being set up.

**Contact Person**

*Alphanumeric; 70 Characters; Optional*

Specify the name of the contact person at the entity's offices.

**Int. Dialing Code +**

*Numeric; 10 Characters; Optional*

Specify the international dialling code. Alternatively, you can select international dialling code from the option list. The list displays all valid international dialling code maintained in the system.

**Cell Phone Number**

*Alphanumeric; 60 Characters; Optional*

Specify the cell phone number of the third party entity being set up.

**Effective From Date**

*Date Format; Optional*

This is applicable if the Address Type is Alternate Address.

Specify the date that marks the beginning of the period for which the specified alternate address is in effect.

**Effective To Date**

*Date Format; Optional*

This is applicable if the Address Type is Alternate Address.

Specify the date that marks the end of the period for which the specified alternate address is in effect.

### **BIC Code**

*Alphanumeric; 12 Characters; Optional*

Specify the Bank Identifier Code (BIC) of the entity.

## **10.11.4 Bank Details Tab**

Click 'Bank Details' tab in 'Third Party Entity Maintenance' screen

The screenshot shows the 'Third Party Entity Maintenance Detail' window. The 'Bank Details' tab is active. The 'Bank Details' section includes fields for 'Account Name \*', 'Account Currency \*', 'Bank \*', 'Account Type \*', 'Account Number \*', 'Reference1', 'Default \*', 'Direct Debit Applicable', 'Branch \*', 'Account Operation Type', 'IBAN', 'Reference2', 'SWIFT format', 'Bank Charged', 'Further Credit Name', and 'Further Credit Acct No'. The 'Beneficiary Details' section includes fields for 'Beneficiary', 'Beneficiary Acct No', 'Beneficiary Info', 'Beneficiary BIC Code', 'Beneficiary Code', 'Beneficiary IBAN', 'Beneficiary Add1', 'Beneficiary Add2', and 'Beneficiary Add3'. At the bottom, there is a 'Mapped Installation IDs' section with columns for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

You can specify the following details:

### **Account Name**

*Alphanumeric; 100 Characters; Mandatory*

Specify the account holder name.

### **Account Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the account currency code.

### **Bank**

*Alphanumeric; 12 Characters; Mandatory*

Specify the bank code.

### **Account Type**

*Alphanumeric; 1 Character; Mandatory*

Specify the account type.

**Account Operation Type**

*Display*

The system displays the type of account operation.

**Account Number**

*Alphanumeric; 34 Characters; Mandatory*

Specify the account number.

**Reference1**

*Alphanumeric; 35 Characters; Optional*

Specify the reference details.

**Default**

*Mandatory*

Select default status from the drop-down list. The list displays the following values:

- Yes
- No

**Direct Debit Applicable**

*Optional*

Select if direct debit is applicable or not from the drop-down list. The list displays the following values:

- Yes
- No

**Branch**

*Alphanumeric; 12 Characters; Mandatory*

Specify the branch details.

**IBAN**

*Alphanumeric; 40 Characters; Mandatory*

Specify the IBAN details.

**Reference2**

*Alphanumeric; 35 Characters; Optional*

Specify the reference details.

**SWIFT format**

*Optional*

Select SWIFT format from the drop-down list. The list displays the following values:

- MT103
- MT202

**Bank Charged**

*Optional*

Select the bank charged details from the drop-down list. The list displays the following values:

- Beneficiary
- Remitter
- Share

**Further Credit Name**

*Alphanumeric; 35 Characters; Optional*

Specify the further credit name.

**Further Credit Acct No**

*Alphanumeric; 35 Characters; Optional*

Specify the further credit account number.

**Beneficiary Details****Beneficiary**

*Alphanumeric; 35 Characters; Optional*

Specify the beneficiary details.

**Beneficiary Acct No**

*Alphanumeric; 34 Characters; Optional*

Enter beneficiary Account Number.

**Beneficiary Info**

*Alphanumeric; 100 Characters; Optional*

Enter beneficiary information.

**Beneficiary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Enter beneficiary BIC Code.

**Beneficiary Code**

*Alphanumeric; 24 Characters; Optional*

Enter beneficiary code.

**Beneficiary IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the beneficiary IBAN details.

**Beneficiary Address1-3**

*Alphanumeric; 105 Characters; Optional*

Enter beneficiary address.

**Intermediary Details****Intermediary**

*Alphanumeric; 35 Characters; Optional*

Enter the intermediary details.

**Intermediary Acct No**

*Alphanumeric; 34 Characters; Optional*

Enter intermediary Account Number.

**Intermediary Info**

*Alphanumeric; 100 Characters; Optional*

Enter intermediary information.

### Intermediary BIC Code

*Alphanumeric; 24 Characters; Optional*

Enter intermediary BIC Code.

### Intermediary Code

*Alphanumeric; 24 Characters; Optional*

Enter intermediary code.

### Intermediary IBAN

*Alphanumeric; 40 Characters; Optional*

Enter intermediary IBAN details.

### Intermediary Address 1-3

*Alphanumeric; 105 Characters; Optional*

Enter intermediary address.

## 10.11.5 Alternate Language Details Tab

Click 'Alt. Lang. Details' tab in 'Third Party Entity Maintenance' screen.

The screenshot displays the 'Third Party Entity Maintenance Detail' window. At the top, there is a 'Save' button. Below it, the 'General Information' section contains fields for 'Entity ID\*', 'Entity Category', 'Entity Category Type' (set to 'Individual'), 'Nationality', 'Country of Birth', 'Country Of Domicile', and 'Incorporation Country'. To the right, there are fields for 'Entity Name\*', 'Entity Category Description', 'Restrict cross branching within agent' (set to 'No'), 'Nationality Description', 'Country Of Birth Desc', 'Country Desc', and 'Country Of Incorporation Desc'. A tabbed interface at the bottom shows 'Alt. Lang. Details' as the active tab, with other tabs including 'Basic Information', 'Corresp. Address', 'Bank Details', 'Additional Info', and 'Tax Details'. Under the 'Alt. Lang. Details' tab, there are fields for 'Entity Name' and 'Contact Person'. Below that, the 'Correspondence Address' section has fields for 'Address Line 1', 'Address Line 2', 'City', and 'State'. The 'Alternate Address' section has fields for 'Address Line 1', 'Address Line 2', and 'City'. At the bottom, there is a 'Mapped Installation IDs' table with columns for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized'. A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

### Entity Name

*Alphanumeric; 60 Characters; Optional*

Specify the name of the entity.

**Contact Person**

*Alphanumeric; 70 Characters; Optional*

Specify the contact person details.

**Correspondence Address****Address Line 1 - 2**

*Alphanumeric; 105 Characters; Optional*

Specify the address details.

**City**

*Alphanumeric; 80 Characters; Optional*

Specify the city name.

**State**

*Alphanumeric; 80 Characters; Optional*

Specify the state name.

**Alternate Address****Address Line 1 - 2**

*Alphanumeric; 105 Characters; Optional*

Specify the address details.

**City**

*Alphanumeric; 80 Characters; Optional*

Specify the city name.

**State**

*Alphanumeric; 80 Characters; Optional*

Specify the state name.



## 10.11.6 Additional Info Tab

Click 'Additional Info' tab in 'Third Party Entity Maintenance' screen.

The screenshot displays the 'Third Party Entity Maintenance Detail' window. At the top, there is a 'Save' button. Below it, the 'General Information' section contains two columns of fields. The left column includes 'Entity ID \*', 'Entity Category' (set to 'NR'), 'Entity Category Type' (set to 'Individual'), 'Nationality' (set to 'AUS'), 'Country of Birth' (set to 'BAN'), 'Country Of Domicile' (set to 'BEL'), and 'Incorporation Country' (set to 'CHI'). The right column includes 'Entity Name \*', 'Entity Category Description' (set to 'Non Resident'), 'Restrict cross branching within agent' (set to 'No'), 'Nationality Description' (set to 'AUSTRALIA'), 'Country Of Birth Desc' (set to 'BANGALADESH'), 'Country Desc' (set to 'BELGIUM'), and 'Country Of Incorporation Desc' (set to 'CHINA').

Below the 'General Information' section is a tabbed interface with the following tabs: 'Basic Information', 'Corresp. Address', 'Bank Details', 'Alt. Lang. Details', 'Additional Info' (which is highlighted in red), and 'Tax Details'. A blue button labeled 'Get Additional Information' is positioned below the 'Additional Info' tab.

The 'Additional Information Details' section features a table with a header row containing 'Other Info Field' and 'Field Value'. The table body is currently empty. Above the table, there are navigation controls including '1 of 1', 'Go', and a list icon.

At the bottom of the window, there is a 'Mapped Installation IDs' section with a table structure. The table has columns for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open Authorized', and a 'Cancel' button.

Click 'Get Additional Information' button to view additional information details as follows:

- Other Info Field
- Field Value

## 10.11.7 Tax Details Tab

Click 'Tax Details' tab in 'Third Party Entity Maintenance' screen.

Third Party Entity Maintenance Detail

Execute Query

**General Information**

Entity ID \* \_\_\_\_\_

Entity Name \* \_\_\_\_\_

Entity Category \_\_\_\_\_

Entity Category Description \_\_\_\_\_

Entity Category Type Individual ▾

Restrict Cross Branching within Agent No ▾

Nationality \_\_\_\_\_

Nationality Description \_\_\_\_\_

Country of Birth \_\_\_\_\_

Country of Birth Desc \_\_\_\_\_

Country Of Domicile \_\_\_\_\_

Country Desc \_\_\_\_\_

Incorporation Country \_\_\_\_\_

Country Of Incorporation Desc \_\_\_\_\_

Basic Information | Corresp. Address | Bank Details | Alt.Lang.Details | Additional Info | **Tax Details**

1 of 1 Go

Issuing jurisdiction code *	Description	Tax Identification *	Issue Date *	Expiry Date *
-----------------------------	-------------	----------------------	--------------	---------------

Mapped Installation IDs

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorized \_\_\_\_\_

Cancel

You can specify the following details:

### Issuing Jurisdiction Code

*Alphanumeric; 3 Characters; Optional*

Specify the country code of the issuing country. Alternatively, you can select the country code from the option list. The list displays all valid country code maintained in the system.

### Description

*Display*

The system displays the description for the selected country code.

### Tax Identification

*Alphanumeric; 50 Characters; Optional*

Specify the tax identification number of the unit holder.

### Issue Date

*Date Format; Optional*

Specify the issue date of the tax ID.

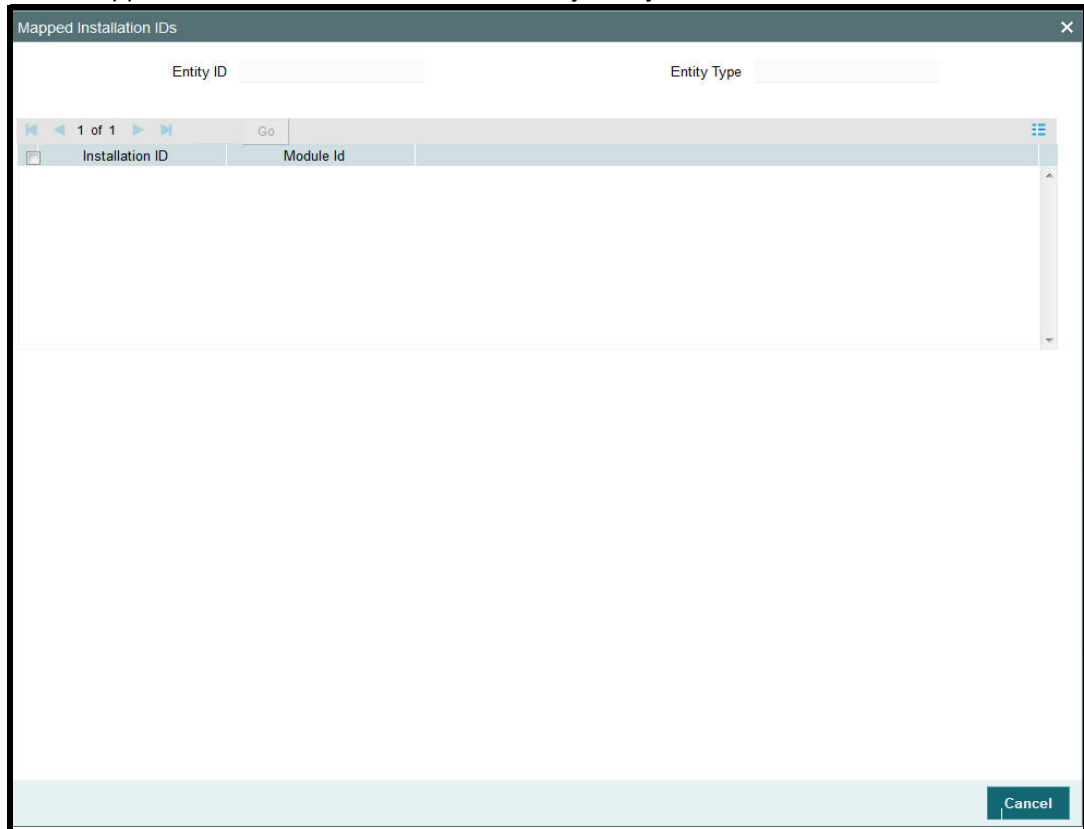
### Expiry Date

*Date Format; Optional*

Specify the expiry date of the tax ID.

### 10.11.8 Mapped Installation IDs Button

Click 'Mapped Installed IDs' button in 'Third Party Entity Maintenance' screen.



You can view the following details:

- Entity ID
- Entity Type
- Installation ID
- Module Id

## 10.12 Third Party Entity Maintenance Summary

This section contains the following topics:

- [Section 10.12.1, "Retrieving an Third Party Entity Record"](#)
- [Section 10.12.2, "Editing an Third Party Entity Record"](#)
- [Section 10.12.3, "Viewing an Third Party Entity Maintenance Record"](#)
- [Section 10.12.4, "Delete an Third Party Entity Maintenance Record"](#)
- [Section 10.12.5, "Authorizing an Third Party Entity Maintenance Record"](#)
- [Section 10.12.6, "Amending an Third Party Entity Maintenance Record"](#)
- [Section 10.12.7, "Authorizing an amended Third Party Entity Record"](#)

## 10.12.1 Retrieving an Third Party Entity Record

You can invoke the 'Third Party Entity Maintenance Summary' screen by typing 'UTSTPMN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Third Party Entity Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Entity ID  Entity Name

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Entity ID	Entity Name	Entity Type
------------	------	-----------	-------------	-------------

Exit

To retrieve a previously entered third party entity record:

- Invoke the Third Party Entity Maintenance Summary screen and specify the following:
  - The authorization status of the third party entity record in the Authorized field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the third party entity records in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
  - Entity ID
  - Entity Name
- After you have specified the required details, click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can also retrieve an individual third party entity rate detail from the Detail screen by doing query in the following manner:

- Press F7
- Input the Entity ID
- Press F8

You can perform Edit, Delete, Amend, Authorize, operation by selecting from the Action list.

You can also search the record by using combination of % and alphanumeric value.

### **10.12.2 Editing an Third Party Entity Record**

You can modify the details of a third party entity record that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

1. Invoke the Third Party Entity Maintenance Summary screen from the Browser.
2. Select the authorization status of the records that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
3. Specify any or all of the search parameters for retrieving the records.
4. Click 'Search'. All unauthorized third party entity records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to modify. The Third Party Entity Maintenance Detail screen is displayed.
6. Select Unlock Operation from Action list to modify the record. Modify the necessary information.
7. Click Save to save the changes. The Third Party Entity Maintenance Detail screen is closed and the changes made are reflected in the Third Party Entity Maintenance Summary screen.

### **10.12.3 Viewing an Third Party Entity Maintenance Record**

To view the third party entity details that you have previously entered:

1. Invoke the Third Party Entity Maintenance Summary Screen from the Browser.
2. Select the authorization status of the third party entity records that you want to retrieve for viewing in the Authorized field. You can also view all the third party entity records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
3. Specify any or all of the search parameters for retrieving the records.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to view. The Third Party Entity Maintenance screen Detail is displayed in view mode.

### **10.12.4 Delete an Third Party Entity Maintenance Record**

You can delete only unauthorized records in the system. To delete an third party entity record:

1. Invoke the Third Party Entity Maintenance Summary screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to delete. The Third Party Entity Maintenance Detail screen is displayed.
6. Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **10.12.5 Authorizing an Third Party Entity Maintenance Record**

An unauthorized third party entity record must be authorized in the system for it to come into effect. To authorize an third party entity record:

1. Invoke the Third Party Entity Maintenance Summary screen from the Browser.
2. Select the status of the third party entity record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you wish to authorize. The Third Party Entity Maintenance screen displayed. Select Authorize operation from Action.

When the checker authorizes an third party entity details, details of validations, if any, that were overridden by the maker of the third party entity details during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the maintenance.

### **10.12.6 Amending an Third Party Entity Maintenance Record**

After an third party entity record is authorized, it can be modified using the Unlock operation from Action list. To make changes to an third party entity record after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

1. Invoke the Third Party Entity Maintenance Summary screen from the Browser.
2. Select the status of the record that you wish to retrieve for amendment. You can only amend records that are authorized.
3. Specify any or all of the search parameters in the corresponding fields on the screen.
4. Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double click the record that you want to amend. The Third Party Entity Maintenance Detail screen is displayed in Amendment mode.
6. Click the Unlock operation from the Action list to amend the record.
7. Amend the necessary information. Click the Save button to save the changes

### **10.12.7 Authorizing an amended Third Party Entity Record**

An amended third party entity record must be authorized for the amendment to be made effective in the system. The process of authorization is the same as the process of normal authorization.

## **10.13 Due Diligence Detail**

This section contains the following topics:

- [Section 10.13.1, "Invoking Due Diligence Detail Screen"](#)

### 10.13.1 Invoking Due Diligence Detail Screen

You can maintain due diligence details using 'Due Diligence Detail' screen. You can invoke this screen by typing 'UTDDUDEL' 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 form titled "Due diligence Detail". At the top left, there is a "Save" button. The form is organized into two columns. The left column contains: "Tax Compliance\*" (a text input field with a search icon), "Description" (a text input field), "Compliance Effective Date\*" (a date picker showing "MMDD/YYYY"), "Tax Jurisdiction" (a text input field with a search icon), and "Description" (a text input field). The right column contains: "Source Entity" (a text input field with a search icon), "Description" (a text input field), and "Process Type\*" (a dropdown menu currently showing "Due Diligence"). At the bottom right of the form, there is a "Cancel" button.

You can specify the following details:

#### **Tax Compliance**

*Alphanumeric; 4 Characters; Mandatory*

Specify the tax compliance details. Alternatively, you can select tax compliance details from the option list. The list displays all valid tax compliance details maintained in the system.

#### **Description**

*Display*

The system displays the description for the selected tax compliance details.

#### **Compliance Effective Date**

*Date Format; Mandatory*

Select the compliance effective date to process the due diligence from the adjoining calendar.

The default value will be effective date maintained in the Tax compliance setup maintenance. You should not specify the date less than the effective date and greater than the application date.

The system will pick all accounts opened on or before the date input here. It will be applicable for all process type. For due diligence process the date cannot be less than the effective date and greater than the application date.

For Diminimis process, the date cannot be less than the due diligence date maintained as part of Tax compliance setup and not greater than the application date.

For diminimis yearly process, the date cannot be less than the last diminimis or dimininis yearly batch and not greater than the application date

**Tax Jurisdiction**

*Alphanumeric; 3 Characters; Mandatory*

Specify the country code for which the process to be executed. Alternatively, you can select country code from the option list. The list displays all valid country code maintained in the system.

**Description**

*Display*

The system displays the description for the selected tax jurisdiction details.

**Source Entity**

*Alphanumeric; 12 Characters; Mandatory*

Specify the source entity code. Alternatively, you can select source entity code from the option list. The list displays all valid source entity code maintained in the system.

**Description**

*Display*

The system displays the description for the selected source entity code.

**Process Type**

*Mandatory*

Select the process type to be executed from the drop-down list. The list displays the following values:

- Due Diligence
- De minimis
- De minimis yearly

*For further details on due diligence batch process, refer 'Due Diligence Batch Process' section in 'End of Day Activities' chapter in 'Batch Process' User Manual.*



# 11. Appendix

Oracle FLEXCUBE Investor Servicing is accessibility compliant. This chapter deals with the following activities on the screens available in the browser:

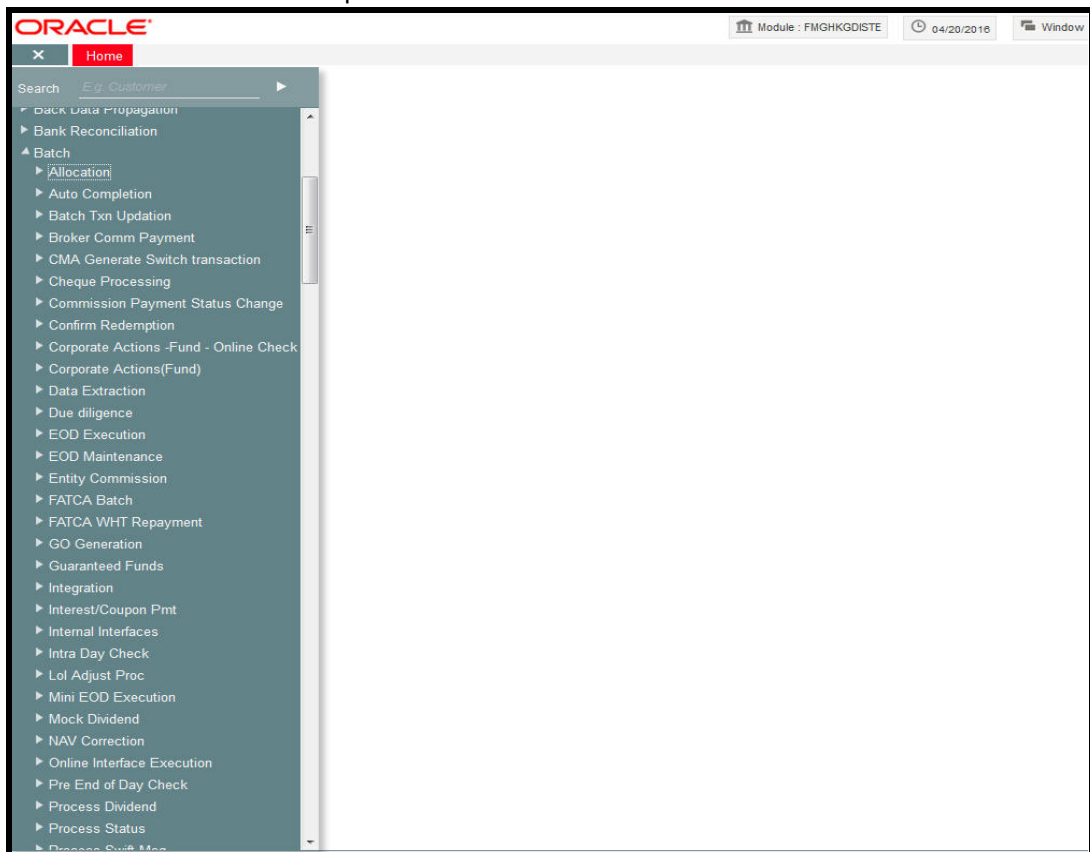
- Minimizing Main Screens – explains methods of minimizing screens.
- Keyboard Compatibility – helps you to comfortably navigate using keyboard.

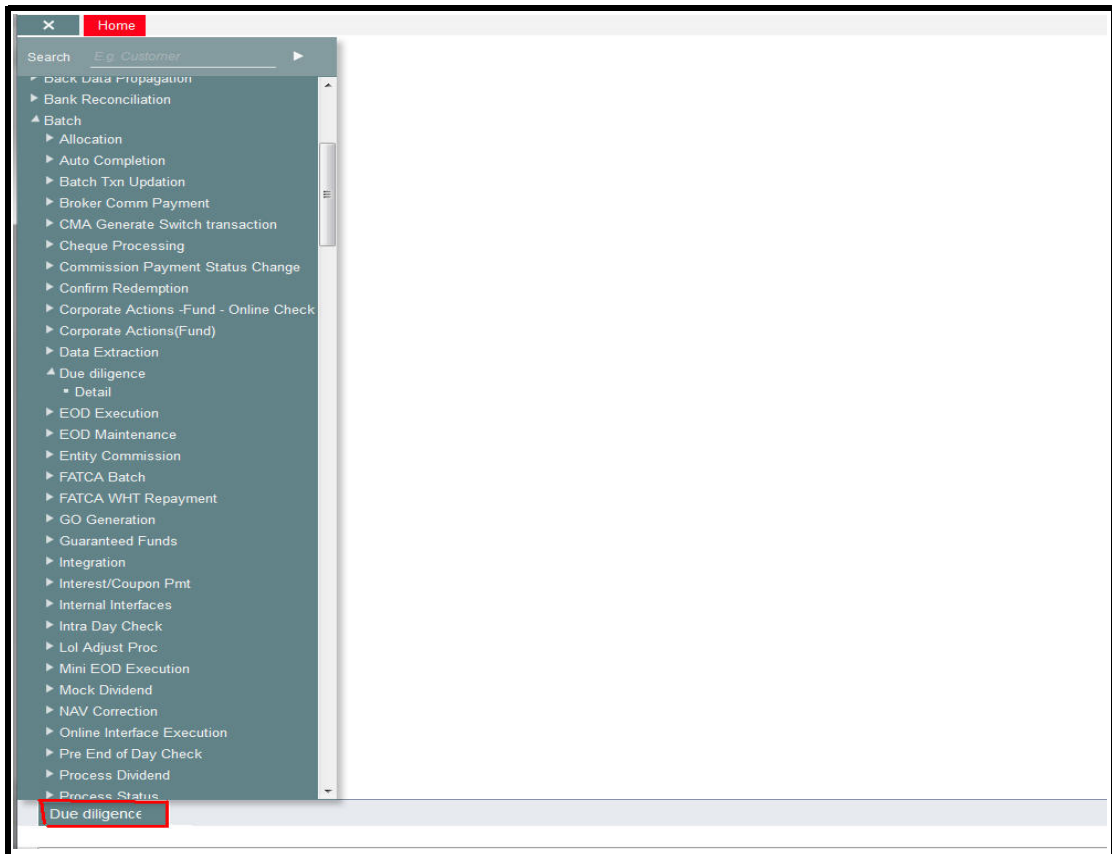
This chapter contains the following sections:

- [Section 11.1, "Minimizing Main Screens"](#)
- [Section 11.2, "Keyboard Compatibility"](#)
- [Section 11.3, "Custom Window – Keyboard Compatibility"](#)

## 11.1 Minimizing Main Screens

You can minimize main screens by clicking minimize button. The minimized screens reside in the provided task bar. These minimized screens can be maximized either from the task bar or from the windows menu option.





## 11.2 Keyboard Compatibility

This section contains the following topics:

- [Section 11.2.1, "Keyboard Shortcut Navigation"](#)
- [Section 11.2.2, "Landing Page – Keyboard Compatibility"](#)
- [Section 11.2.3, "Navigating through Side Bar "](#)
- [Section 11.2.4, "Navigating through Toolbar"](#)

### 11.2.1 Keyboard Shortcut Navigation

Oracle FLEXCUBE Investor Servicing is compatible with keyboard. You can comfortably navigate using arrow keys and tab keys. You can use the appropriate keyboard shortcuts to navigate through the following sections:

- Landing Page
  - Side Bar Menu
  - Toolbar
- Custom Windows
  - Detail Screen
  - Summary Screen

## 11.2.2 Landing Page – Keyboard Compatibility

Oracle FLEXCUBE Investor Servicing provides keyboard compatibility in navigating through Side Bar and Toolbar of the Application Browser.

## 11.2.3 Navigating through Side Bar

Side bar menu refers to the menus available in the Application Browser. You can navigate through the side bar menus using Tab Key, Shift and Tab Key, and Arrow Keys. The side bar menus include Menu, Workflow, Customer, My Dashboard, etc.

### **Tab Key**

- To move from the selected side bar menu header to the first element of the selected side bar menu container.
- To move the focus to the first enabled Action key in the toolbar from any of the side bar menu.

---

### **Note**

If the action keys are hidden, then it moves to the first drop-down menu.

---

### **Shift + Tab Key**

- To move the focus at the selected side bar menu header.
- To move the focus to the selected side bar menu header, when the focus is on any of the side bar.

---

### **Note**

If the element of the side bar menu container further opens its details in the dashboard then the focus will shift to the first element of the detail.

---

### **Arrow Keys**

- To navigate within the elements of the side bar menu container.
- To navigate between the side bar menus.

## 11.2.4 Navigating through Toolbar

You can even navigate through the toolbar options using keyboard.

### **Action Key**

You can navigate through Action Keys using keyboard.

### **Tab Key**

- To move the focus to the first drop-down menu.

### **Shift + Tab Key**

- To move the focus to the selected side bar menu header

### **Arrow Keys**

- To navigate between the action keys that are enabled.

### **Drop-down Menu**

You can navigate through drop-down menus using keyboard.

### **Tab Key**

- To move the focus to the fast-path.

**Shift + Tab Key**

- To move the focus to the first action key in the toolbar that is enabled.

---

**Note**

If the action keys are hidden, then it moves the focus to the last side bar menu.

---

**Arrow Keys**

- To navigate between the drop-down menus.
- To navigate between the items of the selected drop-down menu.

**Esc**

- To close the drop-down menu.

## 11.3 Custom Window – Keyboard Compatibility

This section contains the following topics:

- [Section 11.3.1, "Detail Screen Navigation"](#)
- [Section 11.3.2, "Summary Screen Navigation"](#)

### 11.3.1 Detail Screen Navigation

Oracle FLEXCUBE provides keyboard compatibility to navigate through Detailed and Summary screens. Detail screens contain Tabs and Buttons. Clicking them opens a sub-screen. Hence, navigation in these screens is handled in different stages.

#### Generic Navigation

Generic navigation involves navigating through the general fields available.

**Tab Key**

- To navigate through the fields.
- To move the focus from the first field to the next.

**Shift +Tab Key**

- To move the focus to the previous fields.

**Shortcut keys**

- To navigate through LOV, Calendar, Pop-up editor buttons.

Tabs Navigation

Tabs navigation involves navigating through the tabs available.

**Tab Key**

- To focus on the first element of the same tab.

**Shift +Tab Key**

- To move the focus to the first text field in the header of the screen.

**Arrow Keys**

- To navigate through multiple tabs.

#### Data Table Navigation

Data Table navigation involves navigating through the rows and cells of the rows in the table.

**Tab Key**

- To navigate to the next cell in the row.

**Shift +Tab Key**

- To navigate to the previous cell in the row.

### **Up and Down Arrow Keys**

- To navigate through Data Table rows.

### **Shortcut Keys**

To avoid focusing on pagination, adding row, deleting row, and single view buttons of data table; the following shortcut keys are available:

- First page – Home
- Previous page – Page Up
- Next Page – Page Down
- Last Page – End
- Add Row – Ctrl + Insert
- Delete Row – Ctrl + Delete
- Single View – Ctrl + i
- Navigation to the form field after data table – Ctrl + Tab
- Navigation to the form field before data table – Ctrl + Shift + Tab

### **Single View Screen Navigation**

You can open single view screen by using 'Ctrl + l' shortcut key.

### **Tab Key**

- To navigate between the fields.

### **Esc**

- To close the window.

### **Shortcut Keys**

To avoid focusing on navigation buttons, the following shortcut keys are available:

- Previous Record – Up Arrow Key
- Next Record – Down Arrow Key

### **LOV Navigation**

You can open LOV window by pressing 'F4' key. LOV navigation involves navigating through the list of values available.

### **Tab Key**

- To navigate through reduction fields.
- To move focus to the cross button in the window title bar.

### **Shift +Tab Key**

- To move focus to the first element of the header of result block.

### **Esc**

- To close the LOV window.

### **Arrow Keys**

- To navigate between the elements of the result block.

### **Shortcut Keys**

To avoid focusing on navigation buttons, the following shortcut keys are available:

- First page – Home
- Previous page – Page Up
- Next Page – Page Down
- Last Page – End

## **Calendar Navigation**

You can open Calendar window by pressing 'F4' key. Calendar navigation involves navigating through the years, months, and days.

### **Tab Key**

- To move focus to the exit button in the window title bar.

### **Shift +Tab Key**

- To move focus to the first navigation button.

### **Esc**

- To close the calendar window.

### **Arrow Keys**

- To navigate between the dates.

### **Shortcut Keys**

To avoid focusing on navigation buttons, the following shortcut keys are available:

- Previous Year – Home
- Previous Month – Page Up
- Next Month – Page Down
- Next Year – End

## **Editor Navigation**

You can open Editor window by pressing 'F4' key.

### **Tab Key**

- To navigate between the text area and buttons.

### **Esc**

- To close the editor window

---

#### **Note**

Press 'Enter' if the editor window is only a display field.

---

## **11.3.2 Summary Screen Navigation**

Summary screens display details related to a specific query based on the selected criteria available in the screen. Navigation through these criteria can be handled through keyboard keys.

### **Tab Key**

- From any element of the header key to move focus to the first element of the first row of the result block.
- If the result block is empty, then moves focus to the exit button.
- From any element of any row to shift focus to the exit button.

### **Shift +Tab Key**

- To move focus to the previous enabled field.
- To move the focus to the first element of the result block header.

### **Arrow Keys**

- To navigate through header of the result block.
- To navigate between the elements of the rows in the result block.

### **Shortcut Keys**

To avoid focusing on navigation buttons, the following shortcut keys are available:

- First page – Home
- Previous page – Page Up
- Next Page – Page Down
- Last Page – End

### **Advance Search Navigation**

Advance search navigation involves navigating through Query criteria and Other Fields listed in the window.

#### **Tab Key**

- To navigate between other fields listed in the window.

#### **Arrow Keys**

---

## 12. Function ID Glossary

### U

UTDADINF .....	4-20	UTDEUMAP .....	4-36
UTDADTAX .....	8-108	UTDEXCRM .....	6-22
UTDAGLUR .....	3-75	UTDEXRMP .....	8-36
UTDAGYBN .....	3-155	UTDFATDT .....	10-14
UTDASSSD .....	3-144	UTDFATMT .....	7-2
UTDAUTRE .....	3-163	UTDFATRP .....	7-9
UTDBLCBD .....	5-81	UTDFEECA .....	4-30
UTDBLCBR .....	5-71	UTDFNTYP .....	3-3
UTDBLKFR .....	5-16	UTDFRQPR .....	3-188
UTDBLKPT .....	5-76	UTDGFPLR .....	3-226
UTDBLKRC .....	5-40	UTDHDRUL .....	3-212
UTDBLCSI .....	5-45	UTDHOLID .....	3-108
UTDBLKUH .....	5-61	UTDHRGMP .....	3-221
UTDBLTLO .....	5-57	UTDHWM .....	3-203
UTDBLTXN .....	5-50	UTDINDEX .....	3-149
UTDBLUHD .....	5-86	UTDINRMN .....	3-193
UTDBRIDS .....	3-46	UTDKYCMT .....	3-176
UTDCDFP .....	5-30	UTDKYCRE .....	3-181
UTDCDIDS .....	5-35	UTDLNGSU .....	3-175
UTDCLNFR .....	4-16	UTDLOADM .....	8-8
UTDCMPGR .....	8-97	UTDLOAMP .....	8-33
UTDCMPMN .....	8-83	UTDLODM .....	8-8
UTDCMPUP .....	8-102	UTDMODDE .....	4-15
UTDCOMCL .....	10-19	UTDMPAYS .....	3-135
UTDCONCU .....	6-9	UTDPARAM .....	4-14
UTDCONMT .....	3-69	UTDPAYGP .....	8-40
UTDCONPF .....	3-169	UTDPERLM .....	8-49
UTDCURCT .....	6-28	UTDPRDIV .....	4-19
UTDCURMA .....	6-1	UTDRATES .....	3-198
UTDDCTRO .....	3-102	UTDRDRPM .....	4-51
UTDDEFMT .....	4-2, 4-9	UTDSEGMT .....	4-9
UTDDELGA .....	3-231	UTDSETBA .....	3-232
UTDDISSI .....	3-82	UTDSETCY .....	3-237
UTDDMAP .....	4-35	UTDSETTP .....	3-242
UTDDUDEL .....	10-49	UTDSORCE .....	6-14
UTDDVCOM .....	4-37	UTDSTOPC .....	4-43
UTDEMHOI .....	3-116	UTDSUCPR .....	3-243
UTDEMPRC .....	3-122	UTDSWPRV .....	3-140
UTDENMAP .....	4-25	UTDTCAC .....	8-66
UTDENMNT .....	3-207	UTDTCPP .....	8-68
UTDENTCO .....	8-75	UTDTCS .....	10-4
UTDENTMN .....	3-9, 5-10	UTDTCSCM .....	10-9
UTDENTMP .....	3-39	UTDTGBFE .....	8-69
UTDENTPY .....	3-62	UTDTIMEZ .....	9-1
UTDENTRL .....	3-45	UTDTPMN .....	10-31
		UTDTSOFF .....	3-131



UTDUHBVR .....	3-91		
UTDWHTAX .....	3-93		
UTSADTAX .....	8-110		
UTSAGLUR .....	3-78	UTSENTPY .....	3-66
UTSAGYBN .....	3-159	UTSEXCRM .....	6-25
UTSASSSD .....	3-146	UTSEXRMP .....	8-38
UTSAUTRE .....	3-165	UTSFATDT .....	10-17
UTSBLCBD .....	5-83	UTSFATMT .....	7-7
UTSBLCBR .....	5-73	UTSFEECA .....	4-32
UTSBLKFR .....	5-27	UTSFNTYP .....	3-5
UTSBLKPT .....	5-78	UTSFRQPR .....	3-190
UTSBLKRC .....	5-42	UTSGFPLR .....	3-227
UTSBLKSI .....	5-47	UTSHDRUL .....	3-218
UTSBLKUH .....	5-68	UTSHOLID .....	3-112
UTSBLTLO .....	5-58	UTSHRGMP .....	3-223
UTSBLTXN .....	5-54	UTSHWM .....	3-204
UTSBLUHD .....	5-88	UTSINDEX .....	3-151
UTSBRIDS .....	3-59	UTSINRMN .....	3-195
UTSCDFP .....	5-32	UTSKYCMT .....	3-178
UTSCDIDS .....	5-37	UTSKYCRE .....	3-183
UTSCLNFR .....	4-17	UTSLOADM .....	8-28
UTSCMPGR .....	8-99	UTSLOAMP .....	8-34
UTSCMPMN .....	8-94	UTSMPAYS .....	3-137
UTSCMPUP .....	8-104	UTSPAYGP .....	8-46
UTSCOMCL .....	10-28	UTSPERLM .....	8-61
UTSCONCU .....	6-11	UTSRATES .....	3-200
UTSCONMT .....	3-72	UTSSEGMT .....	4-10
UTSCONPF .....	3-171	UTSSETBA .....	3-234
UTSCURCT .....	6-29	UTSSETCY .....	3-239
UTSCURMA .....	6-6	UTSSORCE .....	6-19
UTSDCTRO .....	3-105	UTSSTOPC .....	4-47
UTSDISSI .....	3-85	UTSSUCPR .....	3-245
UTSDVCOM .....	4-40	UTSSWPRV .....	3-141
UTSEMHOL .....	3-119	UTSTCS .....	10-6
UTSEMAP .....	4-26	UTSTCSCM .....	10-10
UTSENMNT .....	3-210	UTSTGBFE .....	8-72
UTSENTCO .....	8-80	UTSTIMEZ .....	9-3
UTSENTMN .....	3-36, 5-92	UTSTPMN .....	10-46
UTSENTMP .....	3-41	UTSWHTAX .....	3-99