

Admin User Guide

# **Oracle FLEXCUBE Investor Servicing**

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**Admin User Guide**  
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# 1. About This Manual

## 1.1 Introduction

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

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

## 1.2 Related Documents

The User Manual is organized 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

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

Chapter	Description
Chapter 1	<i>About This Manual</i> explains the structure, audience, organization, and related documents of this manual.
Chapter 2	<i>Admin</i> – explains Purge frequency maintenance, Purge processing, query builder.
Chapter 3	<i>Long Term Data Store</i> - explains the process of moving the old data from FCIS business schema to Long term data store.

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

## 1.5.2 Keyboard Conventions

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

## 1.6 Glossary of Icons

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

Icons	Function
	Exit
	Add Row
	Delete Row
	Option List

## 1.7 Abbreviations and Acronyms

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

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

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

## **1.8 Getting Help**

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

---

## 2. Administration

The Fund Manager component is equipped to manage administrative activities, which include the purging of data, maintenance of extraction information for extraction of data from the FIC application. This chapter explains these functions.

This chapter also explains the Query Builder, which can be used to construct user defined query statements to obtain information from the database.

This chapter contains the following sections:

- [Section 2.1, "Purge Frequency Maintenance"](#)
- [Section 2.2, "Purge Frequency Summary Screen"](#)
- [Section 2.3, "Purge Use Case Maintenance"](#)
- [Section 2.4, "Purge Use Case Maintenance Summary"](#)
- [Section 2.5, "Purge View"](#)
- [Section 2.6, "Purge Batch"](#)
- [Section 2.7, "Purge Processing"](#)

### 2.1 Purge Frequency Maintenance

This section contains the following topics:

- [Section 2.1.1, "Invoking Purge Frequency Maintenance Detail Screen"](#)

#### 2.1.1 Invoking Purge Frequency Maintenance Detail Screen

You can use this screen to maintain the frequency of purging for the tables in the system. According to the frequency specified here, the tables are purged during the End of Day processes.

Invoke the 'Purge Frequency Maintenance Detail' screen by typing 'UTDPURGS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The 'Purge Frequency Maintenance Detail' screen is displayed. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

## **Basic Information Section**

### **Purge Key**

*Alphanumeric; 100 Characters; Mandatory*

Purge key is the purge name that you need to maintain.

### **Table Name**

*Alphanumeric; 50 Characters; Mandatory*

The name of the table for which a purge frequency must be set up is displayed here.

### **Purge Frequency**

*Optional*

Specify the frequency at which the selected table must be purged as part of the End of Day processes. You can use the drop-down list to make your choice. Following are the options available in the drop-down list:

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

- Yearly
- Not Scheduled

If purge frequency is maintained as not scheduled, the system will ignore this purge activity from execution during EOD.

### **Last Purge Date**

*Date Format; Optional*

Specify the last purge date.

### **Retention Period**

*Numeric; 22 Characters; Optional*

Specify the retention period in days based on retention period and frequency maintained.

### **Retention Frequency**

*Optional*

Select the retention frequency from the drop-down. Following are the options available in the drop-down list:

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

### **Retention Period in Days**

*Numeric; 22 Characters; Optional*

Specify the retention period in days based on the Retention Period Value and Frequency. For instance, If Retention Period is 1, and Retention Frequency is selected as weekly then you need to specify 7 in this field (1\*7days in a week=7).

### **Pre Purge Procedure Required?**

*Optional*

You can execute a pre-defined procedure before the purging activity from the drop-down list. The list displays the following values:

- Yes - If you select this option, the system will capture Pre Purge Procedure Name
- No - If you select this option, the Pre Purge Procedure Name is not required

### **Pre Purge Procedure Name**

*Alphanumeric; 35 Characters; Mandatory if Pre Purge Procedure Required? is selected as 'Yes'*

Specify the pre purge procedure name.

### **Column Referred For Retention**

*Alphanumeric; 50 Characters; Optional*

Specify the column in the table which will be referred before processing purge. Alternatively, you can select column referred for retention from the option list. The list displays all valid column referred for retention maintained in the system.

If purge is already processed, then process will start from the last purge date.

**Dynamic Procedure Name**

*Alphanumeric; 35 Characters; Mandatory*

Specify the dynamic procedure name.

The system will create dynamic procedure during authorization. The system will validate the parameters provided for purging. If the specified procedure name already exists, then the system displays an override message.

Authorization will fail if dynamic procedure cannot be created without errors.

**Additional Information Section****Archive Required?**

*Optional*

Select 'Yes' if you want backup to be taken before purge. Else select 'No'.

If you select 'Yes', the system will copy the existing data into corresponding purge tables specified in the grid.

---

**Note**

Actual Table and corresponding purge table should be in same number of columns and order of columns. If there is mismatch, dynamic procedure creation will fail and maintenance cannot be authorized.

---

If you select 'No', the system will delete the data from the table.

**Commit Counter**

*Numeric; 22 Characters; Optional*

Specify commit frequency for archival/purging activity. If maintained, it should be greater than zero. If you do not provide commit frequency, then the system will consider static maintenance available. In the absence of static data, system will default 10000 as commit counter.

**Installation Criteria**

*Alphanumeric; 255 Characters; Optional*

Enter the installation criteria based on which the purge will be maintained.

If any new purge activity is maintained, the same can be provided during first time maintenance only. Subsequent amendment of this value is restricted.

**User Criteria**

*Alphanumeric; 255 Characters; Optional*

You can amend the purge details before process and enter the user defined criteria.

User defined Criteria is an additional criteria which will be appended to installation criteria to filter parent table data to be archived.

## **Child Details**

### **Purge Order**

*Numeric; 3 Characters; Optional*

Specify the purge order details.

### **Table Name**

*Alphanumeric; 50 Characters; Optional*

Specify the archived table name.

### **Archive Table Name**

*Alphanumeric; 50 Characters; Optional*

Specify the archived table name.

### **Primary Key Column Name**

*Alphanumeric; 225 Characters; Optional*

Specify the primary key name.

### **Parent Primary Key Column Name**

*Alphanumeric; 225 Characters; Optional*

Specify the parent primary key column name.

The system performs the following validations for Purge Order:

- Purge Order defines the order in which the tables needs to be purged.
- Purge order for Master table should be 0.
- If master table is not provided in the grid, the system will use master table only for identifying the data for purge; during purge process the system will purge only the tables provided in the grid.
- If no table information are provided in the grid, the system will delete the parent table data based on the criteria provided. If no criteria is provided, then the system will truncate the table.
- Purge order of child tables should be greater than 0.
- Purging of master table will be done after purging of all the child tables (if master table is provided in the grid).
- Primary Key Column Name and Parent Primary Key Column Name. Column names of master and child tables to be provided here.
- Details of child table to be provided in Primary Key Column Name and details of master table to be provided in Parent Primary Key Column Name
- Data is mandatory for all child tables

---

### **Note**

The dynamic packages will get recreated on unlock, save and authorisation.

---

## **2.2 Purge Frequency Summary Screen**

This section contains the following topics:

- [Section 2.2.1, "Retrieving Record in Purge Frequency Summary Screen"](#)
- [Section 2.2.2, "Editing Purge Frequency Maintenance"](#)

- [Section 2.2.3, "Viewing Purge Frequency Maintenance record"](#)
- [Section 2.2.4, "Deleting Purge Frequency Maintenance record"](#)
- [Section 2.2.5, "Authorizing Purge Frequency Maintenance "](#)
- [Section 2.2.6, "Amending Purge Frequency Maintenance"](#)
- [Section 2.2.7, "Authorizing Amended Purge Frequency Maintenance"](#)
- [Section 2.2.8, "Copying Attributes"](#)

## 2.2.1 Retrieving Record in Purge Frequency Summary Screen

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

Invoke the 'Purge Frequency Maintenance Summary' screen by typing 'UTSPURGS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. 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
- Purge Key
- Purge Frequency
- Last Purge Date
- Archive Required
- Dynamic Procedure Name

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 Purge Key
  - 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 Purge Key by using the combination of % and alphanumeric value as follows:-

- Search by A%: System will fetch all the records whose Purge Key starts from Alphabet 'A'. For example, AGC17, AGVO6, AGC74 etc.
- Search by %7: System will fetch all the records whose Purge Key ends by numeric value '7'. For example AGC17, GSD267, AGC77 etc.

- Search by %17%:- System will fetch all the records whose Purge Key contains the numeric value 17. For example, GSD217, GSD172, AGC17 etc.

## 2.2.2 Editing Purge Frequency Maintenance

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

- Invoke the Purge Frequency 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 Purge Frequency 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 Purge Frequency Maintenance Detail screen is closed and the changes made are reflected in the Purge Frequency Summary screen.

### **2.2.3 Viewing Purge Frequency Maintenance record**

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

- Invoke the Purge Frequency 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 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 Purge Frequency Maintenance Detail screen is displayed in View mode.

### **2.2.4 Deleting Purge Frequency Maintenance record**

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

- Invoke the Purge Frequency 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 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 Purge Frequency 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.

### **2.2.5 Authorizing Purge Frequency Maintenance**

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

- Invoke the Purge Frequency 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 and 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 Purge Frequency 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.

### **2.2.6 Amending Purge Frequency Maintenance**

After a Purge Frequency 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 Purge Frequency 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 and 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 Purge Frequency 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.

### **2.2.7 Authorizing Amended Purge Frequency Maintenance**

An amended Purge Frequency 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 process of subsequent authorization is the same as that for normal transactions.

### **2.2.8 Copying Attributes**

If you want to create a new Purge Frequency Maintenance with the same attributes of an existing maintenance, you can copy the attributes of an existing Purge Frequency Maintenance to a new one.

To copy the attributes:

- Retrieve the record whose attributes the new Purge Frequency 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 Purge Frequency Maintenance. You can, however, change the details of the new maintenance.

## **2.3 Purge Use Case Maintenance**

This section contains the following topics:

- [Section 2.3.1, "Invoking Purge Use Case Maintenance Screen"](#)

### **2.3.1 Invoking Purge Use Case Maintenance Screen**

You can provide the purge fund data along with relevant audit/ history information using 'Purge Use Case Maintenance' screen. All tables from which data will be archived/purged will be available as factory shipped maintenance. You can purge or archive fund data based on predefined criteria. You can also purge or archive fund information along with associated maintenances, transaction data and audit trail information.

There will be a pre purge procedure which will populate the identified records for authorization. The screen will also identify records which cannot be purged for business reasons.

On authorization of the pre purged record, the system will actual archive/ purge process based on the maintained schedule. The system will log the detail of records which could not be purged along with reasons.

The system will purge/ archive all fund data including the following information:

- Fund Rules (UTNFNDRL)



- Fund Bank Account (UTDFNDAC)
- Fund Entity (UTDFNENT)
- Fund Calendar (UTDHOLID)
- Fund conversion (UTDFNCVR)
- Fund Dividend Records including payment/ reinvestment records at fund level
- Fund WHT (UTDWHTAX)
- Fund Price (UTDFPRIC)
- Periodic Load (UTDPERLM)
- Fund Switch Restriction (UTDFNSWR)
- GL (UTDGLISD)
- Mock Dividend (UTDMOCKD)
- UH Balledger
- BOD Outstanding Units
- Corporate Action Tables
- Fund User (UTDFNDUS)
- Fund Sub Acc Mapping (UTDFSAMS)
- Fund Price Holiday (UTDFPHOL)
- Fund Investment Component (UTDFICRM)
- Fund CPMF (UTDFCPMF)
- Fund Agency Limit (UTDFALMT)
- Auto-switch Set up (UTDASSSD)
- ADHOC price (UTDAHPRM)
- Agent Price Basis (UTDAGTPR)
- Fund UH Category Holding Period (UTDMINHL)
- Unit Price Rounding (UTDPRRRL)
- Target-based Fee (UTDTGBFE)

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**Note**

Only the data which is not interlinked to any other record will be purged/archived. Inter-linked data which will lead to system inconsistency will not be archived/purged. Data once archived cannot be restored back to main tables.

---

You can invoke the 'Purge Use Case Maintenance' screen by typing 'UTDFNPUR' 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:

### **Basic Information**

#### **Purge Function**

*Alphanumeric; 16 Characters; Mandatory*

Specify the purge function details.

#### **Purge Frequency**

*Mandatory*

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

- Daily
- Monthly
- Fortnight
- Quarterly
- Half Yearly
- Yearly

#### **Last Purge Date**

*Display*

The system displays the last purge date.

**Pre Purge Mode**

*Mandatory*

Select the pre purge model from the drop-down list. The list displays the following values:

- EOD
- Manual

**Commit Counter**

*Numeric; 8 Characters; Mandatory*

Specify the commit counter.

**Archive Required?**

*Optional*

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

- Yes
- No

**Table Name**

*Alphanumeric; 50 Characters; Mandatory*

Specify the table name.

**Retention Period Basis**

*Optional*

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

- Daily
- Monthly
- Fortnight
- Quarterly
- Half Yearly
- Yearly

**Retention Period**

*Numeric; 8 Characters; Optional*

Specify the retention period.

**Column Referred For Retention**

*Alphanumeric; 50 Characters; Optional*

Specify the column referred for retention.

**Post Purge Mode**

*Mandatory*

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

- EOD
- Manual
- Automatic

**User Criteria**

*Alphanumeric; 2000 Characters; Optional*

Specify the user criteria details.

## **Purge Key Details**

### **Purge Key**

*Alphanumeric; 100 Characters; Mandatory*

Specify the purge key. Alternatively, you can select purge key from the option list. The list displays all valid purge keys maintained in the system.

### **Purge Order**

*Numeric; 2 Characters; Mandatory*

Specify the purge order.

### **Pre Purge Procedure Name**

*Alphanumeric; 35 Characters; Mandatory*

Specify the pre purge procedure name.

### **Dependent Purge Key**

*Alphanumeric; 100 Characters; Mandatory*

Specify the dependent purge key. Alternatively, you can select dependent purge key from the option list. The list displays all valid dependent purge keys maintained in the system.

## **2.4 Purge Use Case Maintenance Summary**

This section contains the following topics:

- [Section 2.4.1, "Retrieving Record in Purge Use Case Record"](#)
- [Section 2.4.2, "Editing Purge Use Case Record"](#)
- [Section 2.4.3, "Viewing Purge Use Case Record"](#)
- [Section 2.4.4, "Deleting Purge Use Case Record"](#)
- [Section 2.4.5, "Authorizing Purge Use Case Record "](#)
- [Section 2.4.6, "Amending Purge Use Case Record"](#)
- [Section 2.4.7, "Authorizing Amended Purge Use Case Record"](#)

### **2.4.1 Retrieving Record in Purge Use Case Record**

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

Invoke the 'Purge Use Case Maintenance Summary' screen by typing 'UTSFNPUR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. 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
- Purge Function
- Retention Period
- Purge Frequency
- Retention Period Basis
- Pre Purge Mode
- Post Purge Mode

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 Purge Frequency
  - 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.

**Example**

You can search the record for Purge Frequency by using the combination of % and alphanumeric value as follows:

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

Purge Use Case Maintenance

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Purge Function  Retention Period

Retention Period Basis

Pre Purge Mode  Post Purge Mode

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Purge Function	Retention Period	Purge Frequency	Retention Period Basis	Pre Purge Mode	Post Purge Mod

Exit

## 2.4.2 Editing Purge Use Case Record

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

- Invoke the Purge Use Case 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 Purge Use Case 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 Purge Use Case Maintenance Detail screen is closed and the changes made are reflected in the Purge Use Case Maintenance Summary screen.

## 2.4.3 Viewing Purge Use Case Record

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

- Invoke the Purge Use Case 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 and 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 Purge Use Case Maintenance Detail screen is displayed in View mode.

## 2.4.4 Deleting Purge Use Case Record

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

- Invoke the Purge Use Case 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 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 Purge Use Case 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.

## 2.4.5 Authorizing Purge Use Case Record

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

- Invoke the Purge Use Case 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 and 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 Purge Use Case 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.

## **2.4.6 Amending Purge Use Case Record**

After a Purge Use Case 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 Purge Use Case 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 and 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 Purge Use Case 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.

## **2.4.7 Authorizing Amended Purge Use Case Record**

An amended Purge Use Case 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 process of subsequent authorization is the same as that for normal transactions.

## **2.5 Purge View**

This section contains the following topics:

- [Section 2.5.1, "Invoking Purge View Screen"](#)

### **2.5.1 Invoking Purge View Screen**

You can authorize the pre-purge records. Once the record is authorized, the system will generate an interface file to verify the pre-purge records.

You can view the purge details using 'Purge View' screen. You can invoke this screen by typing 'UTDPURVW' 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 "Purge View" with a "Save" button at the top left. Below the "Save" button are four input fields: "Purge Use Case Key" (with a dropdown arrow), "Pre Purge Executed date" (with a date mask "ddMM/yyyy"), "Pre Purge Executed Appdate" (with a date mask "ddMM/yyyy"), and "Batch Ref Number". To the right of the "Pre Purge Executed date" and "Pre Purge Executed Appdate" fields is an "Authorize" button. At the bottom right corner of the window is a "Cancel" button.

You can specify the following details:

#### **Purge Use Case Key**

*Alphanumeric; 100 Characters; Optional*

Specify the purge use case key. Alternatively, you can select purge use case key from the option list. The list displays all valid purge use case key maintained in the system.

#### **Pre Purge Executed date**

*Display*

The system displays the pre purge executed date based on the selected purge use case key..

#### **Pre Purge Executed Appdate**

*Display*

The system displays the pre purge executed app date based on the selected purge use case key.

#### **Batch Ref Number**

*Display*

The system displays the batch reference number.

Clicking 'Authorize' button, the system will authorize the records and will also extract a interface file in text format and will be placed in the export file path. You can use this extract to pre purge records to verify the data being purged. Once authorized, the system will purge/ archive record where validations are successful as per purge schedule.

## **2.6 Purge Batch**

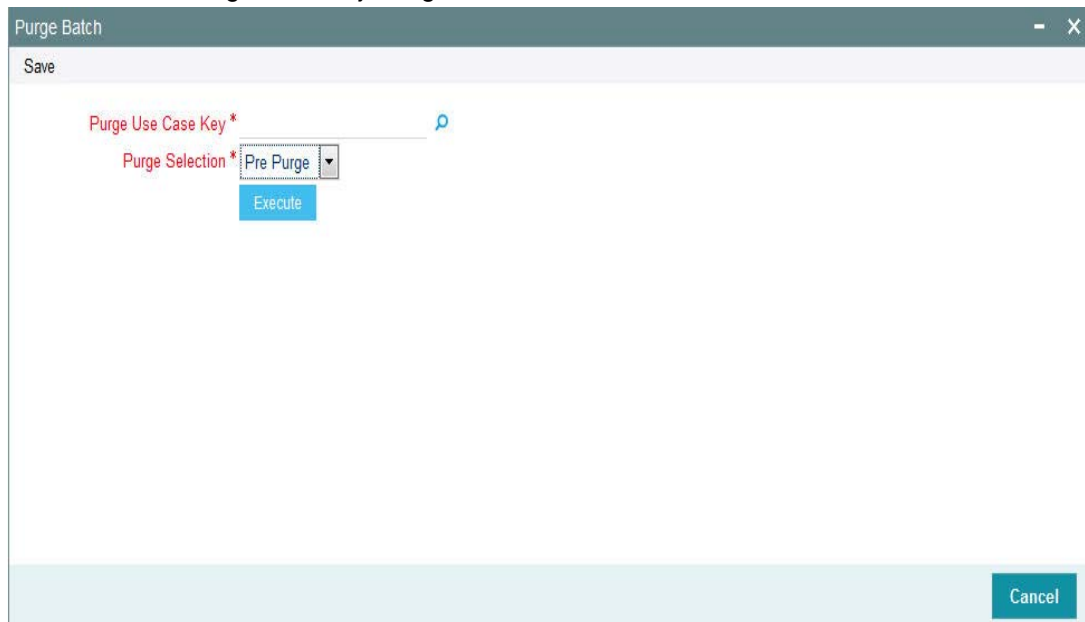
This section contains the following topics:

- [Section 2.6.1, "Invoking Purge Batch Screen"](#)



## 2.6.1 Invoking Purge Batch Screen

You can execute the pre-purge and post-purge process using 'Purge Batch' screen. You can invoke this screen by typing 'UTDPURBT' 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:

### **Purge Use Case Key**

*Alphanumeric; 60 Characters; Mandatory*

Specify the purge use case key. Alternatively, you can select purge use case key from the option list. The list displays all valid purge use case key maintained in the system.

### **Purge Selection**

*Mandatory*

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

- Pre Purge - A pre purge procedure will be run (either manual or during EOD) and will populate relevant records picked up by the pre purge procedure for purge/archival
- Post Purge - The post-purge process will be run manually or automatically or during EOD for purge/archival. For manual operation, you can use 'Purge Batch' screen and for automatic operation, the same will happen during the authorize button click itself.

---

### **Note**

Purge keys with pre/post as manual only will be listed in the purge batch screen option list based on the purge selection.

---

Click 'Execute' button to execute the purge batch.

There will be a pre purge procedure which will populate the identified records for authorization. The screen will also identify records which cannot be purged for business reasons.

On authorization of the pre purged record, the system will archive/purge process based on the maintained schedule. The system will also log the detail of records which could not be purged along with reasons.

Once archived or purged, unitholder details will not be visible in any of the following screens

- Unitholder details including bank, contact details, add info etc (UTDUH)
- UH Deal (UTDUHDEL)
- IDS (UTDUHIDS)
- LOI (UTDUHLOI)
- NPI Preference (UTDUHNPI)
- FATCA/CRS Maintenances (UTDFATMT)
- KYC doc (UTDKYCCD)
- Audit Trail
- Close/reopen (UTDACCLS)
- CIF- UH Mapping (UTDCIFUH)
- Entity Notepad (UTDNTPDE)
- IRRF Preference (UTDUHIOF)
- Non Tax Limits (UTDUHNTX)
- COE Preference (UTDUHCOE)
- Help Desk (UTDHLPDS)
- Distribution Void (UTDDVOID)
- Cheque Book Request (UTDCHKRQ)
- NAV Alert (UTDUHNAV)
- UH KIID
- UH Across Schema Find
- UT transaction screens (UTDTXN01 TO UTDTXN10, UTADJ02, UTADJ03, UTDTXNCU, UTDCNTXN, UTDTXNB, UTDCNVTX, UTDTXNLT, UTDSIN, UTDOLT)
- Policy Transaction Screens (LEDPLAN, LEDPLTOP, LEDPLSUR, LEDPLSWI, LEDPLJNL, LEDFINWD, LEDPLREV)
- Consolidated Enquiry (UTSCOINQ)

## **2.7 Purge Processing**

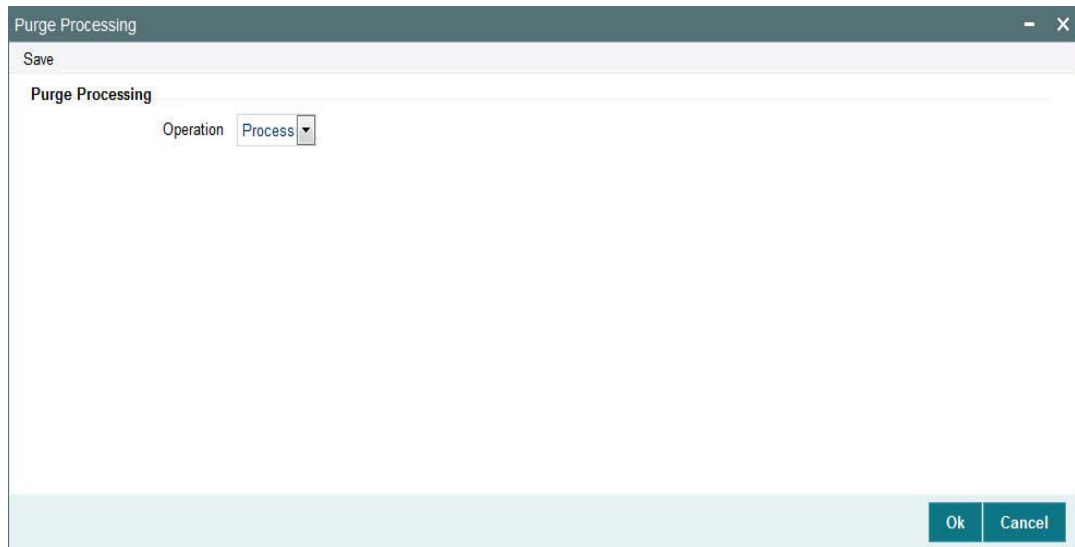
This section contains the following topics:

- [Section 2.7.1, "Invoking Purge Processing Screen"](#)

### **2.7.1 Invoking Purge Processing Screen**

You can trigger the purge process post maintenance of the Purge Frequency using 'Purge Processing' screen. Once this batch is processed, the system moves the records that are maintained for archival to the archival tables.

You can invoke 'Purge Processing' screen by typing 'UTDPURGE' 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:

### **Purge Processing**

#### **Operation**

*Optional*

Select the operation as Process or Execute from the drop-down list.

After selecting the operation, click 'Save' or 'Ok' button to perform the purge activity.

## 3. Long Term Data Store

Long term Data Store (LDS) is the process of moving the old data from FCIS business schema to Long term data store.

LDS can be implemented on FCIS system adhering to data retention policy of region or country. Data retention is storing company's data for business purpose, or to comply with their country's rules and regulations. Data retention policy is a set of guidelines stating the details of the data to be stored and also the duration that needs to be maintained.

Long term data store process will help to reduce volume in business schema thereby improving the performance of the system. The information moved to Long term data store will still be available and you can view the same via User Interface.

You can also generate the reports from the Long term data store.

This chapter contains the following sections:

- [Section 3.1, "LDS Module Setup Maintenance"](#)
- [Section 3.2, "LDS Module Set Up Summary"](#)
- [Section 3.3, "Pre Process Check"](#)
- [Section 3.4, "LDS Status"](#)
- [Section 3.5, "LDS Process"](#)
- [Section 3.6, "LDS Process Flow"](#)

### 3.1 LDS Module Setup Maintenance

This section contains the following topics:

- [Section 3.1.1, "Invoking LDS Module Setup Maintenance Screen"](#)

#### 3.1.1 Invoking LDS Module Setup Maintenance Screen

You can invoke the 'LDS Module Setup Maintenance' screen by typing 'SMDLDMOD' 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 software window titled "LDS Module Set Up Maintenance". At the top left, there is a "Save" button. Below it, there are four input fields: "Module ID \*" (with a magnifying glass icon), "Instance Name", "LDS Module Name", and "LDS Cutoff Date \*" (with a calendar icon). Below the input fields is a table with the following structure:

Input by	DateTime	Mod No	Open	Authorization Status
Authorized by	DateTime			

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

You can specify the following details:

**Module ID**

*Alphanumeric; 30 Characters; Mandatory*

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

**Instance Name**

*Display*

The system displays the instance name for the selected module ID.

**LDS Module Name**

*Display*

The system displays the LDS module name.

**LDS Instance Name**

*Alphanumeric; 50 Characters; Mandatory*

Specify the LDS instance name. Alternatively, you can select the LDS instance name from the option list. The list displays all valid LDS instance name maintained in the system.

**LDS Cutoff Date**

*Date Format; Mandatory*

Select the LDS cut-off date from the adjoining calendar.

---

**Note**

The LDS Cutoff Date can be product fiscal end date or a date lesser than the fiscal end date. If LEP is not installed, then LDS cut-off date can be a date minimum of 2 years less than the application date.

---

Click 'Ok' and then click 'Save' to save the entered records.

Only one active setup can be maintained for an module.

## **3.2 LDS Module Set Up Summary**

This section contains the following topics:

- [Section 3.2.1, "Retrieving Record in LDS Module Set Up Summary Screen"](#)
- [Section 3.2.2, "Editing LDS Module Set Up Record"](#)
- [Section 3.2.3, "Viewing LDS Module Set Up Record"](#)
- [Section 3.2.4, "Deleting LDS Module Set Up Record"](#)
- [Section 3.2.5, "Authorizing LDS Module Set Up Record"](#)

### **3.2.1 Retrieving Record in LDS Module Set Up Summary Screen**

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

Invoke the 'LDS Module Set Up Summary' screen by typing 'SMSLDMOD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'LDS Module Set Up Summary' application window. The window title is 'LDS Module Set Up Summary'. The interface includes a search bar with options for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below the search bar, there is a section for search criteria: 'Search Is Case Sensitive', 'Authorization Status' (dropdown), 'Module ID' (text input), 'LDS Cutoff Date' (date input), 'Open' (dropdown), and 'LDS Module Name' (text input). A table below shows columns for 'Authorization Status', 'Open', 'Module ID', 'Instance Name', 'LDS Module Name', 'LDS Instance Name', and 'LDS Cutoff Date'. The table is currently empty. At the bottom right, there is an 'Exit' button.

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 Open field. If you choose the 'Blank Space' option, then all records are retrieved.
- Module ID
- LDS Module Name
- LDS Cutoff 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 LDS Module Name
  - Press F8
-

You can perform Edit, Delete, Authorize, Close and Reopen 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 LDS Module Name by using the combination of % and alphanumeric value as follows:-

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

## **3.2.2 Editing LDS Module Set Up Record**

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

- Invoke the LDS Module Set Up 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 LDS Module Set Up 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 LDS Module Set Up Maintenance screen is closed and the changes made are reflected in the LDS Module Set Up Summary screen.

## **3.2.3 Viewing LDS Module Set Up Record**

To view a record that you have previously input, you must retrieve the same in the LDS Module Set Up Summary screen as follows:

- Invoke the LDS Module Set Up 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 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 LDS Module Set Up Maintenance screen is displayed in View mode.

## **3.2.4 Deleting LDS Module Set Up Record**

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

- Invoke the LDS Module Set Up 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 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 LDS Module Set Up 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.

### **3.2.5 Authorizing LDS Module Set Up Record**

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

- Invoke the LDS Module Set Up 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 and 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 LDS Module Set Up 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.

## **3.3 Pre Process Check**

This section contains the following topics:

- [Section 3.3.1, "Invoking LDS Pre Process Screen"](#)

### **3.3.1 Invoking LDS Pre Process Screen**

You can perform pre-process check operation of LDS record using 'LDS Pre Process' screen. You can invoke this screen by typing 'LDPREPRC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The 'LDS Pre Process' screen



is displayed. 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:

**LDS Module Name**

*Display*

The system displays the LDS module name on click of 'New' button.

**Status**

*Display*

The system displays the status on click of 'New' button.

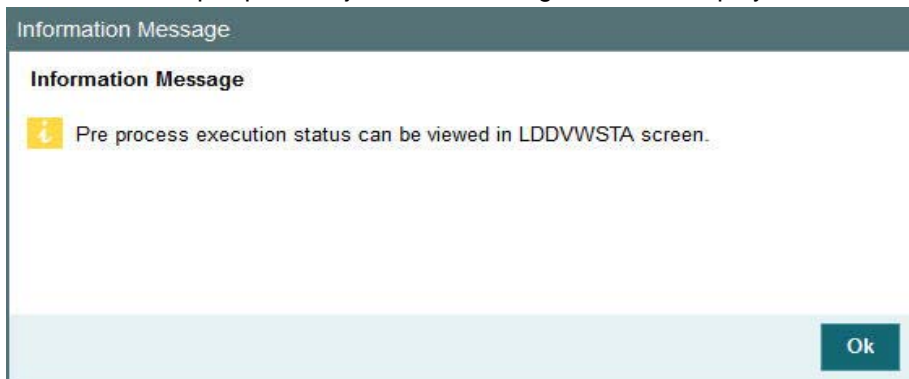
Click 'Preprocess Check' button to validate the cut-off date. Click 'Preprocess Check' button, the system will execute few check queries and return the count. Once the request is successful, the following confirmation window is displayed.

The following details are displayed:

- Serial Number
- Description
- Record Count
- Mandatory

Once the request is processed successfully, you need to clear the mandatory check count before proceeding with pre-process execution.

Once count is cleared the 'Preprocess LDS' button will be enabled. Click 'Preprocess LDS' button to initiate pre-process job. The following window is displayed:



You can view the pre-process execution status in 'LDS Status' screen.

---

**Note**

After pre-process execution if you create new LDS module, then you need to map to the newly created module in SMS.

---

## 3.4 LDS Status

This section contains the following topics:

- [Section 3.4.1, "Invoking LDS Status Screen"](#)

### 3.4.1 Invoking LDS Status Screen

You can view the pre-process execution status in 'LDS Status' screen. You can invoke this screen by typing 'LDDVWSTA' in the field at the top right corner of the Application tool bar

and clicking on the adjoining arrow button. The 'LDS Pre Process' screen is displayed. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details.

The screenshot shows the 'LDS Status' application window. The window title is 'LDS Status'. Below the title bar is a header area with 'Execute Query'. The main area contains a 'Stage' dropdown menu set to 'Preprocess', a 'Refresh' button, and two input fields for 'LDS Module Name' and 'Status'. Below this is a table with columns 'Sequence Number', 'Activity Description', and 'Status'. The table is currently empty. At the bottom right of the window is a 'Cancel' button.

You can specify the following details:

### **Stage**

#### *Optional*

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

- Preprocess
- Postprocess

Select 'Preprocess' option and then click 'Execute Query'. The status of each sequence is displayed as follows:

- LDS Module Name
- Status
- Sequence Number
- Activity Description
- Status of individual activity

Click 'Refresh' button to refresh the status.

You should verify pre-process data before proceeding with post process.

You can also view the post process status by selecting the stage as 'Post Process' option in 'Stage' field and clicking 'Enter Query'. The system displays the status of each activity. Click 'Refresh' button to refresh the status.

Select 'Preprocess' option and then click 'Execute Query'. The following window is displayed:

Sequence Number	Activity Description	Status
1	Static Data	Completed
2	Common Maintenance	Completed
3	Unitholder	Completed
4	Fund	Completed
5	Policy	Completed
6	Policy Transaction	Completed
7	LEP Product	Completed
8	Transaction	Completed
9	Purge tables	Completed
10	Dividend	Completed
11	SI processing	Completed
12	Bulk tables processing	Completed
13	Accrual processing	Completed
14	Broker	Completed
15	Propagation process	Completed
16	Miscellaneous Functionalitie	Completed
17	LDS Temporary Tables	Completed

Select 'Postprocess' option and then click 'Execute Query'. The following window is displayed:

Sequence Number	Activity Description	Status
1	Import LDS Data	Completed
2	Export LDS Data	Completed
3	Export Business Data	Completed
4	Truncate Business Data	Completed
5	Import Business Data	Completed
6	PostProcess	Completed

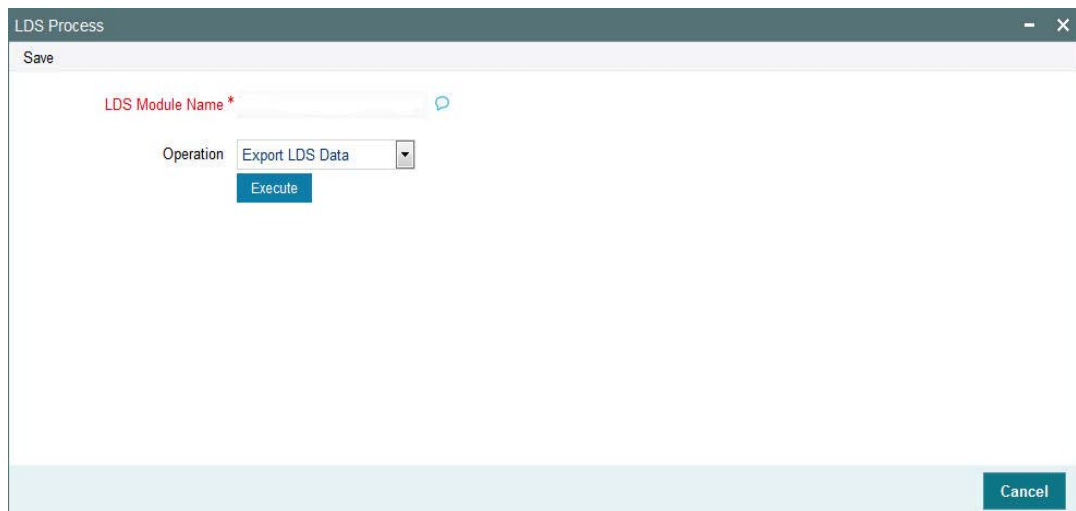
## 3.5 LDS Process

This section contains the following topics:

- [Section 3.5.1, "Invoking LDS Process Screen"](#)

### 3.5.1 Invoking LDS Process Screen

You can perform post-process execution operation of LDS record using 'LDS Process' screen. You can invoke this screen by typing 'LDPROCES' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The 'LDS Process' screen is displayed. 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:

#### **LDS Module Name**

*Display*

The system displays the LDS module name on click of 'New' button.

#### **Operation**

*Optional*

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

- Export LDS Data
- Export Business Data
- Truncate Business Data
- Import Business Data
- Post Process

The system will maintain these values in such a way that the following values are stored in LOB module:

- Export LDS Data
- Export Business Data
- Truncate Business Data

- Import Business Data
- Post Process

The following values are stored in LDS module:

- Import LDS Data

### **Business Schema**

In LOB module, Select 'Export LDS Data' option from 'Operation' field and click 'Execute' button in order to generate a dump with table data that needs to be moved to LDS schema.

In LOB module, Select 'Export Business Data' option from 'Operation' field and click 'Execute' button to generate a dump with table data that needs to be retained in Business schema.

In LOB module, Select 'Truncate Business Data' option from 'Operation' field and click 'Execute' button to truncate the Business schema data.

In LOB module, Select 'Import Business Data' option from 'Operation' field and click 'Execute' button to import the generated dump.

In LOB module, Select 'Post Process' option from 'Operation' field and click 'Execute' button to initiate Post Process execution.

---

#### **Note**

The system stores all the export and import dump in 'DUMPDIR' PARAM code. This PARAM code is a logical directory.

---

### **LDS Schema**

In LDS module, Select 'Import LDS Data' option from 'Operation' field and click 'Execute' button to import the generated dump.

You can view the post process status in LDDVWSTA screen as mentioned above by selecting the stage as 'Post Process' and click 'Enter Query'. The system displays the status of each activity. Click 'Refresh' button to refresh the status.

## **3.6 LDS Process Flow**

Following is the process flow for LDS:

#### **Step 1:**

- Prepare new LDS environment for LDS processing.
- Create LDS schema equivalent to Business LOB only with Metadata.
- Create Data source in application console for newly maintained LDS schema.
- Maintain corresponding DSN Entries in SMS schema.

#### **Step 2:**

Launch SMDLDMOD screen and maintain LDS module record using the newly created instance and cut-off date identified for LDS processing.

#### **Step 3:**

Launch LDPREPRC screen, and click 'Preprocess Check' button. This provides a list of mandatory checks to be cleared before proceeding with LDS process.

**Step 4:**

Once the mandatory checks are cleared, click 'PreProcess LDS' button to trigger pre-process execution.

**Step 5:**

Launch LDDVWSTA screen to monitor status of each activity in Preprocess stage.

**Step 6:**

After preprocess successful execution, the system will create LDS Module and also will identify and store the records to be moved to LDS schema and retained in LOB schema.

**Step 7:**

Once the preprocess execution is completed successfully and sanity checks are cleared, launch LDPROCES screen and trigger the following:

- Export LDS Data
- Export Business Data
- Truncate Business Data
- Import Business Data
- Post Process

**Step 8:**

Launch LDDVWSTA screen to monitor status of each activity in Post process stage.

**Step 9:**

Launch SMDUSRDF screen and create user with view access to LDS module alone.

**Step 10:**

Login with the newly created user into LDS module. Launch LDPROCES screen and execute 'Import LDS Data'.

**Step 11:**

Login using newly created user into LDS module to view LDS screen and reports.

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## 4. Function ID Glossary

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