

Back Data Propagation User Guide

# **Oracle FLEXCUBE Investor Servicing**

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# Table of Contents

<b>1.</b>	<b>About This Manual .....</b>	<b>1-1</b>
1.1	Introduction.....	1-1
1.2	Related Documents .....	1-1
1.3	Audience.....	1-1
1.4	Organization .....	1-1
1.5	Conventions Used in this Manual.....	1-1
	1.5.1 General Conventions.....	1-2
	1.5.2 Keyboard Conventions .....	1-2
1.6	Glossary of Icons.....	1-2
1.7	Abbreviations and Acronyms.....	1-2
1.8	Getting Help.....	1-3
<b>2.</b>	<b>Back Data Propagation .....</b>	<b>2-1</b>
2.1	Back Data Processing .....	2-1
2.2	Propagating Back Data for UT.....	2-2
	2.2.1 Invoking the FCIS UT Back Data Propagation Detail .....	2-2
2.3	FCIS UT Back Data Propagation Summary .....	2-5
	2.3.1 Retrieving Record in FCIS UT Back Data Propagation Summary screen ..	2-5
	2.3.2 Viewing an FCIS UT Back Data Propagation Record .....	2-6
	2.3.3 Authorizing an FCIS UT Back Data Propagation Record .....	2-6
2.4	UT Transactions Creation.....	2-6
	2.4.1 Creating UT Transactions.....	2-7
	2.4.2 Transaction Information Tab.....	2-8
	2.4.3 Settlement Details Tab .....	2-11
	2.4.4 Intermediary Tab .....	2-19
	2.4.5 KYC Details Tab .....	2-21
2.5	FCIS UT Propagate Transaction Summary.....	2-22
	2.5.1 Retrieving Record in FCIS UT Propagate Transaction Summary screen	2-23
	2.5.2 Editing an FCIS UT Propagate Transaction Record .....	2-24
	2.5.3 Viewing an FCIS UT Propagate Transaction Record .....	2-25
	2.5.4 Deleting an FCIS UT Propagate Transaction Record .....	2-25
	2.5.5 Authorizing an FCIS UT Propagate Transaction Record.....	2-25
	2.5.6 Amending an FCIS UT Propagate Transaction Record .....	2-25
	2.5.7 Authorizing an Amended FCIS UT Propagate Transaction Record .....	2-26
2.6	Back Data Propagation for LEP.....	2-26
	2.6.1 Propagating Back Data for LEP.....	2-26
2.7	FCIS LEP Back Data Propagation Summary .....	2-29
	2.7.1 Retrieving Record in FCIS LEP Back Data Propagation Summary screen	2-29
	2.7.2 Viewing an FCIS LEP Back Data Propagation Record .....	2-30
	2.7.3 Authorizing an FCIS LEP Back Data Propagation Record .....	2-30
2.8	Propagate Transaction Detail .....	2-31
	2.8.1 Invoking LEP Propagate Transaction Detail.....	2-31
	2.8.2 Transaction Details Tab.....	2-33
	2.8.3 Asset Allocation Tab.....	2-35
	2.8.4 Payment Details Tab .....	2-38
	2.8.5 Broker Details Tab.....	2-42
2.9	FCIS LEP Propagate Transaction Summary.....	2-43

2.9.1	<i>Retrieving Record in FCIS LEP Propagate Transaction Summary screen</i>	2-43
2.9.2	<i>Editing an FCIS LEP Propagate Transaction Record</i>	2-44
2.9.3	<i>Viewing an FCIS LEP Propagate Transaction Record</i>	2-44
2.9.4	<i>Deleting an FCIS LEP Propagate Transaction Record</i>	2-45
2.9.5	<i>Authorizing an FCIS LEP Propagate Transaction Record</i>	2-45
2.9.6	<i>Amending an FCIS LEP Propagate Transaction Record</i>	2-45
2.9.7	<i>Authorizing an Amended FCIS LEP Propagate Transaction Record</i>	2-46
2.10	<i>Annuities and Premium Transactions</i>	2-46
2.10.1	<i>Creating Annuities and Premium Transactions</i>	2-46
2.11	<i>FCIS LEP Propagate SI Summary</i>	2-47
2.11.1	<i>Retrieving Record in FCIS LEP Propagate SI Summary screen</i>	2-48
2.11.2	<i>Editing an FCIS LEP Propagate SI Record</i>	2-49
2.11.3	<i>Viewing an FCIS LEP Propagate SI Record</i>	2-49
2.11.4	<i>Deleting an FCIS LEP Propagate SI Record</i>	2-49
2.11.5	<i>Authorizing an FCIS LEP Propagate SI Record</i>	2-50
2.11.6	<i>Amending an FCIS LEP Propagate SI Record</i>	2-50
2.11.7	<i>Authorizing an Amended FCIS LEP Propagate SI Record</i>	2-50
2.12	<i>Processing Transactions</i>	2-51
2.13	<i>First Verification</i>	2-57
2.13.1	<i>Invoking First Verification Screen</i>	2-57
2.14	<i>Back Data Transactions Authorization</i>	2-59
2.14.1	<i>Authorizing Back Data Transactions</i>	2-59
2.15	<i>Running Debugs for Propagation</i>	2-61
2.16	<i>Propagation Jobs</i>	2-61
2.16.1	<i>Viewing Propagation Jobs</i>	2-61
2.17	<i>Impact of Propagation</i>	2-62
2.18	<i>Back Data Propagation Details</i>	2-62
2.18.1	<i>Viewing Back Data Propagation Details</i>	2-63
2.18.2	<i>Viewing Investor Fund Balances</i>	2-64
2.18.3	<i>Viewing Standing Instruction Details</i>	2-65
2.18.4	<i>Viewing Income Distribution Setup Details</i>	2-66
2.18.5	<i>Viewing Transaction Summary</i>	2-67
2.18.6	<i>Viewing Dividend Distribution Details</i>	2-68
2.18.7	<i>Viewing Capital Gains Transactions Tax Details</i>	2-69
2.18.8	<i>Viewing Broker Commission Details</i>	2-70
<b>3.</b>	<b>Function ID Glossary</b>	<b>3-1</b>

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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>Back Data Propagation</i> – defines the process of entering UT and LEP transactions missed out and correcting erroneous data already entered.

## 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 Names of fields on a screen 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.

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## 2. Back Data Propagation

Back Data Propagation refers to the process of including data that has been left out and correcting data that has been erroneously entered and can be performed for both UT and LEP transactions. This is done by replaying all the transactions for the Unit Holder that have taken place since the date of the propagation transaction and which have an impact on the unit holder balance and client contribution. Based on the correct (or complete) information that is input through the propagation record, the system will re-compute dividends, broker commissions, capital gains tax and its recovery, annuity and periodic fees.

This chapter contains the following sections:

- [Section 2.1, "Back Data Processing"](#)
- [Section 2.2, "Propagating Back Data for UT"](#)
- [Section 2.3, "FCIS UT Back Data Propagation Summary"](#)
- [Section 2.4, "UT Transactions Creation"](#)
- [Section 2.5, "FCIS UT Propagate Transaction Summary"](#)
- [Section 2.6, "Back Data Propagation for LEP"](#)
- [Section 2.7, "FCIS LEP Back Data Propagation Summary"](#)
- [Section 2.8, "Propagate Transaction Detail"](#)
- [Section 2.9, "FCIS LEP Propagate Transaction Summary"](#)
- [Section 2.10, "Annuities and Premium Transactions"](#)
- [Section 2.11, "FCIS LEP Propagate SI Summary"](#)
- [Section 2.12, "Processing Transactions"](#)
- [Section 2.13, "First Verification"](#)
- [Section 2.14, "Back Data Transactions Authorization"](#)
- [Section 2.15, "Running Debugs for Propagation"](#)
- [Section 2.16, "Propagation Jobs"](#)
- [Section 2.17, "Impact of Propagation"](#)
- [Section 2.18, "Back Data Propagation Details"](#)

### 2.1 Back Data Processing

Propagation of back data is a process wherein the system simulates all the relevant transactions for a Unit Holder from the date of propagation till current date, This is done by simulating the incomplete or incorrect transactions in a separate schema known as the report schema. For the simulation, the transaction details need to be entered in the normal or business schema and then selected for data propagation. The system will then access the latest version of the transaction that is being propagated from the main tables in the business schema and update information accordingly. The updated information will be stored in the tables of the report schema and can be viewed from the business schema.

Propagation can be done for multiple transactions at the same time, for instance if you wish, you can modify a transaction and at the same time select another transaction for deletion. Each time propagation happens, the system will generate a unique reference to identify the process and store it along with the data in the business schema. This reference will be used to retrieve the propagation data for the corresponding transaction from the report data stores after propagation.

The following transactions can be propagated:



- UT Transactions
  - IPO
  - Subscription
  - Redemption
  - Normal Switch and Pseudo switch
  - Transfer
  - SI transactions
- LEP Transactions:
  - Policy Initial Investment
  - Top up
  - Premium
  - Annuity
  - Policy switches
  - Recurring switches
  - Surrender

---

**Note**

- If the transaction is unavailable in the main tables of the business schema, the system will check for its existence in the archives (of the business schema) and display an error message if the transaction cannot be traced in either of these.
  - The propagation will be only a simulation in the report schema. You will not be allowed to correct data or input data missed out in the business schema.
  - You cannot perform multiple operations on the same transaction
  - If, after a transaction has been entered in the business schema, there is an NAV correction, the system will consider the corrected NAV for propagation
- 

The following details will be stored in the report data stores for the propagated transactions:

- Total confirmed units before propagation
- Total confirmed units after propagation
- Total Provisional units before propagation
- Total Provisional units after propagation
- Net profit
- Net Loss
- 

## **2.2 Propagating Back Data for UT**

This section contains the following topics:

- [Section 2.2.1, "Invoking the FCIS UT Back Data Propagation Detail"](#)

### **2.2.1 Invoking the FCIS UT Back Data Propagation Detail**

You can create a transaction that has not been input for a unit holder, delete existing erroneous data and modify certain details for an existing record in the 'FCIS UT Back Data

Propagation Detail' screen. You can invoke by typing 'UTDROPUT' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

To modify or delete a transaction, you can specify the required operation, the original transaction number and change the details or delete the transaction through the 'UT Back Data Propagation' screen. To create a new record however, you are required to enter a new and unique transaction number along with the other details of the transaction in the 'UT Propagate Transaction Detail' screen. Subsequently, you need to select the new transaction number in the 'UT Back Data Propagation' screen to propagate the new record.

You can enter the following details here:

### **Basic Information**

#### **Propagation Reference Number**

*Display Only*

The system generates a unique number for each propagation process.

#### **Unit Holder ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the UH for which the propagation is being done, You can use the 'UH Find' button to select the required UH.

#### **Unit Holder Name**

*Display Only*

The system displays the name of the selected UH.

#### **Propagation Date**

*Display Only*

The system displays the application date here.

## **Specifying Transaction Information Details**

### **Operation**

*Mandatory*

Select from the adjoining drop-down list, the kind of propagation operation that is to be done. The options are:

- New
- Modify
- Delete

The data that you are required to enter from here on depends on the type of operation you have selected.

### **Old Transaction Number**

*Alphanumeric; 16 Characters; Mandatory only if Operation is 'Delete'*

Specify the transaction number of the transaction that you wish to delete or modify. You can also select the transaction number from the adjoining option list. The list contains the reference numbers of all authorized transactions.

### **New Transaction Number**

*Alphanumeric; 16 Characters; Mandatory for New Operation*

Specify a new unique transaction number for a transaction that you wish to create. You can also select the transaction number from the adjoining option list. The list contains the reference numbers for all the transactions that were created in the 'FCIS UT Propagate Transaction Detail' screen.

### **Transaction Currency**

*Alphanumeric; 3 Characters; Mandatory only if Operation is 'Modify'*

Specify the currency in which the new transaction is to be reckoned.

### **Transaction Mode**

*Mandatory only if Operation is 'Modify'*

Select, from the adjoining drop-down list, the mode of transacting. The options are:

- Amount
- Percent
- Units

### **Amount Applied**

*Numeric; 30 Characters; Mandatory if Transaction Mode is 'Amount'*

If the transaction mode is amount, specify the amount for the transaction.

### **Percent**

*Numeric; 5 Characters; Mandatory if Transaction Mode is 'Percent'*

If the transaction mode is percent, specify the percentage.

### **Units**

*Numeric; 27 Characters; Mandatory if Transaction Mode is 'Units'*

If the transaction mode is units, specify the number of units for the transaction.

After entering the requisite details, click 'Save'. The system will propagate the transactions (and commissions) as per the operation specified and generate a detailed report. If any of the following transactions have taken place during the data propagation period, the system will take these into account along with the original data for reiteration:

- Dividend payout or re-investment transaction
- Applicable loads
- Periodic fees
- SI Transactions

## 2.3 FCIS UT Back Data Propagation Summary

This section contains the following topics:

- [Section 2.3.1, "Retrieving Record in FCIS UT Back Data Propagation Summary screen"](#)
- [Section 2.3.2, "Viewing an FCIS UT Back Data Propagation Record"](#)
- [Section 2.3.3, "Authorizing an FCIS UT Back Data Propagation Record"](#)

### 2.3.1 Retrieving Record in FCIS UT Back Data Propagation Summary screen

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

- Invoke the 'FCIS UT Back Data Propagation Summary' screen by typing 'UTSROPUT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. .

The screenshot displays the 'FCIS UT Back Data Propagation Summary' application window. The interface includes a search section with buttons for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, there are several input fields: 'Authorized' and 'Open' are dropdown menus; 'Propagation Reference Number' and 'Unit Holder ID' are text input fields with search icons; and 'Propagation Date' is a date input field with a mask 'MM/DD/YYYY'. A table below these fields shows a single record with columns for 'Authorized', 'Open', 'Propagation Reference Number', 'Unit Holder ID', and 'Propagation Date'. 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:

- 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
- Propagation Reference Number
- Unit Holder ID
- Propagation 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.

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

- Press F7
- Input the Propagation Reference Number
- Press F8

### **2.3.2 Viewing an FCIS UT Back Data Propagation Record**

To view a record that you have previously input, you must retrieve the same in the FCIS UT Back Data Propagation Summary screen as follows:

- Invoke the FCIS UT Back Data Propagation 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 UT Back Data Propagation screen is displayed in View mode.

### **2.3.3 Authorizing an FCIS UT Back Data Propagation Record**

An unauthorized FCIS UT Back Data Propagation record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the FCIS UT Back Data Propagation 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 UT Back Data Propagation screen is displayed. Select Authorize operation from the Action List.

## **2.4 UT Transactions Creation**

This section contains the following topics:

- [Section 2.4.1, "Creating UT Transactions"](#)
- [Section 2.4.2, "Transaction Information Tab"](#)
- [Section 2.4.3, "Settlement Details Tab"](#)
- [Section 2.4.4, "Intermediary Tab"](#)

- [Section 2.4.5, "KYC Details Tab"](#)

## 2.4.1 Creating UT Transactions

If you wish to create a record that has been missed out, you can do so in the 'FCIS UT Propagate Transaction Detail' screen. You can invoke the screen by typing 'UTDPRTXN' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

Enter the following details here:

### Transaction Type

#### **Transaction Type**

##### *Mandatory*

Select, from the adjoining drop-down list, the kind of transaction you want to create. The options are:

- IPO
- Subscription
- Redemption
- Switch
- Transfer

## Transaction Number

*Display Only*

The system generates and displays a unique transaction number.

## Transaction Sub Type

*Alphanumeric; 1 Character; Optional*

Specify the sub-type for the transaction.

## Client Information

### Unit Holder ID

*Alphanumeric; 12 Characters; Mandatory*

Specify the unit holder for the transaction. You can select the required unit holder ID by clicking the 'Find UH' button.

### Unit Holder Name

*Display Only*

The system will display the name of the unit holder selected.

### To UnitHolder ID

*Alphanumeric; 12 Characters; Optional (Only for Transfer Transactions)*

Specify the unit holder to whom the units are being transferred. You can select the required unit holder ID by clicking the 'Find UH' button.

### To Unit Holder Name

*Display Only*

The system will display the name of the unit holder selected.

## 2.4.2 Transaction Information Tab

In this section, you can enter the basic details for the transaction along with the exchange rates to be used.

The screenshot displays the 'FCIS UT Propagate Transaction Detail' window. The 'Transaction Information' tab is active, showing various input fields for transaction details. The 'Save' button is at the top left. The 'Transaction Type' is set to 'IPO'. The 'Client Information' section includes 'Unit Holder ID' and 'To UnitHolder ID', both with 'Find UH' buttons. The 'Transaction Information' section includes 'Transaction Date', 'Fund ID', 'Transaction Currency', 'To Fund ID', 'Fund Identification Number', 'Fund Name', 'Gross or Net' (set to 'Gross'), 'Transaction Category' (set to 'Select'), 'Communication Mode' (set to 'Direct (In Person)'), 'Transaction Mode' (set to 'Amount'), 'Units', 'Amount', 'Percent', 'Payment Mode', 'Payment Mode Description', 'Subscription Fund ID', and 'Delivery Option' (set to 'Investment Account'). The 'Exchange Rate Details' section includes 'Source ID', 'Amount Applied', 'FX Deal Date', 'Exchange Rate Applied', 'Override Exchange Rate' (set to 'No'), and 'FX Value Date'. The bottom of the form has fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

You can specify the following details:

**Transaction Date**

*Date Format; Mandatory*

Select the date format from the adjoining calendar.

**Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

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

**Transaction Currency**

*Alphanumeric; 6 Characters; Optional*

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

**To Fund ID**

*Alphanumeric; 6 Characters; Optional*

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

**Fund Identification Number**

*Display*

The system displays the fund identification number based on the fund ID selected.

**Fund Name**

*Display*

The system displays the fund name for the selected fund ID.

**Gross or Net**

*Optional*

Select gross or net from the drop-down list. The list displays the following values:

- Gross
- Net

**Transaction Category**

*Optional*

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

- Legal
- Advised Business
- Execution Only

**Communication Mode**

*Optional*

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

- Direct (In Person)
- Check Writing
- E-Mail
- Internet



- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- SWIFT
- Telephone

**Transaction Mode**

*Optional*

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

- Units
- Amount
- Percent

**Units**

*Numeric; 12 Characters; Optional*

Specify the units.

**Amount**

*Numeric; 30 Characters; Optional*

Specify the amount.

**Percent**

*Numeric; 2 Characters; Optional*

Specify the percent.

**Payment Mode**

*Alphanumeric; 2 Characters; Optional*

Specify the payment mode.

**Payment Mode Description**

The system displays the description for the selected payment mode.

**Subscription Fund ID**

*Alphanumeric; 12 Characters; Optional*

Specify the subscription fund ID.

**Delivery Option**

*Optional*

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

- Investment Account
- Clearing Account - Against Payment
- Clearing Account - Free of Payment
- Delivery to Custodian
- Physical Delivery
- PUEV

Click 'Enrich' button to enrich the transaction details.

## **Exchange Rate Details**

### **Source ID**

*Alphanumeric; 6 Characters; Mandatory*

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

### **Amount Applied**

*Numeric; 30 Characters; Optional*

Specify the amount applied.

### **FX Deal Date**

*Date Format; Optional*

Select FX deal date from the adjoining calendar.

### **Exchange Rate Applied**

*Numeric; 21 Characters; Optional*

Specify the exchange rate applied.

### **Override Exchange Rate**

*Optional*

Select if the exchange rate is overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

### **FX Value Date**

*Date Format; Optional*

Select the FX value date from the adjoining calendar.

Click 'Calculate' button to calculate the exchange amount.

## **2.4.3 Settlement Details Tab**

In this section, you can capture the details of settlement and payment made for the transaction in the case of IPO, subscription and redemption transactions. Payment Details link

is displayed on selecting any Payment Mode other than 'Cash' and 'Against Payment'. Click the Payment Details link to invoke the Settlement Information screen.

You can specify the following details:

### Settlement Method

*Optional*

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

- Gross Amount
- Net of Agent Fees
- Net of All Fees
- Net of FM Fees

### Settlement Level

*Optional*

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

- Fund Base Currency
- Transaction Base Currency

**Payment Reference Number**

*Alphanumeric; 50 Characters; Optional*

Specify the payment reference number.

**Sub Payment Mode**

*Optional*

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

- Demand Draft
- Pay Order
- Against Payment
- Inkind Payment
- CMA Cheque
- Broker Cheque
- Cashier Cheque
- Foreigner Cheque
- Government Cheque
- Other Institution Cheque
- Local Cheque
- Out of Town Cheque
- Payroll Deduction
- Cheque
- Reserve Bank Cheque
- Debit Card
- Credit Card
- Advice
- CMA Transfer
- Direct Debit
- Money Transfer
- Telegraphic Transfer
- Wire Transfer
- Cash

**Payment Currency**

*Alphanumeric; 3 Characters; Optional*

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

**Payment Date**

*Date Format; Optional*

Select the payment date from the adjoining calendar.

**Payment Amount**

*Numeric; 30 Characters; Optional*

Specify the payment amount.

**Bank Charges**

*Numeric; 30 Characters; Optional*

Specify the bank charges.

**Payment Charges**

*Numeric; 30 Characters; Optional*

Specify the payment charges.

**Exchange Rate Source**

*Alphanumeric; 6 Characters; Optional*

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

**Exchange Rate**

*Numeric; 15 Characters; Optional*

Specify the exchange rate.

**FBC Amount**

*Numeric; 30 Characters; Optional*

Specify the FBC amount.

**Settlement Due Date**

*Date Format; Optional*

Select the settlement due date from the adjoining calendar.

**Paid Date**

*Date Format; Optional*

Select the paid date from the adjoining calendar.

**Auto Settle**

*Optional*

Select if the transaction is auto settled or not from the drop-down list. The list displays the following values:

- Yes
- No

**Instrument Status**

*Alphanumeric; 30 Characters; Optional*

Specify the instrument status.

**Settled**

*Optional*

Select this box if the transaction is settled.

**Payment Details****Bank**

*Alphanumeric; 12 Characters; Optional*

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

**Branch**

*Alphanumeric; 12 Characters; Optional*

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

## **Payment Type**

*Optional*

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

- Self
- Third Party
- Broker

## **Broker**

*Alphanumeric; 12 Characters; Optional*

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

## **Check/Draft Details**

### **Cheque Date**

*Date Format; Optional*

Select the cheque date from the adjoining calendar.

### **Check Number**

*Alphanumeric; 16 Characters; Optional*

Specify the cheque number.

## **Card Details**

### **Credit Card Ref No**

*Alphanumeric; 16 Characters; Optional*

Specify the credit card reference number.

### **Card Number**

*Alphanumeric; 16 Characters; Optional*

Specify the card number.

## **Account Details**

### **Account Currency**

*Alphanumeric; 3 Characters; Optional*

Specify the account currency code.

### **Account Holder Name**

*Alphanumeric; 30 Characters; Optional*

Specify the account holder name.

### **Account Number**

*Alphanumeric; 16 Characters; Optional*

Specify the account number

### **Account Type**

*Alphanumeric; 1 Character; Optional*

Specify the account type.

## **IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

### **Third Party Details**

#### **Third Party Address**

*Alphanumeric; 255 Characters; Optional*

Specify the third party address.

#### **Third Party Reference**

*Alphanumeric; 255 Characters; Optional*

Specify the third party reference.

#### **Third Party US State**

*Alphanumeric; 1 Character; Optional*

Specify the third party US state.

#### **Third Party Zip Code**

*Alphanumeric; 1 Character; Optional*

Specify the third party zip code.

### **Unit Holder Details**

#### **Payment Address Details**

*Alphanumeric; 255 Characters; Optional*

Specify the payment address details.

### **Inkind Details**

#### **Inkind Payment Details**

*Alphanumeric; 255 Characters; Optional*

Specify the inkind payment details.

### **Fund Bank Details**

#### **ISIN Code**

*Alphanumeric; Optional*

Specify the ISIN code.

#### **Fund Base Currency**

*Alphanumeric; 3 Characters; Optional*

Specify fund base currency.

#### **Fund ID**

*Alphanumeric; 3 Characters; Optional*

Specify the fund ID.

#### **Bank**

*Alphanumeric; 12 Characters; Optional*

Specify the bank details.

#### **Branch**

*Alphanumeric; 12 Characters; Optional*

Specify the branch code.

**Description**

*Alphanumeric; 255 Characters; Optional*

Specify the branch details.

**Account Currency**

*Alphanumeric; 3 Characters; Optional*

Specify the account currency.

**Account Number**

*Alphanumeric; 16 Characters; Optional*

Specify the account number.

**Account Name**

*Alphanumeric; 100 Characters; Optional*

Specify the account name.

**Direct Debit Applicable**

*Alphanumeric; 1 Characters; Optional*

Specify the direct debit applicable.

**Close Account**

*Alphanumeric; 1 Characters; Optional*

Specify the close account details.

**IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify IBAN details.

**Routing Bank Detail****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 from the drop-down list. The list displays the following values:

- Beneficiary
- Remitter
- Share

**Beneficiary Details****Beneficiary**

*Alphanumeric; 35 Characters; Optional*

Specify the beneficiary details.

**Beneficiary Code**

*Alphanumeric; 24 Characters; Optional*

Specify the beneficiary code.



**Beneficiary IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the beneficiary IBAN code.

**Beneficiary Add1**

*Alphanumeric; 105 Characters; Optional*

Specify the beneficiary address details.

**Beneficiary Add2**

*Alphanumeric; 105 Characters; Optional*

Specify the beneficiary address details.

**Beneficiary Add3**

*Alphanumeric; 105 Characters; Optional*

Specify the beneficiary address details.

**Beneficiary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Specify the beneficiary BIC code.

**Beneficiary Acct No**

*Alphanumeric; 34 Characters; Optional*

Specify the beneficiary address details.

**Beneficiary Info**

*Alphanumeric; 100 Characters; Optional*

Specify the beneficiary information.

**Intermediary Details****Intermediary**

*Alphanumeric; 35 Characters; Optional*

Specify the beneficiary details.

**Intermediary Code**

*Alphanumeric; 24 Characters; Optional*

Specify the beneficiary code.

**Intermediary IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the beneficiary IBAN code.

**Intermediary Add1**

*Alphanumeric; 105 Characters; Optional*

Specify the beneficiary address details.

**Intermediary Add2**

*Alphanumeric; 105 Characters; Optional*

Specify the beneficiary address details.

**Intermediary Add3**

*Alphanumeric; 105 Characters; Optional*

Specify the beneficiary address details.

**Intermediary BIC Code**

*Alphanumeric; 24 Characters; Optional*

Specify the beneficiary BIC code.

**Intermediary Acct No**

*Alphanumeric; 34 Characters; Optional*

Specify the beneficiary address details.

**Intermediary Info**

*Alphanumeric; 100 Characters; Optional*

Specify the beneficiary information.

**Further Credit Details****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.

**Reference****Reference1**

*Alphanumeric; 35 Characters; Optional*

Specify the reference details.

**Reference2**

*Alphanumeric; 35 Characters; Optional*

Specify the reference details.

**2.4.4 Intermediary Tab**

If a broker has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for the broker.

If brokers are designated as mandatory for the fund in which the transaction is being put through, then you must specify at least one broker as mandatory information in this section. If brokers are not mandatory for the fund, and you do not specify any broker in this section,

then the system reckons the broker as DIRECT and designates the same as the default broker.

FCIS UT Propagate Transaction Detail

Save

Transaction Type: **Transaction Type\*** IPO Transaction Number: \_\_\_\_\_  
 Transaction Sub Type: \_\_\_\_\_

Client Information

**Unit Holder ID\*** \_\_\_\_\_ To UnitHolder ID: \_\_\_\_\_  
 Unit Holder Name: \_\_\_\_\_ To Unit Holder Name: \_\_\_\_\_  
 Find UH Find To UH

Txn Information | Settlement Dtls | **Intermediary** | KYC Dtls

Transaction Intermediary Details

1 of 1 Go

<input checked="" type="checkbox"/>	Entity ID	Entity Type	Split Percentage	From Or To Leg	Entity Name	Parent Entity Name
<input checked="" type="checkbox"/>		Broker		From		

Input by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Mod No: \_\_\_\_\_ Open: \_\_\_\_\_  
 Authorized by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Authorized: \_\_\_\_\_ Cancel

You can specify the following details:

## **Transaction Intermediary Details**

### **Entity ID**

*Alphanumeric; 12 Characters; Optional*

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

### **Entity Type**

*Optional*

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

- Agent
- Agent Branch
- Account Officer
- IFA
- Broker

### **Split Percentage**

*Numeric; 5 Characters; Optional*

Specify the split percentage.

## From Or To Leg

*Optional*

Select if From or To Leg from the drop-down list. The list displays the following values:

- From
- To

## Entity Name

*Display*

The system displays the entity name for the selected entity ID.

## Parent Entity Name

*Alphanumeric; 50 Characters; Optional*

Specify the parent entity name.

## 2.4.5 KYC Details Tab

You need to specify the list of required KYC documents for this transaction. System allows you to save the transaction even if the unit holder has not submitted all the required KYC documents. However, you will not be allowed to perform the completion operation on that transaction unless all the required documents have been received from the investor.

This feature will be available only if your installation has requested for it.

FCIS UT Propagate Transaction Detail

Save

Transaction Type: **Transaction Type \*** IPO Transaction Number: \_\_\_\_\_  
Transaction Sub Type: \_\_\_\_\_

Client Information

**Unit Holder ID \*** Find UH To UnitHolder ID: \_\_\_\_\_ Find to UH  
Unit Holder Name: \_\_\_\_\_ To Unit Holder Name: \_\_\_\_\_

Txn Information | Settlement Dtls | Intermediary | **KYC Dtls**

Requested	Requirement	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>		<input type="checkbox"/>	MM/DD/YYYY	No

Chasing Date: MM/DD/YYYY KYC Received: No

Input by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Mod No: \_\_\_\_\_ Open Authorized: \_\_\_\_\_ **Cancel**

You can specify the following details:

### **Requested**

*Optional*

Check this box if KYC details are requested.

**Requirement**

*Alphanumeric; 255 Characters; Optional*

Specify the required details.

**Received**

*Optional*

Check this box if KYC details are received

**Received Date**

*Date Format; Optional*

Select the received date from the adjoining option list.

**Tax Document**

*Optional*

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

- Yes
- No

**Chasing Date**

*Date Format; Optional*

Select the chasing date from the adjoining option list.

**KYC Received**

*Optional*

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

- Yes
- No

You can also modify details of a newly created record, delete and authorize a record through this screen. Modification, however, will be allowed only if the record has not been selected for data propagation in the 'UT Back Data Propagation' screen.

---

**Note**

- If you put in a new transaction for transfer, the system will consider this transaction to recalculate the holdings of the Unitholder only. It will not automatically re-compute the unit balances of the unit holder to whom the transfer is being done (the To Unit Holder). Also, it will store the updated information for only the 'To Unit Holder' in the report schema tables.
  - In case of a switch transaction, it will re-calculate the unit holder balances in both the 'To Fund' as well as the 'From Fund' and store details of both in the report schema tables.
  - If there has been a merger or a split for a fund specified in a propagation transaction, the system will re-calculate the holdings for the propagation period.
- 

## 2.5 FCIS UT Propagate Transaction Summary

This section contains the following topics:

- [Section 2.5.1, "Retrieving Record in FCIS UT Propagate Transaction Summary screen"](#)
- [Section 2.5.2, "Editing an FCIS UT Propagate Transaction Record "](#)

- [Section 2.5.3, "Viewing an FCIS UT Propagate Transaction Record"](#)
- [Section 2.5.4, "Deleting an FCIS UT Propagate Transaction Record"](#)
- [Section 2.5.5, "Authorizing an FCIS UT Propagate Transaction Record"](#)
- [Section 2.5.6, "Amending an FCIS UT Propagate Transaction Record"](#)
- [Section 2.5.7, "Authorizing an Amended FCIS UT Propagate Transaction Record"](#)

### **2.5.1 Retrieving Record in FCIS UT Propagate Transaction Summary screen**

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

Invoke the 'FCIS UT Propagate Transaction Summary' screen by typing 'UTSPRTXN' 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
- Transaction Number
- Transaction Type
- Unit Holder ID
- Fund ID
- Transaction Currency
- Transaction 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.

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

- Press F7
- Input the Transaction Number
- Press F8

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

FCIS UT Propagate Transaction Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Transaction Number  Transaction Type

Unit Holder ID  Fund ID

Transaction Currency  Transaction Date

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Transaction Number	Transaction Type	Unit Holder ID	Fund ID	Transaction Currency	Transaction Date	Tra
------------	------	--------------------	------------------	----------------	---------	----------------------	------------------	-----

Exit

## 2.5.2 Editing an FCIS UT Propagate Transaction Record

You can modify the details of an FCIS UT Propagate Transaction record that you have already entered into the system, provided it has not been subsequently authorized and if it has not been attached to any propagation. If the transaction has been propagated, then you will not be allowed to modify it.

You can perform this operation as follows:

- Invoke the FCIS UT Propagate Transaction 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 FCIS UT Propagate Transaction 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 UT Propagate Transaction screen is closed and the changes made are reflected in the FCIS UT Propagate Transaction Summary screen.

### **2.5.3 Viewing an FCIS UT Propagate Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS UT Propagate Transaction Summary screen as follows:

- Invoke the FCIS UT Propagate 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 UT Propagate Transaction screen is displayed in View mode.

### **2.5.4 Deleting an FCIS UT Propagate Transaction Record**

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

- Invoke the FCIS UT Propagate 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 UT Propagate Transaction 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.

### **2.5.5 Authorizing an FCIS UT Propagate Transaction Record**

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

- Invoke the FCIS UT Propagate 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 UT Propagate Transaction screen is displayed. Select Authorize operation from the Action List.

### **2.5.6 Amending an FCIS UT Propagate Transaction Record**

After an FCIS UT Propagate 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 UT Propagate 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 UT Propagate Transaction 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.

### 2.5.7 Authorizing an Amended FCIS UT Propagate Transaction Record

An amended FCIS UT Propagate 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.

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

## 2.6 Back Data Propagation for LEP

This section contains the following topics:

- [Section 2.6.1, "Propagating Back Data for LEP"](#)

### 2.6.1 Propagating Back Data for LEP

You can create transactions that have not been input for a policy holder, delete existing erroneous data and modify certain details for an existing record in the 'FCIS LEP Back Data Propagation' screen. You can invoke by typing 'LEDROPLE' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

To modify or delete a transaction, you can specify the required operation, the original transaction number and change the details or delete the transaction through the 'FCIS LEP Back Data Propagation' screen. To create a new record however, you are required to enter a new and unique transaction number along with the other details of the transaction in the 'FCIS LEP Propagate Transaction Detail' screen. Subsequently, you need to select the new transaction number in the 'FCIS LEP Back Data Propagation' screen to propagate the new record.

You can enter the following details here:

### **Basic Information**

#### **Propagation Reference Number**

*Display*

The system generates a unique number for each propagation process.

#### **Unit Holder ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the UH for which the propagation is being done. You can use the 'UH Find' button to select the required UH.

#### **Unit Holder Name**

*Display Only*

The system displays the name of the selected UH.

#### **Propagation Date**

*Display Only*

The system displays the application date here.

### **Transaction Information**

#### **Operation**

*Optional*

Select from the adjoining drop-down list, the kind of propagation operation that is to be done. The options are:

- New
- Modify
- Delete

The data that you are required to enter from here on depends on the type of operation you have selected.

#### **Policy Number**

*Alphanumeric; 16 Characters; Mandatory only if the Operation is Modify*

Specify the policy number for which you want to propagate back data. You can also select the policy number from the adjoining option list. The list contains the reference numbers of all authorized policies.

#### **Transaction Type**

*Optional*

Select, from the adjoining drop-down list, the type of transaction to be propagated. The options are:

- Policy Initial Investment
- Topup

- Switch
- Surrender
- Annuity
- Premium
- Recurring Switch

**Initial Investment Amount**

*Numeric; 30 Characters; Mandatory if Transaction Type is 'Policy Initial Investment'*

Enter the initial investment amount for the policy.

**Old Transaction Number**

*Alphanumeric; 16 Characters; Mandatory if Operation is 'Delete'*

Enter the transaction number of the transaction that you wish to delete or modify.

**New Transaction Number**

*Alphanumeric; 16 Characters; Mandatory if Operation is 'New'*

Specify a new unique transaction number for a transaction that you wish to create. You can also select the transaction number from the adjoining option list. The list contains the reference numbers for all the transactions that were created in the 'FCIS LEP Propagate Transaction Detail' screen.

**Transaction Currency**

*Alphanumeric; 3 Characters; Mandatory if Operation is 'Modify'*

Specify the currency in which the new transaction is to be reckoned.

**Transaction Mode**

*Mandatory if Operation is 'Modify'*

Select, from the adjoining drop-down list, the mode of transacting. The options are:

- Amount
- Percent
- Units

**Amount Applied**

*Numeric; 30 Characters; Mandatory if Transaction Mode is 'Amount'*

If the transaction mode is amount, specify the amount for the transaction.

**Percent**

*Numeric; 5 Characters; Mandatory if Transaction Mode is 'Percent'*

If the transaction mode is percent, specify the percentage.

**Units**

*Numeric; 27 Characters; Mandatory if Transaction Mode is 'Units'*

If the transaction mode is units, specify the number of units for the transaction.

**Transaction Category**

*Optional*

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

- Legacy
- Advised Business
- Execution Only

After entering the requisite details, click 'Save'. The system will propagate the transactions (and commissions) as per the operation specified and generate a detailed report. If any of the following transactions have taken place during the data propagation period, the system will take these into account along with the original data for reiteration:

- Dividend payout or re-investment transaction
- Annuity, recurring switches, recurring premium or surrender transactions
- Applicable loads
- Annuity Journals
- Periodic fees
- CGT Recovery Transactions

## **2.7 FCIS LEP Back Data Propagation Summary**

This section contains the following topics:

- [Section 2.7.1, "Retrieving Record in FCIS LEP Back Data Propagation Summary screen"](#)
- [Section 2.7.2, "Viewing an FCIS LEP Back Data Propagation Record"](#)
- [Section 2.7.3, "Authorizing an FCIS LEP Back Data Propagation Record"](#)

### **2.7.1 Retrieving Record in FCIS LEP Back Data Propagation Summary screen**

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

Invoke the 'FCIS LEP Back Data Propagation Summary' screen by typing 'LESROPLE' 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
- Propagation Reference Number
- Unit Holder ID
- Propagation 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.

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

- Press F7
- Input the Propagation Reference Number

- Press F8

## 2.7.2 Viewing an FCIS LEP Back Data Propagation Record

To view a record that you have previously input, you must retrieve the same in the FCIS LEP Back Data Propagation Summary screen as follows:

- Invoke the FCIS LEP Back Data Propagation 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 LEP Back Data Propagation screen is displayed in View mode.

## 2.7.3 Authorizing an FCIS LEP Back Data Propagation Record

An unauthorized FCIS LEP Back Data Propagation record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the FCIS LEP Back Data Propagation 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 LEP Back Data Propagation screen is displayed. Select Authorize operation from the Action List.

## 2.8 Propagate Transaction Detail

This section contains the following topics:

- [Section 2.8.1, "Invoking LEP Propagate Transaction Detail"](#)
- [Section 2.8.2, "Transaction Details Tab"](#)
- [Section 2.8.3, "Asset Allocation Tab"](#)
- [Section 2.8.4, "Payment Details Tab"](#)
- [Section 2.8.5, "Broker Details Tab"](#)

### 2.8.1 Invoking LEP Propagate Transaction Detail

You can invoke the 'LEP Propagate Transaction Detail' screen by typing 'LEDPRTXN' 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:

## **Policy Transaction**

### **Policy Number**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Policy Holder ID**

*Display*

The system displays the policy holder ID for the selected policy number.

### **Policy Txn Number**

*Display*

The system displays the policy transaction number.

### **Transaction Type**

*Mandatory*

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

- Topup
- Surrender
- Switch

## 2.8.2 Transaction Details Tab

Select 'Transaction Details' tab in the 'LEP Propagate Transaction Detail' screen to invoke the screen:

The screenshot shows the 'FCIS LEP Propagate Transaction Detail' application window. The 'Transaction Details' tab is active. The form is divided into three main sections: Policy Transaction, Transaction Details, and Exchange Rate Details. The Policy Transaction section includes fields for Policy Number, Policy Holder ID, Policy Txn Number, and Transaction Type (set to 'Topup'). The Transaction Details section includes fields for Transaction Date, Transaction Entry Date, Transaction Currency, Transaction Amount, Txn Type, Phase In To Be Cancelled, Include Interest In Investment, Interest Amount, Transaction Mode (set to 'Amount'), Topup Inclusive, Portfolio Switch, Portfolio Surrender, Surrender Money Payable, and Transaction Category (set to '-Select-'). The Exchange Rate Details section includes fields for Amount Applied, Source ID, Exchange Rate Applied, and Override Exchange Rate (set to 'No'). A 'Calculate' button is located below the Exchange Rate Applied field. The bottom of the screen features a metadata section with fields for Input by, Authorized by, DateTime, Mod No, Open, and Authorized, along with a 'Cancel' button.

### Transaction Date

*Date Format, Mandatory*

Specify the date for the transaction.

### Transaction Currency

*Alphanumeric; 3 Characters; Mandatory*

When different currencies have been used in payment details, then you are required to enter the transaction currency.

### Transaction Amount

*Numeric, 30 Characters; Mandatory*

Specify the investment amount of the transaction.

### Txn Type

*Alphanumeric; 2 Characters; Optional*

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



### **Phase In To Be Cancelled**

*Alphanumeric; 16 Characters; Optional*

You could choose to cancel all, none or specific IDs of the active Phase-In setup.

### **Include Interest in Investment**

*Optional*

Select, from the adjoining drop-down list, if the interest earned on the initial investment should be considered along with the initial investment for investment in the policy.

If you select 'Yes', the interest amount will be included in the investment and a single transaction will be generated for both. You need to manually add the interest amount calculated in the settlement details to the transaction amount of the particular currency in the asset allocation details.

If you select 'No', the interest amount will be generated as a separate UT transaction.

### **Interest Amount**

*Numeric; 18 Characters; Optional*

Specify the interest amount based on the interest calculation days and interest rate provided.

### **Transaction Entry Date**

*Date Format, Mandatory*

The Transaction Entry Date signifies the date on which the transaction is entered into the system. By default, the application date is displayed in this field, and it cannot be altered.

### **Transaction Mode**

*Mandatory*

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

- Amount
- Unit
- Percent

### **Top Up Inclusive**

*Optional*

Select if the transaction is an inclusive top up transaction or not from the drop-down list. The list displays the following values:

- Yes
- No

When a top up is inclusive, the top up amount is considered immediately for the next annuity payment. If it is an exclusive top up, the top up amount is not considered for annuity payments till after the first anniversary date.

### **PortFolio Switch**

*Optional*

Select if portfolio switch is considered or not from the adjoining drop-down list. The list displays the following values:

- Yes
- No

### **Portfolio Surrender**

*Optional*

Select if portfolio surrender is considered or not from the adjoining drop-down list. The list displays the following values:

- Yes
- No

### **Surrender Money Payable**

*Alphanumeric; 1 Character; Optional*

Specify the surrender money payable details.

*Refer to the chapter "Maintaining System Parameters" for further information on the System Parameters Maintenance screen.*

### **Transaction Category**

*Mandatory*

Select the transaction category from the adjoining drop-down list. Following are the options available:

- Legal
- Advised Business
- Execution Only

### **Exchange Rate Details**

#### **Amount Applied**

*Numeric; 30 Characters; Optional*

Specify the amount calculated based on the exchange rate specified.

#### **Source ID**

*Alphanumeric; 6 Characters; Optional*

Specify the source from which the exchange rate is obtained or select the source ID from the option list provided.

#### **Exchange Rate Applied**

*Numeric; 21 Characters; Optional*

Specify the exchange rate applied.

#### **Override Exchange Rate**

*Optional*

Select the option to indicate if you wish to override the exchange rate that gets defaulted. Select 'Yes' to indicate that you wish to override the exchange rate and 'No' to indicate otherwise.

Click 'Calculate' button to calculate the amount using the exchange rate specified. The interest amount associated with the policy transaction also gets converted to policy base currency based on the exchange rate specified.

## **2.8.3 Asset Allocation Tab**

Capture the fund-wise pattern of distribution of the investment amount in the Asset Allocation Details section of this tab. If the initial contribution that you enter is in different currencies, you

need to mention the currency-wise details here. Click the 'Asset Allocation' tab to enter the asset allocation details for the transaction.

### **Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

All the funds mapped for the selected product are displayed in the option list. Select the required funds.

### **Fund Name**

*Display*

The system displays the fund name for the selected fund ID.

### **Fund Base Currency**

*Display*

The system displays the fund base currency details.

### **Transaction Currency**

*Alphanumeric; 3 Characters; Optional*

Specify the transaction currency for the initial contribution. If many currencies have been mentioned in the settlements, then you are required to enter the amount for individual currencies. You can specify a transaction currency only if the transaction is amount-based.

**Transaction Amount**

*Numeric, 30 Characters; Mandatory*

Specify the portion of the transaction amount that is to be invested in each of the selected funds. If different currencies have been mentioned in settlements, then you can specify only the transaction amount.

**Exchange Rate Source**

*Alphanumeric; 6 Characters; Optional*

The system will display the exchange source maintained at the default set-up in system parameters. You can change it by selecting the required exchange rate source from the adjoining option list. This will be used by the system to convert the transaction amount in terms of fund base currency.

**Override Exchange Rate**

*Optional*

Select 'Yes' if you wish to change the exchange rate that is displayed here. If you select 'Yes', however, you need to specify the exchange rate to be used for the transaction in the 'Exchange Rate Applied' field. Select 'No' if you wish to retain the exchange rate that is displayed by the system.

**Exchange Rate Applied**

*Numeric; 21 Characters; Optional*

The system will default the exchange rate available for the currency based on the exchange source specified. If you have elected to override the exchange rate, you need to enter the exchange rate to be used here. If exchange rate is not available, then the system will generate the transactions as incomplete ones. Such transactions can be enriched later through the 'Policy Transaction Enrichment Screen'.

**FX Deal Date**

*Date format; Optional*

Specify the FX deal date.

**FX Value Date**

*Date format; Optional*

Specify the FX Value date.

**WAC**

*Numeric; 30 Characters; Optional*

Enter the Weighted Average Cost.

**Ratio**

*Numeric, 11 Characters; Optional*

Specify the portion of the units that are to be invested in each of the selected funds.

The latest investment ratio applicable for the Policy is displayed here when the form is opened. These values can be amended, and you can specify the required percentages.

**Auto Clear Provisional Balance**

*Mandatory*

Select if provisional balance should be automatically cleared or not from the drop-down list. The list displays the following values:

- Yes

- No

### Auto Clear Reinvestments

#### Mandatory

Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values:

- Yes
- No

## 2.8.4 Payment Details Tab

Capture the details of payments made by the Policy Holder towards processing of the transaction in this tab. Click the 'Payment Details' tab to enter the payment details for the transaction.

The screenshot shows the 'FCIS LEP Propagate Transaction Detail' window with the 'Payment Details' tab selected. The form is divided into several sections:

- Policy Transaction:** Fields for Policy Number\*, Policy Holder ID, Policy Txn Number, and Transaction Type\* (set to Topup).
- Transaction Details:** Fields for Payment Mode (Select Mode Of Payment), Clearing Date (MMDDYYYY), Payment Type\* (Self), Bank Code, Account Number, Check Number, Identification Number, Address Line 1, and Transferee Number.
- Payment Details:** Fields for Payment Date\* (MMDDYYYY), Payment Currency, Payment Amount\*, Ratio, Branch Code, Account Type, Account Currency, Check Date (MMDDYYYY), Contact Name, Address Line 2, and IBAN.
- Exchange Rate Details:** Fields for Source ID, Exchange Rate Applied, Transaction Currency, Amount, Override Exchange Rate (No), FX Deal Date (MMDDYYYY), and FX Value Date (MMDDYYYY).
- Interest Details:** Fields for Interest Rate, Interest Amount, Interest Calc. Days, and BasisDays (360).

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 Details

### Payment Mode

#### Optional

Select the mode through which the payment is made by the Policy holder. This could be any one of the following, as applicable:

- Cash

- Cheque
- Demand Draft
- Money Transfer

**Clearing Date**

*Date Format, Optional*

Specify the Clearing Date of the payment.

**Payment Type**

*Mandatory*

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

- Self
- Product
- Third Party
- Beneficiary

**Bank Code**

*Alphanumeric; 12 Characters; Optional*

Select the Bank code from the option list.

**Account Number**

*Alphanumeric; 16 Characters; Optional*

Specify the number of the transfer account.

**Check Number**

*Alphanumeric; 16 Characters; Optional*

Enter the cheque number of the cheque /draft number of the demand draft by which the payment is being made.

**Identification Number**

*Alphanumeric; 50 Characters; Mandatory*

Specify the identification number.

**Address Line 1**

*Alphanumeric; 255 Characters; Optional*

Specify the address of the customer.

**Transferee Number**

*Alphanumeric; 16 Characters; Optional*

Specify the transferee number.

**Payment Date**

*Date Format; Mandatory*

Specify the date on which the initial investment was done. You can deposit the amount in different currencies and on different dates.

**Payment Currency**

*Alphanumeric; 3 Characters; Optional*

Enter the currency in which the initial investment is being done. The initial amount can be deposited in multiple currencies.

**Payment Amount**

*Numeric; 30 Characters; Mandatory*

Enter the initial investment amount being paid in the particular currency.

**Ratio**

*Numeric; 5 Characters; Optional*

Specify the ratio.

**Branch Code**

*Alphanumeric; 12 Characters; Optional*

Select the Branch code from the option list.

**Account Type**

*Alphanumeric; 1 Character; Optional*

Select the account type of the transfer account.

**Account Currency**

*Alphanumeric; 3 Characters; Optional*

Specify the transaction currency.

**Check Date**

*Date Format, Optional*

Enter the cheque date of the cheque /draft number of the demand draft by which the payment is being made.

**Contact Name**

*Alphanumeric; 100 Characters; Optional*

Specify the contact name.

**Address Line 1**

*Alphanumeric; 255 Characters; Optional*

Specify the address of the customer.

**IBAN**

*Alphanumeric; 40 Characters; Optional*

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

**Exchange Rate Details****Source ID**

*Alphanumeric; 6 Characters; Optional*

Specify the source ID from the adjoining option list.

**Exchange Rate Applied**

*Numeric; 21 Characters; Optional*

Specify the exchange rate applied.

**Transaction Currency Amount**

*Numeric; 30 Characters; Optional*

Specify the transaction currency amount.

### **Override Exchange Rate**

*Optional*

Select the exchange rate is overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

### **FX Deal Date**

*Date Format; Optional*

Select FX deal date from the adjoining calendar.

### **FX Value Date**

*Date Format; Optional*

Select the FX value date from the adjoining calendar.

If exchange rate details are not available for any settlement when the transaction or policy is entered, the system will not generate a UT transaction. Once all the settlement details have been enriched in the 'Policy Transaction Exchange Rate Enrichment' screen and the 'FCIS Enrich Exchange Rate Detail' screen, the system will compute the transaction amount and generate the UT transaction. If it is not enriched, then the system will pick the exchange rate during EOD and generate the UT transaction.

### **Interest Details**

When you click the 'Enrich' button in the 'Transaction Detail' tab, if the investment amount has been deposited prior to the transaction date, the system will calculate and display the interest on the payment amount in the 'Policy Information' tab. The interest will be calculated from the date of payment till the transaction date.

When you click 'Calculate Interest' button in the 'Settlement Details' screen, the system will calculate and display the interest amount in the 'Interest Amount' field in the same screen.

### **Interest Rate**

*Numeric; 30 Characters; Optional*

Enter the rate of interest that is to be used to calculate interest amount for the particular currency. Alternatively, you can maintain the interest rate in the 'Interest Rate Maintenance' screen. If you do not maintain an interest rate, the system will take it as null.

### **Interest Amount**

*Numeric; 30 Characters; Optional*

Specify the interest amount.

### **Interest Amount in Transaction Currency**

*Numeric; 30 Characters; Optional*

Specify the interest amount in terms of the transaction currency.

### **Interest Calc. Days**

*Numeric; 30 Characters; Optional*

Specify the number of days for which interest calculation has to be done for a policy top-up based on the payment date and transaction date.



## Basis Days

*Optional*

Select the interest basis days, based on which the interest will be calculated. The options available are:

- 360 days
- 365 days

## 2.8.5 Broker Details Tab

Click the 'Broker Details' tab to enter details of brokers for the transaction.

FCIS LEP Propagate Transaction Detail

Save

Policy Transaction

Policy Number\*

Policy Holder ID

Policy Txn Number

Transaction Type\*

Transaction Details | Asset Allocation | Payment Details | **Broker Details**

Broker Details

<input checked="" type="checkbox"/>	Broker Code *	Broker Name	Split Percentage *
<input checked="" type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Open \_\_\_\_\_

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

### Broker Code

*Alphanumeric; 9 Characters; Mandatory*

Specify the Broker Mapped for the Policy from the option list.

### Broker Name

*Display*

Upon selection of the broker code, the system displays the name of the selected broker code.

### Split Percentage

*Percentage Format, Mandatory if you select any broker in the Intermediary field.*

Specify the percentage of the commission that the selected broker is entitled to receive on any transactions put through for the investor.

This percentage must not exceed one hundred percent.

---

**Note**

If you specify more than one broker in this section, the split percentages for all brokers, when summed up, must not exceed or fall below one hundred percent.

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## 2.9 FCIS LEP Propagate Transaction Summary

This section contains the following topics:

- [Section 2.9.1, "Retrieving Record in FCIS LEP Propagate Transaction Summary screen"](#)
- [Section 2.9.2, "Editing an FCIS LEP Propagate Transaction Record "](#)
- [Section 2.9.3, "Viewing an FCIS LEP Propagate Transaction Record"](#)
- [Section 2.9.4, "Deleting an FCIS LEP Propagate Transaction Record"](#)
- [Section 2.9.5, "Authorizing an FCIS LEP Propagate Transaction Record"](#)
- [Section 2.9.6, "Amending an FCIS LEP Propagate Transaction Record"](#)
- [Section 2.9.7, "Authorizing an Amended FCIS LEP Propagate Transaction Record"](#)

### 2.9.1 Retrieving Record in FCIS LEP Propagate Transaction Summary screen

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

Invoke the 'FCIS LEP Propagate Transaction Summary' screen by typing 'LESPRTXN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS LEP Propagate Transaction Summary

Search Advanced Search Reset Clear All

Search is Case Sensitive

Authorized [dropdown]  
Policy Txn Number [text] [search icon]  
Transaction Type [dropdown]  
Transaction Currency [text] [search icon]

Open [dropdown]  
Policy Number [text] [search icon]  
Transaction Date [calendar icon]

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Policy Txn Number	Policy Number	Transaction Type	Transaction Date	Transaction Currency	Transaction Entry
------------	------	-------------------	---------------	------------------	------------------	----------------------	-------------------

Exit

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 Txn Number
- Policy Number
- Transaction Type
- Transaction Date
- Transaction Currency

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.

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

- Press F7
- Input the Policy Txn Number
- Press F8

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

## **2.9.2 Editing an FCIS LEP Propagate Transaction Record**

You can modify the details of an FCIS LEP Propagate Transaction record that you have already entered into the system, provided it has not been subsequently authorized and if it has not been attached to any propagation. If the transaction has been propagated, then you will not be allowed to modify it.

You can perform this operation as follows:

- Invoke the FCIS LEP Propagate Transaction 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 FCIS LEP Propagate Transaction 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 LEP Propagate Transaction screen is closed and the changes made are reflected in the FCIS LEP Propagate Transaction Summary screen.

## **2.9.3 Viewing an FCIS LEP Propagate Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS LEP Propagate Transaction Summary screen as follows:

- Invoke the FCIS LEP Propagate 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 LEP Propagate Transaction screen is displayed in View mode.

#### **2.9.4 Deleting an FCIS LEP Propagate Transaction Record**

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

- Invoke the FCIS LEP Propagate 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 LEP Propagate Transaction 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.

#### **2.9.5 Authorizing an FCIS LEP Propagate Transaction Record**

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

- Invoke the FCIS LEP Propagate 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 LEP Propagate Transaction screen is displayed. Select Authorize operation from the Action List.

#### **2.9.6 Amending an FCIS LEP Propagate Transaction Record**

After an FCIS LEP Propagate 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 LEP Propagate 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 LEP Propagate Transaction 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.

## 2.9.7 Authorizing an Amended FCIS LEP Propagate Transaction Record

An amended FCIS LEP Propagate 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.

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

## 2.10 Annuities and Premium Transactions

This section contains the following topics:

- [Section 2.10.1, "Creating Annuities and Premium Transactions"](#)

### 2.10.1 Creating Annuities and Premium Transactions

Similar to the way policy transactions are entered in the system, annuities and premium related transactions can be entered for propagation in the 'FCIS LEP Propagate SI Details'. You can invoke this screen by typing 'LEDPROSI' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

Enter the following details:

#### LEP Propagate SI

##### **Propagation Reference Number**

*Display*

The system displays the propagation reference number.

##### **Transaction Type**

*Mandatory*

Select, from the adjoining drop-down list, the transaction type. You have the following options:

- Annuity
- Recurring Premium
- Recurring Switch

**Transaction Date**

*Date Format; Mandatory*

Select the date of transaction from the adjoining option list.

**SI Amount**

*Numeric; 30 Characters; Optional*

This is the value for which the SI will be generated.. You can give either SI amount or Net Annuity amount and WHT amount. If SI amount alone is entered system will compute the WHT amount if applicable. If SI amount is given, Net annuity amount and WHT amount should not be specified.

**Net Annuity Amount**

*Numeric; 15 Characters; Optional*

You can enter either SI amount or Net Annuity amount and WHT amount. If Net annuity amount and WHT amount are entered, the system will generate an SI with Net annuity amount and a WHT redemption transaction for the WHT amount.

**Policy Number**

*Alphanumeric; 16 Characters; Optional*

Enter the policy number for which SI should be generated.

**Policy Holder**

*Display*

The system will display the Unitholder of the policy.

**Policy SI Number**

*Alphanumeric; 16 Characters; Mandatory*

You need to choose the policy SI maintenance for which an adhoc SI to be generated

**Transaction Currency**

*Alphanumeric; 3 Characters; Mandatory*

Enter the transaction currency for the SI transaction.

**WHT Amount**

*Numeric; 15 Characters; Optional*

You can enter either SI amount or Net Annuity amount and WHT amount. If Net annuity amount and WHT amount is entered, the system will generate an SI with Net annuity amount and a WHT redemption transaction for the WHT amount.

## 2.11 FCIS LEP Propagate SI Summary

This section contains the following topics:

- [Section 2.11.1, "Retrieving Record in FCIS LEP Propagate SI Summary screen"](#)
- [Section 2.11.2, "Editing an FCIS LEP Propagate SI Record "](#)
- [Section 2.11.3, "Viewing an FCIS LEP Propagate SI Record"](#)
- [Section 2.11.4, "Deleting an FCIS LEP Propagate SI Record"](#)
- [Section 2.11.5, "Authorizing an FCIS LEP Propagate SI Record"](#)
- [Section 2.11.6, "Amending an FCIS LEP Propagate SI Record"](#)

- [Section 2.11.7, "Authorizing an Amended FCIS LEP Propagate SI Record"](#)

### 2.11.1 Retrieving Record in FCIS LEP Propagate SI Summary screen

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

Invoke the 'FCIS LEP Propagate SI Summary' screen by typing 'LESPROSI' 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
- Propagation Reference Number
- Transaction Type
- Transaction Date
- Policy SI Number

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.

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

- Press F7

- Input the Propagation Reference Number
- Press F8

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

### **2.11.2 Editing an FCIS LEP Propagate SI Record**

You can modify the details of an FCIS LEP Propagate SI 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 LEP Propagate SI 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 FCIS LEP Propagate SI 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 LEP Propagate SI screen is closed and the changes made are reflected in the FCIS LEP Propagate SI Summary screen.

### **2.11.3 Viewing an FCIS LEP Propagate SI Record**

To view a record that you have previously input, you must retrieve the same in the FCIS LEP Propagate SI Summary screen as follows:

- Invoke the FCIS LEP Propagate SI 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 LEP Propagate SI screen is displayed in View mode.

### **2.11.4 Deleting an FCIS LEP Propagate SI Record**

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

- Invoke the FCIS LEP Propagate SI 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 LEP Propagate SI 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.

### **2.11.5 Authorizing an FCIS LEP Propagate SI Record**

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

- Invoke the FCIS LEP Propagate SI 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 LEP Propagate SI screen is displayed. Select Authorize operation from the Action List.

### **2.11.6 Amending an FCIS LEP Propagate SI Record**

After an FCIS LEP Propagate SI 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 LEP Propagate SI 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 LEP Propagate SI 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.

### **2.11.7 Authorizing an Amended FCIS LEP Propagate SI Record**

An amended FCIS LEP Propagate SI 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 records.

## 2.12 Processing Transactions

You can propagate different combinations of transactions and operations in the back data propagation and transaction screens. The workflow for each combination of transaction and operation is detailed in the table below:

<b>Transaction</b>	<b>Operation</b>	<b>Scenario</b>	<b>Workflow</b>
Policy Initial Investment	Modify Only initial investment amount modification would be supported.	Policy captured with wrong initial investment amount.	In LEP back propagation screen, select the Investor, policy number and input the initial investment amount.  Operation would be Modify and transaction type would be "Policy Initial Investment"  Click 'Save'.

Transaction	Operation	Scenario	Workflow
Topup	Add	Top-up transaction was missed.	<p>In Propagate LEP Transaction screen (Function ID: LEDPRTXN), capture a top-up transaction for the appropriate policy and investor.</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured top-up transaction.</p> <p>Transaction type should be 'Top-up' here.</p> <p>Click 'Save'.</p>
	Delete	Top-up transaction captured in a wrong fund/investor.	<p>In LEP back propagation screen, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the top-up transaction in business schema.</p> <p>Transaction type should be 'Top-up' here.</p> <p>Click 'Save'.</p>
	Modify	Top-up transaction captured in a wrong amount.	<p>In LEP back propagation screen, select the Investor, policy number and select operation as 'Modify' and old transaction number should be the top-up transaction in business schema. Transaction Amount/Transaction Units would be used to input the modified value.</p> <p>Transaction type should be 'Top-up' here.</p> <p>Click 'Save'.</p>

Transaction	Operation	Scenario	Workflow
Switch	Add	Missed policy switch transaction	<p>In Propagate LEP Transaction screen (Function ID: LEDPRTXN), capture a switch transaction for the appropriate policy and investor.</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured Switch transaction.</p> <p>Transaction type should be 'Switch' here.</p> <p>Click 'Save'.</p>
	Delete	Switch captured in wrong fund.	<p>In LEP back propagation screen, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the switch transaction which needs to be deleted.</p> <p>Transaction type should be 'Switch' here.</p> <p>Click 'Save'.</p>
	Modify	Say switch transaction was captured with wrong asset allocation details.	<p>Add row in transaction details grid, select the old transaction number as wrongly specified switch transaction number and operation should be selected as "Delete".</p> <p>In Propagate LEP Transaction screen (Function ID: LEDPRTXN), capture a switch transaction for the appropriate policy, investor and proper asset allocation.</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly generated Switch transaction.</p> <p>Transaction type should be 'Switch' here.</p> <p>Click 'Save'.</p>

Transaction	Operation	Scenario	Workflow
Surrender	Add	Missed Surrender transaction	<p>In Propagate LEP Transaction screen (Function ID: LEDPRTXN), capture the surrender transaction for the appropriate policy and investor.</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured surrender transaction.</p> <p>Transaction type should be 'Surrender' here.</p> <p>Click 'Save'.</p>
	Delete	Wrongly captured surrender	<p>In LEP back propagation screen, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the surrender transaction in business schema.</p> <p>Transaction type should be 'Surrender' here.</p> <p>Click 'Save'.</p>
	Modify	Surrender transaction captured with wrong amount	<p>In LEP back propagation screen, select the Investor, policy number and select operation as 'Modify' and old transaction number should be the surrender transaction in business schema. Transaction Amount/Transaction Units/Percentage would be used to input the modified value.</p> <p>Transaction type should be 'Surrender' here.</p> <p>Click 'Save'.</p>
Annuity	Add	Missed Annuity	<p>In LEP Propagation SI transaction screen (Function ID: LEDPROSI) capture the missed annuity,</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured annuity transaction.</p> <p>Transaction type should be 'Annuity' here.</p> <p>Click 'Save'.</p>

Transaction	Operation	Scenario	Workflow
	Delete	Wrongly generated Annuity	<p>In LEP back propagation screen, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the Annuity transaction in business schema.</p> <p>Transaction type should be 'Annuity' here.</p> <p>Click 'Save'.</p>
	Modify	Not-revised Annuity	<p>In LEP Propagation SI transaction screen (Function ID: LEDPROSI) capture the not-revised annuity with proper annuity amount,</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured annuity transaction.</p> <p>Transaction type should be 'Annuity' here.</p> <p>Add another row in transaction grid, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the Annuity transaction in business schema.</p> <p>Transaction type should be 'Annuity' here.</p> <p>Click 'Save'.</p>
Premium	Add	Missed Premium	<p>In LEP Propagation SI transaction screen (Function ID: LEDPROSI) capture the missed annuity,</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured premium transaction.</p> <p>Transaction type should be 'Premium' here.</p> <p>Click 'Save'.</p>

Transaction	Operation	Scenario	Workflow
	Delete	Wrongly generated Premium	<p>In LEP back propagation screen, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the premium transaction in business schema.</p> <p>Transaction type should be 'Premium' here.</p> <p>Click 'Save'.</p>
	Modify	Wrongly generated with wrong value	<p>In LEP Propagation SI transaction screen (Function ID: LEDPROSI) capture the SI transaction with proper premium amount.</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured premium transaction.</p> <p>Transaction type should be 'Premium' here.</p> <p>Add another row in transaction grid, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the premium transaction in business schema.</p> <p>Transaction type should be 'Premium' here.</p> <p>Click 'Save'.</p>
Recurring Switch	Add	Missed SI Switch	<p>In LEP Propagation SI transaction screen (Function ID: LEDPROSI) capture the missed recurring switch.</p> <p>In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured switch transaction.</p> <p>Transaction type should be 'Recurring Switch' here.</p> <p>Click 'Save'.</p>

Transaction	Operation	Scenario	Workflow
	Delete	Wrongly generated Switch	In LEP back propagation screen, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the recurring switch transaction in business schema.  Transaction type should be 'Recurring Switch' here.  Click 'Save'.
	Modify	Wrongly generated with wrong value	In LEP Propagation SI transaction screen (Function ID: LEDPROSI) capture recurring switch transaction  In LEP back propagation screen, select the Investor, policy number and select operation as 'New' and new transaction number should be the newly captured recurring switch transaction.  Transaction type should be 'Recurring Switch here.  Add another row in transaction grid, select the Investor, policy number and select operation as 'Delete' and old transaction number should be the recurring switch transaction in business schema.  Transaction type should be 'Recurring Switch' here.  Click 'Save'.

## 2.13 First Verification

This section contains the following topics:

- [Section 2.13.1, "Invoking First Verification Screen"](#)

### 2.13.1 Invoking First Verification Screen

You can enable dual authorization for a screen that requires dual authorization using 'First Verification' screen.

The first level authorization can be done from this screen and the second level authorization can be done from the respective function ID screen which is set for dual authorization.



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

The screenshot shows the 'First Verification' application window. At the top, there is a title bar with the text 'First Verification'. Below the title bar is a section labeled 'Execute Query' which contains two input fields: 'Key Id' and 'Function Id'. Below the 'Execute Query' section is a table titled 'Records'. The table has a header row with columns: 'Mod No', 'Modification Status', 'Maker', 'Maker Date Stamp', 'Authorization Status', and 'View Changes'. The table body shows one record, indicated by '1 of 1' in the top left corner of the table area. Below the 'Records' table is a section labeled 'Remarks' which contains three text input fields: 'Maker Remarks', 'Maker Override Remarks', and 'First Checker Remarks'. Below the 'Remarks' section is another table titled 'Warnings'. The 'Warnings' table has a header row with columns: 'Warning Code' and 'Warning Description'. The table body shows one record, indicated by '1 of 1' in the top left corner of the table area. At the bottom right of the window, there are three buttons: 'Ok', 'Reject', and 'Cancel'.

You can specify the following details:

### **Key ID**

*Alphanumeric; 2000 Characters; Optional*

The system generates the key ID.

If you specify some random key, the system displays an error message.

The system displays the following details on clicking 'Execute Query':

- Function ID

### **Records**

- Mod No
- Modification Status
- Maker
- Maker Date Stamp
- Authorization Status
- View Changes

### **Remarks**

- Maker Remarks
- Maker Override Remarks
- First Checker Remarks

### **Warnings**

- Warning Code
- Warning Description

### **Fields**

- Field Name
- Old Value
- New Value

## **2.14 Back Data Transactions Authorization**

This section contains the following topics:

- [Section 2.14.1, "Authorizing Back Data Transactions"](#)

### **2.14.1 Authorizing Back Data Transactions**

The system requires dual authorization for the transactions that have been propagated. The first-time authorization is done from the 'First Verification' screen and subsequently from the summary screens for LEP and UT. You can invoke the 'First Verification' screen by typing

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

First Verification

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Function Id  Key Definition

Maker

Records per page 15 1 of 1 Go Lock Columns 0

Function Id	Key Definition	Maker	Key Id	First Authorization Status	Latest Authorized Mod Number
-------------	----------------	-------	--------	----------------------------	------------------------------

Exit

In this screen, you can retrieve records by specifying any of the following parameters and clicking 'Search':

### Function Id

*Alphanumeric; 30 Characters; Optional*

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

### Maker

*Alphanumeric; 12 Characters; Optional*

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

### Key Definition

*Alphanumeric; 2000 Characters; Optional*

Specify the key definition.

The system will retrieve the records matching the parameters specified. If you do not enter any parameter before clicking 'Search', the system will display all the unauthorized UT and LEP records. Double-click the required record and click 'Accept'. The system will perform the first level of authorization and redirect the record to the respective summary screen, from where you can perform the second level of authorization.

## 2.15 Running Debugs for Propagation

When you run the data propagation process for LEP and UT, you can keep track of the processing using the debug facility. To enable this facility, you need to maintain a parameter 'PROPAGATIONLOG' in the 'Parameter Setup Detail' screen which you can invoke by typing UTDPARAM in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. You are required to maintain the value of this parameter as '1' to have a debug written. To disable the debug, maintain the value as '0'.

## 2.16 Propagation Jobs

This section contains the following topics:

- [Section 2.16.1, "Viewing Propagation Jobs"](#)

### 2.16.1 Viewing Propagation Jobs

As part of propagation, you will need to run EOD continuously to update the data from the date of transaction input till the current date. This is done through jobs. You can view the jobs that are being run and terminate the ones that you do not require in the 'Jobs Monitor Summary' screen. To invoke this screen, type 'CSSJMNTR' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

Job ID	What	Schema User	Last Date	Instance	Failures
--------	------	-------------	-----------	----------	----------

In this screen, you can retrieve records by specifying criteria for the search and clicking the 'Search' button. You can query on the following parameters:

- Job ID
- Schema User

- Instance
- What
- Last Date
- Failures

The system will fetch the records that match the criteria. If you do not enter any criterion before clicking 'Search', the system will fetch all the job records.

To update the records, click 'Refresh'. The system will display a job for as long as it is running. If the job has been completed, it will no longer be visible in this screen.

To terminate a job, select the job record and click 'KILL'. The system will terminate the job.

## 2.17 **Impact of Propagation**

There can be an impact on the following processes due to data propagation:

### **Load Computation**

There can be a difference in the load computed after propagation and the original load computation if:

- the load is unit based and there has been an increase (or decrease) in the number of units due to propagation
- the outflow is linked to an inflow and the exit load is based on a period

### **Dividend Reinvestments**

These will differ if transactions have been wrongly entered initially. During propagation, the system will pick up the balance based on the correct information entered and generate the dividend re-investment transactions. This calculation will however be based on the original IDS for the unit holder, that is, the IDS maintained at the time of initial processing.

### **Ageing (FIFO) Units**

If there has been a change in the allocation status of a transaction, the system will consider only the original allocation status of a transaction during data propagation. For instance, if the original allocation status of a transaction is 'Provisional' and subsequently the status changes to 'Confirmed', while reiterating the transactions, the system will consider the status as 'Provisional' and carry out the calculations accordingly.

### **Linked Transactions Processing**

For linked transactions, where an inflow transaction that is linked to an outflow transaction is being modified, the system will check if the outflow transaction is affected due to data propagation. If it is, the outflow transaction will not be generated.

## 2.18 **Back Data Propagation Details**

This section contains the following topics:

- [Section 2.18.1, "Viewing Back Data Propagation Details"](#)
- [Section 2.18.2, "Viewing Investor Fund Balances"](#)
- [Section 2.18.3, "Viewing Standing Instruction Details"](#)
- [Section 2.18.4, "Viewing Income Distribution Setup Details"](#)

- [Section 2.18.5, "Viewing Transaction Summary"](#)
- [Section 2.18.6, "Viewing Dividend Distribution Details"](#)
- [Section 2.18.7, "Viewing Capital Gains Transactions Tax Details"](#)
- [Section 2.18.8, "Viewing Broker Commission Details"](#)

## 2.18.1 Viewing Back Data Propagation Details

You can view the details that have been propagated using the 'Back Data Propagation Enquiry' screen. You can invoke the screen by typing 'UTDPRQRY' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

In this screen, press F7, enter the 'Propagation Reference Number' and press F8. The system will display the following details for the propagated query:

- Operation
- Policy Number
- Transaction Type
- Transaction Currency
- Initial Investment Amount
- Old Txn Number
- New Txn Number
- Amount Applied
- Units
- Percent

## 2.18.2 Viewing Investor Fund Balances

Click the 'Investor Fund Balance' button in the 'Back Data Propagation Screen' to view the fund balances propagated.

Investor Fund Balance

Investor Fund Balance

1 of 1 Go

Product ID	Policy Number	Fund ID	Fund Name	Fund Base Currency	Balance Units	Blocked Units
------------	---------------	---------	-----------	--------------------	---------------	---------------

Total Blocked Amount 0 Total Holdings in UH Currency 0

Category-wise Balance

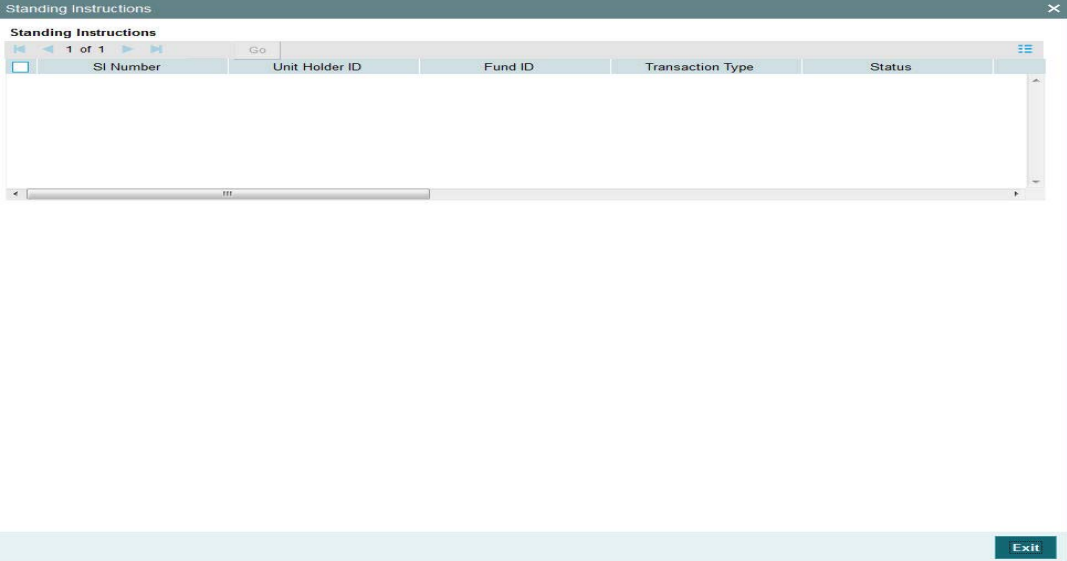
Exit

The following details are displayed:

- Product ID
- Policy Number
- Fund ID
- Fund Name
- Fund Base Currency
- Balance Units
- Blocked Units
- Total Blocked Amount
- FBC redeemable
- FBC Holding
- UHBC Redeemable
- Average Cost
- Provisional Units
- UHBC Holding
- Total Blocked Amount
- Total Holdings in UH currency

### 2.18.3 Viewing Standing Instruction Details

Click the 'Standing Instructions' button in the 'Back Data Propagation Screen' to view the standing instructions details propagated.



The screenshot shows a window titled "Standing Instructions" with a table. The table has the following columns: SI Number, Unit Holder ID, Fund ID, Transaction Type, and Status. The table is currently empty. There is a "Go" button and a "1 of 1" indicator above the table. An "Exit" button is located at the bottom right of the window.

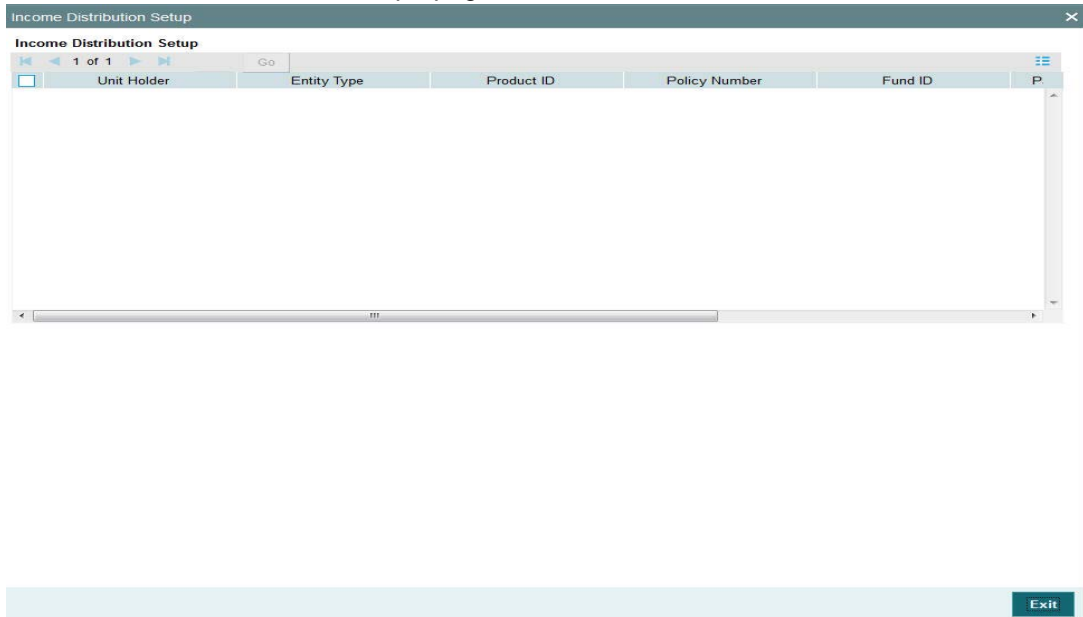
The following details are displayed:

- SI Number
- Unit Holder ID
- Fund ID
- Transaction Type
- Status
- Start Date
- End Date
- Escalation Start Date
- Escalation End Date
- Last Processed Date
- SI Description



## 2.18.4 Viewing Income Distribution Setup Details

Click the 'Income Distribution Setup' button in the 'Back Data Propagation Screen' to view details of the income distribution propagated.

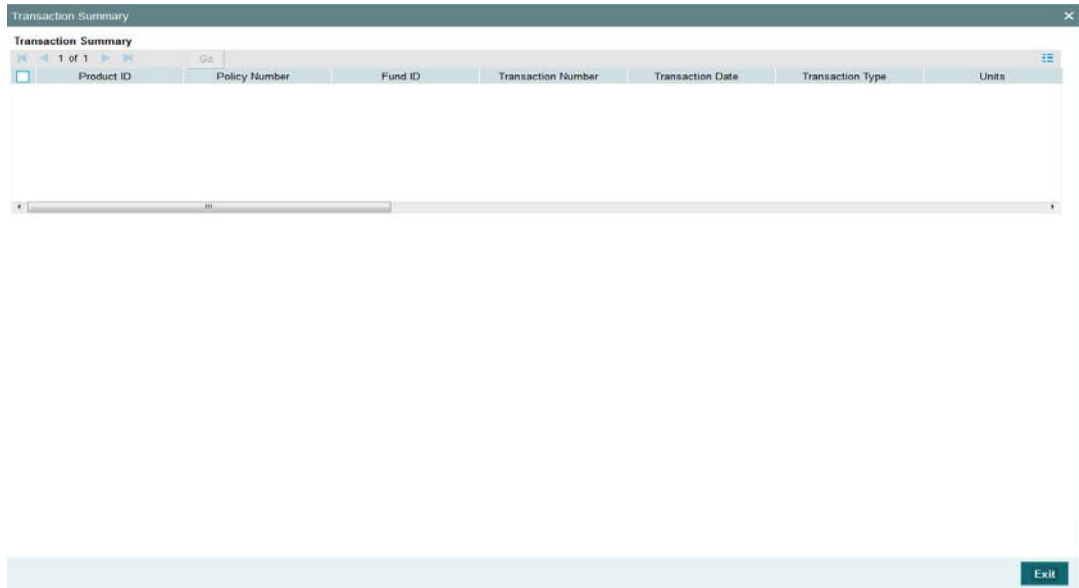


The following details are displayed:

- Unit Holder
- Entity Type
- Product ID
- Policy Number
- Fund ID
- Payment Percentage
- Reinvestment Percentage

## 2.18.5 Viewing Transaction Summary

Click the 'Transaction Summary' button in the 'Back Data Propagation Screen' to view a summary of the transactions propagated.



The screenshot shows a window titled "Transaction Summary" with a table. The table has the following columns: Product ID, Policy Number, Fund ID, Transaction Number, Transaction Date, Transaction Type, and Units. The table is currently empty. There is a "Go" button and a "1 of 1" indicator at the top left of the table area. An "Exit" button is located at the bottom right of the window.

The following details are displayed:

- Product ID
- Policy Number
- Fund ID
- Transaction Number
- Transaction Date
- Transaction Type
- Units
- Price
- Book Value
- Running Total
- Status
- Gross Amt in FBC
- Net Amt in FBC
- Broker Commission
- Other Fees
- Transaction Category
- KIID Received?

## 2.18.6 Viewing Dividend Distribution Details

Click the 'Dividend Distributions' button in the 'Back Data Propagation Screen' to view the details of dividend propagated.

The screenshot shows a web application window titled "Dividend Summary". It contains three main sections, each with a table and a "Go" button:

- Dividend Details:** A table with columns: Fund ID, Declaration Date, Payment Date, Units Held, Earnings / Lot, Total, and Tax.
- Payment Details:** A table with columns: Fund ID, Payment Mode, Account Number, Bank, Branch, and Amount.
- Reinvestment Details:** A table with columns: Fund ID, Reinvestment Fund ID, Amount, Unit Price, and Units Allotted.

Each table has a "Go" button and a "1 of 1" indicator. There is also an "Exit" button at the bottom right of the window.

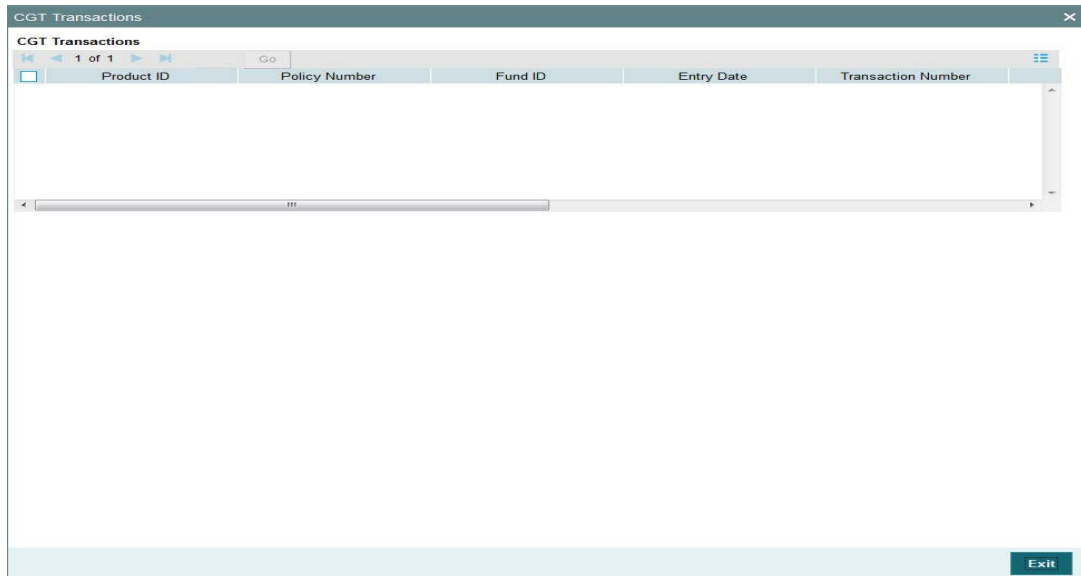
The following details are displayed:

- Dividend Details
  - Fund ID
  - Declaration Date
  - Payment Date
  - Units Held
  - Earnings/Lot
  - Total
  - Tax
  - Net Amount
- Payment Details
  - Fund ID
  - Payment Mode
  - Account Number
  - Bank
  - Branch
  - Amount
- Reinvestment Details

- Fund ID
- Reinvestment Fund ID
- Amount
- Unit Price
- Units Allotted

### 2.18.7 Viewing Capital Gains Transactions Tax Details

Click the 'CGT Transactions' button in the 'Back Data Propagation Screen' to view the details of capital gains tax.

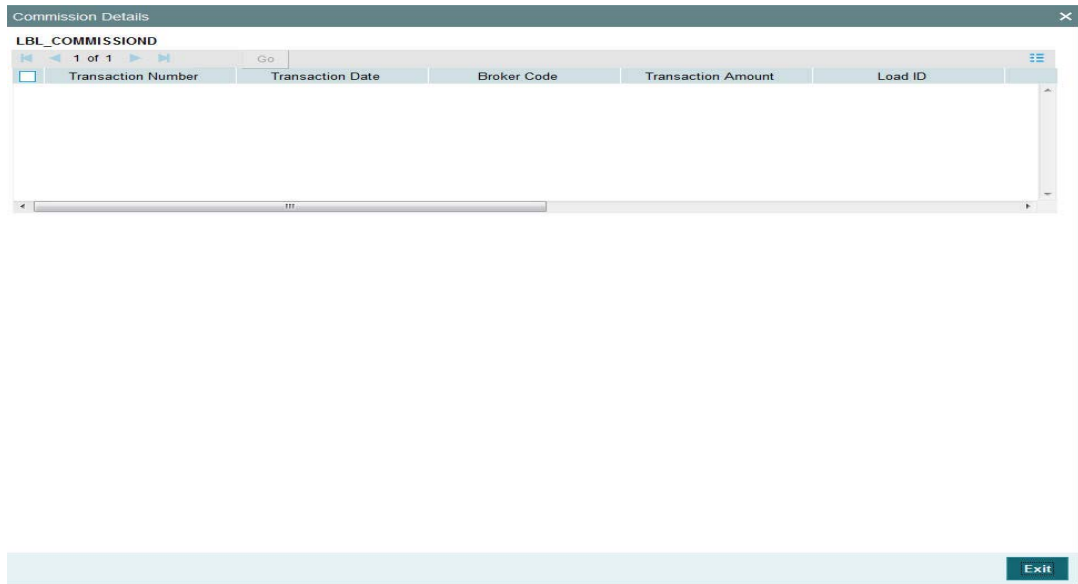


The following details are displayed:

- Product ID
- Policy Number
- Fund ID
- Entry Date
- Transaction Number
- Units
- Transaction Date
- Reference Number
- Settled

## 2.18.8 Viewing Broker Commission Details

Click the 'Broker Commissions' button in the 'Back Data Propagation Screen' to view the details of commission details for brokers.



The screenshot shows a window titled "Commission Details" with a table. The table has the following columns: Transaction Number, Transaction Date, Broker Code, Transaction Amount, and Load ID. The table is currently empty. There is a "Go" button and a "1 of 1" indicator above the table. An "Exit" button is located at the bottom right of the window.

The following details are displayed:

- Transaction Number
- Transaction Date
- Broker Code
- Transaction Amount
- Load ID
- Return Value
- Commission without VAT
- VAT
- Commission with VAT

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## 3. Function ID Glossary

### C

CSDVERFY .....	2-58
CSSJMNTR .....	2-61
CSSVERFY .....	2-60

### L

LEDPROSI .....	2-46
LEDPRTXN .....	2-31
LEDROPLE .....	2-26
LESPROSI .....	2-48
LESPRTXN .....	2-43
LESROPLE .....	2-29

### U

UTDPRQRY .....	2-63
UTDPRTXN .....	2-7
UTDROPUT .....	2-3
UTSPRTXN .....	2-23
UTSROPUT .....	2-5