

Pension User Guide

## **Oracle FLEXCUBE Investor Servicing**

Release 14.6.0.0.0  
Part Number F56386-01

May 2022

Pension User Guide  
May 2022  
Oracle Financial Services Software Limited

Oracle Park

Off Western Express Highway  
Goregaon (East)  
Mumbai, Maharashtra 400 063  
India

Worldwide Inquiries:

Phone: +91 22 6718 3000

Fax: +91 22 6718 3001

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# 1. About This Manual

## 1.1 Introduction

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

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

## 1.2 Related Documents

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

## 1.3 Audience

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

## 1.4 Organization

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

Chapter	Description
Chapter 1	<i>About This Manual</i> explains the structure, audience, organization, and related documents of this manual.
Chapter 2	<i>Personal Identifiable Information</i> – explains the details about personal identifiable information, consent maintenance, transparent data encryption.

## 1.5 Conventions Used in this Manual

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

## 1.5.1 General Conventions





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

## 1.5.2 Keyboard Conventions

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

## 1.6 Glossary of Icons

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

Icons	Function
	Exit
	Add Row
	Delete Row
	Option List

## 1.7 Abbreviations and Acronyms

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

Abbreviation/ Acronym	Meaning
MFA	Multi Factor Authentication
TDE	Transparent Data Encryption
PII	Personal Identifier Information
PAS	Pension Administration Scheme
TA	Transfer Agent
IA	Instrument Administrator

## 1.8 Getting Help

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

---

## 2. Pension Funds Administration

Oracle FLEXCUBE Investor Servicing component allows you to handle occupational pension and personal pension administration.

This chapter contains the following sections:

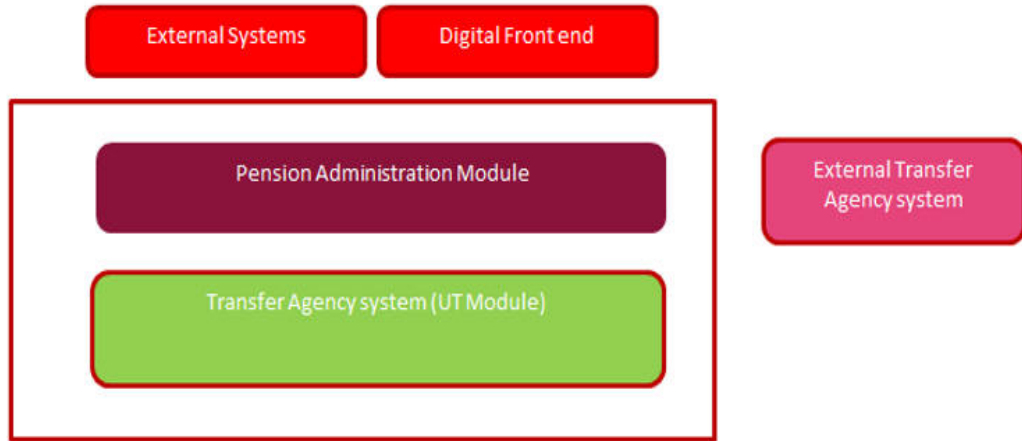
- [Section 2.1, "Introduction"](#)
- [Section 2.2, "Linkage between TA and PA"](#)
- [Section 2.3, "Module Default Information"](#)
- [Section 2.4, "Defaults Maintenance"](#)
- [Section 2.5, "Parameter Setup"](#)
- [Section 2.6, "Additional Information Maintenance"](#)
- [Section 2.7, "Entity Additional Information Mapping"](#)
- [Section 2.8, "Country Currency"](#)
- [Section 2.9, "Currency Maintenance"](#)
- [Section 2.10, "Source Currency Pair"](#)
- [Section 2.11, "Holiday Maintenance"](#)
- [Section 2.12, "Exchange Rate"](#)
- [Section 2.13, "Entity Mapping"](#)
- [Section 2.14, "Exchange Rate Source Mapping"](#)
- [Section 2.15, "Clearing Users"](#)
- [Section 2.16, "Asset Class Definition"](#)
- [Section 2.17, "Asset Class Definition Summary"](#)
- [Section 2.18, "Asset Maintenance Screen"](#)
- [Section 2.19, "Asset Maintenance Summary"](#)
- [Section 2.20, "Dividend and Trailer Fee Hand-off from TA to PA"](#)
- [Section 2.21, "Instrument Definition"](#)
- [Section 2.22, "Instrument Definition Summary"](#)
- [Section 2.23, "Rebalance Rule Mapping Detail"](#)
- [Section 2.24, "Rebalance Rule Mapping Summary"](#)
- [Section 2.25, "Portfolio Type Maintenance"](#)
- [Section 2.26, "Portfolio Type Maintenance Summary"](#)
- [Section 2.27, "Portfolio Definition"](#)
- [Section 2.28, "Portfolio Definition Summary"](#)
- [Section 2.29, "Rule Definition"](#)
- [Section 2.30, "Rule Definition Summary"](#)
- [Section 2.31, "Portfolio Rebalancing Rule Detail"](#)
- [Section 2.32, "Portfolio Rebalance Rule Summary"](#)
- [Section 2.33, "Pension Charge Maintenance Detail"](#)
- [Section 2.34, "Pension Charge Maintenance Summary"](#)
- [Section 2.35, "Pension Adjustment Order"](#)
- [Section 2.36, "Pension Adjustment Order Summary"](#)
- [Section 2.37, "Portfolio Charge Maintenance Detail"](#)
- [Section 2.38, "Portfolio Charge Maintenance Summary"](#)

- Section 2.39, "Bank Details"
- Section 2.40, "Bank Details Summary"
- Section 2.41, "Identification Details"
- Section 2.42, "Identification Details Summary"
- Section 2.43, "Address Details"
- Section 2.44, "Address Details Summary"
- Section 2.45, "Party Maintenance"
- Section 2.46, "Party Maintenance Summary"
- Section 2.47, "Employee Group Maintenance"
- Section 2.48, "Employee Group Summary"
- Section 2.49, "Party Role Mapping"
- Section 2.50, "Role Mapping Summary"
- Section 2.51, "Investment Account"
- Section 2.52, "Investment Account Summary"
- Section 2.53, "Investment Account Status Change Maintenance"
- Section 2.54, "Investment Account Status Change Summary"
- Section 2.55, "Portfolio Mapping"
- Section 2.56, "Portfolio Mapping Summary"
- Section 2.57, "Investment Detail"
- Section 2.58, "Investment Summary"
- Section 2.59, "Auto Clear for Pension Investments"
- Section 2.60, "Payment Clearing Screen"
- Section 2.61, "Withdrawal Detail"
- Section 2.62, "Withdrawal Summary"
- Section 2.63, "Switch Detail"
- Section 2.64, "Switch Summary"
- Section 2.65, "Order Status of Orders"
- Section 2.66, "Allocation Details"
- Section 2.67, "View Portfolio Balance"
- Section 2.68, "Interface Maintenance"
- Section 2.69, "Interface Maintenance Summary Screen"
- Section 2.70, "Party Role Migration"
- Section 2.71, "Party Role Migration Summary"
- Section 2.72, "Party Data Merger Screen"
- Section 2.73, "Instruction Date Update Screen"
- Section 2.74, "Order Summary"
- Section 2.75, "Process Group Pension Order"
- Section 2.76, "EOD Maintenance"
- Section 2.77, "Online Interface Execution"
- Section 2.78, "Upload Status Summary"
- Section 2.79, "Pre End of Day Check"
- Section 2.80, "EOD Execution"
- Section 2.81, "Upload Status Report"
- Section 2.82, "Consent Maintenance Detail"

- [Section 2.83, "Consent Maintenance Summary"](#)

## 2.1 Introduction

Pension record will interact with TA system for order processing. Functional environment is as follows:



You can fetch report pertaining to UH in TA, (UH which got generated as a result of orders from Pension Administration).

Following list of parameters will be used for Pension Administration module:

Param Code	Description	Whether User Maintainable
ASSETCLASSDE-TAILS	Asset Class list	Yes
CALENDARTYPE	Calendar Types	No
COMPLIANCE-CODES	The regulatory rule applicable	Yes
COUNTRYCODES	ISO Country Codes	Yes
DEALINGTYPE	Dealing Types	Yes
ENTITYTITLE	Title list for entities	Yes
HEALTHSTATUS	Health Status of the unitholder	No
IDENTIFICATION-TYPE	Identification types for unitholders	Yes
INDINVCATEGORY	Individual Investor Categories	Yes
INSTRUMENTTYPE	Instrument types	Yes
INTDIALCODE	The International Dialing Country Code	Yes
INVACCSTATUS	Investment Account Status	Yes
LIMITPERIOD	Limit Period	No



<b>Param Code</b>	<b>Description</b>	<b>Whether User Maintainable</b>
MARITALSTATUS	Marital Status	No
OCCUPATIONTYPE	Occupation types for individual unit holders	Yes
OWNERSHIPTYPE	Ownership Type	Yes
PARTYROLELIST	Party role list	No
PASTRANSACTION-TYPE	PAS Transaction Type	No
PENSIONACCSTATUS	PENSION ACCOUNT STATUS	Yes
SEX	Sex	No
PASIVTXNSUBTYPE	PAS Investment Transaction Sub Types	Yes
PASWDTXNSUB-TYPE	PAS Withdrawal Transaction Sub Types	Yes
PASSWTXNSUB-TYPE	PAS Switch Transaction Sub Types	Yes
PAPDISCONTRIBU-TIONCCY	PAPDIS contribution currency	Yes

---

**Note**

These set of parameters are common for both LOB and PAS in integrated setup.

---

## 2.2 Linkage between TA and PA

You can link TA and Pension Administration using a scheduler. Orders, brokers will be handed off and on from and to PA with the schedulers.

An export interface will create a file in the path which will be used by an import interface to upload the data to a system. Data will move from one system to the other either on auth, pre EOD, EOD, BOD or an event. This would be based on the scheduler configuration.

Following are the applicable event codes for Pension Administration system for users to define event based scheduler configuration:

<b>EVENTCODE</b>	<b>EVENTDESCRIPTION</b>
BE00001	BOD Completed
BE00002	EOD Started
BE00003	EOD Completed
BEPREEOD	Pre-EOD completed

The system will hand-off the amendment of address and ID detail in party to TA through interfaces only if the party has investment account mapped to a portfolio.

If any address is expired then the hand-off will be done accordingly and new address will be in effect for the relative UH.

For a party with multiple ID details, the system will hand-off only first ID detail to TA.

You can specify a deal for the UH created due to order import coming from PA.

For a UH created by order import, the reference number of UH will be investment account number of the party and this linkage will be maintained in an external table. However for the UH created, UH ID will be the reference number when queried in front end.

You need to create a new bulk client code named PA under UH bulk client details in order to Import PA Orders to TA.

A 'TA to PA module handoff' EOD batch hands-off allocated transactions from PA to TA. The PA allocation handoff (IF20192130001601) will generate files only when this batch is completed in EOD activity.

You can copy a UH from PA, but while amending this UH the system will validate the same since the UH category will be P.

The details of 'Interface reference - File Handoff between TA-PAS systems' is given as follows:

## TA-PAS Interface

Interface ID	Interface Desc	Import/Export	Linked Interface	File processing system	System which generates the file	Remarks
IF20192130001204	CFU Contribution file upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20191790000002	PAPDIS	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20192130000109	PAS Held away holdings upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20192130000112	Party Main Upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20172120000003	Identification Details	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20172120000005	Bank account details upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20172120000104	Address Details Upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20172120000111	Party Role Mapping upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20172120000212	Investment Account Upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS
IF20172120000213	Portfolio Mapping Upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS

Interface ID	Interface Desc	Import/Export	Linked Interface	File processing system	System which generates the file	Remarks
IF20172120000312	PAS Order Upload	Import	NA	PAS	Direct PAS Upload	Stand Alone PAS - Order upload (IN/WD/SW)
IF20192130000013	Broker Export	Export	NA	TA	PAS	From TA to PAS
IF20192130000108	Broker Import from TA	Import	IF20192130000108	PAS	TA	From TA
IF20192130000006	Load Maintenance Export	Export	NA	TA	PAS	From TA to PAS
IF20192130000103	Load Maintenance Upload	Import	IF20192130000006	PAS	Load exported from TA	From TA to PAS
IF20192130000801	Fund Price Export for PAS	Export	NA	TA	Exported file will be imported in PAS	From TA
IF20192130000804	Asset NAV import from TA	Import	IF20192130000801	TA	Exported file will be imported in PAS	From TA
IF20192130001101	Asset Import from TA	Import	IF2019213000204	PAS	TA	Fund Rules import from TA
IF20192130000204	Fund Export	Export	NA	TA	Exported file will be imported in PAS	From TA
IF20192130001205	PAS Order Import	Import	IF2019213000003	TA	PAS	Order from PAS

Interface ID	Interface Desc	Import/Export	Linked Interface	File processing system	System which generates the file	Remarks
IF20192130001003	PAS Order Export	Export	NA	PAS	Exported file will be imported in TA	Order Handoff from PAS to TA
IF20192130001501	PAS Investment account	Import	IF2019213000803	TA	PAS	Investment Account import into TA (for UH update)
IF20192130000803	Investment account export	Export	NA	PAS	Exported file will be imported in TA	Investment Account Export from PAS to TA
IF20192130001601	PAS allocation handoff	Export	NA	TA	Exported file will be imported in PAS	Allocation handoff from TA to PAS
IF20192130001307	PAS Allocation import from TA	Import	IF2019213000601	PAS	Allocation File from TA will be imported	From TA to PAS

## 2.3 Module Default Information

This section contains the following topics:

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

### 2.3.1 Invoking Module Default Detail Screen

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

*For further details, refer 'Module Default Detail' section in 'Overview' chapter in 'Reference\_Information' user manual.*

## 2.4 Defaults Maintenance

This section contains the following topics:

[Section 2.4.1, "Invoking Defaults Maintenance Screen"](#)

### 2.4.1 Invoking Defaults Maintenance Screen

You can change the defaults for the currently logged module using 'Defaults Maintenance' screen. You can invoke this screen by typing 'PADDEFMT/ UTDDEFMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'System Default Information' section in 'Maintaining System Parameters' chapter in 'Reference\_Information' user manual.*

## 2.5 Parameter Setup

This section contains the following topics:

[Section 2.5.1, "Invoking Parameter Setup Detail Screen"](#)

### 2.5.1 Invoking Parameter Setup Detail Screen

You can view and modify the parameters for the system using 'Parameter Setup Detail' screen. You can invoke this screen by typing 'UTDPARAM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'System Parameters' section in 'Maintaining System Parameters' chapter in 'Reference\_Information' user manual.*

## 2.6 Additional Information Maintenance

This section contains the following topics:

[Section 2.6.1, "Invoking Additional Information Maintenance Screen"](#)

### 2.6.1 Invoking Additional Information Maintenance Screen

You can create custom and non-customer additional information using 'Additional Information Maintenance' screen. You can invoke this screen by typing 'UTDADINF' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Additional Information will not flow from Pension Administration PA to TA and vice versa.

*For further details, refer 'Additional Information Heads' section in 'Maintaining System Parameters' chapter in 'Reference\_Information' user manual.*

## 2.7 Entity Additional Information Mapping

This section contains the following topics:

[Section 2.7.1, "Invoking Entity Additional Information Mapping Screen"](#)

## **2.7.1 Invoking Entity Additional Information Mapping Screen**

You can map additional information to an entity using 'Entity Additional Information Mapping' screen. You can invoke this screen by typing 'UTDENMAP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'Entity Additional Information Mapping' section in 'Maintaining System Parameters' chapter in 'Reference\_Information' user manual.*

## **2.8 Country Currency**

This section contains the following topics:

- [Section 2.8.1, "Invoking Country Currency Screen"](#)

### **2.8.1 Invoking Country Currency Screen**

To set up the country-currency association, use the 'Country Currency Maintenance Detail' screen. You can invoke this screen by typing 'UTDCONCU' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'Country Association with its Currency' section in 'Maintaining Currencies' chapter in 'Reference\_Information' user manual.*

## **2.9 Currency Maintenance**

This section contains the following topics:

- [Section 2.9.1, "Invoking Currency Maintenance Screen"](#)

### **2.9.1 Invoking Currency Maintenance Screen**

You can use the 'Currency Maintenance Detail' screen to set up the currencies in the system. You can invoke this screen by typing 'UTDCURMA' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'Currency Maintenance' section in 'Maintaining Currencies' chapter in 'Reference\_Information' user manual.*

## **2.10 Source Currency Pair**

This section contains the following topics:

[Section 2.10.1, "Invoking Source Currency Pair Maintenance Screen"](#)

### **2.10.1 Invoking Source Currency Pair Maintenance Screen**

You can map source to the currencies using 'Source Currency Pair Maintenance Detail' screen. You can invoke this screen by typing 'UTDSORCE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'Exchange Rate Sources' section in 'Maintaining Currencies' chapter in 'Reference\_Information' user manual.*

## 2.11 Holiday Maintenance

This section contains the following topics:

[Section 2.11.1, "Invoking Holiday Maintenance Screen"](#)

### 2.11.1 Invoking Holiday Maintenance Screen

You can maintain system holidays in 'Holiday Maintenance' screen. You can invoke this screen by typing 'UTDHOLID' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.

*For further details, refer 'Holiday Maintenance' section in 'Maintaining Reference Information' chapter in 'Reference\_Information' user manual.*

## 2.12 Exchange Rate

This section contains the following topics:

- [Section 2.12.1, "Invoking Exchange Rate Maintenance Screen"](#)

### 2.12.1 Invoking Exchange Rate Maintenance Screen

You can maintain exchange rate for the currency and source using 'Exchange Rate Maintenance' screen. You can invoke this screen by typing 'UTDEXCRM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'Exchange Rates' section in 'Maintaining Currencies' chapter in 'Reference\_Information' user manual.*

## 2.13 Entity Mapping

This section contains the following topics:

- [Section 2.13.1, "Invoking Entity Mapping Screen"](#)

### 2.13.1 Invoking Entity Mapping Screen

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

*For further details, refer 'Entity Mapping Detail' section in 'Maintaining Reference Information' chapter in 'Reference\_Information' user manual.*

## 2.14 Exchange Rate Source Mapping

This section contains the following topics:

- [Section 2.14.1, "Invoking Exchange Rate Source Mapping Details Screen"](#)

### 2.14.1 Invoking Exchange Rate Source Mapping Details Screen

You can map an exchange rate source to the PAS module using 'Exchange Rate Source Mapping Detail' screen. You can invoke this screen by typing 'UTDEXRMP' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.



For further details, refer 'Exchange Rate Source Mapping for Different Schemas' section in 'Setting up Loads' chapter in 'Reference\_Information' user manual.

## 2.15 Clearing Users

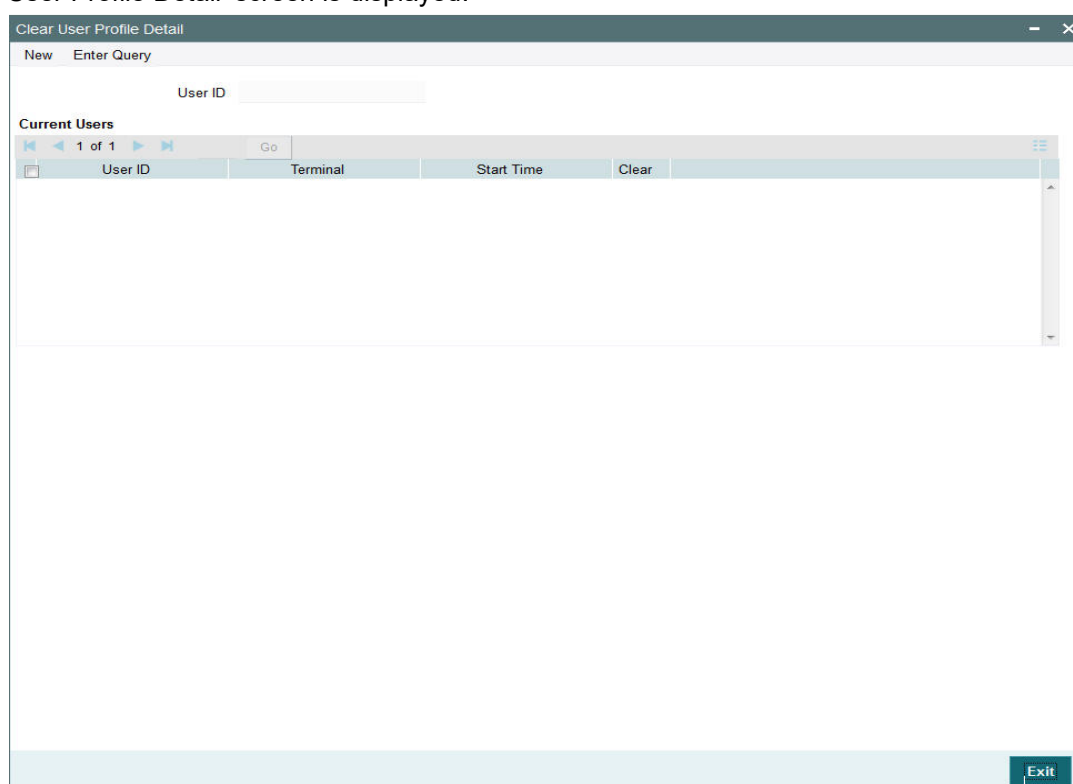
This section contains the following topics:

- [Section 2.15.1, "Invoking Clear User Profile Detail Screen"](#)

### 2.15.1 Invoking Clear User Profile Detail Screen

If a user exits the system abnormally, the administrative users can clear the logged in user profile so that the user can log in normally again

To clear a user, log in to the system as an administrative user, and type "PADCLUSR" in the field at the top right corner of the Application tool bar and click the adjoining arrow. The 'Clear User Profile Detail' screen is displayed.



#### **User ID**

##### *Display*

The system displays the user ID.

#### **Current Users**

The system displays the following values:

- User ID
- Terminal
- Start Time

## Clear

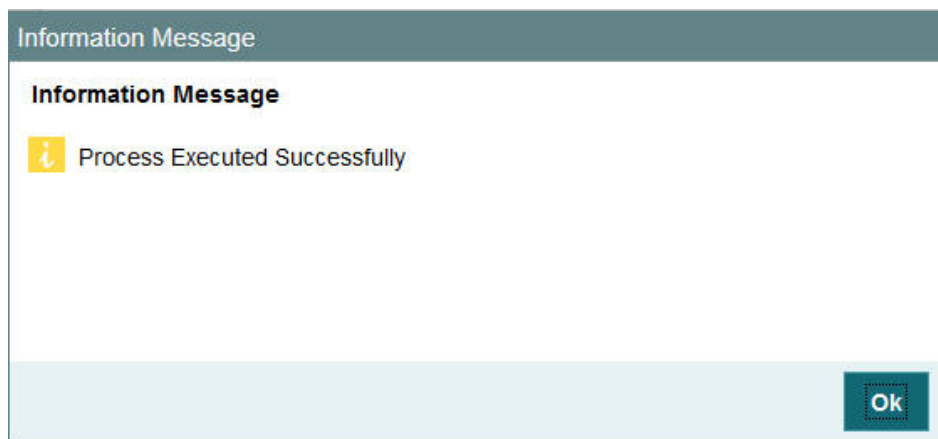
### Optional

Select if the specified user has to be cleared or not from the drop-down list. The list displays the following values:

- Yes
- No

In this screen, press F7 and select the User ID from the adjoining option list which displays the users logged in currently. After specifying the user id to be cleared, press F8. Upon pressing F8, system displays the User ID, terminal and start time information. Select the option 'Yes' from 'Clear' drop-down to clear the selected user.

Now click on the unlock icon from the toolbar menu and then click on save icon. The system will clear the selected user id and will display the Information message:



Click on OK to confirm.

To clear a user, check 'Clear' in the required row, and then click 'Clear' button.

## 2.16 Asset Class Definition

This section contains the following topics:

- [Section 2.16.1, "Invoking Asset Class Definition Detail Screen"](#)

### 2.16.1 Invoking Asset Class Definition Detail Screen

You can maintain different asset classes which are managed by the pension service provider. Assets can be either managed or held away assets. You can define an asset class using 'Asset Class Definition Detail' screen.

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

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorization Status

You can specify the following details:

### **Asset Class**

*Alphanumeric; 10 Characters; Mandatory*

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

---

#### **Note**

You need to maintain one class of type MF if it is integrated with a TA.

---

### **Asset Class Description**

*Display*

The system displays the description for the selected asset class code.

### **Settlement Required**

*Mandatory*

Select if the settlement is required for that particular asset class or not from the drop-down list. The list displays the following values:

- Yes
- No

---

#### **Note**

This field is applicable only for managed assets.

---

### **Held Away Asset**

*Mandatory*

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

- Yes
- No

## 2.17 Asset Class Definition Summary

This section contains the following topics:

- [Section 2.17.1, "Retrieving a Record in Asset Class Definition Summary Screen"](#)
- [Section 2.17.2, "Editing Asset Class Definition Record"](#)
- [Section 2.17.3, "Viewing Asset Class Definition Record"](#)
- [Section 2.17.4, "Deleting Asset Class Definition Record"](#)
- [Section 2.17.5, "Authorizing Asset Class Definition Record"](#)
- [Section 2.17.6, "Amending Asset Class Definition Record"](#)
- [Section 2.17.7, "Authorizing Amended Asset Class Definition Record"](#)

### 2.17.1 Retrieving a Record in Asset Class Definition Summary Screen

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

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

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

- Asset Class
- Asset Class Definition

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

---

**Note**

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

- Press F7
  - Input the Asset Class
  - Press F8
- 

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

### **2.17.2 Editing Asset Class Definition Record**

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

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

Click Save to save your changes. The Asset Class Definition Detail screen is closed and the changes made are reflected in the Asset Class Definition Summary screen.

### **2.17.3 Viewing Asset Class Definition Record**

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

- Invoke the Asset Class Definition 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 Asset Class Definition Detail screen is displayed in View mode.

#### **2.17.4 Deleting Asset Class Definition Record**

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

- Invoke the Asset Class Definition 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 Asset Class Definition Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **2.17.5 Authorizing Asset Class Definition Record**

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

- Invoke the Asset Class Definition 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 Asset Class Definition Detail screen is displayed. Select Authorize operation from the Action List.

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

#### **2.17.6 Amending Asset Class Definition Record**

After a Asset Class Definition 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 Asset Class Definition 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 Asset Class Definition Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

## 2.17.7 Authorizing Amended Asset Class Definition Record

An amended Asset Class Definition record must be authorized for the amendment to be made effective in the system.

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

## 2.18 Asset Maintenance Screen

This section contains the following topics:

- [Section 2.18.1, "Invoking Asset Maintenance Screen"](#)
- [Section 2.18.2, "Asset Details Tab"](#)
- [Section 2.18.3, "MF Limits and Charges Tab"](#)
- [Section 2.18.4, "Add Info Tab"](#)

### 2.18.1 Invoking Asset Maintenance Screen

You can define assets in pension module using 'Asset Maintenance' screen. You can invoke this screen by typing 'PADASMNT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Input by	DateTime	Mod No	Record Status
Authorized by	DateTime		Authorization Status

You can specify the following details:

#### **Asset ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the asset ID.

#### **Asset Name**

*Alphanumeric; 90 Characters; Optional*

Specify the name of the asset.

#### **Asset Class**

*Alphanumeric; 10 Characters; Mandatory*

Specify the asset class code. Alternatively, you can select asset class code maintained in the system. The system displays all valid asset class code maintained in the system.

## Asset Class Description

### Display

The system displays the description for the selected asset class.

## 2.18.2 Asset Details Tab

Click 'Asset Details' tab in 'Asset Maintenance Detail' screen to specify the asset details.

The screenshot shows the 'Asset Maintenance Detail' window with the 'Asset Details' tab selected. The form contains the following fields:

- Asset ID \*
- Asset Name \*
- Asset Class \*
- Asset Class Description
- Asset Base Currency \*
- Currency Description
- Metric \*
- Metric Description
- Number Of Decimals
- External System
- Remarks
- Input by
- Authorized by
- DateTime
- Mod No
- Record Status
- Authorization Status

An 'Exit' button is located in the bottom right corner of the form area.

You can specify the following details:

### Asset Base Currency

*Alphanumeric; 3 Characters; Mandatory*

Specify the asset base currency. Alternatively, you can select asset base currency code maintained in the system. The system displays all valid asset base currency code maintained in the system.

### Currency Description

#### Display

The system displays the description for the asset base currency code selected.

### Metric

*Alphanumeric; 100 Characters; Mandatory*

Specify the metric code. Alternatively, you can select metric code maintained in the system. The system displays all valid metric code maintained in the system.

### Metric Description

#### Display

The system displays the description for the selected metric code.

### Number Of Decimals

*Numeric; 12 Characters; Optional*

Specify the number of decimals allowed.



## External System

*Alphanumeric; 255 Characters; Optional*

Specify the external system details.

## Remarks

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

## 2.18.3 MF Limits and Charges Tab

Click 'MF Limits and Charges' tab in 'Asset Maintenance Detail' screen to specify the MF limits and charges details.

The screenshot shows the 'Asset Maintenance Detail' window with the 'MF limits and charges' tab selected. The form includes the following fields:

- Asset ID\* (text input)
- Asset Class\* (text input with search icon)
- Asset Name (text input)
- Asset Class Description (text input)
- Transaction Type (text input with search icon)
- Transaction Type Description (text input)
- Start Date\* (calendar icon)
- End Date\* (calendar icon)
- Min. Initial Transaction Units (text input)
- Max. Initial Transaction Units (text input)
- Minimum Units (text input)
- Maximum Units (text input)
- Step Units (text input)
- Minimum Amount (text input)
- Maximum Amount (text input)
- Step Amount (text input)
- Transaction Enabled?\* (Yes)

At the bottom, there are fields for Input by, Authorized by, DateTime, Mod No, Record Status, and Authorization Status, along with a 'Cancel' button.

You can specify the following details:

### Transaction Type

*Alphanumeric; 2 Characters; Optional*

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

### Transaction Type Description

*Display*

The system displays the description for the selected transaction type.

### Start Date

*Date Format; Mandatory*

Select the start date from the adjoining calendar.

### End Date

*Date Format; Mandatory*

Select the end date from the adjoining calendar.

### Min. Initial Transaction Units

*Numeric; 27 Characters; Optional*

Specify minimum initial transaction units.

**Max. Initial Transaction Units**

*Numeric; 27 Characters; Optional*

Specify maximum initial transaction units.

**Minimum Units**

*Numeric; 27 Characters; Optional*

Specify minimum units.

**Maximum Units**

*Numeric; 27 Characters; Optional*

Specify maximum units.

**Step Units**

*Numeric; 27 Characters; Optional*

Specify step units.

**Transaction Enabled?**

*Mandatory*

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

- Yes
- No

**Min. Initial Transaction Amount**

*Numeric; 30 Characters; Optional*

Specify minimum initial transaction amount.

**Max. Initial Transaction Amount**

*Numeric; 30 Characters; Optional*

Specify maximum initial transaction amount.

**Minimum Amount**

*Numeric; 30 Characters; Optional*

Specify minimum amount.

**Maximum Amount**

*Numeric; 30 Characters; Optional*

Specify maximum amount.

**Step Amount**

*Numeric; 30 Characters; Optional*

Specify step amount.

---

**Note**

Held-away assets Upload will be allowed only when asset maintenance is available for the asset.

---

**Load ID**

*Display*

The system displays the load ID.

## Load Description

### Display

The system displays the description of the selected load ID.

## Transaction Type

### Display

The system displays the type of transaction.

Click 'Load Details' button to invoke 'Load Maintenance Detail' screen. You can view the following load information details.

- Load ID
- Value
- Slab Sequence Number
- From Amount
- To Amount
- From Units
- To Units
- From Date
- To Date
- From Period
- To Period
- From Counter
- To Counter

## 2.18.4 Add Info Tab

Click 'Add Info' tab in 'Asset Maintenance Details' screen to specify additional information.

The screenshot shows the 'Asset Maintenance Detail' window. At the top, there is a 'Save' button. Below it are input fields for 'Asset ID \*', 'Asset Name \*', 'Asset Class \*', and 'Asset Class Description'. There are three tabs: 'Asset Details', 'MF limits and charges', and 'Add Info'. Below the tabs is a table with two columns: 'Other Info Field' and 'Field Value'. The table has one row with a checkmark in the first column and a search icon in the second. At the bottom of the window, there are labels for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorization Status', along with a 'Cancel' button.

## Other Info Field

*Alphanumeric; 100 Characters; Optional*

Specify other informations

## Field Value

*Alphanumeric; 60 Characters; Optional*

Specify the field value. Alternatively, you can select field value from the option list. The list displays all valid field values maintained in the system.

## 2.19 Asset Maintenance Summary

This section contains the following topics:

- [Section 2.19.1, "Retrieving Record in Asset Maintenance Summary Screen"](#)
- [Section 2.19.2, "Editing Asset Maintenance Record"](#)
- [Section 2.19.3, "Viewing Asset Maintenance Record"](#)
- [Section 2.19.4, "Deleting Asset Maintenance Record"](#)
- [Section 2.19.5, "Authorizing Asset Maintenance Record"](#)
- [Section 2.19.6, "Amending Asset Maintenance Record"](#)
- [Section 2.19.7, "Authorizing Amended Asset Maintenance Record"](#)

### 2.19.1 Retrieving Record in Asset Maintenance Summary Screen

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

Invoke the 'Asset Maintenance Summary' screen by typing 'PASASMNT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. You can perform the following operations in 'Asset Maintenance Summary' screen:

Asset Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Asset ID  Asset Class

Asset Name

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Asset ID	Asset Class	Asset Name
----------------------	---------------	----------	-------------	------------

Exit

Specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Asset ID
- Asset Class
- Asset Name

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

### **2.19.2 Editing Asset Maintenance Record**

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

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

### **2.19.3 Viewing Asset Maintenance Record**

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

- Invoke the Asset Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Asset Maintenance Detail screen is displayed.

### **2.19.4 Deleting Asset Maintenance Record**

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

- Invoke the Asset Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.

- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Asset Maintenance Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.19.5 Authorizing Asset Maintenance Record**

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

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

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

### **2.19.6 Amending Asset Maintenance Record**

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

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

### **2.19.7 Authorizing Amended Asset Maintenance Record**

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

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

## 2.20 Dividend and Trailer Fee Hand-off from TA to PA

This section contains the following topics:

- [Section 2.20.1, "Dividend Hand-off and Trailer Fee Hand-off"](#)

### 2.20.1 Dividend Hand-off and Trailer Fee Hand-off

Dividend and Trailer fee handoff in Pension module from TA allows you to generate relevant orders in Pension.

On allocation of Dividend and Trailer fee transactions (for pension investment accounts) in TA, the same will be handed off to Pension module using the interface ID (IF20192130001601) in TA. This allocation hand-off interface will have the allocation details of the following transactions:

#### **Dividend reinvestments**

The dividend reinvestment transactions in TA will generate investment transaction (IV) in PAS.

#### **Negative dividends**

The negative dividend transactions in TA will generate withdrawal transactions (WD) in PAS.

#### **Trailer fee redemptions**

The trailer fee transactions in TA will generate withdrawal transactions (WD) in PAS.

In Pension module, the system will import allocation details using the interface ID (IF20192130001307). The unit balance will be updated for the party.

- For the system generated dividend and trailer fee allocation details, the system generates relevant investment/ withdrawal orders
- Such orders will be stamped with the new order sub types 2 and 3

Order Type	Order sub type Value	Order sub type	PARAMCODE
IV	2	Reinvestment Transaction from TA	PASIVTXNSUBTYPE
WD	2	Periodic Fee Transaction from TA	PASWDTXNSUB-TYPE
WD	3	Negative Dividend from TA	PASWDTXNSUB-TYPE
WD	4	Pension Charge Withdrawal	PASWDTXNSUB-TYPE

---

#### **Note**

- Unit based stock dividend transactions are not applicable for pension assets
  - The system will not consider trailer fee redemptions and dividend re-investments of pension accounts for NAV correction or corporate actions in TA
  - Periodic incentive (LEP) is not supported
-

### **Trailer Fee charges**

The system will maintain trailer fee in TA. TA module will hand off trailer fee transactions details post allocations.

On importing the allocation details of the trailer fee transactions, pension module will generate the withdrawal orders. However, you cannot reverse or modify these orders both in TA and pension systems. The system supports only View mode in PAS.

The system will tag withdrawal orders generated for trailer fee transactions with order type '2' (Periodic fee Transaction from TA).

Payment mode of the generated order will be always 'Transfer' (T), even if the dividend generated with payment mode as Cash.

### **Reinvestment**

The TA system handles dividend declaration and processing. TA will hand off reinvestment transactions details post allocations.

On importing the allocation details of the re-investment transactions, pension module will generate the investment orders with the application date as the order instruction date. However, you cannot reverse or modify these orders both in TA and pension systems. The system supports only View mode in PAS.

If you need to reverse or re-process these UT transactions in TA, then the same has to be handled outside the system.

The system will tag investment orders generated for reinvestment transactions with order type '2' (Reinvestment Transaction from TA).

Payment mode of the generated order will be always 'Transfer' (T), even if the dividend generated with payment mode as Cash.

The system supports negative dividend and multiple dividends.

The system will generate withdrawal order for negative dividend, if any, and the same will be shown in withdrawal screen with the order type '3' (Negative Dividend from TA). You can search based on 'Withdrawal Order Type' to filter such orders in withdrawal summary (PASWITHD) screen.



### Sample Transaction

	TA		Pension			
	Transaction Number	Reference Number	Transaction Number	Reference Number	Order Sub Type	Description
Reinvestment	0220171100 000055	REINV	IV201500200 81509	0220171100 000055	2	Reinvestment Transaction from TA
Negative Dividend	0320171000 000010	NEGDIV	WD2015002 0000101	0320171000 000010	3	Negative Dividend from TA
Periodic Fee	0320171000 000017	PERIOD- ICADJ	WD2015002 0000102	0320171000 000017	2	Periodic Fee Transaction from TA

## **2.21 Instrument Definition**

This section contains the following topics:

- [Section 2.21.1, "Invoking Instrument Definition Screen"](#)
- [Section 2.21.2, "Basic Info Tab"](#)
- [Section 2.21.3, "Related Parties Tab"](#)
- [Section 2.21.4, "Bank Details Tab"](#)
- [Section 2.21.5, "Asset Allocation Tab"](#)
- [Section 2.21.6, "Limits Tab"](#)

### **2.21.1 Invoking Instrument Definition Screen**

You can define different instruments for investment along with limits using 'Instrument Definition' screen.

Assets need not be mapped for the instrument for which both asset class and Instrument type are not MF. The system will not validate the Asset ID passed in the upload template for Held away asset. You can use the instrument without asset for held away asset upload.

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

The screenshot shows the 'Instrument Definition' window with a 'Save' button at the top left. The main area contains several input fields and tabs. The tabs are 'Basic Info', 'Related Parties', 'Bank Details', 'Asset Allocation', and 'Limits'. The 'Basic Info' tab is active. The fields are:

- Instrument ID \* (text box)
- Instrument Name \* (text box)
- Rule Effective Date \* (calendar icon)
- Asset Class \* (text box with magnifying glass icon)
- Instrument Type \* (text box with magnifying glass icon)
- Instrument Base Currency \* (text box with magnifying glass icon)
- Instrument Base Country \* (text box with magnifying glass icon)
- Fiscal Start Date \* (calendar icon)
- Asset Class Description (text box)
- Instrument Type Description (text box)
- Base Currency Description (text box)
- Base Country Description (text box)
- Fiscal End Date \* (calendar icon)

At the bottom, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open Authorization Status', and a 'Cancel' button.

You can specify the following details:

#### **Instrument ID**

*Alphanumeric; 16 Characters; Mandatory*

Specify unique ID for an investment instrument.

#### **Instrument Name**

*Alphanumeric; 60 Characters; Mandatory*

Specify the instrument name.

#### **Rule Effective Date**

*Date Format; Mandatory*

Select the rule effective date from the adjoining calendar.

---

#### **Note**

The rule effective date cannot be back dated.

---

## 2.21.2 Basic Info Tab

Click 'Basic Info' tab in 'Instrument Definition' screen to specify the basic information.

The screenshot shows the 'Instrument Definition' window with the 'Basic Info' tab selected. The form contains the following fields:

- Instrument ID \* (text input)
- Instrument Name \* (text input)
- Rule Effective Date \* (date picker)
- Asset Class \* (dropdown with search icon)
- Instrument Type \* (dropdown with search icon)
- Instrument Base Currency \* (dropdown with search icon)
- Instrument Base Country \* (dropdown with search icon)
- Fiscal Start Date \* (date picker)
- Fiscal End Date \* (date picker)
- Asset Class Description (text input)
- Instrument Type Description (text input)
- Base Currency Description (text input)
- Base Country Description (text input)

At the bottom of the window, there is a metadata section with the following labels: Input by, Authorized by, DateTime, Mod No, Open, Authorization Status. A 'Cancel' button is located at the bottom right.

You can specify the following details:

### Asset Class

*Alphanumeric; 10 Characters; Mandatory*

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

### Asset Class Description

*Display*

The system displays the description for the selected asset class code.

### Instrument Type

*Alphanumeric; 3 Characters; Mandatory*

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

---

### Note

Asset class and Instrument type should be set to MF if it is integrated with a TA

---

### **Instrument Type Description**

*Display*

The system displays the description for the selected instrument type.

### **Instrument Base Currency**

*Alphanumeric; 3 Characters; Mandatory*

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

### **Base Currency Description**

*Display*

The system displays the description for the selected instrument base currency.

### **Instrument Base Country**

*Alphanumeric; 3 Characters; Mandatory*

Specify the instrument base country. Alternatively, you can select instrument base country from the option list. The list displays all valid instrument base country maintained in the system.

### **Base Country Description**

*Display*

The system displays the description for the selected instrument base country.

### **Fiscal Start Date**

*Date Format; Mandatory*

Select the financial year start date from the adjoining calendar.

### **Fiscal End Date**

*Date Format; Mandatory*

Select the financial year end date from the adjoining calendar.

## **2.21.3 Related Parties Tab**

You can maintain related parties like trustee, custodian etc as parties in the system through party maintenance and also assign appropriate roles through party role maintenance system.

You can capture instrument administrator as related party and there can be only one instrument administrator mapped to the instrument. If more than one instrument administrator is attached to an instrument, then the system displays an error message.

Click 'Related Parties' tab in 'Instrument Definition' screen to specify related parties details.

The screenshot shows the 'Instrument Definition' application window. At the top, there is a 'Save' button. Below it are input fields for 'Instrument ID \*', 'Instrument Name \*', and 'Rule Effective Date \*'. A navigation bar contains tabs for 'Basic Info', 'Related Parties' (which is selected), 'Bank Details', 'Asset Allocation', and 'Limits'. A table with the following columns is displayed: 'Role ID', 'Role Description', 'Party ID', and 'Party Description'. The table currently contains one row with a checkmark in the first column. At the bottom of the window, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open Authorization Status', and a 'Cancel' button.

You can specify the following details:

#### **Role ID**

*Alphanumeric; 2 Characters; Optional*

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

#### **Role Description**

*Display*

The system displays the description for the selected role ID.

#### **Party ID**

*Alphanumeric; 16 Characters; Optional*

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

#### **Party Description**

*Display*

The system displays the description for the selected party ID.

### **2.21.4 Bank Details Tab**

You can capture bank details of instrument administrators bank accounts with account currency matching instrument currency as Instrument Bank account.

Click 'Bank Details' tab in 'Instrument Definition' screen to specify bank details of instrument administrators.

The screenshot shows the 'Instrument Definition' window with the 'Bank Details' tab selected. At the top, there are input fields for 'Instrument ID \*', 'Rule Effective Date \*', and 'Instrument Name \*'. Below these are navigation tabs: 'Basic Info', 'Related Parties', 'Bank Details' (highlighted), 'Asset Allocation', and 'Limits'. A table below the tabs has a single row with the following data:

Bank Reference Number *	Default *
	Yes

At the bottom of the window, there are labels for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorization Status', along with a 'Cancel' button.

You can specify the following details:

### **Bank Reference Number**

*Alphanumeric; 16 Characters; Mandatory*

Specify the unique reference number of bank account. Alternatively, you can select bank reference number from the option list. The list displays all valid bank reference number of the instrument administrator in instrument currency.

### **Default**

*Mandatory*

Select 'Yes' option from the drop-down list to default bank account details. Else select 'No'.

## **2.21.5 Asset Allocation Tab**

You can maintain underlying assets with investment ratio for the instrument. The system lists the fees/ charges applicable for each assets. You cannot remove an asset from the instrument if it is part of investment portfolio. You need to remove the same from portfolio mapping and then remove from instrument.

If an asset is added with over-ridable as 'No', the system will add an asset to the portfolio where the instrument is associated. This is done on authorisation of the instrument. If an asset is added to an instrument with over-ridable investment ratio as 'Yes', system will not propagate the same to portfolio mapping, the same needs to be operationally handled.

An Instrument will have same fiscal start year and end year. The system will tag assets from TA with the asset class 'MF'.

Click 'Asset Allocation' tab in 'Instrument Definition' screen to specify asset allocation details.

The screenshot shows the 'Instrument Definition' application window. At the top, there is a 'Save' button and two input fields: 'Instrument ID \*' and 'Instrument Name \*'. Below these is a 'Rule Effective Date \*' field with a calendar icon. A horizontal tab bar contains 'Basic Info', 'Related Parties', 'Bank Details', 'Asset Allocation' (highlighted in red), and 'Limits'. Below the tabs is a table with the following columns: 'Asset ID \*', 'Asset Name', 'Ratio', 'Default \*', and 'Override \*'. The 'Default \*' and 'Override \*' columns have 'Yes' dropdown menus. Below the table is a blue 'Asset Details' button. At the bottom of the window, there are several fields: 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorized'. A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

**Asset ID**

*Alphanumeric; 16 Characters; Mandatory*

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

**Asset Name**

*Display*

The system displays the name of the selected asset ID.

**Ratio**

*Numeric; 3 Characters; Optional*

Specify the investment ratio for the asset.

**Default**

*Mandatory*

Select 'Yes' option from drop-down list to default asset allocation details. Else select 'No'.

## Override

### Mandatory

Select 'Yes' option from drop-down list to override the asset ratio. Else select 'No'.

---

### Note

Asset ratio override is applicable for default investment ratio only.

---

## 2.21.5.1 Asset Details Button

After specifying all the mandatory details, click 'Asset Details' button to view the asset details. The following window is displayed:

The screenshot shows a window titled "Asset Details" with a close button (X) in the top right corner. The window contains several sections:

- Asset Details:** A form with the following fields:
  - Asset ID: \_\_\_\_\_
  - Transaction Type: \_\_\_\_\_
  - Start Date: \_\_\_\_\_
  - End Date: \_\_\_\_\_
  - Minimum Amount: .01
  - Maximum Amount: 99999999
  - Minimum Units: .001
  - Maximum Units: 999999999
  - Min. Initial Transaction Amount: .01
  - Max. Initial Transaction Amount: 99999999
  - Min. Initial Transaction Units: .001
  - Max. Initial Transaction Units: 99999999
  - Step Amount: .01
  - Step Units: .001
  - Transaction Enabled?: 1
- Asset Load details:** A table with columns: Load ID, Load Description, Transaction Type. It shows one row with a checkmark in the first column and a blue question mark icon in the second column. Navigation: 1 of 1, Go.
- Load Details:** A table with columns: Load ID, Slab Sequence No, From Amount, To Amount, From Units. It shows one row with a checkmark in the first column. Navigation: 1 of 1, Go.

A "Cancel" button is located at the bottom right of the window.

The system displays the following details:

- Asset ID
- Start Date
- Minimum Amount
- Minimum Units
- Minimum Initial Transaction Amount
- Minimum Initial Transaction Units
- Step Amount
- Transaction Enabled?



- Transaction Type
- End Date
- Maximum Amount
- Maximum Units
- Maximum Initial Transaction Amount
- Maximum Initial Transaction Units
- Step Units

**Asset Load Details**

- Load ID
- Load Description
- Transaction Type

**Load Details**

- Load ID
- Slab Sequence No
- From Amount
- To Amount
- From Units
- To Units
- From Date
- To Date
- From Period
- To Period
- From Counter
- To Counter
- Load Value

## 2.21.6 Limits Tab

Click 'Limits' tab in 'Instrument Definition' screen to specify limits details.

Instrument Definition

Save

Instrument ID \*

Instrument Name \*

Rule Effective Date \*

Basic Info | Related Parties | Bank Details | Asset Allocation | **Limits**

Minimum Initial Investment

Minimum Subsequent Contribution Amount

Minimum age

Maximum age

Maximum Initial Investment

Maximum Subsequent Contribution Amount

Minimum Contribution Amount Per Fiscal

Maximum Contribution Amount Per Fiscal

Input by	DateTime	Mod No	Record Status	Cancel
Authorized by	DateTime		Authorization Status	

You can specify the following details:

### **Minimum Initial Investment**

*Numeric; 18 Characters; Optional*

Specify the minimum initial investment amount.

### **Maximum Initial Investment**

*Numeric; 18 Characters; Optional*

Specify the maximum initial investment amount.

### **Minimum Subsequent Contribution Amount**

*Numeric; 18 Characters; Optional*

Specify the minimum amount for subsequent contribution.

### **Maximum Subsequent Contribution Amount**

*Numeric; 18 Characters; Optional*

Specify the maximum amount for subsequent contribution.

**Minimum age**

*Numeric; 3 Characters; Optional*

Specify the minimum age for investment.

**Maximum age**

*Numeric; 3 Characters; Optional*

Specify the maximum age for investment.

**Minimum Contribution Amount Per Fiscal**

*Numeric; 18 Characters; Optional*

Specify the minimum contribution amount allowed per fiscal.

**Maximum Contribution Amount Per Fiscal**

*Numeric; 18 Characters; Optional*

Specify the maximum contribution amount allowed per fiscal.

## **2.22 Instrument Definition Summary**

This section contains the following topics:

- [Section 2.22.1, "Retrieving a Record in Instrument Definition Summary Screen"](#)
- [Section 2.22.2, "Editing Instrument Definition Record"](#)
- [Section 2.22.3, "Viewing Instrument Definition Record"](#)
- [Section 2.22.4, "Deleting Instrument Definition Record"](#)
- [Section 2.22.5, "Authorizing Instrument Definition Record"](#)
- [Section 2.22.6, "Amending Instrument Definition Record"](#)
- [Section 2.22.7, "Authorizing Amended Instrument Definition Record"](#)

### **2.22.1 Retrieving a Record in Instrument Definition Summary Screen**

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

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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Instrument ID
- Rule Effective Date
- Instrument Type
- Instrument Base Currency
- Instrument Name
- Latest Rule
- Asset Class

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

---

**Note**

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

- Press F7

- Input the Instrument ID
  - Press F8
- 

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

### **2.22.2 Editing Instrument Definition Record**

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

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

Click Save to save your changes. The Instrument Definition Detail screen is closed and the changes made are reflected in the Instrument Definition Summary screen.

### **2.22.3 Viewing Instrument Definition Record**

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

- Invoke the Instrument Definition 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 Instrument Definition Detail screen is displayed in View mode.

### **2.22.4 Deleting Instrument Definition Record**

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

- Invoke the Instrument Definition 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 Instrument Definition Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.22.5 Authorizing Instrument Definition Record**

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

- Invoke the Instrument Definition 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 Instrument Definition Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.22.6 Amending Instrument Definition Record**

After a Instrument Definition 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 Instrument Definition 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 Instrument Definition Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.22.7 Authorizing Amended Instrument Definition Record**

An amended Instrument Definition record must be authorized for the amendment to be made effective in the system.

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

## **2.23 Rebalance Rule Mapping Detail**

This section contains the following topics:

- [Section 2.23.1, "Invoking Rebalance Rule Mapping Detail Screen"](#)

## 2.23.1 Invoking Rebalance Rule Mapping Detail Screen

You can map the portfolios which needs to be re-balanced based on the selected Rule ID using 'Rebalance Rule Mapping Detail' screen. you can map actual portfolios (not model portfolios) to rebalance rules. The mapped Party-Portfolio-Account should be unique in the portfolio mapping grid, duplicate entries not allowed

Age based rules can be mapped to 'Individual' parties only, if corporate parties are mapped to age based rule, system will display the below error message

E-INVPARTYID - Age base rule can be mapped to individual parties only

Same portfolio-party combination cannot be repeated, if any duplicate entries found in mapping system will display the below error message

E-INVPFDET - Rule Mapping already done for Portfolio <Portfolio ID> for Party ID <Party ID>

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

Rebalance Rule Mapping Detail

Execute Query

Rebalance Rule ID \*  Rebalance Rule Description

Portfolio ID	Party ID	Party Name	Account ID

Input by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Mod No: \_\_\_\_\_ Record Status: \_\_\_\_\_  
Authorized by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Authorization Status: \_\_\_\_\_

You can specify the following details:

### **Rebalance Rule ID**

*Alphanumeric; 16 Characters; Mandatory*

Specify the rebalance rule ID.

### **Rebalance Rule Description**

*Display*

The system displays the description for the specified rebalance rule ID.

### **Portfolio ID**

*Alphanumeric; 16 Characters; Optional*

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

---

**Note**

You can map only actual portfolios (not model portfolios) to rebalance rules

**Party ID***Display*

The system displays the party ID.

---

**Note**

You cannot repeat same portfolio-party combination. If any duplicate entries are found in mapping, then the system will display an error message as 'E-INVPFDET - Rule Mapping already done for Portfolio <Portfolio ID> for Party ID <Party ID>'

---

**Party Name***Display*

The system displays the party name.

**Account ID***Display*

The system displays the account ID.

## **2.24 Rebalance Rule Mapping Summary**

This section contains the following topics:

- [Section 2.24.1, "Retrieving a Record in Rebalance Rule Mapping Summary Screen"](#)
- [Section 2.24.2, "Editing Rebalance Rule Mapping Record"](#)
- [Section 2.24.3, "Viewing Rebalance Rule Mapping Record"](#)
- [Section 2.24.4, "Deleting Rebalance Rule Mapping Record"](#)
- [Section 2.24.5, "Authorizing Rebalance Rule Mapping Record"](#)
- [Section 2.24.6, "Amending Rebalance Rule Mapping Record"](#)
- [Section 2.24.7, "Authorizing Amended Rebalance Rule Mapping Record"](#)

### **2.24.1 Retrieving a Record in Rebalance Rule Mapping Summary Screen**

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



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

Rebalance Rule Mapping Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Rebalance Rule ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Rebalance Rule ID
----------------------	---------------	-------------------

Exit

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

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

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

- Press F7
- Input Rebalance Rule ID
- Press F8

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

## **2.24.2 Editing Rebalance Rule Mapping Record**

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

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

Click Save to save your changes. The Rebalance Rule Mapping Detail screen is closed and the changes made are reflected in the Rebalance Rule Mapping Summary screen.

## **2.24.3 Viewing Rebalance Rule Mapping Record**

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

- Invoke the Rebalance Rule Mapping 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 Rebalance Rule Mapping Detail screen is displayed in View mode.

## **2.24.4 Deleting Rebalance Rule Mapping Record**

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

- Invoke the Rebalance Rule Mapping 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 Rebalance Rule Mapping Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.24.5 Authorizing Rebalance Rule Mapping Record**

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

- Invoke the Rebalance Rule Mapping 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 Rebalance Rule Mapping Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.24.6 Amending Rebalance Rule Mapping Record**

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

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

### **2.24.7 Authorizing Amended Rebalance Rule Mapping Record**

An amended Rebalance Rule Mapping record must be authorized for the amendment to be made effective in the system.

## **2.25 Portfolio Type Maintenance**

This section contains the following topics:

- [Section 2.25.1, "Invoking Portfolio Type Maintenance Screen"](#)
- [Section 2.25.2, "Basic Details Tab"](#)
- [Section 2.25.3, "Restriction Tab"](#)
- [Section 2.25.4, "Age Based Limits Tab"](#)

## 2.25.1 Invoking Portfolio Type Maintenance Screen

You can create portfolio types required using 'Portfolio Type Maintenance' screen. You can define basic rules for each portfolio type. You can invoke this screen by typing 'PADPFTYP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Portfolio Type Maintenance

Save

Portfolio Type\*

Portfolio Type Description\*

Basic Details Restrictions Age based Limits

Limit Currency

Limit Currency Description

Minimum Contribution per Fiscal Year

Max Contribution per Fiscal Year

Lock in Applicable

Lock in Period in Days

Input by

Authorized by

DateTime

Mod No

Record Status

Authorization Status

Cancel

You can specify the following details:

### Portfolio Type

*Alphanumeric; 16 Characters; Mandatory*

Specify the type of portfolio.

### Portfolio Type Description

*Alphanumeric; 60 Characters; Mandatory*

Specify the description for the selected portfolio type.

## 2.25.2 Basic Details Tab

Click 'Basic Details' tab in 'Portfolio Type Maintenance' screen to specify the basic details.

The screenshot shows the 'Portfolio Type Maintenance' window with the 'Basic Details' tab selected. The window title is 'Portfolio Type Maintenance' and it has a 'Save' button at the top left. The form contains the following fields:

- Portfolio Type \***: Text input field.
- Portfolio Type Description \***: Text input field with a help icon.
- Basic Details**: Selected tab.
- Restrictions**: Tab.
- Age based Limits**: Tab.
- Limit Currency**: Text input field with a help icon.
- Limit Currency Description**: Text input field.
- Minimum Contribution per Fiscal Year**: Text input field.
- Max Contribution per Fiscal Year**: Text input field.
- Lock in Applicable**: Drop-down menu with 'No' selected.
- Lock in Period in Days**: Text input field.

At the bottom of the window, there is a metadata section with the following fields:

- Input by**: Text input field.
- Authorized by**: Text input field.
- DateTime**: Text input field.
- Mod No**: Text input field.
- Record Status**: Text input field.
- Authorization Status**: Text input field.
- Cancel**: Button.

You can specify the following details:

### Limit Currency

*Alphanumeric; 3 Characters; Optional*

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

### Limit Currency Description

*Display*

The system displays the description for the selected limit currency.

### Minimum Contribution per Fiscal Year

*Numeric; 18 Characters; Optional*

Specify the minimum contribution made per fiscal year.

### Max Contribution per Fiscal Year

*Numeric; 18 Characters; Optional*

Specify the maximum contribution made per fiscal year.

### Lock in Applicable

*Optional*

Select if lock in is applicable or not from the drop-down list. The list displays the following values:

- Yes
- No

---

### Note

The system will refer the calendar days for a particular limit period.

---

## Lock in Period in Days

*Numeric; 22 Characters; Optional*

Specify the lock in period in number of days format.

You need to specify this value if 'Lock in Applicable' field is set to 'Yes'.

### 2.25.3 Restriction Tab

Click 'Restrictions' tab in 'Portfolio Type Maintenance' screen to specify the switch and redemption details.

The screenshot shows the 'Portfolio Type Maintenance' window with the 'Restrictions' tab selected. The window title is 'Portfolio Type Maintenance' and it has a 'Save' button at the top left. The main area contains two columns of fields. The left column includes: 'Portfolio Type \*' (text input), 'Basic Details' (tab), 'Restrictions' (active tab), 'Age based Limits' (tab), 'Switching Allowed' (Yes/No dropdown), 'No of Switches Allowed' (text input), 'Switch Limit Period' (text input with a search icon), and 'Switch Limit Period Description' (text area). The right column includes: 'Portfolio Type Description \*' (text input with a search icon), 'Redemption Allowed' (Yes/No dropdown), 'No of Redemptions Allowed' (text input), 'Redemption Limit Period' (text input with a search icon), and 'Redemption Limit Period Description' (text area). At the bottom, there is a metadata section with fields for 'Input by', 'DateTime', 'Mod No', 'Record Status', 'Authorized by', and 'Authorization Status'. A 'Cancel' button is located at the bottom right.

You can specify the following details:

#### **Switching Allowed**

*Optional*

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

- Yes
- No

#### **No of Switches allowed**

*Numeric; Optional*

Specify the number of switches allowed in portfolio type maintenance.

#### **Switch Limit Period**

*Alphanumeric; 1 Character; Optional*

Specify the switch limit period. Alternatively, you can select switch limit period from the option list. The list displays all valid switch limit period maintained in the system.

You need to specify 'Number of Switches Allowed' and 'Switch Limit Period' should be specified if you have selected 'Switching Allowed' as Yes.

#### **Switch Limit Period Description**

*Display*

The system displays the description of the selected switch limit period.

## Redemption Allowed

*Optional*

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

- Yes
- No

## No of Redemptions Allowed

*Numeric; 22 Characters; Optional*

Specify the number of redemption allowed in portfolio type maintenance.

## Redemption Limit Period

*Alphanumeric; 1 Character; Optional*

Specify the redemption limit period. Alternatively, you can select redemption limit period from the option list. The list displays all valid redemption limit period maintained in the system.

You need to specify 'Number of Redemptions Allowed' and 'Redemption Limit Period' should be specified if you have selected 'Redemption Allowed' as Yes.

## Redemption Limit Period Description

*Display*

The system displays the description of the selected redemption limit period.

## 2.25.4 Age Based Limits Tab

Click 'Age Based Limits' tab in 'Portfolio Type Maintenance' screen to specify age based limits details.

The screenshot shows the 'Portfolio Type Maintenance' application window. At the top, there is a 'Save' button. Below it are two text input fields: 'Portfolio Type \*' and 'Portfolio Type Description \*'. The 'Age based Limits' tab is selected, indicated by a red background. Under this tab, there are six input fields: 'Minimum Age For Entry', 'Minimum Age For Exit', 'Default Preservation Age', 'Maximum Age For Entry', and 'Maximum Age For exit'. Below the input fields is a table with columns: 'From DOB \*', 'To DOB', and 'Preservation Age \*'. The table has one row with a checkmark in the first column and empty cells in the others. At the bottom of the screen, there is a footer area with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorization Status'. A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

### Minimum Age for Entry

*Numeric; 3 Characters; Optional*

Specify the minimum age to start investment.

**Maximum Age for Entry**

*Numeric; 3 Characters; Optional*

Specify the maximum age to start investment.

**Minimum Age for Exit**

*Numeric; 3 Characters; Optional*

Specify the minimum age to exit from investment.

**Maximum Age for Exit**

*Numeric; 3 Characters; Optional*

Specify the maximum age to exit from investment.

**Default Preservation Age**

*Numeric; 3 Characters; Optional*

Specify the default preservation age for pension type portfolio.

**From DOB**

*Date Format; Mandatory*

Select From date of birth from the adjoining calendar.

**To DOB**

*Date Format; Optional*

Select To date of birth from the adjoining calendar.

**Preservation Age**

*Numeric; 3 Characters; Mandatory*

Specify the preservation age for pension type portfolio.

## **2.26 Portfolio Type Maintenance Summary**

This section contains the following topic:

- [Section 2.26.1, "Retrieving a Record in Portfolio Type Maintenance Summary Screen"](#)
- [Section 2.26.2, "Editing Portfolio Type Maintenance Record"](#)
- [Section 2.26.3, "Viewing Portfolio Type Maintenance Record"](#)
- [Section 2.26.4, "Deleting Portfolio Type Maintenance Record"](#)
- [Section 2.26.5, "Authorizing Portfolio Type Maintenance Record"](#)
- [Section 2.26.6, "Amending Portfolio Type Maintenance Record"](#)
- [Section 2.26.7, "Authorizing Amended Portfolio Type Maintenance Record"](#)

### **2.26.1 Retrieving a Record in Portfolio Type Maintenance Summary Screen**

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



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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Portfolio Type
- Portfolio Type Description

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

---

#### Note

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

- Press F7
  - Input the Portfolio Type
  - Press F8
- 

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

## 2.26.2 Editing Portfolio Type Maintenance Record

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

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

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

## 2.26.3 Viewing Portfolio Type Maintenance Record

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

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

## 2.26.4 Deleting Portfolio Type Maintenance Record

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

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

## **2.26.5 Authorizing Portfolio Type Maintenance Record**

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

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

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

## **2.26.6 Amending Portfolio Type Maintenance Record**

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

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

## **2.26.7 Authorizing Amended Portfolio Type Maintenance Record**

An amended Portfolio Type Maintenance record must be authorized for the amendment to be made effective in the system.

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

## **2.27 Portfolio Definition**

This section contains the following topics

- [Section 2.27.1, "Invoking Portfolio Definition Screen"](#)
- [Section 2.27.2, "Preferences Button"](#)

### **2.27.1 Invoking Portfolio Definition Screen**

You can define the portfolio and map instruments under portfolio using 'Portfolio Definition' screen. The system defaults the rules and limits from 'Portfolio Type Maintenance' screen. However, you can override the same at portfolio level.

You can invoke 'Portfolio Definition' screen by typing 'PADPFDN' 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:

### **Portfolio Type**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Portfolio Type Description**

*Display*

The system displays the description for the selected portfolio type.

### **Portfolio ID**

*Alphanumeric; 16 Characters; Mandatory*

Specify the portfolio ID.

### **Portfolio Description**

*Alphanumeric; 60 Characters; Mandatory*

Specify the description for the selected portfolio ID.

### **Model Portfolio**

*Mandatory*

Select if the portfolio defined is model portfolio or not from the drop-down list. The list displays the following values:

- Yes

- No

## **Instrument Details**

### **Instrument ID**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Instrument Name**

*Display*

The system displays the name of the selected instrument ID.

### **Instrument Ratio**

*Number; 3 Characters; Optional*

Specify the instrument ratio for the instrument split up.

For the model portfolios, Instruments selected should be provided with ratio. Ratio is mandatory for all the instruments. Also, ensure that the sum of ratio is equal to 100

If ratio is not equal to 100, then the system will display an error message as 'E-INVSUMRATIO - Sum of the Instrument ratio should be 100'.

If ratio is blank for any instrument then the system displays an error message as 'E-MODELPFRATIO - Model Portfolio Ratio cannot be null'

For normal portfolios, Instrument ratio is not mandatory. However, the sum of ratio should be equal to 100.

The system defaults asset details of the selected instrument from instrument definition by clicking 'Asset Details' button. The following details are displayed:

- Asset ID
- Asset Name
- Ratio
- Override

If asset details are already populated, system will display an information message as 'Asset details will be defaulted'. You can remove the defaulted asset details. However, you cannot add the same.

You can change the value in 'Ratio' field, only if 'Override' field is set as 'Yes' at instrument definition level, else you will not be allowed to change the defaulted ratio.

For each instrument, asset details should be captured, else system will display an error message as 'E-ASSETREQ - Asset details should be entered for the instrument <Instrument ID>'.

The sum of asset ratio for an instrument should be equal to 100 for both model and normal portfolios.

The system will clear the assets of the selected instrument by clicking 'Reset' button. The system will display a warning message as 'Asset details will be cleared', before clearing the data.'

---

**Note**

Instruments and assets of model portfolio is not amendable if model portfolio is mapped to any party. If you try to amend a model portfolio which is already mapped to a party, then the system will display an error message as 'E-MPMAPPED - Model portfolio already mapped to a party, cannot modify'

### 2.27.2 Preferences Button

This section is applicable for normal portfolios only. The system displays an error message if you try to open the same for a 'Model Portfolio'.

Click 'Preferences' button in 'Portfolio Definition' screen. The 'Preferences' screen is displayed..

Preferences

Portfolio ID

Basic Details Restrictions Age based Limits Rules

Limit Currency

Limit Currency Description

Minimum Contribution per Fiscal Year

Max Contribution per Fiscal Year

Lock in Applicable No

Ok Cancel

You can specify the following details:

**Portfolio ID***Display*

The system displays the portfolio ID mentioned in 'Portfolio Definition' screen.

## 2.27.2.1 Basic Details Tab

Click 'Basic Details' tab in 'Preferences' screen to specify the basic information..

Preferences

Portfolio ID

Basic Details Restrictions Age based Limits Rules

Limit Currency

Limit Currency Description

Minimum Contribution per Fiscal Year

Max Contribution per Fiscal Year

Lock in Period in Days

Lock in Applicable No

Ok Cancel

You can specify the following details:

### Limit Currency

*Alphanumeric; 3 Characters; Optional*

The system displays the limit currency code based on the details mentioned in 'Portfolio Definition' screen. However, you can amend this value. You can also select limit currency code from the option list. The list displays all valid limit currency code maintained in the system.

### Limit Currency Description

*Display*

The system displays the description of the selected limit currency code.

### Minimum Contribution per Fiscal Year

*Numeric; 18 Characters; Optional*

The system displays the minimum contribution done per fiscal year. However, you can amend this value.

### Maximum Contribution per Fiscal Year

*Numeric; 18 Characters; Optional*

The system displays the maximum contribution done per fiscal year. However, you can amend this value.

### Lock in Applicable

*Optional*

Select if lock in is applicable or not from the drop-down list. The list displays the following values:

- Yes
- No

---

**Note**

The system will refer the calendar days for a particular limit period.

---

**Lock in Period in Days**

*Numeric; 22 Characters; Optional*

Specify the lock in period in days.

You need to specify this value if 'Lock in Applicable' field is set to 'Yes'.

**2.27.2.2 Restrictions Tab**

Click 'Restrictions' tab in 'Preferences' screen to specify the switch and redemption details.

The screenshot shows a 'Preferences' dialog box with a title bar and a close button (X). The dialog is divided into several tabs: 'Basic Details', 'Restrictions' (highlighted in red), 'Age based Limits', and 'Rules'. The 'Restrictions' tab contains two columns of fields. The left column includes: 'Switching Allowed' with a dropdown menu set to 'Yes', 'No of Switches Allowed' with a text input field, 'Switch Limit Period' with a text input field and a search icon, and 'Switch Limit Period Description' with a text input field. The right column includes: 'Redemption Allowed' with a dropdown menu set to 'Yes', 'No of Redemptions Allowed' with a text input field, 'Redemption Limit Period' with a text input field and a search icon, and 'Redemption Limit Period Description' with a text input field. At the bottom right of the dialog, there are 'Ok' and 'Cancel' buttons.

You can specify the following details:

**Switching Allowed**

*Optional*

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

- Yes
- No

**No of Switches Allowed**

*Numeric; Optional*

The system displays the number of switches allowed in portfolio type maintenance. However, you can amend this value.

**Switch Limit Period**

*Alphanumeric; 1 Character; Optional*

The system displays the number of switches allowed in portfolio type maintenance. However, you can amend this value. You can select switch limit period from the option list. The list displays all valid switch limit period maintained in the system.



You need to specify 'Number of Switches Allowed' and 'Switch Limit Period' should be specified if you have selected 'Switching Allowed' as Yes.

### Switch Limit Period Description

#### Display

The system displays the description of the selected switch limit period.

### Redemption Allowed

#### Optional

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

- Yes
- No

### No of Redemptions Allowed

#### Numeric; 22 Characters; Optional

The system displays the number of redemptions allowed in portfolio type maintenance. However, you can amend this value.

### Redemption Limit Period

#### Alphanumeric; 1 Character; Optional

The system displays the redemption limit period. However, you can amend this value. You can select redemption limit period from the option list. The list displays all valid redemption limit period maintained in the system.

You need to specify 'Number of Redemptions Allowed' and 'Redemption Limit Period' should be specified if you have selected 'Redemption Allowed' as Yes.

### Redemption Limit Period Description

#### Display

The system displays the description of the selected redemption limit period.

## 2.27.2.3 Age Based Limits Tab

Click 'Age Based Limits' tab in 'Preferences' screen to specify age based limits details.

The screenshot shows the 'Preferences' window with the 'Age based Limits' tab selected. The 'Portfolio ID' field is at the top. Below it are tabs for 'Basic Details', 'Restrictions', 'Age based Limits', and 'Rules'. The 'Age based Limits' tab contains several input fields: 'Minimum Age For Entry', 'Minimum Age For Exit', 'Default Preservation Age', 'Maximum Age For Entry', and 'Maximum Age For exit'. At the bottom, there is a table with columns 'From DOB', 'To DOB', and 'Preservation Age'. The table has one row with a checkmark in the first column and a plus icon in the second column. The 'Preservation Age' column is marked with an asterisk. The table is currently empty. At the bottom right of the window are 'Ok' and 'Cancel' buttons.

You can specify the following details:

**Minimum Age for Entry**

*Numeric; 3 Characters; Optional*

The system displays the minimum age to start investment. However, you can amend this value.

**Maximum Age for Entry**

*Numeric; 3 Characters; Optional*

The system displays the maximum age to start investment. However, you can amend this value.

**Minimum Age for Exit**

*Numeric; 3 Characters; Optional*

The system displays the minimum age to exit from investment. However, you can amend this value.

**Maximum Age for Exit**

*Numeric; 3 Characters; Optional*

The system displays the maximum age to exit from investment. However, you can amend this value.

**Default Preservation Age**

*Numeric; 3 Characters; Optional*

The system displays the default preservation age for pension type portfolio. However, you can amend this value.

**From DOB**

*Date Format; Mandatory*

The system displays From date of birth. However, you can amend this value.

**To DOB**

*Date Format; Optional*

The system displays To date of birth. However, you can amend this value.

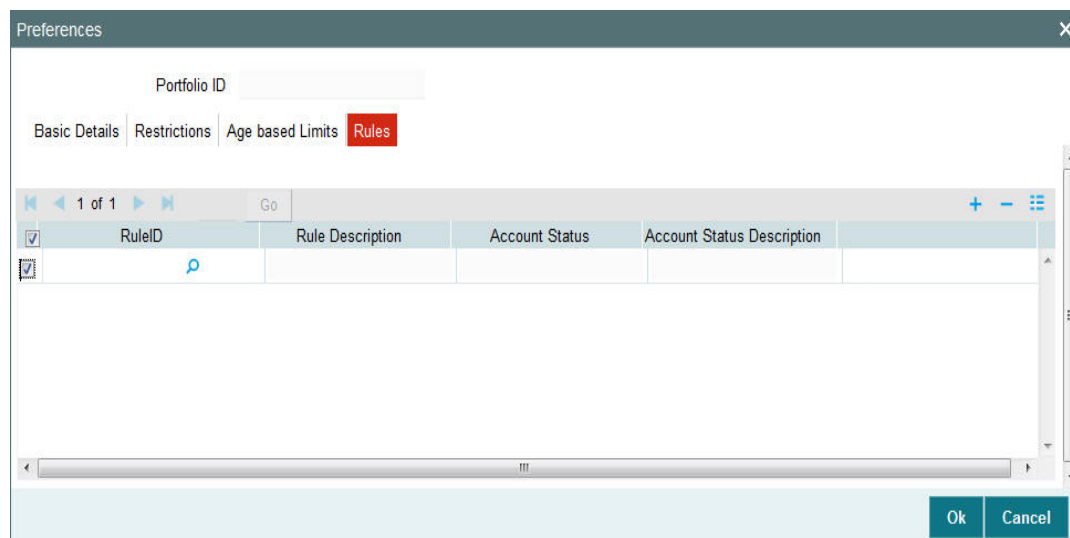
**Preservation Age**

*Numeric; 3 Characters; Mandatory*

The system the preservation age for pension type portfolio. However, you can amend this value.

## 2.27.2.4 Rules Tab

Click 'Rules' tab in 'Preferences' screen to specify the rules.



You can specify the following details:

### **Rule ID**

*Alphanumeric; 16 Characters; Optional*

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

### **Rule Description**

*Display*

The system displays the description of the selected rule ID.

### **Account Status**

*Display*

The system displays the account status based on the rule ID selected.

### **Account Status Description**

*Display*

The system displays the description of the account status based on the rule ID selected.

## 2.28 Portfolio Definition Summary

This section contains the following topics

- [Section 2.28.1, "Retrieving a Record in Portfolio Definition Summary Screen"](#)
- [Section 2.28.2, "Editing Portfolio Definition Record"](#)
- [Section 2.28.3, "Viewing Portfolio Definition Record"](#)
- [Section 2.28.4, "Deleting Portfolio Definition Record"](#)
- [Section 2.28.5, "Authorizing Portfolio Definition Record"](#)
- [Section 2.28.6, "Amending Portfolio Definition Record"](#)
- [Section 2.28.7, "Authorizing Amended Portfolio Definition Record"](#)

## 2.28.1 Retrieving a Record in Portfolio Definition Summary Screen

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

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

The screenshot shows the 'Portfolio Definition Summary' application window. At the top, there are search options: 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this is a section titled 'Search Is Case Sensitive'. The search filters include: 'Authorization Status' (a dropdown menu), 'Record Status' (a dropdown menu), 'Portfolio Type' (a text input field with a magnifying glass icon), 'Portfolio ID' (a text input field with a magnifying glass icon), 'Portfolio Description' (a text input field with a magnifying glass icon), and 'Model Portfolio' (a dropdown menu). Below the filters is a table control showing 'Records per page' set to 15, '1 of 1' records, a 'Go' button, and 'Lock Columns' set to 0. The table has a header row with columns: 'Authorization Status', 'Record Status', 'Portfolio Type', 'Portfolio ID', 'Portfolio Description', and 'Model Portfolio'. The table body is currently empty. At the bottom right of the window is an 'Exit' button.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Portfolio Type
- Portfolio Description
- Portfolio ID
- Model Portfolio

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

---

**Note**

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

- Press F7
  - Input the Portfolio Type
  - Press F8
- 

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

## **2.28.2 Editing Portfolio Definition Record**

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

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

Click Save to save your changes. The Portfolio Definition Detail screen is closed and the changes made are reflected in the Portfolio Definition Summary screen.

## **2.28.3 Viewing Portfolio Definition Record**

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

- Invoke the Portfolio Definition 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 Portfolio Definition Detail screen is displayed in View mode.

## **2.28.4 Deleting Portfolio Definition Record**

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

- Invoke the Portfolio Definition 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 Portfolio Definition Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.28.5 Authorizing Portfolio Definition Record**

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

- Invoke the Portfolio Definition 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 User Portfolio Definition Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.28.6 Amending Portfolio Definition Record**

After a Portfolio Definition 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 Portfolio Definition 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 Portfolio Definition Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.28.7 Authorizing Amended Portfolio Definition Record**

An amended Portfolio Definition record must be authorized for the amendment to be made effective in the system.

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

## 2.29 Rule Definition

This section contains the following topics:

- [Section 2.29.1, "Invoking Rule Definition Screen"](#)

### 2.29.1 Invoking Rule Definition Screen

You can define rules for different account status using 'Rule Definition' screen. You can invoke this screen by typing 'PADRULDF' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Order Type *	Order Type Description	Allowed *	Percentage
<input checked="" type="checkbox"/>		Yes	

You can specify the following details:

#### **Account Status**

*Alphanumeric; 16 Characters; Mandatory*

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

#### **Account Status**

*Display*

The system displays the description of the selected account status.

#### **Rule ID**

*Display*

The system displays the rule ID on save.

#### **Rule Description**

*Alphanumeric; 60 Characters; Mandatory*

Specify the rule description.

#### **Order Type**

*Alphanumeric; 3 Characters; Mandatory*

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

### **Order Type Description**

#### *Display*

The system displays the description of the selected order type.

### **Allowed**

#### *Mandatory*

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

- Yes
- No

### **Percentage**

#### *Numeric; 3 Characters; Optional*

Specify the percentage value.

The system allows you to save the percentage for order type with any value less than or equal to 100 (individual order %). The summation need not to be 100 for the values in the grid.

## **2.30 Rule Definition Summary**

This section contains the following topics:

- [Section 2.30.1, "Retrieving a Record in Rule Definition Summary Screen"](#)
- [Section 2.30.2, "Editing Rule Definition Record"](#)
- [Section 2.30.3, "Viewing Rule Definition Record"](#)
- [Section 2.30.4, "Deleting Rule Definition Record"](#)
- [Section 2.30.5, "Authorizing Rule Definition Record"](#)
- [Section 2.30.6, "Amending Rule Definition Record"](#)
- [Section 2.30.7, "Authorizing Amended Rule Definition Record"](#)

### **2.30.1 Retrieving a Record in Rule Definition Summary Screen**

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



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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Account Status
- Rule ID
- Rule Description

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

---

#### Note

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

- Press F7
  - Input the Rule ID
  - Press F8
-

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

### **2.30.2 Editing Rule Definition Record**

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

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

Click Save to save your changes. The Rule Definition Detail screen is closed and the changes made are reflected in the Rule Definition Summary screen.

### **2.30.3 Viewing Rule Definition Record**

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

- Invoke the Rule Definition 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 Rule Definition Detail screen is displayed in View mode.

### **2.30.4 Deleting Rule Definition Record**

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

- Invoke the Rule Definition Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Rule Definition Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.30.5 Authorizing Rule Definition Record**

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

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

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

### **2.30.6 Amending Rule Definition Record**

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

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

### **2.30.7 Authorizing Amended Rule Definition Record**

An amended Rule Definition record must be authorized for the amendment to be made effective in the system.

## **2.31 Portfolio Rebalancing Rule Detail**

This section contains the following topics

- [Section 2.31.1, "Invoking Portfolio Rebalancing Rule Detail Screen"](#)
- [Section 2.31.2, "Age Based Tab"](#)
- [Section 2.31.3, "Frequency Based Tab"](#)

### **2.31.1 Invoking Portfolio Rebalancing Rule Detail Screen**

The pension holdings can be re-structured automatically based on the age slab or pre defined frequency. Pension Administrator can provide service to re-align the portfolio of the party based on various factors like Market condition, Age of the party, Savings habits etc.

You can define rules for rebalancing with 2 different rule types, namely, Age and Frequency using 'Portfolio Rebalancing Rule Detail' screen.

For age-based rebalancing setup, model portfolio can be provided for the age-based slabs.

For frequency-based rebalancing setup, model portfolio can be provided with processing frequency, next process date and Variance (in %). The system processes the last process date on processing.

If the computed actual variance breaches the maintained variance %, then eligible portfolios will undergo rebalancing as per half-yearly/Annual frequency maintained.

Actual variance = (Portfolio asset balance in market value / Portfolio asset balance in unit cost) \* 100,

whereas, unit cost is the average of unit cost derived for a party, portfolio, account and asset combination.

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

Portfolio Rebalance Rule Detail

Save

Rebalance Rule ID \*

Rebalance Rule Description \*

Rule Type \* Age

Age Based Frequency Based

Slab Sequence No	From Age	To Age	Model Portfolio ID
------------------	----------	--------	--------------------

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Record Status \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorization Status \_\_\_\_\_

Cancel

You can specify the following details:

**Rebalance Rule ID**

*Alphanumeric; 16 Characters; Mandatory*

Specify the rebalance rule ID.

**Rebalance Rule Description**

*Alphanumeric; 50 Characters; Mandatory*

Specify the description for rebalance rule.

**Rule Type**

*Mandatory*

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

- Age

- Frequency

### 2.31.2 Age Based Tab

This tab is enabled only if you have selected 'Rule Type' as 'Age'. Model portfolio can be provided for each age slab for age based rule

Sequence number should be unique number for each slab, if there is any duplication or invalid data, system will display an error message as 'E-INVSLABNO - Invalid slab sequence number'

For age based setup, slab details are mandatory. The system will validate the same and display an error message as 'E-INVAGESLAB - Slab Detail is mandatory for Age Based Rule Type' if slab details are not provided

To Age should be greater than From Age in slab maintenance. If there is an overlapping of age slab, then the system will display an error message as 'E-AGEOVERLAP- Age range should not overlap'

Select 'Age Based' tab in 'Portfolio Rebalance Rule Detail' screen to specify age based details.

You can specify the following details:

#### **Slab Sequence No**

*Display*

The system displays the slab sequence number.

#### **From Age**

*Numeric; 3 Characters; Optional*

Specify the age from when the portfolio rebalance to be considered.

#### **To Age**

*Numeric; 3 Characters; Optional*

Specify the age till when the portfolio rebalance to be considered.

**Model Portfolio ID**

*Alphanumeric; 16 Characters; Optional*

Select model portfolio ID from the option list. The list displays all valid model portfolio ID maintained in the system.

**2.31.3 Frequency Based Tab**

This tab is enabled only if you have selected 'Rule Type' as 'Frequency'. You can map the target model portfolio which will be referred for re-balancing. While defining a new rule, you should provide next process date and Variance (in %). The system updates the last process date based on defined frequency.

Frequency can be either Half-yearly or Yearly based on which the system will derive the next process date as part of rebalance batch process.

Age slab should not be captured for frequency based rules, if captured, system will display an error message as 'E-INVAGEDET - Age Details should not be entered for Frequency Based Rule Type'

Select 'Frequency Based' tab in 'Portfolio Rebalance Rule Detail' screen to specify age based details.

The screenshot shows a web form titled "Portfolio Rebalance Rule Detail". At the top left, there is a "Save" button. The form contains several input fields: "Rebalance Rule ID" (required), "Rebalance Rule Description" (required), "Rule Type" (set to "Frequency"), "Model Portfolio ID" (with a search icon), "Next Process Date" (with a calendar icon), "Variance (in %)", and "Last Process Date". There are two tabs: "Age Based" and "Frequency Based", with "Frequency Based" being the active tab. At the bottom, there is a table with columns: "Input by", "Authorized by", "DateTime", "Mod No", "Record Status", "Authorization Status", and a "Cancel" button.

You can specify the following details:

**Model Portfolio ID**

*Alphanumeric; 16 Characters; Optional*

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

**Next Process Date**

*Date Format; Optional*

Select Next Process date from the adjoining calendar.

**Variance (in %)**

*Numeric; 3 Characters; Optional*

Specify the variance in percentage.

**Frequency**

*Optional*

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

- Half Yearly
- Annual

**Last Process Date**

*Date Format; Optional*

The system defaults the last processed date on save.

## **2.32 Portfolio Rebalance Rule Summary**

This section contains the following topics:

- [Section 2.32.1, "Retrieving a Record in Portfolio Rebalance Rule Summary Screen"](#)
- [Section 2.32.2, "Editing Portfolio Rebalance Rule Record"](#)
- [Section 2.32.3, "Viewing Portfolio Rebalance Rule Record"](#)
- [Section 2.32.4, "Deleting Portfolio Rebalance Rule Record"](#)
- [Section 2.32.5, "Authorizing Portfolio Rebalance Rule Record"](#)
- [Section 2.32.6, "Amending Portfolio Rebalance Rule Record"](#)
- [Section 2.32.7, "Authorizing Amended Rebalance Rule Mapping Record"](#)

### **2.32.1 Retrieving a Record in Portfolio Rebalance Rule Summary Screen**

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

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

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

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

---

#### Note

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

- Press F7
- Input Rebalance Rule ID



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

### **2.32.2 Editing Portfolio Rebalance Rule Record**

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

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

Click Save to save your changes. Once the Portfolio Rebalance Rule Detail screen is closed, the changes made are reflected in the Portfolio Rebalance Rule Summary screen.

### **2.32.3 Viewing Portfolio Rebalance Rule Record**

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

- Invoke the Portfolio Rebalance Rule 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 Portfolio Rebalance Rule Detail screen is displayed in View mode.

### **2.32.4 Deleting Portfolio Rebalance Rule Record**

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

- Invoke the Portfolio Rebalance Rule Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified 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 Portfolio Rebalance Rule Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.32.5 Authorizing Portfolio Rebalance Rule Record**

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

- Invoke the Portfolio Rebalance Rule 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 Portfolio Rebalance Rule Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.32.6 Amending Portfolio Rebalance Rule Record**

After a Portfolio Rebalance Rule 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 Portfolio Rebalance Rule 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 Portfolio Rebalance Rule Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.32.7 Authorizing Amended Rebalance Rule Mapping Record**

An amended Portfolio Rebalance Rule record must be authorized for the amendment to be made effective in the system.

## **2.33 Pension Charge Maintenance Detail**

This section contains the following topics

- [Section 2.33.1, "Invoking Pension Charge Maintenance Detail Screen"](#)

## 2.33.1 Invoking Pension Charge Maintenance Detail Screen

You can maintain the charge structure using 'Pension Charge Maintenance' screen. You can invoke this screen by typing 'PADCMDDET' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Pension Charge Maintenance Detail

Save

Charge ID \*

Charge Description \*

Slab Details

<input checked="" type="checkbox"/>	Slab Sequence No *	From Amount *	To Amount *	Return Value *
<input checked="" type="checkbox"/>				

Input by      DateTime      Mod No      Record Status

Authorized by      DateTime      Authorization Status

Cancel

You can specify the following details:

### **Charge ID**

*Numeric; 10 Characters; Mandatory*

Specify the charge ID.

### **Charge Description**

*Alphanumeric; 60 Characters; Mandatory*

Specify the charge description for the specified charge ID.

### **Slab Details**

#### **Slab Sequence No**

*Numeric; 3 Characters; Mandatory*

Specify the slab sequence number.

#### **From Amount**

*Numeric; 30 Characters; Mandatory*

Specify From amount

#### **To Amount**

*Numeric; 30 Characters; Mandatory*

Specify To amount.

The 'From Amount' of subsequent slab should be greater than or equal to 'To Amount' of the previous slab.

## Return Value

Numeric; 30 Characters; Mandatory

Specify the return value.

## 2.34 Pension Charge Maintenance Summary

This section contains the following topics:

- [Section 2.34.1, "Retrieving a Record in Pension Charge Maintenance Summary Screen"](#)
- [Section 2.34.2, "Editing Pension Charge Maintenance Record"](#)
- [Section 2.34.3, "Viewing Pension Charge Maintenance Record"](#)
- [Section 2.34.4, "Deleting Pension Charge Maintenance Record"](#)
- [Section 2.34.5, "Authorizing Pension Charge Maintenance Record"](#)
- [Section 2.34.6, "Amending Pension Charge Maintenance Record"](#)
- [Section 2.34.7, "Authorizing Amended Pension Charge Maintenance Record"](#)

### 2.34.1 Retrieving a Record in Pension Charge Maintenance Summary Screen

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

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

Pension Charge Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Charge ID  Charge Description

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Charge ID	Charge Description
----------------------	---------------	-----------	--------------------

Exit

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

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

---

**Note**

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

- Press F7
  - Input the Charge ID
  - Press F8
- 

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

### **2.34.2 Editing Pension Charge Maintenance Record**

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

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

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

### **2.34.3 Viewing Pension Charge Maintenance Record**

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

- Invoke the Pension Charge Maintenance Summary screen from the Browser.

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

#### **2.34.4 Deleting Pension Charge Maintenance Record**

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

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

#### **2.34.5 Authorizing Pension Charge Maintenance Record**

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

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

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

#### **2.34.6 Amending Pension Charge Maintenance Record**

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

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

- Double click the record that you wish to authorize. The Portfolio Charge Maintenance Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### 2.34.7 Authorizing Amended Pension Charge Maintenance Record

An amended Pension Charge Maintenance record must be authorized for the amendment to be made effective in the system.

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

## 2.35 Pension Adjustment Order

This section contains the following topics

- [Section 2.35.1, "Invoking Pension Adjustment Order Screen"](#)
- [Section 2.35.2, "Allocation Details Button"](#)

### 2.35.1 Invoking Pension Adjustment Order Screen

You can process the adjustment orders using 'Pension Adjustment Order' screen. You can invoke this screen by typing 'PADAJORD' 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:

**Adjustment Order Number**

*Display*

The system displays the adjustment order number.

**Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the reference number.

This field will have the common rebalance number for Rebalance investment adjustment and Rebalance withdrawal adjustment.

**Order Type**

*Mandatory*

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

- Investment
- Withdrawal

**Instruction Date**

*Date Format; Mandatory*

Select the instruction date from the adjoining calendar.

**Portfolio ID**

*Alphanumeric; 16 Characters; Mandatory*

Specify the portfolio ID. Alternatively, you can select portfolio ID from the option list. The option list displays all valid portfolios, such as Party role, Party ID, Account ID, maintained in the system.

**Portfolio Description**

*Display*

The system displays the description for the selected portfolio ID.

**Party ID**

*Display*

The system displays the party ID for the selected portfolio ID.

**Party Name**

*Display*

The system displays the party name for the selected portfolio ID.

**Account ID**

*Display*

The system displays the account ID for the selected portfolio ID.

**Order Sub Type**

*Alphanumeric; 3 Characters; Mandatory*

Specify the order sub type. Alternatively, you can select order sub type from the option list. The option list displays the following order sub type maintained in the system:

- 11 - Investment Adjustment
- 13 - Withdrawal Adjustment
- 12 - Rebalance investment adjustment
- 14- Rebalance withdrawal adjustment



**Order Sub Type Description**

*Display*

The system displays the description for the selected order sub type description.

**Order Currency**

*Alphanumeric; 3 Characters; Mandatory*

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

**Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

**Instrument ID**

*Alphanumeric; 3 Characters; Mandatory*

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

**Instrument Name**

*Display*

The system displays the name of the instrument for the selected instrument ID.

**Asset ID**

*Alphanumeric; 16 Characters; Mandatory*

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

**Asset Name**

*Display*

The system displays the asset name for the selected Asset ID.

**Order Mode**

*Mandatory*

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

- Amount

**Order Value**

*Numeric; 30 Characters; Mandatory*

Specify the order value.

**Investment/withdrawal adjustment orders (Order Subtype – 11 and 13)**

You can capture investment adjustment and withdrawal adjustment orders from this screen by selecting the order type and portfolio and input the following mandatory details:

- Instruction date
- Order sub-type
- Order currency
- Instrument
- Assets

You cannot amend the adjustment orders post handoff to TA

## **Rebalance investment/withdrawal orders (Order Subtype – 12 and 14)**

You cannot create Rebalance investment/withdrawal adjustment orders

The system will generate rebalance investment/withdrawal adjustment as part of rebalance processing for age based rules. You can view the Rebalance investment/withdrawal adjustment from Pension Adjustment order screen, no other operation is supported

Reference number of rebalance investment/withdrawal adjustment orders will be stamped with common rebalance reference number, you can query the same from summary screen.

---

### **Note**

Investment charges are not applicable for Adjustment investment orders and Rebalance adjustment investment orders.

---

## **2.35.2 Allocation Details Button**

To view the allotted adjustment order, click 'Allocation Details' button in 'Pension Adjustment Order Detail' screen. The following screen is displayed:

The screenshot shows a web application window titled "Allocation details". At the top, there is a search bar labeled "Execute Query" with a text input field for "Order Number\*" and a magnifying glass icon. Below this is a section with "From Leg" and "To Leg" labels. The main area contains two data tables, each with a "Go" button and "1 of 1" pagination. The first table has columns: Instrument ID, Instrument Name, Instrument Ratio, Amount, and Status. The second table has columns: Asset ID, Order Amount, Settlement Amount, Load Amount, and Order Currency. A "Cancel" button is located at the bottom right of the window.

*For more details on this screen, refer 'Allocation Details Button' (PADALLOC) section in this user manual.*

## **2.36 Pension Adjustment Order Summary**

- [Section 2.36.1, "Retrieving a Record in Pension Adjustment Order Summary Screen"](#)
- [Section 2.36.2, "Editing Pension Adjustment Order Summary Record"](#)

- Section 2.36.3, "Viewing Pension Adjustment Order Summary Record"
- Section 2.36.4, "Deleting Pension Adjustment Order Summary Record"
- Section 2.36.5, "Authorizing Pension Adjustment Order Summary Record"

### 2.36.1 Retrieving a Record in Pension Adjustment Order Summary Screen

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

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

The screenshot shows the 'Pension Adjustment Order Summary' application window. At the top, there are search options: 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, a section titled 'Search Is Case Sensitive' contains several search filters: 'Auth Status' (a dropdown menu), 'Record Status' (a dropdown menu), 'Adjustment Order Number' (a text input with a search icon), 'Reference Number' (a text input with a search icon), 'Order Status' (a text input with a search icon), 'Portfolio ID' (a text input with a search icon), 'Party ID' (a text input with a search icon), 'Account ID' (a text input with a search icon), and 'Instruction Date' (a text input with a search icon). Below the filters is a table with columns: 'Auth Status', 'Record Status', 'Adjustment Order Number', 'Reference Number', 'Order Status', 'Portfolio ID', 'Party ID', 'Account ID', and 'Instr'. The table is currently empty. At the bottom right of the window is an 'Exit' button.

- The status of the record in the Auth Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Adjustment Order Number
- Order Status
- Party ID
- Instruction Date
- Reference Number
- Portfolio ID

- Account ID

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

---

**Note**

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

- Press F7
  - Input the Party ID
  - Press F8
- 

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

### **2.36.2 Editing Pension Adjustment Order Summary Record**

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

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

Click Save to save your changes. The Pension Adjustment Order Detail screen is closed and the changes made are reflected in the Pension Adjustment Order Summary screen.

### **2.36.3 Viewing Pension Adjustment Order Summary Record**

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

- Invoke the Pension Adjustment Order 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 Pension Adjustment Order Detail screen is displayed in View mode.

## **2.36.4 Deleting Pension Adjustment Order Summary Record**

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

- Invoke the Pension Adjustment Order 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 Pension Adjustment Order Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

## **2.36.5 Authorizing Pension Adjustment Order Summary Record**

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

- Invoke the Pension Adjustment Order 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 Portfolio Charge Maintenance Detail screen is displayed. Select Authorize operation from the Action List.

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

## **2.37 Portfolio Charge Maintenance Detail**

This section contains the following topics

- [Section 2.37.1, "Invoking Portfolio Charge Maintenance Detail Screen"](#)

### **2.37.1 Invoking Portfolio Charge Maintenance Detail Screen**

You can map Annual Maintenance Charge or Investment Charge to portfolio using 'Portfolio Charge Maintenance Detail' screen.

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

Portfolio Charge Maintenance Detail

Save

Portfolio ID \*

Portfolio Description

Charge Type \*

Next Process Date

Last Process Date

Portfolio Charge Mapping

Charge ID *	Charge Description
<input checked="" type="checkbox"/>	<input type="text"/>

Input by  DateTime  Mod No  Record Status

Authorized by  DateTime  Authorization Status

You can specify the following details:

**Portfolio ID**

*Alphanumeric; 12 Characters; Mandatory*

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

**Portfolio Description**

*Display*

The system displays the description for the selected portfolio ID.

**Charge Type**

*Mandatory*

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

- Investment Charge
- Annual Maintenance Charge

Investment charge is applicable only for investment orders captured from Pension platform.

Annual Maintenance charge is the charge incurred on latest portfolio balance of the party and will be computed on annual basis. The system will generate a withdrawal order for the charge amount.

---

**Note**

Investment charges are not applicable for Adjustment investment orders and Rebalance adjustment investment orders.

---

**Next Process Date**

*Date Format; Optional*

Select next process date from the adjoining calendar.

You can specify Next process date only if the charge type is Annual Maintenance Charge.

You can update Next process date until first authorization. Post first time authorization, you can update next process date during EOD Batch only.

---

**Note**

Next Process Date is amendable only till the first processing.

---

**Last Process Date**

*Display*

The system displays the last process date based on the Next process date.

Both Next Process Date and Last Process Date field is not applicable for Investment Charge type. The system will display an error message if the next process date is maintained for investment charge.

**Portfolio Charge Mapping****Charge ID**

*Alphanumeric; 10 Characters; Mandatory*

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

**Charge Description**

*Display*

The system displays the description for the selected charge ID.

---

**Note**

The system will use the latest available charge that is authorised once for computation.

---

## 2.38 **Portfolio Charge Maintenance Summary**

This section contains the following topics:

- [Section 2.38.1, "Retrieving a Record in Portfolio Charge Maintenance Summary Screen"](#)

- [Section 2.38.2, "Editing Portfolio Charge Maintenance Record"](#)
- [Section 2.38.3, "Viewing Portfolio Charge Maintenance Record"](#)
- [Section 2.38.4, "Deleting Portfolio Charge Maintenance Record"](#)
- [Section 2.38.5, "Authorizing Portfolio Charge Maintenance Record"](#)
- [Section 2.38.6, "Amending Portfolio Charge Maintenance Record"](#)
- [Section 2.38.7, "Authorizing Amended Portfolio Charge Maintenance Record"](#)

### 2.38.1 **Retrieving a Record in Portfolio Charge Maintenance Summary Screen**

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

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

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



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

---

**Note**

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

- Press F7
  - Input the Portfolio ID
  - Press F8
- 

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

### **2.38.2 Editing Portfolio Charge Maintenance Record**

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

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

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

### **2.38.3 Viewing Portfolio Charge Maintenance Record**

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

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

## **2.38.4 Deleting Portfolio Charge Maintenance Record**

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

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

## **2.38.5 Authorizing Portfolio Charge Maintenance Record**

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

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

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

## **2.38.6 Amending Portfolio Charge Maintenance Record**

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

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

## **2.38.7 Authorizing Amended Portfolio Charge Maintenance Record**

An amended Portfolio Charge Maintenance record must be authorized for the amendment to be made effective in the system.

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

## 2.39 Bank Details

This section contains the following topics

- [Section 2.39.1, "Invoking Bank Details Screen"](#)

### 2.39.1 Invoking Bank Details Screen

You can maintain master bank account details using 'Bank Details' screen. You can invoke this screen by typing 'PADBKDET' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Bank Details" with a "Save" button at the top left. The form contains the following fields:

- Bank Reference Number (text input)
- User Reference Number (text input)
- Bank\* (text input with a dropdown arrow)
- Bank Description (text input)
- Branch\* (text input with a dropdown arrow)
- Branch Description (text input)
- Account Type\* (text input with a dropdown arrow)
- Account Type Description (text input)
- Account Currency\* (text input with a dropdown arrow)
- Account Currency Description (text input)
- Account Number\* (text input)
- Verification Status (dropdown menu with "No" selected)
- Account Holder Name\* (text input)
- Last Verified Date (text input with a calendar icon)
- IBAN (text input)

At the bottom of the form, there are labels for "Input by", "DateTime", "Mod No", "Record Status", "Authorized by", "DateTime", and "Authorized". A "Cancel" button is located at the bottom right.

You can specify the following details:

#### **Bank Reference Number**

*Display*

The system displays the bank reference number.

#### **User Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the user reference number to identify the bank account.

#### **Bank**

*Alphanumeric; 16 Characters; Mandatory*

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

#### **Bank Description**

*Display*

The system displays the description of the selected bank code.

**Branch**

*Alphanumeric; 12 Characters; Mandatory*

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

**Branch Description**

*Display*

The system displays the description of the selected branch code.

**Account Type**

*Alphanumeric; 1 Character; Mandatory*

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

**Account Type Description**

*Display*

The system displays the description of the selected account type.

**Account Currency**

*Alphanumeric; 3 Characters; Mandatory*

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

**Account Currency Description**

*Display*

The system displays the description of the selected account currency code.

**Account Number**

*Numeric; 20 Characters; Mandatory*

Specify the account number.

**Account Holder Name**

*Alphanumeric; 20 Characters; Mandatory*

Specify the name of the account holder.

**IBAN**

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

**Verification Status**

*Optional*

Select the tha bank details are verified or not from the drop-down list. The list displays the following values:

- Yes
- No

**Last Verified Date**

*Date Format; Optional*

Select the last verified date for the account number from the adjoining calendar.

---

**Note**

Last verified date cannot be future dated.

---

## 2.40 Bank Details Summary

This section contains the following topics:

- [Section 2.40.1, "Retrieving a Record in Bank Details Summary Screen"](#)
- [Section 2.40.2, "Editing Bank Details Record"](#)
- [Section 2.40.3, "Viewing Bank Details Record"](#)
- [Section 2.40.4, "Deleting Bank Details Record"](#)
- [Section 2.40.5, "Authorizing Bank Details Record"](#)
- [Section 2.40.6, "Amending Bank Details Record"](#)
- [Section 2.40.7, "Authorizing Amended Bank Details Record"](#)

### 2.40.1 Retrieving a Record in Bank Details Summary Screen

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

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

Bank Details Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Record Status

Bank Reference Number  Bank

Branch  Account Holder Name

Account Type  Account Number

Verification Status

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Record Status	Bank Reference Number	Bank	Branch	Account Holder Name	Account Type	Account Number
------------	---------------	-----------------------	------	--------	---------------------	--------------	----------------

Exit

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bank Reference Number
- Branch
- Account Type
- Verification Status
- Bank
- Account Holder Name
- Account 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.

---

**Note**

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

- Press F7
  - Input the Account Number
  - Press F8
- 

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

## **2.40.2 Editing Bank Details Record**

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

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

Click Save to save your changes. The Bank Details Detail screen is closed and the changes made are reflected in the Bank Details Summary screen.

### **2.40.3 Viewing Bank Details Record**

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

- Invoke the Bank Details 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 Bank Details Detail screen is displayed in View mode.

### **2.40.4 Deleting Bank Details Record**

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

- Invoke the Bank Details 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 Bank Details Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.40.5 Authorizing Bank Details Record**

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

- Invoke the Bank Details 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 Bank Details Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.40.6 Amending Bank Details Record**

After a Bank Details 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 Bank Details 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 Bank Details Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### 2.40.7 Authorizing Amended Bank Details Record

An amended Bank Details record must be authorized for the amendment to be made effective in the system.

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

## 2.41 Identification Details

This section contains the following topics

- [Section 2.41.1, "Invoking Identification Details Screen"](#)

### 2.41.1 Invoking Identification Details Screen

You can maintain identification master data using 'Identification Details' screen. You can invoke this screen by typing 'PADIDDET' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Identification Details' window with a 'Save' button at the top left. The form contains the following fields:

- ID Reference Number (text box)
- User Reference Number (text box)
- ID Type\* (text box with search icon)
- ID Type Description (text box)
- ID Number\* (text box)
- Issuing Authority\* (text box)
- Place of Issue\* (text box with search icon)
- Place of Issue Description (text box)
- Issuing Country\* (text box with search icon)
- Issuing Country Description (text box)
- Date of Issue\* (text box with calendar icon)
- Verification Status (dropdown menu, currently set to 'No')
- Date of Expiry (text box with calendar icon)
- Last Verified Date (text box with calendar icon)

At the bottom, there is a table with columns: Input by, DateTime, Mod No, Record Status, and a 'Cancel' button.

Input by	DateTime	Mod No	Record Status
Authorized by	DateTime		Authorized

You can specify the following details:

#### **ID Reference Number**

##### *Display*

The system displays the unique identification reference number.



**User Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the user reference number to identify the bank account.

**ID Type**

*Alphanumeric; 20 Characters; Mandatory*

Specify the identification type.

**ID Type description**

*Display*

The system displays the description of the selected ID type.

**ID Value**

*Alphanumeric; 50 Characters; Mandatory*

Specify the identification value.

**Issuing Authority**

*Alphanumeric; 50 Characters; Mandatory*

Specify the issuing authority details.

**Place of Issue**

*Alphanumeric; 3 Characters; Mandatory*

Specify the place of issue. Alternatively, you can select place of issue code from the option list. The list displays all valid place of issue code maintained in the system.

**Place of issue description**

*Display*

The system displays the description of the selected place of issue code.

**Issuing Country**

*Alphanumeric; 3 Characters; Mandatory*

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

**Issuing country description**

*Display*

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

**Date of Issue**

*Date Format; Mandatory*

Select the issuing date from the adjoining calendar.

**Verification Status**

*Optional*

Select if the bank details are verified or not from the drop-down list. The list displays the following values:

- Yes
- No

**Date of Expiry**

*Date Format; Optional*

Select the date of expiry from the adjoining calendar.

**Last Verified Date**

*Date Format; Optional*

Select the last verified date from the adjoining calendar.

---

**Note**

You cannot specify last verified date for unverified accounts. Also, last verified date cannot be future dated.

---

## **2.42 Identification Details Summary**

This section contains the following topics

- [Section 2.42.1, "Retrieving a Record in Identification Details Summary Screen"](#)
- [Section 2.42.2, "Editing Identification Details Record"](#)
- [Section 2.42.3, "Viewing Identification Details Record"](#)
- [Section 2.42.4, "Deleting Identification Details Record"](#)
- [Section 2.42.5, "Authorizing Identification Details Record"](#)
- [Section 2.42.6, "Amending Identification Details Record"](#)
- [Section 2.42.7, "Authorizing Amended Identification Details Record"](#)

### **2.42.1 Retrieving a Record in Identification Details Summary Screen**

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

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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- ID Reference Number
- ID Value
- ID Type
- Verification Status

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

---

#### Note

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

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

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

### **2.42.2 Editing Identification Details Record**

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

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

Click Save to save your changes. The Identification Details Detail screen is closed and the changes made are reflected in the Identification Details Summary screen.

### **2.42.3 Viewing Identification Details Record**

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

- Invoke the Identification Details 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 Identification Details Detail screen is displayed in View mode.

### **2.42.4 Deleting Identification Details Record**

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

- Invoke the Identification Details 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 Identification Details Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.42.5 Authorizing Identification Details Record**

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

- Invoke the Identification Details 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 Identification Details Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.42.6 Amending Identification Details Record**

After a Identification Details 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 Identification Details 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 Identification Details Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.42.7 Authorizing Amended Identification Details Record**

An amended Identification Details record must be authorized for the amendment to be made effective in the system.

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

## **2.43 Address Details**

This section contains the following topics

- [Section 2.43.1, "Invoking Address Details Screen"](#)

## 2.43.1 Invoking Address Details Screen

You can maintain address details using 'Address Details' screen. You can invoke this screen by typing 'PADADDET' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Input by	DateTime	Mod No	Record Status
Authorized by	DateTime		Authorized

You can specify the following details:

### **Address Reference Number**

*Display*

The system displays the automatically generated address reference number.

### **User Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the user reference number.

### **Address Line 1**

*Alphanumeric; 105 Characters; Mandatory*

Specify the address details.

### **Address Line 2**

*Alphanumeric; 105 Characters; Optional*

Specify the address details.

**Address Line 3**

*Alphanumeric; 105 Characters; Optional*

Specify the address details.

**City**

*Alphanumeric; 80 Characters; Optional*

Specify the city name.

**State**

*Alphanumeric; 80 Characters; Optional*

Specify the state name.

**Country**

*Alphanumeric; 3 Characters; Mandatory*

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

**Country Description**

*Display*

The system displays the description of the selected country code.

**Effective From Date**

*Date Format; Mandatory*

Select the effective From date from the adjoining calendar.

**Effective To Date**

*Date Format; Optional*

Select the effective To date from the adjoining calendar.

---

**Note**

Effective To Date should not be less than Effective From Date.

---

**BIC Code**

*Alphanumeric; 16 Characters; Optional*

Specify the BIC code.

**Zip Code**

*Alphanumeric; 10 Characters; Optional*

Specify the zip code of the customer.

**Website**

*Alphanumeric; 100 Characters; Optional*

Specify the website details of the customer.

**Email Address**

*Alphanumeric; 100 Characters; Optional*

Specify the e-mail address of the customer.

## **Primary Contact Details**

### **Primary Contact Person**

*Alphanumeric; 100 Characters; Optional*

Specify the primary contact person details.

### **Primary Contact designation**

*Alphanumeric; 100 Characters; Optional*

Specify the designation of the customer.

### **ISD Mobile Number 1**

*Alphanumeric; 10 Characters; Optional*

Specify ISD code to be used to prefix while dialling mobile number of the customer.

### **Mobile Number 1**

*Alphanumeric; 60 Characters; Optional*

Specify the mobile number of the customer.

### **ISD Mobile Number 2**

*Alphanumeric; 10 Characters; Optional*

Specify the alternative ISD code to be used to prefix while dialling mobile number of the customer.

### **Mobile Number 2**

*Alphanumeric; 60 Characters; Optional*

Specify the alternative mobile number of the customer.

### **ISD Fax**

*Alphanumeric; 10 Characters; Optional*

Specify ISD code to be used to prefix while dialling fax number of the customer.

### **Fax**

*Alphanumeric; 60 Characters; Optional*

Specify the fax number of the customer.

### **ISD Fixed line**

*Alphanumeric; 10 Characters; Optional*

Specify ISD code to be used to prefix while dialling fixed line number of the customer.

### **Fixed line**

*Alphanumeric; 60 Characters; Optional*

Specify the fixed line number of the customer.

### **Primary Contact Instruction**

*Alphanumeric; 100 Characters; Optional*

Specify the primary contact details.

### **Extension**

*Alphanumeric; 60 Characters; Optional*

Specify the extension number of the customer.



## **Secondary Contact Details**

### **Secondary Contact Person**

*Alphanumeric; 100 Characters; Optional*

Specify the secondary contact person details.

### **Secondary Contact designation**

*Alphanumeric; 100 Characters; Optional*

Specify the designation of the customer.

### **ISD Mobile Number 1**

*Alphanumeric; 10 Characters; Optional*

Specify ISD code to be used to prefix while dialling mobile number of the secondary contact person.

### **Mobile Number**

*Alphanumeric; 60 Characters; Optional*

Specify the mobile number of the secondary contact person.

### **ISD Fixed line**

*Alphanumeric; 10 Characters; Optional*

Specify ISD code to be used to prefix while dialling fixed line number of the secondary contact person.

### **Fixed line**

*Alphanumeric; 60 Characters; Optional*

Specify the fixed line number of the secondary contact person.

### **Secondary Contact Instruction**

*Alphanumeric; 100 Characters; Optional*

Specify the secondary contact details.

### **Extension**

*Alphanumeric; 60 Characters; Optional*

Specify the extension number of the secondary contact person.

## **2.44 Address Details Summary**

This section contains the following topics

- [Section 2.44.1, "Retrieving a Record in Address Details Summary Screen"](#)
- [Section 2.44.2, "Editing Address Details Record"](#)
- [Section 2.44.3, "Viewing Address Details Record"](#)
- [Section 2.44.4, "Deleting Address Details Record"](#)
- [Section 2.44.5, "Authorizing Address Details Record"](#)
- [Section 2.44.6, "Amending Address Details Record"](#)
- [Section 2.44.7, "Authorizing Amended Address Details Record"](#)

### **2.44.1 Retrieving a Record in Address Details Summary Screen**

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

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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Address Reference Number
- City
- Address Line 1
- Mobile Number 1
- User Reference Number
- Address Line 2

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

---

#### Note

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

- Press F7

- Input the Address Reference Number
  - Press F8
- 

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

### **2.44.2 Editing Address Details Record**

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

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

Click Save to save your changes. The Address Details Detail screen is closed and the changes made are reflected in the Address Details Summary screen.

### **2.44.3 Viewing Address Details Record**

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

- Invoke the Address Details 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 Address Details Detail screen is displayed in View mode.

### **2.44.4 Deleting Address Details Record**

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

- Invoke the Address Details 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 Address Details Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.44.5 Authorizing Address Details Record**

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

- Invoke the Address Details 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 Address Details Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.44.6 Amending Address Details Record**

After a Address Details 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 Address Details 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 Address Details Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.44.7 Authorizing Amended Address Details Record**

An amended Address Details record must be authorized for the amendment to be made effective in the system.

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

## **2.45 Party Maintenance**

This section contains the following topics:

- [Section 2.45.1, "Invoking Party Maintenance Screen"](#)
- [Section 2.45.2, "Individual Details Tab"](#)
- [Section 2.45.3, "Corporate Details Tab"](#)
- [Section 2.45.4, "Director Details Tab"](#)

- [Section 2.45.5, "Address Details Tab"](#)
- [Section 2.45.6, "Bank Details Tab"](#)
- [Section 2.45.7, "Identification Details Tab"](#)
- [Section 2.45.8, "Tax Compliance Tab"](#)
- [Section 2.45.9, "Add Info Details Tab"](#)

### **2.45.1 Invoking Party Maintenance Screen**

You can create customers and other parties in the system. The system creates any person/institution involved in pension processing as parties and attaches respective roles. The system identifies each party by a unique Party ID.

You cannot amend Address, Bank and Identification details from 'Party Maintenance' screen. You can amend the same from standalone screens only. However, you cannot amend the bank details even in stand-alone screen except last verified date and status.

Any amendment done in party screen which has the role of investor or employee will be hand-off to TA system to enrich the investor accounts.

The following section data from party screen will be hand-off to TA:

- Basic individual/corporate details
- Director details for corporate parties
- Address details
- Bank and ID details

Following details will not be hand-off to TA:

- Tax compliance
- Additional information

---

#### **Note**

- Unitholder Income distribution setup (UH IDS) for the pension investment accounts in FCIS should be of re-investments only. The system validates the same using 'Pre-EOD check'.
  - The Pre-EOD sequence number '3050' checks the number of IDS setup with payout option, for Pension Administration investment accounts.
-

You can maintain party details using 'Party Maintenance Detail' screen. You can invoke this screen by typing 'PADPARTY' 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:

### Party ID

*Alphanumeric; 16 Characters; Mandatory*

Specify the party ID.

### Party Type

*Mandatory*

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

- Individual
- Corporate

### Protected Investor Level

*Mandatory*

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

- Classified
- Unclassified

## **Preferred Currency**

*Alphanumeric; 3 Characters; Optional*

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

If preferred currency is not provided, then the default bank account currency will be the preferred currency for that account. If preferred currency is provided, there should be at least one bank account maintained for that preferred currency.

You can still capture a party with preferred currency passed without bank details.

---

### **Note**

If broker and other entities are coming from TA to Pension Administration, then any amendment of such entities in Pension Administration will NOT be handed off the TA. The system will consider TA details as final record. Add info will not be passed on from TA to Pension Administration and vice versa.

---

## **Preferred Currency Description**

*Display*

The system displays the description of the selected preferred currency code.

### **Title**

*Alphanumeric; 3 Characters; Mandatory*

Specify the title assigned to the customer. Alternatively, you can select the title from the option list. The list displays all valid titles maintained in the system.

### **First Name**

*Alphanumeric; 100 Characters; Mandatory*

Specify the first name of the customer.

### **Middle Name**

*Alphanumeric; 100 Characters; Optional*

Specify the middle name of the customer.

### **Last Name**

*Alphanumeric; 100 Characters; Optional*

Specify the last name of the customer.

## 2.45.2 Individual Details Tab

Select 'Individual Details' tab in 'Party Maintenance Detail' screen to specify individual details. This tab is enabled only if you have selected 'Party Type' filed as 'Individual'.

The screenshot shows the 'Party Maintenance Detail' form with the 'Individual Details' tab selected. The form is titled 'Party Maintenance Detail' and has a 'Save' button at the top left. The form is divided into several sections:

- Party Information:** Party ID (text), Party Type (dropdown menu showing 'Individual'), Protected Investor Level (dropdown menu showing 'Unclassified'), Preferred Currency (text), Preferred Currency Description (text).
- Personal Information:** Title (text, showing 'Mr.'), First Name (text), Middle Name (text), Last Name (text).
- Identification Details:** Date Of Birth (calendar icon), Marital Status (text, showing 'M'), Occupation (text), Gender (text, showing 'M'), Nationality (text, showing 'RSA'), Country Of Domicile (text, showing 'RSA'), Country of Birth (text, showing 'RSA'), Health Status (text), Father / Spouse Name (text).
- Minor Status:** Minor (dropdown menu showing 'No').
- Descriptions:** Marital Status Description (Married), Occupation Description, Gender Description (Male), Nationality Description (SOUTH AFRICA), Domicile Description (SOUTH AFRICA), Country of Birth Description (SOUTH AFRICA), Health Status Description.

At the bottom of the form, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorized'. A 'Cancel' button is located at the bottom right.

You can specify the following details:

### **Date Of Birth**

*Date Format; Optional*

Select the date of birth from adjoining calendar.

### **Minor**

*Optional*

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

- Yes
- No



**Marital Status**

*Alphanumeric; 1 Character; Optional*

The system displays the marital status of the customer. However, you can amend this value. Alternatively, you can select marital status from the option list. The list displays all valid marital status maintained in the system.

**Marital Status Description**

*Display*

The system displays the description for the selected marital status.

**Occupation**

*Alphanumeric; 3 Characters; Optional*

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

**Occupation Description**

*Display*

The system displays the description for the selected occupation code.

**Gender**

*Alphanumeric; 1 Character; Optional*

The system displays the gender code of the customer. However, you can amend this value. Alternatively, you can select gender code from the option list. The list displays all valid gender code maintained in the system.

**Gender Description**

*Display*

The system displays the description for the gender code.

**Nationality**

*Alphanumeric; 3 Characters; Optional*

The system displays the nationality of the customer. However, you can amend this value. Alternatively, you can select nationality code from the option list. The list displays all valid nationality code maintained in the system.

**Nationality Description**

*Display*

The system displays the description of the selected nationality code.

**Country Of Domicile**

*Alphanumeric; 3 Characters; Optional*

The system displays the country of domicile of the customer. However, you can amend this value. Alternatively, you can select country of domicile from the option list. The list displays all valid country of domicile maintained in the system.

**Domicile Description**

*Display*

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

**Country of Birth**

*Alphanumeric; 3 Characters; Optional*

The system displays the country of birth of the customer. However, you can amend this value. Alternatively, you can select country of birth from the option list. The list displays all valid country of birth maintained in the system.

## Country of Birth Description

*Display*

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

## Health Status

*Alphanumeric; 1 Character; Optional*

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

## Health Status Description

*Display*

The system displays the description of the selected health status.

## Father / Spouse Name

*Alphanumeric; 105 Characters; Optional*

Specify the customer's father's name or spouse's name if married.

### 2.45.3 Corporate Details Tab

Click 'Corporate Details' tab in 'Party Maintenance Detail' screen to specify the corporate details. This tab is enabled only if you have selected 'Party Type' as 'Corporate'.

The screenshot shows the 'Party Maintenance Detail' form with the 'Corporate Details' tab selected. The form includes the following fields and sections:

- Party ID \***: Text input field.
- Party Type \***: Dropdown menu with 'Corporate' selected.
- Protected Investor Level \***: Dropdown menu with 'Unclassified' selected.
- Title \***: Text input field with 'Mr.' selected.
- First Name \***: Text input field.
- Middle Name**: Text input field.
- Last Name**: Text input field.
- Preferred Currency**: Text input field.
- Preferred Currency Description**: Text input field.
- Individual Details**: Tabbed section with 'Corporate Details' selected.
- Registered Name**: Text input field.
- Authorized Signatory 1**: Text input field.
- Authorized Signatory 2**: Text input field.
- Authorized Signatory 3**: Text input field.
- Incorporation Country**: Text input field.
- Date of Incorporation**: Text input field with a calendar icon.
- Min No. of Signatories**: Text input field.
- Corporation Type**: Text input field.
- CorporationType Description**: Text input field.
- Country Of Incorporation Desc**: Text input field.
- Input by**: Text input field.
- Authorized by**: Text input field.
- DateTime**: Text input field (two instances).
- Mod No**: Text input field.
- Record Status**: Text input field.
- Authorized**: Text input field.
- Cancel**: Button.

You can specify the following details:

**Registered Name**

*Alphanumeric; 100 Characters; Optional*

Specify the registered name of the corporate.

**Authorized Signatory 1**

*Alphanumeric; 100 Characters; Optional*

Specify the authorized signatory details for corporate accounts.

**Authorized Signatory 2**

*Alphanumeric; 100 Characters; Optional*

Specify the authorized signatory details for corporate accounts.

**Authorized Signatory 3**

*Alphanumeric; 100 Characters; Optional*

Specify the authorized signatory details for corporate accounts.

**Incorporation Country**

*Alphanumeric; 3 Characters; Optional*

Select the incorporation country code of the corporate. Alternatively, you can select country of incorporation code from the option list. The list displays all valid country code maintained in the system.

**Country Of Incorporation Desc**

*Display*

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

**Date of Incorporation**

*Date Format; Optional*

Select the date of incorporation from the adjoining calendar.

**Min No. of Signatories**

*Numeric; 22 Characters; Optional*

Specify the minimum number of signatories.

**Corporation Type**

*Alphanumeric; 3 Characters; Optional*

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

**Corporation Type Description**

*Display*

The system displays the description for the selected corporation type.

## 2.45.4 Director Details Tab

Click 'Director Details' tab in 'Party Maintenance Detail' screen to specify the corporate details. This tab is enabled only if you have selected 'Party Type' as 'Corporate'.

Party Maintenance Detail

Save

Party ID \*

Party Type \* Corporate

Protected Investor Level \* Unclassified

Preferred Currency

Preferred Currency Description

Title \* Mr.

First Name \*

Middle Name

Last Name

Individual Details Corporate Details **Director Details** Address Details Bank Details Identification Details Tax Compliance Add Info Details

1 of 1 Go

<input checked="" type="checkbox"/>	Director ID *	Director Name	Percentage *	Controlling Person
<input checked="" type="checkbox"/>	<input type="text"/>			No

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Record Status \_\_\_\_\_

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

Cancel

You can specify the following details:

### Director ID

*Alphanumeric; 16 Characters; Mandatory*

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

### Director Name

*Display*

The system displays the name of the selected director ID.

### Percentage

*Numeric; 3 Characters; Mandatory*

Specify the share percentage.

The sum total should be 100.

## Controlling Person

### Optional

Select if the director is controlling person or not from the drop-down list. The list displays the following values:

- Yes
- No

## 2.45.5 Address Details Tab

Click 'Address Details' tab in 'Party Maintenance Detail' screen to specify the address details.

The screenshot shows the 'Party Maintenance Detail' window with the 'Address Details' tab selected. The form is divided into several sections:

- Party Information:** Party ID \*, Party Type \* (Corporate), Protected Investor Level \* (Unclassified), Preferred Currency, Preferred Currency Description, Title \* Mr., First Name \*, Middle Name, Last Name.
- Address Information:** Address Reference Number, Address Type (Correspondence Address), Address Line 1 \*, Address Line 2, Address Line 3, Effective From Date \*, Effective To Date \*, BIC Code.
- User Information:** User Reference Number, City, State, Country \*, Country Description, Zip Code, Website, Email.
- Primary Contact Details:** Primary Contact Person, ISD Mobile Number 1, ISD Mobile Number 2, ISD Fax, ISD Fixed line, Primary Contact Instruction, Primary Contact Designation, Mobile Number 1, Mobile Number 2, Fax, Fixed line, Extension.
- Secondary Contact Details:** Secondary Contact Person, ISD Mobile Number 1, ISD Fixed line, Secondary Contact Instruction, Secondary Contact Designation, Mobile Number, Fixed line, Extension.

At the bottom, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorized', along with a 'Cancel' button.

You can specify the following details:

### Address Reference Number

*Alphanumeric; 16 Characters; Optional*

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

Once you specify the address reference number, the system displays the following details:

- Address Type

- Address Line 1
- Address Line 2
- Address Line 3
- Effective From Date
- Effective To Date
- BIC Code
- Address Reference Number
- Address Type
- Address Line 1
- Address Line 2
- Address Line 3
- Effective From Date
- Effective To Date
- BIC Code

#### **Primary Contact Details**

- Primary Contact Person
- ISD Mobile Number 1
- ISD Mobile Number 2
- ISD Fax
- ISD Fixed line
- Primary Contact Instruction
- Primary Contact designation
- Mobile Number 1
- Mobile Number 2
- Fax
- Fixed line
- Extension

#### **Secondary Contact Details**

- Secondary Contact Person
- ISD Mobile Number 1
- ISD Fixed line
- Secondary Contact Instruction
- Secondary Contact designation
- Mobile Number
- Fixed line
- Extension

If you have not specified address reference number, then you need to fill the above details manually.

#### **Address Type**

*Optional*

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

- Correspondence Address
- Alternate Address
- SWIFT Address

**Address Line 1**

*Alphanumeric; 105 Characters; Mandatory*

Specify the address details.

**Address Line 2**

*Alphanumeric; 105 Characters; Optional*

Specify the address details.

**Address Line 3**

*Alphanumeric; 105 Characters; Optional*

Specify the address details.

**Effective From Date**

*Date Format; Mandatory*

Select the effective From date from the adjoining calendar.

**Effective To Date**

*Date Format; Optional*

Select the effective To date from the adjoining calendar.

**BIC Code**

*Alphanumeric; 16 Characters; Optional*

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

**User Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the user reference number.

**City**

*Alphanumeric; 80 Characters; Optional*

Enter the city where the customer is located.

**State**

*Alphanumeric; 80 Characters; Optional*

Enter the State name of the mentioned city.

**Country**

*Alphanumeric; 3 Characters; Optional*

Specify the country code of the customer. Alternatively, you can select country code from the option list. The list displays all valid country code maintained in the system.

**Country Description**

*Display*

The system displays the description of the selected country code.

**Zip Code**

*Alphanumeric; 10 Characters; Optional*

Specify the zip code of the city of residence of the customer.

**Website**

*Alphanumeric; 100 Characters; Optional*

Specify the website details.

**Email**

*Alphanumeric; 100 Characters; Optional*

Specify the address of the customer.

**Primary Contact Details****Primary Contact Person**

*Alphanumeric; 100 Characters; Optional*

Specify the primary contact person's name.

**ISD Mobile Number 1**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's ISD mobile number.

**ISD Mobile Number 2**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's alternative ISD mobile number.

**ISD Fax**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's ISD fax number.

**ISD Fixed line**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's ISD fixed line number.

**Primary Contact Instruction**

*Alphanumeric; 100 Characters; Optional*

Specify the primary contact instruction details.

**Primary Contact Designation**

*Alphanumeric; 100 Characters; Optional*

Specify the primary contact designation details.

**Mobile Number 1**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's mobile number.

**Mobile Number 2**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's alternative mobile number.

**Fax**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's fax number.

**Fixed line**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's fixed line number.

**Extension**

*Alphanumeric; 60 Characters; Optional*

Specify the primary contact person's extension number of the fixed line.



## **Secondary Contact Details**

### **Secondary Contact Person**

*Alphanumeric; 100 Characters; Optional*

Specify the secondary contact person's name.

### **ISD Mobile Number 1**

*Alphanumeric; 60 Characters; Optional*

Specify the secondary contact person's ISD mobile number.

### **ISD Fixed line**

*Alphanumeric; 60 Characters; Optional*

Specify the secondary contact person's ISD fixed line number.

### **Secondary Contact Instruction**

*Alphanumeric; 100 Characters; Optional*

Specify the secondary contact instruction details.

### **Secondary Contact Designation**

*Alphanumeric; 100 Characters; Optional*

Specify the secondary contact designation details.

### **Mobile Number**

*Alphanumeric; 60 Characters; Optional*

Specify the secondary contact person's mobile number.

### **Fixed line**

*Alphanumeric; 60 Characters; Optional*

Specify the secondary contact person's fixed line number.

### **Extension**

*Alphanumeric; 60 Characters; Optional*

Specify the secondary contact person's extension number of the fixed line.

## 2.45.6 Bank Details Tab

Click 'Bank Details' tab in 'Party Maintenance Detail' screen to specify the bank details.

Party Maintenance Detail

Save

Party ID \*

Party Type \* Corporate

Protected Investor Level \* Unclassified

Preferred Currency

Preferred Currency Description

Title \* Mr.

First Name \*

Middle Name

Last Name

Individual Details Corporate Details Director Details Address Details **Bank Details** Identification Details Tax Compliance Add Info Details

1 of 1

Bank Reference Number

Ownership Type \*

Bank Code \*

Branch Code \*

Account Type \*

Account Currency \*

Account Number \*

Account Holder Name \*

IBAN

User Reference Number

Ownership Type Description

Bank Name

Branch Name

Account Type Description

Currency Description

Verification Status Unverified

Last Verified Date

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Record Status \_\_\_\_\_

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

Cancel

You can specify the following details:

### Bank Reference Number

*Alphanumeric; 16 Characters; Optional*

Select bank reference number from the option list. The list displays all valid bank reference number maintained in the system.

Once you specify the bank reference number, the system displays the following details:

- Bank Code
- Branch Code
- Account Type
- Account Currency
- Account Number
- Account Holder Name
- IBAN
- User Reference Number
- Ownership Type Description

- Bank Name
- Branch Name
- Account Type Description
- Currency Description
- Verification Status
- Last Verified Date

If you have not specified bank reference number, then you need to fill the above details manually.

**User Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the user reference number.

**Ownership Type**

*Alphanumeric; 1 Character; Mandatory*

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

**Ownership Type Description**

*Display*

The system displays the description of the selected ownership type.

**Bank Code**

*Alphanumeric; 16 Characters; Optional*

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

**Bank Name**

*Display*

The system displays the name of the selected bank code.

**Branch Code**

*Alphanumeric; 12 Characters; Optional*

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

**Branch Name**

*Display*

The system displays the name of the selected branch code.

**Account Type**

*Alphanumeric; 1 Character; Optional*

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

**Account Type Description**

*Display*

The system displays the name of the selected account type.

**Account Currency**

*Alphanumeric; 3 Characters; Optional*

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

**Currency Description**

*Display*

The system displays the name of the selected account currency code.

**Account Number**

*Alphanumeric; 16 Characters; Optional*

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

**Account Holder Name**

*Alphanumeric; 100 Characters; Optional*

Specify the name of the owner of the account holder.

**IBAN**

*Alphanumeric; 40 Characters; Optional*

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

**Verification Status**

*Optional*

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

- Verified
- Unverified

**Last Verified Date**

*Date Format; Optional*

Select the last verified date from the adjoining calendar.

## 2.45.7 Identification Details Tab

Click 'Identification Details' tab in 'Party Maintenance Detail' screen to specify the identification details.

The screenshot shows the 'Party Maintenance Detail' window with the 'Identification Details' tab selected. The window title is 'Party Maintenance Detail' and it has a 'Save' button at the top left. The form is divided into several sections:

- Party Information:** Party ID \* (text), Party Type \* (dropdown: Corporate), Protected Investor Level \* (dropdown: Unclassified), Preferred Currency (text), Preferred Currency Description (text).
- Personal Information:** Title \* Mr. (text), First Name \* (text), Middle Name (text), Last Name (text).
- Identification Details:** ID Reference Number (text), Identification Type (text), Identification Number (text), Place of Issue (text), Issuing Country (text), Date of Issue (calendar), Date of Expiry (calendar).
- User Information:** User Reference Number (text), ID Type Description (text), Issuing Authority (text), Place of Issue Description (text), Issuing Country Description (text), Verification Status (dropdown: Unverified), Last Verified Date (calendar).

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

You can specify the following details:

### ID Reference Number

*Alphanumeric; 16 Characters; Optional*

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

Once you specify the ID reference number, the system displays the following details:

- Identification Type
- Identification Number
- Place of Issue
- Issuing Country
- Date of Issue
- Date of Expiry
- User Reference Number
- ID Type Description

- Issuing Authority
- Place of Issue Description
- Issuing Country Description
- Verification Status
- Last Verified Date

If you have not specified ID reference number, then you need to fill the above details manually.

**User Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the user reference number.

**Identification Type**

*Alphanumeric; 3 Characters; Mandatory*

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

**ID Type Description**

*Display*

The system displays the description for the selected identification type.

**Identification Number**

*Alphanumeric; 50 Characters; Optional*

Specify the identification number.

**Issuing Authority**

*Alphanumeric; 50 Characters; Optional*

Specify the issuing authority details.

**Place of Issue**

*Alphanumeric; 3 Characters; Optional*

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

**Place of Issue Description**

*Display*

The system displays the description for the selected place of issue code.

**Issuing Country**

*Alphanumeric; 3 Characters; Optional*

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

**Issuing Country Description**

*Display*

The system displays the description for the selected issuing country code.

**Date of Issue**

*Date Format; Optional*

Select the date of issue from the adjoining calendar.

### Date of Expiry

*Date Format; Optional*

Select the date of expiry from the adjoining calendar.

### Verification Status

Optional

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

- Verified
- Unverified

### Last Verified Date

*Date Format; Optional*

Select the last verified date from the adjoining calendar.

## 2.45.8 Tax Compliance Tab

Click 'Tax Compliance' tab in 'Party Maintenance Detail' screen to specify the tax compliance details.

Party Maintenance Detail

Save

Party ID \*

Party Type \* Corporate

Protected Investor Level \* Unclassified

Preferred Currency

Preferred Currency Description

Title \* Mr.

First Name \*

Middle Name

Last Name

Individual Details Corporate Details Director Details Address Details Bank Details Identification Details **Tax Compliance** Add Info Details

1 of 1 Go

<input checked="" type="checkbox"/>	Tax Compliance	Compliance Description	Tax Jurisdiction	Tax Jurisdiction Compliance Description	Indicia	Compli
<input checked="" type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	No	Non f

Input by  DateTime  Mod No  Record Status

Authorized by  DateTime  Authorized

Cancel

You can specify the following details:

**Tax Compliance**

*Alphanumeric; 3 Characters; Mandatory*

Specify the tax compliance codes based on rules maintained at PARAMS. Alternatively, you can select tax compliance code from the option list. The list displays all valid tax compliance maintained in the system.

**Compliance Description**

*Display*

The system displays the description of the selected tax compliance code.

**Tax Jurisdiction**

*Alphanumeric; 3 Characters; Mandatory*

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

**Tax Jurisdiction Compliance Description**

*Display*

The system displays the description of the selected tax jurisdiction compliance code.

**Indicia**

*Optional*

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

- Yes
- No

**Compliance Status**

*Optional*

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

- Reportable
- Non Reportable



## 2.45.9 Add Info Details Tab

Click 'Add Info' tab in 'Party Maintenance Detail' screen to specify the mapped additional information.

Party Maintenance Detail

Save

Party ID \*

Party Type \* Individual

Protected Investor Level \* Unclassified

Preferred Currency

Preferred Currency Description

Title \* Mr.

First Name \*

Middle Name

Last Name

Individual Details Corporate Details Director Details Address Details Bank Details Identification Details Tax Compliance **Add Info Details**

1 of 1 Go

Other Info Field	Field Value
------------------	-------------

Input by  DateTime  Mod No  Record Status  Authorized by  DateTime  Authorized  **Cancel**

You can specify the following details:

### Other Info Field

*Display*

The system displays the other information maintained for party maintenance.

### Field Value

*Alphanumeric; 60 Characters; Optional*

Specify the field value.

---

#### Note

Add Info is module specific for TA and Pension Administration.

---

## 2.46 Party Maintenance Summary

This section contains the following topics:

- [Section 2.46.1, "Retrieving a Record in Party Maintenance Summary Screen"](#)

- [Section 2.46.2, "Editing Party Maintenance Record"](#)
- [Section 2.46.3, "Viewing Party Maintenance Record"](#)
- [Section 2.46.4, "Deleting Party Maintenance Record"](#)
- [Section 2.46.5, "Authorizing Party Maintenance Record"](#)
- [Section 2.46.6, "Amending Party Maintenance Record"](#)
- [Section 2.46.7, "Authorizing Amended Party Maintenance Record"](#)

## 2.46.1 **Retrieving a Record in Party Maintenance Summary Screen**

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

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

The screenshot shows the 'Party Maintenance Summary' application window. At the top, there are search options: 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this is a section for search criteria with the label 'Search Is Case Sensitive'. There are four filter fields: 'Authorized' (a dropdown menu), 'Party ID' (a text input field with a magnifying glass icon), 'Record Status' (a dropdown menu), and 'Party Type' (a dropdown menu). Below the filters is a table with columns: Authorized, Record Status, Party ID, Party Type, First Name, Last Name, Country of Birth, Middle Name, Title, and Nationality. The table is currently empty. At the bottom right of the window is an 'Exit' button.

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

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

---

**Note**

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

- Press F7
  - Input the Party ID
  - Press F8
- 

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

### **2.46.2 Editing Party Maintenance Record**

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

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

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

### **2.46.3 Viewing Party Maintenance Record**

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

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

## **2.46.4 Deleting Party Maintenance Record**

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

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

## **2.46.5 Authorizing Party Maintenance Record**

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

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

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

## **2.46.6 Amending Party Maintenance Record**

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

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

## **2.46.7 Authorizing Amended Party Maintenance Record**

An amended Party Maintenance record must be authorized for the amendment to be made effective in the system.

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

## 2.47 Employee Group Maintenance

This section contains the following topics:

- [Section 2.47.1, "Invoking Employee Group Maintenance Screen"](#)

### 2.47.1 Invoking Employee Group Maintenance Screen

You can define employer and employee groups using 'Employee Group Maintenance' screen. Only employers can maintain contribution percentage for a group of employees.

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

Portfolio ID *	Portfolio Description	Minimum Contribution % *	Maximum Contribution % *
----------------	-----------------------	--------------------------	--------------------------

You can specify the following details:

#### **Employer Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the employer code.

#### **Employer Name**

*Alphanumeric; 255 Characters; Mandatory*

Specify the name of the selected employer code. Alternatively, you can select employer name from the option list. The list displays all valid employer names maintained in the system.

#### **Group Code**

*Alphanumeric; 12 Characters; Mandatory*

Specify the group code.

#### **Group Description**

*Alphanumeric; 255 Characters; Mandatory*

Specify the description for the selected group code.

## **Portfolio Contribution Limits**

### **Portfolio ID**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Portfolio Description**

*Display*

The system displays the description for the selected portfolio ID.

### **Minimum Contribution %**

*Numeric; 5 Characters; Optional*

Specify the minimum contribution percentage for investment.

### **Maximum Contribution %**

*Numeric; 5 Characters; Optional*

Specify the maximum contribution percentage for investment.

You need to maintain at least one portfolio limits for a group. The system will validate the same, else will display an error message. The system will also validate if minimum contribution is greater than maximum contribution, else the system displays an error message as "E-MINMAXCONT - Minimum Contribution cannot be greater than Maximum contribution".

## **2.48 Employee Group Summary**

This section contains the following topics:

- [Section 2.48.1, "Retrieving Record in Employee Group Summary Screen"](#)
- [Section 2.48.2, "Editing Employee Group Record"](#)
- [Section 2.48.3, "Viewing Employee Group Record"](#)
- [Section 2.48.4, "Deleting Employee Group Record"](#)
- [Section 2.48.5, "Authorizing Employee Group Record"](#)
- [Section 2.48.6, "Amending Employee Group Record"](#)
- [Section 2.48.7, "Authorizing Amended Employee Group Record"](#)

### **2.48.1 Retrieving Record in Employee Group Summary Screen**

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

You can invoke the 'Employee Group Summary' screen by typing 'PASGRPMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. You can perform the following operations in 'Employee Group Summary' screen:

Specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Employer Code
- Group Code
- Group Description

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

## 2.48.2 Editing Employee Group Record

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

- Invoke the Employee Group Summary screen from the Browser.

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

### **2.48.3 Viewing Employee Group Record**

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

- Invoke the Employee Group Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Employee Group Details screen is displayed.

### **2.48.4 Deleting Employee Group Record**

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

- Invoke the Employee Group Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Employee Group Details 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.

### **2.48.5 Authorizing Employee Group Record**

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

- Invoke the Employee Group Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization field. You can only authorize unauthorized records. Accordingly, choose the unauthorized option.



- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Employee Group Details screen is displayed.
- Select Authorize operation from the Action List.

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

## **2.48.6 Amending Employee Group Record**

After a Employee Group Details 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 Employee Group Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Employee Group Details 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.

## **2.48.7 Authorizing Amended Employee Group Record**

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

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

## **2.49 Party Role Mapping**

This section contains the following topics:

- [Section 2.49.1, "Intermediary Hand-off from PA to TA"](#)
- [Section 2.49.2, "Invoking Party Role Mapping Screen"](#)
- [Section 2.49.3, "Employment History Button"](#)

### **2.49.1 Intermediary Hand-off from PA to TA**

Intermediary hand-off from TA to PA is as follows:

- Intermediaries and entities created in Integrated TA system will flow to PA system from TA. In Pension Administration, system will create party and automatically maps a party role as part of upload of these entities in the system.
- The system updates the external reference ID with the broker ID during broker upload into Pension Administration from TA

- For these intermediaries or entities, if investor role is attached and you try capture orders, the same will fail, as broker does not have ID details captured in TA.
- You need to the amend the party and add ID details else the transactions will not be successful.

---

### Note

This approach is supported for party role B - Broker only.

---

## 2.49.2 Invoking Party Role Mapping Screen

You can map roles to parties created through party maintenance system. You can map a party to multiple roles in the system using 'Role Mapping' screen. You can invoke this screen by typing 'PADPRROL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

### **Basic Information**

#### **Party Role**

*Alphanumeric; 2 Characters; Mandatory*

Specify the party role to which party ID is attached. Alternatively, you can select party role code from the option list. The list displays all valid party role code maintained in the system.

#### **Role Description**

*Display*

The system displays the description of the selected party role code.

#### **Party ID**

*Alphanumeric; 16 Characters; Mandatory*

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

**Party Name**

*Display*

The system displays the name of the selected party ID.

**External reference ID**

*Alphanumeric; 16 Characters; Optional*

Specify the employee reference ID.

If you have not specified the external reference ID, then the system will auto generate the same.

**Compliance Status**

*Optional*

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

- Yes
- No

**Employer Details****Employer Code**

*Alphanumeric; 12 Characters; Optional*

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

This data is mandatory if Employee (EP) is maintained as a party role.

**Employer Name**

*Display*

The system displays the name of the selected employer code.

**Employee ID**

*Alphanumeric; 20 Characters; Optional*

Specify the employee ID.

---

**Note**

For employee role, employee ID cannot be null. In same organisation, two employees cannot have same Employee ID.

---

**Date Of Joining**

*Date Format; Optional*

Select date of joining of the employee from the adjoining calendar.

If you do not specify date of joining details, then the system displays an error message as "Date of joining is blank".

Date of joining should not be greater than application date.

Date of joining should be greater than previous relieving date.

Date of joining can be modified only when employer code changes.

Date of joining should not get overlapped with the another employment for the same employee.

Date of joining should not get overlapped with the another employment for the same employee.

### Group Code

*Alphanumeric; 12 Characters; Optional*

Specify the group code. Alternatively, you can select group code from the option list. The list displays all valid group code maintained for the employer in the system,

### Group Description

*Display*

The system displays the description of the selected group code.

### Previous Relieving Date

*Date Format; Optional*

Select previous relieving date of the employee from the adjoining calendar.

When you map an employee with a new employer, the system will display a warning message that Relieving Date with previous employer is not updated. However, you can override this warning and map the employee to new employer.

Date of relieving should not be greater than application date.

Date of relieving should not be greater than or equal to the Max date of joining.

Date of relieving should not get overlapped with the another employment for the same employee.

You need to raise error if previous to previous employers relieving date is not updated. New mapping is not allowed in this case. You can change employment for a party through party role amendment

You can change the Date of Joining and if available can input the Previous relieving date.

The above validation is illustrated as follows:

Operation	Action	Employee	Employee ID	Employer	DOJ	Previous relieving date	Remarks	Result	Warning/Error message
NEW	New Employer	EMP0001	GO8239	GOOGLE	1-Jan-00	Blank	First Employer	Save with NO warning	No warning/error message

Operation	Action	Employee	Employee ID	Employer	DOJ	Previous relieving date	Remarks	Result	Warning/Error message
MODIFY	Change in employer	EMP0001	IN23222	INTEL	15-May-04	Blank	Warning will be shown as previous relieving date for GOOGLE is blank	Saving with warning	E-REL-DATE - Relieving date not updated for previous employer
MODIFY	Update relieving date	EMP0001	IN23222	INTEL	15-May-04	10-May-04	Relieving date for GOOGLE updated	Save with NO warning	No warning/error message
MODIFY	Change in employer	EMP0001	KY00023	KYCORP	20-Jan-12		Warning will be shown as previous relieving date of INTEL is blank	Saving with warning	E-REL-DATE - Relieving date not updated for previous employer

Operation	Action	Employee	Employee ID	Employer	DOJ	Previous relieving date	Remarks	Result	Warning/ Error message
MODIFY	Change in employer	EMP0001	IB03340	IBM			Since Relieving date for INTEL is not updated, user will not be allowed to switch from current employer KYCORP to new employer IBM	Error - Save not allowed	E-RELOLDEMP - Relieving date not updated for previous employer. New mapping not allowed.

### 2.49.3 Employment History Button

Click 'Employment History' button in 'Role Mapping' screen. The 'Employment History' screen is displayed. You can also invoke this screen by typing 'PADEHROL' in the field at the top

right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

The screenshot shows a web application window titled "Employment History". At the top, there is a search bar with the text "Execute Query" and two input fields labeled "Party ID" and "Party Name". Below the search bar is a table with a header row containing the following columns: "Employee ID", "Employer Code", "Employer Name", "Date Of Joining", "Previous Relieving Date", and "Log Date". The table body is currently empty. At the bottom right of the window, there is a "Cancel" button.

You can specify the following details:

**Party ID**

*Display*

The system displays the party ID mentioned in 'Role Mapping' screen.

**Party Name**

*Display*

The system displays the description of the selected party ID.

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

- Employee ID
- Employer Code
- Employer Name
- Date Of Joining
- Previous Relieving Date
- Log Date

## 2.50 Role Mapping Summary

This section contains the following topics:

- [Section 2.50.1, "Retrieving a Record in Role Mapping Summary Screen"](#)
- [Section 2.50.2, "Editing Role Mapping Record"](#)
- [Section 2.50.3, "Viewing Role Mapping Record"](#)
- [Section 2.50.4, "Deleting Role Mapping Record"](#)
- [Section 2.50.5, "Authorizing Role Mapping Record"](#)
- [Section 2.50.6, "Amending Role Mapping Record"](#)

- [Section 2.50.7, "Authorizing Amended Role Mapping Record"](#)

## 2.50.1 Retrieving a Record in Role Mapping Summary Screen

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

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

The screenshot shows the 'Role Mapping' application window. At the top, there are search options: 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, a section titled 'Search Is Case Sensitive' contains several search filters: 'Authorization Status' (a dropdown menu), 'Open' (a dropdown menu), 'Party Role' (a text input with a magnifying glass icon), 'External reference ID' (a text input with a magnifying glass icon), 'Employee ID' (a text input with a magnifying glass icon), 'Party ID' (a text input with a magnifying glass icon), and 'Employer Code' (a text input with a magnifying glass icon). Below the filters is a table with columns: 'Authorization Status', 'Open', 'Party Role', 'Party ID', 'External reference ID', 'Employer Code', 'Employee ID', and 'Compliance Status'. The table is currently empty. At the bottom right of the window is an 'Exit' button.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Party Role
- External Reference ID
- Employee ID
- Party ID
- Employer Code

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



---

**Note**

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

- Press F7
  - Input the Party ID
  - Press F8
- 

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

## **2.50.2 Editing Role Mapping Record**

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

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

Click Save to save your changes. The Role Mapping Detail screen is closed and the changes made are reflected in the Role Mapping Summary screen.

## **2.50.3 Viewing Role Mapping Record**

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

- Invoke the Role Mapping 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 Role Mapping Detail screen is displayed in View mode.

## **2.50.4 Deleting Role Mapping Record**

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

- Invoke the Role Mapping 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 Role Mapping Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.50.5 Authorizing Role Mapping Record**

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

- Invoke the Role Mapping 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 Role Mapping Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.50.6 Amending Role Mapping Record**

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

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

### **2.50.7 Authorizing Amended Role Mapping Record**

An amended Role Mapping record must be authorized for the amendment to be made effective in the system.

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

## 2.51 Investment Account

This section contains the following topics:

- [Section 2.51.1, "Invoking Investment Account Detail Screen"](#)
- [Section 2.51.2, "Basic Info Tab"](#)
- [Section 2.51.3, "Intermediary Tab"](#)
- [Section 2.51.4, "Bank Details Tab"](#)
- [Section 2.51.5, "Beneficiary Details Tab"](#)
- [Section 2.51.6, "Joint Account Details Tab"](#)
- [Section 2.51.7, "Nominee Details Tab"](#)
- [Section 2.51.8, "Add Info Details Tab"](#)

### 2.51.1 Invoking Investment Account Detail Screen

If KYCAML client country is switched ON in LOB schema, then:

- A new UH category called 'P-PENSION to be made available
- KYCAML setup should not be done for this category investor accounts
- ALLKYC received for PAS accounts and transactions will be stamped as Yes.

You can capture the investment account for parties using 'Investment Account Detail' screen. You can invoke this screen by typing 'PADINVAC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot displays the 'Investment Account Detail' application window. At the top, there is a 'Save' button. Below it, there are input fields for 'Account ID', 'Party ID', 'User Reference Number\*', and 'Party Name'. A tabbed interface is visible with 'Basic Info' selected, and other tabs include 'Intermediary', 'Bank Details', 'Beneficiary Details', 'Joint Account Details', 'Nominee Details', and 'Add Info Details'. The 'Basic Information' section contains several fields: 'Account Operation Type\*' (set to 'Single'), 'Account Opening Date\*' (set to '2015-01-13'), 'Investor Type', 'Investor Category\*', 'Dealing Type', 'Guardian ID', 'Account Status' (set to 'N'), 'Pension Account' (set to 'N'), and 'Account Closure Status'. On the right side of this section, there are dropdown menus for 'Investor Type Description', 'Investor Category Description', 'Dealing Type Description', 'Guardian Name', 'Account Status Description' (set to 'Normal'), and 'Pension Account Description' (set to 'No'). At the bottom, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorization Status', along with a 'Cancel' button.

You can specify the following details:

#### **Account ID**

##### *Display*

The system auto generates the account ID.

### User Reference Number

*Alphanumeric; 16 Characters; Mandatory*

Specify the user reference number.

### Party ID

*Alphanumeric; 12 Characters; Mandatory*

Specify the party ID for which the investment account is created. Alternatively, you can select party ID from the option list. The list displays all valid party ID maintained in the system.

### Party Name

*Display*

The system displays the name of the selected party ID.

## 2.51.2 Basic Info Tab

Click 'Basic Info' tab in 'Investment Account Detail' screen to specify basic information.

The screenshot shows the 'Investment Account Detail' window with the 'Basic Info' tab selected. The form contains the following fields and values:

- Account ID: [Empty]
- Party ID: [Empty]
- User Reference Number\*: [Empty]
- Party Name: [Empty]
- Account Operation Type\*: Single (dropdown)
- Account Opening Date\*: 2015-01-13 (calendar icon)
- Investor Type: [Empty]
- Investor Category\*: [Empty]
- Dealing Type: [Empty]
- Guardian ID: [Empty]
- Account Status: N
- Pension Account: N
- Account Closure Status: [Empty]
- Investor Type Description: [Empty]
- Investor Category Description: [Empty]
- Dealing Type Description: [Empty]
- Guardian Name: [Empty]
- Account Status Description: Normal
- Pension Account Description: No

At the bottom, there are input fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorization Status', along with a 'Cancel' button.

### Basic Information

#### Account Operation Type

*Mandatory*

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

- Single
- Joint

#### Account Opening Date

*Date Format Mandatory*

Select the account opening date from the adjoining calendar.

**Investor Type**

*Alphanumeric; 2 Characters; Optional*

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

**Investor Type Description**

*Display*

The system displays the description of the selected investor type.

**Investor Category**

*Alphanumeric; 2 Characters; Mandatory*

Specify the investor's category. Alternatively, you can select the investor category from option list. The list displays all valid investor categories maintained in the system.

**Investor Category Description**

*Display*

The system displays the description for the selected investor category.

**Dealing Type**

*Alphanumeric; 3 Characters; Optional*

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

**Dealing Type Description**

*Display*

The system displays the description of the selected dealing type.

**Guardian ID**

*Alphanumeric; 12 Characters; Optional*

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

**Guardian Name**

*Display*

The system displays the name of the selected guardian ID.

**Account Status**

*Alphanumeric; 1 Character; Optional*

The system displays the status of the account. However, you can amend this value. Alternatively, you can select account status from option list. The list displays all valid account status maintained in the system.

**Account Status Description**

*Display*

The system displays the description of the selected account status.

**Pension Account**

*Alphanumeric; 1 Character; Optional*

The system displays the status of the pension account. However, you can amend this value. Alternatively, you can select pension account status from option list. The list displays all valid pension account status maintained in the system.

## Pension Account Description

### Display

The system displays the description of the selected pension account status.

## Account Closure Status

### Display

The system displays the status of the closure of the account.

### 2.51.3 Intermediary Tab

Click 'Intermediary' tab in 'Investment Account Detail' screen to specify intermediary details screen.

The screenshot shows the 'Investment Account Detail' window. At the top, there is a 'Save' button. Below it are input fields for 'Account ID', 'User Reference Number\*' (in red), 'Party ID', and 'Party Name'. A tabbed interface below these fields has 'Intermediary' selected. The table below the tabs has the following structure:

Intermediary ID	Intermediary Name	Split Percentage *	Default *
			Yes

At the bottom of the window, there is a metadata section with the following fields: Input by, Authorized by, DateTime, Mod No, Record Status, and Authorization Status. A 'Cancel' button is located on the right side of this section.

You can specify the following details:

### Intermediary ID

*Alphanumeric; 12 Characters; Optional*

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

### Intermediary Name

#### Display

The system displays the name of the selected intermediary ID.

### Split Percentage

*Numeric; 3 Characters; Mandatory*

Specify the split percentage details.

The sum total should be 100.

## Default

### Mandatory

Select if the values has to be defaulted or not from the drop-down list. The list displays the following values:

- Yes
- No

## 2.51.4 Bank Details Tab

Click 'Bank Details' tab in 'Investment Account Detail' screen to specify the bank details.

The screenshot shows the 'Investment Account Detail' window. At the top, there are input fields for 'Account ID', 'Party ID', 'User Reference Number \*', and 'Party Name'. Below these are several tabs: 'Basic Info', 'Intermediary', 'Bank Details' (highlighted in red), 'Beneficiary Details', 'Joint Account Details', 'Nominee Details', and 'Add Info Details'. A table below the tabs has columns for 'Bank Reference Number' (with a search icon), 'Default \*' (with a 'No' dropdown), 'Direct Debit Applicable \*' (with a 'Yes' dropdown), and 'Bank Details' (with a 'Bank Details' button). At the bottom of the window, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorization Status', along with a 'Cancel' button.

You can specify the following details:

### Bank Reference Number

#### Alphanumeric; 16 Characters; Optional

Specify the bank reference number. Alternatively, you can select bank reference number from the option list. The list displays all valid bank accounts mapped to the party.

## Default

### Mandatory

Select if the bank details has to be defaulted or not from the drop-down list. The list displays the following values:

- Yes
- No

### Direct Debit Applicable

#### Mandatory

Select if direct debit is applicable or not from the drop-down list. The list displays the following values:

- Yes
- No

### 2.51.4.1 Bank Details Button

Click 'Bank Details' button in 'Investment Account Detail' screen. The 'Bank Details' screen is displayed (PADBKDET).

Bank Details

Save

Bank Reference Number

Bank\*  [🔗](#)

Branch\*  [🔗](#)

Account Type\*  [🔗](#)

Account Currency\*  [🔗](#)

Account Number\*

Account Holder Name\*

IBAN

User Reference Number

Bank Description

Branch Description

Account Type Description

Account Currency Description

Verification Status

Last Verified Date  [📅](#)

Input by  DateTime  Mod No  Record Status

Authorized by  DateTime  Authorized

Cancel

The system displays the following details:

- Bank Reference Number
- Bank
- Branch
- Account Type
- Account Currency
- Account Number
- Account Holder Name
- IBAN
- User Reference Number
- Bank Description
- Branch Description
- Account Type Description
- Account Currency Description
- Verification Status
- Last Verified Date



## 2.51.5 Beneficiary Details Tab

Click 'Beneficiary Details' tab in 'Investment Account Detail' screen to specify the beneficiary details.

The screenshot displays the 'Investment Account Detail' window with the 'Beneficiary Details' tab selected. The form includes the following fields:

- Account ID
- Party ID
- User Reference Number \*
- Party Name

The navigation tabs are: Basic Info, Intermediary, Bank Details, **Beneficiary Details**, Joint Account Details, Nominee Details, and Add Info Details.

A table below the tabs shows the beneficiary details:

Beneficiary Type	Beneficiary ID	Beneficiary Name	Award Percentage *
Primary			

The bottom section of the form contains the following fields:

- Input by
- Authorized by
- DateTime
- Mod No
- Record Status
- Authorization Status

A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

### Beneficiary Type

*Optional*

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

- Primary
- Secondary

### Beneficiary ID

*Alphanumeric; 12 Characters; Optional*

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

### Beneficiary Name

*Display*

The system displays the name of the selected beneficiary ID.

### Award Percentage

*Numeric; 3 Characters; Mandatory*

Specify the beneficiary award percentage.

The sum total should be 100.

## 2.51.6 Joint Account Details Tab

Click 'Joint Account Details' tab in 'Investment Account Detail' screen to specify the joint account details.

The screenshot displays the 'Investment Account Detail' application window. At the top, there is a 'Save' button. Below it are input fields for 'Account ID', 'Party ID', 'User Reference Number\*' (with a red asterisk indicating it is required), and 'Party Name'. A series of tabs is visible: 'Basic Info', 'Intermediary', 'Bank Details', 'Beneficiary Details', 'Joint Account Details' (which is highlighted in red), 'Nominee Details', and 'Add Info Details'. Below the tabs is a table with the following structure:

Joint Holder Type	Joint Holder ID	Joint Holder Name
First		

At the bottom of the screen, there are several input fields: 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorization Status'. A 'Cancel' button is located on the right side of this section.

You can specify the following details:

### Joint Holder Type

*Optional*

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

- First
- Second
- Third

### Joint Holder ID

*Alphanumeric; 12 Characters; Optional*

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

### Joint Holder Name

*Display*

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

## 2.51.7 Nominee Details Tab

Click 'Nominee Details' tab in 'Investment Account Detail' screen to specify the nominee details.

Investment Account Detail

Save

Account ID  User Reference Number\*

Party ID  Party Name

Basic Info | Intermediary | Bank Details | Beneficiary Details | Joint Account Details | **Nominee Details** | Add Info Details

1 of 1 Go

<input checked="" type="checkbox"/> Nominee Type	Nominee ID	Nominee Name	Award Percentage *
<input checked="" type="checkbox"/> First	<input type="text"/>	<input type="text"/>	<input type="text"/>

Input by \_\_\_\_\_ DateTime \_\_\_\_\_ Mod No \_\_\_\_\_ Record Status \_\_\_\_\_

Authorized by \_\_\_\_\_ DateTime \_\_\_\_\_ Authorization Status \_\_\_\_\_

Cancel

You can specify the following details:

### Nominee Type

*Optional*

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

- First
- Second
- Third

### Nominee ID

*Alphanumeric; 12 Characters; Optional*

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

### Nominee Name

*Display*

The system displays the name of the selected nominee ID.

### Award Percentage

*Numeric; 3 Characters; Mandatory*

Specify the nominee award percentage.

The sum total should be 100.

## 2.51.8 Add Info Details Tab

Click 'Add Info' tab in 'Investment Account Detail' screen to specify the mapped additional information.

The screenshot shows the 'Investment Account Detail' window. At the top, there is a 'Save' button. Below it are input fields for 'Account ID', 'Party ID', 'User Reference Number\*' (with a red asterisk), and 'Party Name'. A horizontal tab bar contains several tabs: 'Basic Info', 'Intermediary', 'Bank Details', 'Beneficiary Details', 'Joint Account Details', 'Nominee Details', and 'Add Info Details' (which is highlighted in red). Below the tabs is a table with two columns: 'Other Info Field' and 'Field Value'. The table is currently empty. At the bottom of the window, there is a footer area with several fields: 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorization Status'. A 'Cancel' button is located in the bottom right corner of this footer area.

You can specify the following details:

### **Other Info Field**

#### *Display*

The system displays the other information maintained for investment account.

### **Field Value**

*Alphanumeric; 60 Characters; Optional*

Specify the field value.

## 2.52 Investment Account Summary

This section contains the following topics:

- [Section 2.52.1, "Retrieving a Record in Investment Account Summary Screen"](#)
- [Section 2.52.2, "Editing Investment Account Record"](#)
- [Section 2.52.3, "Viewing Investment Account Record"](#)
- [Section 2.52.4, "Deleting Investment Account Record"](#)
- [Section 2.52.5, "Authorizing Investment Account Record"](#)
- [Section 2.52.6, "Amending Investment Account Record"](#)
- [Section 2.52.7, "Authorizing Amended Investment Account Record"](#)

### 2.52.1 Retrieving a Record in Investment Account Summary Screen

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

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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Account ID
- Party ID
- User Reference Number
- Account Opening Date

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

---

**Note**

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

- Press F7
- Input the Account ID

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

### **2.52.2 Editing Investment Account Record**

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

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

Click Save to save your changes. The Investment Account Detail screen is closed and the changes made are reflected in the Investment Account Summary screen.

### **2.52.3 Viewing Investment Account Record**

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

- Invoke the Investment Account 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 Investment Account Detail screen is displayed in View mode.

### **2.52.4 Deleting Investment Account Record**

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

- Invoke the Investment Account 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 Investment Account Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.52.5 Authorizing Investment Account Record**

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

- Invoke the Investment Account 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 Investment Account Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.52.6 Amending Investment Account Record**

After a Investment Account 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 Investment Account 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 Investment Account Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.52.7 Authorizing Amended Investment Account Record**

An amended Investment Account record must be authorized for the amendment to be made effective in the system.

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

## **2.53 Investment Account Status Change Maintenance**

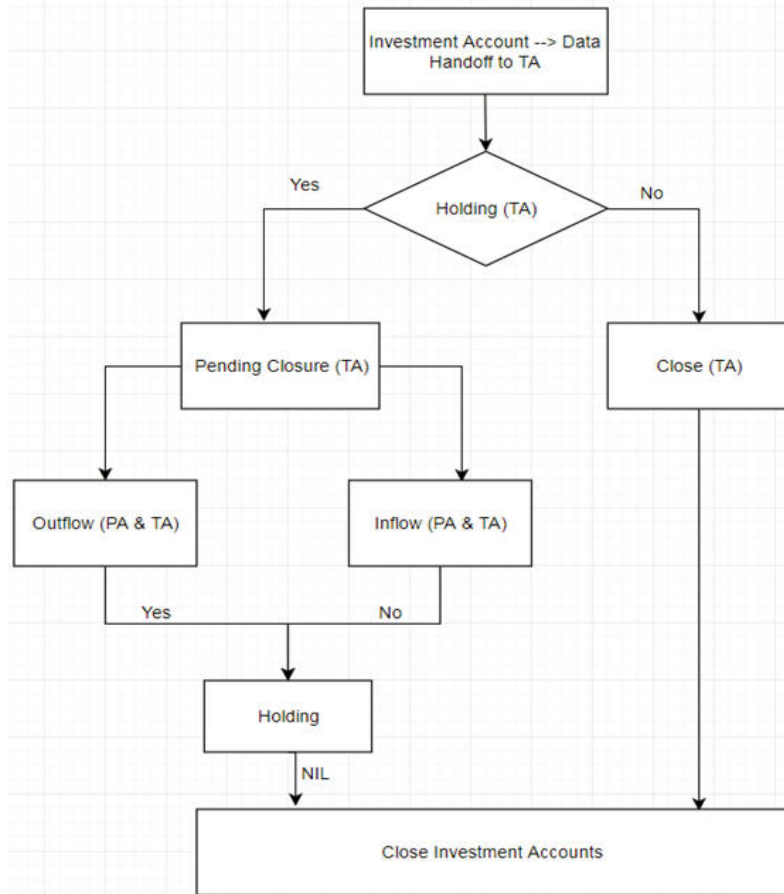
This section contains the following topics:

- [Section 2.53.1, "Invoking Investment Account Status Change Detail Screen"](#)

## 2.53.1 Invoking Investment Account Status Change Detail Screen

If an account has units, status of account will be pending closure when it is marked to closed. After this no inflows will be allowed to the account. Also, you can redeem the account completely through withdrawals and can mark it to closure.

You can change the status of an investment account for a particular party using 'Investment Account Status Change Detail' screen. .



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

Investment Account Status Change Detail
— ✕

Save

Account ID

Party ID

Closure Remarks

Account Status Active

Change Date

Party Name

Closure Reference No

Current Status

Input by

Authorized by

DateTime

DateTime

Mod No

Record Status

Authorization Status



You can specify the following details:

**Account ID**

*Alphanumeric; 16 Characters; Optional*

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

**Party ID**

*Display*

The system displays the party ID for the selected account ID.

**Party Name**

*Display*

The system displays the party name for the selected account ID.

**Change Date**

*Date Format; Optional*

Select the change date from the adjoining calendar.

**Closure Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

**Closure Reference No**

*Alphanumeric; 16 Characters; Optional*

Specify the closure reference number.

**Account Status**

*Optional*

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

- Active
- Closed

**Current Status**

*Display*

The system displays the current status of the account.

For the accounts closed in PAS (with Closed Account field set to Yes), the system will send the investment account hand-off file to TA. Upon receiving the file, TA will trigger UH account closure for all unit holders under the account.

## **2.54 Investment Account Status Change Summary**

This section contains the following topic:

- [Section 2.54.1, "Retrieving a Record in Investment Account Status Change Summary Screen"](#)
- [Section 2.54.2, "Editing Investment Account Status Change Record"](#)
- [Section 2.54.3, "Viewing Investment Account Status Change Record"](#)
- [Section 2.54.4, "Deleting Investment Account Status Change Record"](#)
- [Section 2.54.5, "Authorizing Investment Account Status Change Record"](#)

- [Section 2.54.6, "Amending Investment Account Status Change Record"](#)
- [Section 2.54.7, "Authorizing Amended Investment Account Status Change Record"](#)

### 2.54.1 Retrieving a Record in Investment Account Status Change Summary Screen

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

Invoke the 'Investment Account Status Change Summary' screen by typing 'PASACCLS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Account ID
- Change Date
- Closure Reference No

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

---

#### Note

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

- Press F7
  - Input the Account ID
  - Press F8
-

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

## **2.54.2 Editing Investment Account Status Change Record**

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

- Invoke the Investment Account Status Change 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 Investment Account Status Change Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The Investment Account Status Change Detail screen is closed and the changes made are reflected in the Investment Account Status Change Summary screen.

## **2.54.3 Viewing Investment Account Status Change Record**

To view a record that you have previously input, you must retrieve the same in the Investment Account Status Change Summary screen as follows:

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

## **2.54.4 Deleting Investment Account Status Change Record**

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

- Invoke the Investment Account Status Change 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 Investment Account Status Change Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.54.5 Authorizing Investment Account Status Change Record**

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

- Invoke the Investment Account Status Change 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 Investment Account Status Change Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.54.6 Amending Investment Account Status Change Record**

After a Investment Account Status Change 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 Investment Account Status Change 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 Investment Account Status Change Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.54.7 Authorizing Amended Investment Account Status Change Record**

An amended Investment Account Status Change record must be authorized for the amendment to be made effective in the system.

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

## **2.55 Portfolio Mapping**

This section contains the following topics

- [Section 2.55.1, "Mapping Portfolios"](#)
- [Section 2.55.2, "Invoking Portfolio Mapping Screen"](#)

### **2.55.1 Mapping Portfolios**

Any investment into instruments can be done under a portfolio, hence portfolio mapping is mandatory for any investments. Online screens will list the mapped portfolios for the parties.

You can define the portfolio for party role combination using 'Portfolio Mapping' screen. You can map the portfolio for the following roles:

- Portfolio mapping for Employer - Its mandatory that portfolio mapping should be done for each portfolio at employer level and this will be used as default asset allocation for all employees under the employer. Upon selection of the instrument, the system will default all the assets pertaining to the instrument along with default ratio and overridable indicator.
- Portfolio mapping for Employee - The system will not allow portfolio mapping for employees if the same is not done for employer. The Employee assets is a subset of employers assets defined as part of employer portfolio. You can define multiple portfolios and their underlying instruments and assets. Upon selection of the instrument, the system will default all the assets pertaining to the instrument along with default ratio and overridable indicator
- Portfolio mapping for Private Investor - You can define multiple portfolios and their underlying instruments and assets. Once you select an instrument, the system will list down all the instruments under the portfolio. Upon selection of the instrument, the system will default all the assets pertaining to the instrument along with default ratio and overridable indicator.

### **Mapping Normal Portfolio**

You can map one or more portfolios for a Party by selecting the party role, party ID and account ID. You need not specify Model portfolio ID for normal portfolio mapping.

On click of Portfolio details, system defaults the instruments mapped under a portfolio in portfolio definition for which instrument ratio is defined.

Portfolio Details button will always default the instruments and assets from portfolio definition screen for all the portfolios in selected. Any ratio overridden will also get replaced during defaulting.

Instruments without ratio defined at portfolio definition will not be defaulted, but you can add them manually. For normal portfolios, you can override the asset ratio, if it is overridable at instrument level

The system will validate that the sum of instrument ratio under a portfolio should be equal to 100. The sum of asset ratio under an instrument should also be equal to 100.

You can amend a portfolio mapping and attach a model portfolio, You can click on 'Portfolio Details' button to populate the instruments and assets of attached model portfolio.

### **Model Portfolio Mapping**

You can map a model portfolio against each portfolio, using the 'Model Portfolio ID' field under 'Portfolio Details' section.

Model portfolio is an optional field, if not provided, system will default the instruments and assets of actual portfolio mapped (Portfolio ID)

On click of 'Portfolio Details' button, system will default the instruments mapped under a portfolio in portfolio definition for which instrument ratio is defined.

Model Portfolio option list will fetch valid Model Portfolio ID's defined in 'Portfolio Definition' screen with model portfolio field enabled (Y). Closed model portfolios will not be fetched in the option list.

Model portfolio instrument and assets must be a subset of actual portfolio (Portfolio ID) instrument and assets only. The system will display the following error message if Model Portfolio has an instruments or assets which are not mapped to actual Portfolio:

E-INVMODELPPF - Model Portfolio has an instruments or assets which are not mapped to actual Portfolio

On selecting the model portfolio and clicking 'Portfolio Details' button, below grid section of Instrument and Asset Details will populate the model portfolio – Instrument and assets (with ratio) set up at 'Portfolio Definition (PADPFDFN)' section. This is not amendable.

The sum of instrument ratio for a portfolio should be equal to 100. and the sum of asset ratio for an instrument should be equal to 100

Asset ratio defaulted from portfolio definition cannot be modified in mapping screen even if it's over ridable at instrument level for model portfolios. If you try to modify the instrument ratio, system will display an error message as 'E-MODPFMODIFY - Instrument Details cannot be modified for a Model portfolio' during amendment of model portfolio.

During amendment if you clear the model portfolio ID mapped for a portfolio, system WILL NOT automatically default the assets of actual portfolio. You needs to add the assets manually. or use default portfolio button to default the instruments and assets.

On save system will always validate whether the instruments and assets belong to the model portfolio (if mapped) or actual portfolio (in case of no model portfolio mapped).

## 2.55.2 Invoking Portfolio Mapping Screen

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

The screenshot shows the 'Portfolio Mapping' application window. It features a 'Save' button at the top left. The main content area is divided into several sections:

- Party Details:** Includes input fields for Party Role, Party ID, and Account ID, and read-only fields for Role Description and Party Name.
- Portfolio Details:** Includes input fields for Portfolio ID and Model Portfolio ID, and read-only fields for Portfolio Description and Model Portfolio Description. A 'Portfolio Details' button is located to the right.
- Instrument Details:** Includes input fields for Instrument ID and Instrument Ratio, and a read-only field for Instrument Name. An 'Instrument Details' button is located to the right.
- Asset Details:** A table with columns for Asset ID, Asset Name, Ratio, and Override. The table is currently empty.

At the bottom of the window, there are fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorization Status'. A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

**Party Role**

*Alphanumeric; 16 Characters; Mandatory*

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

**Role Description**

*Display*

The system displays the description of the selected party role ID.

**Party ID**

*Alphanumeric; 16 Characters; Mandatory*

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

**Party Name**

*Display*

The system displays the name of the selected party ID.

**Account ID**

*Alphanumeric; 16 Characters; Optional*

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

**Portfolio Details**

**Portfolio ID**

*Alphanumeric; 16 Characters; Mandatory*

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

**Portfolio Description**

*Display*

The system displays the description of the selected portfolio ID.

**Model Portfolio ID**

*Alphanumeric; 16 Characters; Mandatory*

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

**Model Portfolio Description**

*Display*

The system displays the description for the selected model portfolio ID.

Click 'Portfolio Details Button' to default the instrument details and underlying asset details for the portfolio. These details cannot be overridden.

## **Instrument Details**

### **Instrument ID**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Instrument Name**

*Display*

The system displays the description of the selected instrument ID.

### **Instrument Ratio**

*Numeric; 5 Characters; Mandatory*

Specify the instrument ratio.

## **Asset Details**

After specifying the mandatory details, click 'Instrument Details' button. The system displays the following values:

- Asset ID
- Asset Name
- Ratio
- Override

## **2.56 Portfolio Mapping Summary**

This section contains the following topics:

- [Section 2.56.1, "Retrieving a Record in Portfolio Mapping Summary Screen"](#)
- [Section 2.56.2, "Editing Portfolio Mapping Record"](#)
- [Section 2.56.3, "Viewing Portfolio Mapping Record"](#)
- [Section 2.56.4, "Deleting Portfolio Mapping Record"](#)
- [Section 2.56.5, "Authorizing Portfolio Mapping Record"](#)
- [Section 2.56.6, "Amending Portfolio Mapping Record"](#)
- [Section 2.56.7, "Authorizing Amended Portfolio Mapping Record"](#)

### **2.56.1 Retrieving a Record in Portfolio Mapping Summary Screen**

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



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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Party ID
- Party Role
- Account ID

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

---

#### Note

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

- Press F7
  - Input the Party ID
  - Press F8
-

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

## **2.56.2 Editing Portfolio Mapping Record**

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

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

Click Save to save your changes. The Portfolio Mapping Detail screen is closed and the changes made are reflected in the Portfolio Mapping Summary screen.

## **2.56.3 Viewing Portfolio Mapping Record**

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

- Invoke the Portfolio Mapping 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 Portfolio Mapping Detail screen is displayed in View mode.

## **2.56.4 Deleting Portfolio Mapping Record**

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

- Invoke the Portfolio Mapping 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 Portfolio Mapping Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.56.5 Authorizing Portfolio Mapping Record**

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

- Invoke the Portfolio Mapping 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 Portfolio Mapping Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.56.6 Amending Portfolio Mapping Record**

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

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

### **2.56.7 Authorizing Amended Portfolio Mapping Record**

An amended Portfolio Mapping record must be authorized for the amendment to be made effective in the system.

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

## **2.57 Investment Detail**

This section contains the following topics:

- [Section 2.57.1, "Invoking Investment Detail Screen"](#)
- [Section 2.57.2, "Order Details Tab"](#)
- [Section 2.57.3, "Instrument Details Tab"](#)
- [Section 2.57.4, "Intermediary Details Tab"](#)
- [Section 2.57.5, "Add Info Details Tab"](#)
- [Section 2.57.6, "Settlement Details Button"](#)

- [Section 2.57.7, "Allocation Details Button"](#)
- [Section 2.57.8, "Charge Details Button"](#)

### **2.57.1 Invoking Investment Detail Screen**

You can maintain investment details for the parties under a portfolio. You can map a portfolio before capturing investments for a party. The system will not allow you to capture the parties without ID details and address details.

#### **For group pension – auto contributions**

The employer level portfolio is mandatory for the portfolios in which employee invests in.

For group pensions, if in case employee portfolio details are not maintained and the transaction comes in for employee for the transacted portfolio, then the system follows the employer portfolio set up.

In case employee portfolio details are not maintained and adjustment transaction comes in for employee investment screen (online), the transaction will fail. For adjustment transaction portfolio mapping is mandatory for the employee.

When investment is done for the first time, TA system will trigger UH Account creation, number of UH being created depends on the number of portfolio mapping done for that investment account.

For Portfolio-Instrument-Account combination, the system creates an UH in TA.

In case only employer portfolio mapping is done for group pension, then the system will create 2 UH for employer and employee.

#### **Reversal of Investment order**

Once record gets reversed, then the system generated new investment order with reference number of original investment order. In the reversed record, Gross order value, Net order value and payment amount will become '0'.

The Order status of Reversed record will be Reversed. You can amend the order before handoff.

You can maintain investment detail using 'Investment Detail' screen. You can invoke this screen by typing 'PADINVDE' 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:

### Order Number

#### Display

The system displays the order number.

### Reference Number

*Alphanumeric; 16 Characters; Optional*

Specify the reference number,

### Portfolio ID

*Alphanumeric; 16 Characters; Mandatory*

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

### Portfolio Description

#### Display

The system displays the description of the selected portfolio ID.

### Instruction Date

*Date Format; Mandatory*

The system defaults the application date. However, you can amend this value to specify the future date.

---

### Note

Future date cannot be a system holiday. The system does not allow back dated instructions.

---

If holiday is declared after maintaining a future dated instruction, system will not update the order details automatically.

After specifying the mandatory details, click 'Enrich' button. The system displays the party details based on the portfolio ID selected.

## 2.57.2 Order Details Tab

Click 'Order Details' tab in 'Investment Detail' screen to specify order details.

Investment Detail

Save

Order Number

Reference Number

Portfolio ID \*

Portfolio Description

Instruction Date \* 2015-02-17

Enrich

Reset

Order Details | Instrument Details | Intermediary Details | Add Info Details

Party ID

Party Name

Account ID

Remarks

Investment Order Type \* 1

Order Type Description Investment

Order Currency \*

Currency Description

Payment Mode \* T

Payment Mode Description Money Transfer

Order Mode Amount

Order Status

Gross Order Value \*

Order Value

Settlement Details | Allocation Details | Charge Details

Input By

DateTime

Authorized Unauthorized

Authorized By

DateTime

Open Open

Cancel

You can specify the following details:

### **Party ID**

*Display*

The system displays the party ID based on the portfolio ID selected.

### **Party Name**

*Display*

The system displays the name of the party based on the portfolio ID selected.

### **Account ID**

*Display*

The system displays the account number of the party based on the portfolio ID selected.

### **Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

### **Investment Order Type**

*Alphanumeric; 3 Characters; Mandatory*

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

**Order Type Description***Display*

The system displays the description of the selected investment order type.

**Order Currency***Alphanumeric; 3 Characters; Mandatory*

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

**Currency Description***Display*

The system displays the description of the selected order currency code.

**Payment Mode***Alphanumeric; 2 Characters; Mandatory*

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

**Payment Mode Description***Display*

The system displays the description of the selected payment mode.

**Order Mode***Display*

The system displays the mode or order.

**Order Status***Display*

The system displays the status of the order.

**Gross Order Value***Numeric; 30 Characters; Mandatory*

Specify the gross order value.

**Order Value***Display*

The system displays the net amount.

The system calculates the order value as follows:

$$\text{Order Value} = \text{Gross Order Value} - \text{Pension Charge}$$

**Examples for 'Investment Charge Calculations**

Charge Maintenance -PADCMDET

Charge ID	From Amount	To Amount	Return Value
INVCHG	0	10000	2%
	10000	35000	1.50%
	35000	50000	1%
	50000	99999999	0.125%

### Net order value Calculations

Investment Value (Gross)	Charge Value Computed	Net order value
8000	160	7840
13500	202.5	13297.5
15000	225	14775
100000	125	99875
50001	62.50125	49938.499

### 2.57.3 Instrument Details Tab

Click 'Instrument Details' tab in 'Investment Detail' screen to specify the instrument details.

The screenshot shows the 'Investment Detail' application window. The 'Instrument Details' tab is selected. The form includes the following fields and controls:

- Order Number: Text input field.
- Reference Number: Text input field.
- Portfolio ID\*: Text input field with a search icon.
- Portfolio Description: Text input field with a search icon.
- Instruction Date\*: Date input field showing '01/02/2015'.
- Enrich and Reset: Blue buttons.
- Order Details | **Instrument Details** | Intermediary Details | Add Info Details: Tabbed navigation.
- Instrument ID\*: Text input field with a search icon.
- Instrument Name: Text input field with a search icon.
- Instrument Ratio: Text input field.
- Table with columns: Asset ID\*, Asset Name, Ratio, Overridable. The first row shows a checked checkbox for Asset ID, a search icon, and the value 'No' in the Overridable column.
- Settlement Details | Allocation Details | Charge Details: Additional tabs.
- Bottom section: Input By, Authorized By, DateTime, Record Status, Authorized, Unauthorized, Open, and a Cancel button.

You can specify the following details:

#### **Instrument ID**

*Alphanumeric; 16 Characters; Mandatory*

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

#### **Instrument Name**

*Display*

The system displays the name of the instrument for the selected instrument ID.



### Instrument Ratio

*Numeric; 5 Characters; Optional*

Specify the numeric ratio.

### Asset ID

*Alphanumeric; 16 Characters; Mandatory*

The system defaults the asset ID based on the instrument ID selected. However, you can amend this value if 'Overridable' field is set to 'Yes'.

### Asset Name

*Display*

The system displays the name of the selected asset ID.

### Ratio

*Numeric; 5 Characters; Optional*

Specify the ratio.

### Overridable

*Mandatory*

Select 'Yes' option from the drop-down list to over-write the instrument details. Else select 'No'.

## 2.57.4 Intermediary Details Tab

Click 'Intermediary Details' tab in 'Investment Detail' screen to specify intermediary details.

The screenshot shows the 'Investment Detail' application window. At the top, there is a 'Save' button. Below it, there are input fields for 'Order Number', 'Reference Number', 'Portfolio ID\*' (with a search icon), and 'Instruction Date\*' (with a calendar icon). There are also 'Enrich' and 'Reset' buttons. A tabbed interface is visible with 'Intermediary Details' selected. Below the tabs is a table with columns: 'Intermediary ID', 'Intermediary Name', and 'Split Percentage'. The table has one row with a search icon in the first column. At the bottom, there are fields for 'Input By', 'Authorized By', 'DateTime', 'Record Status', and 'Open', along with a 'Cancel' button.

You can specify the following details:

### Intermediary ID

*Alphanumeric; 12 Characters; Optional*

The system displays the intermediary ID based on the investment account. However, you can override the same.

## Intermediary Name

*Display*

The system displays the name of the selected intermediary ID.

## Split Percentage

*Numeric; 3 Characters; Optional*

Specify the split percentage details.

The sum total should be 100.

## 2.57.5 Add Info Details Tab

Click 'Add Info Details' tab in 'Investment Detail' screen to specify the mapped additional information.

The screenshot shows the 'Investment Detail' application window. At the top, there is a 'Save' button. Below it, there are input fields for 'Order Number', 'Reference Number', 'Portfolio ID\*' (with a search icon), and 'Portfolio Description' (with a help icon). The 'Instruction Date\*' is set to '01/02/2015'. There are 'Enrich' and 'Reset' buttons. A tabbed interface is visible with 'Add Info Details' selected. Below the tabs is a table with two columns: 'Other Info Field' and 'Field Value'. The table is currently empty. At the bottom, there are fields for 'Input By', 'Authorized By', 'DateTime', 'Record Status', and 'Open', along with a 'Cancel' button.

You can specify the following details:

### Other Info Field

*Alphanumeric; 100 Characters; Optional*

Specify the other information.

### Field Value

*Alphanumeric; 60 Characters; Optional*

Specify the field value.

## 2.57.6 Settlement Details Button

Click 'Settlement Details' button in 'Investment Detail' screen to specify settlement details.

Field	Value
Payment Reference Number	PY20150020000201
Payment Currency	ZAR
Payment Amount	0.000
Bank Reference Number	BK20150020000101
Auto Settle	Yes
Settled	Yes
Paid Date	
Cheque Number	
Cheque Date	
Settlement Due Date	

You can specify the following details:

### **Payment Reference Number**

#### *Display*

The system displays the payment reference number.

### **Payment Currency**

#### *Display*

The system displays the payment currency code.

### **Payment Amount**

*Numeric; 18 Characters; Optional*

Specify the payment amount.

### **Bank Reference Number**

*Alphanumeric; 16 Characters; Optional*

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

### **Auto Settle**

*Optional*

Select 'Yes' from drop-down list to enable auto clearing of pension orders. Else select 'No'.

The system defaults this field based on 'Mode of Payment Detail' (PADMPAYS) screen maintenance (PADMPAYS). However, you can amend this field till the order is settled.

### **Derivation of Settlement due date if Auto Settle field is selected as 'Yes'**

The system will default settlement due date to order date + maximum clearing period in case of money transfer.

The system will default settlement due date to cheque date + maximum clearing period in case of cheque.

If settlement due date is specified by the user, system will validate whether the settlement due date is less than or equal to maximum clearing date.

Settlement due date should be between minimum clearing date and maximum clearing date.

### **Derivation of Settlement due date if Auto Settle field is selected as 'No'**

The system will default settlement due to order date for money transfer and cheque date in case of cheque payment.

Settlement due date cannot be lesser than order date for money transfer and cheque date in case of cheque being payment instrument.

#### **Settled**

*Optional*

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

- Yes
- No

#### **Paid Date**

*Date Format; Optional*

Select the paid date from the adjoining calendar.

Paid date can be back dated, but should be greater than order date/ cheque date + minimum clearing period in calendar days.

#### **Cheque Number**

*Alphanumeric; 20 Characters; Optional*

Specify the cheque number.

#### **Cheque Date**

*Date Format; Optional*

Select the date to be mentioned in the cheque from the adjoining calendar.

#### **Settlement Due Date**

*Date Format; Optional*

Select the date when the settlement is expected to be settled from the adjoining calendar.

If you leave this field blank, then the system will derive this during the order capture.

Post settlement of an order, you cannot change the settlement details.

Post save, if payment mode is changed, system will clear the settlement details and user needs to re-input the settlement detail. This will be allowed till the order is settled.

Settlement due date for Withdrawal will be the day when the order is completed. This will be updated when confirmation of order completion is received from TA.

### **Bulk order amendment/settlement (Orders generated through CFU or PAPDIS)**

You cannot amend order value and settlement details for bulk order investments

You cannot settle bulk orders using 'Investment Detail' (PADINVDE) screen. The same needs to be done from 'Payment Clearing Detail' (PADPYCLR) screen.

Bulk investment orders can be settled/rejected from payment clearing screen only.

### 2.57.6.1 **Bank Details Button**

Click 'Bank Details' button in 'Settlement Details' screen to view bank details.

Input by	DateTime	Mod No	Record Status
Authorized by	DateTime		Authorized

For Group pensions, the system defaults the Instrument Administrators bank account during the hand-off. For private investments, the system will use the bank accounts of the parties mapped at investment account level (PADINVAC).

The system displays the following details:

- Bank Reference Number
- Bank
- Branch
- Account Type
- Account Currency
- Account Number
- Account Holder Name
- IBAN
- User Reference Number
- Bank description
- Branch Description
- Account Type Description
- Account Currency Description
- Verification Status
- Last Verified Date

You can amend all the details except in the header post authorization prior to order hand-off to TA.

### 2.57.7 Allocation Details Button

Click 'Allocation Details' button in 'Investment Detail' screen to specify allocation details. The 'Allocation Details' screen (PADALLOC) is displayed.

Allocation details

Execute Query

Order Number\*

From Leg To Leg

Instrument ID	Instrument Name	Instrument Ratio	Amount	Status
---------------	-----------------	------------------	--------	--------

Asset ID	Order Amount	Settlement Amount	Load Amount	Order Currency	N
----------	--------------	-------------------	-------------	----------------	---

Cancel

You can specify the following details:

#### Order Number

*Alphanumeric; 16 Characters; Mandatory*

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

## 2.57.7.1 From Leg Tab

Click 'From Leg' tab in 'Allocation Details' screen to view allocation details:

Allocation details

Execute Query

Order Number\*

**From Leg** To Leg

Instrument ID	Instrument Name	Instrument Ratio	Amount	Status
---------------	-----------------	------------------	--------	--------

Asset ID	Order Amount	Settlement Amount	Load Amount	Order Currency	N
----------	--------------	-------------------	-------------	----------------	---

Cancel

You can view the following details:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Amount
- Status
- Asset ID
- Order Amount
- Settlement Amount
- Load Amount
- Order Currency
- Net Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Allotted Units
- Status

## 2.57.7.2 To Leg Tab

Click 'To Leg' tab in 'Allocation Details' screen to view allocation details:

The screenshot shows the 'Allocation details' window. At the top, there is a search bar labeled 'Execute Query' with a text input field for 'Order Number \*' and a search icon. Below this, the 'From Leg' section has a red 'To Leg' button selected. The main area contains two data tables. The first table has a header row with columns: Instrument ID, Instrument Name, Instrument Ratio, Amount, and Status. The second table has a header row with columns: Asset ID, Order Amount, Settlement Amount, Load Amount, Order Currency, and Net Amount. Both tables are currently empty. A 'Cancel' button is located at the bottom right of the window.

You can view the following details:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Amount
- Status
- Asset ID
- Order Amount
- Settlement Amount
- Load Amount
- Order Currency
- Net Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Allotted Units
- Status



On saving the withdrawal, the system validates the same with available balance and allow or restrict that particular withdrawal.

You can check the available balance for the Party ID, portfolio ID and account ID using View Balance (PADPFBAL) launch form.

The system defaults the instruments and assets mapped to the portfolio with the default ratios. You cannot override the same.

The system splits the transaction percentage within the instruments and eventually to assets according to the default percentage.

## 2.57.8 Charge Details Button

Click 'Charge Details' button in 'Investment Detail' screen to specify charge details.

Charge Details

Order Number \_\_\_\_\_

Charge ID	Charge Description	Charge Amount
-----------	--------------------	---------------

Cancel

The system displays the following values:

- Order Number
- Charge ID
- Charge Description
- Charge Amount

## 2.58 Investment Summary

This section contains the following topics:

- [Section 2.58.1, "Retrieving a Record in Investment Summary Screen"](#)
- [Section 2.58.2, "Editing Investment Record"](#)
- [Section 2.58.3, "Viewing Investment Record"](#)
- [Section 2.58.4, "Deleting Investment Record"](#)
- [Section 2.58.5, "Authorizing Investment Record"](#)
- [Section 2.58.6, "Amending Investment Record"](#)
- [Section 2.58.7, "Authorizing Amended Investment Record"](#)

## 2.58.1 Retrieving a Record in Investment Summary Screen

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

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

The screenshot shows the 'Investment Summary' application window. At the top, there is a search bar with options for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below this, a section titled 'Search Is Case Sensitive' contains several search filters: 'Authorization Status' (a dropdown menu), 'Record Status' (a dropdown menu), 'Order Number', 'Order Status', 'Party ID', 'Instruction Date', 'Reference Number', 'Portfolio ID', 'Account ID', and 'Investment Order Type'. Each text input field has a magnifying glass icon to its right. Below the filters is a table with 10 columns: 'Authorization Status', 'Record Status', 'Order Number', 'Reference Number', 'Order Status', 'Portfolio ID', 'Party ID', 'Account ID', and 'Instruction Date'. The table is currently empty. At the bottom right of the window, there is an 'Exit' button.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Order Number
- Order Status
- Party ID
- Instruction Date
- Reference Number
- Portfolio ID
- Account ID
- Investment Order Type

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

---

**Note**

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

- Press F7
  - Input the Party ID
  - Press F8
- 

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

## **2.58.2 Editing Investment Record**

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

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

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

## **2.58.3 Viewing Investment Record**

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

- Invoke the Investment 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 Investment Detail screen is displayed in View mode.

## 2.58.4 Deleting Investment Record

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

- Invoke the Investment 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 Investment Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

## 2.58.5 Authorizing Investment Record

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

- Invoke the Investment 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 Investment Detail screen is displayed. Select Authorize operation from the Action List.

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

## 2.58.6 Amending Investment Record

After a Investment record is authorized, it can be modified using the Unlock operation from the Action List.

You can amend the order only till hand-off. Post order is handed off, you cannot amend an order.

To make changes to a record after authorization:

- Invoke the Investment 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 Investment Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

## 2.58.7 Authorizing Amended Investment Record

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

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

## 2.59 Auto Clear for Pension Investments

This section contains the following topics:

- [Section 2.59.1, "Invoking Mode of Payment Detail Screen"](#)

### 2.59.1 Invoking Mode of Payment Detail Screen

You can maintain different auto-clearing period for each payment mode. Automatic clearing of pension orders enables seamless settlement of pension orders for both individual payments and bulk settlement from employers.

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

Input by	DateTime	Mod No	Record Status
Authorized by	DateTime		Authorization Status

All Payment modes will be available in this screen. For Pension module; pension orders will support 'Cheque' and 'Money transfer' payment modes only.

If you have selected 'Yes' option in 'Auto Clearing Process' filed in 'Mode of Payment' screen, then the investment gets cleared as follows:

You can use system calendar to derive the maximum clearing period

#### **Payment Mode – Cheque**

**Case 1:** If cheque date is not provided, the system will use Order instruction date + maximum clearing period for auto-clearing

**Case 2:** If instruction date is greater than or same as cheque date, then the system will use instruction date + maximum clearing period for auto-clearing

**Case 3:** If instruction date is less than cheque date, then the system will use cheque date + maximum clearing period for auto-clearing

Cheque Date	Order Instruction Date	Max Clearing Period	Auto-clearing Date
NULL	5-Sep-18	3	8-Sep-18
4-Sep-18	5-Sep-18	3	8-Sep-18
6-Sep-18	5-Sep-18	3	9-Sep-18

**Payment Mode – Money Transfer**

The system will use Order date + maximum clearing period for auto-clearing.

Order Instruction Date	Max Clearing Period	Auto-clearing Date
5-Sep-18	1	6-Sep-18

*For further details, refer 'Mode of Payment' section in 'Maintaining Reference Information' chapter in 'Reference\_Information' user manual.*

## 2.60 Payment Clearing Screen

This section contains the following topics:

- [Section 2.60.1, "Invoking Payment Clearing Screen"](#)
- [Section 2.60.2, "Bank Details Button"](#)

## 2.60.1 Invoking Payment Clearing Screen

You can settle unsettled transactions using 'Payment Clearing Detail' screen. You can invoke this screen by typing 'PADPYCLR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Payment Clearing Detail' application window. The 'Execute Query' section contains the following fields and controls:

- Operation:** A dropdown menu currently showing 'Clearing'.
- Clearing Level:** A dropdown menu currently showing 'Order'.
- Order Number:** A text input field with a search icon to its right.
- Batch Reference Number:** A text input field.
- Employer Code:** A text input field.

Two buttons, 'Clear All' and 'Reject All', are positioned to the right of the dropdown menus. Below the form is a table with the following columns: 'Order Number', 'Payment Reference Number', 'Bank Reference Number', 'Batch Reference Number', and 'Employer Code'. The table indicates '1 of 1' records. At the bottom of the window, there is a 'Bank Details' section and a 'Cancel' button.

You can specify the following details:

### **Operation**

*Optional*

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

- Clearing
- Authorize Clearing

### **Clearing Level**

*Optional*

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

- Order
- Batch

### **Order Number**

*Alphanumeric; 16 Characters; Optional*

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

This field is enabled only if you have selected 'Clearing Level' as 'Order'.

**Batch Reference Number**

*Alphanumeric; 16 Characters; Optional*

Select the batch reference number. Alternatively, you can select batch reference number from the option list. The list displays all valid batch reference number maintained in the system.

This field is enabled only if you have selected 'Clearing Level' as 'Batch'.

**Employer Code**

*Alphanumeric; 12 Characters; Optional*

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

This field is enabled only if you have selected 'Clearing Level' as 'Batch'.

Click 'Clear All' option to clear the specified details.

Click 'Reject All' option to reject the specified details.

Click 'Execute Query' option to view the following details:

- Order Number
- Payment Reference Number
- Bank Reference Number
- Batch Reference Number
- Employer Code
- Payment Amount
- Cheque Date
- Check Number

**Clearing Status**

*Optional*

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

- Clear - On authorization, if you select this option then the transactions will be settled
- Reject - On authorization, if you select this option then the transactions will be reversed and the settlement status will be 'R'.

**Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

You cannot edit or delete the records once saved. For batch, single clearing /rejection will clear/reject payment for all underlying orders. Once cleared /rejected, the system will clear the status and gets updated in settlement section of the underlying transaction.



## 2.60.2 Bank Details Button

Click 'Bank Details' button in 'Payment Clearing Detail' screen. The 'Bank Details' screen is displayed (PADBKDET).

The screenshot shows a window titled 'Bank Details' with a 'Save' button at the top left. The form contains the following fields:

- Bank Reference Number (text input)
- User Reference Number (text input)
- Bank\* (text input with a magnifying glass icon)
- Bank Description (text input)
- Branch\* (text input with a magnifying glass icon)
- Branch Description (text input)
- Account Type\* (text input with a magnifying glass icon)
- Account Type Description (text input)
- Account Currency\* (text input with a magnifying glass icon)
- Account Currency Description (text input)
- Account Number\* (text input)
- Verification Status (dropdown menu with 'No' selected)
- Account Holder Name\* (text input)
- Last Verified Date (text input with a calendar icon)
- IBAN (text input)

At the bottom of the window, there is a footer area with the following labels: 'Input by', 'DateTime', 'Mod No', 'Record Status', 'Authorized by', 'DateTime', 'Authorized', and a 'Cancel' button.

The system displays the following details:

- Bank Reference Number
- Bank
- Branch
- Account Type
- Account Currency
- Account Number
- Account Holder Name
- IBAN
- User Reference Number
- Bank Description
- Branch Description
- Account Type Description
- Account Currency Description
- Verification Status
- Last Verified Date

## 2.61 Withdrawal Detail

This section contains the following topics:

- [Section 2.61.1, "Invoking Withdrawal Detail Screen"](#)
- [Section 2.61.2, "Order Details Tab"](#)
- [Section 2.61.3, "Instrument Details Tab"](#)
- [Section 2.61.4, "Intermediary Details Tab"](#)
- [Section 2.61.5, "Add Info Details Tab"](#)

- [Section 2.61.6, "Settlement Details Button"](#)
- [Section 2.61.7, "Allocation Details Button"](#)
- [Section 2.61.8, "View Balance Button"](#)

## 2.61.1 Invoking Withdrawal Detail Screen

You can capture withdrawal details using 'Withdrawal Detail' screen. You can define basic rules for each portfolio type. You can invoke this screen by typing 'PADWITHD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Withdrawal Detail' application window. At the top, there is a 'Save' button. Below it, there are several input fields: 'Order Number', 'Portfolio ID \*' (with a search icon), 'Instruction Date \*' (with a calendar icon), 'Reference Number', and 'Portfolio Description' (with a search icon). There are 'Enrich' and 'Reset' buttons next to the 'Portfolio Description' field. Below these fields is a tabbed interface with four tabs: 'Order Details' (selected), 'Instrument Details', 'Intermediary Details', and 'Add Info Details'. Under the 'Order Details' tab, there are more input fields: 'Party ID', 'Account ID', 'Withdrawal Order Type \*' (with a search icon), 'Order Currency \*' (with a search icon), 'Payment Mode \*' (with a search icon), 'Order Mode' (set to 'Amount'), and 'Gross Order Value \*'. On the right side of this section, there are fields for 'Party Name', 'Remarks', 'Order Type Description', 'Currency Description', 'Payment Mode Description', 'Order Status', and 'Order Value'. At the bottom of the screen, there is a summary section with fields for 'Input By', 'Authorized By', 'DateTime', and 'Authorized/Unauthorized' status (with 'Open' options). A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

### Order Number

#### Display

The system displays the order number.

### Reference Number

*Alphanumeric; 16 Characters; Optional*

Specify the reference number. If you do not specify the value in this field, then the system generates the reference number.

### Portfolio ID

*Alphanumeric; 16 Characters; Mandatory*

Specify the portfolio ID. Alternatively, you can select portfolio ID from the option list. The list displays all valid portfolio ID which have balance for the parties.

### Portfolio Description

#### Display

The system displays the description of the selected portfolio ID.

## Instruction Date

*Date Format; Mandatory*

The system defaults the application date. However, you can amend this value to specify the future date.

---

### Note

Future date cannot be a system holiday. The system does not allow back dated instructions.

---

After specifying the mandatory details, click 'Enrich' button. The system displays the party, instrument and asset details based on the balance for the portfolio ID selected.

## 2.61.2 Order Details Tab

Click 'Order Details' tab in 'Withdrawal Detail' screen to specify order details.

The screenshot shows the 'Withdrawal Detail' window with the 'Order Details' tab selected. The form includes the following fields and controls:

- Order Number (text input)
- Portfolio ID\* (text input with search icon)
- Instruction Date\* (text input with calendar icon)
- Reference Number (text input)
- Portfolio Description (text input with search icon)
- Enrich (button)
- Reset (button)
- Party ID (text input)
- Account ID (text input)
- Withdrawal Order Type\* (text input with search icon)
- Order Currency\* (text input with search icon)
- Payment Mode\* (text input with search icon)
- Order Mode (dropdown menu, currently set to 'Amount')
- Gross Order Value\* (text input)
- Party Name (text input with search icon)
- Remarks (text input with search icon)
- Order Type Description (text input)
- Currency Description (text input)
- Payment Mode Description (text input)
- Order Status (text input)
- Order Value (text input)

At the bottom of the screen, there are tabs for 'Settlement Details', 'Allocation Details', and 'View Balance'. Below these tabs is a table with columns for 'Input By', 'Authorized By', 'DateTime', 'Authorized', 'Unauthorized', 'Open', and 'Open'. A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

### Party ID

*Display*

The system displays the party ID based on the portfolio ID selected.

### Party Name

*Display*

The system displays the name of the party based on the portfolio ID selected.

### Account ID

*Display*

The system displays the account number of the party based on the portfolio ID selected.

**Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

**Withdrawal Order Type**

*Alphanumeric; 3 Characters; Mandatory*

Specify the withdrawal order type. Alternatively, you can select withdrawal order type from the option list. The list displays 'Withdrawal' order type maintained in the system.

The system uses 'PASWDTXNSUBTYPE' param code to maintain the withdrawal order type.

**Order Type Description**

*Display*

The system displays the description of the selected withdrawal order type.

**Order Currency**

*Alphanumeric; 3 Characters; Mandatory*

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

**Currency Description**

*Display*

The system displays the description of the selected order currency code.

**Payment Mode**

*Alphanumeric; 2 Characters; Mandatory*

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

**Payment Mode Description**

*Display*

The system displays the description of the selected mode of payment.

**Order Mode**

*Optional*

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

- Amount
- Percentage

**Gross Order Value**

*Numeric; 30 Characters; Mandatory*

Specify the gross order value for withdrawal.

**Order Value**

*Display*

The system displays the net amount.

The system calculates the order value as follows:

Order Value = Gross Order Value

**Order Status***Display*

The system displays the status of the order.

**Example****Recovery Fee**

Charge Maintenance- PADCMDDET

From Amount	To Amount	Return Value
0	100000	5%
100000	500000	4%

**Recovery Fee Calculations**

The system considers the latest balance, latest NAV and annual charge mapped to the portfolio while capturing 100% withdrawal.

Party ID	Portfolio ID	Instrument ID	Asset ID	Units	NAV	Net Asset Amount
GREY 43	EMPRM ND	IN20150020 000341	MSTRST	100.25 4	10.1	1012.6
			BSTRST	1212.0 2	9.0143	10926
			GOOG- LEINS	513	10.145	5204.4
Total Net order amount						17143
Recovery Amount						857.13

### 2.61.3 Instrument Details Tab

Click 'Instrument Details' tab in 'Withdrawal Detail' screen to view the instrument details.

The screenshot shows the 'Withdrawal Detail' window with the following elements:

- Save** button at the top left.
- Order Number** and **Reference Number** input fields.
- Portfolio ID \*** input field with a search icon.
- Portfolio Description** input field with a help icon.
- Instruction Date \*** input field with a calendar icon, showing the date 2015-01-13.
- Enrich** and **Reset** buttons.
- Order Details** tab selected, with sub-tabs: **Instrument Details** (active), **Intermediary Details**, and **Add Info Details**.
- Instrument ID \*** input field.
- Instrument Name** input field.
- Instrument Ratio** input field.
- A table with columns: **Asset ID \***, **Asset Name**, and **Ratio**. The table is currently empty.
- Navigation: **1 of 1** with left and right arrows, and a **Go** button.
- Bottom navigation: **Settlement Details** | **Allocation Details** | **View Balance**.
- Bottom form fields: **Input By** (DateTime), **Authorized** (dropdown), **Unauthorized** (dropdown), **Authorized By** (DateTime), **Open** (dropdown), **Open** (dropdown), and a **Cancel** button.

The system displays the following details based on the selected portfolio ID:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Asset ID
- Asset Name
- Ratio

## 2.61.4 Intermediary Details Tab

Click 'Intermediary Details' tab in 'Withdrawal Detail' screen to specify intermediary details.

The screenshot shows the 'Withdrawal Detail' application window. At the top, there is a 'Save' button. Below it, there are input fields for 'Order Number', 'Reference Number', 'Portfolio ID \*', 'Portfolio Description', and 'Instruction Date \*' (with a calendar icon). There are 'Enrich' and 'Reset' buttons to the right of the 'Portfolio Description' field. Below these fields is a tabbed interface with four tabs: 'Order Details', 'Instrument Details', 'Intermediary Details' (which is highlighted in red), and 'Add Info Details'. Below the tabs is a table with the following columns: 'Intermediary ID', 'Intermediary Name', and 'Split Percentage'. The table has one row with a search icon in the 'Intermediary ID' cell. At the bottom of the screen, there are fields for 'Input By', 'Authorized By', 'DateTime', and 'Open' status, along with a 'Cancel' button.

You can specify the following details:

### Intermediary ID

*Alphanumeric; 12 Characters; Optional*

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

### Intermediary Name

*Display*

The system displays the name of the selected intermediary ID.

### Split Percentage

*Numeric; 3 Characters; Optional*

Specify the split percentage details.

The sum total should be 100.

The system will split the transaction percentage within the instruments and eventually to assets according to the default percentage.

## 2.61.5 Add Info Details Tab

Click 'Add Info Details' tab in 'Withdrawal Detail' screen to view additional information.

The screenshot shows the 'Withdrawal Detail' window with a 'Save' button at the top left. The form contains several input fields: 'Order Number', 'Reference Number', 'Portfolio ID \*', 'Portfolio Description', and 'Instruction Date \*' (pre-filled with '2015-01-13'). There are 'Enrich' and 'Reset' buttons next to the 'Portfolio Description' field. Below the form is a tabbed interface with 'Order Details', 'Instrument Details', 'Intermediary Details', and 'Add Info Details' (which is highlighted in red). A table below the tabs has two columns: 'Other Info Field' and 'Field Value'. At the bottom, there are fields for 'Input By', 'Authorized By', 'DateTime', 'Authorized', 'Unauthorized', 'Open', and 'Open', along with a 'Cancel' button.

You can view the following details:

- Other Info Field
- Field Value

## 2.61.6 Settlement Details Button

Click 'Settlement Details' button in 'Withdrawal Detail' screen to specify settlement details.

The screenshot shows the 'Settlement Details' window. It contains several input fields: 'Payment Reference Number', 'Payment Currency' (pre-filled with 'ZAR'), 'Payment Amount', 'Paid Date', 'Recovery Amount', and 'Bank Reference Number'. On the right side, there are dropdown menus for 'Settled' (pre-filled with 'No'), 'Auto Settle' (pre-filled with 'Yes'), and date pickers for 'Settlement Due Date', 'Cheque Number', and 'Cheque Date'. At the bottom, there is a 'Bank Details' section and 'Ok' and 'Cancel' buttons.



You can specify the following details:

**Payment Reference Number**

*Display*

The system displays the payment reference number.

**Payment Currency**

*Display*

The system displays the payment currency code.

**Payment Amount**

*Numeric; 18 Characters; Optional*

Specify the payment amount.\

**Paid Date**

*Date Format; Optional*

Select the paid date from the adjoining calendar.

**Recovery Amount**

*Display*

The system displays the recovery amount.

On 100% withdrawal, the system will calculate ongoing fee recovery amount and display in the 'Recovery Amount' field on allocation import in pension.

The system computes the recovery amount during allocation hand-off, by applying sum (order amount at asset level) and computing return value on the sum.

The system will deduct the recovery amount from settlement amount.

**Bank Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the bank reference number. Alternatively, you can select bank reference number from the option list. The list displays all valid bank reference number maintained in the system for the investment account of a party.

**Settled**

*Optional*

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

- Yes
- No

**Auto Settle**

*Optional*

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

- Yes
- No

**Settlement Due Date**

*Date Format; Optional*

Select the settlement due date from the adjoining calendar.

## Cheque Number

*Alphanumeric; 20 Characters; Optional*

Specify the cheque number.

## Cheque Date

*Date Format; Optional*

Select the date to be mentioned in the cheque from the adjoining calendar.

### 2.61.6.1 Bank Details Button

Click 'Bank Details' button in 'Settlement Details' screen to view bank details.

Input by	DateTime	Mod No	Record Status
Authorized by	DateTime		Authorized

For Group pensions, the system defaults the Instrument Administrators bank account during the hand-off. For private investments, the system will use the bank accounts of the parties mapped at investment account level (PADINVAC).

The system displays the following details:

- Bank Reference Number
- Bank
- Branch
- Account Type
- Account Currency
- Account Number
- Account Holder Name
- IBAN
- User Reference Number
- Bank description
- Branch Description
- Account Type Description
- Account Currency Description

- Verification Status
- Last Verified Date

You can amend all the details except in the header post authorization prior to order hand-off to TA.

### 2.61.7 Allocation Details Button

Click 'Allocation Details' button in 'Switch Detail' screen to specify allocation details. The 'Allocation Details' screen (PADALLOC) is displayed.

The screenshot shows a window titled "Allocation details" with a standard OS title bar. Below the title bar is a section labeled "Execute Query" containing a text input field for "Order Number\*" with a search icon to its right. Below this is a section with two labels, "From Leg" and "To Leg", each followed by a text input field. The main area of the window contains two empty table grids. The first table has columns: Instrument ID, Instrument Name, Instrument Ratio, Amount, and Status. The second table has columns: Asset ID, Order Amount, Settlement Amount, Load Amount, Order Currency, and N. Both tables have a "Go" button and navigation arrows above them. A "Cancel" button is located at the bottom right of the window.

You can specify the following details:

#### **Order Number**

*Alphanumeric; 16 Characters; Mandatory*

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

## 2.61.7.1 From Leg Tab

Click 'From Leg' tab in 'Allocation Details' screen to view allocation details:

Allocation details

Execute Query

Order Number\*

**From Leg** To Leg

Instrument ID	Instrument Name	Instrument Ratio	Amount	Status
---------------	-----------------	------------------	--------	--------

Asset ID	Order Amount	Settlement Amount	Load Amount	Order Currency	N
----------	--------------	-------------------	-------------	----------------	---

Cancel

You can view the following details:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Amount
- Status
- Asset ID
- Order Amount
- Settlement Amount
- Load Amount
- Order Currency
- Net Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Allotted Units
- Status

## 2.61.7.2 To Leg Tab

Click 'To Leg' tab in 'Allocation Details' screen to view allocation details:

The screenshot shows the 'Allocation details' window with the 'To Leg' tab selected. The window contains two data tables. The first table has the following headers: Instrument ID, Instrument Name, Instrument Ratio, Amount, and Status. The second table has the following headers: Asset ID, Order Amount, Settlement Amount, Load Amount, Order Currency, and Net Amount. Both tables are currently empty. A 'Cancel' button is located at the bottom right of the window.

You can view the following details:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Amount
- Status
- Asset ID
- Order Amount
- Settlement Amount
- Load Amount
- Order Currency
- Net Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Allotted Units
- Status

Post allocation, you can view allocation details through the allocation details (PADALLOC) launch form. This launch form can be viewed as a standalone screen as well.

You can reset the order details in header and remove the data from tabs beneath other than defaults.

In case of unallotted amount based order, the system will compute the unallotted units as follows:

Unallotted units = Amount/ (Latest Available NAV \* (1 - Fluctuation %))

Fluctuation % is a system level param value that can be maintained in 'Parameter Maintenance' screen (UTDPARAM) considering the maximum fluctuation in price that can happen. The system maintains the Param Code as 'FLUCTUATIONPERCENT'.

## 2.61.8 View Balance Button

Click 'View Balance' button in 'Switch Detail' screen to view the portfolio balance. The 'View Portfolio Balance' (PADPFBAL) screen is displayed.

View Portfolio Balance

Execute Query

Party ID \*  Party Name

Portfolio ID  Portfolio Description

Portfolio Balance

Portfolio ID	Portfolio Description	Account ID	Unit Balance	Currency	Market Value
--------------	-----------------------	------------	--------------	----------	--------------

Instrument Balance

Instrument ID	Instrument Description	Unit Balance	Holdings Ratio	Instrument Currency	Market Value
---------------	------------------------	--------------	----------------	---------------------	--------------

Asset Balance

Asset ID	Asset Name	Balance Units	Holdings Ratio	Asset Base Currency	Market Value
----------	------------	---------------	----------------	---------------------	--------------

Cancel

You can view the following details:

- Party ID
- Party Name
- Portfolio ID
- Portfolio Description

**PF Balance**

- Portfolio ID
- Portfolio Description
- Account ID
- Unit Balance
- Currency
- Market Value

**Instrument Balance**

- Instrument ID
- Instrument Description
- Unit Balance
- Holding Ratio
- Instrument Currency
- Market Value

**Asset Balance**

- Asset ID
- Asset Name
- Balance Units
- Holding Ratio
- Asset Base Currency
- Market Value

## **2.62 Withdrawal Summary**

This section contains the following topics:

- [Section 2.62.1, "Retrieving a Record in Withdrawal Summary Screen"](#)
- [Section 2.62.2, "Editing Withdrawal Record"](#)
- [Section 2.62.3, "Viewing Withdrawal Record"](#)
- [Section 2.62.4, "Deleting Withdrawal Record"](#)
- [Section 2.62.5, "Authorizing Withdrawal Record"](#)
- [Section 2.62.6, "Amending Withdrawal Record"](#)
- [Section 2.62.7, "Authorizing Amended Withdrawal Record"](#)

### **2.62.1 Retrieving a Record in Withdrawal Summary Screen**

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

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

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Order Number
- Order Status
- Party ID
- Instruction Date
- Reference Number
- Portfolio ID
- Account ID
- Withdrawal Order Type

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



---

**Note**

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

- Press F7
  - Input the Party ID
  - Press F8
- 

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

### **2.62.2 Editing Withdrawal Record**

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

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

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

### **2.62.3 Viewing Withdrawal Record**

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

- Invoke the Withdrawal 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 Withdrawal Detail screen is displayed in View mode.

### **2.62.4 Deleting Withdrawal Record**

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

- Invoke the Withdrawal 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 Withdrawal Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.62.5 Authorizing Withdrawal Record**

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

- Invoke the Withdrawal 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 Withdrawal Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.62.6 Amending Withdrawal Record**

After a Withdrawal 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 Withdrawal 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 Withdrawal Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.62.7 Authorizing Amended Withdrawal Record**

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

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

## 2.63 Switch Detail

This section contains the following topics

- [Section 2.63.1, "Invoking Switch Detail Screen"](#)
- [Section 2.63.2, "Order Details Tab"](#)
- [Section 2.63.3, "From Instrument Tab"](#)
- [Section 2.63.4, "To Instrument Tab"](#)
- [Section 2.63.5, "Intermediary Details Tab"](#)
- [Section 2.63.6, "Add Info Details Tab"](#)
- [Section 2.63.7, "View Balance Button"](#)
- [Section 2.63.8, "Allocation Details Button"](#)

### 2.63.1 Invoking Switch Detail Screen

You can capture switch detail using 'Switch Detail' screen. You can invoke this screen by typing 'PADSWIDE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Switch Detail Screen' application window. At the top, there is a 'Save' button. The main area contains several input fields and buttons. On the left, there are fields for 'Order Number', 'Portfolio ID' (with a red asterisk), and 'Instruction Date' (with a red asterisk and a calendar icon). On the right, there are fields for 'Reference Number', 'Portfolio Description', 'Party Name', 'Remarks', 'Order Type Description' (with a value of 'Switch across instrument'), 'Currency Description', 'Order Value' (with a red asterisk), and 'Switch Order Status'. Below these fields are two buttons: 'Enrich' and 'Reset'. A tabbed interface is visible with 'Order Details' selected, and other tabs include 'From Instrument', 'To Instrument', 'Intermediary Details', and 'Add Info Details'. At the bottom, there are fields for 'Party ID', 'Account ID', 'Switch Order Type' (with a red asterisk and a value of '2'), 'Order Currency' (with a red asterisk), 'Order Mode' (with a dropdown menu set to 'Amount'), and 'Order Status'. At the very bottom, there are fields for 'Input By', 'Authorized By', 'DateTime', and 'Authorized/Unauthorized' (with a dropdown menu set to 'Open/Open'). A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

#### **Order Number**

*Display*

The system displays the order number.

#### **Reference Number**

*Alphanumeric; 16 Characters; Optional*

Specify the reference number,

## Portfolio ID

*Alphanumeric; 16 Characters; Mandatory*

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

## Portfolio Description

*Display*

The system displays the description of the selected portfolio ID.

## Instruction Date

*Date Format; Mandatory*

The system defaults the application date. However, you can amend this value to specify the future date.

---

### Note

Future date cannot be a system holiday. The system does not allow back dated instructions.

---

If holiday is declared after maintaining a future dated instruction, system will not update the order details automatically.

After specifying the mandatory details, click 'Enrich' button. The system displays the party details based on the portfolio ID selected.

## 2.63.2 Order Details Tab

Click 'Order Details' tab in 'Switch Detail' screen to specify order details.

The screenshot shows the 'Switch Detail Screen' with the 'Order Details' tab selected. The form includes the following fields and controls:

- Order Number:
- Portfolio ID\*:  (with a search icon)
- Instruction Date\*: 2015-01-06 (with a calendar icon)
- Reference Number:
- Portfolio Description:  (with a search icon)
- Buttons: Enrich, Reset
- Navigation tabs: Order Details (selected), From Instrument, To Instrument, Intermediary Details, Add Info Details
- Party ID:
- Account ID:
- Party Name:  (with a search icon)
- Remarks:  (with a search icon)
- Switch Order Type\*: 2 (with a search icon)
- Order Type Description: Switch across instrument (with a search icon)
- Order Currency\*:  (with a search icon)
- Currency Description:
- Order Mode: Amount (dropdown)
- Order Status:
- Order Value\*:
- Switch Order Status:
- Footer: View Balance | Allocation Details
- Footer fields: Input By, Authorized By, DateTime, Authorized, Unauthorized (dropdown), Open, Open (dropdown), Cancel

You can specify the following details:

**Party ID**

*Display*

The system displays the party ID based on the portfolio ID selected.

**Party Name**

*Display*

The system displays the name of the party based on the portfolio ID selected.

**Account ID**

*Display*

The system displays the account number of the party based on the portfolio ID selected.

**Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

**Switch Order Type**

*Alphanumeric; 3 Characters; Mandatory*

Specify the switch order type. Alternatively, you can select switch order type from the option list. The list displays 'Switch Across Instrument' value.

**Order Type Description**

*Display*

The system displays the description of the selected switch order type.

**Order Currency**

*Alphanumeric; 3 Characters; Mandatory*

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

**Currency Description**

*Display*

The system displays the description of the selected order currency code.

**Order Mode**

*Optional*

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

- Amount
- Percentage

**Order Value**

*Numeric; 18 Characters; Mandatory*

Specify the order value.

You need to specify the 'Order Value' if you have selected 'Order Mode' as 'Percentage'.

**Order Status**

*Display*

The system displays the status of the order.

**Switch Order Status**

*Display*

The system displays the in-legs order status.

### 2.63.3 From Instrument Tab

Click 'From Instrument' tab in 'Switch Detail' screen to view the instrument details.

The screenshot shows the 'Switch Detail Screen' with the 'From Instrument' tab selected. The form contains the following fields and controls:

- Order Number:
- Reference Number:
- Portfolio ID \*:  (with a search icon)
- Portfolio Description:  (with a search icon)
- Instruction Date \*: 01/07/2015 (with a calendar icon)
- Buttons: Enrich, Reset
- Order Details tabs: From Instrument (selected), To Instrument, Intermediary Details, Add Info Details
- Instrument ID \*:
- Instrument Name:
- Instrument Ratio \*:
- Table: 1 of 1 rows, columns: Asset ID \*, Asset Name, Ratio \*
- View Balance | Allocation Details
- Input By:
- Authorized By:
- DateTime:
- Authorization Status: Unauthorized (dropdown)
- Record Status: Open (dropdown)
- Cancel button

The system displays the following details based on the selected portfolio ID:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Asset ID
- Asset Name
- Ratio

## 2.63.4 To Instrument Tab

Click 'To Instrument' tab in 'Switch Detail' screen to specify the instrument details.

The screenshot shows the 'Investment Detail' application window. The 'Instrument Details' tab is active. The form includes the following fields and controls:

- Order Number: Text input field.
- Reference Number: Text input field.
- Portfolio ID\*: Text input field with a search icon.
- Portfolio Description: Text input field with a search icon.
- Instruction Date\*: Text input field with a calendar icon, showing '01/02/2015'.
- Enrich: Button.
- Reset: Button.
- Order Details | **Instrument Details** | Intermediary Details | Add Info Details: Tabbed navigation.
- Instrument ID\*: Text input field with a search icon.
- Instrument Name: Text input field with a search icon.
- Instrument Ratio: Text input field.
- Table with columns: Asset ID\*, Asset Name, Ratio, Overridable. The first row shows a checked checkbox, a search icon, a search icon, and 'No'.
- Settlement Details | Allocation Details | Charge Details: Tabbed navigation.
- Input By, Authorized By, DateTime, Record Status, Authorized, Unauthorized, Open: Labels for data entry.
- Cancel: Button.

You can specify the following details:

### **Instrument ID**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Instrument Name**

*Display*

The system displays the name of the instrument for the selected instrument ID.

### **Instrument Ratio**

*Numeric; 5 Characters; Mandatory*

Specify the numeric ratio.

### **Asset ID**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Asset Name**

*Display*

The system displays the name of the selected asset ID.

### **Ratio**

*Numeric; 5 Characters; Optional*

Specify the ratio.

## Override

### Display

The system displays the override status.

## 2.63.5 Intermediary Details Tab

Click 'Intermediary Details' tab in 'Switch Detail' screen to specify intermediary details.

The screenshot shows the 'Switch Detail Screen' with the 'Intermediary Details' tab selected. The form includes the following fields and controls:

- Order Number: Text input field.
- Reference Number: Text input field.
- Portfolio ID: Text input field with a search icon.
- Portfolio Description: Text input field with a search icon.
- Instruction Date: Text input field with a calendar icon, showing '01/07/2015'.
- Buttons: 'Enrich' and 'Reset' buttons.
- Navigation: 'Order Details', 'From Instrument', 'To Instrument', 'Intermediary Details' (selected), and 'Add Info Details' tabs.
- Table: A table with columns 'Intermediary ID', 'Intermediary Name', and 'Split Percentage'. It shows one row with a search icon in the ID column.
- Footer: 'View Balance' and 'Allocation Details' links.
- Bottom Section: Fields for 'Input By', 'Authorized By', 'DateTime', 'Authorization Status' (dropdown menu), and 'Record Status' (dropdown menu). A 'Cancel' button is also present.

You can specify the following details:

### Intermediary ID

*Alphanumeric; 12 Characters; Optional*

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

### Intermediary Name

*Display*

The system displays the name of the selected intermediary ID.

### Split Percentage

*Numeric; 3 Characters; Optional*

Specify the split percentage details.

The sum total should be 100.

The system will split the transaction percentage within the instruments and eventually to assets according to the default percentage.



## 2.63.6 Add Info Details Tab

Click 'Add Info Details' tab in 'Switch Detail' screen to view additional information.

The screenshot shows the 'Switch Detail Screen' with the following elements:

- Save** button at the top left.
- Order Number** and **Reference Number** input fields.
- Portfolio ID \*** and **Portfolio Description** input fields.
- Instruction Date \*** with a date picker showing 01/07/2015.
- Enrich** and **Reset** buttons.
- Navigation tabs: **Order Details**, **From Instrument**, **To Instrument**, **Intermediary Details**, and **Add Info Details** (highlighted in red).
- A table with columns **Other Info Field** and **Field Value**.
- Bottom section with fields for **Input By**, **Authorized By**, **DateTime**, **Authorization Status** (dropdown menu), and **Record Status** (dropdown menu).
- Cancel** button at the bottom right.

You can view the following details:

- Other Info Field
- Field Value

## 2.63.7 View Balance Button

Click 'View Balance' button in 'Switch Detail' screen to view the portfolio balance. The 'View Portfolio Balance' (PADPFBAL) screen is displayed.

The screenshot shows the 'View Portfolio Balance' (PADPFBAL) screen. At the top, there is a title bar with the text 'View Portfolio Balance' and window control buttons. Below the title bar is an 'Execute Query' section with four input fields: 'Party ID\*' (with a red asterisk), 'Portfolio ID', 'Party Name', and 'Portfolio Description'. Each field has a search icon to its right. Below the input fields are three data tables, each with a header row and a body. The first table is 'Portfolio Balance' with columns: Portfolio ID, Portfolio Description, Account ID, Unit Balance, Currency, and Market Value. The second table is 'Instrument Balance' with columns: Instrument ID, Instrument Description, Unit Balance, Holdings Ratio, Instrument Currency, and Market Value. The third table is 'Asset Balance' with columns: Asset ID, Asset Name, Balance Units, Holdings Ratio, Asset Base Currency, and Market Value. Each table has a 'Go' button and a '1 of 1' indicator. At the bottom right of the screen is a 'Cancel' button.

You can view the following details:

- Party ID
- Party Name
- Portfolio ID
- Portfolio Description

### PF Balance

- Portfolio ID
- Portfolio Description
- Account ID
- Unit Balance
- Currency
- Market Value

### Instrument Balance

- Instrument ID
- Instrument Description
- Unit Balance
- Holding Ratio

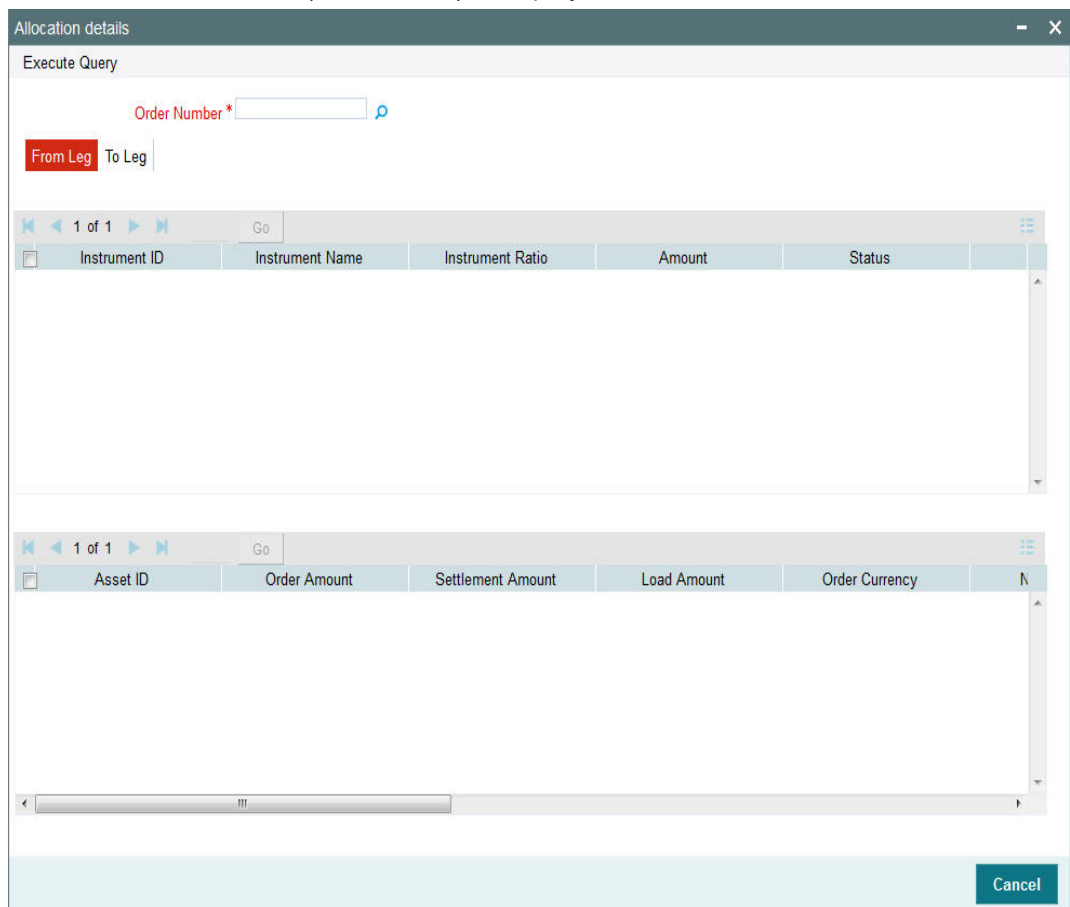
- Instrument Currency
- Market Value

**Asset Balance**

- Asset ID
- Asset Name
- Balance Units
- Holding Ratio
- Asset Base Currency
- Market Value

**2.63.8 Allocation Details Button**

Click 'Allocation Details' button in 'Switch Detail' screen to specify allocation details. The 'Allocation Details' screen (PADALLOC) is displayed.



You can specify the following details:

**Order Number**

*Alphanumeric; 16 Characters; Mandatory*

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

## 2.63.8.1 From Leg Tab

Click 'From Leg' tab in 'Allocation Details' screen to view allocation details:

Allocation details

Execute Query

Order Number\*

**From Leg** To Leg

Instrument ID	Instrument Name	Instrument Ratio	Amount	Status
---------------	-----------------	------------------	--------	--------

Asset ID	Order Amount	Settlement Amount	Load Amount	Order Currency	N
----------	--------------	-------------------	-------------	----------------	---

Cancel

You can view the following details:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Amount
- Status
- Asset ID
- Order Amount
- Settlement Amount
- Load Amount
- Order Currency
- Net Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Allotted Units
- Status

## 2.63.8.2 To Leg Tab

Click 'To Leg' tab in 'Allocation Details' screen to view allocation details:

The screenshot shows the 'Allocation details' window with the 'To Leg' tab selected. The window contains an 'Execute Query' section with an 'Order Number\*' input field and a 'From Leg' dropdown menu. Below this are two empty data tables. The first table has columns: Instrument ID, Instrument Name, Instrument Ratio, Amount, Status. The second table has columns: Asset ID, Order Amount, Settlement Amount, Load Amount, Order Currency, and a small 'N' column. A 'Cancel' button is located at the bottom right of the window.

You can view the following details:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Amount
- Status
- Asset ID
- Order Amount
- Settlement Amount
- Load Amount
- Order Currency
- Net Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Allotted Units
- Status

Post allocation, you can view allocation details through the allocation details (PADALLOC) launch form. This launch form can be viewed as a standalone screen as well.

Switch limits will be based on fiscal year of instrument.

You can reset the order details in header and remove the data from tabs beneath other than defaults.

## 2.64 Switch Summary

This section contains the following topics:

- [Section 2.64.1, "Retrieving a Record in Switch Summary Screen"](#)
- [Section 2.64.2, "Editing Switch Record"](#)
- [Section 2.64.3, "Viewing Switch Record"](#)
- [Section 2.64.4, "Deleting Switch Record"](#)
- [Section 2.64.5, "Authorizing Switch Record"](#)
- [Section 2.64.6, "Amending Switch Record"](#)
- [Section 2.64.7, "Authorizing Amended Switch Record"](#)

### 2.64.1 Retrieving a Record in Switch Summary Screen

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

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

Switch Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status  Record Status

Order Number  Reference Number

Order Status  Portfolio ID

Party ID  Account ID

Instruction Date  Maker ID

Checker ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Order Number	Reference Number	Order Status	Portfolio ID	Party ID	Account ID	Instru...
----------------------	---------------	--------------	------------------	--------------	--------------	----------	------------	-----------

Exit

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Order Number
- Order Status
- Party ID
- Instruction Date
- Checker ID
- Reference Number
- Portfolio ID
- Account ID
- Maker ID

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

---

**Note**

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

- Press F7
  - Input the Party ID
  - Press F8
- 

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

## **2.64.2 Editing Switch Record**

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

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

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

### **2.64.3 Viewing Switch Record**

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

- Invoke the Switch 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 Switch Detail screen is displayed in View mode.

### **2.64.4 Deleting Switch Record**

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

- Invoke the Switch 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 Switch Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.64.5 Authorizing Switch Record**

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

- Invoke the Switch 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 Switch Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.64.6 Amending Switch Record**

After a Switch 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 Switch 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 Switch Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

---

**Note**

You can modify the record any number of time unless the record is handed-off. Once record is handed-off, you can only reverse the record.

---

### **2.64.7 Authorizing Amended Switch Record**

An amended Switch record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Agency Branch module.

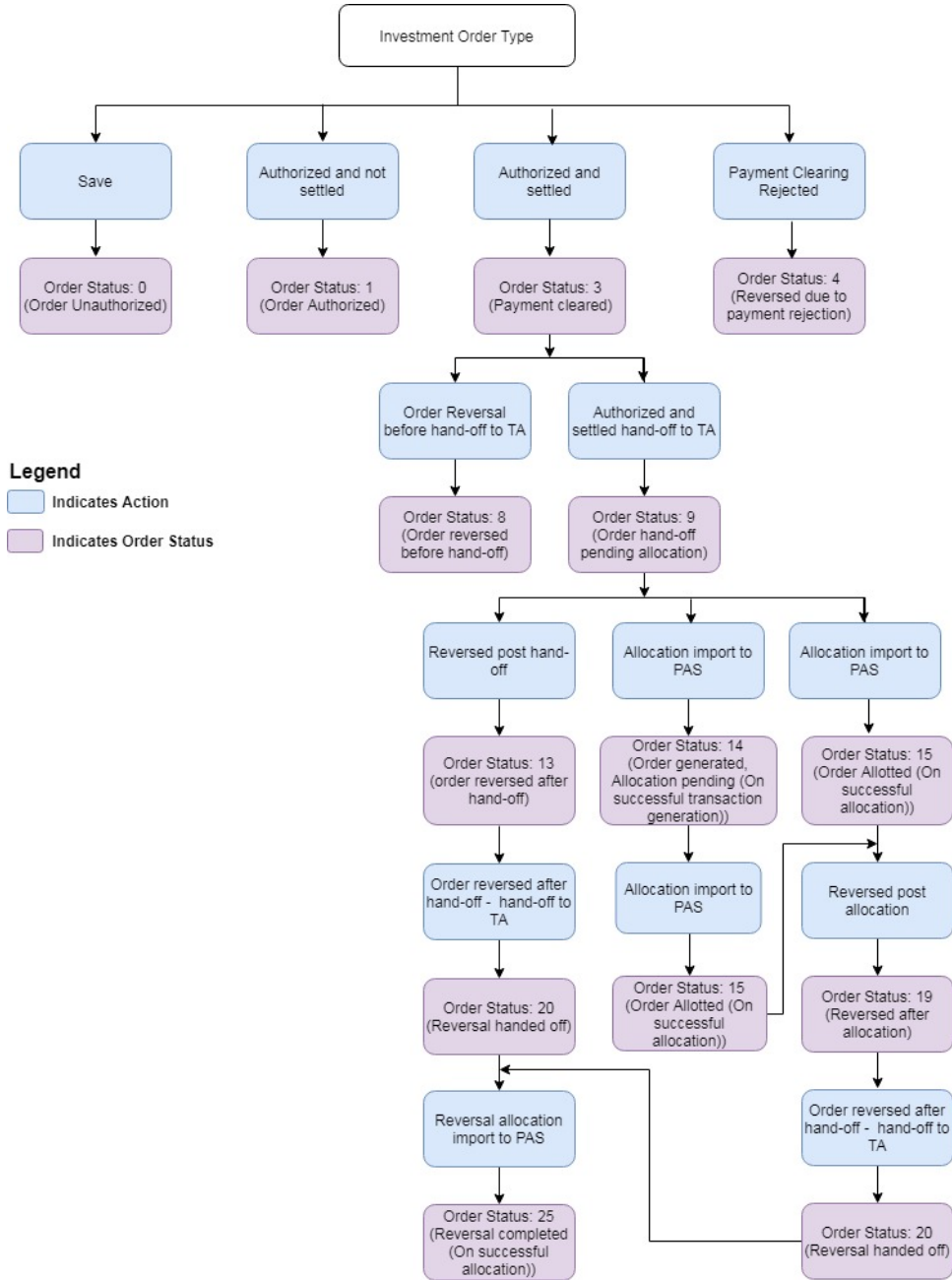
The subsequent process of authorization is the same as that for normal transactions.

## **2.65 Order Status of Orders**

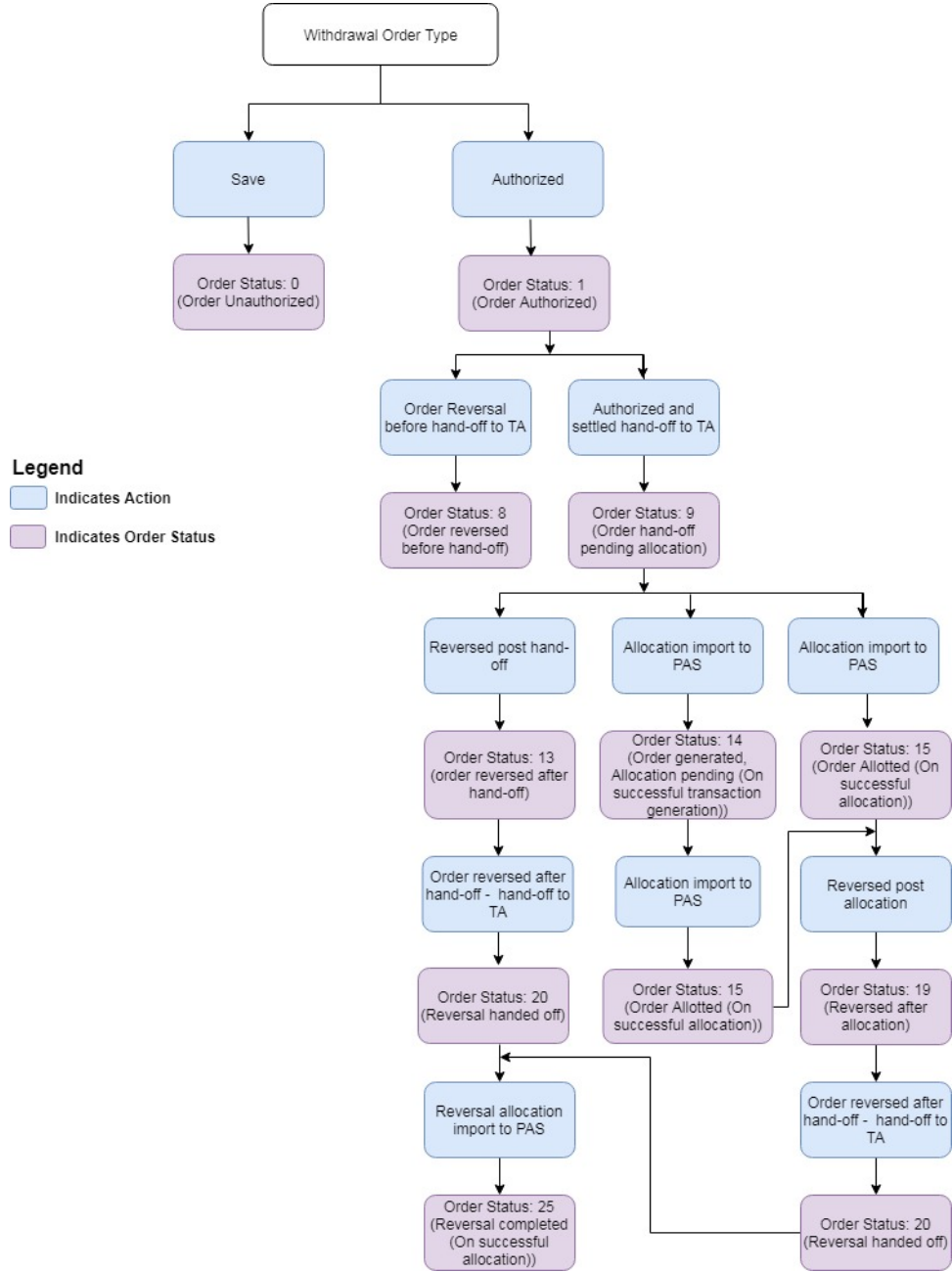
The system will use the following order status for orders. The system will show the order status in detail as well as summary screen:

<b>Order Status</b>	<b>Order Status Description</b>
0	Order unauthorised
1	Order authorised
3	Payment cleared
4	Reversed due to payment rejection
8	Order reversed before handoff
9	Order handoff pending allocation
10	Out-leg allotted/in-leg handoff pending
11	In-leg handoff pending allocation
13	Order reversed after handoff
14	Order generated, Allocation pending
15	Order allotted
19	Reversed after allocation
20	Reversal handed off
25	Reversal completed

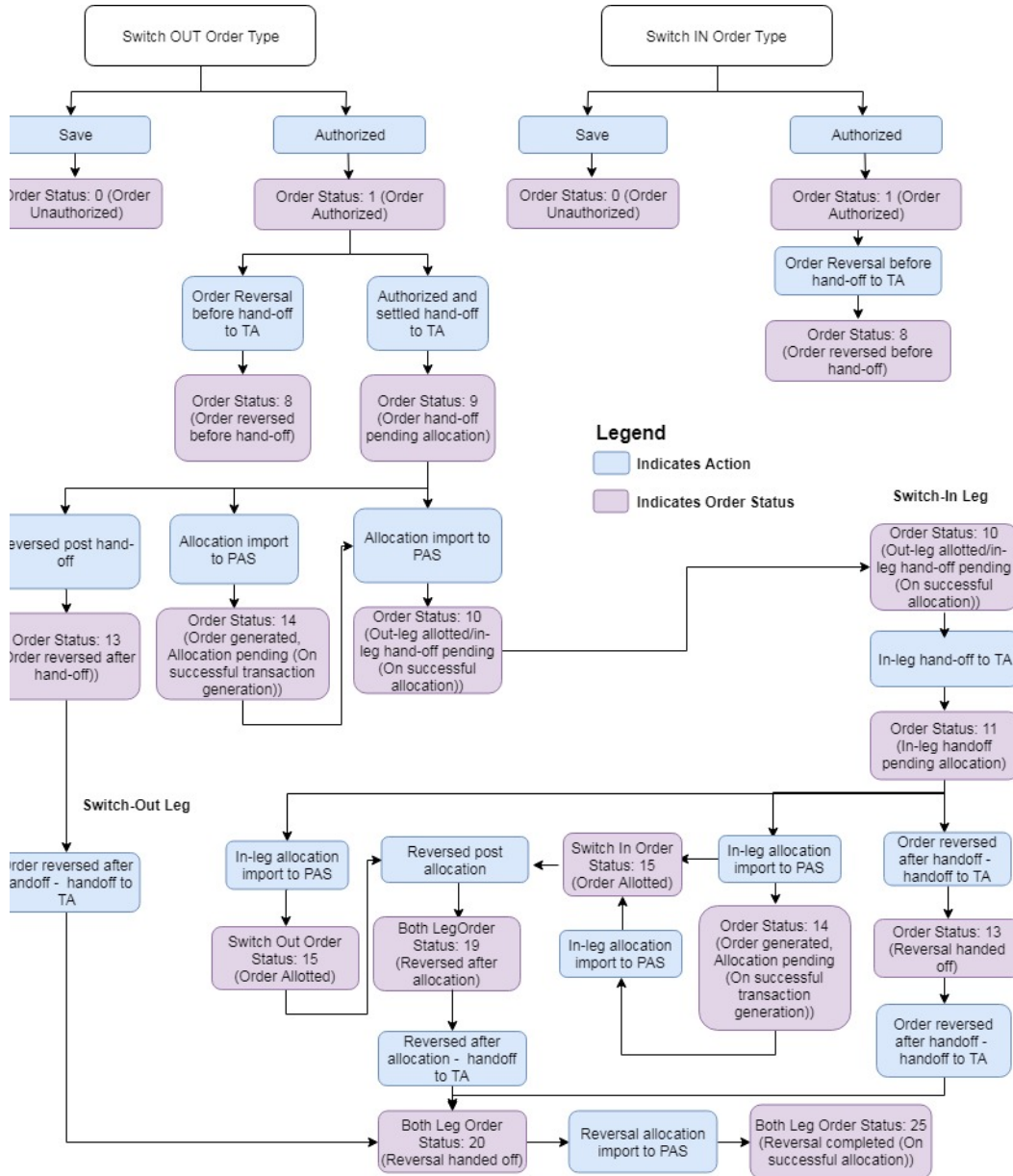
## Investment Order Status



## Withdrawal Order Status



## Switch Order Status



## 2.66 Allocation Details

This section contains the following topics:

- [Section 2.66.1, "Invoking Allocation Details Screen"](#)
- [Section 2.66.2, "From Leg Tab"](#)
- [Section 2.66.3, "To Leg Tab"](#)

## 2.66.1 Invoking Allocation Details Screen

You can view allocation details of an order using 'Allocation Details' screen. You can invoke this screen by typing 'PADALLOC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Allocation details

Execute Query

Order Number\*

From Leg To Leg

Instrument ID	Instrument Name	Instrument Ratio	Amount	Status
---------------	-----------------	------------------	--------	--------

Asset ID	Order Amount	Settlement Amount	Load Amount	Order Currency	N
----------	--------------	-------------------	-------------	----------------	---

Cancel

You can specify the following details by clicking 'Execute Query' button:

### Order Number

*Alphanumeric; 16 Characters; Mandatory*

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

## 2.66.2 From Leg Tab

Click 'From Leg' tab in 'Allocation Details' screen to view allocation details:

The screenshot shows the 'Allocation details' window. At the top, there is a search bar labeled 'Execute Query' with a text input field for 'Order Number\*'. Below this is a tabbed interface with 'From Leg' selected. The main area contains two data tables. The first table has columns: Instrument ID, Instrument Name, Instrument Ratio, Amount, Status. The second table has columns: Asset ID, Order Amount, Settlement Amount, Load Amount, Order Currency, N. A 'Cancel' button is located at the bottom right of the window.

You can view the following details:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Amount
- Status
- Asset ID
- Order Amount
- Settlement Amount
- Load Amount
- Order Currency
- Net Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Allotted Units
- Status

### 2.66.3 To Leg Tab

Click 'To Leg' tab in 'Allocation Details' screen to view allocation details:

The screenshot shows a web application window titled "Allocation details". At the top, there is a search bar labeled "Execute Query" with a text input field containing "Order Number\*" and a search icon. Below the search bar, there are two tabs: "From Leg" and "To Leg", with "To Leg" being the active tab. The main content area contains two data tables. The first table has columns: Instrument ID, Instrument Name, Instrument Ratio, Amount, and Status. The second table has columns: Asset ID, Order Amount, Settlement Amount, Load Amount, Order Currency, and N. Both tables are currently empty. At the bottom right of the window, there is a "Cancel" button.

You can view the following details:

- Instrument ID
- Instrument Name
- Instrument Ratio
- Amount
- Status
- Asset ID
- Order Amount
- Settlement Amount
- Load Amount
- Order Currency
- Net Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Allotted Units
- Status

## 2.67 View Portfolio Balance

This section contains the following topics:

- [Section 2.67.1, "Invoking View Portfolio Balance Screen"](#)

### 2.67.1 Invoking View Portfolio Balance Screen

You can view available balance for a party using 'View Portfolio Balance' screen. You can invoke this screen by typing 'PADPFBAL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'View Portfolio Balance' application window. At the top, there is a title bar and a 'Execute Query' section with input fields for 'Party ID\*', 'Portfolio ID', 'Party Name', and 'Portfolio Description'. Below this, the main content area is divided into three sections: 'Portfolio Balance', 'Instrument Balance', and 'Asset Balance'. Each section contains a table with columns for various details. The 'Portfolio Balance' table has columns: Portfolio ID, Portfolio Description, Account ID, Unit Balance, Currency, and Market Value. The 'Instrument Balance' table has columns: Instrument ID, Instrument Description, Unit Balance, Holdings Ratio, Instrument Currency, and Market Value. The 'Asset Balance' table has columns: Asset ID, Asset Name, Balance Units, Holdings Ratio, Asset Base Currency, and Market Value. At the bottom right of the screen, there is a 'Cancel' button.

You can specify the following details:

#### **Party ID**

*Alphanumeric; 16 Characters; Optional*

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

#### **Party Name**

*Display*

The system displays the name for the selected party ID.



**Portfolio ID**

*Alphanumeric; 16 Characters; Mandatory*

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

**Portfolio Description**

*Display*

The system displays the description of the selected portfolio ID.

After specifying the necessary details, click 'Execute Query' button. The following details are displayed:

**Portfolio Balance**

- Portfolio ID
- Portfolio Description
- Account ID
- Unit Balance
- Currency
- Market Value

**Instrument Balance**

- Instrument ID
- Instrument Description
- Unit Balance
- Holding Ratio
- Instrument Currency
- Market Value

**Asset Balance**

- Asset ID
- Asset Name
- Balance Units
- Holding Ratio
- Asset Base Currency
- Market Value

## **2.68 Interface Maintenance**

This section contains the following topics:

[Section 2.68.1, "Invoking Interface Maintenance Detail Screen"](#)

## 2.68.1 Invoking Interface Maintenance Detail Screen

You can maintain interfaces for upload and export using 'FCIS Interface Maintenance Detail' screen. You can invoke this screen by typing 'PADIFAC' 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 Interface Maintenance Detail' application window. It is divided into several functional areas:

- Save:** Contains input fields for 'Interface ID', 'Description', 'Import/Export Type' (set to 'Import'), 'Import/Export Basis' (set to 'Procedure'), 'Interface Code', 'Number Of Files (Import/Export)', 'Split Column', 'Subroutine Name', and 'Export Format' (set to 'Segment Wise').
- Interface Parameters:** A table with columns 'Parameter Name' and 'Parameter Value'.
- File Specification:** Includes fields for 'File Number', 'No Of Segments', 'Segment Identifier' (set to 'Field Value'), 'Field occurrence' (set to 'First Field'), 'Field Length', 'Field Type' (set to 'String'), 'Segment Delimiter' (set to 'Comma'), 'Delimited occurrence', 'Table Name', 'Criteria', 'File Name', 'File Path', 'Archive Directory', 'Unique File Name?' (Yes), 'File Type', 'ASCII File Format', 'Field Delimiter' (set to 'Comma'), and 'Column Header?' (Yes).
- Column Specification:** A table with columns: 'Field', 'Field Number', 'Field Type', 'Field Length', 'Column Heading', 'File Col Sequence', and 'Select'.
- Footer:** Contains fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Record Status', and 'Authorized', along with a 'Cancel' button.

You can specify the following details:

### Export Format

#### Optional

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

- Segment Wise
- Segment Record Wise

*For further details, refer 'Setting up and Maintaining Interfaces' section in 'Interfaces with External Systems' chapter in 'Interface' user manual.*

## 2.69 Interface Maintenance Summary Screen

This section contains the following topics:

- [Section 2.69.1, "Invoking Interface Maintenance Summary Screen"](#)

### 2.69.1 Invoking Interface Maintenance Summary Screen

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

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

*For further details, refer 'Interface Maintenance Summary Screen' section in 'Interfaces with External Systems' chapter in 'Interface' user manual.*

## 2.70 Party Role Migration

This section contains the following topics:

- [Section 2.39.1, "Invoking Bank Details Screen"](#)

### 2.70.1 Invoking Party Role Migration

To handle broker mergers and transfer of business from one broker/ brokerage house to another, you can run party role migration batch.

In case of PAS-TA integration, if broker migration is done in TA, the system will not migrate automatically to PAS brokers.

You can run party role migration batch using 'Party Role Migration' screen. This screen is used to merge broker/ intermediary. Once the batch is processed, old broker is not available for future transactions. The system will update the new broker ID for all investment accounts.

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

The screenshot shows a window titled "Party Role Migration" with a "Save" button at the top left. The form contains the following fields:

- Party Role \* (text input with search icon)
- Source Party ID \* (text input with search icon)
- Destination Party ID \* (text input with search icon)
- Effective Date \* (date input with calendar icon)
- Role Description (text input)
- Source Party Name (text input)
- Destination Party Name (text input)
- Status (dropdown menu with "Not Started" selected)

At the bottom of the window, there is a table with the following columns:

Input by	DateTime	Mod No	Record Status
Authorized by	DateTime		Authorization Status

A "Cancel" button is located at the bottom right of the window.

You can specify the following details:

### **Party Role**

*Alphanumeric; 2 Characters; Mandatory*

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

### **Role Description**

*Display*

The system displays the description of the selected party role ID.

### **Source Party ID**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Source Party Name**

*Display*

The system displays the name of the selected source party ID.

### **Destination Party ID**

*Alphanumeric; 16 Characters; Mandatory*

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

### **Destination Party Name**

*Display*

The system displays the name of the selected destination party ID.

### **Effective Date**

*Date Format; Mandatory*

Select the effective date from the adjoining calendar.

### **Status**

*Display*

The system displays the party role migration status.

## **2.71 Party Role Migration Summary**

This section contains the following topics:

- [Section 2.71.1, "Retrieving a Record in Party Role Migration Summary Screen"](#)
- [Section 2.71.2, "Editing Party Role Migration Record"](#)
- [Section 2.71.3, "Viewing Party Role Migration Record"](#)
- [Section 2.71.4, "Deleting Party Role Migration Record"](#)
- [Section 2.71.5, "Authorizing Party Role Migration Record"](#)
- [Section 2.71.6, "Amending Party Role Migration Record"](#)
- [Section 2.71.7, "Authorizing Amended Party Role Migration Record"](#)

### **2.71.1 Retrieving a Record in Party Role Migration Summary Screen**

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

You can invoke the 'Party Role Migration Summary' screen by typing 'PASPRMIG' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorized Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Party Role
- Role Description
- Source Party ID
- Source Party Name

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

---

**Note**

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

- Press F7
- Input the Party Role

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

### **2.71.2 Editing Party Role Migration Record**

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

- Invoke the Party Role Migration 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 Party Role Migration Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The Party Role Migration Detail screen is closed and the changes made are reflected in the Party Role Migration Summary screen.

### **2.71.3 Viewing Party Role Migration Record**

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

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

### **2.71.4 Deleting Party Role Migration Record**

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

- Invoke the Party Role Migration 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 Party Role Migration Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **2.71.5 Authorizing Party Role Migration Record**

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

- Invoke the Party Role Migration 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 Party Role Migration Detail screen is displayed. Select Authorize operation from the Action List.

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

### **2.71.6 Amending Party Role Migration Record**

After a Party Role Migration 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 Party Role Migration 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 Party Role Migration Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **2.71.7 Authorizing Amended Party Role Migration Record**

An amended Party Role Migration record must be authorized for the amendment to be made effective in the system.

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

## **2.72 Party Data Merger Screen**

This section contains the following topics:

- [Section 2.72.1, "Invoking Party Data Merger Screen"](#)

## 2.72.1 Invoking Party Data Merger Screen

You can merge the customer details such as address ID, bank details etc from old to new one using 'Party Data Merger' screen. This screen is used to merge Address/ Identity proof and Bank details in case if you have created the proofs multiple times. Post successfully execution of the batch, the system will replace old details with new details in the respective party, investment account

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

Party Data Merge Detail

Save

Category: Address

From Reference Number \*

Status: Not Started

Effective Date \*

To Reference Number \*

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

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

DateTime: \_\_\_\_\_

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

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

Authorized: \_\_\_\_\_

Cancel

You can specify the following details:

### Category

*Optional*

Select the category to be merged from the drop-down list. The list displays the following values:

- Address
- Bank
- ID

### Effective Date

*Date Format; Mandatory*

Select the effective date from the adjoining calendar. This indicates the date from when the data merger is effective.

### From Reference Number

*Alphanumeric; 16 Characters; Mandatory*

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



## To Reference Number

*Alphanumeric; 16 Characters; Mandatory*

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

## Status

*Display*

The system displays the merge status of the party.

## 2.73 Instruction Date Update Screen

This section contains the following topics:

- [Section 2.73.1, "Invoking Instruction Date Update Screen"](#)

### 2.73.1 Invoking Instruction Date Update Screen

You can modify the instruction date for the selected order type using 'Instruction Date Update' screen. This screen is used to move the instruction/ transaction date of orders captured prior to future working day maintained as holiday. If you had captured future date orders and subsequently if the day is marked as a holiday, this screen will move Instruction date to another working day.

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

The screenshot shows a software window titled "Instruction Date Update". At the top left of the window is a "Save" button. Below this, there are four input fields arranged in two rows. The first row contains "Original Instruction Date \*" and "Order Type \*". The second row contains "Modified Instruction Date \*" and "Operation". Each of the first three fields has a small calendar icon to its right. The "Operation" field is a dropdown menu with "Execute" selected. In the bottom right corner of the window, there is a "Cancel" button.

You can specify the following details:

#### **Original Instruction Date**

*Date Format; Mandatory*

Select the original instruction date from the adjoining calendar.

#### **Modified Instruction Date**

*Date Format; Mandatory*

Select the modified instruction date from the adjoining calendar.

## Order Type

*Alphanumeric; 3 Characters; Mandatory*

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

You can change the instruction date for all order types in one go if you select 'ALL' from option list.

## Operation

*Optional*

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

- Execute
- Process

## 2.74 Order Summary

This section contains the following topics:

- [Section 2.74.1, "Invoking Order Summary Screen"](#)

### 2.74.1 Invoking Order Summary Screen

You can view the summary of the orders captured for a party using 'Order Summary' screen. It also gives an idea about the allotted units of a party under particular investment account and a portfolio.

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

Portfolio ID	Portfolio Description	Account ID	Instrument ID	Instrument Name	Asset ID

You can specify the following details:

**Party ID**

*Alphanumeric; 12 Characters; Mandatory*

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

**Party Name**

*Display*

The system displays the name of the selected party ID.

**Portfolio ID**

*Alphanumeric; 12 Characters; Optional*

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

**Portfolio Description**

*Display*

The system the description of the selected portfolio ID.

**From Date**

*Date Format; Optional*

Select the date from when the order summary needs to be generated.

**To Date**

*Date Format; Optional*

Select the date till when the order summary needs to be generated.

Click 'Fetch' button to view the following details:

- Portfolio ID
- Portfolio Description
- Account ID
- Instrument ID
- Instrument Name
- Asset ID
- Asset Name
- Order Number
- Original Order Number
- Order Type
- Instruction Date
- Order Currency
- Order Amount
- Allocation Date
- Unit Price
- Asset Base Currency
- Alloted Units
- Status

## **2.75 Process Group Pension Order**

This section contains the following topics:

- [Section 2.75.1, "Invoking Process Group Pension Orders Screen"](#)

## 2.75.1 Invoking Process Group Pension Orders Screen

You can process the contribution file PAPDIS using as common batch screen. You can also execute the respective interface using 'Process Group Pension Orders' screen.

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

### **Employer Code**

*Alphanumeric; 12 Characters; Mandatory*

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

### **Employer Name**

*Display*

The system displays the name of the employer for the selected employer code.

### **Process ID**

*Display*

The system displays the process ID for the selected employer code.

### **Batch Ref Number**

*Display*

The system displays the batch reference number for the selected employer code.

### **Process Status**

*Alphanumeric; 1 Character; Optional*

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

After specifying the necessary details, click 'Save'. On 'Query', the system displays the following values:



- Batch Reference Number
- Error Code
- Error Description
- Reason Code
- Process Status

---

Note

On query, the system will display only one Error Code and Error Description for each Employee.

---

You can also invoke 'Group Pension Order Summary' screen by typing 'PASGRPOR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. In such cases, you need to specify the mandatory details such as Employer Code, Batch Reference Number and Process ID to view the results. On double clicking the record in the result section, you can view the consolidated upload summary.

## **2.76 EOD Maintenance**

This section contains the following topics:

- [Section 2.76.1, "Invoking EOD Maintenance Screen"](#)
- [Section 2.76.2, "Invoking EOD Maintenance Summary Screen"](#)

### **2.76.1 Invoking EOD Maintenance Screen**

You can schedule and reschedule the EOD activities using 'EOD Maintenance Detail' screen. You can invoke this screen by typing 'UTDEODMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'End of Day Maintenance' section in 'End of Day Activities' chapter in 'Batch\_Process' user manual.*

### **2.76.2 Invoking EOD Maintenance Summary Screen**

You can view EOD activities using 'EOD Maintenance Summary' screen. You can invoke this screen by typing 'UTSEODMT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'EOD Maintenance Summary' section in 'End of Day Activities' chapter in 'Batch\_Process' user manual.*

## **2.77 Online Interface Execution**

This section contains the following topics:

- [Section 2.77.1, "Invoking Online Interface Execution Screen"](#)

### **2.77.1 Invoking Online Interface Execution Screen**

You can upload or export the files to or from the system respectively using 'Online Interface Execution' screen. You can invoke this screen by typing 'UTSONLIN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

If any errors result, you can view the same using the upload status summary or upload status report.

For further details, refer 'Online Execution of Interfaces' section in 'Interfaces with External System' chapter in 'Interface' user manual.

## 2.78 Upload Status Summary

This section contains the following topics:

- [Section 2.78.1, "Invoking Upload Status Summary Screen"](#)

### 2.78.1 Invoking Upload Status Summary Screen

You can view upload summary details using 'Upload Status Summary' screen.

You can invoke this screen by typing 'PASUPRP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The 'Upload Status Summary' screen is displayed.

Upload Status Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Import Option

Status

Process ID

Upload Date

Records per page 15 1 of 1 Lock Columns 0

Import Option	Process ID	Sequence Number	Status	Upload Date	Reference Number	Error Code	Error Description
---------------	------------	-----------------	--------	-------------	------------------	------------	-------------------

Exit

Specify any of the following details:

- Import Option
- Process ID

- Status
- Upload Date

To retrieve the uploaded record that is to be viewed, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

Select the record that you want to view in the list of displayed records, in the lower portion of the screen.

The Upload Status screen is opened by double clicking the selected record, with the selected record displayed in view mode.

## **2.79 Pre End of Day Check**

This section contains the following topics:

- [Section 2.79.1, "Invoking Pre End of Day Check - Execute Pre EOD Screen"](#)

### **2.79.1 Invoking Pre End of Day Check - Execute Pre EOD Screen**

Before doing an EOD, you should clear all the mandatory pre end of the checks listed in 'Pre End of Day Check - Execute Pre EOD' screen. Once all checks are over, you can execute pre-EOD and then proceed for EOD. You can invoke 'Pre End of Day Check - Execute Pre EOD' screen by typing 'UTDPREOD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

*For further details, refer 'Executing Pre-End of Day Operations' section in 'End of Day Activities' chapter in 'Batch\_Process' user manual.*

## **2.80 EOD Execution**

This section contains the following topics:

- [Section 2.80.1, "Invoking EOD Execution Screen"](#)

### **2.80.1 Invoking EOD Execution Screen**

To move the system to the next working date, you need to execute the end of the day process using 'EOD Execution Detail' screen.

EOD sequence will be as following sequence:

1. EOD in PA
2. EOD in TA
3. BOD in TA
4. BOD in PA

However both can be run independently also, information flow will happen based on the source system.

A EOD batch program in TA - 2200- TA to PA module hand-off should be maintained in order to extract the allocation hand-off export.



You can execute the end of day process to move the system to the next working date using 'EOD Execution Detail' screen. You can invoke this screen by typing 'UTDEODEX' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

For further details, refer 'Executing EOD Operations' section in 'End of Day Activities' chapter in 'Batch\_Process' user manual.

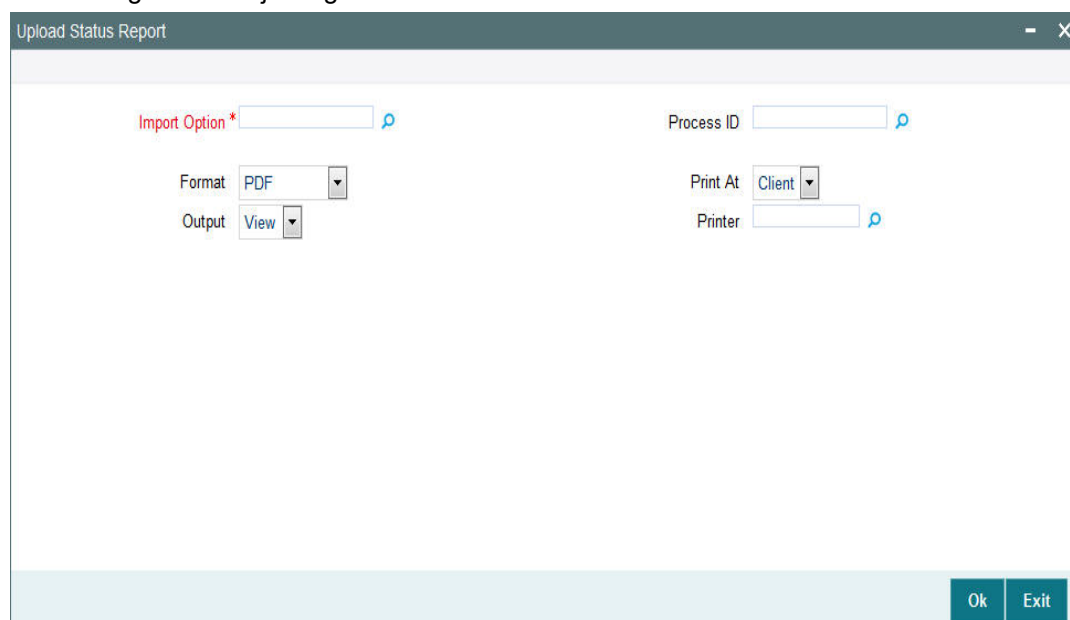
## 2.81 Upload Status Report

This section contains the following topics:

- [Section 2.81.1, "Generating Upload Status Report"](#)

### 2.81.1 Generating Upload Status Report

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



#### **Import Option**

*Alphanumeric; 50 Characters; Optional*

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

#### **Process ID**

*Alphanumeric; 50 Characters; Optional*

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

#### **Format**

*Optional*

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

- PDF
- HTML

- Excel
- Excel (.xlsx)
- RTF

### **Output**

*Optional*

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

- View
- Print
- Spool

### **Print At**

*Optional*

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

- Client
- Server

### **Printer**

*Alphanumeric; 15 Characters; Optional*

Specify the printer details from adjoining option list.

Click 'Ok' button to generate the report.

## **2.82 Consent Maintenance Detail**

This section contains the following topics:

- [Section 2.82.1, "Invoking Consent Maintenance Detail Screen"](#)

### **2.82.1 Invoking Consent Maintenance Detail Screen**

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

*For further details, refer 'Consent Maintenance Detail' section in 'Maintaining Reference Information' chapter in 'Reference\_Information' user manual.*

## **2.83 Consent Maintenance Summary**

This section contains the following topics:

- [Section 2.83.1, "Invoking Consent Maintenance Summary Screen"](#)

### **2.83.1 Invoking Consent Maintenance Summary Screen**

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

*For further details, refer 'Consent Maintenance Summary' section in 'Maintaining Reference Information' chapter in 'Reference\_Information' user manual.*

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## 3. Function ID Glossary

### P

PADACCLS .....	2-163
PADACCST .....	2-245
PADADDET .....	2-105
PADAJORD .....	2-82
PADALLOC .....	2-232
PADASDEF .....	2-14
PADASMNT .....	2-18
PADBKDET .....	2-94
PADCHMAP .....	2-89
PADCLUSR .....	2-12
PADCMDDET .....	2-78
PADCONMT .....	2-253
PADDEFMT .....	2-9
PADEHROL .....	2-145
PADGRPMT .....	2-136
PADIDDET .....	2-99
PADIFAC .....	2-237
PADINDTU .....	2-244
PADINSDF .....	2-29
PADINVAC .....	2-150
PADINVDE .....	2-176
PADMERGE .....	2-243
PADMPAYS .....	2-192
PADPARTY .....	2-113
PADPFBAL .....	2-235
PADPFDFN .....	2-55
PADPFMAP .....	2-169
PADPFYYP .....	2-47
PADPRCFU .....	2-247
PADPRMIG .....	2-238
PADPRROL .....	2-141
PADPYCLR .....	2-194
PADREBMP .....	2-42
PADREBRL .....	2-71
PADRULDF .....	2-66
PADSWIDE .....	2-214
PADWITHD .....	2-197
PARUPRP .....	2-252
PASACCLS .....	2-165
PASADDET .....	2-109
PASAJORD .....	2-86
PASASDEF .....	2-15

PASASMNT .....	2-23
PASBKDET .....	2-96
PASCHMAP .....	2-91
PASCMDDET .....	2-79
PASCONMT .....	2-253
PASGRPMT .....	2-138
PASGRPOR .....	2-249
PASIDDET .....	2-102
PASIFAC .....	2-238
PASINSDF .....	2-39
PASINVAC .....	2-160
PASINVDE .....	2-189
PASPARTY .....	2-133
PASPFDFN .....	2-63
PASPFMAP .....	2-172
PASPFTYP .....	2-52
PASPRMIG .....	2-240
PASPRROL .....	2-147
PASREBMP .....	2-44
PASREBRL .....	2-75
PASRULDF .....	2-68
PASSWIDE .....	2-225
PASUPRP .....	2-250
PASWITHD .....	2-211

### U

UTDADINF .....	2-9
UTDCONCU .....	2-10
UTDCURMA .....	2-10
UTDDEFMT .....	2-9
UTDENMAP .....	2-10
UTDENTMP .....	2-11
UTDEODEX .....	2-252
UTDEODMT .....	2-249
UTDEXCRM .....	2-11
UTDEXRMP .....	2-11
UTDHOLID .....	2-11
UTDMODDE .....	2-8
UTDPARAM .....	2-9
UTDPREOD .....	2-251
UTDSORCE .....	2-10
UTSEODMT .....	2-249
UTSONLIN .....	2-249