Interface User Guide

Oracle FLEXCUBE Investor Servicing
Release 14.7.2.0.0
Part Number F75930-01
[May] [2023]

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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	*About This Manual* explains the structure, audience, organization, and related documents of this manual.
Chapter 2	*Interface – Creating Electronic Fund Transfer* explains the processes involved in using the FC-IS system to create transfer instructions EFT files and transmit them to an external clearing bureau or clearing house.
Chapter 3	*Interface – Processing SWIFT Messages* explains the processes involved in uploading and processing SWIFT messages is explained.
Chapter 4	*VESTIMA+ Processing* explains the explains the processes related to VESTIMA+ external system
Chapter 5	*Interface – Interfaces with External Systems* explains setting up, maintenance, online execution of various interfaces.
Chapter 6	*Interface – Interface with Oracle FLEXCUBE Retail* explains setting up, maintenance, online execution of interface with FLEXCUBE retail
Chapter 7	*Oracle FLEXCUBE Internet Banking* explains interface between FCIS and Internet Banking
Chapter 8	*Interface – Interfaces with External Systems* explains facilities to effect data exchanges and transfers with external systems

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
Italic type	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

Refer the Procedures User Manual for further details about the icons.

1.7 Abbreviations and Acronyms

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

Abbreviation/ Acronym	Meaning
ADMIN	User Administrator
AGY	The Agency Branch component of the system

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

1.8 Getting Help

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

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2. Creating Electronic Fund Transfer Interfaces

Oracle FLEXCUBE Investor Servicing (FC-IS) provides the AMC with the facility of interfacing with external clearing bureaus and clearing banks. The interface is facilitated through electronic funds transfer (EFT), and specific transfer instruction data can be generated as EFT files that are sent to these clearing bureaus.

In the FC-IS system, you can create transfer instructions to be sent to the clearing bank of the AMC from where transfers can be effected to the unit holder bank accounts, for the following business events:

- Redemption Payments: For all the payments that need to be effected through transfer to unit holder bank account due to redemption transactions on any given date, you can generate an EFT file in the system with all the relevant transfer instruction data and the amounts. This file can then be exported to the clearing bank of the AMC.

- Dividend Payments: For all dividend payments that must be effected through transfer to unit holder bank accounts, on a given date, an EFT file can be generated that contains all the relevant transfer instruction data and the amounts. This file can then be manually transmitted to the clearing bank of the AMC that will actually effect the transfers.

- Broker Commission Payments: For all payments through transfer to an agent or broker bank accounts due to commission accrual on any given date, an EFT file can be generated that contains the transfer details and the amounts. This file can be exported to the clearing bank of the AMC.

You can also create transfer instructions to an external clearing bureau for the purpose of debiting the relevant unit holder accounts in the case of debit orders. A hand-off file can be generated with the transfer instruction information that can be sent to an external clearing bureau that will debit the relevant unit holder bank accounts and credit the AMC account as applicable.

In case of NPI payments to a trust, you can generate a single EFT file that contains all the transfer details and the total NPI amount that must be paid to charitable trusts.

This chapter describes the functions in the FC-IS system that you can use to create these transfer instructions EFT files.

This chapter contains the following sections:

- Section 2.1, "Create Transfer Instruction Files"
- Section 2.2, "Few Basic Terms"
- Section 2.3, "EFT Files Generation"
- Section 2.4, "EFT Batch Generation Screen"
- Section 2.5, "EFT Batch Maintenance Summary Screen"
- Section 2.6, "Marking a Batch for Re-Export"
- Section 2.7, "Payment Clearing Screen"
- Section 2.8, "Payment Clearing Summary Screen"

2.1   Create Transfer Instruction Files

The following screens in the system facilitate the creation and generation of these transfer instructions interface files:

- The EFT Setup (Detail and Summary) Screen that you can access from the EFT Setup menu in the Browser.

- The Payment Clearing Screen that you can access from the Payment Clearing menu in the Browser.

2.2 Few Basic Terms

You must have a clear understanding of a few basic terms before you use these screens to generate the EFT files:

Batch

A batch is a logical group of records that forms a single transfer instruction EFT file. Accordingly, one single batch can include transfer instructions records that could apply to any one of the four business events mentioned above – redemption payments, dividend payments, broker commission payments or debit orders, as of the date on which (the effective date) the hand-off files are to be generated.

Instruction Type

Each of the four business events that will result in transfer instructions being sent to the clearing bureau (for debit orders) or clearing bank (for redemption payments, dividend payments or broker commission payments), is designated within the system as an instruction type. Therefore, a single batch can contain records that pertain to a single instruction type, for a given date.

Instruction Medium

The instruction medium is the method using which the interfacing with the external entity is achieved. Therefore, the medium could be an automated clearing bureau, an electronic funds transfer, a SWIFT interface, and so on.

Taking a typical example, if the generated transfer instruction files are exported to an external clearing bank, they may need to be exported through an electronic funds transfer. In this case, the instruction medium would be EFT or electronic funds transfer.

Settlements and Link Settlement Numbers

Settlement of the records in a batch involves the debiting or crediting of the applicable bank accounts. For each account that is impacted by the debit or credit entries due to the settlement, the system generates a number known as the link settlement number. This number is typically used for tracking the record in the different stages of the settlement.

If more than one of the records retrieved for a batch are to be settled by crediting or debiting the same unit holder account, then the system internally deems the settlement to be a single one. It also assesses the number of such settlements, and displays the same.

For example, in the case of redemption payments, let us suppose that a certain unit holder A has performed redemption transactions T1 and T2, and that these transactions have been allocated on the date 3rd – April - 2000. Let us suppose that the only bank account to be credited as a result of these transactions is AC1. When you extract redemption payment records for the date 3rd - April - 2000 in this screen, the system retrieves T1 and T2. When it finds, during the process of extraction, that both the proceeds of both transactions are to be credited to a single account AC1, it deems both the transactions as a single settlement, and assigns a single link settlement number, for both these transactions.

For a single link settlement number, all the underlying transactions must be cleared or rejected together.

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2.3 EFT Files Generation

Typically, it is recommended that you perform the generation of an EFT batch file after the End of Day process at the Fund Manager has been preformed by the Operator users.

You can create and generate the transfer instruction files in the system by using the following procedures, in sequence:

- For the date on which the hand-off instruction files are to be generated, for sending to the clearing bureau, you must extract the records that must appear in these files. You can use the EFT Batch Maintenance (Detail) screen to do this.
- After you have extracted and saved the batch in the EFT Batch Generation screen, authorize it using the EFT Batch Maintenance (Summary) screen.
- The user that has generated the batch record in the EFT Batch Maintenance (Detail) screen cannot authorize the batch. Typically, a user belonging to the Supervisor user group can authorize the batch in the EFT Batch Maintenance (Summary) screen.
- After authorization, you can generate and export the actual transfer instruction interface file that contains the batch records using the interface processing functions in the system.

Refer to the Interfaces chapter of this User Manual for a detailed discussion of the interface processing functions.

Re-exporting Batch EFT File

Once a batch has been authorized, it cannot be generated again for the same instruction type, for the same date.

If the transmitted EFT batch file is misplaced due to any reason, then you can re-export the same batch again. The saved batch data is exported. You can use the Mark Batch for Re-Export screen to do this. The Interface processing function may be used again to re-transmit the EFT batch file.

EFT Setup Detail			⤢ ✕
💾 Save			
EFT Information			
Batch Number		Batch Description *	
Instruction Type *	🔍	Instruction Type Description	
Instruction Medium *	🔍	Instruction Medium Description	
Entity ID	🔍		
Description			
Bank *	🔍	Sub Payment Mode *	🔍
Effective Date	YYYY-MM-DD 📅	Description	
Agent Code	🔍	Unit Holder ID	
		Find UH	
		Process Date	YYYY-MM-DD 📅
			Audit Cancel

2.4 EFT Batch Generation Screen

This section contains the following topics:

- Section 2.4.1, "Invoking the EFT Setup Detail Screen"

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2.4.1 Invoking the EFT Setup Detail Screen

You can use the 'EFT Setup Detail' screen to generate a batch for an EFT file. You can invoke this screen by typing 'UTDEFTSD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

2.4.2 Generating EFT Batch in this Screen

To create a batch that can be used for generating and exporting an EFT file, you must

- Specify the following mandatory information in the applicable fields in the header or main portion of this screen:
  - The Instruction Type that will determine the records that must be extracted for this batch.
  - The Effective Date for which the records must be extracted for this batch
  - The Batch Description
- Click the Extract button. The job is submitted and the corresponding procedure is run. The Asynchronous Process screen is opened, where the current status of the job is indicated.
- All the relevant transaction records pertaining to the specified Instruction Type and Effective Date are extracted, and the amounts involved are summed across all the transaction and displayed in the Instruction Information section in the lower portion of the screen. This displayed row will also contain the number of records that are tagged with a link settlement number
- To view the records in detail, with the actual transaction numbers, and the bank account details, click the View Details button. The records that make up the batch are displayed transaction-wise in the Instruction Details section in the lower portion of the form.
- Choose the Save option from the File menu or click on the Save button to save the batch.

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

The EFT Setup Screen depicts the following EFT information:

Batch Number

Display

The Batch Number is a unique identifier that is assigned to each batch that is generated in this screen. When you have extracted all the records in this screen, the Batch Number is generated when you choose the Save option and the system successfully saves the batch.

The Batch Number consists of a 20-character number, and is generated by the system according to the following logic:

Character	Description
Characters 1-2	'BN'

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Character	Description
Characters 3-4	The instruction type, 'DO' for debit orders, 'RE' for redemption payments, 'BC' for broker commission payments and 'DI' for dividend payments.
Characters 5-12	The date stamp (as 'yyyymmdd' format)
Characters 13-20	A running serial number prefixed with zeros

Batch Description

Alphanumeric; 30 Characters; Mandatory

Specify the batch description.

Instruction Type

Alphanumeric, 2 Characters; Mandatory

Select the type of business event that results in the EFT file transfer to the external bureau in the form of this batch. The records that will be extracted by the system in this screen will be filtered according to the instruction type that you specify here.

Instruction Type Description

Display

When you select the instruction type, the description for the respective instruction type is displayed.

The following types are available:

- Debit Orders
- Redemption Payouts
- Dividend Payouts
- Broker Commission Payouts
- NPI Payments to Trust

For instance, if you specify the instruction type as Redemption Payouts, the system will retrieve only records of redemption transactions that have been allocated on the specified date.

The drop-down list in this field contains all the instruction types that have been identified for the AMC and the interface. The instruction types are set up in the system by the implementers at installation time.

Instruction Medium

Alphanumeric; 6 Characters; Mandatory

The instruction medium is the method using which the interfacing with the external entity is achieved. Therefore, the medium could be an automated clearing bureau, an electronic funds transfer, a SWIFT interface, and so on.

Taking a typical example, if the generated transfer instruction files are exported to an external clearing bank, they may need to be exported through an electronic funds transfer. In this case, the instruction medium would be EFT or electronic funds transfer.

At the time of installation of the system, the implementers set up the different instruction mediums as applicable to the AMC. Each instruction type is mapped to an instruction medium.

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Therefore, when you specify the instruction type, the instruction medium that is mapped to the selected instruction type is displayed here, and it cannot be altered.

Instruction Medium Description

Display

When you select the Instruction medium, the description for the respective instruction medium is displayed for the EFT Setup.

Entity ID

Alphanumeric; 12 Characters; Optional

The ID of the entity involved in the transaction is displayed here.

Description

Display

The system displays the description for the selected entity ID.

Bank

Alphanumeric; 12 Characters; Mandatory

Specify the code of the bank, in which the transfer account is located, from which the settlement will be done for the transaction.

Sub Payment Mode

Alphanumeric; 2 Characters; Mandatory

Select the sub payment mode from the option list.

Description

Display

The system displays the description for the selected sub payment mode.

Effective Date

Date Format; Mandatory

Specify the date for which the records must be extracted for this batch.

- For redemption payments, the redemption transactions that have occurred on the date you specify here must have been allocated.
- For dividend payments, the following events must have already occurred for the date you specify here:
  - The fund dividend should have been declared and authorized for all funds earlier than the date you specify here.
  - The dividend that has been declared must already have been processed for the date you specify here.
- For broker commissions, the commissions that are accruing to the broker on the date you specify here must already have been processed in the system.
- For debit orders, the date you specify here must be the date of generation of the standing instructions transaction. Therefore, it must always be a future date.

Therefore, for redemption payments, broker commission payments and dividend payments, the date you specify here can be a past date, subject to the conditions mentioned above.

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Agent Code

Alphanumeric; 12 Characters; Optional

Select the agent code from the option list.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Select the ID of the respective unit holder from the option list.

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

Process Date

Date Format; Mandatory

Select the process date from the adjoining calendar.

This is the date on which the batch record is saved in this screen.

Net Amount

Display

The net amount involved in the transaction is displayed here.

Held Back Payment?

Optional

Select 'Yes' or 'No' from drop-down list to specify whether any payments are held back or not.

Broker Code

Alphanumeric; 12 Characters; Optional

Enter the broker code.

Held From

Date Format; Optional

Enter from when the payment is held back.

Count of Records

Display

The number of the allotted transaction in the system that has been extracted for this batch is displayed here.

For dividend payments and commission payments, it is the corresponding payment number. For redemption transactions, it is the actual redemption transaction number in the system. For debit orders, it is the actual system-generated Standing Instructions transaction number that is assigned when the transaction is actually generated in the system.

Mark for Re-Export

Click 'Mark For Re-Export' button to mark the records for re-export.

2.4.3   Reports Printed on Saving EFT Batch

When you save an EFT batch in this screen, the following reports are printed:

- The Instruction Batch Report, containing the following details:

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- Batch Number and Description
- Instruction Description
- Instruction Medium
- Net Amount
- Process Date and Effective Date
- Authorization Status and Batch Status
- Rejection Reason, if any.
- The EFT Batch Details Report, containing the following details:
  - The Link Settlement Numbers, if any
  - The transaction amounts, at the settlement number level, and a sum for the entire batch
  - The transfer bank account details at the link settlement number level

2.5 EFT Batch Maintenance Summary Screen

This section contains the following topics:

- Section 2.5.1, "Invoking the EFT Batch Maintenance Summary Screen"
- Section 2.5.2, "Retrieving Batch in EFT Setup Summary Screen"
- Section 2.5.3, "Editing Record"
- Section 2.5.4, "Viewing Record"
- Section 2.5.5, "Authorizing Record"
- Section 2.5.6, "Amending Record"
- Section 2.5.7, "Authorizing Amended Record"
- Section 2.5.8, "Copying Attributes "

2.5.1 Invoking the EFT Batch Maintenance Summary Screen

After you have extracted an EFT batch, you must have another user authorize it to be effective in the system.

Before the EFT batch is authorized, you can edit it as many times as necessary. You can also delete it before it is authorized.

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

The 'EFT Setup Summary' screen can be used for the following operations on EFT batches:

- Retrieval for viewing
- Authorizing batches

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- Marking a batch for re-export

EFT Setup Summary			

2.5.2 Retrieving Batch in EFT Setup Summary Screen

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

In the browser select Transaction screen and click on Summary, specify any or all of the following details in the corresponding fields:

- The status of the transaction in the Authorized field. If you choose the "Blank Space" option, then all the records are retrieved.
- The status of the Transaction in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
- The medium of instruction, in the Instruction Medium field.
- The type of instruction, in the Instruction Type field.
- The date of process, in the Process Date field.
- The effective date, in the Effective Date field.
- The code of bank, in the Bank field.
- The mode of sub payment for the transaction, in the Sub Payment Mode field.
- Batch Number

After you have specified the required details, click the Query button. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note**
>
> You can also retrieve the individual record detail from the detail screen by doing query in the following manner:-
> - Press F7
> - Input the Instruction Type
> - Press F8

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

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

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For example

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

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

2.5.3 <u>Editing Record</u>

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

- Invoke the EFT Setup Summary screen from the Browser.
- Select the status of the transaction that you want to retrieve for modification in the Authorized field. You can only modify records of transactions that are unauthorized. Accordingly, choose the unauthorized option from the drop down list.
- Specify any or all of the details of the records in the corresponding fields on the screen to retrieve the record that is to be modified. All unauthorized transactions 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 EFT Setup Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information
- Click Save to save your changes. The EFT Setup Detail screen is closed and the changes made are reflected in the EFT Setup Summary screen.

2.5.4 <u>Viewing Record</u>

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

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

2.5.5 <u>Authorizing Record</u>

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

To authorize a record you must first retrieve the same in the EFT Setup Summary screen.

- Invoke the EFT Setup Summary screen from the Browser.

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- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list.

- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search' button. All transactions 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 EFT Setup screen is opened in view mode.

- Select Authorize operation from Action list.

- To mark all retrieved records for authorization,

    – In the retrieved list, specify the value of each transaction in the Transaction Value field.

    – Click the Mark All for Authorize link.

    – Click the Authorize Marked Records button to complete the authorization.

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

2.5.6   Amending Record

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

- Invoke the EFT Setup Summary screen from the Browser.

- Select the status of the record that you wish to retrieve for amendment. You can only amend records of transactions that are authorized.

- Specify any or all of the details of the record in the corresponding fields on the screen. All record with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to amend. The EFT Setup screen will be displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.

- Amend the necessary information. Click the Save button to save your changes.

2.5.7   Authorizing Amended Record

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

Authorization of amended records can only be done from Fund Manager Module and Agency branch Module.

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

2.5.8   Copying Attributes

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

To copy the attributes of an existing record to a new record:

- Retrieve the record whose attributes the new record should inherit. You can retrieve the record through the Summary screen or through the F7 - F8 operation which are explained in the previous section.

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- In the EFT Setup Detail screen, click on 'Copy' Action.
- Indicate the ID for the new record. You can however change the details of the new records if required.

2.6   Marking a Batch for Re-Export

Once a batch has been authorized, it cannot be generated again for the same instruction type, for the same date.

If the data is lost due to any reason, or the EFT file is misplaced, then you can re-export the same batch again. The saved data is exported again. You can use the Mark EFT Batch for Re-Export option in the Operation field, in the EFT Batch Maintenance (Summary) to do this.

Only batches that have been authorized and subsequently processed at least once can be marked for re-export.

To mark a batch for re-export in the EFT Batch Maintenance Summary screen,

- Select Mark for Re-Export in the Operation field.
- Retrieve the batch that you must re-export. Specify the appropriate search criteria, and retrieve the batch.
- When you have successfully retrieved the batch, the details of the batch are displayed in the grid portion of the screen. The following details are displayed for the batch:
- The Batch ID and description
- The Process Date and the Effective Date for the batch
- The count of the number of link settlements for the batch
- To mark a batch for re-export, check the Re-Export check box in the row corresponding to the batch in the grid.
- Similarly, mark as many batches as required, for Re-Export
- When you have finished, choose the Save option from the File menu or click the Save button to save the marked batches.

2.7   Payment Clearing Screen

This section contains the following topics:

- Section 2.7.1, "Invoking the Payment Clearing Detail Screen"
- Section 2.7.2, "Fields in Payment Clearing Screen"

2.7.1   Invoking the Payment Clearing Detail Screen

In an exported EFT batch file, if the external clearing bureau directs that some settlements must be reconciled in the system, you can use the 'Payment Clearing Detail' screen to do this. You can invoke this screen by typing 'UTDPYCLR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select 'New' from the Actions

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menu in the Application tool bar or click new icon to enter the details of the Payment Clearing screen.

Payment Clearing Detail		
🖫 Save		

AMC ID	[🔍]	Transaction Number	[ ]	ISIN Code	[ ]
Payment Mode	[ALL ▾]	Fund ID	[🔍]	Fund Name	[ ]

Level	[Transaction ▾]	From	[YYYY-MM-DD 📅]	To	[YYYY-MM-DD 📅]
Date Range	[▾]				Show Details

Clear All   Reject All

Payment Clearing   ☷

☐	Transaction Number ⇅	Txn Dtl ⇅	Payment Mode ⇅	Payment Details ⇅	Clearing Date ⇅	Clearing Status ⇅	Drawee Bank Name ⇅	Pledgee Branch ⇅	Txn Base Currency

No data to display.

Cancel

2.7.2   Fields in Payment Clearing Screen

The following are the fields in the Payment Clearing Screen:

AMC ID

Alphanumeric; 12 Characters; Optional

Select the AMC ID from the option list, for which clearing to be processed.

Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number for which payment needs to be processed.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID for which payment needs to be processed.

ISIN Code

Display

The system displays the ISIN code for the selected fund ID.

Fund Name

Display

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

Payment Mode

Optional

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

- ALL
- Cheque
- Demand Draft

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- Transfer
- Credit Card

Level

Optional

Select the level of transactions to be selected from the drop-down list. The list displays the following values:

- Transaction
- Policy
- Settlement
- Pre-Settled Trade

Date Range

Optional

Select the date range to be consider for filtering in from and to date from the drop-down list. The list displays the following values:

- Transaction Date
- Allocation Date
- Payment Date

From

Date Format; Optional

Specify the from date for which transactions to be filtered based on Date Range selected.

To

Date Format; Optional

Specify the to date for which transactions to be filtered based on Date Range selected.

Click 'Clear All' button to clear the process for fetched list of transactions.

Click 'Reject All' button to reject the process for fetched list of transactions.

Click 'Show Details' button to fetch the data as per the search criteria given in the header block. The following details are displayed:

- Transaction Number - Displays transaction numbers of above selected filter criteria.
- Txn Dtl - On clicking of this button corresponding Transaction screen will be queried
- Payment Mode - Displays the mode of payment of the corresponding transaction.
- Payment Details - On clicking of this button corresponding Transaction Settlement screen will get queried with the settlement details.
- Clearing Date - Captures the clearing date of the transaction, while fetching this filed will be defaulted with clearing date from transaction level if captured. However, you can override this defaulted value.
- Clearing Status - Specify if the payment clearing of corresponding transaction has to be cleared or rejected.
- Drawee Bank Name - Displays the drawee bank name from transaction level if captured.
- Pledgee Branch - Displays the Pledgee Branch from transaction level if captured.
- Txn Base Currency - Displays the transaction base currency.

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- Instrument Status - Specify the instrument status of payment clearing of settlement to received or rejected.
- Remarks - Capture the remarks for the payment clearing process.
- Sys Reference Number - Display the system Reference Number of the payment clearing process.
- Check Status - Display the Cheque status, if the payment mode is cheque.
- Clearing Level - Display the Clearing level of the record either transaction, policy, settlement.
- Auth Status - Display the Authorisation status of the transaction.
- Maker ID - Display the Maker ID of the transaction.
- Maker DT Stamp - Display the Maker date of the transaction.
- Checker Id - Display the Checker ID of the transaction.
- Checker DT Stamp - Display the Checker date of the transaction.

Note

– Paid date is updated with actual clearing date i.e., paid date (clearing date) can be before or after settlement date.

– If the transaction is cleared after settlement due date, paid date will be updated with actual clearing date.

– Auto clearing process should not be enabled for the Pre-Settled Trade fund.

2.8   Payment Clearing Summary Screen

This section contains the following topics:

- Section 2.8.1, "Invoking the Payment Clearing Summary Screen"
- Section 2.8.2, "Retrieving Record in Payment Clearing Summary Screens"
- Section 2.8.3, "Editing Transaction"
- Section 2.8.4, "Viewing Transaction"
- Section 2.8.5, "Deleting Transaction"
- Section 2.8.6, "Authorizing Transaction"
- Section 2.8.7, "Amending Transaction"
- Section 2.8.8, "Authorizing Amended Transactions"
- Section 2.8.9, "Copying Attributes "
- Section 2.8.10, "To Clear or Reject Settlement"

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2.8.1 Invoking the Payment Clearing Summary Screen

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

2.8.2 Retrieving Record in Payment Clearing Summary Screens

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

- In the browser, select Payment Clearing screen and click on Summary, specify any or all of the following details in the corresponding fields:
    - The status of the transaction in the Authorization field. If you choose the "Blank Space" option, then all transactions are retrieved.
    - The status of the Transaction in the Record Status field. If you choose the "Blank Space" option, then all transactions are retrieved
    - The number of the transaction, in the Transaction Number field.
    - The dates of the transaction, in the Transaction Date field.
    - The date of clearing, in the Clearing Date field.
    - The status of clearing, in the Clearing Status field.
    - The ID of the clearer, in the Clearer ID field.

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

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

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For example

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

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

2.8.3 Editing Transaction

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

- Invoke the Payment Clearing screen from the Browser.
- Select the status of the transaction that you want to retrieve for modification in the Authorization Status field. You can only modify records of transactions that are unauthorized. Accordingly, choose the unauthorized option from the drop down list.
- Specify any or all of the details of the transaction in the corresponding fields on the screen to retrieve the transaction that is to be modified. All unauthorized transactions 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 transactions. The Payment Clearing Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information
- Click Save to save your changes. The Transaction Detail screen is closed and the changes made are reflected in the Transaction Summary screen.

2.8.4 Viewing Transaction

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

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

2.8.5 Deleting Transaction

You can delete only unauthorized transactions in the system.

To delete a transaction that you have previously entered, you must retrieve the same in the Payment Clearing Summary screen, as follows:

- Invoke the Payment Clearing Summary screen from the browser.
- Select the status of the transaction that you want to retrieve for deletion.

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- Specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the transaction that you want to delete in the list of displayed transactions, in the lower portion of the screen. The Payment Clearing Detail screen is opened in view mode.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

2.8.6 Authorizing Transaction

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

To authorize a transaction, you must first retrieve the same in the Payment Clearing Summary screen.

- Invoke the Payment Clearing Summary screen from the Browser.
- Select the status of the transaction that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list.
- Specify any or all of the details of the transaction in the corresponding fields on the screen. Click 'Search' button. All transactions with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the transaction that you wish to authorize. The Payment Clearing screen is opened in view mode.
- Select Authorize operation from Action list.

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

2.8.7 Amending Transaction

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

- Invoke the Payment Clearing Summary screen from the Browser.
- Select the status of the transaction that you wish to retrieve for amendment. You can only amend records of transactions that are authorized.
- Specify any or all of the details of the transaction in the corresponding fields on the screen. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the transaction that you want to amend. The Transaction screen will be displayed in Amendment mode. Click the Unlock operation from the Action list to amend the transaction.
- Amend the necessary information. Click the Save button to save your changes.

2.8.8 Authorizing Amended Transactions

- An amended transaction must be authorized for the amendment to be made effective in the system.
- Authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

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2.8.9 Copying Attributes

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

To copy the attributes of an existing transaction to a new transaction:

- Retrieve the transaction whose attributes the new transaction should inherit. You can retrieve the transaction through the Payment Clearing Summary screen or through the F7 F8 operation which are explained in the previous section.

- In the Payment Clearing Detail screen, click on 'Copy' Action.

- Indicate the ID for the new transaction. You can however change the details of the new transactions if required.

2.8.10 To Clear or Reject Settlement

- In the Payment Clearing screen, select the Transaction option in the Level field.

- In the Payment Mode field, select the Link Settlement Number option. You must key in the link settlement number for the settlement that you want to clear or reject in the Specific Number field.

- Click the Show button to retrieve all the transactions that are to be settled together for the specified Link Settlement Number. The system retrieves the details for these transactions and displays the same in the lower grid portion of the screen. The following details are displayed for each transaction:

  – The Transaction Number

  – The Txn Dtl

  – The Payment Mode Description

  – The Payment Details

  – The transfer account details (the Bank Name, Branch Name, Account Type, Account Number, Account Currency and Account Name)

  – The clearing instrument number

- You must specify the clearing date for the settlement in the Clearing Date field. In the case of link settlement numbers, all the transactions must be cleared together or rejected together. Individual transactions cannot be cleared or rejected in isolation. Therefore, you must specify the clearing dates for all the transactions together

- After you have specified the clearing dates for all the transactions, select the Clear All option to mark all the transactions for clearing, or the Reject All option, to mark all the transactions for rejection.

- Click the Save button to actually effect the clearance of the settlement.

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3. Processing SWIFT Messages

The Oracle FLEXCUBE Investor Servicing (FCIS) system provides the facility of processing incoming and outgoing messages at an AMC / Distributor installation, over the SWIFT (Society for Worldwide Inter bank Financial Telecommunication) network.

This chapter contains the following sections:

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3.1 Transaction Workflow

This section contains the following topics:

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3.1.1   Incoming SWIFT Bulk/Multiple Orders
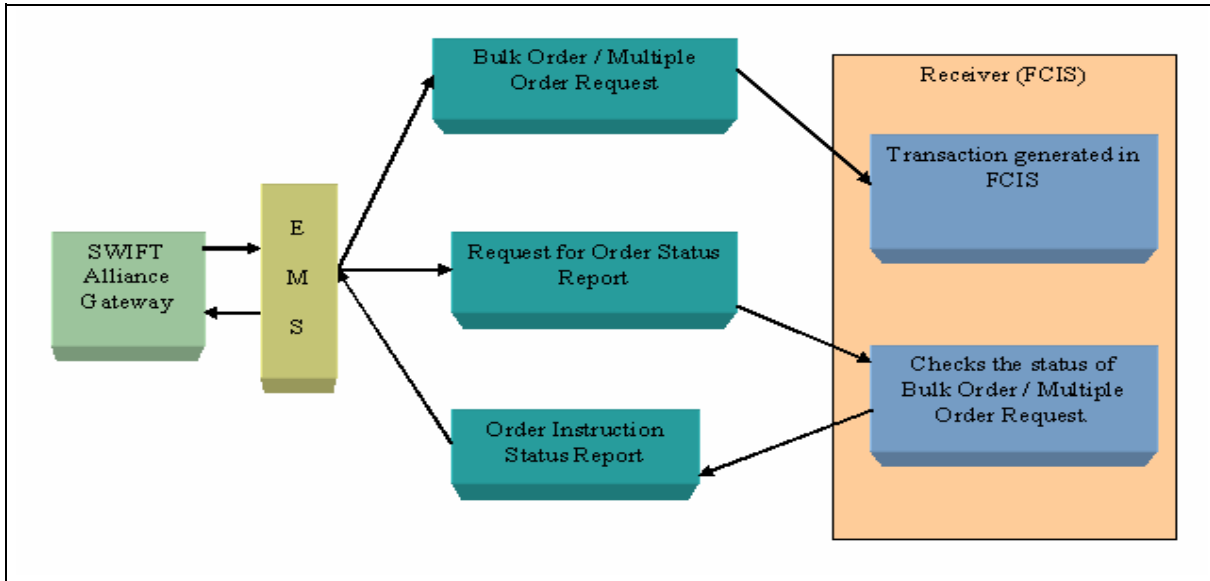
3.1.2   Incoming SWIFT Bulk Order Cancellation
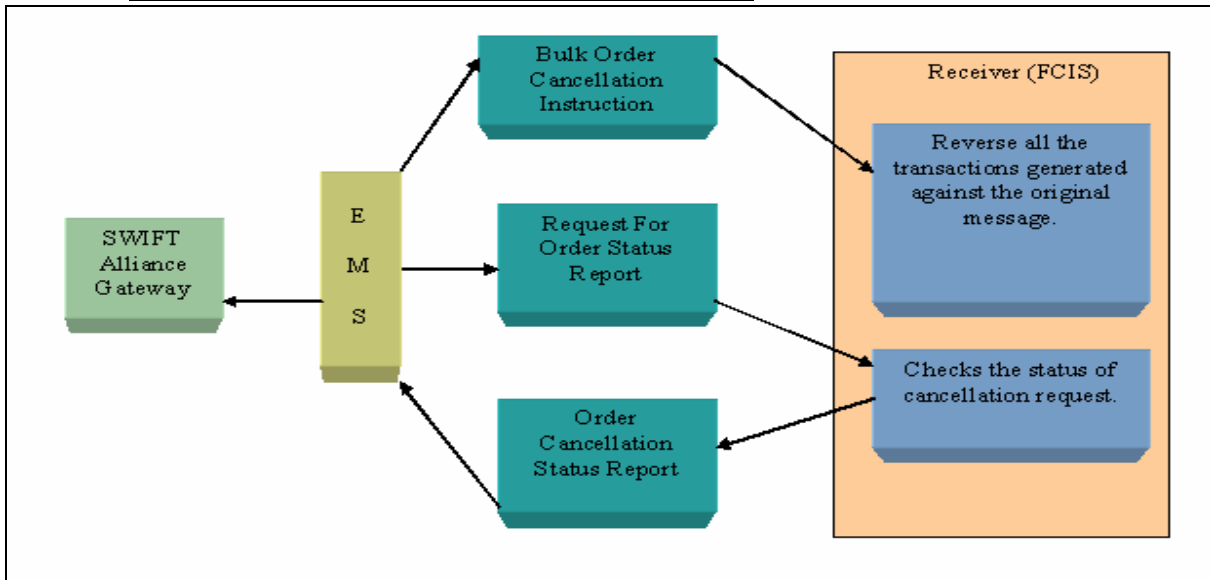
3.1.3 Outgoing SWIFT Bulk Order Request
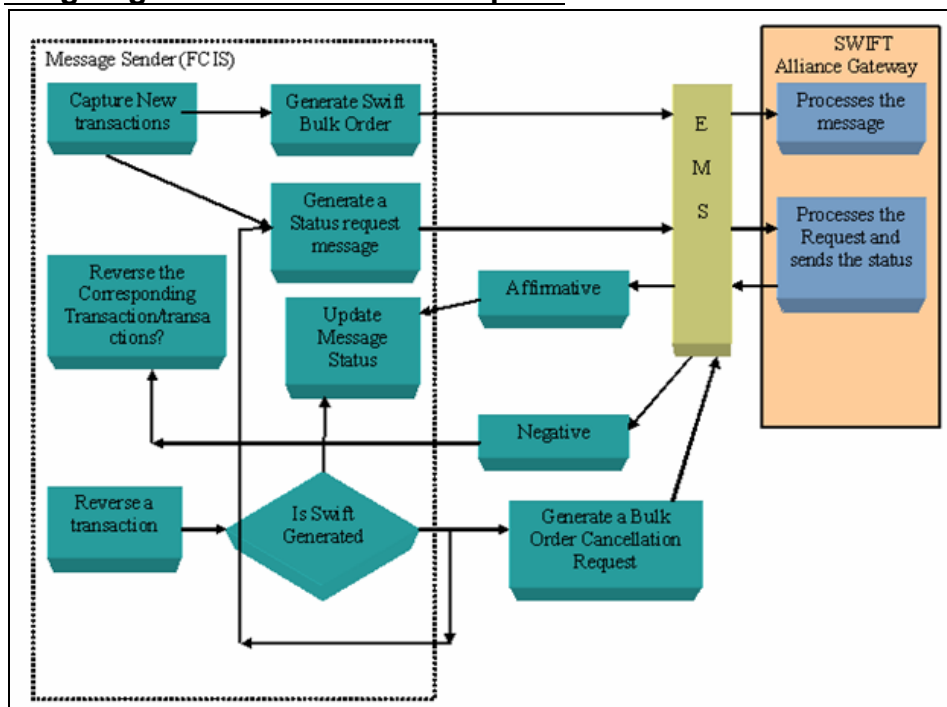
Note

Transactions generated through SWIFT can be reversed only using the SWIFT cancellation message.

3.2 Processing SWIFT Messages

This section contains the following topics:

- Section 3.2.1, "Business Application Header"
- Section 3.2.2, "Maintenance for Processing SWIFT Messages"
- Section 3.2.3, "Applicable UH Button"
- Section 3.2.4, "Applicable Fund Button"

3.2.1 Business Application Header

The Business Application Header is a header that has been defined by the ISO 20022 community to form part of the business message. Specifically, the BAH is an ISO20022 message definition which can be combined with any other ISO20022 message definition to form a business message.

It gathers data about the message such as which organization has sent the business message, which organization should be receiving it, the identity of the message itself, the reference for the message and so on.

The purpose of the BAH is to provide a consistent and predictable way for the data to be conveyed with the message, regardless of implementation factors such as the choice of network. This does not prevent such data being conveyed either within the ISO 20022 message definition itself, or as part of a network header.

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3.2.1.1 BAH IS0 20022 Regulation

An ISO 20022 message together with its Business Application Header forms a business message.

3.2.1.2 IS0 20022 Business Application Structure

The Business Layer deals with business messages. The behaviour of the business messages is fully described by the business transaction and the structure of the business messages is fully described by the message definitions and related message rules, rules and market practices all of which are registered in the ISO 20022 Repository.

Tags in Message

From

Mandatory

The sending MessagingEndpoint that has created this business message for the receiving MessagingEndpoint will process this business message.

OrganisationIdentification

Mandatory

This tag is used for the identification of a sender person or an organisation.

Name

Optional

This tag indicates the name by which a sender party is known and which is usually used to identify that party.

To

Mandatory

The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this business message.

OrganisationIdentification

Mandatory

This tag is used for the identification of a receiver person or an organisation.

Name

Optional

This tag indicates the name by which a receiver party is known and which is usually used to identify that party.

BusinessMessageIdentifier

Mandatory

This tag unambiguously identifies the business message to the MessagingEndpoint that has created the business message.

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MessageDefinitionIdentifier

Mandatory

It is the Message Definition Identifier of the business message instance with which this Business Application Header instance is associated.

CreationDate

Mandatory

It is the date and time when this business message (header) was created.

Note

CreationDate will be in GMT.

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Business Application Messages

MessageElement/ BuildingBlock<XML	Tag>	Legend	Type	Impact	Comments
From	<Fr>	[1.1]		IN	New Tag
OrganisationIdentification	<OrgId>	[1.1]	±	IN	New Tag
Name	<Nm>	[0.1]	Max140-Text	IN	New Tag
To	<To>	[1.1]		IN	New Tag
OrganisationIdentification	<OrgId>	[1.1]	±	IN	New Tag
Name	<Nm>	[0.1]	Max140-Text	IN	New Tag
BusinessMessageIdentifier	<BizMsgIdr>	[1.1]	Max140-Text	IN	New Tag
MessageDefinitionIdentifier	<MsgDefIdr>	[1.1]	Max140-Text	IN	New Tag

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MessageElement/ BuildingBlock<XML	Tag>	Legend	Type	Impact	Comments
CreationDate	<CreDt>	[1.1]	ISO-Date-Time	IN	New Tag

3.2.2 Maintenance for Processing SWIFT Messages

You will need to carry certain maintenances for the generation of SWIFT messages, in the 'Swift Message Setup Maintenance Detail' screen. This screen can be used to define parameters applicable for individual messages such as the trigger events, entities involved in the communication etc. You can invoke the 'Swift Message Setup Maintenance Detail' screen by typing 'UTDSWMSG' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Note

Depending on the Message Type and Message Code that you select, certain fields will be displayed.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the Swift message setup maintenance.

Swift Details Section

Swift Details displays the following fields:

Message Reference Code

Alphanumeric; 35 Characters; Mandatory

Enter a unique reference number for the message.

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Message Code

Alphanumeric; 3 Characters; Mandatory

Specify the message code.

Note

Certain other fields will be displayed in this screen, depending on the option you select against the field Message Code.

SWIFT Details

Medium

Mandatory

Select the option 'In' to indicate the message will be an incoming message. Select the option 'Out' to indicate the message is an outgoing message.

Note

Certain other fields will be displayed in this screen, depending on the option you select against the field Message Type.

Trigger Option

Optional

The trigger for generating the message may be an Auto or Manual. Select the appropriate option. from the drop-down list.

This field is enabled only if you have selected the 'Medium' as 'OUT'.

Trigger Method

Optional

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

- Event Based - To specify the event
- Time Based - To specify the Date and Time value

This field is enabled only if you have selected the 'Trigger' as 'Auto'.

In case of event based messages the message will be generated on the occurrence of the event. For instance, if the event is End of Day, then the message will be generated as soon as the system completes the End of Day activity.

If the Trigger Method is Time Based, you can enter a specific business day, say 2nd working day of the month.

The system will automatically generate the SWIFT outgoing message as per the frequency or date mentioned if trigger is time-based. In case of time based setup the message will be generated on the occurrence of scheduled date and time. In case of event based setup the message will be generated on the occurrence of the event.

Generate Auth Transactions

Optional

Select 'Yes' from the drop-down list if an incoming transaction request should be created as an authorized transaction.

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Confirm Outgoing Messages

Optional

Select 'Yes' from the drop-down list to indicate the message needs to be manually confirmed. This is applicable only to FCIS initiated messages only and not messages which are in response to SWIFT requests.

Global Order

Optional

Global order are orders sent from distributors to AMC to subscribe on behalf of the distributor's customers. Select 'Yes' from the drop-down list to indicate a global order should be generated.

Event Code

Alphanumeric; 20 Characters; Mandatory if the Trigger is 'Event'

Select the event upon which the message should be generated.

To Entity Type

Alphanumeric; 1 Character; Optional

Select the Entity Type for which the message will be generated.

To Entity ID

Alphanumeric; 1 Character; Optional

Select the entity for which the message is applicable.

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Split Required

Optional

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

- Yes
- No

Max Length

Display

The system displays the message length as ISO20022 (100000) and ISO15022 (10000)

Frequency

Alphanumeric; 1 Character; Optional

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

This field is enabled only if you have selected the 'Trigger Method' as 'Time Based'.

Specific Date

Date Format; Optional

Select the specific date from the adjoining calendar.

Day

Optional

Select the day from the drop-down list.

Month

Optional

Select the month from the drop-down list.

Time (HH24:MI)

Time Format; Optional

Specify the time format.

Actual Run Date Time

Display

The system displays the actual run date and time.

Next Run Date Time

Display

The system displays the Next Run Date and time.

AMC ID

Alphanumeric; 12 Characters; Optional

Specify the AMC ID.

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Legal Entity

Alphanumeric; 12 Characters; Optional

Specify the legal entity code.

Holiday Rule

Optional

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

- Prior
- Next
- Ignore

Split Message by Fund

Optional

Check this box to split the message by fund.\

This check box is enabled only for PriceReportV04 message, i.e., when price report is selected.

Reference Type

Applicable Ref Types

Alphanumeric; 2 Characters; Optional

For FCIS initiated orders, you can specify the Transaction Reference Types applicable to the outgoing message. The ones available for selection will be displayed in the adjoining option list. You can choose the appropriate one.

Ref Type Description

Display

Upon Selection of the applicable reference type, the description of the selected reference type gets displayed.

Account Type

Applicable Account Types

Alphanumeric; 2 Characters; Optional

For FCIS initiated orders, you can specify the account types which are allowed. The ones available for selection will be displayed in the adjoining option list. You can choose the appropriate one.

Account Type Description

Display

Upon Selection of the applicable account type, the description of the selected account type gets displayed.

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3.2.3 Applicable UH Button

Click 'Applicable UH Button' to select one or multiple unitholder IDs / unitholder Names for which the outgoing message must be generated.

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

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

CIF Number

Alphanumeric; 12 Characters; Optional

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

Status

Optional

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

- Both
- Authorized
- Unauthorized

UH Category

Alphanumeric; 2 Characters; Optional

Specify the unit holder category. Alternatively, you can select the unit holder category from the option list. The list displays all valid unit holder category maintained in the system.

A/C Operation Type

Optional

Select the account operation type from the drop-down list. The list displays the following details:

- Single
- Joint
- Either/Survivor

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Module ID

Alphanumeric; 30 Characters; Optional

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

First Name

Alphanumeric; 105 Characters; Optional

Specify the first name.

Middle Name

Alphanumeric; 105 Characters; Optional

Specify the middle name.

Last Name

Alphanumeric; 105 Characters; Optional

Specify the middle name.

Identification Number

Alphanumeric; 50 Characters; Optional

Specify the identification number.

Reference Number

Alphanumeric; 12 Characters; Optional

Specify the reference number.

Investor Type

Optional

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

- Individual
- Corporate
- Both

Type Closed

Optional

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

- Open
- Closed
- Pending Closed

Tax ID

Alphanumeric; 50 Characters; Optional

Specify the tax ID.

Stop Account

Optional

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

- Yes
- No
- Both

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AMC ID

Alphanumeric; 12 Characters; Optional

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

Date Of Birth

Date Format; Optional

Select the date of birth from the adjoining calendar.

Corporation Type

Alphanumeric; 3 Characters; Mandatory

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

Select All

Optional

Check this box to select all the records.

Select all record in current page

Optional

Check this box to select all the records in current page.

Select 'Search Unitholder' button to display unit holder details.

Applicable UH

Unitholder ID

Alphanumeric; 16 Characters; Mandatory

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

UH Name

Display

The system displays the unit holder name for the selected unit holder ID.

The system will display the following details:

- Unit Holder ID
- UH Name
- Select

You can add single or all the records by clicking Add or Add All button. You can also remove all the record b clicking 'Remove All' button.

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3.2.4 Applicable Fund Button

Click 'Applicable Button' to select one or multiple funds based on the search criteria.

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Name

Alphanumeric; 60 Characters; Optional

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

Umbrella Fund

Optional

Select the umbrella fund from the drop-down list. The list displays the following values:

- Yes
- No
- Both

AMC ID

Alphanumeric; 12 Characters; Optional

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

ISIN No

Alphanumeric; 12 Characters; Optional

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

Fund Ticker Symbol

Alphanumeric; 25 Characters; Optional

Specify the fund ticker symbol.

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COE Enabled

Optional

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

- Yes
- No
- Both

Hedge Fund

Optional

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

- Yes
- No
- Both

Select All

Optional

Check this box to select all the records.

Select all record in current page

Optional

Check this box to select all the records in current page.

Click 'Search Fund' button to display the fund details.

<u>**Applicable Fund**</u>

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Name

Display

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

The system will display the following details:

- Fund ID
- Fund Name
- Select

You can add single or all the records by clicking Add or Add All button. You can also revove all the record b clicking 'Remove All' button.

3.2.4.1 <u>Routing of Incoming Message to Schema</u>

You can maintain only one record with default schema using 'Default Schema' in the 'Module Creation' table. These details are saved in FCISSCHEMALINKTBL.

If schema is not identified then the message will be routed to default schema from FCISSCHEMALINKTBL. Once the message is received, the system will check whether

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Related Reference or Previous Reference is available in the message. If it is available then the system will find the schema from mstm_msg_track table.

If Related Reference or Previous Reference is not available or cannot find schema from mstm_msg_track then the system will find the schema from DN address maintenance (based on the requester.

3.2.4.2 Handling Cancellation Messages Post Cut-off Time

Whenever the following messages received in FCIS, the system will validate against the Fund cut-off time and apply the following logic:

- Subscription Order Cancellation Request V04 - setr.011.001.04
- Switch Order Cancellation Request V04 - setr.014.001.04
- Redemption Order Cancellation Request V04 - setr.005.001.04
- Subscription Bulk Order Cancellation Request V04 - setr.008.001.04
- Redemption Bulk Order Cancellation Instruction V04 - setr.002.001.04

If Cancellation request received after fund-cut off time:

If cancellation messages are received after fund cut-off time, then the system will reject the message by generating an Order Cancellation Status Report with the rejection code CUTO (Cut off time – Instruction has received after cut-off time).

If Cancellation request received within or before fund cut-off time:

If cancellation messages are received within or before fund cut-off time, then the system will accept the cancellation request required to be accepted and an Order Cancellation Status Report required to be generated with one of the following statuses:

- CAND: Cancellation Completed – (The cancellation request has been accepted and processed, the order has been cancelled.
- CANP: Cancellation Pending – (The cancellation request has been received but this does not indicate the order has been cancelled as reversal is not yet authorized.

3.2.4.3 SWIFT Confirmation Message for different Valuation Point

The system will not generate the Confirmation Message until all the transactions in that Swift Bulk Order gets allotted. That is, if the Multiple Order contains 10 orders and only 8 orders got allotted then, the system will not generate the confirmation message immediately; rather it will generate after the rest of the 2 transactions get allotted.

The following Messages will be impacted:

- setr.003.001.04 - RedemptionBulkOrderConfirmationV04
- setr.009.001.04 -SubscriptionBulkOrderConfirmationV04
- setr.015.001.04 - SwitchOrderConfirmationV04
- setr.012.001.04 - SubscriptionOrderConfirmationV04
- setr.006.001.04 - RedemptionOrderConfirmationV04

The following messages are generated as per SWIFT message setup:

- setr.058.001.02 - RequestForOrderConfirmationStatusReportV02
- reda.002.001.04 - PriceReportCancellationV04
- setr.057.001.02 - OrderConfirmationStatusReportV02
- semt.001.001.03 - SecuritiesMessageRejectionV03
- semt.003.001.02 - AccountingStatementOfHoldingsV02

3.2.4.4 BAH Cut-Off time Validation

The system will receive <CreDt> tag in the header section of the incoming message. The value of the Creation Time will be stored in the system.

This value of Creation Time and Date will be validated against the Fund Rule Transaction Cut Off for the cancellation orders. The transaction Order Received Date and Time will be the Creation Time and Date, if provided.

The <CreDt> tag will be used in only Transaction upload related incoming messages such as SubscriptionBulkOrderV03, RedemptionBulkOrderV03, SwitchOrderV03, RedemptionOrderV03, SubscriptionOrderV03. Application date would be the transaction date for these messages.

In case of other incoming messages such as OrderConfirmationStatusReportV01 this Creation Time if passed will only be stored but will not be used in any kind of processing.

The <CreDt> tag will contain the date and time of the time zone where the transaction will be uploaded. The time will be matched against the Application Date of that segment/Schema where the transaction is getting created and will be converted into local time. If the Creation Date is back dated/future dated then the back dating/future dated rule will be applied.

Note

Existing DB Server time <CreDt> will be converted and displayed in UTC.

The client country 'UPLDCUTOFFTIME' is available for the Incoming Swift transaction messages.

- If the client country is OFF and the transaction order is received after cut off time, then the transaction date will be automatically moved to the next business day with a warning message displayed.

- If the client country is ON and the transaction order is received after cut off time, then the transaction date will be automatically moved to the next business day and no warning message will be displayed.

- If both PSINCUTTIME and UPLOADCUTOFFTIME is OFF, then the default transaction date is derived based on the Out Leg settlement date.

- If PSINCUTTIME is ON and UPLOADCUTOFFTIME is OFF, then the IN leg transaction date will be derived depending on whether the transaction has been created before or after the switch in fund cut off time.

- If both PSINCUTTIME and UPLOADCUTOFFTIME is ON, then the IN leg transaction date will be derived based on the cut off time mentioned in upload file as before or after the switch in fund cut off time.

3.2.4.5 OrderConfirmationStatusReportV02

The incoming message "OrderConfirmationStatusReportV02" (setr.057.001.02) will state the status of the order confirmation which was sent from the system to the sender of the order. The message received will be stored in the system in a new storage structure for each transaction number. The whole message can be viewed in the incoming message browser. The message will be stored as per each transaction.

The transaction number will be selected on the basis of the order reference number sent in the status message and also present in the Order Confirmation status Report message. The transactions order reference number present in the status message can be one or more than one. When the order messages are processed by the system, the system stores the order

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reference number of those uploaded transactions in the system. So when the order confirmation status report message is received, the system can match the order Reference number present in the status message with the order reference number of the upload transaction to get the FCIS transaction number.The complete cycle of a transaction is as follows

1. Transaction comes through swift to be uploaded into FCIS from the counter party

2. Transaction confirmation is sent from FCIS to the counter party.

3. Transaction confirmation status is received from counter party

4. The error code and reason is stored in the system.

5. Transaction is confirmed in the system

The error codes which will be provided in the confirmation status message will only be stored in the system. The statuses which will be stored in the system are as follows:

- confirmation rejected, or,
- amendment rejected, or
- sent to next party, or
- communication problem with next party, or
- confirmation accepted, or,
- confirmation received

The error codes and description of those are as follows:

Code	Name	Definition
COAC	ConfirmationAccepted	Order confirmation or order confirmation amendment is accepted
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CREC	ConfirmationReceived	Order confirmation or order confirmation amendment is received, i.e., technical validation of the message is OK, and the message is now at the receiving side.
STNP	SentToNextParty	Order confirmation or order confirmation cancellation instruction or order confirmation amendment has been sent to the next party, for instance, the next intermediary.

3.2.4.6 Multiple Switch Order

The system support multiple switch orders in a single SWIFT order message. Moreover, corresponding acknowledgement and confirmation messages will be delivered like multiple orders' information, especially error handling (same handling as subscription and redemption orders).

- Sample XML File (Containing 2 Switch Orders) – setr.013.001.04
- Acknowledgement (Order Instruction Status Report) (Containing 2 Messages) – setr.016.001.04
- Sample Confirmation Messages(2 Individual Messages) – setr.015.001.04

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3.2.4.7 SecuritiesMessageRejectionV03

This message will be automatically generated when the system rejects a message for non business reasons. The message will not be sent out in case of a business rule validation.

This message will be generated automatically if any message is rejected for non business reasons by the system, if incoming SWIFT message is not supported or if Reference is invalid or unrecognized. This message contains the following reason code that explains why the message is rejected:

- NALO – Not Allowed Request (for instance, When Incoming swift message type is not supported.)
- REFE – Invalid Or Unrecognized Reference (Incoming message requests like order Cancellation, Order Confirmation Status Report etc contains an invalid or unrecognized reference number.)

The rejection code 'NALO' will be sent in case the message type received in the instruction is not recognized. For instance, if the message type of the incoming message is sent as setr.047.001.01 (SubscriptionOrderConfirmationCancellationInstructionV01) which is not supported by the system then system will validate and reject the message. And the SecuritiesMessageRejectionV02 message will contain the rejection code as 'NALO'.

In case of transaction cancellation or transaction confirmation if the reference number passed in the instruction does not match with the original transaction order reference number then system will display an error message which will be stored. Once this error happens, the system will generate the SecuritiesMessageRejectionV02 which can be viewed in the outgoing message browser.

The SecuritiesMessageRejection message is used for the following reasons"

- The executing party does not recognise the linked reference, so the executing party cannot process the message
- If SLA is not in place between the Sender and the Receiver, then the instruction party will not send the message.

MessageElement/ BuildingBlock <XML	Tag>	Functionality	Legend	Type	Impact	FCIS Meaning	Comments
Mes-sageIdentification	<MsgId>	Reference that uniquely identifies a message from a business application standpoint.	[1.1]	± (Master Element)	N/A	Main tag for <ID>	New Tag

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MessageElement/ BuildingBlock <XML	Tag>	Functionality	Legend	Type	Impact	FCIS Meaning	Comments
Identification	<Id>	Identification of the message.	[1.1]	Text (Child Element of Message ID)	Max35-Text	Message Identification Number	New Tag
Creation-DateTime	<CreDtTm>	Date of creation of the message.	[1.1]	Date-Time (Child Element of Message ID)	ISO-Date-Time	Module Time in case of outgoing messagestored in swifttxnhdrlogtbl	New Tag
RelatedReference	<RltdRef>	Reference to a linked message that was previously received.	[1.1]	± (Master Element)	N/A	Main Node for <Ref> and <MsgNm>. <Ref> contains the master Ref number from the message. <MsgNm> contains the message code.	New Tag

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MessageElement/ BuildingBlock <XML	Tag>	Functionality	Legend	Type	Impact	FCIS Meaning	Comments
Reference	<Ref>	Business reference of a message assigned by the party issuing the message	[1.1]	Text (Child Element of Related Reference)	Max35-Text	Reference Number	New Tag
Reason	<Rsn>	Reason to reject the message.	[1.1]	N/A	REFE, NALO (InvalidOrUnrecognisedReference, NotAllowedRequest)	Code REFE will be extracted or Invalid reference number and Code NALO will be extracted for where status request is not allowed to the party.	New Tag

Incoming Securities Message Rejection

The message can also be an incoming message. In case of incoming message the referenced message status will be updated. The incoming message can be viewed in incoming message browser. The referenced messages are stored in the system.

3.2.4.8 SETR.004.001.04 - RedemptionOrderV04

The RedemptionOrder message is used to instruct single redemption orders, that is, a message containing one order for one financial instrument and related to one investment account. The RedemptionOrder message will also be used for multiple orders, that is, a message containing several orders related to the same investment account for different financial instruments.

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For a single redemption order, the system will use RedemptionOrder message and not RedemptionBulkOrder message. If there are redemption orders for the same financial instrument but for different accounts, then the system will use RedemptionBulkOrder message.

If MultipleOrderDetails/ TotalSettlementAmount is present, then the currency in IndividualOrderDetails/SettlementAmount, if present, should be the same in all occurrences of IndividualOrderDetails.

The system will validate if total settlement amount for multiple order details and settlement amount for Individual order details is present then the currency should be same in all occurrences of Individual order details.

MessageElement/ BuildingBlock <XML	Tag>	Functionality	Legend	Type	Impact	FCIS Meaning	Comments
Settle-mentA-mount	<Sttl-mAmt>	Date on which Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.	[0..1]	Amount	N/A	Settlement amount in the redemption order	None

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MessageElement/ BuildingBlock <XML	Tag>	Functionality	Legend	Type	Impact	FCIS Meaning	Comments
Total-SettlementAmount	<TtlSttlmAmt>	Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.	[0..1]	Amount	N/A	Total Settlement amount in the redemption order (multiple orders)	None

3.2.4.9 SETR.010.001.04 -SubscriptionOrderV04

The SubscriptionOrder message is used to instruct single subscription orders, that is, a message containing one order for one financial instrument and related to one investment account. The SubscriptionOrder message can also be used for multiple orders, that is, a message containing several orders related to the same investment account for different financial instruments. For a single subscription order, the system will use SubscriptionOrder message and not SubscriptionBulkOrder message. If there are subscription orders for the same financial instrument but for different accounts, then the system will use SubscriptionBulkOrder message.

If MultipleOrderDetails/ TotalSettlementAmount is present, then the currency in IndividualOrderDetails/SettlementAmount, if present, should be the same in all occurrences of IndividualOrderDetails.

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The system will validate if total settlement amount for multiple order details and settlement amount for Individual order details is present then the currency should be same in all occurrences of Individual order details.

Messag eElement/ Buildin gBlock <XML	Tag>	Functio nality	Legend	Type	Impact	FCIS Meanin g	Comme nts
Settle-mentA-mount	<Sttl-mAmt>	Date on which Total amount of money paid /to be paid or received in exchang e for the finan-cial instru-ment in the indi-vidual order.	[0..1]	Amount	N/A	Settle-ment amount in the redemp-tion order	None
Total-Settle-mentAm ount	<TtlSttl-mAmt>	Total amount of money paid /to be paid or received in exchang e for the finan-cial instru-ment in the mul-tiple order.	[0..1]	Amount	N/A	Total Settle-ment amount in the redemp-tion order (multi-ple orders)	None

3.2.4.10 Intermediary and Agency Branch Override for Swift Transactions

Intermediary Override

The system will consider < RltdPtyDtls > tag present in the main tag < IndvOrdrDtls>. The tag < RltdPtyDtls > will contain the Intermediary Override details along with <Role> tag with value 'INTR'. If tag <Role> with value 'INTR' is present, the system will consider Intermediary Agent from the incoming SWIFT message, and default intermediary hierarchy (Agency Branch, IFA,

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Account Officer) for the transaction. However, the system will check if mapping of Agent-Agency Branch-Account Officer and IFA mapping is in place for transaction. The Role tag highlighted in Related Party details are as follows:

Message	\<Role> tag value in \< RltdPtyDtls> tag	Remark
SubscriptionOrderV04 (setr.010.001.04)/ Subscription-BulkOrderV04 (setr.007.001.04)	INTR	The Intermediary Details will be picked as provided in the incoming message(in \< RltdPtyDtls> tag)
SubscriptionOrderV04 (setr.010.001.04)/ Subscription-BulkOrderV04 (setr.007.001.04)	Not Provided or provided but not equal to 'INTR'	The Intermediary will not be picked as provided in the incoming message. The UH Default Intermediary will be defaulted.
SubscriptionOrderConfirmationV04(setr.012.001.04)/ SubscriptionBulkOrderConfirmationV04(setr.009.001.04)	INTR	Transaction Intermediary will be extracted.
SubscriptionOrderConfirmationV04(setr.012.001.04)/ SubscriptionBulkOrderConfirmationV04(setr.009.001.04)	Not Provided or provided but not equal to 'INTR'	AMC BIC Code will be extracted.

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Message	<Role> tag value in < RltdPtyDtls> tag	Remark
RedemptionOrderV04 (setr.004.001.04)/ Redemption-BulkOrderV04 (setr.001.001.04)	INTR	The Intermediary Details will be picked as provided in the incoming message (in < RltdPtyDtls> tag)
RedemptionOrderV04 (setr.004.001.04)/ Redemption-BulkOrderV04 (setr.001.001.04)	Not Provided or provided but not equal to 'INTR'	The Intermediary will not be picked as provided in the incoming message. The UH Default Intermediary will be selected.
RedemptionBulkOrder-Confirma-tionV04(setr.003.001.04)/ RedemptionOrderConfir-mat-ionV04(setr.006.001.04)	INTR	Transaction Intermediary will be extracted.
RedemptionBulkOrder-Confirma-tionV04(setr.003.001.04)/ RedemptionOrderConfir-mat-ionV04(setr.006.001.04)	Not Provided or provided but not equal to 'INTR'	AMC BIC Code will be extracted.

Message	<Role> tag value in < RltdPtyDtls> tag	Remark
SwitchOrderV04 (setr.013.001.04)	INTR	The Intermediary Details will be picked as provided in the incoming message (in < RltdPtyDtls> tag)
SwitchOrderV04 (setr.013.001.04)	Not Provided or provided but not equal to 'INTR'	The Intermediary will <u>not</u> be picked as provided in the incoming message. The UH Default Intermediary will be selected.
SwitchOrderConfirmationV04(setr.015.001.04)	INTR	Transaction Intermediary will be extracted.
SwitchOrderConfirmationV04(setr.015.001.04)	Not Provided or provided but not equal to 'INTR'	AMC BIC Code will be extracted.

When Role<INTR> is available in incoming Order Message, then whatever intermediary entity ID is provided in incoming order message, the same will be populated in confirmation message.

On receipt of Incoming Transaction Order, the system will override the Transaction's Agent based on EntityID or BIC Code present in < RltdPtyDtls> tag.

The system will extract Agent's Entity ID or BIC Code from < RltdPtyDtls> tag.

It will then determine the number of Intermediary Levels based on the setup maintained in AMC Agent SLA Maintenance. In this maintenance AMC ID will be identified using Fund ISIN while Agent ID will be identified from < RltdPtyDtls> provided in SWIFT Incoming Order message.

The system will determine the linkage between Agent and corresponding intermediary levels including Agency Branch, Account Officer and IFA. For instance, Agent 1 <–> Agency Branch 1 <–> Account Officer 1 <–> IFA 1.

If all the levels in Intermediary hierarchy for selected Agent have one relationship, the system will override the values of all levels of intermediary hierarchy for that transaction. That is, if there is only one corresponding Agency Branch / AO / IFA mapping found for the Agent Code, then system will use that Agency Branch / AO / IFA and create the transaction.

Error Handling

The system will look if 'AgentCode' value given under <PrtryId> tag is valid. If Agent ID is valid, then it will proceed with Intermediary derivation. In case, AgentID value given under <PrtryId> tag is incorrect, then the system will reject the transaction displaying an error message as 'Invalid AgentID in message'. If the tag < PrtryId > is not present in the message, then the system will look for < BICOrBEI > tag.

If <BICOrBEI> tag is present in the message and given with an incorrect value or the given value is not maintained in FCIS, then transaction creation will be rejected directly by displaying an error messagte as 'Invalid Agent BICCode in the message'.

If value given for tag <BICOrBEI> is matched with the multiple Agent Entities BIC Code setup then transaction will be created with first Agent (sorted ascending order of Agent Entities).

In case both < BICOrBEI> and <PrtryId> tags are not present in the message, system will default UH Intermediary at transaction.

If Agent code value is correct and if there is no SLA setup maintained under AMC Agent SLA setup then the intermediary level will be considered as 'One' i.e. only Agent level and transaction will be created only with Agent ID.

When Agent code value is correct and if AMC Agent SLA set up level is more than 'One' level then the system will subsequently check for the Agency Branch, AO and IFA mappings using 'Agency Branch AO' and 'Account Officer IFA' mappings maintenances.

If there is no mapping found or multiple mappings (one to many relationship) found for the same agent and if SLA level is maintained as 4 then the system will create the transaction Intermediary based on the given Agent ID and with default values for Agency Branch will be the first available Agency Branch (sorted in ascending order) mapped to the given Agent in the message and then 'DIRECT' for AO and IFA.

If a single mapping for the agency branch, IFA, Account Officer is found, then the system will not raise any warning message during swift upload.

If role is INTR and given intermediary details are not present, then the system will take the agent code. However, if agent code is not present then error INTE is raised saying 'Intermediary is not matched' or select from 'swifttxnrejectedstatustbl' table.

Agency Branch Override

The system will first check if tag <RltdPtyDtls> exists in the Message. If it exists, then system will check if tag <Role> exists and check if Role is UCL1.

If Role is not UCL1 or if <RltdPtyDtls> does not exist in the Message, transaction will be processed normally, and trade will be placed with Default Intermediaries. If SWIFT Message has <ROLE>, system will override the agency branch details.

The system will check if Agency Branch provided in the SWIFT Message is valid. If Agency Branch is invalid, the system will reject the Message with 'Invalid Agency Branch in message'.

Relevant SWIFT Rejection Code will be "INTE – Intermediary is not recognised or is invalid"

If Agency Branch is valid, the system will pick up relevant Agent mapped to the Agency Branch. If SLA is 3 or 4, then system will pick up Account Officer and IFA mapped to the Unitholder.

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If agent is provided in the message, then the system will look default agency branch available. If default agency branch details are not available then system will reject the order and error will be logged in the table. You cannot add multiple default agency branch details.

Message	\<Role\> tag value in \< RltdPtyDtls\> tag	Remark
SubscriptionOrderV04 (setr.010.001.04)/ Subscription-BulkOrderV04 (setr.007.001.04)	UCL1	System will pick up the relevant agent mapped to the Agency branch
SubscriptionOrderV04 (setr.010.001.04)/ Subscription-BulkOrderV04 (setr.007.001.04)	Not Provided or provided but not equal to UCL1	The UH Default Intermediary will be defaulted.
SubscriptionOrderConfirmationV04(setr.012.001.04)/ SubscriptionBulkOrder-ConfirmationV04(setr.009.001.04)	UCL1	Agency branch details will be extracted
SubscriptionOrderConfirmationV04(setr.012.001.04)/ SubscriptionBulkOrder-ConfirmationV04(setr.009.001.04)	Not Provided or provided but not equal to UCL1	AMC BIC Code will be extracted.
RedemptionOrderV04 (setr.004.001.04)/ Redemption-BulkOrderV04 (setr.001.001.04)	UCL1	System will pick up the relevant agent mapped to the Agency branch

Message	<Role> tag value in < RltdPtyDtls> tag	Remark
RedemptionOrderV04 (setr.004.001.04)/ Redemption-BulkOrderV04 (setr.001.001.04)	Not Provided or provided but not equal to UCL1	The UH Default Intermediary will be defaulted.
RedemptionBulkOrder-Confirma-tionV04(setr.003.001.04)/ RedemptionOrderConfir-mat-ionV04(setr.006.001.04)	UCL1	Agency branch details will be extracted
RedemptionBulkOrder-Confirma-tionV04(setr.003.001.04)/ RedemptionOrderConfir-mat-ionV04(setr.006.001.04)	Not Provided or provided but not equal to UCL1	AMC BIC Code will be extracted.
SwitchOrderV04 (setr.013.001.04)	UCL1	System will pick up the relevant agent mapped to the Agency branch
SwitchOrderV04 (setr.013.001.04)	Not Provided or provided but not equal to UCL1	The UH Default Intermediary will be defaulted.
SwitchOrderConfirma-tionV04(setr.015.001.04)	UCL1	Agency branch details will be extracted
SwitchOrderConfirma-tionV04(setr.015.001.04)	Not Provided or provided but not equal to UCL1	AMC BIC Code will be extracted.

3.2.4.11 SWIFT Confirmation Trade Date

If a client country parameter 'ExtractDtTM' is ON then dealing date will be extracted as TradDtTm. If the parameter "ExtractDtTM" is OFF then transaction date will be extracted as TradDtTm.

The following SWIFT messages will be impacted:

- setr.015.001.04(SwtchOrdrConfV04)
- setr.006.001.04 (RedOrdrConfV04)
- setr.012.001.04(SbcptOrdrConfV04)
- setr.009.001.04 (SubscriptionBulkOrderConfirmationV04)
- setr.003.001.04 (RedemptionBulkOrderConfirmationV04)

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3.2.4.12 Swift Confirmation FX Details

For the Switch Order Confirmation message, the <FXDtls> block will be maintained even when the Transaction Currency is identical to the Fund Base Currency or Price Currency.

The <ToAmt> and <FrAmt> tags are added in <FXDtls> block for below confirmation messages only when the transaction currency is different from FBC or Price currency:

- RedemptionOrderConfirmation
- SubscriptionOrderConfirmation
- Subscription Bulk Order Confirmation
- Redemption Bulk Order Confirmation
- Switch Order Confirmation message

The amount tags will be populated in all the cases even if both the amount is same.

In case of subscription and Redemption confirmation messages, the < FXDtls> block will be populated only if Txn CCY <> Price Ccy(COE) and Txn Ccy <> Fund Base currency (Non COE)

In case of Switch confirmation message, the < FXDtls> block will be populated always, and the amount mentioned in these tags can either be the same (when no exchange rate is applied) or different, when a rate is applied.

In case of subscription and Redemption messages; the < ToAmt> , < FrAmt> tags will be passed as follows (only when an exchange rate is applied).

COE Fund:

Subscription/Bulk Order Confirmation:

< FrAmt> Settlement Amount in Transaction Ccy

< ToAmt> Settlement Amount in price Ccy

Redemption/Bulk Order Confirmation:

< FrAmt> Settlement Amount in Price ccy

< ToAmt> Settlement Amount in Transaction Ccy

Non COE Fund

Subscription/Bulk Order Confirmation:
< FrAmt> Settlement Amount in Transaction Ccy

< ToAmt> Settlement Amount in Fund Base Ccy

Redemption/Bulk Order Confirmation:
< FrAmt> Settlement Amount in fund base ccy

< ToAmt> Settlement Amount in Transaction Ccy

In case of Switch confirmation message; the <FxDtls> block will have FX rate details that are part of Switch In leg only. There will be no changes in <Unitccy> and <QtdCcy> tags values derivation since they are already supported, hence only <FrAmt> and <ToAmt> tags wil be populated with respective amount values of <Unitccy> and <QtdCcy> from Switch IN leg.

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Note

If the System Generated Ref No is disabled for a module in the defaults maintenance, then the SWIFT Order Reference Number of the transactions should be of 16 characters or less than 16 characters only.

3.3 Swift Message Setup Summary Screen

This section contains the following topics:

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3.3.1 Invoking Swift Message Setup Summary Screen

The 'Swift Message Setup Summary' screen helps you locate and retrieve the message codes you want to edit, view, delete, authorize or amend, from the database. You can invoke this screen by typing 'UTSSWMSG' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

3.3.2 Retrieving Record in Swift Message Setup Summary Screens

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

Invoke the Swift Message Setup Summary screen and specify any or all of the following details in the corresponding fields:

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- The status of the record in the Authorized field. If you choose the "Blank Space" option, then all the transactions are retrieved.

- The status of the record in the Open field. If you choose the "Blank Space" option, then all the transactions are retrieved.

- Message Reference Code

- Medium

- Trigger Method

- To Entity ID

- Legal Entity

- Confirm Outgoing Messages

- Next Run DateTime

- Event Code

- Message Code

- Trigger Option

- To Entity Type

- AMC ID

- Generate Auth Transactions

- Global Order

- Actual Run DateTime

- Frequency

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

Note

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

   – Press F7

   – Input the Message Reference Code

   – Press F8

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

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

For example

You can search the record for Message Reference Code by using the combination of % and alphanumeric value as follows:-

- Search by A%: System will fetch all the records whose Message Reference Code starts from Alphabet 'A'. Ex: AGC17, AGVO6, AGC74 and so forth.

- Search by %7: System will fetch all the records whose Message Reference Code ends by numeric value' 7'. Ex: AGC17, GSD267, AGC77 and so forth.

- Search by %17%: System will fetch all the records whose Message Reference Code contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.

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3.3.3 Editing SWIFT Records

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

● Invoke the Swift Message Setup 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 of transactions that are unauthorized. Accordingly, choose the unauthorized option from the drop down list.

● Specify any or all of the details of the recording the corresponding fields on the screen to retrieve the record that is to be modified. Click 'Search' button. All unauthorized transactions 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 transactions. The Swift Message Setup Detail screen is displayed.

● Select Unlock Operation from Action list to modify the record. Modify the necessary information

● Click Save to save your changes. The Swift Message Setup Detail screen is closed and the changes made are reflected in the Swift Message Setup Summary screen.

3.3.4 Viewing SWIFT Records

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

● Invoke the Swift Message Setup 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 transactions that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.

● Specify any or all of the details of the record in the corresponding fields on the screen, and click 'Search' button. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.

● Double click the record that you want to view in the list of displayed transactions, in the lower portion of the screen. The Swift Message Setup Detail screen is opened in view mode.

3.3.5 Deleting SWIFT Records

You can delete only unauthorized transactions in the system.

To delete a record that you have previously entered, you must retrieve the same in the Swift Message Setup Summary screen, as follows:

● Invoke the Swift Message Setup Summary screen from the browser.

● Select the status of the record that you want to retrieve for deletion.

● Specify any or all of the details of the record in the corresponding fields on the screen, and click 'Search' button. All transactions with the specified details 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 transactions, in the lower portion of the screen. The Swift Message Setup Detail screen is opened in view mode.

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

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3.3.6 Authorizing SWIFT Records

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

To authorize a transaction, you must first retrieve the same in the Record Summary screen.

- Invoke the Swift Message Setup Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list.
- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search' button. All transactions 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 Swift Message Setup screen is opened in view mode.
- Select Authorize operation from Action list.

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

3.3.7 Amending SWIFT Records

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

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

3.3.8 Authorizing Amended Records

An amended record must be authorized for the amendment to be made effective in the system. Authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

3.3.9 Copying Attributes

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

To copy the attributes of an existing record to a new record:

- Retrieve the record whose attributes the new record should inherit. You can retrieve the record through the Swift Message Setup Summary screen or through the F7- F8 operation which are explained in the previous section.
- In the Swift Message Setup Detail screen, click on 'Copy' Action.
- Indicate the ID for the new record. You can however change the details of the new record if required.

Note

– If swift entity maintenance for the DN address is mapped for the agency branches, then the AGY based filter will happen else all will be displayed.

– If logged-in the FMG module, then both FMG and AGY messages will be viewed.

– If logged-in the AGY Module, then AGY module and cross-branching enabled module details will be viewed.

– Failed swift messages will be shown in FMG module.

3.4   Setting Up UDFs for SWIFT Elements

This section contains the following topics:

- Section 3.4.1, "Invoking Swift Element UDF Summary Screen"
- Section 3.4.2, "Retrieving Record in Swift Element UDF Summary Screens"
- Section 3.4.3, "Editing Record"
- Section 3.4.4, "Viewing Record"
- Section 3.4.5, "Deleting Record"
- Section 3.4.6, "Authorizing Record"
- Section 3.4.7, "Amending Record"
- Section 3.4.8, "Authorizing Amended Records"
- Section 3.4.9, "Copying Attributes of Record"

3.4.1   Invoking Swift Element UDF Summary Screen

User elements are pre-shipped. However, you do have the option of changing a few. The 'Swift Element UDF Summary' screen allows you to do the same. You can invoke this screen by typing 'UTSSWUDF' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

3.4.2   Retrieving Record in Swift Element UDF Summary Screens

You can retrieve a previously entered transaction in the Swift Element UDF screen, as follows:

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- Invoke the summary screen and specify any or all of the following details in the corresponding fields:
  - The status of the record in the Authorized field. If you choose the "Blank Space" option, then all the records are retrieved.
  - The status of the record in the Open field. If you choose the "Blank Space" option, then all the records are retrieved.
  - Message Code
  - Medium
- After you have specified the required details, click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

Note

You can also retrieve the individual record detail from the Swift Element UDF detail screen by doing query in the following manner:-

- Press F7
- Input the Message Code
- Press F8

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

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

For example

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

- Search by A%: The system will fetch all the records whose Message Code starts from Alphabet 'A'. Ex: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: The system will fetch all the records whose Message Code ends by numeric value' 7'. Ex: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: The system will fetch all the records whose Message Code contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.

3.4.3 <u>Editing Record</u>

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

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

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- Click Save to save your changes. The Swift Element UDF Detail screen is closed and the changes made are reflected in the Swift Element UDF Summary screen.

3.4.4 Viewing Record

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

- Invoke the Swift Element UDF Summary Screen from the Browser.

- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.

- Specify any or all of the details of the record in the corresponding fields on the screen, and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to view in the list of displayed records, in the lower portion of the screen. The Swift Element UDF Detail screen is opened in view mode.

3.4.5 Deleting Record

You can delete only unauthorized records in the system.

To delete a record that you have previously entered, you must retrieve the same in the Swift Element UDF Summary screen, as follows:

- Invoke the Swift Element UDF Summary screen from the browser.

- Select the status of the record that you want to retrieve for deletion.

- Specify any or all of the details of the record in the corresponding fields on the screen, and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to delete in the list of displayed records, in the lower portion of the screen. The Swift Element UDF Detail screen is opened in view mode.

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

3.4.6 Authorizing Record

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

To authorize a record, you must first retrieve the same in the Swift Element UDF Summary screen.

- Invoke the Swift Element UDF Summary screen from the Browser.

- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop-down list.

- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

- Double click the record that you wish to authorize. The Swift Element UDF screen is opened in view mode.

- Select Authorize operation from Action list.

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

3.4.7 Amending Record

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

- Invoke the Swift Element UDF Summary screen from the Browser. You can invoke this screen by typing 'UTDSWUDF' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

- Select the status of the record that you wish to retrieve for amendment. You can only amend records of records that are authorized.

- Specify any or all of the details of the record in the corresponding fields on the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to amend. The 'Swift Element UDF Detail' screen will be displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.

- Amend the necessary information. Click the Save button to save your changes.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the Swift Element UDF screen.

Specify the following details:

SWIFT element

Message Code

Alphanumeric; 3 Characters; Optional

Specify the message code. You can also select message code from the option list.

Message Name

Display

The system displays the message name for the selected message code.

Medium

Optional

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

- IN
- Out
- Both

The following fields will be displayed:

Element Description

Display

The elements of the message code will be displayed here.

Group Description

Display

The group description for the element will be displayed here.

Field Choices

Mandatory if you have selected 'Yes' in 'Client Support' field

If you have selected 'Yes' in 'Client Support' field for an element, select the field choices that you want to map to the message element.

User Map Allowed

Display

If its mentioned as 'Yes', it means a user will be allowed to specify the UDF mapping for the elements of a message. If 'No', the user will not be allowed to specify a UDF mapping.

3.4.8 Authorizing Amended Records

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

3.4.9 Copying Attributes of Record

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

To copy the attributes of an existing record to a new record:

- Retrieve the record whose attributes the new record should inherit. You can retrieve the record through the SWIFT ELEMENT UDF Summary screen or through the F7 F8 operation which are explained in the previous section.
- In the SWIFT ELEMENT UDF Detail screen, click on 'Copy' Action.
- Indicate the ID for the new record. You can however change the details of the new records if required.

3.5 Manual Generation of Messages

This section contains the following topics:

- Section 3.5.1, "Invoking the Manual Message Detail Screen"

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3.5.1   Invoking the Manual Message Detail Screen

The Manual Message Generation screen helps you locate and retrieve the messages you want to manually generate, from the database. Specify any or all of the details corresponding to the message you want to retrieve; the system uses your specifications to as search criteria to query the database and retrieve the record that you are looking for.

You can generate an outgoing message manually, through the 'Manual Message Detail' screen. You can invoke this screen by typing 'UTDSWIFT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

Message Code

Alphanumeric; 3 Characters; Mandatory

Select the message code from the drop-down list.

Message Reference Code

Alphanumeric; 3 Characters; Optional

Enter a unique reference number for the message.

Effective Date

Date Format; Optional

Enter the Effective Date for the message.

To Entity Type

Alphanumeric; 1 Character; Optional

Select the Entity Type for which the message will be generated.

To Entity ID

Alphanumeric; 1 Characters; Optional

Select the entity for which the message is applicable.

From Date

Date Format; Optional

Enter the 'From date' that marks the beginning of the period for which the Manual Message generates.

To Date

Date Format; Optional

Enter the 'To date' that marks the end of the period for which the Manual Message generates.

It is mandatory that you specify the Message Code as a search criterion. Once you specify the same, you have the option of entering the Message Reference Code of the message you want to manually generate.

<u>**Swift Message Code**</u>

Once you specify the search criteria, click 'Ok' button. The records matching your search criteria will be displayed.

Check the option 'Select' along a message record to indicate the message should be manually generated.

The following swift message code details will be displayed:

- Message Reference Code
- Message Name
- To Entity Type
- To Entity ID

AMC ID

Alphanumeric; 12 Characters; Optional

Specify the AMC ID.

Applicable Fund Button

Clicking 'Applicable Fund' button, the system will display 'Applicable Fund Details' screen. You can specify the necessary details here.

Applicable UH Button

Clicking 'Applicable UH' button, the system will display 'Applicable UH Details' screen. You can specify the necessary details here.

<u>**Swift Report Log**</u>

Check the option 'Check' along a message record to indicate the message should be manually generated.

The following swift report details will be displayed:

- Original Reference number
- From Entity Type
- From Entity ID
- To Entity Type
- To Entity ID

Click 'Check' button to check the report log.

Click 'Process' button to process the record.

3.5.1.1 <u>Manual Message Generation</u>

In 'Manual 'Message Generation' screen, you can select one or multiple funds using 'Applicable Fund' button. Those funds that are selected in SWIFT Message setup will be

considered for Manual generation by default, if you have not selected different set of funds. Fund IDs that are shown in available list will be from the selected AMCID. The outgoing messages which will be altered to facilitate this requirement are as follows:

- PriceReportV04 (reda.001.001.04)
- SubscriptionBulkOrderConfirmationV04 (setr.009.001.04)
- RedemptionBulkOrderConfirmationV04 (setr.003.001.04)
- RedemptionOrderConfirmationV04 (setr.006.001.04)
- SubscriptionOrderConfirmationV04 (setr.012.001.04)
- SwitchOrderConfirmationV04 (setr.015.001.04)
- FundConfirmedCashForecastReportCancellationV03 (camt.044.001.03)
- FundConfirmedCashForecastReportV04 (camt.041.001.04)
- FundDetailedConfirmedCashForecastReportCancellationV03 (camt.045.001.03)
- FundDetailedConfirmedCashForecastReportV04 (camt.043.001.04)
- FundDetailedEstimatedCashForecastReportV04 (camt.042.001.04)
- FundEstimatedCashForecastReportV04 (camt.040.001.04)
- CustodyStatementOfHoldingsV02 (semt.002.001.02)
- StatementOfInvestmentFundTransactionV03 (semt.006.001.03)
- AccountingStatementOfHoldingsV02 (semt.003.001.02)

AMC Restriction

As the DN address of an Agent/Agency Branch/IFA/Account Officer must be maintained for Agent/Agency Branch/IFA/Account Officer and AMC/Legal Entity combination so at the time of SWIFT message set up, the AMC ID must be provided if the 'To Entity Type' is Agent/ Agency Branch/IFA/Account Officer. The provided AMC ID will act as the criteria to select the details to be passed to the message. If the 'To Entity ID' is selected as AMC or Legal Entity then that AMCID or Legal Entity ID will be used as the search criteria to pass the details.

Unit Holder Restriction

In 'Manual 'Message Generation' screen, you can select one or multiple unitholder IDs or names using 'Applicable UH' button for which the outgoing message must be generated. Those unit holders that are selected in SWIFT Message Setup will be considered for Manual Generation by default if you have not selected different set of unit holders.

If the Entity is an AMC, the available UHs will be limited to the UHs for that AMC. If the Entity is an Agent, the available UHs will be limited to the UHs for that Agent in the UH /Agent hierarchy. If the Entity is an Agency Branch, the available UHs will be limited to the UHs for that Agency Branch in the UH /Agent hierarchy. If the Entity is an Account Officer, the available UHs will be limited to the UHs for that Account Officer in the UH /Agent hierarchy. If the Entity is an IFA, the available UHs will be limited to the UHs for that IFA in the UH /Agent hierarchy.

The 'Applicable UH' button is enabled for the outgoing messages related to unitholders, for instance, confirmation messages, account statement of holding, custody statement of holding. The fields AMC ID and Fund Selection will be available for selection for all the messages. For confirmation messages the message will be generated for all AMCs. But you can pass specific Fund and unitholder. You can also generate the confirmation message for specific AMC. The unitholder selected list will be used only for the messages where the unitholder related data will be extracted to the XML message. This requirement will be applicable to the following messages:

- RedemptionOrderConfirmationV04 (setr.006.001.04)
- SubscriptionOrderConfirmationV04 (setr.012.001.04)
- SwitchOrderConfirmationV04 (setr.015.001.04)

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- CustodyStatementOfHoldingsV02 (semt.002.001.02)
- StatementOfInvestmentFundTransactionV03 (semt.006.001.03)
- AccountingStatementOfHoldingsV02 (semt.003.001.02)
- PriceReportV04 (reda.001.001.04)
- SubscriptionBulkOrderConfirmationV04 (setr.009.001.04)
- RedemptionBulkOrderConfirmationV04 (setr.003.001.04)
- FundConfirmedCashForecastReportCancellationV03 (camt.044.001.03)
- FundConfirmedCashForecastReportV04 (camt.041.001.04)
- FundDetailedConfirmedCashForecastReportCancellationV03 (camt.045.001.03)
- FundDetailedConfirmedCashForecastReportV04 (camt.043.001.04)
- FundDetailedEstimatedCashForecastReportV04 (camt.042.001.04)
- FundEstimatedCashForecastReportV04 (camt.040.001.04)

If you select different set of fund(s) or unit holder(s) while generating Manual Message, the system will consider overridden filters only for that particular message generation, however the filters that have setup in SWIFT Message setup will not change.

3.5.1.2 SWIFT Requested Settlement Currency

The transaction will be processed as per the information contained in the requested settlement currency tag of the Swift incoming order message <ReqdSttlmCcy>. While processing the order message the system will extract the value of the tag ReqdSttlmCcy from the incoming order messages. The messages which will be enhanced to support the <ReqdSttlmCcy> tag are as follows:

- RedemptionOrderV04   setr.004.001.04
- RedemptionBulkOrderV04   setr.001.001.04
- SubscriptionOrderV04   setr.010.001.04
- SubscriptionBulkOrderV04   setr.007.001.04
- SwitchOrderV04   setr.013.001.04

The tag value of the ReqdSttlmCcy must contain the valid settlement currency code, for instance, HKD, USD etc. If the tag value contains the value other than the maintained currencies in the system, then the transaction will be rejected with the rejection code as NCRR- Unrecognised or invalid Settlement Amount Currency.

Upon receipt of the settlement currency code value, the system will check if bank account is maintained at UH level for the currency maintained in the tag. If bank account is not maintained, i.e., default corresponding account is maintained for the Unit holder then the system will reject the order instruction with the rejection code as NCRR- Unrecognised or invalid Settlement Amount Currency. The order Instruction Status message (OrderInstructionStatusReportV04 setr.016.001.04) will be generated with the rejection Code as 'NCRR'.

If the tag value for < ReqdSttlmCcy> is present in the message and bank account is maintained for the UH for the settlement currency present in ReqdSttlmCcy tag, then the settlement currency code mentioned in the tag ReqdSttlmCcy will be considered as the transaction currency for the transaction. The system will apply the Exchange rate if requested settlement currency is different from the pricing currency.

In case of switch transaction, the above rules will be applied to the redemption leg and the value will override the transaction currency of redemption leg.

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The system will consider the default exchange rate source ID maintained at general operating rules level of the fund. If no default exchange rate is maintained at Fund general operating rules, then system will consider the segment level default exchange rate source maintained in 'Module Defaults Setup' screen. For instance, if the user wants any specific FX rate required for AMG Funds then user needs to maintain the default source ID for AMG funds, then that source ID will be used to get the exchange rate.This is applicable for both amount based and unit based transactions.

The <ReqdSttlmCcy> tag will be provided for the <RedLegDtls> section of the switch confirmation message which contains the Transaction currency.

3.5.1.3 Commission and Charge Details Override for Swift Orders

The system will override the loads attached to the fund at the time of transaction capture through SWIFT. The system will also override all the loads, if multiple loads are found for 'From' and 'To' Entity Type Combinations. If any transaction is generated with warning messages, then the transaction will be generated unauthorized.

Note

For those schemas where the Transaction Exception Management Queue is not enabled, transaction will be created as Authorised/ Unauthorised depending on maintenance in system and during the view of the transaction in 'Transaction Summary' screen, the warning messages attached to the transaction can be viewed through 'Override Warning' button available in the summary screen. This is applicable to all the schemas.

The Price basis loads cannot be overridden as the price basis load gets calculated as per the fund formula setup. If such loads are maintained, then the system will not reject the transaction; also, the values in the tags will not override the Price basis Loads mapped to the fund.The derived loads cannot be overridden, for instance, 'AMC to Agent' load derived from 'Unitholder to AMC' load cannot be overridden. If such loads are maintained, then, the system will not reject the transaction; also, the values in the tags will not override the Derived loads mapped to the fund.

SWIFT Upload

The tags <ChrgDtls> and <ComssnDtls> will be extracted from the incoming order messages and will be used to override the loads attached to the Fund. The segment level parameter which is currently used for generation of these tags in outgoing order confirmation messages will be re-used here for overriding. If the parameter is turned on, then the values of these tags will be used to override the loads attached to the fund and as well as the tags get generated in outgoing order confirmation messages. If the parameter is turned off, then both, the tags will not be used to override the loads attached to the fund and as well as the tags will not be generated in outgoing order confirmation messages. The incoming messages which will be enhanced are

- SubscriptionBulkOrderV04 (setr.007.001.04)
- SubscriptionOrderV04 (setr.010.001.04)
- SwitchOrderV04 (setr.013.001.04)
- RedemptionBulkOrderV04 (setr.001.001.04)
- RedemptionOrderV04 (setr.004.001.04)

For the incoming messages listed above, the tags <ChrgDtls> and <ComssnDtls> will be received by the system and will extract the values present in the sub tags <Tp>, <Amt> or < Rate>.

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In switch order SwitchOrderV04 (setr.013.001.04) the tags <ChrgDtls> and <ComssnDtls> will be present both in the Redemption (Switch Out) and subscription (Switch In) leg of the transaction.

The <Amt> or <Rate> tag value provided in the main tag < ChrgDtls> will be used to override the AMC commission from Unitholder. (Unitholder to AMC). That is, the system will override the discount to UH, if <Tp> present in the main tag < ChrgDtls> contain the value as DISC. And if the <Tp> contains the value as BEND/FEND then Unitholder to AMC commission will be overridden.

The <Amt> or <Rate> tag value provided in the main tag < ComssnDtls > will be used to override the Agent commission from Unitholder. (Unitholder to Agent). If the incoming message does not contain the tags < ChrgDtls> and < ComssnDtls > at all, then the loads will be not be overridden.

If the incoming message contain the tags < ChrgDtls> and < ComssnDtls > but with blank values in the sub tag <Rate> or <Amt>, then the loads will not be overridden. However, if they contain the value as 0 then the load values will be overridden as 0.

The commission for Unitholder to Agency Branch, Unitholder to Account Officer, Unitholder to IFA and Unitholder to Fund cannot be overridden with the help of the <ChrgDtls> and <ComssnDtls> tags, since they are out of scope of the requirement. The Loads or Derived Loads maintained in these combinations will be ignored.

If more than one Unitholder to AMC commissions load are mapped to the Fund as part of Fund Load Maintenance, then all the mapped Unitholder to AMC loads will be overridden with the value present in the tag <ChrgDtls>. Since the system cannot determine which load to override, the system will override all the loads applicable to the transaction having 'From Entity' as Unitholder and 'To Entity' as AMC.

At the time of transaction capture, the system does not perform the criteria evaluation; hence it not possible to override the specific load mapped to the entity which satisfies the load criteria. However, the system will override all the loads mapped to the Fund. At the time of allocation, only the loads satisfying the criteria will get calculated.

Similar to <ChrgDtls>, if more than one Unitholder to Agent commissions load are mapped to the Fund as part of Fund Load Maintenance, then the all the mapped Unitholder to Agent loads will be overridden with the value present in the tag < ComssnDtls>.

The tags <ChrgDtls> and <ComssnDtls> must contain either <Amt> or <Rate> Sub tag. Both <Amt> and <Rate> cannot be present together. If both <Amt> and <Rate> tags are present in <ChrgDtls> or <ComssnDtls> tags, then system will reject the transaction. The Order Instruction Status message OrderInstructionStatusReportV04 (setr.016.001.04) will be generated with the error code as FEEE.

If the tags <ChrgDtls> and <ComssnDtls> contain <Amt> and the load to be overridden is a percentage based load, then the transaction will be rejected. The Order Instruction Status message OrderInstructionStatusReportV04 (setr.016.001.04) will be generated with the error code as FEEE.

The <Tp> tag can contain the values of BEND, FEND or DISC. The transaction will be rejected if any other value is provided.

The <Tp> tag can contain the values of BEND alone in the redemption orders and Switch out leg of the Switch order. If system receives values other than BEND, in the redemption order or Redemption leg of the Switch message, then the transaction will be rejected with the rejection code as FEEE.

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The <Tp> tag can contain the values of FEND alone in the redemption orders and Switch out leg of the Switch order. If system receives values other than FEND, in the Subscription order or Subscription leg of the Switch message, then the transaction will be rejected with the rejection code as FEEE.

The <Tp> tag can contain the values as DISC in all the order messages.

If the <Tp> tag present in the main tag <ChrgDtls> contains the value as "DISC" then the Discount load from AMC to Unitholder will be overridden. However if <Tp> tag <ComssnDtls> contains the value as "DISC", then no Action is performed.

It is possible that both the <ChrgDtls> and <ComssnDtls> tag or any one of them can be present in the order messages.

3.5.1.4 Pseudo Switch Validation

The system can select the incoming Switch transactions to be handled as Normal Switch or Pseudo Switch. using 'PSEUDOSWITCHENABLED' parameter. If the parameter is turned ON then system will process all the incoming Switch transactions as Pseudo Switch and if the parameter is turned OFF, then it will be processed as Pseudo Switch otherwise as Normal Switch.

3.5.1.5 Swift Report Pagination

As per ISO20022 standards, Swift allows only 100,000 characters per message. If message contains more than 100,000 characters it is creating a performance issue. To overcome this issue as part of Swift message maintenance, 3 fields, namely, 'Split required', 'Repeated Tag' and 'Maximum Length Allowed' will be parameterized. The default value for 'Split required' field will be 'No'.

The repeated tag for "Custody Statement of Holdings V02" is < BalForSubAcct>.

The repeated tag for "Accounting Statement of Holdings V02" (unit holder based) is <BalForAcct>.

The repeated tag for "Statement of Investment Fund Transaction V02" is <TxOnSubAcct>

The repeated tag for "Price Reprot V04" is <PriceValtnDtls>

The value of parameters will be maintained in the 'SWIFTMAINTENANCETBL' as follows:

SWIFT Report	Message Code	Split Required?	Repeated Tag in XML	Maximum Length allowed
AccountingState-mentOfHoldingsV02 (Unitholder Based)	semt.003.001.02	Yes	< BalForAcct>	100000
CustodyStatementOf-HoldingsV02	semt.002.001.02	Yes	< BalForSubAcct>	100000
StatementOfInvest-mentFundTransac-tionV03	semt.006.001.03	Yes	< TxOnSubAcct>	100000

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SWIFT Report	Message Code	Split Required?	Repeated Tag in XML	Maximu m Length allowed
PriceReportV04	reda.001.00 1.04	Yes	<PricValtnDtls>	100000

Initially, the system will check the length of the entire message which includes the count of characters in Header Section, Footer Section and Message body. If the length is less than 100,000 characters then system will skip the entire process and proceed for message generation.

In case if the length of the message exceeds the 100,000 characters, then based on each tag (< BalForAcct> in case of Accounting Statement of Holdings V02), it will accommodate up to 100,000 characters and rest will be stored in different message. The system will repeat the above process until report is generated.

The system will generate a unique message ID number <MsgId> for each split message. The tag <PgNb>Page No</PgNb> of the first message will be 1 and it will be incremented by 1 for other messages.

The value of the tag <LastPgInd>value</LastPgInd> of the last message will be 'True' and all other messages will be 'False'.

The complete block of the tag will be present in the message and will not get split over to the next message. In case, if report pertaining to one fund is not sufficient to store in the first message itself, then message will not get generated.

For instance, in case of Accounting Statement of Holdings V02 if the message is exceeding the 100,000 characters and based on CIF, if the message can be accommodated in the 1st Message is up to 99,850 characters, then the system will start placing the message information in the 2nd message with Header, Footer and Body of Message. Similarly if in the 2nd message also exceeds 100,000 characters then it will start placing the remaining message information in 3rd message and so on.

The system will check the Header, Footer and Message body section for each and every split before generating the message.

3.5.1.6 AccountingStatementOfHoldingsV02

An account servicer, for instance, a transfer agent sends the AccountStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

A Swift message will be maintained in the system named as AccountingStatementOfHoldingsV02 (semt.003.001.02).

- The unitholder who has balance in any of the fund will be extracted.
- The unitholder has no balance but has done transaction in the corresponding month will be extracted.
- The unitholder has no balance and has not done any transaction in the corresponding month will NOT be extracted.
- The account statement of holding is for Unitholder's holding for multiple funds. If one fund is holiday other funds might be working. So the statement cannot be generated as per fund holiday.

The new outgoing message can be viewed in the outgoing message browser.

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3.5.1.7 SecuritiesMessageRejectionV02

An account servicer, for instance, a registrar, transfer agent or custodian bank, sends the Securities-MessageRejection message to the account owner, for instance, an investor or its authorized agent, to reject a previously received message on which action cannot be taken.

The message is generated when there is a problem in the incoming Message and it gets rejected. SMR will get generated automatically. This message is generated when the Sender's DN address doesnot match with the DN address set up. Or the LOB Schema could not be decided with the responder DN Address.

Swift message will be maintained in the system named as SecuritiesMessageRejectionV03 (semt.001.001.03).

This message will be automatically generated when the system rejects a message for non business reasons

The message will not be sent out in case of a business rule validation.

This message will be generated automatically if any message is rejected for non business reasons by the system. (If incoming SWIFT message is not supported or if Reference is invalid or unrecognized)

This message will contain a following reason code that explains why the message is rejected:

- NALO – Not Allowed Request (for instance, When Incoming swift message type is not supported.)
- REFE – Invalid Or Unrecognized Reference (Incoming message requests like order Cancellation, Order Confirmation Status Report etc contains an invalid or unrecognized reference number.)

The rejection code 'NALO' will be sent in case the message type received in the instruction is not recognized. For instance, if the message type of the incoming message is sent as setr.047.001.01 (SubscriptionOrderConfirmationCancellationInstructionV01) which is not supported by the system then the system will validate and reject the message. And the SecuritiesMessageRejectionV02 message will contain the rejection code as 'NALO'.

In case of transaction cancellation or transaction confirmation if the reference number passed in the instruction does not match with the original transaction order reference number then the system will display an error which will be stored. Once this error happens system will generate the SecuritiesMessageRejectionV02 which can be viewed in the outgoing message browser.

Incoming Securities Message Rejection

The message can also be an incoming message. In case of incoming message the referenced message status will be updated. The incoming message can be viewed in incoming message browser. The referenced messages are stored in the system.

3.5.1.8 PriceReportCancellationV04

A report provider, for instance, a transfer agent, fund accountant or market data provider, sends the PriceReportCancellation message to the report recipient, for instance, a fund management company, transfer agent, market data provider, regulator or any other interested party to cancel previously sent prices.

3.5.1.9 RequestForOrderConfirmationStatusReportV01

An executing party, for example, a transfer agent, send the RequestForOrderConfirmationStatusReport message to the instructing party, for instance, an

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investment manager or its authorized representative, to request the status of one or several order confirmations.

3.5.1.10 PriceReportV04

A report provider, for instance, a transfer agent, fund accountant or market data provider, sends the PriceReport message to the report recipient, for instance, a fund management company, transfer agent, market data provider, regulator or any other interested party to provide the net asset value and price information for financial instruments on specific trade dates and, optionally, to quote price variation information.

PriceReportIdentification <PricRptId> - Unique and unambiguous identifier for the price report, as assigned by the reporting party, support upto 35 char.

Following functions are supported in price report:

Code Name	Name	Definition
REPL	CompleteReplace-mentPriceReport	The price report conveys the correction of the complete set of prices previously sent for the same price report identification.
NEWP	NewPriceReport	The price report is 'new', that is the report is not being used as a correction of is not being used as a correction of previously sent prices.
PART	PartialCorrection-PriceReport	The price report conveys the correction of some of the prices previously sent for the same price report identification.

Price Report Generation as per the new codes are as follows:

- NEWP: This code will be used to generate the price report for the first time in PRICEREPORTV04
- PART: After the generation of initial PRICEREPORTV04 with code NEWP, if there happens to be changes in the prices, then PRICEREORTV04 will be generated with code PART.
- REPL: This code will be used when a price report is cancelled regenerated again.

Since, the PriceReportV04 is already generated at 2:00 pm IST, the system will check the history table whether all prices have been changed as per the previous report. In this case, only Fund 4 and Fund 5 have gone change in the prices, the system will consider it as a partial change in the price report and regenerate the PriceReportV04 with code value PART and will include the funds with changes in prices.

Similarly, if prices for all the funds are changed, then the system will check the latest prices in history table and will regenerate the PriceReportV04 with code value REPL which will replace the previous report. All the latest fund prices will be included in new report.

3.6 Validation of SWIFT Messages

This section contains the following topics:

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3.6.1 Validating SWIFT Messages

The XML format of SWIFT Messages can be validated. To maintain validation parameters for the XML format, use the '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.

When you open the screen, choose the language for which you want to view the maintained codes, in the Language field.

Then select the Parameter Code 'SWIFTFORMAT' and click add icon to add the parameters. The following screen will be displayed:

You can specify the following details:

Parameter Maintenance

Param Code
Alphanumeric; 25 Characters; Mandatory
Specify the param code. Alternatively, you can select Param code from the option list.

Param Description
Display
The system displays the description for the selected param code.

Maintainable
Optional
Select if the record is maintainable or not from the drop-down list. The list displays the following values:

- Yes
- No

Parameters

After specifying the necessary details, click 'Execute Query'. The system displays the following values:

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- Param Value
- Param Language
- Param Text
- Sort Order

3.7 Incoming Message Browser Summary Screen

This section contains the following topics:

- Section 3.7.1, "Invoking Incoming Message Browser Summary Screen"
- Section 3.7.2, "Performing Operations on Message"

3.7.1 Invoking Incoming Message Browser Summary Screen

You can use the incoming message browser to perform the following functions with respect to an incoming SWIFT message:

- View all (or selected) unprocessed, processed, suppressed or repaired messages

In order to perform any of these functions, you must first retrieve the 'In' message and display it in the 'Incoming Msg Browser Summary' screen. You can invoke this screen by typing 'UTSMSGIN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

To display the message, you can specify any or all of the following details:

Authorized

Optional

Select the authorization status of the messages that you wish to view from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Message Type

Alphanumeric; 100 Characters; Optional

Specify the Swift Message type to display the message.

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For instance, Subscription Bulk Order, Redemption Bulk Order etc.

Message ID

Alphanumeric; 35 Characters; Optional

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

Message Status

Alphanumeric; 1 Character; Optional

Specify the status of the message that has to be displayed. The status could be unprocessed, processed, repair, suppressed or all.

Sender

Alphanumeric; 12 Characters; Optional

Indicate the sender of the message.

Swift Code

Alphanumeric; 30 Characters; Optional

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

Message Date

Date Format; Optional

Specify the date range for which the system has to retrieve the messages.

Message Time

Time Format; Optional

Specify the time to retrieve the message.

Note

If time zone is available in incoming messages, it will be truncated and not stored/ used for processing.

Order Reference Number

Alphanumeric; 35 Characters; Optional

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

Counterpart Type

Alphanumeric; 1 Character; Optional

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

Counterparty

Alphanumeric; 12 Characters; Optional

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

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Transaction Status

Optional

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

- No Trade Processed
- Trade Processed Authorized
- Trade Processed Unauthorized

Unit Holder ID

Alphanumeric; 12 Characters; Optional

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

AMC ID

Alphanumeric; 12 Characters; Optional

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

ISIN Code

Alphanumeric; 12 Characters; Optional

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

Fund ID

Alphanumeric; 6 Characters; Optional

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

All messages matching your criteria are displayed in the grid portion of the screen. Click on the message that you wish to operate on, in the DCN field. The Incoming Message Browser screen, with the details of the message displayed.

All messages matching your criteria are displayed in the grid portion of the screen. Click 'Message Details' button that you wish to operate on, in the DCN field.

A horizontal array of icons is available for you to perform operations on the message.

You can view the following details:

- Authorized
- Status
- DCN
- Message Type
- Message ID
- Message status
- Sender
- Transaction Number
- Swift Code
- Message Date
- Message Time
- Message Date Time
- Order Reference Number

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- Counterpart Type
- Counterparty
- Transaction Status
- Unit Holder ID
- AMC ID
- Fund ISIN Code
- Fund ID
- Error Code
- Error Description

3.7.2   Performing Operations on Message

Click the following buttons to view the details as follows:

Operation	Description
View	Click this button to view the contents of a message. The contents of the message will be displayed in the Message section of the screen.
Linked Message	Click this button to view linked messages, if any.
Transaction Details	Click 'Transaction Details' button to view the transaction details.
Authorize	Click this button to authorize an unauthorized unprocessed message that has been edited; an unauthorized processed message that has been repaired, or an unauthorized suppressed message. If the upload status is 'U' (unauthorized) then the message will be received to MSTB_DLY_MSG_IN table as unauthorized. You can authorize the same from message browsers screens and once authorized, only the record will be considered for processing.

3.8   Outgoing Message Browser

This section contains the following topics:

3.8.1   Invoking Outgoing Message Browser Summary Screen

You can use the outgoing message browser to perform the following functions with respect to an outgoing SWIFT message:

- Generate the outgoing message in respect of an un generated message
- Authorize a repaired or edited message
- View all (or selected) outgoing ungenerated, generated, handed off, or repaired messages

In order to perform any of these functions, you must first retrieve the message in and display it in the 'Outgoing Message Browser Summary' screen. You can invoke this screen by typing

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

To display the message, you can specify any or all of the following details:

Authorized

Optional

Select the authorization status of the messages that you wish to view from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

DCN

Alphanumeric; 16 Characters; Optional

Specify the DCN.

Message Type

Alphanumeric; 100 Characters; Optional

Specify the Swift Message type to display the message.

For instance, Subscription Bulk Order, Redemption Bulk Order etc.

Following are the message types that are maintained:

- RequestedFutureTradeDate
- RequestedNAVCurrency

Message Id

Alphanumeric; 35 Characters; Optional

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

Message Status

Alphanumeric; 1 Character; Optional

Specify the status of the message that has to be displayed. The status could be unprocessed, processed, repair, suppressed or all.

Receiver

Alphanumeric; 300 Characters; Optional

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

Transaction Number

Alphanumeric; 16 Characters; Optional

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

Link Reference Number

Alphanumeric; 35 Characters; Optional

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

Message Date

Date Format; Optional

Select the date range for which the system has to retrieve the messages from the adjoining calendar.

Message Time

Time Format; Optional

Specify the time to retrieve the message.

Note

If time zone is available in incoming messages, it will be truncated and not stored/ used for processing.

Individual Order Reference

Alphanumeric; 35 Characters; Optional

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

Counterpart Type

Alphanumeric; 1 Character; Optional

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

Counterparty

Alphanumeric; 12 Characters; Optional

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

Unit Holder ID

Alphanumeric; 12 Characters; Optional

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

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Source Entity ID

Alphanumeric; 12 Characters; Optional

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

ISIN Code

Alphanumeric; 12 Characters; Optional

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

Fund ID

Alphanumeric; 6 Characters; Optional

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

Message Reference Code

Alphanumeric; 35 Characters; Optional

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

All messages matching your criteria are displayed in the grid portion of the screen. Double-click on any of the records that you wish to operate on, in the DCN field. The Outgoing Message Browser screen, with the details of the message displayed.

A horizontal array of icons is available for you to perform operations on the message.

Outgoing Message Info

All messages matching your criteria are displayed in this portion of the screen. In the outgoing message info grid, you can view the following details:

- Authorized
- Status
- DCN
- Message Type
- Message ID
- Receiver
- Transaction Number
- Swift Code
- Link Reference Number
- Message Date
- Message Time
- Message Date Time
- Individual Order Reference
- Counterpart Type
- Counterparty
- UnitHolder ID
- Source Entity ID
- Fund ISIN Code
- Fund ID
- Declared NAV/Lot

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- Message Reference Code
- Legal Entity
- AMC ID
- Error Code
- Error Description

3.8.2 Performing Operations on Message

Operations	Description
View	Click this button to view the contents of a message. The contents of the message will be displayed in the Message section of the screen.
Authorize	Click this button to authorize an unauthorized ungenerated message that has been edited or an unauthorized generated message that has been repaired. For out messages, if 'Confirm Outgoing Messages' in the Swift Message Set up is set as true then the message will be generated and populated to MSTB_DLY_MSG_OUT table as authorized else it will be populated as unauthorized.

3.9   Uploading Incoming Messages

This section contains the following topic:

- Section 3.9.1, "Invoking Process Incoming Swift Messages Screen"

3.9.1   Invoking Process Incoming Swift Messages Screen

To upload incoming messages, you can use the 'Process Incoming Swift Messages' screen. You can invoke this screen by typing 'UTDPSWIN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.
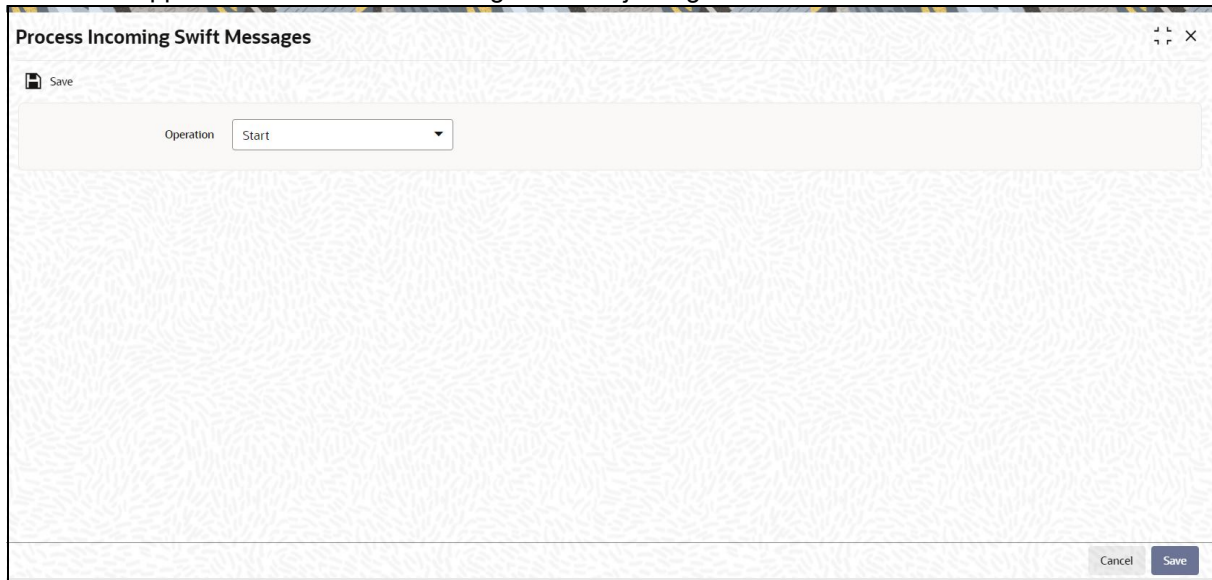
Operation

Optional

Select the Operation as 'Start' to trigger the upload process from the drop-down list. The list displays the following values:

- Start - Select 'Start' to start the upload process.

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- Stop - Select 'Stop' to stop the already triggered the upload process.

Triggering the upload process in this screen will move all unprocessed messages collected by the message system from the SWIFT terminal delivery channel, to the 'processed' status.

3.10 Generation of Outgoing Messages

This section contains the following topic:

- Section 3.10.1, "Invoking Process Outgoing Swift Messages Screen"

3.10.1 Invoking Process Outgoing Swift Messages Screen

To generate outgoing messages, use the 'Process Outgoing Swift Messages' screen. You can invoke this screen by typing 'UTDPSWOU' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.
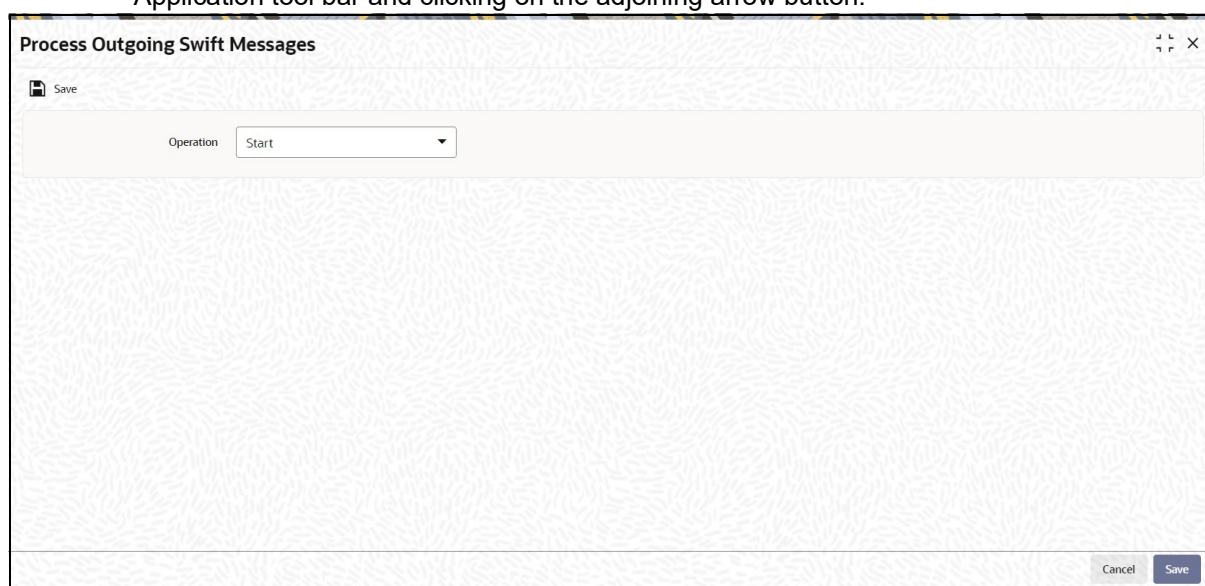
Operation

Optional

Select the Operation as 'Start' to trigger the generation process from the drop-down list. The list displays the following values:

- Start - Select 'Start' to start the upload process.
- Stop - Select 'Stop' to stop the already triggered the upload process.

Triggering the generation process in this screen will move all ungenerated messages, to the 'generated' status; and the outgoing messages are generated and moved to the outgoing queue of the appropriate SWIFT terminal delivery channel.

3.11 Distinguished Name (DN) Address Set up

This section contains the following topics:

- Section 3.11.1, "Maintaining DN Address for SWIFT Entries"
- Section 3.11.2, "Processing of DN Messages"
- Section 3.11.3, "Invoking Swift Entity Maintenance Screen"

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3.11.1 Maintaining DN Address for SWIFT Entries

You can maintain the DN address for SWIFT Entities, such as, Segment, AMC, Legal Entity, Agent, Agency Branch, IFA and Account Officer using 'Swift Entity Maintenance' screen.

The DN address setup for different SWIFT Entities will be maintained as follows:

For SWIFT Entity - 'Segment'

If the entity type is selected as Segment, the entity ID will be defaulted as Installed Entity and mapped entity details will be disabled. Only one DN address will be allowed to be maintained for 'Segment' SWIFT Entity. The DN address maintained for 'Segment' Entity type is used as Responder DN for all incoming messages from different swift entity types for the respective segment and also used as Requester DN for all outgoing messages generated from respective segment. If there is more than one schema with same segment level DN address, then the system cannot pass the message received to the intended segment by checking the responder DN address present in the message.

Once the message is received, the system will check whether Related Reference or Previous Reference is available in the message. If it is available then system will find the schema from mstm_msg_trrack table. If Related Reference or Previous reference is not available or cannot find schema from mstm_msg_track table, then the system will find the schema from DN address maintenance (based on requestor).

The system will also check whether Responder DN mentioned in the message is maintained in identified segment. If maintained, the message will consider for processing in that segment.

For SWIFT Entity Type 'AMC' or 'Legal Entity'

If the entity type is selected as AMC then you must select AMC ID, if the entity type is selected as 'Legal Entity' then you must select Legal Entity ID. For AMC or Legal entity, entity ID will be defaulted as Installed Entity and mapped entity details will be disabled. If Entity Type is 'M' (AMC) then the entity ID option list will list only AMC's

For SWIFT Entity Type 'Agent' or 'Agency Branch/Account Officer/IFA'

If the Entity type is 'Agent' or 'Agency Branch/Account Officer/IFA' then you can only select the Entity ID along with the AMC or Legal Entity ID. AMC ID/Legal Entity ID is mandatory when Entity type is 'Agent' or 'Agency Branch/Account Officer/IFA'. Only one of the DN address maintained for Agent and AMC ID combination can set as Default DN address. You can enable DBN address. you can also specify whether the DN address is maintained for only outgoing message and no incoming message from that address will be processed in the system using 'Outbound Only' check box. If this checkbox is checked then no incoming message from that Requestor DN address will be processed.

For Segment, AMC, Legal Entity counterparts; there will be only one DN address allowed to be maintained. For Agent, Agency Branch, Account Officer and IFA counterparts; multiple DN addresses for each AMC ID for different communication modes must be able to be maintained.

For message with multiple orders where for one Unitholder more than one transaction will be done for different funds, the system will check the above rules for E-dealing allowed for the legal entities mapped to those funds. If for one of the legal entities, the E-dealing is not allowed, then system will reject only the transactions done to those funds where the mapped legal entity is not checked in 'Electronic Deal' field in 'Entity Maintenance' screen.

In the case of a Swift Switch message between two different Legal Entities, the message will be accepted only if both 'legal entities' allow electronic dealing and the 'AMC allows electronic dealing.

The validations which will to be applied DN address maintained in Entity SWIFT Setup are as follows.

- All segment in the DN address should follow the sequence
  cn=<name>,ou=<name>,o=<bic8>,o=swift

- All segments should be separated with ','.

- The DN address should have maximum of 100 characters.

- No space is allowed.

- Minimum of 2 and maximum of 10 segments are allowed in a DN address.

- The <name> part must contain minimum of 2 characters and maximum 20 alphanumeric characters. The characters should be in lower case. Only one special character is allowed to be used i.e. '-'(Hypen).

- The DN address will have maximum 2 numbers. The <name> part can contain maximum of 2 numerical digits

3.11.2 Processing of DN Messages

Incoming message coming into the system will have the tags <Fr> and <To>. The <To> tag will be the DN address of the specific segment in which the message will be processed. The DN address mentioned in the <Fr> tag will be searched in the DN addresses maintained in the system for all SWIFT Entity Types except where DN address is flagged as Outbound only. If it does not find the corresponding DN Address then the system will generate an outgoing Securities Message Rejection and sent out with rejection code as 'NALO'. If the system finds the corresponding DN address then the incoming message will be further validated.

Once the DN address is matched with maintained list, the system will identify the actual entity which is sending the message.

If the identified sender entity is 'Agent, Agency branch, IFA, Account Officer', the corresponding AMC ID or Legal Entity will be identified based on Fund ISIN mentioned in the message. The system then checks that the DN address received as requester is maintained for that Agent and AMC/Legal Entity combination. If so, the system will further check whether the identified AMC allows the incoming message type based on the list of allowed messages maintained as part of Entity Maintenance. If the incoming message is not allowed or DN address received in the message does not match with the Agent and AMC/Legal Entity combination setup then system will reject the message and generate an outgoing Securities Message Rejection message with reject code 'NALO'.

If the identified sender entity is 'AMC' or 'Legal Entity' then the system will further check whether the identified AMC allows the incoming message type based on the list of allowed messages maintained as part of Entity Maintenance. If the incoming message is not allowed then the system will reject the message and generate an outgoing Securities Message Rejection message with reject code 'NALO'

Once the message is processed (i.e. The transaction may or may not been created when the message is processed in FCIS) in the system then the Order Instruction Status message will be generated and will be sent to the same DN address which was present in the incoming message as requester. The same process will apply for the confirmation messages when the transaction is priced. The confirmation message will be generated after the created transaction is allocated in the system. This will also be sent to the same DN address which was present in the incoming message as requestor.

For outgoing messages for which there is no outbound message such as PriceReportV03 (reda.001.001.03), AccountingStatementOfHoldingsV02 (semt.003.001.02) for instance, the requester DN will be the DN address of the Segment. The Responder DN will be the DN address of the 'To Entity ID' maintained as part of the SWIFT Message Setup for the specific

outgoing message. If 'To Entity Type' is Agent/Agency Branch/IFA/Account Officer then the system will use the AMC ID maintained as part of SWIFT Message setup to derive the respective default DN address for Agent and AMC combination.

3.11.3 Invoking Swift Entity Maintenance Screen

You can invoke the 'Swift Entity Maintenance' screen by typing 'UTDENTSW' 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:

Reference Number

Display

The system displays the reference number.

Entity Type

Alphanumeric; 1 Characters; Mandatory

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

Entity ID

Alphanumeric; 12 Characters; Mandatory

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

Entity Name

Display

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

Mapped Entity Type

Alphanumeric; 1 Character; Optional

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

Mapped Entity ID

Alphanumeric; 12 Characters; Optional

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

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Mapped Entity Name

Display

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

Communication Mode

Optional

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

- SWIFTNET
- VESTIMA+

DN Address

Alphanumeric; 100 Characters; Mandatory

Specify the DN address.

Out Bound Only

Optional

Check this box to indicate that the Requestor DN address corresponding to this checked record will be used only for outgoing messages and will not be used for incoming messages.

If any incoming message is received from the Requestor DN address for which 'Outbound Only' field is checked, the message will be rejected since that DN address is defined to be used only for outgoing messages.

Note

The 'Outbound Only' check box must be flagged against only one DN. This field is not applicable for 'Segment' entity type. It will be defaulted as checked.

Is Default

Optional

Check this box to indicate that DN address is defaulted.

The 'Default' check box must be flagged against only one DN. The 'Default' check box will also be defaulted as 'checked' for the DN address record where 'Outbound Only' check box is checked.

Disable?

Optional

Check this box to disable the DN address(s) for a specific Entity.

While processing the incoming message only enabled DN addresses present in the system will be matched against the incoming requestor DN address to find out the SWIFT correspondent. If the matched DN address is marked as disabled then the message will not be processed and security rejection message with reason Code as 'NALO' will be generated and sent out.

3.11.3.1 <u>SWIFT Routing</u>

- The Current Existing screen "SWIFT Entity Maintenance" (UTDENTSW)" is used to maintain DN address for SWIFT Entities.
- To support Routing of UH/Transaction SWIFT message. 'Mapped Entity Type' LOV has been enhanced to display a new Entity Type 'Z – Agency Branch Module' and 'Mapped

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Entity ID' LOV has been enhanced to list all Agency Branch Module ID of the current FMG module.

- The user needs to choose Entity Type – S [Installation ID], pick the Installed Entity ID from LOV and map the associated Agency Branch Module ID to identify DN address in Unitholder SWIFT message Processing.

- DN address used for Agency branch module cannot be duplicated for another Installation [Entity Type- S]. Incoming SWIFT message coming into the system will have the tags <Fr> and <To>. The <To> tag is the DN address of the specific module in which the message is processed.

- The DN address mentioned in the < Responder > tag to be searched in the DN addresses maintained in the system for SWIFT Entity Type 'S'.

- Once the DN address is matched with maintained list, Systems will identify Module ID from the maintenance and process the Unitholder records.

- If there is no module mapping found for DN address, then the system will reject the message.

- During Unit holder creation as part of Swift Processing, AMC ID/Distributor ID Field is to be derived from the value of AccountServicer <AcctSvcr><AnyBIC> tag.

- If the value derived from Account servicer is not matching with entities maintained in the system, then system will raise the error.

- If there is no AccountServicer <AcctSvcr> tag as part of incoming message, then the system will derive the value of AMC ID/Distributor ID Field as below Transaction Processing:

Installation Type	Value of AMC ID/Distributor ID
AMC	Default AMC ID
Distributor	Default Distributor ID/ Agent code

- Agency Branch Module ID derivation for Transaction is based on Client Country – Parameterization

- The Client country 'SWIFTTXNAGENT' is available in the system and if client country is 'ON' then system will derive the DN address using Receiver DN and same will be used for transaction processing. If DN address is not matching with maintenance available, then system will raise the error.

- If the client country is switched OFF, then the system will use the UH module to process the transaction.

3.12 Swift Entity Maintenance Summary

This section contains the following topics:

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3.12.1 Invoking Swift Entity Maintenance Summary Screen

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

3.12.2 Retrieving Record in Swift Entity Maintenance Summary Screens

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

Invoke the Swift Entity Maintenance Summary screen and specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorized field. If you choose the "Blank Space" option, then all the transactions are retrieved.
- The status of the record in the Open field. If you choose the "Blank Space" option, then all the transactions are retrieved.
- Reference Number
- Entity ID
- Mapped Entity Type
- Record Status
- Entity Type
- DN Address
- Mapped Entity Id
- Auth Status

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

Note

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

– Press F7

– Input the Entity ID

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– Press F8

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

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

For example

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

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

3.12.3 Editing Swift Entity Records

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

- Invoke the Swift Entity 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 of transactions that are unauthorized. Accordingly, choose the unauthorized option from the drop down list.
- Specify any or all of the details of the recording the corresponding fields on the screen to retrieve the record that is to be modified. Click 'Search' button. All unauthorized transactions 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 transactions. The Swift Entity Maintenance Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information
- Click Save to save your changes. The Swift Entity Maintenance Detail screen is closed and the changes made are reflected in the Swift Entity Maintenance Summary screen.

3.12.4 Viewing Swift Entity Records

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

- Invoke the Swift Entity Maintenance 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 transactions that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen, and click 'Search' button. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed transactions, in the lower portion of the screen. The Swift Entity Maintenance Detail screen is opened in view mode.

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3.12.5 Deleting Swift Entity Records

You can delete only unauthorized transactions in the system.

To delete a record that you have previously entered, you must retrieve the same in the Swift Entity Maintenance Summary screen, as follows:

- Invoke the Swift Entity 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 of the record in the corresponding fields on the screen, and click 'Search' button. All transactions with the specified details 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 transactions, in the lower portion of the screen. The Swift Entity Maintenance Detail screen is opened in view mode.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion and the record is deleted physically from the system database.

3.12.6 Authorizing Swift Entity Records

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

To authorize a transaction, you must first retrieve the same in the Record Summary screen.

- Invoke the Swift Entity Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list.
- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search' button. All transactions 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 Swift Entity Maintenance screen is opened in view mode.
- Select Authorize operation from Action list.

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

3.12.7 Amending Swift Entity Records

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

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

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3.12.8 Authorizing Amended Records

An amended record must be authorized for the amendment to be made effective in the system. Authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

3.13 Account Opening

AccountOpeningInstructionV08:

The AccountOpeningInstruction is to create new account/unitholder using SWIFT messages as per 2021 SWIFT regulations.

The Account Opening Instruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian or securities depository, to instruct the opening of an account or the opening of an account and the establishment of an investment plan.

While creating a Unitholder through SWIFT, the following derivation will be used for the Segment ID default.

The Param UHDEFAULTSEGMENT is used for segment ID. The maintenance for the same is referred in Param Screen.

The UH AMC which comes as the input is considered and the AMC country code value will be checked across for the maintenance of the Param and the Segment ID will be defaulted.

Param Maintenance:

The Param Value is Country Code and the Param Text Value is Segment ID.

Eg. HKG country code is maintained as Param Value and corresponding Param text is HKSEGMENT.

Note

Bulk UH Defaults can be maintained for Multiple AMC with same Bulk Client Code.

Design Scope:

This account opening message should create the below maintenances/transactions, if the respective tags are provided.

- Unitholder along with
  - Bank details
  - Intermediaries
- UH IDS Setup for reinvestment details

Confirmation message will be sent on the successful creation of the unitholder in FCIS. This section contains the following topic:

- Section 3.13.1, "Tags in Message"

3.13.1 Tags in Message

MX acmt.001.001.08

The Account Opening Instruction is used to open an account directly or indirectly with the account servicer or an intermediary.

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- Execution of the Account Opening Instruction is confirmed via an "Account Details Confirmation" message.
- The Account Opening InstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks as below,

AccountOpeningInstruction

Mandatory

This is the root tag for account opening instruction.

3.13.1.1 MessageIdentification

Mandatory

It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time.

Identification → CreationDateTime
Identification

Mandatory

This tag is used for the identification of the message.

CreationDateTime

Mandatory

This tag indicates the date of creation of the message.

3.13.1.2 OrderReference

Optional

This tag will not be used for the account opening process as per the current scope.

3.13.1.3 PreviousReference

Optional

This tag will not be used for the account opening process as per the current scope.

3.13.1.4 InstructionDetails

Mandatory

InstructionDetails tag gives information about the opening instruction. This tag is identified by a new element in FCIS.

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InstructionDetails → OpeningType → Code
OpeningType

Mandatory

It specifies whether the account opening instruction is about a newly created account or a supplementary account.

Code

Mandatory

Type of account opening instruction is expressed as a code.

3.13.1.5 InstallmentAccount

It gives detailed information about the account to be opened.

Indentification → Name → Type
Identification

Optional

This tag denotes Unitholder ID.

Name

Optional

This tag provides the name of the account.

Type

Optional

This tag is used to identify the type of account.

Code

Mandatory

Type of account is expressed as a code.

OwnershipType → Code
OwnershipType

Mandatory

This tag denotes ownership status of the account.

Code

Mandatory

Ownership type is expressed as a code.

StatementFrequency → Code
StatementFrequency

Optional

Frequency at which a statement is issued is denoted by this tag.

Code

Mandatory

Statement frequency is expressed as a code.

ReferenceCurrency

Optional

This tag indicates the currency chosen for reporting purposes.

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Language

Optional

Preferred language of the account holder is denoted by this tag.

ReinvestmentDetails → FinancialInstrumentDetails → Identification → OtherProprie taryIdentification → ISIN

ReinvestmentDetails

Optional

This tag specifies the income on the fund or security that is to be reinvested.

FinancialInstrumentDetails

Mandatory

Investment fund for the reinvestment is indicated by this tag.

Identification

Mandatory

It is the unique and unambiguous identifier of a security.

OtherProprietaryIdentification

Mandatory

This will be the proprietary identification of the security assigned by an institution or organisation.

ISIN

Mandatory

This specifies International Securities Identification Number (ISIN).

TickerSymbol

Mandatory

These are letters that identify a stock traded on a stock exchange.

ReinvestmentPercentage

Mandatory

It denotes the percentage of the reinvestment

OpeningDate → Date
OpeningDate

Optional

It denotes legal opening date for the account and the account opening date cannot be backdated.

Date

Optional

Legal opening date for the account.

3.13.1.6 AccountParties

Mandatory

It gives information related to parties of the account, for example, primary account owner. This is a new element in FCIS.

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AccountParties

Mandatory

These are the additional details of the unitholder.

PrincipalAccountParty → PrimaryOwner → Party → Organisation
PrincipalAccountParty

Mandatory

Main party associated with the account is given by this tag.

PrimaryOwner

Mandatory

This tag denotes the owner of the account.

Party

Mandatory

Information about the organisation or individual person is given by this tag.

Organisation → RegistrationCountry → PostalAddress → AddressLine → Country
Organisation

Mandatory

This will be the organised structure that is been set up for a particular purpose. i.e.,) Corporate account.

RegistrationCountry

Optional

Country in which the organisation is registered is specified by this tag.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Country

Mandatory

Country of the address is denoted by this tag.

IndividualPerson → NamePrefix → Code → MiddleName → Name
IndividualPerson

Mandatory

This will be the human entity, who is distinguished from a corporate entity.

NamePrefix

Optional

It is the term used to address the person.

Code

Mandatory

Name prefix is expressed as a code.

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MiddleName

Optional

It indicates the middle name of the party.

Name

Mandatory

It indicates the name by which the party is known and which is normally used to identify that person.

Gender

Optional

This tag indicates the gender of the person.

BirthDate

Optional

This is the date on which the person was born.

CountryOfBirth

Optional

This is the country where the person was born.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Note

First Address line will be 'Address Line 1', Second Address line will be 'Address Line 2', Third Address line will be 'Address Line 3', Fourth Address line will be 'Address Line 4' and Fifth Address line will be 'Zip Code'.

Country

Mandatory

Country of the address is given by this tag.

Citizenship

Optional

Nationality and legal status (minor or major) information can be obtained by this tag.

Nationality

Mandatory

This tag denotes the country where a person was born or to the country where the person is legally accepted as belonging.

MinorIndicator

Mandatory

It indicates whether the person is a legal minor.

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OtherIdentification → Identification → Type → Code
OtherIdentification

Optional

This will be the alternative identification such as national registration identification number, passport number, tax identification number.

Identification

Mandatory

It can be name or number assigned by an entity to enable recognition of that entity.

Type

Mandatory

It denotes the type of identification.

Code

Mandatory

Type of identification is expressed as a code.

IssueDate

Optional

It is the date at which the identification was issued.

ExpiryDate

Optional

It will be the date at which the identification expires.

IssuerCountry

Optional

It is the country that issued the identification document.

PrimaryCommunicationAddress → Email
PrimaryCommunicationAddress

Optional

It specifies the means of communication with the person.

Email

Optional

This is the Email address of the person. The maximum length is 255 characters.

CustodianForMinor → Party → IndividualPerson → Name
CustodianForMinor

Optional

It gives information on the entity that holds shares/units on behalf of a legal minor.

Party

Mandatory

It gives information about the individual person.

IndividualPerson

Mandatory

It is the human entity, as distinguished from a corporate entity.

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Name

Mandatory

It is the tag by which the party is known and used to identify that person.

SuccessorOnDeath → Party → IndividualPerson → Name
SuccessorOnDeath

Optional

Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred is given by this tag.

Party

Mandatory

It gives information about the organisation or individual person.

IndividualPerson

Mandatory

It is the human entity, as distinguished from a corporate entity.

Name

Mandatory

It is the tag by which the party is known and used to identify that person.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Country

Mandatory

It denotes the country of the address.

OwnershipBeneficiaryRate → Rate
OwnershipBeneficiaryRate

Optional

It will be the percentage of ownership or of beneficial ownership of the shares/units in the account.

Rate

Optional

Ownership or beneficial ownership is expressed as a percentage.

3.13.1.7 Intermediaries

Intermediary or other party is related to the management of the account. Upto ten intermediaries are allowed to maintain. This element is new for FCIS.

Identification → AnyBIC
Identification

Mandatory

This denotes the intermediary or other party related to the management of the account.

AnyBIC

Mandatory

This is the code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority.

ProprietaryIdentification → Identification → Role → Code
ProprietaryIdentification

Mandatory

It is the unique and unambiguous identifier assigned to a financial institution.

Identification

Mandatory

It is the identification assigned by an institution.

Role

Optional

Role or function performed by the intermediary.

Code

Optional

Role is expressed as a code. Role code 'INTR' is supported using SWIFT.

- If the client country 'TXNBROKERS' is enabled, then the intermediaries details will be considered as the broker ID.
- If the client country 'TXNBROKERS' is disabled, then the intermediaries details will be considered as the agent.
- If the client country 'TXNBROKERS' is disabled and provided with the role code 'INTR', then based on the agent code, agency branch will be selected. Also, IFA and account officer will be defaulted to 'DIRECT'.
- If intermediaries section is not available, default broker 'DIRECT' or module agent code will be defaulted accordingly.

3.13.1.8 CashSettlement

Cash settlement stands for instruction associated with transactions on the account.

CashAccountDetails

Optional

It is the details of the account to credit or debit.

SettlementCurrency

Mandatory

It is the payment currency.

Identification → Other → Identification
Identification

Mandatory

Unique and unambiguous identification for the account

Other

Mandatory

Unique identification of an account.

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Identification

Mandatory

Identification assigned by an institution.

Name

Optional

It defines the name of the account.

AccountOwner

Optional

It indicates the party that legally owns the account.

AnyBIC

Mandatory

It will be the code allocated to a financial or non-financial institution.

ProprietaryIdentification → Identification
ProprietaryIdentification

Mandatory

It is the unique and unambiguous identifier.

Identification

Mandatory

It is the identification assigned by an institution.

AccountServicerBranch → Identification
AccountServicerBranch

Optional

It is the Information that identifies a specific branch of a financial institution.

Identification

Optional

It is the unique and unambiguous identification of a branch of a financial institution.

3.14 Subscription Bulk Order

This section contains the following topics:

- Section 3.14.1, "Subscription Bulk Order Message"
- Section 3.14.2, "Tags in Message"

3.14.1 Subscription Bulk Order Message

This message is sent by an intermediary to an executing party or to another intermediary party. This message is used to instruct the executing party to subscribe to a specified amount/ quantity of a specified financial instrument.

The Subscription Bulk Order message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, but are related to the same financial instrument. The Subscription Bulk Order message can result in one single bulk cash settlement or several individual cash settlements.

This message cannot be used for a single order (a message containing one order for one instrument and for one investment account). The Subscription Multiple Order message, not the Subscription Bulk Order message, must be used for a single order.

3.14.2 Tags in Message

3.14.2.1 Message Identification

Optional

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

- **Incoming:** This number is used for storage and reference.
- **Outgoing:** This will be generated by the system and will be unique for group of transactions in a fund.

3.14.2.2 Pool Reference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

- **Incoming:** This number is used for storage.
- **Outgoing:** If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.14.2.3 Bulk Order Details

FinancialInstrumentDetails

Mandatory

This tag provides details to identify a fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.

- **Incoming:** FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.
- **Outgoing:** FCIS sends out the fund ISIN.

IndividualOrderDetails

(Mandatory / Repetitive)

OrderReference

Mandatory

This is a unique identifier for an order, as assigned by the instructing party.

- **Incoming:** This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.
- **Outgoing:** This will be the Transaction Number generated by FCIS.

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Cash Settlement Date

Optional

Incoming/Outgoing – Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date.

InvestmentAccountDetails

Account Identification → Proprietary → Identification

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to BeneficiaryDetails tag to get the identification type and identification number.

- Incoming – The system uses the relevant UDF mapping for this tag.
- Outgoing - The system uses the relevant UDF mapping for this tag.

BeneficiaryDetails

Optional

Other Identification → Identification

Mandatory

Incoming – This would map to the Identification Number of the Unit holder.

Other Identification → Identification Type/ExtendedIdentificationType →Structured

Mandatory

This is a choice between Identification Type and Extended Identification Type.

Incoming – FCIS uses data mapping to find the Unit holder account type. Only PASS (passport) and NRIN (the National Registration Number, which is NRIC for Singapore) are supported as Identification Types.

Other Identification → Identification Type → Additional Information

Optional

If structured type is OTHR, the description of identification would be provided. For example, 'Birth Certificate'.

Choice for Units / NetAmount

Mandatory

- **Incoming:** The system determines the Transaction Mode and Value depending on the element available. If the field 'NetAmt' is provided, the mode of transaction will be 'Net'. The value here would be in the currency provided as an attribute of the tag. FCIS will give priority to the tag 'GrossAmount' while processing the message. If the same is available, the transaction will be considered 'Gross'.
- **Outgoing:** Values of the outgoing message will depend on the transaction mode. Net Amount transactions in FCIS, will be reported in the field 'NetAmt'. The transaction currency will be passed as tag attribute. However, if the transaction is 'Gross', the same will be reported under the optional tag 'GrossAmount' as well as the tag 'NetAmt', as this is mandatory.

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GrossAmount

Optional

- **Incoming:** If a value is provided in this field the transaction will be considered as a gross amount transaction. The transaction currency would be defaulted to the currency code provided in the attribute.
- **Outgoing:** If the tag 'GrossOrNet' carries the value 'G', the amount will be passed under this tag. The transaction currency will be passed as a tag attribute.

ForeignExchangeDetails

Optional

This is information related to currency exchange or conversion.

- **Incoming:** If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.
- **Outgoing:** If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **Unit Currency:** This will be the transaction currency
- **Quoted Currency:** This will be the fund base currency
- **Exchange Rate** : This will be the exchange rate for the transactions

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

- **Outgoing:** This indicator will depend on whether or not fund is scrip based.

CashSettlementDetails

Optional

Payment Instrument

Optional

The payment instruments can be cheque, credit transfer, direct debit, investment account or payment card.

FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.

If payment instrument details are not provided, FCIS would use default bulk transaction setup for "SWIFT".

PaymentCardDetails

(Mandatory / Choice)

Type

Mandatory

This indicates the type of card.

- CRDT – Credit Card
- DBIT – Debit Card

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- **Incoming:** FCIS will set the Payment Mode to 'R' for payments by card, and Sub Payment Mode, depending on the value of the tag 'Type'. The Sub Payment Mode will be set to 'R' for CRDT and 'DR' for DBIT.
- **Outgoing**: The indicator will be either CRDT or DBIT, based on Payment Mode and Sub Payment mode.

Payment Mode	Sub Payment Mode	Type
R	R	CRDT
R	DR	DBIT

Number

Mandatory

Incoming/Outgoing – This will be the 16-digit Card Number.

Card Issuer Identification

Optional

This is the party that issues the card. FCIS supports identification based on the following tags:

- BICOrBEI
- Proprietary Identification

Incoming: If BIC Or BEI is provided, the system will get the relevant bank information, if available. If Proprietary Identification is provided, the UDF mapping for the field would be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'.

Outgoing: As FCIS is capable of supporting both, the BIC Or BEI and Proprietary Identification, SWIFT UDF mapping will be used to determine the element that client would want to send.

ChequeDetails

(Mandatory / Choice)

Number

Mandatory

Incoming/Outgoing – This will be the Transaction Cheque Number.

Drawee Identification

Optional

This is to identify the bank details.

FCIS supports BIC and Proprietary Identification.

Incoming: If BIC is provided, system the will get the relevant bank information, if available. If Proprietary Identification is provided, the UDF mapping for the field would be used to determine the bank. This would be a set of other information fields applicable for entity type 'Bank'.

Outgoing: As FCIS is capable of supporting both, the BIC and Proprietary Identification, SWIFT UDF mapping will be used to determine the element that client would want to send.

Credit Transfer Details

(Mandatory / Choice)

Reference

Optional

Incoming/Outgoing: This will be the Transaction Reference Number.

Debtor Details → Identification

Mandatory

FCIS supports Domestic Account based identification.

Incoming: The details available for Domestic Account will be used in conjunction with the element details of the tag First Agent to determine the Unit Holder bank details available in FCIS. FCIS will check if the account number mentioned is valid for the transaction currency. If not, these account details will be considered as third party payment details.

Outgoing: If the transaction payment mode is money transfer, the account details will be provided for the transaction. Money transfer direct debit will not be applicable for this tag.

Debtor Account → Name

Optional

This is the name of the account. It provides additional means of identification.

Outgoing - This will be the Transfer Account Holder Name of the transaction.

Debtor Agent

Mandatory

This is the financial institution that receives the payment transaction from the account owner.

FCIS supports BIC and Proprietary Identification based identification.

Incoming: If BIC is provided, the system will get the relevant bank information, if available. FCIS will use the Bank Code, Account Number and Transaction Currency to get the banking details for the Unit Holder.

If ProprietaryIdentification is provided, the UDF mapping for the field will be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'. If these bank account details do not match with unit holders banking details, the transaction will be captured as the third party payment details, provided the bank entity information is setup in FCIS.

Outgoing: As FCIS is capable of supporting the elements BIC and ProprietaryIdentification, the SWIFT UDF mapping will be used to determine the element that client would want to send.

DirectDebitDetails

(Mandatory / Choice)

These are the details of the bank where the client has given a mandate to debit the account.

DebtorAccount

Mandatory

This tag will be used to identity the bank account of the investor. FCIS supports DomesticAccount based identification.

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Incoming: The details available for DomesticAccount will be used in conjunction with the element details of the tag Debtor Agent to determine the Unit Holder bank details available in FCIS. FCIS will check if the account number mentioned is valid for the transaction currency. If not, these account details will be considered as third party payment details.

Outgoing: If the transaction payment mode is money transfer, the account details will be provided for the transaction. Money transfer direct debit will not be applicable for this tag.

Debtor Identification

Mandatory

This tag will be used to identity the bank account of the investor. FCIS supports DomesticAccount based identification.

Debtor Agent

Mandatory

This is used to identify the bank of the investor.

FCIS supports BIC and Proprietary Identification based identification.

Incoming: If BIC is provided, the system will get the relevant bank information, if available. FCIS will use the Bank Code, Account Number and Transaction Currency to get the banking details for the Unit Holder.

If ProprietaryIdentification is provided, the UDF mapping for the field will be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'. If these bank account details do not match with unit holders banking details, the transaction will be captured as the third party payment details, provided the bank entity information is setup in FCIS.

Outgoing: As FCIS is capable of supporting the elements BIC and ProprietaryIdentification, the SWIFT UDF mapping will be used to determine the element that client would want to send.

Cash AccountDetails

(Mandatory / Choice)

AccountIdentification → Proprietary → Identification (Mandatory)

Incoming: This will be the bank account number of the unit holder. This number will be used in conjunction with the element Type → Structured i.e., the bank account type, to get the bank details of unit holder.

Outgoing: If the bank details selected for the transaction is a CPF accounts (CPFOA, CPFSA, ASPFOA, ASPFSA or SRS), the system will provide the structured account type information under this element.

Type → Structured

Mandatory

The following are the SWIFT supported codes for structured types along with the FCIS mapping:

Structured codes	FCIS Map
CASH	No mapping
CPFO	CPFOA
CPFS	CPFSA

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OTHR	ASPFOA / ASPFSA
SRSA	SRS

3.15 Subscription Bulk Order Confirmation

This section contains the following topics:

3.15.1 Subscription Bulk Order Confirmation Message

This message is sent by an executing party to an intermediary party. This message is used to confirm the details of the execution of a Subscription Bulk Order message.

The Subscription Bulk Order Confirmation message is sent, after the price has been determined, to confirm the execution of all individual orders.

There is usually one bulk confirmation message for one bulk order message.

For all incoming messages, FCIS will set the status of transactions based on individual 'Order Reference' number.

For outgoing message, FCIS will generate the confirmation message only after allocation.

FCIS will allow generation of this message in an automated way (based on certain events triggered in the system, which have to be set for the message), or manually.

3.15.2 Tags in Message

3.15.2.1 Message Identification

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

3.15.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.15.2.3 RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

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Reference

Mandatory

Incoming: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

Confirmation messages will be generated against each MessageIdentification/message.

Outgoing : FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message.

3.15.2.4 Bulk Execution Details

Mandatory

This is general information related to the execution of investment orders.

Financial Instrument Details

Mandatory

This tag provides details to identify a fund.

Identification

Mandatory

Outgoing - FCIS sends out the fund ISIN.

Individual Execution Details

(Mandatory / Repetitive)

This is the individual execution of a subscription order.

OrderReference

Mandatory

Incoming: As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.

Outgoing: This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS.

DealReference

Mandatory

This is a unique number assigned by the confirming party.

Incoming: This number is used for storage.

Outgoing: This would map to the Transaction Number generated by the system corresponding to the Order Reference number.

Settlement Amount

Optional

Oracle FLEXCUBE would pass settlement amount of the transaction in this tag.

Investment Account Details

Mandatory

AccountIdentification → Proprietary → Identification

Outgoing - The system uses the relevant UDF mapping for this tag.

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Beneficiary Details

Optional

OtherIdentification → Identification

Mandatory

Outgoing: This would map to the Identification Number of the Unit holder.

OtherIdentification → IdentificationType

Mandatory

Outgoing: FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag AdditionalInformation.

OtherIdentification → ExtendedIdentificationType

Optional

If structured type is OTHR, the description of identification would be provided. For example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description

Units Number

Mandatory
Unit

Mandatory

Outgoing: The allocated units for the transaction.

Net Amount

Mandatory

This is the net amount invested in a specific financial instrument by an investor, expressed in the currency requested by the investor.

Outgoing: The system will compute the net amount in transaction currency for transaction getting confirmed.

Gross Amount

Optional

Outgoing: This will be the settlement amount in the transaction currency available in the transaction data store.

Transaction Date Time

Mandatory

This is a choice between Date and DateTime.

Outgoing : Depending on the UDF mapping, the Transaction Date / Transaction Time will be passed.

DealingPriceDetails

Mandatory

This is the price at which order was executed.

ExtendedType

Mandatory

Outgoing : FCIS will support the code 'OTHR' only.

Value → Amount

Mandatory

Outgoing:This will be the allocation price for the transaction.

Partially Executed Indicator

Mandatory

This indicates whether the order has been partially executed.

Outgoing: This will be defaulted to 'NO'.

Cum Dividend Indicator

Mandatory

This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.

Outgoing: This will be defaulted to 'NO'.

Physical Delivery Indicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing : This indicator will depend on whether or not fund is script based.

3.16 Subscription Bulk Order Cancellation Instruction

This section contains the following topics:

-
-

3.16.1 Subscription Bulk Order Cancellation Instruction Message

This message is sent by an intermediary party to an executing party or to another intermediary party. The Subscription Bulk Order Cancellation Instruction message is used to cancel a previously sent Subscription Bulk Order message or a set of individual orders that it contains. There is no amendment, but a cancellation and re-instruct policy.

For all incoming bulk order cancellations, FCIS will process the reversals based on Previous Reference and Individual Order Reference. For outgoing cancellation messages, FCIS will communicate the details of original transaction and not the newly reversed transaction, provided the original transaction was handed off to SWIFT. If a transaction is reversed before, neither transaction will be included in the SWIFT message.

For outgoing messages, FCIS will always provide the reference of the original message and group cancellations, if multiple transactions of the same batch have been reversed.

FCIS will allow the generation of this message in an automated way (based on a certain event that is triggered in the system, which can be set for the message), or manually.

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3.16.2 Tags in Message

3.16.2.1 MessageIdentification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.16.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.16.2.3 Previous Reference

Optional

This is the reference to a linked message previously sent.

Reference

Mandatory

Incoming: If FCIS is receives this message, this reference number should be the Message Identification of the original message sent. This will be the link between cancellation message and the bulk order message.

If the tag 'Order To Be Cancelled is not provided in the message, the system will identify the transactions to be reversed based on this link, as FCIS would have logged the bulk orders against the Message Identification.

Outgoing: FCIS will hand off only those reversals for which SWIFT bulk order was sent earlier.

3.16.2.4 Order to be Cancelled

This is common information related to all the orders to be cancelled.

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Bulk Order Details

Mandatory
Financial Instrument Details

Mandatory

This tag provides details to identify a fund.

Outgoing : FCIS sends out the fund ISIN.

Individual Order Details

(Mandatory / Repetitive)
OrderReference

Mandatory

Incoming: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.

Outgoing: This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction.

Investment Account Details

Mandatory

AccountIdentification → Proprietary → Identification

Outgoing: The system uses the relevant UDF mapping for this tag.

Beneficiary Details

Optional

Other Identification → Identification

Mandatory

Outgoing: This would map to the Identification Number of the Unit holder.

Other Identification → Identification Type

Mandatory

Outgoing: FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag Additional Information.

Other Identification → Extended Identification Type

Optional

If structured type is OTHR, the description of identification would be provided. For example, 'Birth Certificate'.

Choice for Units / NetAmount

Mandatory

Outgoing: Irrespective of the 'GrossOrNet' indicator, amount transactions in FCIS, will be reported in the field 'NetAmt'. However, if the transaction is 'Gross', the same will be additionally reported under the tag 'GrossAmount'.

Unit based transactions will be passed under the tag Units.

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Gross Amount

Optional

This is the gross amount invested in the fund.

Outgoing: This will map to transaction gross amount in the fund base currency, if available.

Foreign Exchange Details

Optional

This is information related to currency exchange or conversion.

Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **Unit Currency** : This will be the transaction currency
- **Quoted Currency** :This will be the fund base currency
- **Exchange Rate** :This will be the exchange rate for the transactions

Physical Delivery Indicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing - This indicator will depend on whether or not fund is scrip based.

Cash Settlement Date

Optional

Incoming/Outgoing: Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date.

3.17 Subscription Multiple Order

This section contains the following topics:

3.17.1 Subscription Multiple Order Message

This message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party. The Subscription Multiple Order message is used to subscribe to different financial instruments for the same investment account. It can result in one single bulk cash settlement or several individual cash settlements.

This message can also be used for single orders, i.e., a message containing one order for one financial instrument and related to one investment account.

The Subscription Multiple Order message, and not the Subscription Bulk Order message, must be used for a single order.

FCIS will allow generation of this message in an automated way (based on an event triggered) or manually. The grouping of multiple orders is driven by investment account and not the fund, as in the Subscription Bulk Order message.

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3.17.2 Tags in Message

3.17.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming - This number is used for storage and reference.

Outgoing - This will be generated by the system and will be unique for group of transactions in a fund.

3.17.2.2 Pool Reference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.17.2.3 Multiple Order Details

Investment Account Details

Mandatory

This is the account impacted by an investment fund order.

Identification → Proprietary → Identification

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to Owner Details tag to get the identification type and identification number.

Incoming – The system uses the relevant UDF mapping for this tag.

Outgoing - The system uses the relevant UDF mapping for this tag.

Owner Identification

Optional

- BICOrBEI
- Proprietary Identification

Incoming: If BICOrBEI is provided, the system will get the relevant bank information, if available. If Proprietary Identification is provided, the UDF mapping for the field would be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'.

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Outgoing: As FCIS is capable of supporting both, the BICOrBEI and Proprietary Identification, SWIFT UDF mapping will be used to determine the element that client would want to send.

Individual Order Details

OrderReference

Mandatory

This is a unique identifier for an order, as assigned by the instructing party.

Incoming: This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.

Outgoing: This will be the Transaction Number generated by FCIS.

Financial Instrument Details

This tag provides details to identify a fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.

Incoming: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

Outgoing: FCIS sends out the fund ISIN.

Choice for Units Number / Amount

Mandatory

Incoming: The system determines the Transaction Mode and Value depending on the element available. If the field 'Amt' is provided, the mode of transaction will be 'Net'. The value here would be in the currency provided as an attribute of the tag. FCIS will give priority to the tag 'GrossAmountIndicator' while processing the message. If the same is available, the transaction will be considered 'Gross'.

Outgoing: Values of the outgoing message will depend on the transaction mode. Net Amount transactions in FCIS, will be reported in the field 'Amt'. The transaction currency will be passed as tag attribute. However, if the transaction is 'Gross', the same will be reported under the optional tag 'GrossAmountIndicator' as well as the tag 'Amt', as this is mandatory.

Gross Amount Indicator

Optional

Incoming: If the value in this field is true, the transaction will be considered as a gross amount transaction. The transaction currency would be defaulted to the currency code provided in the attribute.

Outgoing: If the tag 'GrossOrNet' carries the value 'G', the amount will be passed under this tag. The transaction currency will be passed as a tag attribute.

Commission Details

Optional

This indicates the load corresponding to the commission that is being overridden. The Load in the system can be identified using the Load Id or the Recipient information.

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Type → Extended Type

Mandatory

Incoming: This will map to the Load Id. If BIC code, the system will find whether the entity is an agent, AMC, broker or distributor. System will select a load with the corresponding 'To Entity Type'.

Choice for Amount/Rate

Mandatory

Incoming: If the 'Amt' is provided and the Load concerned is amount load, then this indicates the overridden value. However, if the field is 'Rate' is provided and the load concerned is percent load then this indicates the overridden value.

Waiving Details

Optional

This tag represents the override percentage that the system will apply. The value provided in this field will be ignored if 'Amount' or 'Rate' tags are provided since the values provided for those tags represent the final value.

Instruction Basis

Mandatory

This tag can have the value WICA. However the system will not use this value for any processing and hence will be ignored.

Waived Rate

Optional

This field provides the discount percentage. This is applicable only for percentage based loads. The override is by discount.

Physical Delivery Indicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing - This indicator will depend on whether or not fund is scrip based.

Cash Settlement Date

Optional

Incoming/Outgoing: Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date.

Payment Instrument Choice

Optional

The payment instruments can be cheque, credit transfer, direct debit, investment account or payment card.

FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.

If payment instrument details are not provided, FCIS would use default bulk transaction setup for "SWIFT".

Related Party Details

This is information related to an intermediary.

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Identification

Mandatory

FCIS supports identification based on the following tags:

- BICOrBEI
- ProprietaryIdentification

If BIC is provided, the system will get either the Broker BIC or the Entity BIC based on the client country parameter 'TXNBROKERS'. If ProprietaryIdentification is provided, the value provided in this field should be a valid Entity Id or Broker Id in the system based on the client country parameter 'TXNBROKERS'.

Extended Role

Optional

In case of entity, the values provided in this field can be 'AGENT', 'AGENCY BRANCH', 'IFA' or 'AO'. If none of the above values are specified, system will throw exception saying 'Invalid ExtendedRole'.

3.18 Subscription Multiple Order Confirmation

This section contains the following topics:

3.18.1 Subscription Multiple Order Confirmation Message

This message is sent by an executing party to an instructing party. There may be one or more intermediary parties between the executing party and the instructing party. The Subscription Multiple Order Confirmation message is sent, after the price has been determined, to confirm the execution of the individual orders.

A Subscription Multiple Order can generate more than one Subscription Multiple Order Confirmation message, as the valuation cycle of the financial instruments of each individual order may be different. When the executing party sends several confirmations, there is no specific indication in the message that it is an incomplete confirmation. Reconciliation must be based on the references.

A Subscription Multiple Order must in be answered by the Subscription Multiple Order Confirmation message(s) and in no circumstances by the Subscription Bulk Order Confirmation message(s).

For all incoming messages, FCIS will be able to set the status of transactions based on the individual 'Order Reference' number. For outgoing messages, the system will be able to generate the confirmation message only after allocation. Transactions will be grouped based on the original Multiple Order Message.

FCIS will allow generation of this message in an automated way (based on a certain event that is triggered in the system) or manually.

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3.18.2 Tags in Message

3.18.2.1 Message Identification

Optional

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

3.18.2.2 Pool Reference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.18.2.3 Related Reference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Incoming: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

The confirmation messages will be generated against each MessageIdentification/ message.

Outgoing: FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message.

3.18.2.4 Multiple Execution Details

Mandatory
OrderDateTime

Optional
Outgoing: This will be mapped to the transaction save time.

Investment Account Details

Identification → Proprietary → Identification

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Outgoing: The system uses the relevant UDF mapping for this tag.

Settlement Amount

Optional

ORACLE FLEXCUBE would pass settlement amount of the transaction in this tag.

Individual Execution Details

This is the individual execution of a subscription order.

OrderReference

Mandatory

Incoming: As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.

Outgoing: This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS.

Deal Reference

Mandatory

This is a unique number assigned by the confirming party.

Incoming: This number is used for storage.

Outgoing: This would map to the Transaction Number generated by the system corresponding to the Order Reference number.

Financial Instrument Details

This tag provides details to identify a fund.

Identification

Mandatory

Outgoing: FCIS sends out the fund ISIN.

Units Number

Mandatory

UnitsNumber

Mandatory

Outgoing: The allocated units for the transaction.

Amount

Mandatory

This is the net amount invested in a specific financial instrument by an investor, expressed in the currency requested by the investor.

Outgoing: The system will compute the net amount in transaction currency for transaction getting confirmed.

Gross Amount Indicator

Optional

Outgoing: This will be the settlement amount in the transaction currency available in the transaction data store.

Transaction Date Time

Mandatory

This tag provides the transaction date

Outgoing: Depending on the UDF mapping, the Transaction Date will be passed.

Price Details

Mandatory

This is the price at which order was executed.

Value → Amount

Mandatory

Outgoing: This will be the allocation price for the transaction.

Partially Executed Indicator

Mandatory

This indicates whether the order has been partially executed.

Outgoing: This will be defaulted to 'NO'.

Cum Dividend Indicator

Mandatory

This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.

Outgoing: This will be defaulted to 'NO'.

Foreign Exchange Details

Optional

This is information related to currency exchange or conversion.

Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **Unit Currency:** This will be the transaction currency
- **Quoted Currency**: This will be the fund base currency
- **ExchangeRate:** This will be the exchange rate for the transactions

Commission General Details

Optional

This indicates the load corresponding to the 'From Entity Type' 'U' and 'To Entity Type' 'F'.

TotalAmountofCommissions

Optional

Outgoing – FCIS sends out the value of the load where the 'From Entity Type' is 'U'and 'To Entity Type' is 'F'.

CommissionDetails

Type → Extended Type

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Mandatory

Outgoing: This would map to the Identification Number of the Load. If BIC is provided, this would map to the corresponding entity's BIC.

Amount

Mandatory

Outgoing: This tag corresponds to the individual Loads under the main U-F load viz. F-M and F-A loads.

Rate

Optional

This tag corresponds to the rates of individual Loads under the main U-F load viz. F-M and F-A loads.

ChargeGeneralDetails

Optional

This tag corresponds to the sum of all the loads other than the load mentioned in the 'CommissionGeneralDetails' tag.

TotalAmountofCharges

Optional

Outgoing: FCIS sends out the sum f all the loads other than the load mentioned in the 'CommissionGeneralDetails' tag.

ChargeDetails

Type → Unstructured or RecipientIdentification → BICOrBEI

Mandatory

Outgoing: This would map to the Identification Number of the Load. If BIC is provided, this would map to the corresponding entity's BIC.

Amount

Mandatory

Outgoing: The load amount in terms of the fund base currency.

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing - This indicator will depend on whether or not fund is scrip based.

RelatedPartyDetails

Optional

This is information related to an intermediary.

Identification → Proprietary → Identification

Mandatory

Outgoing - Identification of the agent, agency branch, AO or IFA as maintained in FCIS.

ExtendedRole

Optional

In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA', 'BROKER' or 'AO'.

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3.19 Subscription Multiple Order Cancellation Instruction

This section contains the following topics:

- Section 3.19.1, "Subscription Multiple Order Cancellation Instruction Message"
- Section 3.19.2, "Tags in Message"

3.19.1 Subscription Multiple Order Cancellation Instruction Message

This message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party. The Subscription Multiple Order Cancellation Instruction message is used to cancel the entire previously sent order message and all the individual orders that it contained. There is no amendment, but a cancellation and re-instruct policy.

A cancellation instruction must always be of the same family of message, i.e., switch, redemption or subscription and bulk or multiple, as the original order to be cancelled.

For all incoming multiple order cancellations, FCIS will be able to process the reversals based on Previous Reference and Individual Order Reference.

For outgoing cancellation messages, FCIS will communicate the details of original transaction, and not the newly reversed transaction, provided the original transaction was handed off to SWIFT. If a transaction has been reversed, neither of the transactions will be included in the SWIFT message.

For outgoing messages, FCIS will always provide the reference of the original message and group cancellations, if multiple transactions of the same batch have been reversed. FCIS will allow the generation of this message in an automated way (based on a certain event that is triggered in the system), or manually.

3.19.2 Tags in Message

3.19.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

3.19.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

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Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.19.2.3 Previous Reference

Optional

This is the reference to a linked message previously sent.

Reference

Mandatory

Incoming: If FCIS is receives this message, this reference number should be the Message Identification of the original message sent. This will be the link between cancellation message and the bulk order message.

If the tag 'Order To Be Cancelled is not provided in the message, the system will identify the transactions to be reversed based on this link, as FCIS would have logged the bulk orders against the Message Identification.

Outgoing: FCIS will hand off only those reversals for which SWIFT bulk order was sent earlier.

3.19.2.4 Order to be Cancelled

This is common information related to all the orders to be cancelled.

MultipleOrderDetails

Mandatory
InvestmentAccountDetails

Mandatory
AccountIdentification → Proprietary → Identification

Outgoing - The system uses the relevant UDF mapping for this tag.

BeneficiaryDetails

Optional
OtherIdentification → Identification

Mandatory

Outgoing - This would map to the Identification Number of the Unit holder.

OtherIdentification → IdentificationType

Mandatory

Outgoing - FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag AdditionalInformation.

OtherIdentification → ExtendedIdentificationType

Optional

If structured type is OTHR, the description of identification would be provided. For example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description.

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IndividualOrderDetails

(Mandatory / Repetitive)
OrderReference

Mandatory

Incoming – The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.

Outgoing - This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction.

FinancialInstrumentDetails

Mandatory
Identification

Mandatory

This tag provides details to identify a fund.

Outgoing - FCIS sends out the fund ISIN.

Choice for Units / NetAmount

Mandatory

Outgoing : Irrespective of the 'GrossOrNet' indicator, amount transactions in FCIS, will be reported in the field 'NetAmt'. However, if the transaction is 'Gross', the same will be additionally reported under the tag 'GrossAmount'.

Unit based transactions will be passed under the tag Units.

GrossAmount

Optional

Outgoing: This will map to transaction gross amount in the fund base currency, if available.

ForeignExchangeDetails

Optional

This is information related to currency exchange or conversion.

Outgoing – If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **UnitCurrency:** This will be the transaction currency
- **QuotedCurrency:** This will be the fund base currency
- **ExchangeRate :** This will be the exchange rate for the transactions

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

CashSettlementDate

Optional

Outgoing: This will be the Transaction Settlement Date.

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3.20 Redemption Bulk Order

This section contains the following topics:

- Section 3.20.1, "Redemption Bulk Order Message"
- Section 3.20.2, "Tags in Message"

3.20.1 Redemption Bulk Order Message

This message is sent by an intermediary party to an executing party or to another intermediary party.

The Redemption Bulk Order message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, i.e., account owners, but are related to the same financial instrument. The Redemption Bulk Order can result in one single bulk cash settlement or several individual cash settlements.

This message will typically be used by a party collecting order, to bulk those individual orders into one bulk order before sending it to another party.

This message cannot be used for a single order, i.e., a message containing one order for one financial instrument and for one investment account. The Redemption Multiple Order message, and not the Redemption Bulk Order message, must be used for a single order.

FCIS will allow the generation of this message in an automated way (based on certain event that is triggered in the system) or manually.

3.20.2 Tags in Message

3.20.2.1 MessageIdentification

Optional

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

Creation Date Time

Optional

This is applicable for incoming and outgoing message. This is the message generation date time.

3.20.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

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Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.20.2.3 Bulk Order Details

Mandatory
FinancialInstrumentDetails

Mandatory

This tag provides details to identify a fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.

Incoming: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

Outgoing: FCIS sends out the fund ISIN.

IndividualOrderDetails

(Mandatory / Repetitive)
OrderReference

Mandatory

This is a unique identifier for an order, as assigned by the instructing party.

Incoming: This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.

Outgoing: This will be the Transaction Number generated by FCIS.

InvestmentAccountDetails

Mandatory

AccountIdentification → Proprietary → Identification

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

Incoming: The system uses the relevant UDF mapping for this tag.

Outgoing: The system uses the relevant UDF mapping for this tag.

BeneficiaryDetails

Optional
OtherIdentification → Identification

Mandatory

Incoming: This would map to the Identification Number of the Unit holder.

OtherIdentification → IdentificationType

Mandatory

Incoming : FCIS uses data mapping to find the Unit holder account type.

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Choice for Units / NetAmount/Holdings Redemption Rate

Mandatory

Incoming: The system determines the Transaction Mode and Value depending on the element available. If the field 'NetAmt' is provided, the mode of transaction will be 'Net'. The value here would be in the currency provided as an attribute of the tag. FCIS will give priority to the tag 'GrossAmount' while processing the message. If the same is available, the transaction will be considered 'Gross'.

Outgoing : Values of the outgoing message will depend on the transaction mode. Net Amount transactions in FCIS, will be reported in the field 'NetAmt'. The transaction currency will be passed as tag attribute. However, if the transaction is 'Gross', the same will be reported under the optional tag 'GrossAmount' as well as the tag 'NetAmt', as this is mandatory.

GrossAmount

Optional

Incoming: If a value is provided in this field the transaction will be considered as a gross amount transaction. The transaction currency would be defaulted to the currency code provided in the attribute.

Outgoing: If the tag 'GrossOrNet' carries the value 'G', the amount will be passed under this tag. The transaction currency will be passed as a tag attribute.

ForeignExchangeDetails

Optional

This is information related to currency exchange or conversion.

Incoming: If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.

Outgoing : If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- UnitCurrency – This will be the transaction currency
- QuotedCurrency – This will be the fund base currency
- ExchangeRate – This will be the exchange rate for the transactions

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

CashSettlementDate

Optional

Incoming/Outgoing: Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date.

PaymentInstrument

Optional

The payment instruments can be cheque, credit transfer, direct debit, investment account or payment card.

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FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.

If payment instrument details are not provided, FCIS would use default bulk transaction setup for "SWIFT".

CreditTransferDetails

(Mandatory / Choice)
Reference

Optional

Incoming/Outgoing: This will be the TransactionReferenceNumber.

CreditorDetails → AccountIdentification → Identification

Mandatory

FCIS supports DomesticAccount based identification.

Incoming: The details available for DomesticAccount will be used in conjunction with the element details of the tag FirstAgent to determine the Unit Holder bank details available in FCIS. FCIS will check if the account number mentioned is valid for the transaction currency. If not, these account details will be considered as third party payment details.

Outgoing: If the transaction payment mode is money transfer, the account details will be provided for the transaction. Money transfer direct debit will not be applicable for this tag.

CreditorDetails → AccountIdentification → Name

Optional

This is the name of the account. It provides additional means of identification.

Outgoing: This will be the TransferAccountHolderName of the transaction.

CreditorDetails → FinalAgent

Mandatory

FCIS supports BIC and Proprietary Identification based identification.

Incoming: If BIC is provided, the system will get the relevant bank information, if available. FCIS will use the Bank Code, Account Number and Transaction Currency to get the banking details for the Unit Holder.

If ProprietaryIdentification is provided, the UDF mapping for the field will be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'. If these bank account details do not match with unit holders banking details, the transaction will be captured as the third party payment details, provided the bank entity information is setup in FCIS.

Outgoing: As FCIS is capable of supporting the elements BIC and ProprietaryIdentification, the SWIFT UDF mapping will be used to determine the element that client would want to send.

ChequeDetails

(Mandatory / Choice)

Outgoing: This tag will be passed for transactions with payment mode as 'Cheque'. FCIS will support PayeeIdentification (BIC / ProprietaryIdentiification) to identify the unit holder receiving the payment proceeds. SWIFT UDF mapping will be provided.

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AccountDetails

(Mandatory / Choice)

AccountIdentification → Proprietary → Identification (Mandatory)

Incoming : This will be the bank account number of the unit holder. This number will be used in conjunction with the element Type → Structured i.e., the bank account type, to get the bank details of unit holder.

Outgoing : If the bank details selected for the transaction is a CPF accounts (CPFOA, CPFSA, ASPFOA, ASPFSA or SRS), the system will provide the structured account type information under this element.

Type → Structured

Mandatory

The following are the SWIFT supported codes for structured types along with the FCIS mapping:

Structured codes	FCIS Map
CASH	No mapping
CPFO	CPFOA
CPFS	CPFSA
OTHR	ASPFOA / ASPFSA
SRSA	SRS

3.21 Redemption Bulk Order Confirmation

This section contains the following topics:

- Section 3.21.1, "Redemption Bulk Order Confirmation Message"
- Section 3.21.2, "Tags in Message"

3.21.1 Redemption Bulk Order Confirmation Message

This message is sent by an executing party to a intermediary party or to another intermediary party. The Redemption Bulk Order Confirmation message is sent, after the price has been determined, to confirm the execution of all individual orders. There is usually one bulk confirmation message for one bulk order message.

For all incoming messages, FCIS will be able to set the status of transactions based on the individual 'Order Reference' number. For outgoing messages, the system will be able to generate the confirmation message only after allocation.

FCIS will allow the generation of this message in an automated way (based on certain event that is triggered in the system), or manually.

3.21.2 Tags in Message

3.21.2.1 MessageIdentification

Mandatory

Incoming: This number is used for storage and reference.

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Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

3.21.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.21.2.3 RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Incoming: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

The confirmation messages will be generated against each MessageIdentification/ message.

Outgoing : FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message.

3.21.2.4 BulkExecutionDetails

Mandatory

This is general information related to the execution of investment orders.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify a fund.

Identification

Mandatory

Outgoing - FCIS sends out the fund ISIN.

IndividualExecutionDetails

(Mandatory / Repetitive)

This is the individual execution of a subscription order.

OrderReference

Mandatory

Incoming - As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.

Outgoing - This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS.

DealReference

Mandatory

This is a unique number assigned by the confirming party.

Incoming - This number is used for storage.

Outgoing – This would map to the Transaction Number generated by the system corresponding to the Order Reference number.

InvestmentAccountDetails

Mandatory
AccountIdentification → Proprietary → Identification

Outgoing: The system uses the relevant UDF mapping for this tag.

BeneficiaryDetails

Optional
UnitsNumber

Mandatory
Unit

Mandatory

Outgoing – The allocated units for the transaction.

NetAmount

Mandatory

This is the net amount invested in a specific financial instrument by an investor, expressed in the currency requested by the investor.

Outgoing: This would be settlement amount of redemption transaction available in transaction currency.

GrossAmount

Optional

Outgoing: This will be the settlement amount in the transaction currency available in the transaction data store.

TransactionDateTime

Mandatory

This is a choice between Date and DateTime.

Outgoing: Depending on the UDF mapping, the Transaction Date / Transaction Time will be passed.

DealingPriceDetails

Mandatory

This is the price at which order was executed.

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ExtendedType

Mandatory

Outgoing: FCIS will support the code 'OTHR' only.

Value → Amount

Mandatory

Outgoing: This will be the allocation price for the transaction.

PartiallyExecutedIndicator

Mandatory

This indicates whether the order has been partially executed.

Outgoing: This will be defaulted to 'NO'.

CumDividendIndicator

Mandatory

This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.

Outgoing: This will be defaulted to 'NO'.

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

3.22 Redemption Bulk Order Cancellation Instruction

This section contains the following topics:

- Section 3.22.1, "Redemption Bulk Order Cancellation Instruction Message"
- Section 3.22.2, "Tags in Message"

3.22.1 Redemption Bulk Order Cancellation Instruction Message

This message is sent by an intermediary party to an executing party or to another intermediary party. The Redemption Bulk Order Cancellation Instruction message is used to cancel the entire previously sent order message and all of the individual orders that it contained. There is no amendment, but a cancellation and re-instruct policy.

A cancellation instruction must always be of the same family of message, i.e., switch, redemption or subscription and bulk or multiple, as the original order to be cancelled.

For all incoming bulk order cancellations, FCIS will be able to process the reversals based on Previous Reference and Individual Order Reference. For outgoing cancellation messages, FCIS will communicate the details of original transaction and not the newly reversed transaction, provided the original transaction has been handed off to SWIFT. If a transaction is reversed before neither of the transactions will be included in the SWIFT message.

For outgoing messages, FCIS will always provide the reference of the original message and group cancellations, if multiple transactions of the same batch have been reversed. FCIS will allow the generation of this message in an automated way (based on certain event that is triggered in the system) or manually.

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3.22.2 Tags in Message

3.22.2.1 MessageIdentification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.22.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.22.2.3 Previous Reference

Optional

This is the reference to a linked message previously sent.

Reference

Mandatory

Incoming: If FCIS is receives this message, this reference number should be the Message Identification of the original message sent. This will be the link between cancellation message and the bulk order message.

If the tag 'Order To Be Cancelled is not provided in the message, the system will identify the transactions to be reversed based on this link, as FCIS would have logged the bulk orders against the Message Identification.

Outgoing: FCIS will hand off only those reversals for which SWIFT bulk order was sent earlier.

3.22.2.4 Order to be Cancelled

This is common information related to all the orders to be cancelled.

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FinancialInstrumentDetails

Mandatory

This tag provides details to identify a fund.

Identification

Mandatory

Outgoing - FCIS sends out the fund ISIN.

IndividualOrderDetails

(Mandatory / Repetitive)
OrderReference

Mandatory

Incoming: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.

Outgoing : This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction.

InvestmentAccountDetails

Mandatory
AccountIdentification → Proprietary → Identification

Outgoing - The system uses the relevant UDF mapping for this tag.

BeneficiaryDetails

Optional
OtherIdentification → Identification

Mandatory

Outgoing: This would map to the Identification Number of the Unit holder.

OtherIdentification → IdentificationType

Mandatory

Outgoing - FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag AdditionalInformation.

OtherIdentification → ExtendedIdentificationType

Optional

If structured type is OTHR, the description of identification would be provided. For example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description.

Choice for Units / NetAmount/HoldingsRedemptionRate

Mandatory

Outgoing – Irrespective of the 'GrossOrNet' indicator, amount transactions in FCIS, will be reported in the field 'NetAmt'. However, if the transaction is 'Gross', the same will be additionally reported under the tag 'GrossAmount'.

Unit based transactions will be passed under the tag Units.

Percentage based transactions will be passed under the tag HoldingsRedemptionRate.

GrossAmount

Optional

This is the gross amount invested in the fund.

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Outgoing: This will map to transaction gross amount in the fund base currency, if available.

ForeignExchangeDetails

Optional

This is information related to currency exchange or conversion.

Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **UnitCurrency**: This will be the transaction currency
- **QuotedCurrency** : This will be the fund base currency
- **ExchangeRate**: This will be the exchange rate for the transactions

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

CashSettlementDate

Optional

Incoming/Outgoing: Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date.

3.23 Redemption Multiple Order

This section contains the following topics:

- Section 3.23.1, "Redemption Multiple Order Message"
- Section 3.23.2, "Tags in Message"

3.23.1 Redemption Multiple Order Message

This message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party. The Redemption Multiple Order message is used to redeem different financial instruments from the same investment account. It can result in one single bulk cash settlement or several individual cash settlements.

This message can also be used for single orders, i.e., a message containing one order for one financial instrument and related to one investment account. The Redemption Multiple Order message, and not the Redemption Bulk Order message, must be used for a single order.

FCIS would allow generation of this message in an automated way (based on an event) or manually. The grouping of multiple orders is driven by the investment account and not the fund as in a bulk order message.

3.23.2 Tags in Message

3.23.2.1 Master Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

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Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

3.23.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.23.2.3 Multiple Order Details

Mandatory
InvestmentAccountDetails

Mandatory

This is the account impacted by an investment fund order.

Identification → Proprietary → Identification

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerIdentification tag to get the identification type and identification number.

Incoming: The system uses the relevant UDF mapping for this tag.

Outgoing: The system uses the relevant UDF mapping for this tag.

IndividualOrderDetails

(Mandatory / Repetitive)
OrderReference

Mandatory

This is a unique identifier for an order, as assigned by the instructing party.

Incoming: This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.

Outgoing: This will be the Transaction Number generated by FCIS.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify a fund.

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Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.

Incoming: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

Outgoing: FCIS sends out the fund ISIN.

Choice for UnitsNumber / Amount/HoldingsRedemptionRate

Mandatory

Incoming: The system determines the Transaction Mode and Value depending on the element available. If the field 'Amt' is provided, the mode of transaction will be 'Net'. The value here would be in the currency provided as an attribute of the tag. FCIS will give priority to the tag 'GrossAmountIndicator' while processing the message. If the same is available, the transaction will be considered 'Gross'.

Outgoing: Values of the outgoing message will depend on the transaction mode. Net Amount transactions in FCIS, will be reported in the field 'Amt'. The transaction currency will be passed as tag attribute. However, if the transaction is 'Gross', the same will be reported under the optional tag 'GrossAmountIndicator' as well as the tag 'Amt', as this is mandatory.

GrossAmountIndicator

Optional

Incoming: If a value is provided in this field the transaction will be considered as a gross amount transaction. The transaction currency would be defaulted to the currency code provided in the attribute.

Outgoing: If the tag 'GrossOrNet' carries the value 'G', the amount will be passed under this tag. The transaction currency will be passed as a tag attribute.

CommissionDetails

Optional

This indicates the load corresponding to the commission that is being overridden. The Load in the system can be identified using the Load Id or the Recipient information.

Type → Extended

Mandatory

Incoming – This will map to the Load Id.

Choice for Amount/Rate

Mandatory

Incoming - If the 'Amt' is provided and the Load concerned is amount load, then this indicates the overridden value. However, if the field is 'Rate' is provided and the load concerned is percent load then this indicates the overridden value.

RecipientIdentification

Optional

If a value is provided in this field, FCIS supports identification based on the following tags:

- BICOrBEI
- ProprietaryIdentification

If BIC code, the system will find whether the entity is an agent, AMC, broker or distributor. System will select a load with the corresponding 'To Entity Type'.

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Waiving Details

Optional

This tag represents the override percentage that the system will apply. Waive details have higher precedence over 'Rate' hence 'Rate' will be ignored if 'Waiving details' are provided.

InstructionBasis

Mandatory

This tag can have the value WICA. However the system will not use this value for any processing and hence will be ignored.

WaivedRate

Optional

This field provides the discount percentage. This is applicable only for percentage based loads. The override is by discount.

ForeignExchangeRate

Optional

This is information related to currency exchange or conversion.

Incoming: If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.

Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **UnitCurrency**: This will be the transaction currency
- **QuotedCurrency**: This will be the fund base currency
- **ExchangeRate**: This will be the exchange rate for the transactions

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

PaymentInstrumentChoice

Optional

The payment instruments can be cheque, credit transfer, direct debit, and investment account or payment card.

FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.

If payment instrument details are not provided, FCIS would use default bulk transaction setup for "SWIFT".

CashSettlementDate

Optional

Incoming/Outgoing – Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date.

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RelatedPartyDetails

Optional

This is information related to an intermediary.

Identification

Mandatory

FCIS supports identification based on the following tags:

- BICOrBEI
- ProprietaryIdentification

If BIC is provided, the system will get either the Broker BIC or the Entity BIC based on the client country parameter 'TXNBROKERS'. If ProprietaryIdentification is provided, the value provided in this field should be a valid Entity Id or Broker Id in the system based on the client country parameter 'TXNBROKERS'.

ExtendedRole

Optional

In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA' or 'AO'. If ExtendedRole is not one of the mentioned ones, system will throw error.

3.24 Redemption Multiple Order Confirmation

This section contains the following topics:

3.24.1 Redemption Multiple Order Confirmation Message

This message is sent by an executing party to an instructing party. There may be one or more intermediary parties between the executing party and the instructing party. The Redemption Multiple Order Confirmation message is sent, after the price has been determined, to confirm the execution of all individual orders.

Redemption Multiple Order can be generated by more than one Redemption Multiple Order Confirmation, as the valuation cycle of the financial instruments of each individual order may be different.

When the executing party sends several confirmations, there is no specific indication in the message that it is an incomplete confirmation. Reconciliation must be based on the references.

A Redemption Multiple Order response should be the Redemption Multiple Order Confirmation message(s) and in no circumstances by the Redemption Bulk Order Confirmation message(s).

For all incoming messages, FCIS will be able to set the status of transactions based on the individual 'Order Reference' number. For outgoing messages, the system will be able to generate the confirmation message only after allocation. Transactions will be grouped based on the original Multiple Order Message.

FCIS will allow generation of this message in an automated way (based on certain event that is triggered in the system) or manually.

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3.24.2 Tags in Message

3.24.2.1 MessageIdentification

Optional

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

Creation Date Time

Optional

This is applicable for incoming and outgoing message. This is the message generation date time.

3.24.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.24.2.3 RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Incoming: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

The confirmation messages will be generated against each Masterreference/ message.

Outgoing: FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message.

3.24.2.4 MultipleExecutionDetails

Mandatory
OrderDateTime

Optional

Outgoing – This will be mapped to the transaction save time.

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InvestmentAccountDetails

Mandatory
AccountIdentification → Proprietary → Identification

Outgoing - The system uses the relevant UDF mapping for this tag.

IndividualExecutionDetails

(Mandatory / Repetitive)

This is the individual execution of a subscription order.

OrderReference

Mandatory

Incoming - As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.

Outgoing - This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS.

DealReference

Mandatory

This is a unique number assigned by the confirming party.

Incoming: This number is used for storage.

Outgoing: This would map to the Transaction Number generated by the system corresponding to the Order Reference number.

SettlementAmount

Optional

Oracle FLEXCUBE would pass settlement amount of the transaction in this tag.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify a fund.

Identification

Mandatory

Outgoing - FCIS sends out the fund ISIN.

UnitsNumber

Mandatory
UnitsNumber

Mandatory

Outgoing: The allocated units for the transaction.

Amount

Mandatory

This is the net amount invested in a specific financial instrument by an investor, expressed in the currency requested by the investor.

Outgoing: This is be settlement amount of the redemption transaction available in the transaction currency.

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GrossAmountIndicator

Optional

Outgoing: This will be 'true' is the amount is 'Net' else 'false'.

TransactionDateTime

Mandatory

This tag provides the transaction date

Outgoing: Depending on the UDF mapping, the Transaction Date will be passed.

Value → Amount

Mandatory

Outgoing: This will be the allocation price for the transaction.

PartiallyExecutedIndicator

Mandatory

This indicates whether the order has been partially executed.

Outgoing: This will be defaulted to 'NO'.

CumDividendIndicator

Mandatory

This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.

Outgoing: This will be defaulted to 'NO'.

ForeignExchangeDetails

Optional

This is information related to currency exchange or conversion.

Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **UnitCurrency**: This will be the transaction currency
- **QuotedCurrency**: This will be the fund base currency
- **ExchangeRate**: This will be the exchange rate for the transactions

CommissionGeneralDetails

Optional

This indicates the load corresponding to the 'From Entity Type' 'U' and 'To Entity Type' 'F'.

TotalAmountofCommissions

Optional

Outgoing – FCIS sends out the value of the load where the 'From Entity Type' is 'U'and 'To Entity Type' is 'F'.

CommissionDetails
Amount

Mandatory

Outgoing – This tag corresponds to the individual Loads under the main U-F load namely, F-M and F-A loads.

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Rate

Optional

This tag corresponds to the rates of individual Loads under the main U-F load namely, F-M and F-A loads.

ChargeGeneralDetails

Optional

This tag corresponds to the sum of all the loads other than the load mentioned in the 'CommissionGeneralDetails' tag.

TotalAmountofCharges

Optional

Outgoing: FCIS sends out the sum f all the loads other than the load mentioned in the 'CommissionGeneralDetails' tag.

ChargeDetails

Type → Unstructured or RecipientIdentification → BICOrBEI

Mandatory

Outgoing: This would map to the Identification Number of the Load. If BIC is provided, this would map to the corresponding entity's BIC.

Amount

Mandatory

Outgoing: The load amount in terms of the fund base currency.

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

RelatedPartyDetails

Optional

This is information related to an intermediary.

Identification → Proprietary → Identification

Mandatory

Outgoing: Identification of the agent, agency branch, AO or IFA as maintained in FCIS.

ExtendedRole

Optional

In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA' 'BROKER' or 'AO'. If none of these values are specified, then system will look for the specified entity. An error will be thrown if more than one entity type has the same name.

3.25   <u>Redemption Multiple Order Cancellation Instruction</u>

This section contains the following topics:

- Section 3.25.1, "Redemption Multiple Order Cancellation Instruction Message"
- Section 3.25.2, "Tags in Message"

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3.25.1 Redemption Multiple Order Cancellation Instruction Message

This message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party.

The Redemption Multiple Order Cancellation Instruction message is used to cancel the entire previously sent order message and all of the individual orders that it contained. There is no amendment, but a cancellation and re-instruct policy.

A cancellation instruction must always be of the same family of message, i.e., switch, redemption or subscription and bulk or multiple, as the original order to be cancelled.

For all incoming multiple order cancellations, FCIS will be able to process the reversals based on Previous Reference and Individual Order Reference. For outgoing cancellation messages, FCIS will communicate the details of original transaction and not the newly reversed transaction provided the original transaction was handed off to SWIFT. If a transaction has been reversed before, neither of the transactions will be included in the SWIFT message.

For outgoing messages, FCIS will always provide the reference of the original message and group cancellations, if multiple transactions of the same batch have been reversed. FCIS will allow generation of this message in an automated way (based on certain event that is triggered in the system) or manually.

3.25.2 Tags in Message

3.25.2.1 MessageIdentification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

Creation Date Time

Optional

This is applicable for incoming and outgoing message. This is the message generation date time.

3.25.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

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3.25.2.3 Previous Reference

Optional

This is the reference to a linked message previously sent.

Reference

Mandatory

Incoming: If FCIS is receives this message, this reference number should be the Message Identification of the original message sent. This will be the link between cancellation message and the bulk order message.

If the tag 'Order To Be Cancelled is not provided in the message, the system will identify the transactions to be reversed based on this link, as FCIS would have logged the bulk orders against the Message Identification.

Outgoing: FCIS will hand off only those reversals for which SWIFT bulk order was sent earlier.

3.25.2.4 Order to be Cancelled

This is common information related to all the orders to be cancelled.

MultipleOrderDetails

Mandatory

InvestmentAccountDetails

Mandatory

AccountIdentification → Proprietary → Identification

Outgoing: The system uses the relevant UDF mapping for this tag.

BeneficiaryDetails

Optional

OtherIdentification → Identification

Mandatory

Outgoing: This would map to the Identification Number of the Unit holder.

OtherIdentification → IdentificationType

Mandatory

Outgoing: FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag AdditionalInformation.

OtherIdentification → ExtendedIdentificationType

Optional

If structured type is OTHR, the description of identification would be provided. E Example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description.

IndividualOrderDetails

(Mandatory / Repetitive)

OrderReference

Mandatory

Incoming: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.

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Outgoing: This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction.

FinancialInstrumentDetails

Mandatory

Identification

Mandatory

This tag provides details to identify a fund.

Outgoing: FCIS sends out the fund ISIN.

Choice for Units / NetAmount/HoldingsRedemptionRate

Mandatory

Outgoing: Irrespective of the 'GrossOrNet' indicator, amount transactions in FCIS, will be reported in the field 'NetAmt'. However, if the transaction is 'Gross', the same will be additionally reported under the tag 'GrossAmount'.

Unit based transactions will be passed under the tag Units.

Percentage based transactions will be passed under the HoldingsRedemptionRate tag.

GrossAmount

Optional

Outgoing:This will map to transaction gross amount in the fund base currency, if available.

ForeignExchangeDetails

Optional

Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **UnitCurrency**: This will be the transaction currency
- **QuotedCurrency**: This will be the fund base currency
- **ExchangeRate**: This will be the exchange rate for the transactions

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

CashSettlementDate

Optional

Incoming/Outgoing: This will be the Transaction Settlement Date.

3.26 Request for Order Status Report

This section contains the following topics:

- Section 3.26.1, "Request for Order Status Report Message"
- Section 3.26.2, "Tags in Message"

3.26.1 Request for Order Status Report Message

The Request For Order Status Report is sent by an instructing party to the executing party. There may be one or more intermediary parties between the instructing party and the executing party.

The Request For Status Report message is used to request the status of

- One or several order messages
- One or several cancellation messages
- One or several individual orders within a order message

If the Request For Order Status Report message is used to request the status of several messages, then the instructing party will receive several reply messages from the executing party, i.e., several Order Instruction Status Report messages and/or Order Cancellation Status Report messages. The number of reply messages will match the number of references stated in the Request For Order Status Report message.

The Request For Status Report message may not be used to request the status of an investment account, a transfer or the status of a financial instrument.

FCIS allows a manual trigger for the Request For Order Status Report. The user has the flexibility to select the references to the previously sent messages of various types, i.e., subscription, redemption, switch and cancellations and individual transactions within the same, if required.

FCIS will generate the Request For Order Status Report message for every reference number selected by the user.

A request for the status for the following is possible:

- Subscription Bulk Order / Multiple Order / Cancellation instructions
- Redemption Bulk Order/ Multiple Order/ Cancellation instructions
- Switch Order / Cancellation instructions

If FCIS is the receiving party of this message, the 'Order Instruction Status Report' or 'Order Cancellation Status Report', or both, will be generated, depending upon the individual 'Previous Reference → Reference'.

3.26.2 Tags in Message

3.26.2.1 RequestDetails

Mandatory/Repetitive
This is to identify the order(s) for which the status is requested.

Choice (OtherReference/PreviousReference)
Mandatory
Incoming/Outgoing - FCIS will support the tag 'PreviousReference' for incoming and outgoing messages.

PreviousReference → Reference
Mandatory
Incoming: If the tag 'IndividualOrderReference' is not provided, the system will use this reference to identify the transactions for which status message is requested. This will be the MessageIdentification number of the original bulk / multiple / cancellation order request.

Outgoing: This will be the individual MessageIdentification number selected by the user from the online option.

IndividualOrderReference

Optional/Repetitive

Incoming: If the individual order references are provided, the system will generate the reply message corresponding to the transaction number for this order reference.

Outgoing: This will be the OrderReference numbers corresponding to the transactions selected by the user for status request.

3.27 Order Instruction Status Report

This section contains the following topics:

3.27.1 Order Instruction Status Report Message

The Order Instruction Status Report is sent by an executing party to an instructing party. There may be one or more intermediary parties between the executing party and the instructing party.

The Order Instruction Status Report message is sent by an executing party to the instructing party to report on the status of a subscription, redemption or a switch order. The message can be used to report one of the following:

- Status of the order instruction (using a code). For example, 'Accepted', 'Already Executed'
- Cancelled status
- Conditionally accepted status
- Rejected status
- Suspended status
- In repair status (individual orders only)
- Repaired conditions (individual orders only)

Further information about the repair, unmatched, rejected or pending settlement statuses must be specified using either codes or unstructured information.

For subscription and redemption orders, this message covers both bulk and multiple categories of orders, and this message may provide the status either at the bulk or at the individual level. For a switch order, however, the message provides the status of the whole order. It is not possible to accept one leg and to reject the other leg. The entire switch order has to be rejected. In order to identify which leg within the switch is causing a problem, the switch order leg identification is used.

FCIS will receive the 'Order Instruction Status Report' in response to 'Request For Order Status' message generated. This information will be used to set the status of individual orders. FCIS will generate the 'Order Instruction Status Report' in response to the 'Request For Order Status' message received, provided the Message Identification number communicated to FCIS in the tag Previous Reference relates to bulk / multiple or switch order, as cancellation is reported through a different message.

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For Switch order responses, FCIS will reply with the status under the Order Details Report section as it is not possible to accept one leg of the switch and reject another leg. For other orders, FCIS will reply with the status under Individual Order Details Report section. However, if the original message has been suppressed or has not been processed, FCIS will report the failure under the section Order Details Report → Suspended.

3.27.2 Message Structure

The following is the structure of the message:
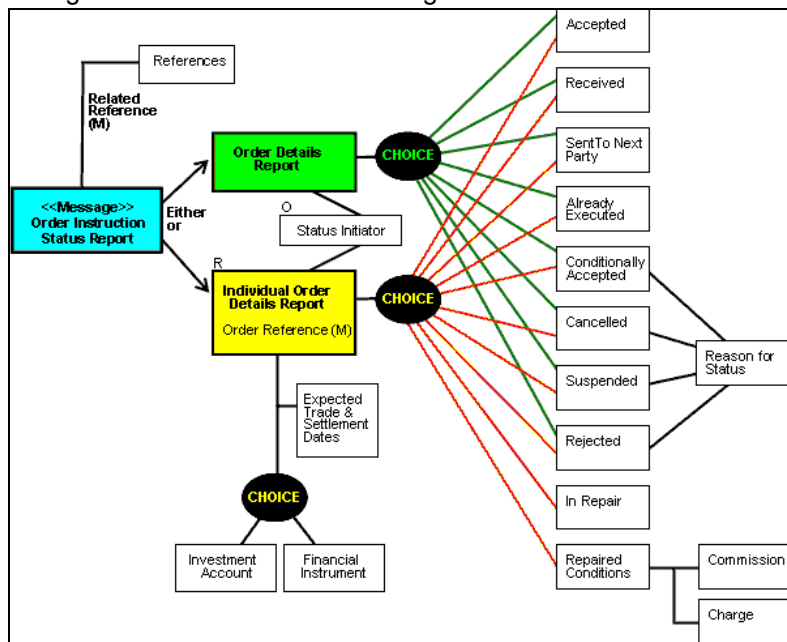
3.27.3 Tags in Message

3.27.3.1 Choice (OtherReference/PreviousReference)

Mandatory
Reference

Mandatory

Incoming: FCIS will support the tag 'PreviousReference → Reference' communicated in the message 'Request For Order Status'. This number will be used to set the status of underlying transactions if the individual order details are not reported.

Outgoing : FCIS will support the tag 'PreviousReference → Reference' communicated in the message 'Request For Order Status'. This will be the 'MessageIdentification' number of the original order.

3.27.3.2 MessageIdentification

Optional
Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

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Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.27.3.3 Choice (OrderDetailsReport - Mandatory / IndividualOrderDetailsReport - Mandatory / Repetitive)

If the OrderDetailsReport section is provided in the message, FCIS will use the status reported in this section in conjunction with the RelatedReference to set the status of underlying transactions. On the other hand, if the section IndividualOrderDetailsReport is provided, FCIS will use the OrderReference to track the order status.

Incoming: Only status tracking will happen. FCIS will not track the reason for rejection, if any.

Outgoing: FCIS supports the reporting of the following statuses under IndividualOrderDetailsReport:

- **Status**: COSE (Transaction is allocated in the system)
- **Status**: PACK (Transaction is generated in the system but not allocated)
- **Cancelled**: DataSourceScheme (Transaction allocation failed and failure reason)
- **Rejected**: DataSourceScheme (Transaction generation failed and failure reason)
- **Suspended**: NoReason (NORE)

OrderReference

Mandatory

Incoming: FCIS will track the status for the transaction number generated corresponding to this order reference.

Outgoing: This is the Order Reference number corresponding to the transaction number for which status is getting reported.

3.28 Order Cancellation Status Report

This section contains the following topics:

- Section 3.28.1, "Order Cancellation Status Report Message"
- Section 3.28.2, "Message Structure"
- Section 3.28.3, "Tags in Message"

3.28.1 Order Cancellation Status Report Message

The Order Cancellation Status Report is sent by an executing party to the instructing party. There may be one or more intermediary parties between the executing party and the instructing party.

The Order Cancellation Status Report message is used to report the status of an order cancellation instruction message that was previously sent by the instructing party. The message can be used to report that the cancellation has either been acted upon or has been rejected.

Incoming: FCIS will receive the 'Order Cancellation Status Report' in response to the 'Request For Order Status' if the Previous Reference tag has reference to the order cancellation message. This information would be used to set the status of individual orders.

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Outgoing: FCIS will generate the 'Order Cancellation Status Report' in response to the 'Request For Order Status' message received, provided the Message Identification number communicated to FCIS in the Previous Reference tag relates to bulk / multiple or switch order cancellation.

> **Note**
>
> FCIS will generate one cancellation status message for every transaction that has been cancelled as a result of the cancellation instruction.

3.28.2 Message Structure

The following is the structure of the message:

Diagram to illustrate the current message structure
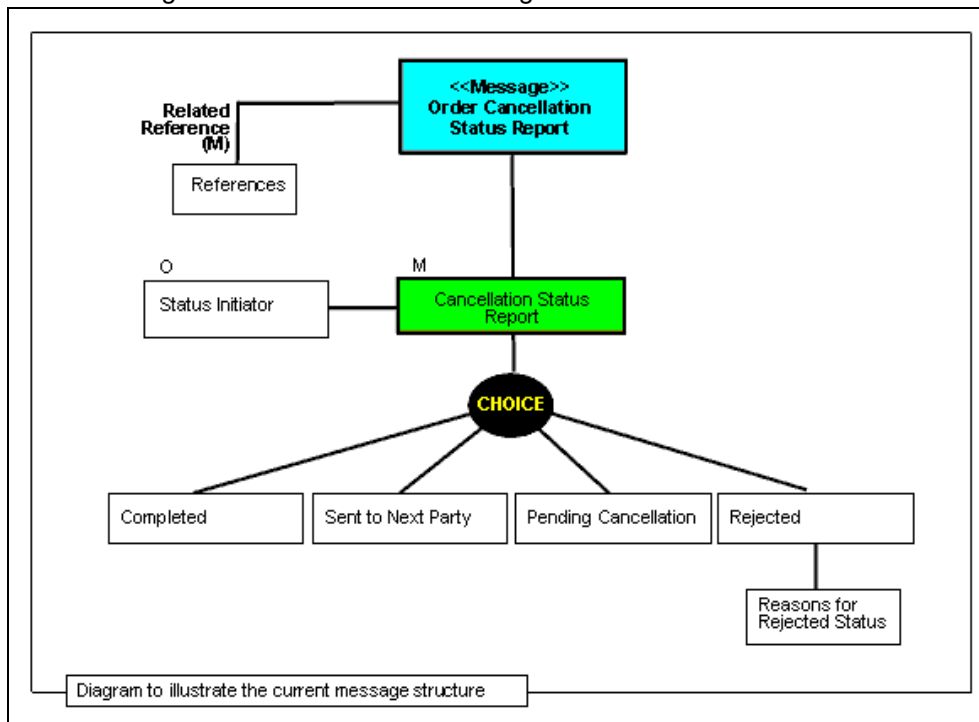
3.28.3 Tags in Message

3.28.3.1 Choice (Other Reference/Related Reference)

FCIS supports both, repetitive tags to pass the related reference, and the order reference.

Reference - Iteration 1

Mandatory

Incoming - FCIS will support the tag 'Previous Reference → Reference' communicated in the message 'Request For Order Status'. This number will be used to set the status of underlying transactions if the individual order details are not reported.

Outgoing - FCIS will support the tag 'Previous Reference → Reference' communicated in the message 'Request For Order Status'. This will be the 'Message Identification' number of the original cancellation order.

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Reference - Iteration 2

Mandatory

Incoming – The status of individual order references is communicated to FCIS in the second iteration. The status will be tracked for the transaction generated by the system corresponding to this reference number.

Outgoing – This is the Order Reference number corresponding to the transaction number, for which the status is getting reported.

3.28.3.2 Cancellation Status Report (Status / Rejected)

Mandatory

Incoming: Only status tracking will happen. FCIS will not track reasons for rejections, if any.

Outgoing: Following are the cases possible for reversal a transaction:

- **Transaction is reversed and allocated**: Will be reported under Status with code 'CAND'
- **Transaction is reversed and not allocated**: Will be reported under Status with code 'CANP'
- **Transaction reversal failed**: The FCIS error code will be reported under Rejected → Data Source Scheme → Identification

3.29 Switch Order

This section contains the following topics:

- Section 3.29.1, "Switch Order Message"
- Section 3.29.2, "Tags in Message"

3.29.1 Switch Order Message

The Switch Order message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party.

The Switch Order message is used when the instructing party, i.e., an investor, wants to change its investments within the same fund family according to the terms of the prospectus.

FCIS supports one to one switch transactions for incoming requests. The 'To Fund' information will be taken from Subscription Leg Details.

For outgoing messages, switch transactions will be communicated in separate legs for redemption and subscription. FCIS will allow the generation of this message in an automated way (based on a certain event that is triggered in the system) or manually.

If the AMC of the 'From Fund' and 'To Fund' are different; system will generate a pseudo switch transaction. In other cases system will generate a normal switch transaction.

3.29.2 Tags in Message

3.29.2.1 MessageIdentification

Optional

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.29.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.29.2.3 Switch Order Details

Mandatory

This is information related to the switch order.

OrderReference

Mandatory

This is a unique identifier for an order, as assigned by the instructing party.

Incoming: This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.

Outgoing: This will be the Transaction Number generated by FCIS.

InvestmentAccountDetails

Mandatory
Identification → Proprietary → Identification

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

Incoming: The system uses the relevant UDF mapping for this tag.

Outgoing:The system uses the relevant UDF mapping for this tag.

Redemption Leg Details

Mandatory

FinancialInstrumentDetails

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Mandatory

This tag provides details to identify the 'Switch From' fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.

Incoming: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

Outgoing: FCIS sends out the fund ISIN.

FinancialInstrumentQuantityChoice

Mandatory

This is to identify the quantity represented in amount / units to switch from a fund.

FCIS would support the following elements:

- Units Number → Unit
- NetAmount
- HoldingsRedemptionRate

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing - This indicator will depend on whether or not fund is scrip based.

Subscription Leg Details

Mandatory
FinancialInstrumentDetails

Mandatory

This tag provides details to identify the 'Switch To' fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.

Incoming: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

Outgoing: FCIS sends out the fund ISIN.

FinancialInstrumentQuantityChoice

Mandatory

This is to identify the quantity represented in amount / units to switch into a fund.

Outgoing: FCIS will pass the value '0' under the relevant redemption leg tag.

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CommissionDetails
Choice for Amount/Rate

Mandatory

Incoming - If the 'Amt' is provided and the Load concerned is amount load, then this indicates the overridden value. However, if the field is 'Rate' is provided and the load concerned is percent load then this indicates the overridden value.

Waiving Details

Optional

This tag represents the override percentage that the system will apply. The value provided in this field will be ignored if 'Amount' or 'Rate' tags are provided since the values provided for those tags represent the final value.

InstructionBasis

Mandatory

This tag can have the value WICA. However the system will not use this value for any processing and hence will be ignored.

WaivedRate

Optional

This field provides the discount percentage. This is applicable only for percentage based loads. The override is by discount.

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing - This indicator will depend on whether or not fund is scrip based.

ForeignExchangeDetails

Optional

This is information related to currency exchange or conversion.

Incoming: If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.

Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.

The following sub tags are mandatory:

- **UnitCurrency** : This will be the transaction currency
- **QuotedCurrency**: This will be the fund base currency
- **ExchangeRate** : This will be the exchange rate for the transactions

RelatedPartyDetails

Optional

This is information related to an intermediary.

Identification

Mandatory

FCIS supports identification based on the following tags:

- BICOrBEI

- ProprietaryIdentification

If BIC is provided, the system will get either the Broker BIC or the Entity BIC based on the client country parameter 'TXNBROKERS'. If ProprietaryIdentification is provided, the value provided in this field should be a valid Entity Id or Broker Id in the system based on the client country parameter 'TXNBROKERS'.

ExtendedRole

Optional

In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA' 'BROKER' or 'AO'. If none of these values are specified, then system will look for the specified entity. An error will be thrown if more than one entity type has the same name.

3.30 Switch Order Confirmation

This section contains the following topics:

3.30.1 Switch Order Confirmation Message

The Switch Order Confirmation message is sent by an executing party to an instructing party. There may be one or more intermediary parties between the executing party and the instructing party. The Switch Order Confirmation message is sent only once to confirm that all the legs of the switch have been executed.

For all incoming messages, FCIS will be able to set the status of transactions based on the individual 'Order Reference' number. For an outgoing message, the system will be able to generate the confirmation message only after allocation.

FCIS will allow generation of this message in an automated way (based on a certain event that is triggered in the system) or manually.

If the AMC of the 'From Fund' and 'To Fund' are different; system will generate a pseudo switch transaction. In other cases system will generate a normal switch transaction.

3.30.2 Tags in Message

3.30.2.1 MessageIdentification

Optional

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

Creation Date Time

Applicable for incoming and outgoing message. This is the message generation date time.

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3.30.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming - This number is used for storage.

Outgoing - If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.30.2.3 RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Incoming: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

Outgoing: FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message.

3.30.2.4 SwitchExecutionDetails

Mandatory

This is general information related to the execution of a switch transaction.

DealReference

Mandatory

This is a unique number assigned by the confirming party.

Incoming: This number is used for storage.

Outgoing: This would map to the Transaction Number generated by the system corresponding to the Order Reference number.

OrderReference

Mandatory

Incoming: As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.

Outgoing: This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS.

InvestmentAccountDetails

Mandatory
Identification → Proprietary → Identification

Outgoing: The system uses the relevant UDF mapping for this tag.

ResultingCashOut

The value will be 0 since the system does not support difference in sub amount and red amount in switch.

Redemption Leg Details

Mandatory
FinancialInstrumentDetails

Mandatory

This tag provides details to identify the 'Switch From' fund.

Identification

Mandatory

Outgoing - FCIS sends out the 'Switch From' fund ISIN.

UnitsNumber → Unit

Mandatory

Outgoing – The allocated units for the switch out leg of the transaction.

Amount

Mandatory

This is the net amount of the switch out transaction in the currency requested by the investor.

Outgoing : The system will compute the net amount in transaction currency for transaction getting confirmed.

TradeDateTime

Mandatory

This is a choice between Date and DateTime.

Outgoing: Depending on the UDF mapping, the Transaction Date / Transaction Time will be passed.

PriceDetails

Mandatory

This is the price at which order was executed.

Value → Amount

Mandatory

Outgoing – This will be the allocation price of the 'Switch From' fund.

CumDividendIndicator

Mandatory

This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.

Outgoing: This will be defaulted to 'NO'.

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing : This indicator will depend on whether or not fund is scrip based.

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Subscription Leg Details

Mandatory
FinancialInstrumentDetails

Mandatory

This tag provides details to identify the 'Switch To' fund.

Identification

Mandatory

Outgoing - FCIS sends out the fund ISIN for the 'Switch To' fund.

UnitsNumber → Unit

Mandatory

Outgoing – The allocated units for the switch out leg of the transaction.

Amount

Mandatory

This is the net amount of the switch out transaction in the currency requested by the investor.

Outgoing: The system will compute the net amount in transaction currency for transaction getting confirmed.

TradeDateTime

Mandatory

This is a choice between Date and DateTime.

Outgoing: Depending on the UDF mapping, the Transaction Date / Transaction Time will be passed.

DealingPriceDetails

Mandatory

This is the price at which order was executed.

PriceDetails → ExtendedType

Mandatory

Outgoing – FCIS will support the code 'OTHR' only.

Value → Amount

Mandatory

Outgoing – This will be the allocation price of the 'Switch From' fund.

CumDividendIndicator

Mandatory

This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.

Outgoing: This will be defaulted to 'NO'.

CommissionDetails
Choice for Amount/Rate

Mandatory

Incoming - If the 'Amt' is provided and the Load concerned is amount load, then this indicates the overridden value. However, if the field is 'Rate' is provided and the load concerned is percent load then this indicates the overridden value.

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Waiving Details

Optional

This tag represents the override percentage that the system will apply. The value provided in this field will be ignored if 'Amount' or 'Rate' tags are provided since the values provided for those tags represent the final value.

InstructionBasis

Mandatory

This tag can have the value WICA. However the system will not use this value for any processing and hence will be ignored.

WaivedRate

Optional

This field provides the discount percentage. This is applicable only for percentage based loads. The override is by discount.

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing - This indicator will depend on whether or not fund is scrip based.

RelatedPartyDetails

Optional

This is information related to an intermediary.

Identification

Mandatory

FCIS supports identification based on the following tags:

● BICOrBEI
● ProprietaryIdentification

If BIC is provided, the system will get either the Broker BIC or the Entity BIC based on the client country parameter 'TXNBROKERS'. If ProprietaryIdentification is provided, the value provided in this field should be a valid Entity Id or Broker Id in the system based on the client country parameter 'TXNBROKERS'.

ExtendedRole

Optional

In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA' 'BROKER'or 'AO'. If none of these values are specified, then system will look for the specified entity. An error will be thrown if more than one entity type has the same name.

3.31 Switch Order Cancellation Instruction

This section contains the following topics:

3.31.1 Switch Order Cancellation Instruction Message

The Switch Order Cancellation Instruction message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party.

The Switch Order Cancellation Instruction message is used to cancel the entire previously sent order message and all the individual legs that it contained. There is no amendment, but a cancellation and re-instruct policy.

For incoming Switch order cancellations, FCIS will process the reversals based on the tags Previous Reference or Cancellation ByOrder Details → Switch Order Details → Order Reference.

For outgoing cancellation messages, FCIS will communicate the details of original transaction and not the newly reversed transaction provided the original transaction was handed off to SWIFT. If a transaction has been reversed before, neither of the transactions will be included in the SWIFT message.

FCIS will allow generation of this message in an automated way (based on a certain event that is triggered in the system) or manually.

3.31.2 Tags in Message

3.31.2.1 MessageIdentification

Optional

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages.

Reference

Mandatory

Incoming: This number is used for storage and reference.

Outgoing: This will be generated by the system and will be unique for group of transactions in a fund.

Creation Date Time

Optional

Applicable for incoming and utgoing message. This is the message generation date time.

3.31.2.2 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming: This number is used for storage.

Outgoing: If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.31.2.3 PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Incoming - This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

FCIS will always communicate cancellations through CancellationByOrderDetails → SwitchOrderDetails → OrderReference.

3.31.2.4 Order to be Cancelled

This is common information related to all the orders to be cancelled.

SwitchOrderDetails

Mandatory

OrderReference

Mandatory

Incoming: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.

Outgoing: This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction.

InvestmentAccountDetails

Mandatory
AccountIdentification → Proprietary → Identification

Outgoing - The system uses the relevant UDF mapping for this tag.

Redemption Leg Details

Mandatory
FinancialInstrumentDetails

Mandatory

This tag provides details to identify the fund.

Identification

Mandatory

Outgoing: FCIS sends out the 'Switch From' fund ISIN.

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

Subscription Leg Details

Mandatory

FinancialInstrumentDetails

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Mandatory

This tag provides details to identify the 'Switch To' fund.

Identification

Mandatory

Outgoing: FCIS sends out the fund ISIN for the 'Switch To' fund.

PhysicalDeliveryIndicator

Mandatory

This tag indicates whether or not the financial instrument is to be physically delivered.

Outgoing: This indicator will depend on whether or not fund is scrip based.

3.32 Transfer Out Instruction

This section contains the following topics:

3.32.1 Transfer Out Instruction Message

An instructing party, for instance, an investment manager or its authorised representative, sends the TransferOutInstruction message to the executing party, say, a transfer agent, to instruct the delivery of a financial instrument, free of payment, on a given date from a specified party. This message may also be used to instruct the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

3.32.2 Tags in Message

3.32.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.32.2.2 MasterReference

Mandatory

It is the unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

3.32.2.3 Transfer Details

Mandatory

This is general information related to the transfer of a financial instrument.

Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

ORACLE

ClientReference

Optional

Reference → ReferenceIssuer → MessageName

Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

Reference

Mandatory

It is the reference issued by a party to identify an instruction, transaction or a message.

ReferenceIssuer

Optional

It is the issuer of the reference.

MessageName

Optional

It is the name of the message.

CounterpartyReference

Optional

Reference → ReferenceIssuer → MessageName

It is the unambiguous identification of the transfer allocated by the counterparty.

Reference

Mandatory

It is the reference issued by a party to identify an instruction, transaction or a message.

ReferenceIssuer

Optional

ReferenceIssuer → Party

It is the issuer of the reference.

Party

Mandatory

Party → AnyBIC

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

MessageName

Optional

It is the name of the message.

BusinessFlowType

Mandatory

It identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

ORACLE®

OwnAccountTransferIndicator

Mandatory

It Indicates whether the transfer results in a change of beneficial owner.

3.32.2.4 FinancialInstrumentDetails

This tag provides details to identify a fund.

FinancialInstrumentDetails → Identification → ISIN

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

ISIN

Mandatory

This specifies International Securities Identification Number (ISIN).

Quantity

Mandatory

Quantity → TotalUnitsNumber → TransferRate

Total quantity of securities to be transferred, expressed in a number of units or a percentage rate.

TotalUnitsNumber

Mandatory

This is the total number of investment fund class units that have been issued.Total quantity of securities to be transferred.

TransferRate

Mandatory

This is the quantity of securities to be transferred as a percentage of the holding.

Unit

Mandatory

The allocated units for the transaction.

3.32.2.5 AccountDetails

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number

OwnerIdentification

Optional

It is the party that legally owns the account.

Party

Mandatory

Party → AnyBIC

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

AccountIdentification

Mandatory

AccountIdentification → Proprietary → Identification

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

The system uses the relevant UDF mapping for this tag.

AccountServicer

Optional

Party → AnyBIC

It is the institution that maintains the records where the account is held.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

3.32.2.6 SettlementDetails

Information related to the receiving side of the transfer

Transferee

Optional

Party → AnyBIC

It is the party that receives (transferee) securities from the delivering agent (transferor).

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

TransfereeRegisteredAccount

Optional

It is the account into which the securities are to be received.

Identification

Optional

It is the unique and unambiguous identification for the account between the account owner and the account servicer.

ORACLE®

Servicer

Optional

Party →AnyBIC

It is the institution that maintains the records where the account is held.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

SettlementPartiesDetails

Chain of parties involved in the settlement of a transaction.

ReceiverDetails

Optional

Specify the receiver details. Alternatively, you can select receiver details from the option list. The list displays all valid receiver details code maintained in the systemParty that buys goods or services, or a financial instrument.

AccountIdentification

Mandatory

This tag is used to identify an account.

ReceivingAgentDetails

Optional

Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository.

BICOrBEI

Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

3.33 Transfer Out Confirmation

This section contains the following topics:

3.33.1 Transfer Out Confirmation Message

The TransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the delivery of a financial instrument, free of payment, on a given date, to a specified party.

This message may also be used to confirm the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

ORACLE®

3.33.2 Tags in Message

3.33.2.1 Message Identification

Mandatory

It is the reference that uniquely identifies the message from a business application standpoint.

Identification

Mandatory

It is the identification of the message.

CreationDateTime

Mandatory

It is the date of creation of the message.

MasterReference

It is the unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

3.33.2.2 TransferDetails

Mandatory

It is the general information related to the transfer of the financial instrument.

TransferConfirmationReference

Mandatory

It is the unique and unambiguous identifier for the transfer execution, as assigned by the confirming party.

TransferReference

Mandatory

It is the unique and unambiguous identifier for the transfer instruction, as assigned by the instructing party.

CounterpartyReference

Optional

It is the unambiguous identification of the transfer allocated by the counterparty.

Reference

Mandatory

It is the reference issued by a party to identify an instruction, transaction or a message.

ReferenceIssuer

Optional

Party → AnyBIC

It is the issuer of the reference.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

ORACLE®

BusinessFlowType

Optional

It identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

EffectiveTransferDate

Mandatory

EffectiveTransferDate → Date → DateTime

It is the date and time at which the transfer was executed.

Date

Mandatory

It is the specified date.

DateTime

Mandatory

It is the specified date and time.

3.33.2.3 FinancialInstrumentDetails

Mandatory

FinancialInstrumentDetails → Identification → ISIN

It is the information related to the financial instrument transferred.

Identification

Mandatory

It is the identification of a security by an ISIN.

ISIN

Mandatory

This specifies International Securities Identification Number (ISIN).

TotalUnitsNumber

Mandatory

It is the number of units transferred.

OwnAccountTransferIndicator

Optional

It indicates whether the transfer results in a change of beneficial owner.

3.33.2.4 AccountDetails

Mandatory

It is the information related to the account from which the financial instrument was withdrawn.

OwnerIdentification

Optional

Party → AnyBIC

It is the party that legally owns the account.

ORACLE®

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

AccountIdentification

Mandatory

It is the unique and unambiguous identification for the account between the account owner and the account servicer.

AccountServicer

Optional

Party →AnyBIC

It is the institution that maintains the records where the account is held.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

3.33.2.5 SettlementDetails

Optional

It is the information related to the receiving side of the transfer.

Transferee

Optional

Party →AnyBIC

It is the party that receives (transferee) securities from the delivering agent (transferor).

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

TransfereeRegisteredAccount

Optional

It is the account into which the securities are to be received.

Identification

Optional

It is the unique and unambiguous identification for the account between the account owner and the account servicer.

ORACLE®

Servicer

Optional

Party ➔AnyBIC

It is the institution that maintains the records where the account is held.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

Note

– Order status will be marked as completed post the generation of Transfer In and Transfer Out confirmation.

– For the generation of transfer OUT and IN confirmation messages without any dependency, the event code BEAUTOOUT can be used.

3.34 Transfer Out Cancellation Request

This section contains the following topics:

- Section 3.34.1, "Transfer Out Cancellation Request Message"
- Section 3.34.2, "Tags in Message"

3.34.1 Transfer Out Cancellation Request Message

The TransferOutCancellationRequest message is used to request cancellation of a previously sent TransferOutInstruction. There are two ways to specify the transfer cancellation request. Either:

- the transfer reference of the original transfer is quoted, or,
- all the details of the original transfer (this includes TransferReference) are quoted but this is not recommended.

3.34.2 Tags in Message

3.34.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

ORACLE®

3.34.2.2 PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

MessageName

Name of the message

3.34.2.3 References

Mandatory

This number is used for storage and reference.

PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

3.34.3 CancellationByReference

Reference of the transfer instruction to be cancelled.

3.34.3.1 TransferReferences

Mandatory

Reference of the transfer to be cancelled

TransferReference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

3.34.3.2 TransferReference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

3.35 Transfer Out Confirmation Request

This section contains the following topics:

ORACLE®

3.35.1 Transfer Out Confirmation Request Message

The TransferOutConfirmation message is used to confirm the withdrawal of a financial instrument from the owner's account and its delivery to another own account, or to a third party, has taken place.

The reference of the transfer confirmation is identified in TransferConfirmationReference. The reference of the original transfer instruction is specified in TransferReference. The message identification of the TransferOutInstruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

3.35.2 Tags in Message

3.35.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.35.2.2 RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Message identification of a message. This reference was assigned by the party issuing the message.

MessageName

Optional

Name of the message

3.35.2.3 TransferDetails

Mandatory

General information related to the transfer of a financial instrument

3.35.2.4 TransferConfirmationReference

Mandatory

Unique and unambiguous identifier for a transfer execution, as assigned by a confirming party.

3.35.2.5 Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

EffectiveTransferDate

Mandatory

Date and time at which the transfer was executed.

FinancialInstrumentDetails

This tag provides details to identify a fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

TotalUnitsNumber

Optional

This is the total number of investment fund class units that have been issued.

3.35.2.6 AccountDetails

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number

AccountIdentification

Mandatory

AccountIdentification → Proprietary → Identification

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

The system uses the relevant UDF mapping for this tag.

3.35.2.7 SettlementDetails

Information related to the receiving side of the transfer

SettlementPartiesDetails

Chain of parties involved in the settlement of a transaction

ReceiverDetails

Optional

Specify the receiver details. Alternatively, you can select receiver details from the option list. The list displays all valid receiver details code maintained in the systemParty that buys goods or services, or a financial instrument.

AccountIdentification

Unique and unambiguous identification for the account between the account owner and the account servicer.

ReceivingAgentDetails

Optional

Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository.

ORACLE®

BICOrBEI

Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

3.36 Reversal Of Transfer Out Confirmation

This section contains the following topics:

- Section 3.36.1, "Reversal Of Transfer Out Confirmation Message"
- Section 3.36.2, "Tags in Message"

3.36.1 Reversal Of Transfer Out Confirmation Message

The ReversalOfTransferOutConfirmation message is used to reverse a previously sent TransferOutConfirmation.

There are two ways to specify the reversal of the transfer out confirmation. Either:

- the business references, for instance, TransferReference, TransferConfirmationIdentification, of the transfer confirmation are quoted, or,
- all the details of the transfer confirmation (this includes TransferReference and TransferConfirmationIdentification) are quoted but this is not recommended.

3.36.2 Tags in Message

3.36.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

References

Mandatory

This number is used for storage and reference.

PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

MessageName

Optional

Name of the message

ORACLE®

3.36.2.2 PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

MessageName

Optional

Name of the message

3.37 Transfer In Instruction

This section contains the following topics:

- Section 3.37.1, "Transfer In Instruction Message"
- Section 3.37.2, "Tags in Message"

3.37.1 Transfer In Instruction Message

This message may also be used to instruct the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

This message may also be used as an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.

3.37.2 Tags in Message

3.37.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

Transfer Details

Mandatory

This is general information related to the transfer of a financial instrument.

Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

3.37.2.2 FinancialInstrumentDetails

This tag provides details to identify a fund.

ORACLE

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

TotalUnitsNumber

Optional

This is the total number of investment fund class units that have been issued.

Unit

Mandatory

The allocated units for the transaction.

3.37.2.3 AccountDetails

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number

3.37.2.4 AccountIdentification

Mandatory

AccountIdentification → Proprietary → Identification

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

The system uses the relevant UDF mapping for this tag.

SettlementDetails

Information related to the receiving side of the transfer

SettlementPartiesDetails

Chain of parties involved in the settlement of a transaction

ReceiverDetails

Optional

Specify the receiver details. Alternatively, you can select receiver details from the option list.

The list displays all valid receiver details code maintained in the system.

ReceivingAgentDetails

Optional

Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository.

BICOrBEI

Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

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3.37.2.5 **Message Identification**

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.37.2.6 **Transfer Details**

Mandatory

This is general information related to the transfer of a financial instrument.

Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

FinancialInstrumentDetails

This tag provides details to identify a fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

3.37.2.7 **Quantity**

This tag provides the total quantity of securities to be transferred

TotalUnitsNumber

Optional

This is the total number of investment fund class units that have been issued.

3.37.2.8 **AccountDetails**

Mandatory

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number

3.37.2.9 **AccountIdentification**

Mandatory

AccountIdentification → Proprietary → Identification

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

The system uses the relevant UDF mapping for this tag.

ORACLE®

3.37.2.10 <u>SettlementDetails</u>

Information related to the receiving side of the transfer

SettlementPartiesDetails

Chain of parties involved in the settlement of a transaction

DelivererDetails

Party that sells goods or services, or a financial instrument.

AccountIdentification

Unique and unambiguous identification for the account between the account owner and the account servicer.

ReceiverDetails

Optional

Specify the receiver details. Alternatively, you can select receiver details from the option list.

The list displays all valid receiver details code maintained in the system.

ReceivingAgentDetails

Optional

Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository.

BICOrBEI

Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

3.38   <u>Transfer In Cancellation Request</u>

This section contains the following topics:

3.38.1   <u>Transfer In Cancellation Request Message</u>

The TransferInCancellationRequest message is used to request cancellation of a previously sent TransferInInstruction.

There are two ways to specify the transfer cancellation request. Either:

- the transfer reference of the original transfer is quoted, or,
- all the details of the original transfer (this includes TransferReference) are quoted but this is not recommended.

3.38.2   <u>Tags in Message</u>

3.38.2.1 <u>Message Identification</u>

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.38.2.2 <u>References</u>

Mandatory

This number is used for storage and reference.

PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

MessageName

Optional

Name of the message

3.38.2.3 <u>CancellationByReference</u>

Reference of the transfer instruction to be cancelled.

TransferReference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

3.38.2.4 <u>PreviousReference</u>

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

MessageName

Optional

Name of the message

3.38.2.5 <u>References</u>

Mandatory

This number is used for storage and reference.

TransferReference

Mandatory

ORACLE®

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

3.39 Transfer In Confirmation

This section contains the following topics:

3.39.1 Transfer In Confirmation Message

This message may also be used to confirm the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

This message may also be used as an advice, that is, the message is used to provide account information.

3.39.2 Tags in Message

3.39.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.39.2.2 RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Message identification of a message. This reference was assigned by the party issuing the message.

MessageName

Optional

Name of the message

3.39.2.3 MasterReference

Optional

It is the unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

3.39.2.4 TransferDetails

Mandatory

General information related to the transfer of a financial instrument

ORACLE®

TransferConfirmationReference

Mandatory

Unique and unambiguous identifier for a transfer execution, as assigned by a confirming party.

Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

ClientReference

Optional

Reference → ReferenceIssuer → MessageName

It is the unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

Reference

Mandatory

It is the reference issued by a party to identify an instruction, transaction or a message.

ReferenceIssuer

Optional

It is the issuer of the reference.

MessageName

Optional

It is the name of the message.

CounterpartyReference

Optional

It is the unambiguous identification of the transfer allocated by the counterparty.

Reference

Mandatory

It is the reference issued by a party to identify an instruction, transaction or a message.

ReferenceIssuer

Optional

Party → AnyBIC

It is the issuer of the reference.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

BusinessFlowType

Optional

It identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

EffectiveTransferDate

Mandatory

Date and time at which the transfer was executed.

FinancialInstrumentDetails

This tag provides details to identify a fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

ISIN

Mandatory

This specifies International Securities Identification Number (ISIN).

TotalUnitsNumber

Optional

This is the total number of investment fund class units that have been issued.

TransferRate

Optional

It is the quantity of securities transferred as a percentage of the holding.

OwnAccountTransferIndicator

Optional

It indicates whether the transfer results in a change of beneficial owner.

3.39.2.5 AccountDetails

Mandatory

This tag is to identify an investor's account. However, in case of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

OwnerIdentification

Optional

Party → AnyBIC

It is the party that legally owns the account.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

AccountIdentification

Mandatory

AccountIdentification → Proprietary → Identification

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

The system uses the relevant UDF mapping for this tag.

AccountServicer

This is Institution that maintains the records where the account is held

Party

Unique identification of the party

AnyBIC

Identification of the party expressed as a BIC

3.39.2.6 <u>SettlementDetails</u>

Information related to the receiving side of the transfer

Transferee

Optional

Party →AnyBIC

It is the party that receives (transferee) securities from the delivering agent (transferor).

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

TransfereeRegisteredAccount

Optional

It is the account into which the securities are to be received.

Identification

Optional

It is the unique and unambiguous identification for the account between the account owner and the account servicer.

Servicer

Optional

Party →AnyBIC

It is the institution that maintains the records where the account is held.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

SettlementPartiesDetails

Chain of parties involved in the settlement of a transaction

DelivererDetails

Party that sells goods or services, or a financial instrument.

AccountIdentification

Unique and unambiguous identification for the account between the account owner and the account servicer.

ReceiverDetails

Optional

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

ReceivingAgentDetails

Optional

Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository.

AccountDetails

Mandatory

This tag is to identify an investor's account. However, in case of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number

AccountIdentification

Mandatory

AccountIdentification → Proprietary → Identification

This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.

The system uses the relevant UDF mapping for this tag.

SettlementDetails

Information related to the receiving side of the transfer

SettlementPartiesDetails

Chain of parties involved in the settlement of a transaction

ReceiverDetails

Optional

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

ReceivingAgentDetails

Optional

ORACLE®

Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository.

BICOrBEI

Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Note

- Order status will be marked as completed post the generation of Transfer In and Transfer Out confirmation.
- For the generation of transfer OUT and IN confirmation messages without any dependency, the event code BEAUTOOUT can be used.

3.40 Reversal Of Transfer In Confirmation

This section contains the following topics:

- Section 3.40.1, "Reversal Of Transfer In Confirmation Message"
- Section 3.40.2, "Tags in Message"

3.40.1 Reversal Of Transfer In Confirmation Message

The ReversalOfTransferInConfirmation message is used to reverse a previously sent TransferInConfirmation.

There are two ways to specify the reversal of the transfer in confirmation. Either:

- the business references, for instance, TransferReference, TransferConfirmationIdentification, of the transfer confirmation are quoted, or,
- all the details of the transfer confirmation (this includes TransferReference and TransferConfirmationIdentification) are quoted but this is not recommended.

3.40.2 Tags in Message

3.40.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.40.2.2 References

Mandatory

This number is used for storage and reference.

PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

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Reference

Mandatory

This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

MessageName

Optional

Name of the message

3.40.2.3 PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.

MessageName

Optional

Name of the message

3.41 Request for Transfer Status Report

This section contains the following topics:

- Section 3.41.1, "Request For Transfer Status Report"
- Section 3.41.2, "Tags in Message"

3.41.1 Request For Transfer Status Report

The Request For Transfer Status Report is used to request either:

- the status of one or several transfer instructions or,
- the status of one or several transfer cancellation instructions.

3.41.2 Tags in Message

3.41.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.41.2.2 RequestDetails

Mandatory

This is to identify the order(s) for which the status is requested

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PreviousReference → Reference

Mandatory

If the tag 'IndividualOrderReference' is not provided, the system will use this reference to identify the transactions for which status message is requested. This will be the MessageIdentification number of the original bulk / multiple / cancellation order request.

MessageName

Optional

Name of the message

Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

References

Mandatory

This is the reference to the message or communication that was previously sent

PreviousReference

Mandatory

If the tag 'IndividualOrderReference' is not provided, the system will use this reference to identify the transactions for which status message is requested. This will be the MessageIdentification number of the original bulk / multiple / cancellation order request.

References

Mandatory

Reference issued by a party to identify an instruction, transaction or a message

MessageName

Optional

Name of the messageStatusReport

Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

3.42 Transfer Cancellation Status Report

This section contains the following topics:

3.42.1 Transfer Cancellation Status Report

The TransferCancellationStatusReport message is used to report on the status of a transfer in or transfer out cancellation request.

The reference of the transfer instruction for which the cancellation status is reported is identified in TransferReference. The message identification of the transfer cancellation request message in which the transfer instruction was conveyed may also be quoted in RelatedReference

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3.42.2　Tags in Message

3.42.2.1　Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

3.42.2.2　Reference

Reference to the message or communication that was previously received

RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Message identification of a message. This reference was assigned by the party issuing the message.

MessageName

Optional

Name of the message

3.42.2.3　RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Message identification of a message. This reference was assigned by the party issuing the message.

MessageName

Optional

Name of the message

3.42.2.4　StatusReport

Mandatory

Status of the transfer cancellation instruction.

Status

Mandatory

Status of the transfer cancellation

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Rejected

Mandatory

Status of the transfer cancellation is rejected

Reason

Mandatory

Reason about a rejected status

Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

Below are the different statuses with which the message will be updated in case of success/ failure:

- **Status**: COSE (Transaction is allocated in the system)
- **Status**: PACK (Transaction is generated in the system but not allocated)
- **Cancelled**: DataSourceScheme (Transaction allocation failed and failure reason)
- **Rejected**: DataSourceScheme (Transaction generation failed and failure reason)
- **Suspended**: NoReason (NORE)

3.43 Transfer Instruction Status Report

This section contains the following topics:

- Section 3.43.1, "Transfer Instruction Status Report"
- Section 3.43.2, "Tags in Message"

3.43.1 Transfer Instruction Status Report

The TransferInstructionStatusReport message is used to report on the status of a transfer in or transfer out instruction. The reference of the transfer instruction for which the status is reported is identified in TransferReference.

The message identification of the transfer instruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

3.43.2 Tags in Message

3.43.2.1 Message Identification

Mandatory

This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference.

Creation Date Time

Optional

Applicable for incoming and outgoing message. This is the message generation date time.

CounterpartyReference

Optional

It is the unambiguous identification of the transfer allocated by the counterparty.

Reference

Mandatory

It is the reference issued by a party to identify an instruction, transaction or a message.

ReferenceIssuer

Optional

Party → AnyBIC

It is the issuer of the reference.

Party

Mandatory

It is the unique identification of the party.

AnyBIC

Mandatory

It is the identification of the party expressed as a BIC.

3.43.2.2 RelatedReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Message identification of a message. This reference was assigned by the party issuing the message.

MessageName

Optional

Name of the message

3.43.2.3 StatusReport

Mandatory

Status of the transfer cancellation instruction.

TransferStatus

Status of the transfer instruction

Status

Status of the transfer is received, accepted, sent to next party, matched, already executed, or settled.

Status

Status code

Rejected

Mandatory

Rejected → Reason → Code

It is the status of the transfer that is rejected.

Reason

Mandatory

It is the reason for the rejected status.

Code

Mandatory

It is the rejected reason expressed as a code.

MasterReference

It is the unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

Transfer Reference

Mandatory

Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.

Below are the different statuses with which the message will be updated in case of success/failure:

- **Status**: COSE (Transaction is allocated in the system)
- **Status**: PACK (Transaction is generated in the system but not allocated)
- **Cancelled**: DataSourceScheme (Transaction allocation failed and failure reason)
- **Rejected**: DataSourceScheme (Transaction generation failed and failure reason)
- **Suspended**: NoReason (NORE)

The Transfer Instruction Status Report message for the reject codes are as follows:

Code	Definition	Remarks
BLCA	Investment account is blocked due to a corporate action.	Corporate actions processed and no more investments allowed.
DOCC	Investment account is blocked until certain legal proceedings are completed. For an example, legal documents from the successor, legal proceedings due to bankruptcy.	Stop account issued for the investor.
DQUA	Financial instrument quantity is invalid.	The transaction mode and the amount/units provided differ from the fund setup.
DSEC	Identification of the security is not recognized or is invalid.	Invalid Fund details provided.
NSLA	Instruction is not compliant with the service level agreement.	Invalid Agent level Intermediaries provided.
SAFE	Investment account identification is not recognized or is invalid.	Invalid Investment account provided.

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INID	Investor data is insufficient. Applicable when the mandated market practice is not followed.	Other FCIS Specific errors.

3.44 Price Report

This section contains the following topics:

- Section 3.44.1, "Price Report Message"
- Section 3.44.2, "Tags in Message"

3.44.1 Price Report Message

The Price Report message is sent by a report provider to a report user.

This message can be used for different purposes:

- To report prices for one or several different financial instruments for one or several different trade dates
- To report statistical information about the valuation of a financial instrument
- To inform another party that the quotation of a financial instrument is suspended
- To report prices that are used for other purposes than the execution of investment funds orders.

If a fund is based on price components, the individual component details will be provided in PriceValuationDetails → PriceDetails (repetitive tag). FCIS will also provide the prices for each transaction type under PriceValuationDetails → PriceDetails (repetitive tag).

This report could be taken out of the system in automated way based on a particular event or manually.

User would have the option to key in the Effective Date for which the Price Report should be generated. If the price is not provided, the latest price would be picked up. FCIS will provide the latest NAV details, if auto generated, for the funds, through this report.

3.44.2 Tags in Message

3.44.2.1 PoolReference

Optional

This is a collective reference to identify set of messages.

Reference

Mandatory

Incoming - This number is used for storage.

Outgoing - If a set of orders is to be broken, system will assign a common reference number to multiple messages.

3.44.2.2 PriceValuationDetails

Mandatory/Repetitive

This is information related to the price valuation of a financial instrument.

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Identification

Mandatory

Outgoing: Unique number generated by FCIS for every instance of Fund Price getting reported.

ValuationDateTime

Optional

This is the date and time of the price valuation for the investment fund / fund class.

Outgoing: This will be the effective date of the fund price and will be passed under the tag ValuationDateTime → Date.

TradeDateTime

Optional

This is the date and time at which price is applied, according to the terms stated in the prospects.

Outgoing: This will be the effective date of the fund price and will be passed under the tag TradeDateTime → Date.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify the fund.

Identification

Mandatory

Outgoing: FCIS sends out the fund ISIN.

TotalNAV

Optional/Repetitive

This is the value of all the holdings, minus the fund's liabilities.

Outgoing: This will be Funds Holdings * Declared NAV for the Effective Date, (TradeDateTime).

TotalUnitsNumber

Optional

This is the total number of investment fund class units that have been issued.

Unit

Mandatory

Outgoing - This would map to the tag 'Outstanding Units' in fund data store for the fund.

PreviousValuationDateTime

Optional

This is the date and time of the previous valuation for the investment fund / fund class.

Outgoing - This will be the effective date of the fund price prior to the date provided under the tag TradeDateTime. This information will be provided under the tag PreviousValuationDateTime → Date.

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ValuationCycle

Mandatory

This specifies how the price valuation timing is done based on the timeline defined in the prospectus.

FCIS will always communicate the value USUA (Usual) as the code to indicate that price valuation is done within the timeframe specified in the prospectus.

SuspendedIndicator

Mandatory

Indicates whether the valuation of the investment fund class is suspended.

FCIS will always the pass the value 'NO'.

PriceDetails

Mandatory

FCIS will use this tag to provide the Fund Price components, if applicable, for the fund, and Fund Price details at a transaction type level.

Type

Mandatory

- Structured (Mandatory) - FCIS will pass NAVL, OTHR as the structured codes. While passing the Declared NAV for fund, FCIS will use the code as NAVL. For other details such as transaction type level or component level price details, OTHR will be used.
- AdditionalInformation (Optional) - If the structured code is OTHR, this information is mandatory. FCIS will pass the respective Transaction Type Code and Component ID as additional information.

ValueInInvestmentCurrency

(Mandatory / Repetitive)

This tag will be used to pass the Declared NAV, Component Value for Component ID and Transaction Base Price for Transaction Type.

ForExecutionIndicator

Mandatory

This indicates whether the price information can be used for the execution of a transaction. This indicator would be 'Yes' for fund price details and 'No' for component details.

CumDividendIndicator

Mandatory

The value will always be 'NO'.

3.45 Price Report Cancellation

This section contains the following topics:

- Section 3.45.1, "Price Report Cancellation Message"
- Section 3.45.2, "Tags in Message"

3.45.1 Price Report Cancellation Message

The Price Report Cancellation message is sent by a report provider to a report user.

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This message is used to cancel an entire Price Report message that was previously sent by the fund accountant. If only a part of the information has to be cancelled and replaced, the Price Report Correction message must be used.

This report has to be generated manually. FCIS communicates the original Pool Reference of the price report.

3.45.2 Tags in Message

3.45.2.1 PoolReference

Optional

This is a collective reference to identify set of messages.

Outgoing: This will be a unique reference number generated by FCIS.

3.45.2.2 PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Outgoing: This will be the PoolReference of the original price report that was communicated.

3.46 Fund Estimated Cash Forecast Report

This section contains the following topics:

3.46.1 Fund Estimated Cash Forecast Report

The Fund Estimated Cash Forecast Report message is sent by a report provider to a report user.

This message is used to provide an estimate of the cash incomings and outgoings per investment fund. This message can be used to report on several investment funds. The cash incomings and outgoings result from, for example, redemption, subscription, switch transactions or dividends.

The recipient of this message is an AMC. FCIS will generate an estimated inflow and outflow report of the funds belonging to the AMC selected for the message for a particular date which is user input, if manual or the Application Date if the report is generated automatically.

3.46.2 Contents of Report

The following are the contents of this report:

3.46.2.1 Transactions

All unalloted transactions that are newly captured or reversed and where the maker date of the original transaction is not the same as maker date of the reversed transaction and original transaction is allocated, will be picked up.

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IPO / Subscription

- Sum IPO by Amount
- Sum Subscriptions by Amount
- Sum IPO by Units * Latest NAV
- Sum Subscriptions by Units * Latest NAV

Redemptions

- Sum Redemptions by Amount
- Sum Redemptions by Units * Latest NAV

Switch In

- Sum Switch transactions by Amount where fund passed is the Switch In fund and convert this amount to FBC of the Switch In fund.
- Sum Switch transactions by Units where fund passed is the Switch In fund * Latest NAV of the Switch Out fund converted to FBC of the Switch In fund

Switch Out

- Sum Switch transactions by Amount where fund passed is the Switch Out fund.
- Sum Switch transactions by Units * Latest NAV of the Switch Out fund

IPO / Subscription – Reversal

- Sum Gross Amount In FBC of the original transaction

Redemption – Reversal

- Sum Net Amount in FBC of the original transaction

Switch In – Reversal

- Sum Switched In Amount of the original transaction where fund passed is the Switch In fund

Switch Out – Reversal

- Sum Net Amount in FBC of the original transaction where fund passed is the Switch Out fund

3.46.2.2 Dividends

Dividend payout

Criteria for dividend record consideration:

- Amendment / Reversal not happened
- Freeze Holdings done
- EPU is available
- Dividend is not processed
- Date passed is the Dividend Declare Date

Dividend Amount = Sum of Freeze Holdings Units * EPU

Dividend Amendments (Outflow)

Criterion for dividend record consideration:

- Original dividend is processed and amendment is not processed

Dividend Amount = Sum of Freeze Holdings Units * New EPU

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Dividend Amendments (Inflow)

Criterion for dividend record consideration:

- Original dividend is processed and amendment is not processed

Dividend Amount = Sum of Freeze Holdings Units * Old EPU

Estimated Cash In = A + C + F+ H + K
Estimated Cash Out = B + D + E + G + I + J

This report will be generated for all funds in an AMC as maintained in the message maintenance. The trigger could be based on an event or manual.

3.46.3 Tags in the Message

3.46.3.1 PoolReference

Optional

This is a collective reference to identify set of messages.

Outgoing: This will be a unique reference number generated by FCIS.

3.46.3.2 EstimatedFundCashForecastDetails

Mandatory/Optional

TradeDateTime

Optional

Outgoing - This will be the date for which the report is being generated.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify the fund.

Identification

Mandatory

Outgoing: FCIS sends out the fund ISIN.

ExceptionalNetCashFlowIndicator

Mandatory

FCIS will always the pass the value 'NO'.

EstimatedCashInForecastDetails

Original/Repetitive
SettlementDate

Mandatory

This is the date for which report is generated.

SubTotalAmount

Optional

This will be the 'Estimated Cash In'.

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EstimatedCashOutForecastDetails

Original/Repetitive
SettlementDate

Mandatory

This is the date for which report is generated.

SubTotalAmount

Optional

This will be the 'Estimated Cash Out'.

3.47 Fund Confirmed Cash Forecast Report

This section contains the following topics:

- Section 3.47.1, "Fund Confirmed Cash Forecast Report Message"
- Section 3.47.2, "Contents of Report"
- Section 3.47.3, "Tags in Message"

3.47.1 Fund Confirmed Cash Forecast Report Message

The Fund Confirmed Cash Forecast Report message is sent by a report provider to a report user.

This message is used to provide a confirmed report of the cash incomings and outgoings per investment fund. This message can be used to report on several investment funds. The cash incomings and outgoings result from, for example, redemption, subscription, switch transactions or dividends.

3.47.2 Contents of Report

The following are the contents of this report:

3.47.2.1 Transactions

- All allotted IPO / Subscription / Redemption / Switch which are not reversed
- All allotted IPO / Subscription / Redemption / Switch which are reversed. The date of the original transaction should not be the same as the date of reversal transaction.

IPO / Subscription

- Sum Gross Amount in FBC

Redemptions

- Sum Net Amount in FBC

Switch In

- Sum Switch To Amount (post allocation) where fund passed is the switch in fund.

Switch Out

- Sum Net Amount in FBC where fund passed is the switch out fund.

IPO / Subscription – Reversal

- Sum Gross Amount In FBC of the original transaction

Redemption – Reversal

- Sum Net Amount in FBC of the original transaction

Switch In – Reversal

- Sum Switched In Amount of the original transaction where fund passed is the Switch In fund

Switch Out – Reversal

- Sum Net Amount in FBC of the original transaction where fund passed is the Switch Out fund

3.47.2.2 Dividends

Dividend payout

Criteria for dividend record consideration:

- Amendment / Reversal not happened
- Dividend is processed
- Date passed is the Dividend Payment Date

Dividend: Sum Total Amount Paid to the investor for the fund and dividend payment date.

Dividend reversal

Criteria for dividend record consideration:

- Dividend status is reversed and authorized
- Date passed is the authorization date of reversal

Dividend = Sum original Total Amount Paid to investor

Dividend Amendments (Outflow)

Criteria for dividend record consideration:

- Dividend status is amended
- Date passed is the Dividend Payment Date
- Amended dividend is processed

Dividend = Sum Total Amount Paid for the amended dividend

Dividend Amendments (Inflow)

Criteria for dividend record consideration:

- Dividend status is amended
- Date passed is the Dividend Payment Date
- Amended dividend is processed

Dividend = Sum Original Total Amount Paid

Confirmed Cash In = A + C + F+ H + J + L
Confirmed Cash Out = B + D + E + G + I + K

3.47.3 Tags in Message

3.47.3.1 PoolReference

Optional

This is a collective reference to identify set of messages.

Outgoing – This will be a unique reference number generated by FCIS.

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3.47.3.2 FundCashForecastDetails

Mandatory/Optional
TradeDateTime

Optional

Outgoing - This will be the date for which the report is being generated.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify the fund.

Identification

Mandatory

Outgoing - FCIS sends out the fund ISIN.

ExceptionalNetCashFlowIndicator

Mandatory

FCIS will always the pass the value 'NO'.

CashInForecastDetails

Mandatory

SettlementDate

Mandatory

This is the date for which report is generated.

SubTotalAmount

Optional

This will be the 'Estimated Cash In'.

CashOutForecastDetails

Original/Repetitive
SettlementDate

Mandatory

This is the date for which report is generated.

SubTotalAmount

Optional

This will be the 'Estimated Cash Out'.

3.48 Fund Confirmed Cash Forecast Report Cancellation

This section contains the following topics:

- Section 3.48.1, "Fund Confirmed Cash Forecast Report Cancellation Message"
- Section 3.48.2, "Tags in Message"

3.48.1 Fund Confirmed Cash Forecast Report Cancellation Message

The Fund Confirmed Cash Forecast Report Cancellation message is sent by a report provider to a report user.

This message is used to cancel a previously sent Fund Confirmed Cash Forecast Report message. The Fund Confirmed Cash Forecast Report Cancellation message must contain

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the reference of the message to be cancelled. This message may also contain details of the message to be cancelled, but this is not recommended.

3.48.2 Tags in Message

3.48.2.1 PoolReference

Optional

This is a collective reference to identify set of messages.

Outgoing: This will be a unique reference number generated by FCIS.

3.48.2.2 PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Outgoing: This will be selected by the user.

3.49 Fund Detailed Estimated Cash Forecast Report

This section contains the following topics:

-
-

3.49.1 Fund Detailed Estimated Cash Forecast Report

The Fund Detailed Estimated Cash Forecast Report message is sent by a report provider to a report user.

This message is used to provide an estimate of the cash incoming and outgoing flows per investment fund, sorted by country, institution or the criteria defined by the user. The message can be used to report on several investment funds. These cash incoming and outgoing flows result from, for example, redemption, subscription switch transactions or dividends.

The details provided here are similar to the Fund Estimated Cash Forecast Report with the breakup based on one of the following:

- Party
- Country
- Currency
- UserDefined

FCIS supports SortingCriteriaType → Unstructured and ForecastBreakdownDetails → ReportParameter→ UserDefined indicating break up of inflows and outflows for the following:

- IPO Subscription
- Subscription
- Redemption
- Switch In
- Switch Out
- IPO Subscription Reversal

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- Subscription Reversal
- Redemption Reversal
- Switch In Reversal
- Switch Out Reversal
- Dividend
- Dividend Amendment – Inflow
- Dividend Amendment - Outflow

3.49.2 Tags in Message

3.49.2.1 PoolReference

Optional

This is a collective reference to identify set of messages.

Outgoing: This will be a unique reference number generated by FCIS.

3.49.2.2 EstimatedFundCashForecastDetails

Mandatory/Repetitive
TradeDateTime

Optional

Outgoing: This will be the date for which the report is being generated.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify the fund.

Identification

Mandatory

Outgoing: FCIS sends out the fund ISIN.

ExceptionalNetCashFlowIndicator

Mandatory

FCIS will always the pass the value 'NO'.

SortingCriteriaDetails

Mandatory/Repetitive
SortingCriterionType → Unstructured

Outgoing - FCIS will pass "TXNDIVIDENDBASED" as unstructured code.

ForecastBreakdownDetails

Mandatory/Repetitive
ReportParameter → UserDefined → Unstructured

Outgoing - FCIS will pass "TXNDIVIDENDBASED" as unstructured code.

EstimatedCashInForecastDetails

Original/Repetitive
SettlementDate

Mandatory

This is the date for which report is generated.

SubTotalAmount

Optional

This will be the 'Estimated Cash In' breakup details for the various components.

EstimatedCashOutForecastDetails

Original/Repetitive
SettlementDate

Mandatory

This is the date for which report is generated.

SubTotalAmount

Optional

This will be the 'Estimated Cash Out' breakup for various components.

3.50 Fund Detailed Confirmed Cash Forecast Report

This section contains the following topics:

-
-

3.50.1 Fund Detailed Confirmed Cash Forecast Report Message

The Fund Detailed Confirmed Cash Forecast Report message is sent by a report provider to a report user.

This message is used to provide a confirmed report of the cash incoming and outgoing flows per investment fund, sorted by country, institution or criteria defined by the user. The message can be used to report on several investment funds. The cash incoming and outgoing flows result from, for example, redemption, subscription, switch transactions or dividends.

The details provided here are similar to Fund Confirmed Cash Forecast Report with the breakup based on one of the following:

- Party
- Country
- Currency
- UserDefined

FCIS supports the tags SortingCriteriaType → Unstructured and ForecastBreakdownDetails → ReportParameter→ UserDefined, indicating the break up of inflows and outflows for the following:

- IPO Subscription
- Subscription
- Redemption
- Switch In
- Switch Out
- IPO Subscription Reversal
- Subscription Reversal
- Redemption Reversal
- Switch In Reversal
- Switch Out Reversal

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- Dividend
- Dividend Amendment – Inflow
- Dividend Amendment – Outflow

3.50.2 <u>Tags in Message</u>

3.50.2.1 <u>PoolReference</u>

Optional

This is a collective reference to identify set of messages.

Outgoing: This will be a unique reference number generated by FCIS.

3.50.2.2 <u>FundCashForecastDetails</u>

Mandatory/Repetitive
TradeDateTime

Optional

Outgoing - This will be the date for which the report is being generated.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify the fund.

Identification

Mandatory

Outgoing: FCIS sends out the fund ISIN.

ExceptionalNetCashFlowIndicator

Mandatory

FCIS will always the pass the value 'NO'.

SortingCriteriaDetails

Mandatory/Repetitive
SortingCriterionType → Unstructured

Outgoing - FCIS will pass "TXNDIVIDENDBASED" as unstructured code.

ForecastBreakdownDetails

Mandatory/Repetitive
ReportParameter → UserDefined → Unstructured

Outgoing - FCIS will pass "TXNDIVIDENDBASED" as unstructured code.

CashInForecastDetails

Mandatory
SettlementDate

Mandatory

This is the date for which report is generated.

SubTotalAmount

Optional

This will be the 'Confirmed Cash In' breakup for components.

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CashOutForecastDetails

Original/Repetitive
SettlementDate

Mandatory

This is the date for which report is generated.

SubTotalAmount

Optional

This will be the 'Confirmed Cash Out' breakup for components.

3.51 Fund Detailed Confirmed Cash Forecast Report Cancellation

This section contains the following topics:

- Section 3.51.1, "Fund Detailed Confirmed Cash Forecast Report Cancellation Message"
- Section 3.51.2, "Tags in Message"

3.51.1 Fund Detailed Confirmed Cash Forecast Report Cancellation Message

The Fund Detailed Confirmed Cash Forecast Report Cancellation message is sent by a report provider to a report user. This report will be manually generated.

This message is to cancel a previously sent Fund Detailed Confirmed Cash Forecast Report message. The Fund Detailed Confirmed Cash Forecast Report Cancellation message must contain the reference of the message to be cancelled. This message may also contain details of the message to be cancelled, but this is not recommended.

3.51.2 Tags in Message

3.51.2.1 PoolReference

Optional

This is a collective reference to identify set of messages.

Outgoing: This will be a unique reference number generated by FCIS.

3.51.2.2 PreviousReference

Mandatory

This is the Reference Number to a linked message that was previously received.

Reference

Mandatory

Outgoing: This will be selected by the user.

3.52 Custody Statement of Holdings Report

This section contains the following topics:

- Section 3.52.1, "Custody Statement Of Holdings Message"
- Section 3.52.2, "Tags in Message"

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3.52.1 Custody Statement Of Holdings Message

The Custody Statement Of Holdings message is sent by an account servicer to an account owner or its designated agent. The account servicer may be a local agent acting on behalf of its global custodian customer, a custodian acting on behalf of an investment management institution or a broker/dealer, a fund administrator or fund intermediary, trustee or registrar, etc. This message reports, at a specified moment in time, the quantity and identification of financial instruments that the account servicer maintains for the account owner.

The Custody Statement Of Holdings message is sent at the beginning of a month for reporting the month end balance of investor. User requests a holding report by portfolio as of the last date of the previous month.

3.52.2 Tags in Message

MessagePagination

This tag indicates the pagination of the message.

PageNumber

Mandatory

This indicates the page number.

LastPageIndicator

Mandatory

This tag indicates the last page of the report. This will be true for the last unit holder report and false for the others.

StatementGeneralDetails

Mandatory

This tag provides general information related to the custody statement of holdings.

Reference

Mandatory

This is the Reference Number generated by the system.

StatementDateTime

Mandatory

This indicator is the effective date as of which the report is generated.

ActivityIndicator

Mandatory

This indicator would be 'Yes' is there is any activity reported in the statement. Else, it will be 'No'.

AccountDetails

Mandatory

Identification → SimpleIdentification → Proprietary → Identification

Mandatory

This tag is to identify the investor's CIF ID in FCIS.

FungibleIndicator

Mandatory

This tag would be set to 'Yes'.

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IntermediaryInformation → Identification → Proprietary

Mandatory

This tag provides the intermediary details attached with the Unitholder account.

BalanceForAccount details

This contains the CIF level account balance details as on date requested.

SubAccountDetails

Optional

Identification → SimpleIdentification → Proprietary → Identification

Mandatory

This would map to the Identification Number of the Unit holder.

FungibleIndicator

Mandatory

This tag would be set to 'Yes'.

ActivityIndicator

Mandatory

This indicator would be set to 'Yes'.

BalanceForSubAccount

Optional

AggregateQuantity → Quantity

Mandatory

This tag indicates the balance in the fund.

FinancialInstrumentDetails

Mandatory

This tag provides details to identify a fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.

Outgoing : FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.

PriceDetails

Mandatory

This is the price at which order was executed.

Value → Amount

Mandatory

Outgoing – This is the fund base currency code followed by the price as of the effective date of the report.

Type

Mandatory

This has the value 'NAVL'.

ORACLE

QuotationDate → Date

Optional

This indicates the maximum price date for which price is available as of the effective date of the report.

3.53 Statement of Investment Fund Transactions

This section contains the following topics:

- Section 3.53.1, "Statement of Investment Fund Transactions Message"
- Section 3.53.2, "Tags in Message"

3.53.1 Statement of Investment Fund Transactions Message

The Statement Of Investment Fund Transactions is sent by an account servicer to an account owner or its designated agent. The account servicer may be a fund administrator or fund intermediary, trustee or registrar. This message provides the details of increases and decreases of holdings which occurred during a specified period. This message can also be used for information purposes, eg, tax information.

This report provides the statement of transactions for a customer and a customer's accounts for a given period.

3.53.2 Tags in Message

MessagePagination

This tag indicates the pagination of the message.

PageNumber

Mandatory

This indicates the page number.

LastPageIndicator

Mandatory

This tag indicates the last page of the report. This will be true for the last unit holder report and false for the others.

StatementGeneralDetails

Mandatory

This tag provides general information related to the investment reports.

Reference

Mandatory

This is the Reference Number generated by the system.

StatementPeriod → FromDate

Mandatory

This indicator is the 'From date' that marks the beginning of the period for which the statement is being generated.

StatementPeriod → ToDate

Mandatory

This indicator is the 'To date' that marks the end of the period for which the statement is being generated.

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UpdateType

Mandatory

This tag will have the value 'COMP' to indicate that the report is complete.

ActivityIndicator

Mandatory

This indicator would be 'Yes' is there is any activity reported in the statement. Else, it will be 'No'.

InvestmentAccountDetails

Mandatory
Identification → Proprietary → Identification

Mandatory

This tag is to identify the investor's CIF ID in FCIS.

IntermediaryInformation → Identification → Proprietary

Mandatory

This tag provides the intermediary details attached with the Unitholder account.

SubAccountDetails

Optional
Identification → SimpleIdentification → Proprietary → Identification

Mandatory

This would map to the Identification Number of the Unit holder.

FungibleIndicator

Mandatory

This tag would be set to 'Yes'.

ActivityIndicator

Mandatory

This indicator would be set to 'Yes'.

TransactionOnSubAccount

Optional
Identification

This tag provides details to identify a fund.

Identification

Mandatory

The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.

Outgoing: FCIS sends out the fund ISIN based on the UDF set up and not ISIN always.

TransactionDetails

Mandatory
TransactionType

Mandatory

This tag indicates the type of transaction.

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DealReference

Optional

This is a unique number assigned to the transaction by FCIS.

SettledTransactionIndicator

Mandatory

This indicates whether the transaction is settled. This indicator would be 'Yes' if the transaction is settled. Else, it would be 'No'.

RegisteredTransactionIndicator

Mandatory

This tag would be set to 'No'.

UnitsQuantity → Unit

Mandatory

The allocated units for the transaction.

CreditDebit

Mandatory

This tag indicates the direction of the transaction. This would be 'CRDT' for inflow transactions and 'DBIT' for outflow transactions.

Reversal

Optional

This tag indicates reversal of transactions. This would be 'CRDT' for inflow transactions and 'DBIT' for outflow transactions.

GrossSettlementAmount

Optional

This will be the gross settlement amount in the settlement currency.

TradeDateTime
Date

Mandatory

This will be the Transaction Date.

DateTime

Mandatory

This will be the save time of the Transaction.

CumDividendIndicator

Mandatory

This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.

This will be defaulted to 'NO'.

PartiallyExecutedIndicator

Mandatory

This indicates whether the order has been partially executed.

This will be defaulted to 'NO'.

ORACLE®

PriceDetails

Mandatory

This is the price at which order was executed.

Value → Amount

Mandatory

Outgoing – This is the fund base currency code followed by the price as of the effective date of the report.

Type

Mandatory

This is defaulted to 'OTHR'.

3.54 Account Details Confirmation

AccountDetailsConfirmationV08:

This message is to confirm the opening of the new account/unitholder using SWIFT messages as per 2021 regulations.

An account servicer, for example, registrar, transfer agent, custodian bank or securities depository sends the AccountDetailsConfirmation message to the account owner, for example, an investor to confirm the opening of an account, execution of an AccountModificationInstruction or to return information requested in a GetAccountDetails message.

Design scope:

This account confirmation message should confirm the creation of the below maintenances/ transactions, if the respective tags are provided.

- Confirmation Details
- Unitholder along with
  - Bank details
  - Intermediaries
- UH IDS Setup for reinvestment details

This section contains the following topic:

-

3.54.1 Tags in Message

MX acmt.002.001.08

The AccountDetailsConfirmation message is used to confirm the account details on receiving the GetAccountDetails message. The message contains detailed information relevant to the account requested based on the latest information available for the account in the FCIS system.

The AccountDetailsConfirmationV08 Message Definition is composed of 16 Message Building Blocks as below,

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-
-
-
-

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-
-
-

AccountDetailsConfirmation

Mandatory

This is the root tag for account details confirmation instruction.

3.54.1.1 MessageIdentification

Mandatory

It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time.

Identification → CreationDateTime
Identification

Mandatory

This tag is used for the identification of the message.

CreationDateTime

Mandatory

This tag indicates the date of creation of the message.

3.54.1.2 OrderReference

Optional

This tag will not be used for the account confirmation process as per the current scope.

3.54.1.3 RelatedReference

Optional

This tag will not be used for the account confirmation process as per the current scope.

3.54.1.4 ConfirmationDetails

It gives information about the request or instruction which triggered this confirmation. This is the new element code in FCIS.

ConfirmationType → Code
ConfirmationType

Mandatory

This tag gives information about the request or instruction which triggered this confirmation.

Code

Mandatory

Confirmation type is expressed as a code.

3.54.1.5 InvestmentAccount

Confirmation of the information related to the investment account is given by this message.

This section will be available only if the investment account is requested in the GetAccountDetails.

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Indentification → Name → Type → Code
Identification

Optional

This tag denotes Unitholder ID.

Name

Optional

This tag provides the name of the account.

Type

Optional

This tag is used to identify the type of account.

Code

Mandatory

Type of account is expressed as a code.

AccountStatus → Enabled → Closed → ClosurePending → PendingOpening
AccountStatus

Optional

It specifies the status of the account.

Enabled → NoSpecifiedReason → Reason
Enabled

Optional

It is the status of the account that can be used for its intended purpose.

NoSpecifiedReason

Mandatory

There is no reason available or to report for the enabled account status.

Reason → Code
Reason

Mandatory

It is the reason available for the enabled account status.

Code

Mandatory

Reason for the enabled account status is expressed as a code.

Closed → NoSpecifiedReason
Closed

Optional

This tag indicates that the status of the account is closed.

NoSpecifiedReason

Mandatory

There is no reason available or to report for the closed account status.

ClosurePending → Reason → Code
ClosurePending

Optional

This tag indicates that the account closure is pending.

ORACLE®

Reason

Mandatory

It is the reason for the closure pending status of an account.

Code

Mandatory

Reason for the closure pending status is expressed as a code.

PendingOpening → Reason → Code
PendingOpening

Optional

This tag indicates that the account opening is pending.

Reason

Mandatory

It is the reason for the account opening pending status.

Code

Mandatory

Reason for the account opening pending status is expressed as a code.

StatusDate → Date
StatusDate

Optional

It is the application date in FCIS or the date in which status is assigned.

Date

Mandatory

It is the numeric representation of the day of the month and year.

OwnershipType → Code
OwnershipType

Mandatory

This tag denotes ownership status of the account.

Code

Mandatory

Ownership type is expressed as a code.

StatementFrequency → Code
StatementFrequency

Optional

Frequency at which a statement is issued is denoted by this tag.

Code

Mandatory

Statement frequency is expressed as a code.

ReferenceCurrency

Optional

This tag indicates the currency chosen for reporting purposes.

Language

Optional

Preferred language of the account holder is denoted by this tag.

ReinvestmentDetails → FinancialInstrumentDetails → Identification → OtherProprie taryIdentification → ISIN

ReinvestmentDetails

Optional

This tag specifies the income on the fund or security that is to be reinvested.

FinancialInstrumentDetails

Mandatory

Investment fund for the reinvestment is indicated by this tag.

Identification

Mandatory

It is the unique and unambiguous identifier of a security.

OtherProprietaryIdentification

Mandatory

This will be the proprietary identification of the security assigned by an institution or organisation.

ISIN

Mandatory

This specifies International Securities Identification Number (ISIN).

TickerSymbol

Mandatory

These are letters that identify a stock traded on a stock exchange.

ReinvestmentPercentage

Mandatory

It denotes the percentage of the reinvestment

OpeningDate → Date
OpeningDate

Optional

It denotes legal opening date for the account and the account opening date cannot be backdated.

Date

Optional

Legal opening date for the account.

3.54.1.6 AccountParties

Mandatory

It gives confirmation of information related to parties of the account, for example, primary account owner. This section will be available only if the account parties is requested in the GetAccountDetails.

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AccountParties

Mandatory

These are the additional details of the unitholder.

PrincipalAccountParty → PrimaryOwner → Party → Organisation PrincipalAccountParty

Mandatory

Main party associated with the account is given by this tag.

PrimaryOwner

Mandatory

This tag denotes the owner of the account.

Party

Mandatory

Information about the organisation or individual person is given by this tag.

Organisation → RegistrationCountry → PostalAddress → AddressLine → Country Organisation

Mandatory

This will be the organised structure that is been set up for a particular purpose. i.e.,) Corporate account.

RegistrationCountry

Optional

Country in which the organisation is registered is specified by this tag.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Country

Mandatory

Country of the address is denoted by this tag.

IndividualPerson → NamePrefix → Code → MiddleName → Name IndividualPerson

Mandatory

This will be the human entity, who is distinguished from a corporate entity.

NamePrefix

Optional

It is the term used to address the person.

Code

Mandatory

Name prefix is expressed as a code.

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MiddleName

Optional

It indicates the middle name of the party.

Name

Mandatory

It indicates the name by which the party is known and which is normally used to identify that person.

Gender

Optional

This tag indicates the gender of the person.

BirthDate

Optional

This is the date on which the person was born.

CountryOfBirth

Optional

This is the country where the person was born.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Note

First Address line will be 'Address Line 1', Second Address line will be 'Address Line 2', Third Address line will be 'Address Line 3', Fourth Address line will be 'Address Line 4' and Fifth Address line will be 'Zip Code'.

Country

Mandatory

Country of the address is given by this tag.

Citizenship

Optional

Nationality and legal status (minor or major) information can be obtained by this tag.

Nationality

Mandatory

This tag denotes the country where a person was born or to the country where the person is legally accepted as belonging.

MinorIndicator

Mandatory

It indicates whether the person is a legal minor.

ORACLE®

OtherIdentification → Identification → Type → Code
OtherIdentification

Optional

This will be the alternative identification such as national registration identification number, passport number, tax identification number.

Identification

Mandatory

It can be name or number assigned by an entity to enable recognition of that entity.

Type

Mandatory

It denotes the type of identification.

Code

Mandatory

Type of identification is expressed as a code.

IssueDate

Optional

It is the date at which the identification was issued.

ExpiryDate

Optional

It will be the date at which the identification expires.

IssuerCountry

Optional

It is the country that issued the identification document.

PrimaryCommunicationAddress → Email
PrimaryCommunicationAddress

Optional

It specifies the means of communication with the person.

Email

Optional

This is the Email address of the person. The maximum length is 255 characters.

CustodianForMinor → Party → IndividualPerson → Name
CustodianForMinor

Optional

It gives information on the entity that holds shares/units on behalf of a legal minor.

Party

Mandatory

It gives information about the individual person.

IndividualPerson

Mandatory

It is the human entity, as distinguished from a corporate entity.

ORACLE®

Name

Mandatory

It is the tag by which the party is known and used to identify that person.

SuccessorOnDeath → Party → IndividualPerson → Name
SuccessorOnDeath

Optional

Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred is given by this tag.

Party

Mandatory

It gives information about the organisation or individual person.

IndividualPerson

Mandatory

It is the human entity, as distinguished from a corporate entity.

Name

Mandatory

It is the tag by which the party is known and used to identify that person.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Country

Mandatory

It denotes the country of the address.

OwnershipBeneficiaryRate → Rate
OwnershipBeneficiaryRate

Optional

It will be the percentage of ownership or of beneficial ownership of the shares/units in the account.

Rate

Optional

Ownership or beneficial ownership is expressed as a percentage.

3.54.1.7 Intermediaries

It gives confirmation of information of an intermediary or other party related to the management of the account. This section will be available only if the intermediaries is requested in the GetAccountDetails.

ORACLE®

Identification → AnyBIC

Identification

Mandatory

This denotes the intermediary or other party related to the management of the account.

AnyBIC

Mandatory

This is the code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority.

ProprietaryIdentification → Identification → Role → Code

ProprietaryIdentification

Mandatory

It is the unique and unambiguous identifier assigned to a financial institution.

Identification

Mandatory

It is the identification assigned by an institution.

Role

Optional

Role or function performed by the intermediary.

Code

Optional

Role is expressed as a code. Role code 'INTR' is supported using SWIFT.

- If the client country 'TXNBROKERS' is enabled, then the intermediaries details will be considered as the broker ID.
- If the client country 'TXNBROKERS' is disabled, then the intermediaries details will be considered as the agent.
- If the client country 'TXNBROKERS' is disabled and provided with the role code 'INTR', then based on the agent code, agency branch will be selected. Also, IFA and account officer will be defaulted to 'DIRECT'.
- If intermediaries section is not available, default broker 'DIRECT' or module agent code will be defaulted accordingly.

3.54.1.8 CashSettlement

Cash settlement stands for instruction associated with transactions on the account.

This section will be available only if the cash settlement details is requested in the GetAccountDetails.

CashAccountDetails

Optional

It is the details of the account to credit or debit.

SettlementCurrency

Mandatory

It is the payment currency.

ORACLE®

Identification → Other → Identification
Identification

Mandatory

Unique and unambiguous identification for the accountz

Other

Mandatory

Unique identification of an account.

Identification

Mandatory

Identification assigned by an institution.

Name

Optional

It defines the name of the account.

AccountOwner

Optional

It indicates the party that legally owns the account.

AnyBIC

Mandatory

It will be the code allocated to a financial or non-financial institution.

ProprietaryIdentification → Identification
ProprietaryIdentification

Mandatory

It is the unique and unambiguous identifier.

Identification

Mandatory

It is the identification assigned by an institution.

AccountServicerBranch → Identification
AccountServicerBranch

Optional

It is the Information that identifies a specific branch of a financial institution.

Identification

Optional

It is the unique and unambiguous identification of a branch of a financial institution.

3.55 <u>Account Modification</u>

AccountModificationInstructionV08:

This message is to modify an existing account/unitholder using SWIFT messages as per 2021 SWIFT regulations.

The AccountModificationInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to modify, that is, create, update or delete specific details of an existing account.

ORACLE®

Design scope:

This account modification message should modify the below maintenances/transactions if the respective tags are provided.

- Unitholder along with
  - Bank details
  - Intermediaries
- Account status change
- UH IDS Setup for reinvestment details

Confirmation message will be sent on the successful modification of the unitholder in FCIS.

This section contains the following topic:

- Section 3.55.1, "Tags in Message"

3.55.1 <u>Tags in Message</u>

MX acmt.003.001.08

The AccountModificationInstruction message is used to modify the details of an existing account. The AccountModificationInstruction message can be used to:

- Maintain/Update any of the existing account details, for example, to update the address of the beneficiary or modify the preference to income from distribution to capitalization, or,
- Add/Create specific details to the existing account when these details were not yet recorded at the time of account creation, for example, to establish new cash settlement or,
- Delete specific account details, for example, delete cash settlement, or,
- nstruct a change to the status of the account, for example, instruct the closure of the account.

The usage of this message may be subjected to service level agreement (SLA) between the counterparties. The execution of the AccountModificationInstruction is confirmed via an AccountDetailsConfirmation message on receiving the GetAccountDetail for the same.

AccountModificationInstruction

Mandatory

This is the root tag for account modification instruction.

The AccountModificationInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks as shown below,

- Section 3.55.1.1, "MessageIdentification"
- Section 3.55.1.2, "PreviousReference"
- Section 3.13.1.3, "PreviousReference"
- Section 3.55.1.4, "InvestmentAccountSelection"
- Section 3.55.1.5, "ModifiedInvestmentAccount"
- Section 3.55.1.6, "ModifiedAccountParties"
- Section 3.55.1.7, "ModifiedIntermediaries"
- Section 3.55.1.8, "ModifiedCashSettlement"

ORACLE®

3.55.1.1 MessageIdentification

Mandatory

It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time.

Identification → CreationDateTime
Identification

Mandatory

This tag is used for the identification of the message.

CreationDateTime

Mandatory

This tag indicates the date of creation of the message.

3.55.1.2 PreviousReference

Optional

This tag will not be used for the account opening process as per the current scope.

3.55.1.3 InstructionDetails

Mandatory

InstructionDetails tag gives information about the opening instruction. This tag is identified by a new element in FCIS.

ModificationReason

Optional

This tag gives the reason for the modification to the investment account information.

3.55.1.4 InvestmentAccountSelection

It identifies the account for which the information is modified.

AccountIdentification

Mandatory

Unique and unambiguous identification for the account.

3.55.1.5 ModifiedInvestmentAccount

Information related to general characteristics of the account to be inserted, updated or deleted.

AccountStatusUpdateInstruction → UpdateInstruction → Code
AccountStatusUpdateInstruction

Optional

Change of account status as instructed in this tag.

UpdateInstruction

Mandatory

Type of status change instructed for the account.

Code

Mandatory

Type of change to the account status is expressed as a code.

ORACLE®

Name → Type → Code
Name

Optional

This tag provides the name of the account.

Type

Optional

This tag is used to identify the type of account.

Code

Mandatory

Type of account is expressed as a code.

OwnershipType → Code
OwnershipType

Mandatory

This tag denotes ownership status of the account.

Code

Mandatory

Ownership type is expressed as a code.

StatementFrequency → Code
StatementFrequency

Optional

Frequency at which a statement is issued is denoted by this tag.

Code

Mandatory

Statement frequency is expressed as a code.

ReferenceCurrency

Optional

This tag indicates the currency chosen for reporting purposes.

Language

Optional

Preferred language of the account holder is denoted by this tag.

ReinvestmentDetails → FinancialInstrumentDetails → Identification → OtherProprie taryIdentification → ISIN

ReinvestmentDetails

Optional

This tag specifies the income on the fund or security that is to be reinvested.

FinancialInstrumentDetails

Mandatory

Investment fund for the reinvestment is indicated by this tag.

Identification

Mandatory

It is the unique and unambiguous identifier of a security.

ORACLE®

OtherProprietaryIdentification

Mandatory

This will be the proprietary identification of the security assigned by an institution or organisation.

ISIN

Mandatory

This specifies International Securities Identification Number (ISIN).

TickerSymbol

Mandatory

These are letters that identify a stock traded on a stock exchange.

ReinvestmentPercentage

Mandatory

It denotes the percentage of the reinvestment

OpeningDate → Date
OpeningDate

Optional

It denotes legal opening date for the account and the account opening date cannot be backdated.

Date

Optional

Legal opening date for the account.

3.55.1.6 ModifiedAccountParties

It gives information related to an account party to be inserted, updated or deleted.

ModificationScopeIndication

Mandatory

It specifies the type of modification to be applied.

PrincipalAccountParty → PrimaryOwner → Party → Organisation
PrincipalAccountParty

Mandatory

Main party associated with the account is given by this tag.

PrimaryOwner

Mandatory

This tag denotes the owner of the account.

Party

Mandatory

Information about the organisation or individual person is given by this tag.

Organisation → RegistrationCountry → ModifiedPostalAddress → ModificationSco peIndication → PostalAddress → AddressLine → Country
Organisation

Mandatory

This will be the organised structure that is been set up for a particular purpose. i.e.,) Corporate account.

ORACLE®

RegistrationCountry

Optional

Country in which the organisation is registered is specified by this tag.

ModifiedPostalAddress

Optional

This is the information related to an address to be inserted or updated.

ModificationScopeIndication

Mandatory

It specifies the type of modification to be applied.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Country

Mandatory

Country of the address is denoted by this tag.

IndividualPerson → NamePrefix → Code → MiddleName → Name IndividualPerson

Mandatory

This will be the human entity, who is distinguished from a corporate entity.

NamePrefix

Optional

It is the term used to address the person.

Code

Mandatory

Name prefix is expressed as a code.

MiddleName

Optional

It indicates the middle name of the party.

Name

Mandatory

It indicates the name by which the party is known and which is normally used to identify that person.

Gender

Optional

This tag indicates the gender of the person.

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BirthDate

Optional

This is the date on which the person was born.

CountryOfBirth

Optional

This is the country where the person was born.

ModifiedPostalAddress

Optional

This is the information related to an address to be inserted or updated.

ModificationScopeIndication

Mandatory

It specifies the type of modification to be applied.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Note

First Address line will be 'Address Line 1', Second Address line will be 'Address Line 2', Third Address line will be 'Address Line 3', Fourth Address line will be 'Address Line 4' and Fifth Address line will be 'Zip Code'.

Country

Mandatory

Country of the address is given by this tag.

ModificationCitizenship

Optional

It gives the citizenship information to be inserted.

ModificationScopeIndication

Mandatory

It specifies the type of modification to be applied.

Citizenship

Optional

Nationality and legal status (minor or major) information can be obtained by this tag.

Nationality

Mandatory

This tag denotes the country where a person was born or to the country where the person is legally accepted as belonging.

ORACLE®

MinorIndicator

Mandatory

It indicates whether the person is a legal minor.

OtherIdentification → Identification → Type → Code
OtherIdentification

Optional

This will be the alternative identification such as national registration identification number, passport number, tax identification number.

Identification

Mandatory

It can be name or number assigned by an entity to enable recognition of that entity.

Type

Mandatory

It denotes the type of identification.

Code

Mandatory

Type of identification is expressed as a code.

IssueDate

Optional

It is the date at which the identification was issued.

ExpiryDate

Optional

It will be the date at which the identification expires.

IssuerCountry

Optional

It is the country that issued the identification document.

PrimaryCommunicationAddress → Email
PrimaryCommunicationAddress

Optional

It specifies the means of communication with the person.

Email

Optional

This is the Email address of the person. The maximum length is 255 characters.

CustodianForMinor → Party → IndividualPerson → Name
CustodianForMinor

Optional

It gives information on the entity that holds shares/units on behalf of a legal minor.

Party

Mandatory

It gives information about the individual person.

ORACLE®

IndividualPerson

Mandatory

It is the human entity, as distinguished from a corporate entity.

Name

Mandatory

It is the tag by which the party is known and used to identify that person.

SuccessorOnDeath → Party → IndividualPerson → Name
SuccessorOnDeath

Optional

Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred is given by this tag.

Party

Mandatory

It gives information about the organisation or individual person.

IndividualPerson

Mandatory

It is the human entity, as distinguished from a corporate entity.

Name

Mandatory

It is the tag by which the party is known and used to identify that person.

ModificationPostalAddress

Optional

It specifies the information related to an address to be inserted, updated or deleted.

ModificationScopeIndication

Mandatory

It specifies the type of modification to be applied.

PostalAddress

Mandatory

This is the information that locates and identifies a specific address, as defined by postal services.

AddressLine

Optional

This is the information that locates and identifies a specific address.

Country

Mandatory

It denotes the country of the address.

OwnershipBeneficiaryRate → Rate
OwnershipBeneficiaryRate

Optional

It will be the percentage of ownership or of beneficial ownership of the shares/units in the account.

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Rate

Optional

Ownership or beneficial ownership is expressed as a percentage.

3.55.1.7 ModifiedIntermediaries

Information related to intermediaries to be inserted, updated or deleted. Upto **ten** intermediaries are allowed to maintained. This element is new for FCIS.

ModificationScopeIndication

It specifies the type of modification to be applied.

Intermediary

Intermediary or other party related to the management of the account is given by this tag.

Identification → AnyBIC
Identification

Mandatory

This denotes the intermediary or other party related to the management of the account.

AnyBIC

Mandatory

This is the code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority.

ProprietaryIdentification → Identification → Role → Code
ProprietaryIdentification

Mandatory

It is the unique and unambiguous identifier assigned to a financial institution.

Identification

Mandatory

Identification assigned by an institution.

Role

Optional

Role or function performed by the intermediary.

Code

Optional

Role is expressed as a code. Role code 'INTR' is supported using SWIFT.

- If the client country 'TXNBROKERS' is enabled, then the intermediaries details will be considered as the broker ID.
- If the client country 'TXNBROKERS' is disabled, then the intermediaries details will be considered as the agent.
- If the client country 'TXNBROKERS' is disabled and provided with the role code 'INTR', then the agency branch will be selected based on the agent code. Also, IFA and account officer will be defaulted to 'DIRECT'.
- If intermediaries section is not available, default broker 'DIRECT' or module agent code will be defaulted accordingly.

3.55.1.8 ModifiedCashSettlement

Cash settlement standing instruction is associated to transactions on the account.

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ModifiedCashSettlement

Mandatory

It is the cash settlement standing instruction to be either inserted or deleted.

ModificationScopeIndication

Mandatory

It specifies the type of modification to be applied.

CashAccountDetails

Optional

It is the details of the account to credit or debit.

SettlementCurrency

Mandatory

It is the payment currency.

Identification → Other → Identification
Identification

Mandatory

Unique and unambiguous identification for the account

Other

Mandatory

Unique identification of an account.

Identification

Mandatory

Identification assigned by an institution.

Name

Optional

It defines the name of the account.

AccountOwner

Optional

It indicates the party that legally owns the account.

AnyBIC

Mandatory

It will be the code allocated to a financial or non-financial institution.

ProprietaryIdentification

Mandatory

It is the unique and unambiguous identifier.

Identification

Mandatory

Identification assigned by an institution.

AccountServicerBranch

Optional

It is the Information that identifies a specific branch of a financial institution.

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Identification

Optional

It is the unique and unambiguous identification of a branch of a financial institution.

3.56 Get Account Details

GetAccountDetailsV05:

This message is to get the requested account/unitholder details using SWIFT messages as per 2019 SWIFT regulations.

The GetAccountDetails message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to query the details of an existing account.

Design scope:

This Get Account Details message will carry the below tags along with unitholder ID to mention whether the below informations have to be sent back as confirmation.

- Investment account details
- Intermediaries
- Account parties along with reinvestment details
- Cash settlement details

Confirmation message will be sent only on the successful creation/modification of the unitholder in FCIS.

This section contains the following topic:

- Section 3.56.1, "Tags in Message"

3.56.1 Tags in Message

MX acmt.004.001.05

The GetAccountDetails message is used to query all or some of the details for a given account held with an account servicer.

- The message is used prior to an AccountModificationInstruction in order to validate account information before requesting a modification.
- The GetAccountDetails message may also be used to collect account information for general account reconciliation purposes.

The response to a GetAccountDetails message is via an AccountDetailsConfirmationmessage.

The GetAccountDetailsV05 MessageDefinition is composed of 3 MessageBuildingBlocks asshown below,

- Section 3.56.1.1, "MessageIdentification"
- Section 3.56.1.2, "InvestmentAccountSelection"
- Section 3.56.1.3, "SelectedInformationType"

GetAccountDetails

Mandatory

This is the root tag for account querying the account instruction.

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3.56.1.1 MessageIdentification

Mandatory

It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time.

Identification → CreationDateTime
Identification

Mandatory

This tag is used for Identification of the message.

CreationDateTime

Mandatory

This tag indicates the date of creation of the message.

3.56.1.2 InvestmentAccountSelection

Mandatory

It identifies the account for which the query is sent.

AccountIdentification

Mandatory

Unique and unambiguous identification for the account.

3.56.1.3 SelectedInformationType

It identifies the type of information that is to be returned through an AccountDetailsConfirmation message.

InvestmentAccount

Mandatory

It is the unique and unambiguous identifier for the account.

AccountParties

Mandatory

It indicates if the information about account parties must be selected.

Intermediaries

Mandatory

It indicates if the information about the intermediaries must be selected.

InvestmentPlan

Mandatory

It indicates if the information about the investment plan(s) must be selected.

CashSettlement

Mandatory

It indicates if the cash settlement information must be selected.

3.57 Request Account Management Status

RequestforAccountManagementStatusReportV06:

This message is to request the processing status of previously sent message.

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The RequestForAccountManagementStatusReport message is used to request the processing status of a previously sent AccountOpeningInstruction, GetAccountDetails or an AccountModificationInstruction message for which an AccountDetailsConfirmation message has not yet been received.

Design scope:

This Request Account Management Status message will carry the below tags,

- Message identification for the current message
- Account details for which the status is requested

This section contains the following topic:

-

3.57.1 Tags in Message

MX acmt.005.001.06

The RequestForAccountManagementStatusReport message is used to request the processing status of previously sent messages.

The RequestForAccountManagementStatusReportV06 MessageDefinition is composed of 2 MessageBuildingBlocks as shown below,

-
-

RequestForAccountManagementStatusReport

Mandatory

This is the root tag for requesting the account status.

3.57.1.1 MessageIdentification

Mandatory

It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time.

Identification → CreationDateTime
Identification

Mandatory

This tag is used for Identification of the message.

CreationDateTime

Mandatory

This tag indicates the date of creation of the message.

3.57.1.2 RequestDetails

Mandatory

It identifies the account for which the status of the account management instruction is requested.

LinkedReference → PreviousReference → Reference
LinkedReference

Optional

It gives reference to a linked message.

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PreviousReference

Mandatory

It gives reference to a linked message that was previously sent.

Reference

Mandatory

Message identification of a message. This reference was assigned by the party issuing the message.

StatusRequestType

Mandatory

Type of account management instruction for which the status is requested or a request to know the status of the account.

Alternative: It is the request status on the type of account management instruction or the account.

InvestmentAccount

Optional

Account information for which the status of an account management instruction is requested.

AccountIdentification

Mandatory

Unique and unambiguous identification for the account between the account owner and the account servicer.

3.58 Account Management Status Report

AccountManagementStatusReportV07:

This message is to provide the processing status of previously sent message.

The AccountManagementStatusReport message is used to provide the status of a previously received AccountOpeningInstruction, an AccountModificationInstruction or a GetAccountDetails message. It may also be used to report the status of the account.

Design scope:

This Account Management Status Report message will carry the below tags,

- Message identification for the current message
- Account details for which the status is requested

This section contains the following topic:

-

3.58.1 Tags in Message

MX acmt.006.001.07

The AccountManagementStatusReport message is used to provide the status of a previously received message.

The AccountManagementStatusReportV07 MessageDefinition is composed of following MessageBuildingBlocks,

-
-

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AccountManagementStatusReport

Mandatory

This is the root tag for account status report.

3.58.1.1 MessageIdentification

Mandatory

It is the reference that uniquely identifies the message from a business application standpoint.
It identifies the message along with the creation date time.

Identification → CreationDateTime
Identification

Mandatory

This tag is used for Identification of the message.

CreationDateTime

Mandatory

This tag indicates the date of creation of the message.

3.58.1.2 RelatedReference

Optional

This is the reference to a linked message that was previously received.

Reference

Mandatory

Message identification of a message. This reference was assigned by the party issuing the
message.

3.58.1.3 StatusReport

Mandatory

It is the status report details of the account management instruction that was previously
received.

Status → Code
Status

Mandatory

It is the status of the account management instruction that was previously received.

Code

Mandatory

It is the status of the account which is expressed as a code.

Rejected → Reason → Code → AdditionalReasonInformation
Rejected

Mandatory

This tag indicates that the status of the account management instruction is rejected.

Reason

Mandatory

It gives the reason for the rejected status.

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Code

Mandatory

The rejected reason is expressed as a code.

AdditionalReasonInformation

Optional

It is the additional information about the rejected status reason.

AccountIdentification

Optional

It is the unique and unambiguous identification for the account between the account owner and the account servicer.

AccountStatus → Enabled → Closed → ClosurePending → PendingOpening
AccountStatus

Optional

It specifies the status of the account.

Enabled → NoSpecifiedReason → Reason
Enabled

Optional

It is the status of the account that can be used for its intended purpose.

NoSpecifiedReason

Mandatory

There is no reason available or to report for the enabled account status.

Reason → Code
Reason

Mandatory

It is the reason available for the enabled account status.

Code

Mandatory

Reason for the enabled account status is expressed as a code.

Closed → NoSpecifiedReason
Closed

Optional

This tag indicates that the status of the account is closed.

NoSpecifiedReason

Mandatory

There is no reason available or to report for the closed account status.

ClosurePending → Reason → Code
ClosurePending

Optional

This tag indicates that the account closure is pending.

Reason

Mandatory

It is the reason for the closure pending status of an account.

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Code

Mandatory

Reason for the closure pending status is expressed as a code.

PendingOpening → Reason → Code
PendingOpening

Optional

This tag indicates that the account opening is pending.

Reason

Mandatory

It is the reason for the account opening pending status.

Code

Mandatory

Reason for the account opening pending status is expressed as a code.

4. VESTIMA+ Processing

Vestima+ is an automated external system that facilitates the routing and execution of fund orders between Oracle FLEXCUBE Investor Services and outside parties. These orders can be placed either through the Vestima+ web browser or SWIFT. The party placing the fund order is the Order Issuer (OI) and the party executing the orders is the Order Handling Agent (OHA).

This chapter contains the following sections:

- Section 4.1, "Message Generation between FCIS and Vestima+"
- Section 4.2, "Maintenance for Vestima+ Processing"
- Section 4.3, "Entity Media Maintenance Summary"
- Section 4.4, "Messages Processed in Vestima+"

4.1 Message Generation between FCIS and Vestima+

The fund order, which can be a subscription, redemption or switch transaction, is initiated by the OI and sent to Vestima+. Based on the data available within the Vestima+ system, the order is enriched and passed to the appropriate OHA. If the OHA sends an optional status message to indicate the receipt of the order to Vestima+, it will be forwarded by Vestima+ to the OI. After the OHA executes the order, it sends a confirmation message (depending on the type of order) to Vestima+ which is enriched and passed on to the OI.

The following diagram illustrates the flow of messages between FCIS and Vestima+
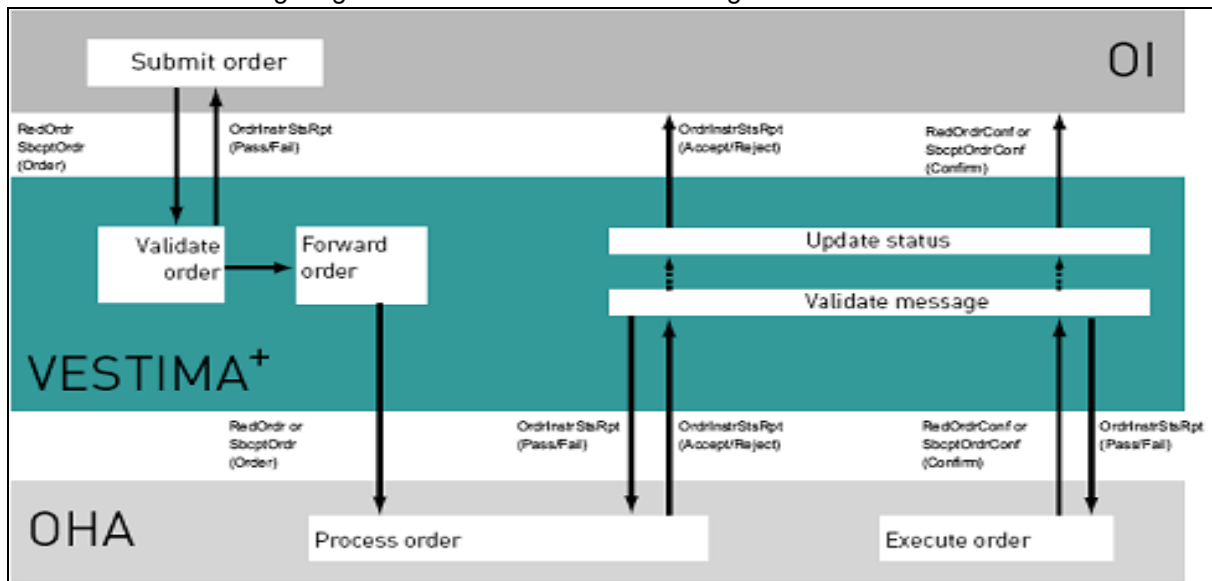
The ISO 20022 messages that are supported by the Vestima+ system are:

- RedemptionMultipleOrderV04 - setr.004.001.04 (RedOrdr)
- RedemptionMultipleOrderCancellationInstructionV04 - setr.005.001.04 (RedOrdrCxlReq)
- RedemptionMultipleOrderConfirmationV04 - setr.006.001.04 (RedOrdrConf)
- SubscriptionMultipleOrderV04 - setr.010.001.04 (SbcptOrdr)
- SubscriptionMultipleOrderCancellationInstructionV04 - setr.011.001.04 (SbcptOrdrCxlReq)
- SubscriptionMultipleOrderConfirmationV04 - setr.012.001.04 (SbcptOrdrConf)

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- OrderInstructionStatusReportV04 - setr.016.001.04 (OrdrInstrStsRpt)
- OrderCancellationStatusReportV04 - setr.017.001.04 (OrdrCxlStsRpt)
- SecuritiesMessageRejection - semt.001.001.03 (SctiesMsgRjctn)

4.2 Maintenance for Vestima+ Processing

This section contains the following topics:

- Section 4.2.1, "Invoking the Entity Media Maintenance Screen"

4.2.1 Invoking the Entity Media Maintenance Screen

You are required to link entities eligible to send and receive messages to each other through Vestima+. You can do this in the 'Entity Media Maintenance' screen. To invoke this screen, type 'UTDVEST' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

You can perform the following operations in this screen:

- Create a new record
- Modify an existing record
- Delete an unauthorized record
- Authorize an unauthorized record

You can enter the following details in this screen:

From Entity ID

Alphanumeric; 12 Characters; Mandatory

Specify the From entity ID. You can also select the required ID from the adjoining option list. The list contains all the valid From entity IDs maintained in the system.

From Entity Description

Display

The system displays the description for the selected From entity ID.

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From Entity Type

Alphanumeric; 1 Character; Mandatory

Specify the From entity type for the entity that will send fund orders for execution. You can also select the From entity type from the adjoining option list. The list contains all the valid entity types maintained in the system.

To Entity Type

Alphanumeric; Mandatory

Specify the entity type which will receive and execute orders.You can also select the entity type from the adjoining option list. The list contains all the valid entity types maintained in the system.

To Entity Description

Display

The system displays the description for the selected To entity ID.

To Entity ID

Alphanumeric; Mandatory

Specify the entity ID. You can also select the required ID from the adjoining option list. The list contains all the valid entity IDs maintained in the system.

Vest IMA Enabled

Optional

Check this option to indicate that Vest IMA processing is supported for transactions between the 'From Entity' and 'To Entity' mapped above.

4.3   Entity Media Maintenance Summary

This section contains the following topics:

- Section 4.3.1, "Retrieving a Record in Entity Media Maintenance Summary Screen"
- Section 4.3.2, "Editing Entity Media Maintenance Record"
- Section 4.3.3, "Viewing Entity Media Maintenance Record"
- Section 4.3.4, "Deleting Entity Media Maintenance Record"
- Section 4.3.5, "Authorizing Entity Media Maintenance Record"
- Section 4.3.6, "Amending Entity Media Maintenance Record"
- Section 4.3.7, "Authorizing Amended Entity Media Maintenance Record"

4.3.1   Retrieving a Record in Entity Media Maintenance Summary Screen

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

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Invoke the 'Entity Media Maintenance Summary' screen by typing 'UTSVEST' 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
- To Entity ID
- From Entity Type
- From Entity ID
- To Entity Type
- Vest IMA Enabled

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 To Entity ID
- Press F8

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

4.3.2 Editing Entity Media Maintenance Record

You can modify the details of Entity Media 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 Entity Media Maintenance Summary screen from the Browser.

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- 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 Entity Media 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 Entity Media Maintenance Detail screen is closed and the changes made are reflected in the Entity Media Maintenance Summary screen.

4.3.3 Viewing Entity Media Maintenance Record

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

- Invoke the Entity Media 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 Entity Media Maintenance Detail screen is displayed in View mode.

4.3.4 Deleting Entity Media Maintenance Record

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

- Invoke the Entity Media 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 Entity Media 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.

4.3.5 Authorizing Entity Media Maintenance Record

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

- Invoke the Entity Media 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.

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- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Entity Media 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.

4.3.6 Amending Entity Media Maintenance Record

After a Entity Media 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 Entity Media 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 Entity Media 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

4.3.7 Authorizing Amended Entity Media Maintenance Record

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

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

4.4 Messages Processed in Vestima+

This section contains the following topics:

- Section 4.4.1, "Events for Message Generation"
- Section 4.4.2, "Creation of New Orders"
- Section 4.4.3, "Cancellation of Existing Orders"
- Section 4.4.4, "Confirmation of Executed Orders"
- Section 4.4.5, "Status Updates "
- Section 4.4.6, "Securities Rejection"

4.4.1 Events for Message Generation

Various messages are sent through Vestima+ while processing an order. Typically the messages sent by OIs to Vestima+ are forwarded by Vestima+ to the appropriate OHAs. Similarly, messages received by Vestima+ from the OHAs are forwarded by Vestima+ to the OIs.

The different events for which messages are generated are:

- Creation of new orders

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- Cancellation of existing orders
- Confirmation of orders executed
- Status updates
- Securities rejection

The messages are detailed below:

4.4.2 Creation of New Orders

The following messages are used by the OIs for creation of new orders. These are sent to Vestima+ and in turn, Vestima+ forwards these to the appropriate OHAs through SWIFT.

Message	Message Name	Purpose	FCIS Code
RedOrdr	setr.004.001.04 RedemptionMultipleOrderV04	New Redemption Order	RMO
SbcptOrdr	setr.010.001.04 SubscriptionMultipleOrderV04	New Subscription Order	SMO
SwtchOrdr	setr.013.001.04 SwitchOrderV04	New Switch Order	SWC

4.4.3 Cancellation of Existing Orders

The following messages are used by the OIs for to request cancellation of orders previously issued. These are sent to Vestima+ and in turn, Vestima+ forwards these to the appropriate OHAs through SWIFT.

Message	Message Name	Purpose	FCIS Code
RedOrdrCxlReq	Setr.005.001.04 RedemptionMultipleOrderCancellationInstructionV04	Cancellation of a Redemption Order	RMC
SbcptOrdrCxlReq	Setr.011.001.04 SubscriptionMultipleOrderCancellationInstructionV04	Cancellation of Subscription Order	SMC
SwtchOrdrCxlReq	setr.014.001.04 SwitchOrderCancellationRequestV04	Cancellation of Switch Order	SCA

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4.4.4   Confirmation of Executed Orders

The following messages are sent by OHAs to Vestima+ to confirm the orders received. These are forwarded by Vestima+ to the OIs.

Message	Message Name	Purpose	FCIS Code
RedOrdrConf	setr.006.001.04 RedemptionMultipleOrderConfirmationV04	Confirmation of Redemption Order	RCO
Sbcp-tOrdrConf	setr.012.001.04 SubscriptionMultipleOrderConfirmationV04	Confirmation of Subscription Order	SCO
Swt-chOrdrConf	setr.015.001.04 SwitchOrderConfirmationV04	Confirmation of Switch Order	SCM

4.4.5   Status Updates

Status messages are used by Vestima+ as a means of validating the inbound message process and to provide the status of an order or cancellation order.

Message	Message Name	Purpose	FCIS Code
OrdrInstrSts-Rpt	setr.016.001.04 OrderInstructionStatusReportV04	Order Instruction Status Report	OIS
OrdrCxlSts-Rpt	setr.017.001.04 OrderCancellationStatusReportV04	Order Cancellation Status Report	OCS

Note

The status message is optional in case of positive validations for the inbound message.

4.4.6   Securities Rejection

If no action is possible on a message received by Vestima+, for instance if the originator of the message is unknown or a reference not recognized by Vestima+ has been received in the message, then Vestima+ issues the semt.001.001.03 SecuritiesMessageRejectionV03 which is the Securities Rejection message.

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5. Interfaces with External Systems

Oracle FLEXCUBE Investor Servicing (FCIS) provides a facility to effect data exchanges and transfers with external systems. You can import exchange rates or NAV from an external system, or export transaction and dividend information to any external accounting system. The external system may be a file system or an application.

The data exchange can be effected through an interface with the external system. This interface consists of the following components:

- An interface definition that will capture all the information that is needed for processing and effecting the data exchange. You can designate all the procedures that need to be called, the internal tables that will be inserted into or read from, the database objects that will be used, the file formats and so on.
- The interface processing module that will actually process the interface, effect the data exchange, and create a log of these activities.
- The file access services that will be utilized by the interface processing module for the purpose of effecting the data exchange.

You can process an interface in one of the following ways:

- As part of the End of Day Procedures, you can trigger the processes specified for the interface through a simple dialogue screen. The system performs the data exchange and flashes a message upon successful completion of the activities.
- You can schedule the interface through the Scheduler Services in FCIS by specifying the Interface ID as a parameter for a task, and then schedule the task to be executed as desired, as a job, as follows:
  - Define an interface definition from FCIS to the external system or vice versa. The interface definition will be associated with a unique Interface ID.
  - Define a task (through the Task Maintenance screen) and indicate the Interface ID as a parameter to the task.
  - Schedule the task by associating it with a time-based or event-based frequency and define it as a job, through the Job Maintenance screen.
  - Activate the scheduler, and it will call the Interface Processing module at the time specified, and pass the Interface ID as a parameter to the module.
  - The Interface Processing module will then execute the defined interface and log any errors that will result.

You can access the interface processing screens from the following menu categories in the Fund Manager component:

- The Interface Maintenance (Detail) screen from the Maintenance menu category
- The Interface Maintenance Summary Screen
- The Online Execution of Interfaces screen from the Batch menu category

This chapter contains the following sections:

- Section 5.1, "Setting up and Maintaining Interfaces"
- Section 5.2, "Interface Maintenance Summary Screen"
- Section 5.3, "Interface Mapping Detail Screen"
- Section 5.4, "Interface Mapping Summary Screen"
- Section 5.5, "Online Execution of Interfaces"
- Section 5.6, "Scheduler Services"

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5.1 Setting up and Maintaining Interfaces

This section contains the following topics:

5.1.1 Invoking FCIS Interface Maintenance Detail Screen

To set up an interface definition, use the 'FCIS Interface Maintenance Detail' screen. You can invoke this screen by typing 'UTDIFAC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the interface that you wish to maintain.

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In this screen, you can:

- Define new interfaces
- Enable or disable an interface definition

Interface definitions for exporting the following information will be factory shipped:

- Holiday
- CIF
- Currency
- Broker
- Unit Holder
- Fund
- Transactions
- Allocation
- Product
- Policy
- Policy Transactions
- Dividend/Corporate Actions
- Periodic Load
- System parameters
- Entity Details

5.1.2   Fields in Interface Maintenance Screen

Interface ID

Display

Every interface that you define is assigned a unique identification by the system, known as the Interface ID. This ID is generated by the system when you save a new definition, after you have specified all the information that is mandatory for the interface, in this screen.

When you retrieve an existing interface definition using the Find Screen, the ID of the retrieved interface is displayed in this field.

Description

Alphanumeric; 255 Characters; Optional

Describe the interface in a few words, in this field.

Import/ Export Type

Mandatory

You can define an interface to either import or export data. Choose the desired type from the drop down list.

Import/ Export Basis

Mandatory

You can export data from any of the following database object types:

- Table: You can export the data in all fields from a table, or part of the fields
- Procedure: You can execute a procedure that will return the data that must be exported. This procedure will populate a table or multiple tables with the data results. You can also execute a procedure on the basis of data populated into the tables.

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- SQL: You can execute a SQL string with an SQL statement that is associated with manipulation of data.

You can import data into any of the following database object types:

- Table: You can import data from an external specified file into an internal table.
- Procedure: You can import the data from an external file to a temporary internal table, and run a procedure to validate the imported data and populate it into the required internal table.

You can choose the required option from the drop-down list, according to the type of interface.

Interface Code

Alphanumeric; 3 Characters; Mandatory

The interface code identifies the two components or applications that are on either end of any interface definition. Any interface has a sending system that exports data and a receiving system that receives the exported data as an import.

Specify the interface code that identifies the sending and receiving systems for the interface, using the options in the drop-down list. The interface code is captured for information purposes only.

The following table displays the different codes and the sending and receiving systems identified for each:

Interface Code	Sending System	Receiving System
I2F	FLEXCUBE-Investor Services	Operating System
C2I	FLEXCUBE-Securities	FLEXCUBE-Investor Services
I2C	FLEXCUBE-Investor Services	FLEXCUBE-Securities
F2I	Operating System	FLEXCUBE-Investor Services
I2I	FLEXCUBE -Investor Services	FLEXCUBE-Investor Services

Number of Files (Import-Export)

Numeric, 2 Characters; Mandatory

Specify the number of files that must be imported or exported. For procedure based or table based interfaces, if the number of files is greater than zero, then the names of all the tables that will be impacted by the procedure or SQL string are displayed in the File Specifications Tab grid, in the lower portion of the screen.

Split Column

Alphanumeric; 50 Characters; Optional

This captures details of multiple files that are created for unique set of information and can uniquely identify the files. This option is available only if the Segmentation box is unchecked.

Subroutine Name

Alphanumeric; 50 Characters; Optional

Specify the name of the back-end procedure to be called by the system during interface execution. It is applicable only if import / export basis is procedure.

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Enabled?

Mandatory

Select 'Yes' to enable the interface from the drop-down list. An interface that is not enabled cannot be processed, and all jobs and tasks that are associated with the interface are not executed.

By default, when you define a new interface and save the definition in this screen, the interface is created as an enabled interface.

When you are editing the record of an interface in this screen, the only editing that is possible is enabling or disabling it, by checking or un-checking this box. All other fields in the screen are locked in Edit Mode.

Process per File?

Optional

Select the option to indicate whether the bulk upload file needs to be processed in a sequential manner. You can select either 'Yes' or 'No'.

Auto Number?

Optional

Select the option to indicate whether the system should automatically generate sequence number for bulk import. The sequence number is automatically generated if you select 'YES'.

Export Data First?

Optional

Select the option to indicate whether the data needs to be exported first. You can select either 'Yes' or 'No'.

Segmentation?

Optional

In cases where the information is spread over several files, select 'Yes' from the drop-down list to upload all the files.

Auto Import Keystring?

Optional

Select if keystring has to be auto imported or not from the drop-down list.

All import and export tables have a key string column. The interface system imports the files into these tables with a specific key string. The import wrapper will pick up the records with the same key string and process them. This improves the multi user capability of interface system and also allows us to reuse the same header and trailer tables for most of the imports and exports.

File Specification Required?

Optional

Choose 'Yes' if you wish to indicate that file specifications are required. Else choose 'No'.

Generate Empty File

Optional

Select if empty file has to be generated or not from the drop-down list. The list displays the following values:

- Yes
- No

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Interface Parameters

Procedure-based interfaces will need certain parameters that you must specify for their execution.

Parameter Name

Alphanumeric, 50 Characters; Mandatory

Select the name of the parameter that is required for the procedure, from the drop down list. You can specify as many parameters as are necessary.

Parameter Value

Alphanumeric, 50 Characters; Optional

If you have selected a non-standard parameter, specify the value for the same in this field.

Standard

Numeric, 1 Character; Mandatory

Specify the standard specific to the FCIS application. You need not specify a value for standard parameters.

File Specification

Every interface involves a data exchange that could be of any of the following types:

- One which involves file exports or imports
- One which does not involve file exports or imports (i.e from an external table to an internal table)

For a data exchange that involves no file exports or imports, the Number of Files will be zero, and the file specification tab is not applicable for such exchanges. For exchanges that are procedure-based or SQL-based, and involve file exports or imports, the Number of Files is more than zero, and all tables in the FCIS system that are associated with the specified procedure or SQL string are displayed in the File Specifications screen, with each file having a serial File Number. You can edit any details (except the File Number) or add new tables.

Invoke the File Specifications Screen by clicking 'File Specification' button in the main Interface Detail screen.

File Number

Numeric; 3 Characters; Mandatory

Specify the serial number for the file that is involved in the data exchange. When you add a new file or table name, it is given a new sequential file number.

No of Segments

Numeric; 2 Characters; Optional

Specify the number of segments to be uploaded.

Segment Identifier

Optional

Select the value associated with the segment identifier to be uploaded from the drop-down list. The list displays the following values:

- Field Value
- Delimited

Field Occurrence

Optional

Select the field corresponding to the segment identifier to be uploaded from the drop-down list. The list displays the following values:

- First Field
- Last Field

Field Length

Numeric; 2 Characters; Optional

Specify the length of the field to be uploaded.

Field Type

Optional

Select the type of the field from the drop-down list. The options available are 'String' or 'Number'.

Segment Delimiter

Optional

Segment delimiter is used only for interface with segments. Select the delimiter to be used for the different segments from the drop-down list. The list displays the following values:

- Comma
- Colon
- Semi Colon
- Space
- Tab
- Null String

Delimited Occurrence

Alphanumeric, 255 Characters; Optional

Specify the delimited occurrences.

Table Name

Alphanumeric, 30 Characters; Mandatory

Specify the name of the table associated with the specified procedure that will receive imported data or contain the data that is to be exported

The value mentioned here must correspond to a valid database table. You can use the option list to specify a new table name.

Criteria

Alphanumeric, 255 Characters; Optional

Specify a clause that filters the data that is being exported or imported. For example, you can specify an SQL statement such as a Where clause here. The clause will look for and pick up all data that satisfies the Where clause, in the data that is being exported or imported.

File Name

Alphanumeric, 255 Characters; Mandatory

The system displays the name of the file for the selected file ID. However, you can amend this value:

Specify the name of the file that will be involved in the data exchange.

- Import

For example, if the specified file name is nav.xls, and unique file name is 'Yes', only the file nav.xls will be picked up. If not, all files that bear the name nav*.* will be picked up.

● Export

File name generation will be based on the mask value given in the File name of the interface definition.

This feature is enabled if you have selected 'Unique File Name' field as 'No'.

You can maintain the mask values as follows. The system will derive the value from Pkgglobal parameter.

Mask Definition (.txt represents sample file extension)	Value that will be replaced
m_filename.txt	moduleid_filename.txt
u_filename.txt	userid_filename.txt
a_filename.txt	agentcode_filename.txt
b_filename.txt	branchcode_filename.txt
t_filename.txt	<datetime>_filename.txt (date will be the Application date)
d_filename.txt	<date>_filename.txt (date will be the Application date)
c_filename.txt	<Customvalue>_filename.txt . Kernel will generate file-name and custom should be able to override the file name only if c mask is maintained.
v_filename.txt	<SplitColumnValue>_filename.txt SplitColumn mentioned in the maintenance will be used.

Maximum length of the file name will be limited to 100 characters without the extension. If file name length exceeds more than 100, then the system will consider the first 100 characters of file name from the left.

File Path

Alphanumeric, 255 Characters; Mandatory

Specify the path in which the specified file will be found. Click the button alongside this field to browse to the desired location.

Archive Directory

Alphanumeric, 255 Characters; Mandatory

Specify a location where the specified file may be stored or archived for future reference, after the data is either exported or imported. If you do not specify an archive directory, the file is deleted from the specified File Path once the interface is processed and the data exchange is done.

Unique File Name?

Optional

Choose 'Yes' to indicate that, only files that exactly correspond with the specified file name will be imported/exported. If you choose 'No', all the files that resemble the specified file name

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will be picked up for import. And for export, the file name generation will be based on the mask value given in the file name of the interface definition.

File Type

Alphanumeric, 1 Character; Mandatory

Select the type of file that is being exported or imported.

ASCII File Format

Mandatory for ASCII file types

Select the format for ASCII files, either Fixed or Delimited from the drop-down list.

Field Delimiter

Optional

Field delimiter is used only for interface without segments. Select the delimiter to be used for the different fields from the drop-down list. The list displays the following values:

- Comma
- Colon
- Semi Colon
- Space
- Tab
- Null String

Column Header

Optional

Select 'Yes' from the drop-down list if column headings must be picked up in the export or import file, typically in an MS Excel Worksheet.

String Delimiter

Optional

Select the delimiter to be used for the different strings from the drop-down list. The list displays the following values:

- Double Quotes
- Single Quotes

Date Format

Alphanumeric; 12 Characters; Optional

Select the date format from the option list.

Decimal Symbol

Optional

Select the decimal symbol from the drop-down list:

- Comma
- Space
- Dot
- Fixed Length

Time Delimiter

Optional

Select the time delimiter from the drop-down list. The list displays the following values:

- Colon

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- Semi Colon
- Space

Digit Grouping

Optional

Select the digit grouping from the drop-down list. The list displays the following values:

- Comma
- Space
- Dot

Date Time Option?

Optional

Select the date-time format that is applicable in the data that is being imported or exported.

Click 'Populate' button to view the column specification details as follows:

Column Specification

Field

Alphanumeric; 50 Characters; Mandatory

The system displays the field number. However, you can amend this value.

You can specify the actual columns or fields in the file that will be exported or imported or in the specified table, in the Column Specifications Maintenance screen. You can also define a sequence in which the data must be ordered.

File Number

Numeric; 3 Characters; Mandatory

The sequential number for the selected file from the File Specifications Tab grid in the Interface Maintenance screen is displayed here. It represents the file for which you are specifying the column details in this screen. All the columns that are found in the specified table are displayed in the grid in this screen, with their details. Making changes to any of these details will result in a corresponding change in the output data. If you delete a particular row in the grid, then that column will not appear in the output data.

Field Type

Alphanumeric; 30 Characters; Mandatory

The system displays the field type. However, you can amend this value.

Field Length

Numeric; 22 Characters; Mandatory

The system displays the field type. However, you can amend this value.

Note

For all exports, the field length value will be same as the value mentioned in Upload format PDF

Column Heading

Alphanumeric; 50 Characters; Mandatory

The heading of the column or field in the table is displayed here. You can alter the heading.

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File Col Sequence

Numeric; 3 Characters; Mandatory

The system displays the field type. However, you can amend this value.

The Interface system allows you to maintain the sequence of fields in the export and import tables. This lets you reuse common tables for header and trailers. The import or export file need not be in the same sequence as the fields of the tables created for them

Select

Optional

Select Yes or No from the drop-down list.

You can also indicate any or all of the following format specifications for the file in the File Specifications grid:

- Field and String Delimiters
- Date Format
- Decimal Symbol
- Digit Grouping Symbol
- Date and Time Delimiters

The default values for these specifications are given below:

Format Specification	Allowable	Default
Field Delimiter	Comma, colon, semi-colon, space, tab, null	Space
String Delimiter	Single and double quotation marks; null	Null
Date Format	DMONY; DMY; MDY; YMD; Registry Setting	Registry Setting
Date Delimiter	Hyphen, comma, space, forward slash, Registry Setting	Registry Setting
Decimal Symbol	Comma, space, null, period, Registry Setting	Registry Setting
Digit Grouping Symbol	Comma, period, space, null, Registry Setting	Registry Setting
Time Delimiter	Colon, semi-colon, space, null, Registry Setting	Registry Setting

Segment Specifications

File Number

Display

The system displays the file number.

Table Name

Alphanumeric; 30 Characters; Mandatory

Specify the table name.

Segment Number

Alphanumeric; 3 Characters; Mandatory

Specify the segment number.

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Identifier Field Name

Alphanumeric; 30 Characters; Optional

Specify the identifier field name.

Identifier Field Value

Alphanumeric; 30 Characters; Optional

Specify the identifier field value.

First Row/Last Row

Optional

Select if the segment is first row or last row from the drop-down list. The list displays the following values:

- First Row
- Last Row

Click 'Populate' button to populate the following details:

Column Specification

Field

Alphanumeric; 50 Characters; Mandatory

The system displays the field number. However, you can amend this value.

You can specify the actual columns or fields in the file that will be exported or imported or in the specified table, in the Column Specifications Maintenance screen. You can also define a sequence in which the data must be ordered.

File Number

Numeric; 3 Characters; Mandatory

The sequential number for the selected file from the File Specifications Tab grid in the Interface Maintenance screen is displayed here. It represents the file for which you are specifying the column details in this screen. All the columns that are found in the specified table are displayed in the grid in this screen, with their details. Making changes to any of these details will result in a corresponding change in the output data. If you delete a particular row in the grid, then that column will not appear in the output data.

Field Type

Alphanumeric; 30 Characters; Mandatory

The system displays the field type. However, you can amend this value.

Field Length

Numeric; 22 Characters; Mandatory

The system displays the field type. However, you can amend this value.

Note

For all exports, the field length value will be same as the value mentioned in Upload format PDF

Column Heading

Alphanumeric; 50 Characters; Mandatory

The heading of the column or field in the table is displayed here. You can alter the heading.

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File Col Sequence

Numeric; 3 Characters; Mandatory

The system displays the field type. However, you can amend this value.

The Interface system allows you to maintain the sequence of fields in the export and import tables. This lets you reuse common tables for header and trailers. The import or export file need not be in the same sequence as the fields of the tables created for them

Select

Optional

Select Yes or No from the drop-down list.

5.2 Interface Maintenance Summary Screen

This section contains the following topics:

- Section 5.2.1, "Retrieving Record in Interface Maintenance Summary Screen"
- Section 5.2.2, "Editing Interface Maintenance Record "
- Section 5.2.3, "Viewing Interface Maintenance Record"
- Section 5.2.4, "Deleting Interface Maintenance Record"
- Section 5.2.5, "Authorizing Interface Maintenance "
- Section 5.2.6, "Amending Interface Maintenance "
- Section 5.2.7, "Authorizing Amended Interface Maintenance record"
- Section 5.2.8, "Copying Attributes"

5.2.1 Retrieving Record in 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 'UTSIFAC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

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

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- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Interface ID
- Interface Code
- Import/Export 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 Interface ID

– Press F8

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

5.2.2 Editing Interface Maintenance Record

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

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

5.2.3 Viewing Interface Maintenance Record

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

- Invoke the Interface 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.

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- 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 Interface Maintenance Detail screen is displayed in View mode.

5.2.4 Deleting Interface Maintenance Record

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

- Invoke the Interface 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 Interface 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.

5.2.5 Authorizing Interface Maintenance

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

- Invoke the Interface 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 Interface 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.

5.2.6 Amending Interface Maintenance

After a Interface 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 Interface 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 Interface 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.

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5.2.7　Authorizing Amended Interface Maintenance record

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

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

5.2.8　Copying Attributes

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

To copy the attributes:

- Retrieve the record whose attributes the new Interface Maintenance should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous sections of this chapter.
- Click on Copy.
- Indicate the ID for the new Interface Maintenance. You can, however, change the details of the new maintenance.

5.3　Interface Mapping Detail Screen

This section contains the following topics:

- Section 5.3.1, "Invoking Interface Mapping Detail Screen"
- Section 5.3.2, "Fields in Interface Mapping Detail Screen"

5.3.1　Invoking Interface Mapping Detail Screen

To map interface to modules or users, use the 'Interface Mapping Detail' screen. It is available only in the FMG Module. You can invoke this screen by typing 'UTDIFMAP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Interfaces will be listed for execution in Online Interface Execution (UTSONLIN) on below cases:

- If there are no records mapped in 'Module Mapping' and 'User Mapping' section, then the interface will be available for all the modules and users.
- If there are records mapped in 'Module Mapping' section alone, then the interface will be available only in the mapped modules and for all users.
- If there are records mapped in 'User Mapping' section alone, then the interface will be available only for the mapped users and in all modules.
- If there are records mapped in both 'Module Mapping' and 'User Mapping', then the interface will be available only for the mapped modules and users.

Note

If client country parameter 'INTERFACEMAPREQ' is ON, then Interface ID in UTSONLIN screen will be listed as per Interface Mapping.

If client country parameter 'INTERFACEMAPREQ' is OFF, then all Interface ID will be listed in UTSONLIN screen.

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5.3.2 Fields in Interface Mapping Detail Screen

Interface ID

Alphanumeric; 16 Characters; Mandatory

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

Interface Description

Display; Alphanumeric; 255 Characters; Optional

The system displays the description for the selected Interface ID.

Installation ID

Display; Alphanumeric; 12 Characters;

The system displays the installation ID.

Module Mapping

Module mapping is used to map interface ID with one or more AGY or FMG. It includes the following fields.

- Module ID
- Agent Code
- Branch Code

Module ID

Alphanumeric; 30 Characters; Mandatory

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

Agent Code

Display; Optional

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

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Branch Code

Display; Optional

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

User Mapping

User mapping is used to map interface ID with one or more users. It includes the following fields.

- User ID
- User Name

User ID

Alphanumeric; 12 Characters; Mandatory

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

User Name

Display; Optional

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

5.4   Interface Mapping Summary Screen

This section contains the following topics:

5.4.1   Retrieving Record in Interface Mapping Summary Screen

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

Invoke the 'Interface Mapping Summary' screen by typing 'UTSIFMAP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Interface Mapping Summary

Search   Advanced Search   Reset   Clear All   Records per page   15

∨ Search Criteria (Search Is Case Sensitive)

Authorization Status   Record Status   Interface ID

Description

Search Results   Lock Columns   0

☐   Authorization Status ⌄   Record Status ⌄   Interface ID ⌄   Description ⌄   Installation ID ⌄

No data to display.

Page   1   of 1 |< ◄ 1 ► >|

Exit

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

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

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

- Interface ID

- 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 Interface ID

– Press F8

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

5.4.2   Editing Interface Mapping Record

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

- Invoke the Interface Mapping 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.

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- 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 Interface 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 Interface Mapping Detail screen is closed and the changes made are reflected in the Interface Mapping Summary screen.

5.4.3 Viewing Interface Mapping Record

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

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

5.4.4 Deleting Interface Mapping Record

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

- Invoke the Interface 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 Interface 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.

5.4.5 Authorizing Interface Mapping Record

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

- Invoke the Interface 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.

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- Double click the record that you wish to authorize. The Interface 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.

5.4.6 Amending Interface Mapping Record

After a Interface 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 Interface 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 Interface 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.

5.4.7 Authorizing Amended Interface Mapping record

An amended Interface Mapping can be authorized, but the amended changes will be affected immediately even before authorization.

5.4.8 Copying Attributes

If you want to create a new Interface Mapping with the same attributes of an existing Mapping, you can copy the attributes of an existing Interface Mapping to a new one.

To copy the attributes:

- Retrieve the record whose attributes the new Interface Mapping should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous sections of this chapter.
- Click on Copy.
- Indicate the ID for the new Interface Mapping. You can, however, change the details of the new maintenance.

5.5 Online Execution of Interfaces

This section contains the following topics:

- Section 5.5.1, "Invoking Online Interface Execution Screen"
- Section 5.5.2, "Setting up Excel Export Parameterization"
- Section 5.5.3, "Invoking Excel Import Screen"

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5.5.1   Invoking Online Interface Execution Screen

To execute or process an interface maintenance definition, use the '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.

Interface ID

Alphanumeric; 16 Characters; Optional

Specify the interface ID.

Description

Alphanumeric; 255 Characters; Optional

Specify the description of the selected interface ID.

All the interface definitions available for processing are displayed in the Available Interface Definitions box. You can select any or all of these to be executed by highlighting them in the Available box and using the arrow buttons to move them to the Selected Interface Definitions box. After you have made the desired selections, click the Execute button. You must indicate that you want to continue with the processing. The selected interfaces are processed, and the system displays a message to indicate successful completion of the processing. If any errors result, you can view the same using the View Interface Error Log menu item in the Data Entry menu of the Fund Manager component.

Once tanking is enabled, the system will not fetch any record in the summary screen

To exit the screen without processing any selected interface definitions, click the Close button.

Note

The system will not support the processing of multiple files at the same time.

If client country parameter 'INTERFACEMAPREQ' is ON, then all Interfaces will be listed for execution as per Interface Mapping.

If client country parameter 'INTERFACEMAPREQ' is OFF, then all Interfaces will be listed for execution.

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5.5.2 Setting up Excel Export Parameterization

You can copy parameterization data from Oracle FLEXCUBE Investor Servicing environment to any other environment and vice versa. The data from Oracle FLEXCUBE Investor Servicing can be exported into an excel sheet or an XML format.
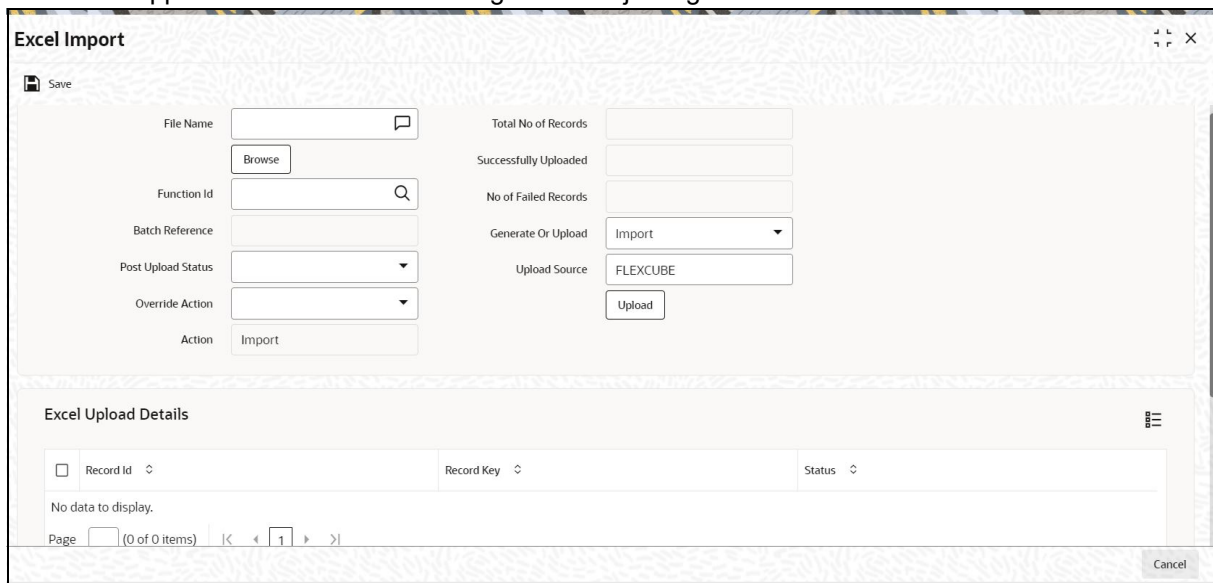
If 'Excel Export Required' option is checked for a function id in the 'Function Description Maintenance' screen then an 'Export' button is enabled in the summary screen of that function id. In the Summary screen you can query records based on the query parameters available and then select the required records to be exported and click 'Export' button. On clicking 'Export' button, system would export the data into an excel sheet and opens the excel sheet with data populated. You can then save the excel sheet.

Note

The records can be exported either in .XLS or .XLSX format. The format of the export file must be maintained in 'CSTB_PARAM' against the parameter 'EXCEL_FORMAT'.

5.5.3 Invoking Excel Import Screen

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

The following details are captured here:

File Name

Alphanumeric; 4000; Optional

Select the excel file to be imported by clicking 'Browse' button.

Click 'Browse' button to browse the file name.

Total No of Records

Display

The total number of records to be uploaded is displayed here.

Successfully Uploaded

Display

The system displays the number of successfully uploaded record.

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No of Failed Records

Display

The total number of records which failed to get uploaded is displayed here.

Function ID

Alphanumeric; 8 Characters; Optional

The function ID mentioned in the excel file chosen is displayed here.

Batch Reference

Display

The unique reference number generated for an upload is displayed here.

Post Upload Status

Optional

Select the status to be set for the file post upload, from the drop-down list. The following statuses are available in the drop-down list:

● Authorized

● Unauthorized

● Hold

Override Action

Optional

Select the action to be taken if an override message is encountered, from the drop-down list. The following options are available:

● Ignore

● Error

Action

Display

The action is displayed here.

Generate or Upload

Optional

Select the action to be taken for importing the file, from the drop-down list. The following options are available for selection:

● Generate – Select this option if an XML has to be generated from the imported file. This will be stored in the path maintained in CSBT_PARAM parameter EXCEL_IMPORT_XML_SPOOL_AREA

● Upload – Select this option if the data has to be uploaded as an excel file itself.

Note

To start the upload process click 'Upload' button. Once you click this button system starts importing the data from the excel file.

Upload Source

Alphanumeric; 50 Characters; Optional

Specify the source code of the file to be used for generating the XML file. You need to specify the source if you have chosen 'Generate' option in the 'Generate or Upload' field.

Click 'Upload' button to upload the attached file.

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Excel Upload Details

The following details are captured here:

Record ID

Display

The unique number of the record uploaded is displayed here.

Record Key

Display

The record key is displayed here.

Status

Display

The upload status of the record is displayed here.

Excel Upload Errors

Record Id

Alphanumeric; 255 Characters; Optional

Specify the unique number of the record, which encountered error while uploading.

Error Code

Alphanumeric; 40 Characters; Optional

Specify the error code corresponding to the error encountered during upload.

Error Message

Alphanumeric; 4000 Characters; Optional

Specify the error message corresponding to the error code displayed.

Clicking 'Upload' button, the system uploads the records maintained.

5.6 Scheduler Services

This section contains the following topics:

5.6.1 Scheduler Services Description

Oracle FLEXCUBE Investor Servicing provides you with the facility of scheduling internal activities and having them executed as pre-programmed proceedings by the system. In the system, the Scheduler component facilitates such proceedings.

Typically, you can schedule any activity through the Scheduler Services. Some of these activities may be frequently occurring or recurrent activities, some activities may need to be initiated on demand, and some may be one-time activities.

To schedule activities using this Scheduler Service, you must

- Designate each activity, process or programmed executable unit that must be run as a task in the system.

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- Define the objects that are to be run for the task to be completed, and also specify the required parameters for the object to be run.
- Schedule each defined task to be run at a desired frequency, either a time-based frequency or an event-based frequency.
- Authorize the job.

You may schedule jobs at a time-based frequency (simple or cron), or you may require them to be executed every time a business event occurs in the system. Accordingly, an event is an occurrence of a business proceeding in the system, such as allocation, or dividend declaration, or the End of Day procedures.

All business proceedings in the system that must be designated as events are pre-defined, according to the requirements at each installation, by the implementers. No new definitions of events are possible after this.

At the Security Management component, you can access all the Scheduler Services from the following menu categories:

- The Job Maintenance (Detail and Summary) screens from the Maintenance menu category
- The Jobs (Summary) screens from the Maintenance menu category

5.6.2 Invoking Job Maintenance Screen

A job is a business activity which the system performs repeatedly on timely basis. Oracle FLEXCUBE enables you to define a job and schedule it using 'Job Maintenance' screen. You can invoke this screen by typing 'UTDJOB' 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 fields in this screen.

Job Details

Job ID

Display

The system displays the unique code to identify the Job.

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Task ID

Alphanumeric; 16 Characters; Mandatory

Specify the task ID.

Frequency Basis

Optional

Select the frequency basis from the drop-down list. The list displays the following options:

- Server Clock
- Client Clock
- Event Based

Job Description

Alphanumeric; 255 Characters; Mandatory

Specify a brief description of what the job is supposed to do.

Schedule

Schedule Type

Optional

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

- On Demand
- One Time
- Recurring

Job Mandatory

Optional

Select if job is mandatory or not from the drop-down list. The following options are available for selection:

- Yes
- No

One Time Details

On Date

Date Format; Optional

Select on date from the adjoining calendar.

On Time(HH:MM)

Time Format; Optional

Select the time.

Event Code

Alphanumeric; 50 Characters; Optional

Specify the event code.

Occurs

Occurs

Optional

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

- Daily

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- Weekly
- Monthly

Every Month On

Optional

Select the monthly occurrences from the drop-down list. The list displays the following values:

- Specific Day
- Specific Week

Of Every(Days/Weeks/Months)

Optional

Select the monthly occurrences from the drop-down list. The list displays the following values:

- 1
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10
- 11
- 12

Day Of Week

Optional

Select the day of week from the drop-down list. The list displays the following values:

- Day Of Week
- Sunday
- Monday
- Tuesday
- Wednesday
- Thursday
- Friday
- Saturday

Day Of Month

Optional

Select the day of month from the drop-down list.

Week Of Month

Optional

Select the week of the month from the drop-down list:

Week of Month

- 1

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- 2
- 3
- 4
- 5

Duration

Start Date

Date Format; Optional

Specify the start date.

End Date

Date Format; Optional

Specify the end date.

End Date Reqd?

Optional

Select if end date is required or not from the drop-down list.

Time

Interval Type

Optional

Select the interval type from the drop-down list.

- Occurs Once At (HH:MM)
- Occurs Every

Interval Value

Alphanumeric; 4 Characters; Optional

Specify the interval value.

Interval Unit

Optional

Select the interval unit from the drop-down list.

- Hours
- Minutes

Starting At(HH:MM)

Numeric; 5 Characters; Optional

Specify the starting time details.

Ending At(HH:MM)

Numeric; 5 Characters; Optional

Specify the ending time details.

Event

Event Code

Alphanumeric; 50 Characters; Optional

Specify the event code.

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5.6.3 Task Details Button

Click 'Task Details' button in 'Job Maintenance Detail' screen to invoke the following screen. You can also invoke this screen by typing 'UTDTASK' 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:

Task Details

Task ID

Alphanumeric; 16 Characters; Mandatory

Specify the task ID.

Description

Display

The system displays the description for the selected task ID.

Report Burst Details

The system displays the following values:

- Table Name
- Condition
- Burst Field
- Burst Parameter

Click 'Execute' button to apply conditions and view parameters.

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Click 'Condition' button to view the conditions.

You can specify the following values:

Query Criteria

Field For Criteria

Alphanumeric; Optional

Specify the field for criteria.

Values To Be Used

Alphanumeric; Optional

Specify the values to be used.

Enter Values

Alphanumeric; Optional

Specify the values to be entered.

Operator

Optional

Select the operator from the drop-down list. The list displays the following list:

- =
- <>
- <=
- <
- >=
- >
- Like
- Not Like

Parameter

Optional

Select the parameters.

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Query Criteria

Optional

Specify the query criteria by selecting the required parameters such as (, And, Not, Or,)

5.6.4   Parameter Button

You can specify the job specific parameters, which are passed to job class or procedure at runtime. The following details are captured here:

Parameter Number

Display

The system displays the parameter number.

Parameter Name

Alphanumeric; 255 Characters; Optional

Specify the name of the job parameter. The parameter name you specify here is passed to job class or procedure at run time.

Standard

Optional

Select the standard type from the drop-down list.

Parameter Type

Alphanumeric; 20 Characters; Optional

Specify the data type of the parameter.

Parameter Value

Alphanumeric; 255 Characters; Optional

Specify the value of the parameter.

In or Out

Optional

Select if the parameters are in or out from the drop-down list.

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5.7 Job Maintenance Summary Screen

This section contains the following topics:

5.7.1 Invoking Job Maintenance Summary Screen

You can perform the following operations in the Job Maintenance Summary screen:

5.7.2 Retrieving Record in Job Maintenance Summary Screen

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

Invoke the 'Job Maintenance Summary' screen by typing 'UTSJOB' 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 fields:

- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Job ID
- Task ID
- Frequency Basis
- Scheduler Type
- End Date

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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.

5.7.3 Editing Record in Job Maintenance Summary Screen

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

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

5.7.4 Viewing Job Maintenance Record

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

- Invoke the Job Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized 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 Job Maintenance Detail screen is displayed.

5.7.5 Deleting Job Maintenance Record

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

- Invoke the Job Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized 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 Job Maintenance Detail screen is displayed.

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

5.7.6 Authorizing Job Maintenance Record

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

- Invoke the Job 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 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 Job 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.

5.7.7 Amending Job Maintenance Record

After a Job 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 Job 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 Job 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.

5.7.8 Authorizing Amended Job Maintenance record

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

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

5.8 Tasks Summary

This section contains the following topics:

- Section 5.8.1, "Retrieving Record in Tasks Summary Screen"
- Section 5.8.2, "Editing Record in Tasks Summary Screen"

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5.8.1 Retrieving Record in Tasks Summary Screen

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

Invoke the 'Tasks Summary' screen by typing 'UTSTASK' 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 'Tasks 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
- Task 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.

5.8.2 Editing Record in Tasks Summary Screen

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

- Invoke the Tasks 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 Task Maintenance Detail screen is displayed.

- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

5.8.3 Viewing Tasks Record

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

- Invoke the Task Maintenance Summary screen from the Browser.

- Select the status of the record that you want to retrieve for modification in the Authorized 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 Task Maintenance Detail screen is displayed.

5.8.4 Deleting Tasks Record

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

- Invoke the Tasks Summary screen from the Browser.

- Select the status of the record that you want to retrieve for modification in the Authorized 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 Task 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.

5.8.5 Authorizing Tasks Record

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

- Invoke the Tasks 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 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 Task Maintenance Detail screen is displayed.

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- Select Authorize operation from the Action List.

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

5.8.6 Amending Tasks Record

After a Task 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 Tasks 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 Task 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.

5.8.7 Authorizing Amended Tasks Record

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

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

5.9 Scheduling Jobs

This section contains the following topics:

- Section 5.9.1, "Scheduling Jobs"
- Section 5.9.2, "Controlling Jobs"

5.9.1 Scheduling Jobs

All jobs for scheduling are stored in a static data store and each job is associated with a name indicating where the job has to execute. Jobs are created in the Application Server and are scheduled based on this data.

Note

The job name should be unique across the schedulers available in the system.

When the application server starts, the job details from static data store will get cached. These cached jobs will then be scheduled using either the quartz or flux scheduler.

For example, the notification process can be handled by the job schedulers as follows:

- When a contract is created in Oracle FLEXCUBE, a database level trigger acting on the contract main table inserts details like base table name, primary key fields, primary key

values and branch code into a notification log table and sets the process status of the inserted record as 'U' (unprocessed).

- The scheduled job polls the notification log table for unprocessed records and validates whether notification is required.
- If notification is not required, then the process status is set to 'N' (not required) in notification log table.
- If notification is required then notifications are sent to the respective destination and the process status of the record is changed to 'P' (Processed) in notification log table.

5.9.2 Controlling Jobs

The details of jobs that are scheduled can be viewed using the 'Job Details' screen. In this screen you can pause or resume a job that has been scheduled. You can invoke the 'Job Details' screen by typing 'SMSJOBBR' in the field at the top right corner of the Application tool bar and clicking the adjoining arrow button.

You can a search for a scheduled job by specifying any of the following:

Job Name

Alphanumeric; 100 Characters; Optional

Select the name of the job that you want to search for from the option list provided.

Trigger State

Optional

Select the state of the job you want to search for from the option list provided. The following options are possible for Quartz schedulers:

- Not Scheduled
- Scheduled
- Paused
- Complete
- Error

Scheduler

Alphanumeric; 100 Characters; Optional

Select the scheduler to which the job you want to search for has been assigned.

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Job Group

Alphanumeric; 200 Characters; Optional

Select the group to which the job you want to search for belongs, from the option list provided.

Next Fire Time

Numeric; 22 Characters; Optional

Select the time when the job is scheduled to be run next.

Click 'Search' button to view the details related to the job. You can pause a job by selecting it and clicking the 'Pause' button.

You can resume a paused job by clicking 'Resume' button and the job is scheduled for its next fire time.

A job can take any of the following states.

- COMPLETE - This indicates that the trigger does not have remaining fire-times in its schedule.
- NORMAL - This indicates that the trigger is in the "normal" state.
- BLOCKED - A job trigger arrives at the blocked state when the job that it is associated with is a 'Stateful' job and it is currently executing.
- PAUSED - This indicates that the job is manually paused from executing.
- ERROR - A job trigger arrives at the error state when the scheduler attempts to fire it, but cannot due to an error creating and executing its related job. Also, a job arrives at ERROR state when the associated class for the job is not present in class path.

5.10 UH NAV Alert Setup Detail

This section contains the following topics:

- Section 5.10.1, "Invoking UH NAV Alert Setup Detail Screen"

5.10.1 Invoking UH NAV Alert Setup Detail Screen

You can configure the NAV alerts for a fund using 'UH NAV Alert Setup Detail' screen. You can invoke this screen by typing 'UTDUHNAV' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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You can specify the following details:

UH NAV Alert Set Up

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can query for unit holder ID by clicking 'Fund' button.

Name

Display

The system displays the name of the unit holder for the selected unit holder ID.

Fund ID

Alphanumeric; 6 Characters; Mandatory

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

Fund Name

Display

The system displays the name of the selected fund ID.

Indicator

Mandatory

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

- Less
- Less or Equal
- Greater
- Greater or Equal

Value

Numeric; 30 Characters; Optional

Specify the NAV value.

Alert By E-Mail

Optional

Select 'if alert has to be received by e-mail or not from the drop-down list. The list displays the following values:

- Yes
- No

Alert By SMS

Optional

Select 'if alert has to be received by e-mail or not from the drop-down list. The list displays the following values:

- Yes
- No

5.11 UH NAV Alert Setup Summary Screen

This section contains the following topics:

- Section 5.11.1, "Retrieving a Record in UH NAV Alert Setup Summary Screen"

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5.11.1 Retrieving a Record in UH NAV Alert Setup Summary Screen

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

You can invoke 'UH NAV Asset Setup Summary' screen by typing 'UTSUHNAV' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

- 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 Open Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Unit Holder ID
- Fund ID

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

Note

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

– Press F7

– Input the Fund ID

– Press F8

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

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5.11.2 Editing UH NAV Alert Record

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

- Invoke the UH NAV Asset Setup 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 UH NAV Asset Setup Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

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

5.11.3 Viewing UH NAV Alert Record

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

- Invoke the UH NAV Asset Setup 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 UH NAV Asset Setup Detail screen is displayed in View mode.

5.11.4 Deleting UH NAV Alert Record

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

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

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5.11.5 Authorizing UH NAV Alert Record

- An unauthorized UH NAV Asset Setup record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the UH NAV Asset Setup Summary screen from the Browser.

- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.

- Specify any or all of the details in the corresponding fields on the screen.

- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

- Double click the record that you wish to authorize. The UH NAV Asset Setup Detail screen is displayed. Select Authorize operation from the Action List.

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

5.11.6 Amending UH NAV Alert Record

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

- Invoke the UH NAV Asset Setup Summary screen from the Browser.

- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.

- Specify any or all of the details in the corresponding fields on the screen.

- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

- Double click the record that you wish to authorize. The UH NAV Asset Setup Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.

- Amend the necessary information and click on Save to save the changes

5.11.7 Authorizing Amended UH NAV Alert Record

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

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

5.12 General Ledger Setup

This section contains the following topics:

- Section 5.12.1, "Setting up General Ledger Template"
- Section 5.12.2, "Invoking GL Template Detail Screen"

5.12.1 Setting up General Ledger Template

Oracle FLEXCUBE Investor Servicing provides the facility to set up a General Ledger for the purpose of generating accounting entries that would be passed at each event in the life cycle of a transaction.

The events at which the accounting entries could be required for a transaction are as follows:

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- Unitization
- Authorization
- Settlement

Also, a set of theoretical entries could be required at initiation of the transaction.

For these accounting entries, the relevant reporting heads are to be mapped to each transaction. According to the components mapped and the setup in the system, the appropriate accounting entries / theoretical entries are passed at either the Distributor or AMC installation, for the funds for which the setup has been maintained.

You can set up the General Ledger by setting up an accounting template for each transaction type and transaction event, and then mapping the template for a fund-investment account type combination, so that the template comes into effect for transactions in the fund-investment type combination.

5.12.2   Invoking GL Template Detail Screen

You can set up a General Ledger Template for each event in the life cycle of a transaction of a certain type, in the 'GL Template Detail' screen. You can invoke this screen by typing 'UTDGLTMP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Details Section

Template ID

Alphanumeric; 10 Characters; Mandatory

Enter a unique id for the template that you are setting up.

Template Description

Alphanumeric; 35 Characters; Mandatory

Enter a description for the template.

Business Event

Alphanumeric; 2 Characters; Mandatory

Select the type of transaction/process for which the template is being defined.

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Trigger Event

Alphanumeric; 15 Characters; Mandatory

Select the event on which GL Extraction will be initiated. The Trigger Event could be Unitization, Authorization or Settlement.

Theoretical Entries

Mandatory

Select one of the options from the drop-down to indicate if there are entries that will be used for reporting only.

- Yes
- No

GL Currency

Alphanumeric; 3 Characters; Mandatory

Select the GL Currency from the option list provided.

Product Level Apply

Optional

Indicate if the template is applicable at the product level or not from the drop-down list.

Note

You can maintain a GL Setup for more than one currency. This is done by choosing the option 'All Currency' against the field GL Currency. This allows you to maintain one GL for transactions carried out by the customer in different currencies. There will be a currency wise posting in the GL.

Component & Primary Account Details

Component ID

Alphanumeric; 20 Characters; Mandatory

Select the component ids of the components that must appear as entries in the general ledger sub-accounts of the selected funds, for the selected business event.

All the loads that have been defined in the system will be included in the drop-down list. You can also select the option 'VAT'.

Component Description

Alphanumeric; 255 Characters; Mandatory

The description of the component id that you have selected will be displayed.

Debit/Credit

Mandatory

Indicate whether the entries arising due to the selected business event are to be deemed as positive (debit) entries or negative (credit) entries in the general ledger. Select the appropriate option from the drop-down list.

Primary Account Details

Entity

Mandatory

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

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- Unit Holder ID
- Distributor
- AMC
- Fund
- Product

GL SetUp For

Mandatory

The GL set up may be defined for Payment, General Ledger, CASA or SAP. Indicate the same in this field.

Different fields are displayed, enabled or disabled depending on what option you choose. The same is explained below:

Accounting Currency

Mandatory

Select the accounting currency for the primary entity from the drop-down list provided. The list displays the following values:

- Fund Base Currency
- Transaction Currency
- Product Base Currency

Bank Branch

Alphanumeric; 12 Characters; Optional

Select the bank branch from the option list provided.

Account Number

Alphanumeric; 16 Characters; Mandatory

Specify the bank account number.

Transaction Currency

Alphanumeric; 3 Characters; Mandatory

This field will be disabled if you choose the option Fund Base Currency in the field Accounting Currency. If you choose the option Transaction Currency, you can choose the Transaction Currency.

Direct Debit Applicable

Optional

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

- Yes
- No

Contra Account Details

Contra Entity

Mandatory

Select the counter party initiating entity from the drop-down list. The list displays the following values:

- Unit Holder ID
- Distributor

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- AMC
- Fund
- Product

GL SetUp For

Mandatory

The GL set up may be defined for Payment, General Ledger, CASA or SAP. Indicate the same in this field from the drop-down list.

Different fields are displayed, enabled or disabled depending on what option you choose. The same is explained below:

- CASA
- GL
- SAP
- Payment

Depending on what you choose, certain fields will be displayed. The same is explained below:

Contra Accounting Currency

Mandatory

Select the accounting currency for the counter party entity from the drop-down list provided. The list displays the following values:

- Fund Base Currency
- Transaction Currency
- Product Base Currency

Contra Bank Branch

Alphanumeric; 12 Characters; Optional

Select the bank branch from the option list provided.

Contra Account Number

Alphanumeric; 16 Characters; Mandatory

Enter the bank account number.

Contra Transaction Currency

Alphanumeric; 3 Characters; Mandatory

This field will be disabled if you choose the option Fund Base Currency in the field Accounting Currency. If you choose the option Transaction Currency, you can choose the Transaction Currency.

Direct Debit Applicable

Optional

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

- Yes
- No

5.13 GL Template Summary Screen

This section contains the following topics:

- Section 5.13.1, "Invoking GL Template Summary Screen"

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5.13.1 Invoking GL Template Summary Screen

Invoke the 'GL Template Summary' screen by typing 'UTSGLTMP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

GL Template Summary					⤢ ✕

Search   Advanced Search   Reset   Clear All   Records per page   15 ▼

˅ Search Criteria (Search Is Case Sensitive)

Authorization Status	▼	Record Status	▼	Template ID	🔍
Business Event	🔍	Trigger Event	🔍	Theoretical Entries	🔍

Search Results   Lock Columns   0 ▼

☐	Authorization Status ⇕	Record Status ⇕	Status ⇕	Template ID ⇕	Template Description ⇕	Business Event ⇕	Trigger Event ⇕	Theoretical Entries ⇕
	No data to display.							

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Authorize	Delete	Exit

You can perform the following operations in the GL Template Summary screen:

5.13.2 Retrieving Record in GL Template Summary screen

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

Invoke the summary screen and specify any or all of the following details in the corresponding fields:

- The status of the record in the 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
- Template ID
- Business Event
- Trigger Event
- Theoretical Entries

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.

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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.

For example:

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

- Search by G%:- System will fetch all the records whose Template ID starts from Alphabet 'G'. For example: GLTEMP etc.

- Search by %1:- System will fetch all the records whose Template ID ends with the by numeric value' 1'. For example: GL1 etc.

5.13.3 Editing GL Template

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

- Invoke the GL Template 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 GL Template 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 GL Template Detail screen is closed and the changes made are reflected in the GL Template Summary screen.

5.13.4 Viewing GL Template

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

- Invoke the GL Template 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.

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- Double click the record that you want to view in the list of displayed records. The GL Template Detail screen is displayed in View mode.

5.13.5 Deleting GL Template

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

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

5.13.6 Authorizing GL Template

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

- Invoke the GL Template 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 GL Template Detail screen is displayed. Select Authorize operation from the Action List.

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

5.13.7 Amending GL Template

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

- Invoke the GL Template 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 amend. The GL Template 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.

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5.13.8 Authorizing Amended GL Template

An amended GL Template must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module. The subsequent process of authorization is the same as that for normal transactions.

5.13.9 Copying Attributes

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

To copy the attributes:

- Retrieve the record whose attributes the new GL Template should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous sections of this chapter.
- Click on Copy
- Indicate the ID for the new GL Template. You can, however, change the details of the new template.

5.14 GL Template Mapping to Fund – Investment Account Type Combination

This section contains the following topics:

- Section 5.14.1, "Invoking GL Interface Setup Detail Screen"
- Section 5.14.2, "Extraction and Generation of Event based Accounting Entries"
- Section 5.14.3, "Regeneration of Extract"

5.14.1 Invoking GL Interface Setup Detail Screen

After authorized templates have been created, you can map the relevant template to a fund-investment account type combination, in the 'GL Interface Set-Up Detail' screen.

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

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Fund Details Section

GL Reference Number

Alphanumeric; 10 Characters; Mandatory

Specify a reference number for the GL. The field GL Reference Number allows you the flexibility of creating several GL templates with a common Fund ID, Template ID, Component and Account Type. You can distinguish between them by entering a unique GL Reference Number for each.

Template ID

Alphanumeric; 10 Characters; Mandatory

Select the template that you desire to map to the fund-investment account combination to.

Note

When you choose the Template ID, the following sections are displayed in the screen:

- – Template Details Section
- – Component Details Section
- – Restricted Reference Type Section

These have been explained in detail in the section 'Setting Up a General Ledger Template' in this chapter. Please refer to the same for more information.

Template Description

Display

The description of the template is displayed when you select the Template Id.

Fund ID

Alphanumeric; 6 Characters; Optional

Select the fund to which the template is being mapped from the option list provided.

ISIN Code

Display

The ISIN Code of the fund that you choose will be updated in this field.

You could, alternatively, select the ISIN Code of the fund and the Fund ID will be updated.

Apply at Product Level

Optional

Select if the template has to be applied at product level or nor from the drop-down list. The list displays the following values:

- Yes
- No

Product ID

Alphanumeric; 10 Characters; Optional

Select the Product to which the template is being mapped, from the option list provided.

Account Type

Alphanumeric; 2 Characters; Mandatory

Select the investment account type for which the template is being mapped.

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GL Currency

Alphanumeric; 3 Characters; Mandatory

Select the GL Currency from the option list provided.

Note

- As mentioned above, the field GL Reference Number allows you the flexibility of creating several GL templates with a common Fund Id, Template Id, Component and Account Type. You can distinguish between them by entering a unique GL Reference Number for each.

- You can maintain a GL Setup for more than one account type. This is done by choosing the option 'All Account Types' against the field Account Type.

For example, if you want to define a GL setup for a fund FUND1 for two account types CPFOA and Cash Direct, you can choose the option 'All Account Types' instead defining two different GL templates for each of the account types.

You can maintain a GL Setup for more than one currency. This is done by choosing the option 'All Currency' against the field GL Currency. This allows you to maintain one GL for transactions carried out by the customer in different currencies. There will be a currency wise posting in the GL.

Template Details

Business Event

Alphanumeric; 2 Characters; Optional

Select the type of transaction/process for which the template is being defined.

Trigger Event

Alphanumeric; 15 Characters; Optional

Select the event on which GL Extraction will be initiated. The Trigger Event could be Unitization, Authorization or Settlement.

Theoretical Entries

Optional

Select one of the options from the drop-down to indicate if there are entries that will be used for reporting only.

- Yes
- No

Component Details

The system displays the following component details:

- Component ID
- Component Description
- Debit/Credit
- Primary/ Contra Entity Details

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Restricted Reference Type

Restricted Reference Type

Alphanumeric; 10 Characters; Optional

Specify the Restricted Reference Type.

Restricted Sub Types

Restricted Sub Types

Alphanumeric; 255 Characters; Optional

Specify the Restricted Sub Type.

5.14.2 Extraction and Generation of Event based Accounting Entries

A batch process extracts the relevant accounting entries according to the GL setup for the fund, and generates the accounting entries that would be passed, automatically at EOD.

For cash nominee accounts, no theoretical entries are generated at the AMC when the GL extract is generated, since these accounts are of the Distributor.

The System checks whether the transaction date is a holiday in any of the calendars. The settlement date (Contractual Settlement Date) is derived based on the mode of payment, payment lag maintained for the fund.

As of the unitization or allocation date, the theoretical (cash flow indicator) entries, if indicated in the GL maintenance, are generated. At the Distributor, the accounting entries generated for the underlying transaction reflect the movement of funds to Distributor, unit holder and fund accounts. At the AMC, the accounting entries generated for the underlying transaction reflect the credit or debit to fund investment, fund manager, Distributor, rounding and transaction charge account.

The payment date for the underlying transaction is also arrived at according to the transaction payment mode. The settlement process is initiated on the date on which payment clearing is performed, which is tracked as the Actual Settlement Date. At the Distributor, the accounting entries generated reflect the movement of funds between the fund receivable account and the Distributor. At the AMC, the accounting entries generated reflect the movement of funds between the fund account and unit holder pooled investment account.

For cash based transactions, the unitization and payment date are the same and both theoretical and actual entries are passed as on this date.

5.14.3 Regeneration of Extract

Once the accounting data passed due to a GL setup has been extract, you can re-extract and regenerate the data, if required.

To re-extract the data, you must provide the ID of the fund and the unit holder for which you wish to re-extract the data and the date range between which the data was extracted. If you do not provide a fund or unit holder ID, the data is re-extracted for entries generated within the date range specified.

After re-extraction, you can either regenerate the entries or generating a report containing the entries.

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5.15 GL Interface Set-Up Summary

This section contains the following topics:

5.15.1 Retrieving a Record in GL Interface Set-Up Summary Screen

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

Invoke the 'GL Interface Set-Up Summary' screen by typing 'UTSGLISD' in the field at the top right corner of the Application tool bar. Click on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the 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
- Product ID
- GL Reference Number
- Business Event
- Theoretical Entries
- Fund ID
- Template ID
- Account 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.

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

5.15.2 Editing GL Interface Set-Up Record

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

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

5.15.3 Viewing GL Interface Set-Up Record

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

- Invoke the GL Interface Set-Up Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- 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 GL Interface Set-Up Detail screen is displayed in View mode.

5.15.4 Deleting GL Interface Set-Up Record

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

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- Invoke the GL Interface Set-Up Summary screen from the Browser.

- Select the status of the record that you want to retrieve for deletion.

- Specify any or all of the details 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 GL Interface Set-Up Detail screen is displayed.

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

5.15.5 Authorizing GL Interface Set-Up Record

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

- Invoke the GL Interface Set-Up Summary screen from the Browser.

- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.

- Specify any or all of the details 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 GL Interface Set-Up Detail screen is displayed. Select Authorize operation from the Action List.

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

5.15.6 Amending GL Interface Set-Up Record

After a GL Interface Set-Up 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 GL Interface Set-Up 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 GL Interface Set-Up Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.

- Amend the necessary information and click on Save to save the changes

5.15.7 Authorizing Amended GL Interface Set-Up Record

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

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

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5.16 Accounting System General Ledger Setup

This section contains the following topics:

5.16.1 Invoking Accounting System GL Setup Detail Screen

You can use this screen in the Administration menu category of the Fund Manager component to

- Map the load component codes in FCIS to their corresponding charge codes in the external system.
- Edit existing mappings
- Delete existing mappings

When you map each load component code (GL Account Code) to its corresponding charge code that is defined for the load in the external system, the load information in the exported transaction data is recognized and assimilated in the external system.

Invoke the 'Accounting System GL Setup Detail' screen by typing 'UTDGLACM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

When you open this screen, all the codes that have already been mapped are displayed.

GL Account Code

Alphanumeric, 10 Characters; Mandatory

Select the account code in the FCIS system that must be mapped to its corresponding charge code in the external system. This is the GL Account Code that has been assigned to this load component in the Fund Load Setup record.

External Code

Alphanumeric, 10 Characters; Mandatory

Specify the account code in the external system that corresponds to the selected FCIS system code.

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5.17 Accounting System GL Setup Summary

This section contains the following topics:

5.17.1 Retrieving a Record in Accounting System GL Setup Summary Screen

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

Invoke the 'Accounting System GL Setup Summary' screen by typing 'UTSGLACM' in the field at the top right corner of the Application tool bar. Click on the adjoining arrow button and specify any or all of the following details in the corresponding details.

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

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 any parameter
- Press F8

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

5.17.2 Editing Accounting System GL Setup Record

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

- Invoke the Accounting System GL Setup 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 Accounting System GL Setup Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The Accounting System GL Setup Detail screen is closed and the changes made are reflected in the Accounting System GL Setup Summary screen.

5.17.3 Viewing Accounting System GL Setup Record

To view a record that you have previously input, you must retrieve the same in the Accounting System GL Setup Summary screen as follows:

- Invoke the Accounting System GL Setup 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 Accounting System GL Setup Detail screen is displayed in View mode.

5.17.4 Deleting Accounting System GL Setup Record

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

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

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

5.17.5 Authorizing Accounting System GL Setup Record

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

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

5.17.6 Amending Accounting System GL Setup Record

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

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

5.17.7 Authorizing Amended Accounting System GL Setup Record

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

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

5.18 FCIS – AWD Interface

This section contains the following topics:

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5.18.1 FCIS-AWD Interface Description

At the end of a day's batch processing, Oracle FLEXCUBE Investor Servicing will produce a file which contains all the transactions that have failed validation criteria. The FCIS – AWD Interface will assign a unique error code for each of the failed transactions and pass the file to another external system. This external system will translate the error codes into AWD Worktype and produces an AWD/RIP control file for AWD/RIP.

5.18.2 Maintaining Interface Specific Details

You need to maintain the external system AWD in the FCIS Data Mapping Maintenance screen with the code description as ERROR CODE. Consequently, the file that will be sent to AWD by FLEXCUBE Investor Services will have the header 'AWD'.

Refer to the section 'Maintaining Data Mapping' in the chapter 'Maintaining System Parameters' for further details.

5.18.3 Interface Attributes

The FCIS – AWD Interface has the following attributes:

Trigger	EOD Activity
Transport Type	File System
File Type	Delimited
Header Row	No
Record Separator	New Line Character
Field Separator	Comma

5.18.4 Process Workflow

The FCIS - AWD interface will fetch all the allocation errors that have occurred on transactions after all the validations. The interface will then transfer a file with the details in the required format. The interface will also provide the subscriptions, redemptions and income distributions for which the bank details are unverified.

5.18.5 File Format for FCIS – AWD Interface

The file which contains the errors that have occurred on transactions will be in the following format:

Field Name	Data Type	Details
Error Code	Number	The FCIS error code will be translated as per the data mapping maintenance.
Account Number	Character	The unit holder ID of the transaction.
Fund id	Character	The fund ID of the transaction.
Account Group No	Character	Product ID of the transaction. The value will be 'UT' if it is a unit trust transaction.

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Field Name	Data Type	Details
Account Group Type	Character	The product type of the product maintained in FCIS.
Surname	Character	The Last Name of the unit holder involved in the transaction
Date of birth	Number(8)	Unit holder's Date of birth in YYYYMMDD format
Account Reference Number	Character	The transaction number.
Date	Number(8)	Transaction date in YYYYMMDD format

5.19 EPU Upload

This section contains the following topics:

5.19.1 EPU Upload Processing

In EPU Upload, FCIS receives distribution rates for all non Money Market Funds from an external system. The frequency of the upload depends on the frequency of distribution rates declared for each fund.

5.19.2 Interface Workflow

When a file is received, the system processes a record only if there is no previous EPU entry (for the fund as on the distribution date) and the dividend record is unprocessed. If there is an EPU record already existing, the system displays an error message 'Duplicate Record'. If the system does not find any duplicate records, it stores the data in tables and deletes the file.

5.19.3 Attributes

The attributes present in the EPU upload file interface are as follows:

- The interface is capable of handling incoming information to FCIS as a delimited file.
- The upload is during EOD operations.
- The fields are separated by the delimiter 'Comma'.
- The column headings of the header row are also separated by 'Comma'.
- The records are separated by the New Line Character.

Outgoing responses are not within the scope of this interface.

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5.19.4 Message Format

Refer the chapter 'Appendix B - Upload file formats – B', Volume IV of Upload Format User Manual.

5.20 Tax Aggregation Interface

This section contains the following topics:

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5.20.1 Tax Aggregation Interface Description

The Tax Aggregation Interface facilitates the export and subsequent import of all tax information relating to Annuity Income. The dispatch and receipt of the information is done on a monthly basis.

5.20.2 Interface Workflow

FCIS collates tax information across all lines of business every month only for clients with Annuity income. This is sent across to an application which checks if the tax payable by the client has been accurately calculated. The application then sends the accurate values of tax which will be updated in the designated tables in FCIS. There will be no processing of the data imported.

5.20.3 Attributes

The attributes present in the Tax Aggregation File interface are as follows:

- The interface handles outgoing information from FCIS as a delimited file.
- The upload is manual.
- There is no header row.
- The trailer row is the Control Records
- The field separator is a comma.
- The records are separated by the New Line Character.

The incoming information into FCIS is handled the same manner as the outgoing information.

5.20.4 Message Format

Refer to the chapter 'Appendix B - Upload file formats – B' of Upload Format User Manual.

5.21 Agent Reference File

This section contains the following topics:

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5.21.1 Agent Reference File Description

The Agent Reference File is an import interface. The broker details like Broker Name, Broker Type, etc are updated in the FCIS using this interface. . The repository of OMIPAY, i.e., SAP, will send a file to the system which includes the broker details. These records are compared with the records present in the system. If there is any mismatch in the OMIPAY data, the system will be updated accordingly.

Note

This interface does not create new brokers; instead the existing broker details will be updated.

5.21.2 Interface Attributes

The attributes present in the Agent Reference File interface are as follows:

- The upload is triggered during End of Day process.
- The transport of data occurs through File System.
- The file type is delimited.
- The header row consists of column headings separated by commas.
- The Record separator is New Line Character.
- The Field separator is a comma.

5.21.3 Message Format

Refer to the chapter 'Appendix B - Upload file formats – B' of Upload Format User Manual for details on Message format.

5.22 Oracle Financial Interface

This section contains the following topics:

- Section 5.22.1, "Oracle Financial Interface Description"
- Section 5.22.2, "Interface Attributes"
- Section 5.22.3, "Message Format"

5.22.1 Oracle Financial Interface Description

Oracle Financial Interface is an export interface that will be done daily. The GL entries posted through out the day will be sent to the external system. The Oracle Financial Accounting System interface consolidates the journal postings and produces the accounts. All transactions and fees will be recorded in Oracle Financials General Ledger. This is an automated process that will run during EOD.

5.22.2 Interface Attributes

The attributes present in the Oracle Financial interface are as follows:

- The upload is triggered during End Of Day process.
- The transport of data occurs through File System.
- The file type is delimited.
- There is no header row.

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- The Record separator is New Line Character.
- The Field separator is a comma.

5.22.3 Message Format

Refer to the chapter 'Appendix B - Upload file formats – B' of Upload Format User Manual for details on Message format.

5.23 Product-Fund- Asset Code Mapping Interface

This section contains the following topics:

- Section 5.23.1, "Product-Fund- Asset Code Mapping Interface Description"
- Section 5.23.2, "Executing Product–Fund–Asset Code Mapping Interface"

5.23.1 Product-Fund- Asset Code Mapping Interface Description

For every Product – Fund ID combination, the system creates an Asset Code. For every valid Product and Fund ID available as part of Product Portfolio mapping combination, the system will generate an Asset Code. The system picks up the Asset Code for reporting purpose for the Global Order Placement Interface/Report.

The Global Placement Interface has been explained in detail in the section 'Global Order Placement Interface' of this chapter.

5.23.2 Executing Product–Fund–Asset Code Mapping Interface

The Product Fund Asset Code Upload supports the Product Fund Asset Code Mapping and is a file based upload.

You can execute the Product Fund Asset Code Mapping through the 'Online Execution of Interfaces' screen.

Refer the section 'Online Execution of Interfaces' in this chapter for details on executing the interface maintenance definitions.

5.24 Global Order Placement Interface

This section contains the following topics:

- Section 5.24.1, "Global Order Placement Interface Description"
- Section 5.24.2, "Batch Process for Global Order Generation"
- Section 5.24.3, "Message Format"

5.24.1 Global Order Placement Interface Description

The Global Order Placement is an export interface. This interface will extract policy transaction information like Investment amount (minus Initial Admin and Initial Broker fees), Disinvestment Amount etc. from FCIS and creates a text file which will be handed over to the different AMC. This interface is manually triggered.

You can also report the net value of the Initial admin and Broker Fee to the AMC/ UT along with the UT initial fee return value using Global Order Placement. Hence the exported files will contain both the net amount (Policy amount – Fees) and UT fee return value.

You can group the transactions based on the following:

- Fund
- Transaction Date
- Transaction Type
- Subscription includes Pseudo Switch-in
- Redemption includes Pseudo Switch-out, True Switches, and Transfers
- Product
- UT Fee Return value

Note

System will consider Internal Switches (switch in and switch out) as separate transaction types.

5.24.2 Batch Process for Global Order Generation

The Global Order or Manco Instructions is generated using the batch process. The system will check for all the transactions in this batch process, i.e., if there are fees attached to the policy transaction, the system will forecast the Initial Admin fees and Initial Broker fees using the Project Allocation procedure.

Project Allocation projects the allocation which contains the allotted units based on the price available from the global order. The forecasted fee values are received through the project allocation package.

You can calculate the investment amount using the following formula: Investment Amount = (Policy Transaction Amount) – (Initial Admin Fee) – (Initial Broker Fee).

Investments and Disinvestment Adjustments (Reversals), i.e., Buying and reversal of Selling, will be consolidated into a single value per day's transactions. Similarly, Disinvestments and Investment Adjustments (Reversals), i.e., Selling and reversal of Buying will be consolidated into a single value per day's transactions.

Note

Netting of Investments and Disinvestments is not allowed.

You can report the separate records for the transactions such as Investment Amounts, Disinvestment Amounts, Disinvestment Units, Switches In and Switches Out, for the same Manco Fund per day.

Following points can be used as reference:

- Disinvestment Amount = Amount with a Negative Sign
- Investment Amount = Amount with a Positive Sign
- Reversal of Investment Amount = Amount with a Negative Sign
- Reversal of Disinvestment Amount = Amount with a Positive Sign
- Disinvestment Units = Units with a Negative Sign

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5.24.3 <u>Message Format</u>

Refer to the chapter 'Appendix B - Upload file formats – B' of Upload Format User Manual for details on Message format.

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6. Function ID Glossary

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Interface User Guide
[May] [2023]
Version 14.7.2.0.0

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