Core Maintenance

Oracle FLEXCUBE Investor Servicing

Release 14.7.2.0.0

Part No. F75930-01

[May] [2023]

ORACLE

FINANCIAL SERVICES

Table of Contents

ORACLE®

ORACLE®

1. Introduction

1.1 <u>Introduction</u>

Welcome to the Core Maintenance of guide for Oracle FLEXCUBE Investor Services. This document provides an overview of the core maintenances and takes you through the various steps involved in handling all the necessary activities.

FMG and AGY screens roles and rights are operationally controlled based on user branch mapping.

1.2 <u>Audience</u>

NA
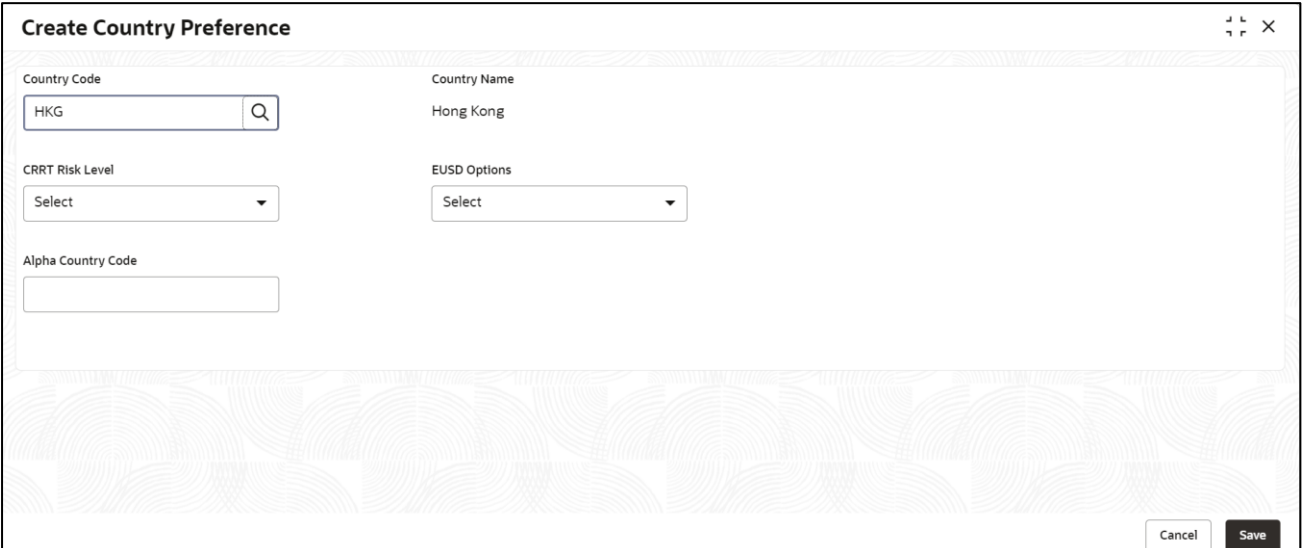
2. Country Preference

This section contains the following topics:

2.1 <u>Create Country Preference</u>

Oracle FLEXCUBE Investor Servicing provides the facility to associate certain attributes for countries maintained in the system. You can define the reputation risk of a country, the EUSD option associated with it and assign alpha codes in the Country Preference Maintenance screen. You can invoke the 'Create Country Preference' screen by typing 'Create Country Preference' in 'Menu Item Search' at the top left corner of the screen or alternatively you can navigate manually Menu -> Investor Servicing -> Country Preference -> Create Country Preference.

Country Code
Alphanumeric; 3 Characters; Mandatory
Select the country for which you wish to define country preferences.

CRRT Risk Level
Optional
Select the CRRT i.e., the Country Reputation Risk Table associated with the country from the drop-down list. The reputation risk level may either be 'High' or 'Low'. High implies that it is a high-risk country while Low indicates cautionary risk country. While creating a unit holder, if the unit holder domicile country is listed in the CRRT list, then system throws up an error depending on the country risk level.

EUSD Options
Optional
You need to associate a EUSD (European Union Savings Directive) option with each country. Based upon unit holder's country of domicile, the corresponding EUSD option of that country will get defaulted during unit holder creation.

The list displays the following values:
- With Holding Tax
- Exchange of Information

By default, no option will be selected. If no option is selected the system will consider that the EUSD is not applicable, and the system will not track the average cost as required for EUSD. If any of the option is selected, then the system will consider that the EUSD is applicable. The EUSD option at transaction level will be defaulted from the unit holder's EUSD Option. You can also modify the EUSD option at transaction level. The transaction level option will be taken as the EUSD option. The following EUSD Options would be available at transaction level.

- With Holding Tax (WHT)-- EUSD tax is computed and deducted
- Exchange of Information (EOI)-- EUSD tax is computed but not deducted
- Tax Certificate (TCE)-- EUSD tax is computed but not deducted

For all the above three options, the system will calculate the EUSD tax. However, if you select With Holding Tax, the system will deduct it from the settlement amount.

Alpha Country Code
Alphanumeric; 2 Characters; Optional
Mention the country code in ISO alpha-2 format

2.2 <u>View Country Preference Screen</u>

This section contains the following topics:

- Section 1.2.1, "Invoking the Create Country Preference Screen"
- Section 1.2.2, "Retrieving Country Preference Details"
- Section 1.2.3, "Editing Country Preference Details"
- Section 1.2.4, "Viewing Country Preference Details"
- Section 1.2.5, "Deleting Country Preference Details"
- Section 1.2.6, "Authorizing Country Preference Details"
- Section 1.2.7, "Amending Country Preference Details"
- Section 1.2.8, "Copying the attributes"

2.2.1 <u>Invoking the View Country Preference Screen</u>

After you have set up the country preferences, you must have another user authorize it so that it would be effective in the system. Country preferences for an unauthorized record will not be used in the system. You can invoke the 'View Country Preference' screen by typing 'View Country Preference' in 'Menu Item Search' at the top left corner of the screen or alternatively you can navigate manually Menu -> Investor Servicing -> Country Preference -> View Country Preference.
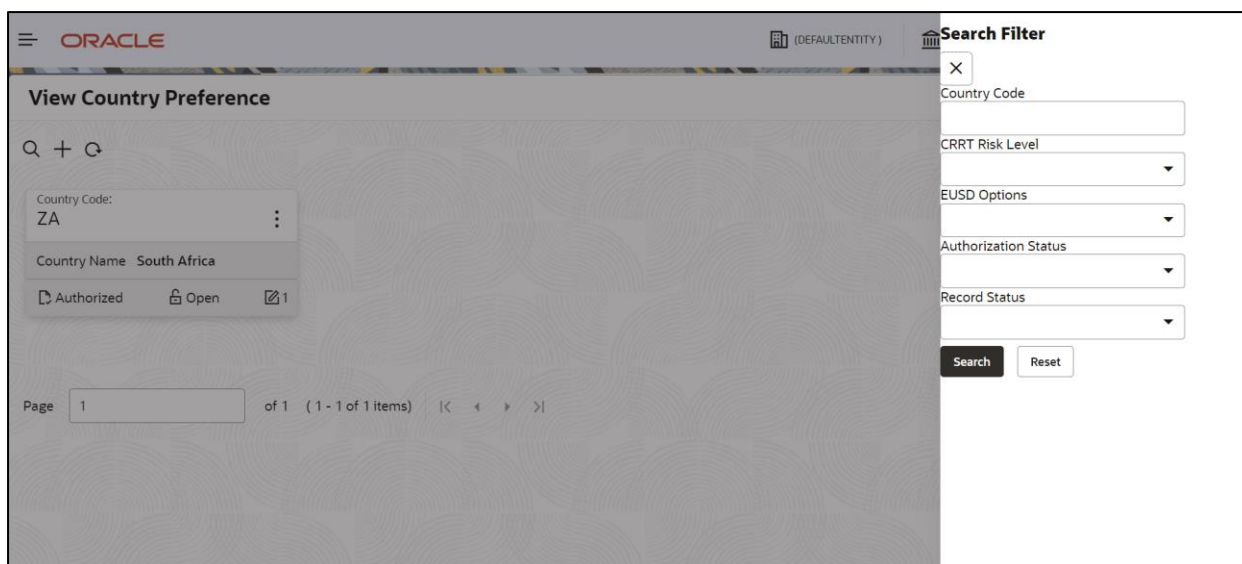
Note

Look and feel of View Country Preference screen may change. Now, in above screenshot, Search Filter is coming at right corner. It may change, to display at the top of the results.

2.2.2 Retrieving Country Preference Details

To retrieve a previously entered currency record:

Invoke the View Country Preference screen and specify the following:

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

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

- The Country Code and
- EUSD Options
- CRRT Risk Level

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

You can perform Edit, Delete, Amend, Authorize, Reverse, confirm operation by selecting from the Action list.
You can also search the record by using combination of % and alphanumeric value.
For example, you can search the record for country code by using the combination of % and alphanumeric value.
Search by Z%: - System will fetch all the records whose country code starts from Alphabet 'Z'.

2.2.3 Editing Country Preference Details

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

- Invoke the View Country Preference screen from the Browser.

- Select the authorization status of the currency records that you want to retrieve for modification in the Authorized field. You can only modify records of currencies that are unauthorized. Accordingly, choose the unauthorized

option from the drop-down list.

- Specify any or all the search parameters of the currency for retrieving the records.

- Click 'Search'. All unauthorized currencies with the specified details are retrieved and displayed in the lower portion of the screen.

- Click on 3 dots menu of the record you want to modify and Select Unlock Operation. Then, Create Country Preference screen is displayed. Modify the necessary information.
- Click Save to save the changes. The Country Preference Maintenance screen is closed and the changes made are reflected in the View Country Preference screen.

2.2.4 <u>Viewing Country Preference Details</u>

To view the currency details that you have previously entered:

- Invoke the View Country Preference Screen from the Browser.

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

- Specify any or all the search parameters.

- Click 'Search'. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dots menu of the record that you want to view and Select View operation. Then, Create Country Preference screen is displayed in view mode.

2.2.5 <u>Deleting Country Preference Details</u>

You can delete only unauthorized records which were not authorized even once. To delete a country preference record:

- Invoke the View Country Preference screen from the Browser.

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

- Specify any or all the search parameters of the currency record in the corresponding fields on the screen.

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

- Click on 3 dots menu of the record that you want to delete and Select Delete Operation. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

2.2.6 <u>Authorizing Country Preference Details</u>

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

- Invoke the View Country Preference Maintenance screen from the Browser.

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

- Specify any or all the search parameters of the currency in the corresponding fields on the screen.

- Click 'Search'. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

- Click on 3 dots menu of the record that you want to Authorize and Select Authorize Operation. The system prompts you to confirm the authorization, and the record is authorized physically from the system database.

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

2.2.7 Amending Country Preference Details

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

- Invoke the View Country Preference screen from the Browser.

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

- Specify any or all the search parameters of the currency in the corresponding fields on the screen.

- Click 'Search'. All currency records with the specified details are retrieved and displayed in the lower portion of the screen.

- Click on 3 dots menu of the record you want to amend and Select Unlock Operation. Then, Create Country Preference screen is displayed in Amendment mode.

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

Note

An amended country preference record must be authorized for the amendment to be made effective in the system. The process of authorization after amendment is same as the process of normal authorization.
If we delete the record after amendment, only the amendments made after Auth are deleted. Record will be available in the system.

2.2.8 Copying the attributes

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

To copy the attributes:

- Invoke the View Country Preference screen from the Browser.

- Select the status of the currency record that you wish to retrieve for copy.

- Specify any or all the search parameters of the currency in the corresponding fields on the screen.

- Click 'Search'. All currency records with the specified details are retrieved and displayed in the lower portion of the screen.

- Click on 3 dots menu of the record, which attributes you want to copy and Select Copy Operation. Then, Create Country Preference screen is displayed in Amendment mode with few/all attributes were copied except key attributes.

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

3. Entities

This section contains the following topics:

3.1 <u>Create Entity</u>

This section contains the following topics:

3.1.1 <u>Setting up Entities</u>

Each business entity that the AMC/Distributor interacts with in the course of managing investment can be profiled in the OBIS system with a unique profile. You can use the Create Entity screen to set up the following entities in the system:

- 1 - Cash management Account
- 2 - Individual Savings Account (ISA) Manager
- 3 - Related Parties
- 4 - Standing Instruction
- 6 - Third Party
- A - Agent
- C - Bulk Client
- D - Distributor
- E - Participating Employer
- G - Legal Entity

- H - Bank Branch
- I - Independent Financial Advisors (IFA)
- J - Fund Manager
- K - Bank
- L - Clearing Agent
- M - AMC
- N - Agency Branch
- O - Account Officer
- P - Service Provider
- Q - Check Vendor
- R - Registrar
- S - Custodian
- T - Trustee
- V - Accounting and Valuation Agent
- W - Underwriter
- X - Paying Agent
- Y - Product Administrator

3.1.2 Invoking Create Entity

You can invoke the 'Create Entity' screen by typing 'Create Entity' in 'Menu Item Search' at the top left corner of the screen or alternatively you can navigate manually *Menu → Investor Servicing → Entity → Create Entity*.

3.1.3 Basic Information Segment

Basic Information Segment will consist of following topics

- Section 2.1.3.1, "General Information"
- Section 2.1.3.2, "Basic Information"
- Section 2.1.3.3, "Other Information"

3.1.3.1 *General Information*

Post invoking of 'Create Entity' screen, below window is displayed to capture General Information.

You can specify the following details:

Entity ID

Alphanumeric; 12 Characters; Mandatory

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

Entity Name

Alphanumeric; 60 Characters; Mandatory

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

Entity Type

Alphanumeric; 1 Character; Mandatory

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

- 1 - Cash management Account
- 2 - Individual Savings Account (ISA) Manager
- 3 - Related Parties
- 4 - Standing Instruction
- 6 - Third Party
- A - Agent
- C - Bulk Client
- D - Distributor
- E - Participating Employer
- G - Legal Entity
- H - Bank Branch
- I - Independent Financial Advisors (IFA)
- J - Fund Manager
- K - Bank
- L - Clearing Agent
- M - AMC

- N - Agency Branch
- O - Account Officer
- P - Service Provider
- Q - Check Vendor
- R - Registrar
- S - Custodian
- T - Trustee
- V - Accounting and Valuation Agent
- W - Underwriter
- X - Paying Agent
- Y - Product Administrator

Entity Type Description

Display

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

Entity Category Type

Optional

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

- Individual
- Corporate

Note

AMC entity supports only corporate category.

Entity Category

Alphanumeric; 2 Characters; Optional

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

Entity Category Description

Display

The system displays the description for the selected entity category.

Restrict cross branching within agent

Optional

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

Nationality

Alphanumeric; 3 Characters; Optional

Select the nationality from the adjoining option list. Applicable when Entity Category Type is Individual.

Nationality Description

Display

The system displays the description of the selected nationality code.

Country of Birth

Alphanumeric; 3 Characters; Optional

Select the country of birth from the adjoining option list. Applicable when Entity Category Type is Individual.

Country Of Birth Description

Display

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

Country of Domicile

Alphanumeric; 3 Characters; Optional

Select the country of domicile from the adjoining option list. Applicable when Entity Category Type is Individual.

Country Of Domicile Description

Display

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

Incorporation Country

Alphanumeric; 3 Characters; Optional

Select the Incorporation country from the adjoining option list. Applicable when Entity Category Type is Corporate.

Country Of Incorporation Description

Display

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

Fund Structure Applicable

Optional

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

- Yes
- No

  This feature is application only for AMC (M). If AMC has Fund Structure applicable, then it

  can be used in Legal Entity as parent entity.

Note

- 'Error & Overrides' option is available at top right corner of screen. This will help user

  to identify list of errors and override details.

- Next button will help to move to next Segment.

- Back button will help to move back to previous Segment.

- Cancel button will help to cancel the current activity and close the Entity screen.

3.1.3.2 _Basic Information_

Following window is displayed for Basic information block

Base Currency

Alphanumeric; 3 Characters; Mandatory

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

Currency Name

Display

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

Parent Entity Code

Alphanumeric; 12 Characters; Optional

Specify the parent entity code. The adjoining option list displays all valid parent entity code maintained in the system. You can choose the appropriate one.
This is applicable only for specific entity types like Agency Branches and Bank Branches.

Parent Entity Name

Display

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

Authorized Signatory

Alphanumeric; 70 Characters; Optional

Enter the name of the Authorized Signatory at the office of the AMC/Distributor/Service Provider.

MICR Code

Alphanumeric; 12 Characters; Optional

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

Global Intermediary Identification Number (GIIN)

Alphanumeric; 19 Characters; Optional

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

Sample format - XXXXXX.XXXXX.XX.XXX

Note

Last 3 Characters are numeric.

GIIN Issue Date

Date Format; Optional

Specify the GIIN issue date.

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

GIIN Expiry Date

Date Format; Optional

Specify the GIIN expiry date.

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

GIIN Verified Flag

Display

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

US Indicia Available

Display

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

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

FATCA Status

Display

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

FATCA Classification

Display

The system displays the FATCA classification type.

Description

Display

The system displays the description for the selected FATCA classification.

Employer ID Number

Alphanumeric; 50 Characters; Optional

Specify the employer ID number.

FATCA Sponsor Type

Optional

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

- Sponsoring Entity
- Sponsored

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

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

Sponsoring Entity Type

Alphanumeric; 1 Character; Optional

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

Sponsoring Entity ID

Alphanumeric; 12 Characters; Optional

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

Tax Category

Alphanumeric; 10 Characters; Optional

Specify the tax category.

Tax Circle

Alphanumeric; 15 Characters; Optional

Specify the tax circle country details.

Tax ID

Alphanumeric; 50 Characters; Optional

Specify the tax identification.

Tax Certificate Effective Date

Date Format; Optional

Specify the date from which the tax certificate is effective.

Tax Certificate Expiry Date

Date Format; Optional

Specify the expiry date of the tax certificate.

Electronic Dealing Allowed

Optional

Check this box to enable specific AMC / Legal Entity for electronic dealing trades. This field will be available for the entity types AMC / Legal Entity.

Default Agency Branch

Optional

Check this box to default the agency branch against an Agent.

Note

Only one default Agency branch can be selected for an Agent

3.1.3.3 *Other Information*

Following window is displayed for 'Other Information' block.

Section

Alphanumeric; 40 Characters; Optional

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

Customer Interface Key

Optional

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

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

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

The FC-IS system will create corresponding unit holder accounts when the customer information is imported from Oracle FLEXCUBE Universal Banking (FCUB), according to option you exercise in this field.

Note

If you select either FCR (FLEXCUBE Retail) or FCC (FLEXCUBE Corporate) as the Bulk Client Type, then you must specify the

Customer Interface Key as mandatory information.

Online Interface

Optional

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

Cross Branching Allowed

Optional

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

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

Note

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

Signed Off?

Display

This indicates whether the given Agency Branch has signed off for the day. This is not used at setup time but used only for EOD purposes. By default, when you set up an Agency Branch, the record is set up with the status 'signed on', which means this field has a 'Off' value.

FLEXCUBE-IS Installed

Optional

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

Module/Agent Type

Alphanumeric; 3 Characters; Optional

Select the type of the Module that is being set up. LOV values are populated based for Agent and Agency Branch Entity type.

For Agent, following values are populated in LOV

- 0 - NON BANK
- 1 - BANK
- 2 - SUB AGENT

For Agency Branch, following values are populated in LOV

- ABR - AGENCY BRANCH
- ASB - BROKER BRANCH
- ASU - UNITHOLDER BRANCH

Module/Agent Description

Alphanumeric; 60 Characters; Optional

The system displays description for the specified agent type.

Finware Posting

Optional

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

Nature of Business

Alphanumeric; 1 Character; Optional

Specify the business avenues supported by the Entity. This option is only available for entities where the entity type is AMC/Distributor. For other Entity Types, User will receive warning message stating 'Nature of Business' will not be saved.

- B - Both
- L - Life Products
- U - Unit Trust

Effective Date for Capital Gains Calculations

Date Format, Mandatory

Specify the date on which capital gains calculations must begin, for the AMC/Distributor. This feature is only available if your installation has specifically requested for it.
It is mandatory for you to specify the effective date if EUSD average cost is to be computed.

ISA Reference Number

Alphanumeric; 5 Characters;

Optional Specify ISA reference

number.

Min ISA Transfer In

Numeric; 30 Characters (18 Precisions and 12 Decimals); Optional

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

Note

Maximum decimal value is derived based on decimal set up of 'Base Currency' in Currency maintenance.

Min ISA Transfer Out

Numeric; 30 Characters (18 Precisions and 12 Decimals); Optional

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

Note

Maximum decimal value is derived based on decimal set up of 'Base Currency' in Currency maintenance.

Auto Settle Switch Transaction

Optional

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

- Yes
- No

This field is enabled only for AMC entity type.

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

Pay Dividend During Redemption

Optional

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

- 100% Only
- ALL

Relationship Termination Date

Display

The system displays the relationship termination date. This is applicable only for AMC type.

Switching Logic

Optional

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

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

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

Unit Holder Generation Logic

Optional

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

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

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

- The first option i.e., AGT&BRN&SERIAL&CHK stands for the Agent Code,

Branch Code, Serial Number and Check Digit.

- The second option i.e., SERIAL&AMC&CHK stands for the Serial Number, AMC ID (or Distributor ID) and Check Digit.
- The third option i.e., SERIAL&AGT&CHK stands for the Serial Number, Agent Code and Check Digit.
- The fourth option i.e., LEADINGZERO&SERIAL stands for Leading Six Zeros and a running Serial Number.
- The fifth option i.e., Unit Holder ID is assigned with User entered Unit Holder Reference Number.
- The sixth option i.e., AJF Generation Logic
- The seventh option i.e, Ctry(1)&Busi(1)&FMG/DIST(4)&A-Z(1)&NUM(5) stands for Country Code, Business Type, AMC ID (or Distributor ID), a running Serial character and running Serial Number.

Note

The above option is applicable only for service provider installations.

- The eight option i.e., <Installed Entity ID/ 4 characters segment code> + Sequence Type + Running Serial No

3.1.4 Address Detail Segment

As part of contact information, you can capture correspondence address, alternate address and SWIFT address. Click 'Address Detail' tab from Segment navigation section and click on 'Add Address' button to maintain the correspondence details.

3.1.4.1 *Contact Information*

Address Type

Mandatory

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

- Correspondence Address
- Alternate Address

- Swift Address

Address Lines 1

Alphanumeric; 105 Characters; Mandatory

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

Address Lines 2

Alphanumeric; 105 Characters; Optional

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

City

Alphanumeric; 80 Characters; Optional

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

State

Alphanumeric; 80 Characters; Optional

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

US State

Optional

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

Zip Code

Alphanumeric; 10 Characters; Optional

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

Country

Alphanumeric; 3 Characters; Mandatory

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

Int. Dialing Code +

Alphanumeric; 10 Characters; Optional

Specify the international dialing code.

Telephone 1

Alphanumeric; 60 Characters; Optional

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

Int. Dialing Code +

Alphanumeric; 10 Characters; Optional

Specify the international dialing code.

Telephone 2

Alphanumeric; 60 Characters; Optional

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

Fax Number

Alphanumeric; 120 Characters; Optional

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

Email

Alphanumeric; 255 Characters; Optional

Specify the Email address of the entity being set up.

Contact Person

Alphanumeric; 70 Characters; Optional

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

Int. Dialing Code +

Alphanumeric; 10 Characters; Optional

Specify the international dialing code.

Cell Phone Number

Alphanumeric; 60 Characters; Optional

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

Effective From Date

Date Format; Optional

This is applicable if the Address Type is Alternate Address.
Specify the date that marks the beginning of the period for which the specified alternate address is in effect.

Effective To Date

Date Format; Optional

This is applicable if the Address Type is Alternate Address.
Specify the date that marks the end of the period for which the specified alternate address is in effect.

BIC Code

Alphanumeric; 12 Characters; Optional

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

3.1.5 <u>Bank Details Segment</u>

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

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

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

- Bank and branch in which the account resides
- Account number
- Account name and the owner of the account
- Account currency
- Whether direct debits are allowed for the account
- Whether the account is the default account for the entity

Click 'Bank Details' tab from Segment navigation section and click on 'Add Bank Detail' button to maintain the bank details.

3.1.5.1 _Bank Details_

Account Name

Alphanumeric; 100 Character; Mandatory

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

Default

Optional

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

Direct Debit Applicable

Optional

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

Account Currency

Alphanumeric, 3 Characters; Mandatory

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

Bank

Alphanumeric; 12 Characters; Mandatory

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

Branch

Alphanumeric; 60 Characters; Mandatory

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

Account Type

Alphanumeric; 1 Character; Mandatory

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

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

Account Operation Type

Display

The system displays the description of account operation type.

Account Number

Alphanumeric; 34 Characters; Mandatory

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

IBAN

Alphanumeric; 40 Characters; Optional

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

Swift Format

Optional

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

- MT103
- MT102

Bank Charged

Optional

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

- Beneficiary
- Remitter
- Share

Reference 1

Alphanumeric; 35 Characters; Optional

Enter the first reference

Reference2

Alphanumeric; 35 Characters; Optional

Specify the second reference

Further Credit Name

Alphanumeric; 35 Characters; Optional

Specify the further credit name.

Further Credit Acct No

Alphanumeric; 35 Characters; Optional

Specify the further credit account number.

3.1.5.2 *Beneficiary Details*

Following window is displayed for Beneficiary Details block

Beneficiary

Alphanumeric; 35 Characters; Optional

Enter the beneficiary Details.

Beneficiary BIC Code

Alphanumeric; 24 Characters; Optional

Specify the BIC code of the beneficiary.

Beneficiary Acct No

Alphanumeric; 34 Characters; Optional

Specify the account number of the beneficiary.

Beneficiary Info

Alphanumeric; 100 Characters; Optional

Specify the information about the beneficiary.

Beneficiary Code

Alphanumeric; 24 Characters; Optional

Specify the code of the beneficiary.

Beneficiary IBAN

Alphanumeric; 40 Characters; Optional

Specify the beneficiary IBAN.

Beneficiary Add1

Alphanumeric; 105 Characters; Optional

Specify the first line of beneficiary address.

Beneficiary Add2

Alphanumeric; 105 Characters; Optional

Specify the second line of beneficiary address.

Beneficiary Add3

Alphanumeric; 105 Characters; Optional

Specify the third line of beneficiary address.

3.1.5.3 *Intermediary Details*

Following window is displayed for Intermediary Details block

Intermediary

Alphanumeric; 35 Characters; Optional

Specify the intermediary details.

Intermediary Acct No

Alphanumeric; 34 Characters; Optional

Specify the account number of the intermediary.

Intermediary Info

Alphanumeric; 100 Characters; Optional

Specify the information about the intermediary.

Intermediary BIC Code

Alphanumeric; 24 Characters; Optional

Specify the BIC Code of the intermediary.

Intermediary Code

Alphanumeric; 24 Characters; Optional

Specify the code of the intermediary.

Intermediary IBAN

Alphanumeric; 40 Characters; Optional

Specify the intermediary IBAN.

Intermediary Add 1

Alphanumeric; 105 Characters; Optional

Specify the first line of beneficiary intermediary.

Intermediary Add 2

Alphanumeric; 105 Characters; Optional

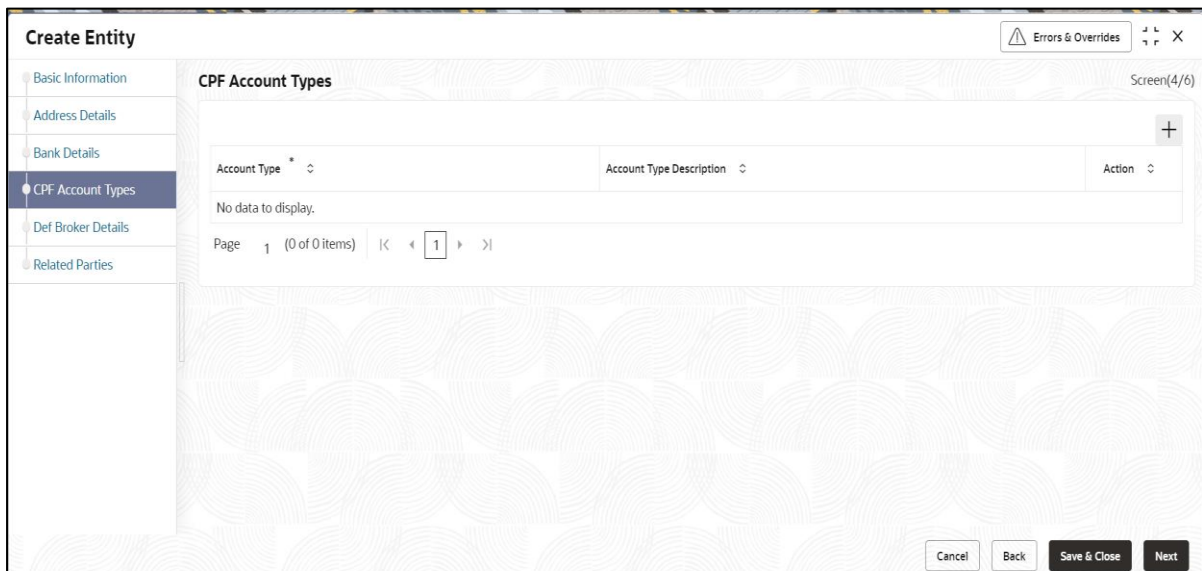Specify the second line of beneficiary intermediary.

Intermediary Add 3

Alphanumeric; 105 Characters; Optional

Specify the third line of beneficiary intermediary.

3.1.6 <u>CPF Account Types Segment</u>

Click 'CPF Account Types' tab from Segment navigation section to maintain Central Provident Fund (CPF) account types

3.1.7 <u>Default Broker Details Segment</u>

Click 'Def Broker Details' tab from Segment navigation section to maintain Default Broker Details.

Create Entity

Errors & Overrides

Def Broker Details

- Basic Information
- Address Details
- Bank Details
- CPF Account Types
- **Def Broker Details**
- Related Parties

Transaction Type * ⇅	Broker Defaulting Mechanism * ⇅	Action ⇅
No data to display.		

Page 1 (0 of 0 items) |< ‹ 1 › >|

Cancel   Back   Save & Close   Next

Transaction Type

Alphanumeric; 20 Characters; Mandatory

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

Broker Defaulting Mechanism

Alphanumeric; 3 Characters; Optional

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

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

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

Note

You can view the 'Defaulting of Broker Details Section' provided the client country

Parameter 'TXNBROKERS' is set to True for the installation in your bank.

3.1.8 Related Parties Segment

Click 'Related Parties' tab from Segment navigation section and click on 'Add Related Party' Button to maintain the Related Party details.

You can specify the following details:

Entity Type

Alphanumeric; 2 Characters; Mandatory

Select the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity type maintained in the system.
The system will allow you to add a related Party only for the Agent Entity Type.

Entity ID

Alphanumeric; 12 Characters; Mandatory

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

Entity Name

Display

The entity name gets displayed on selection of entity ID.

Reporting Level

Alphanumeric; 1 Character; Mandatory

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

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

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

Preferred Mailing Mode

Alphanumeric; 1 Character; Optional

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

- Mail
- E-Mail
- Fax
- SWIFT

Link Notes

Alphanumeric; 255 Characters; Optional

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

Note

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

Related Party Level

Mandatory

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

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

Related Party Value

Alphanumeric; 12 Characters; Mandatory

Specify the related party value. The adjoining option list displays all valid related party values maintained in the system. You can choose the appropriate one.
If you select 'All' in 'Related Party Level' field, then you need to select 'All' from the adjoining option list in 'Related Party Value' field as well. The system will not allow any more records to be added if ALL has been selected in the 'Related Party Level' field for a particular entity ID and entity type combination.

3.2 <u>View Entity (Summary) Screen</u>

This section contains the following topics:

3.2.1 <u>Invoking the View Entity (Summary) Screen</u>

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

Before the entity record is authorized, you can edit it as many times as necessary. You can also
disable an entity before the entity record is authorized.
After authorization, you can only make changes to the entity details through an amendment.
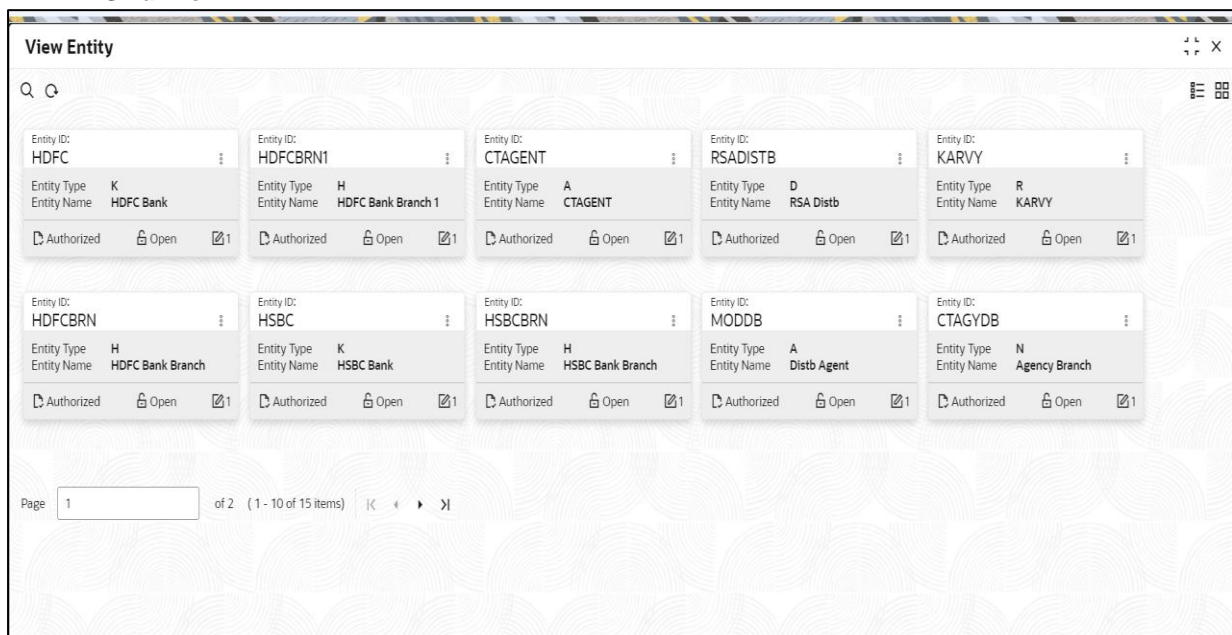
The 'View Entity (Summary)' screen can be used for the following operations on entities:

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

You can invoke the 'View Entity' screen by typing 'View Entity' in 'Menu Item Search' at the top left corner of the screen or alternatively you can navigate manually *Menu → Investor Servicing → Entity → View Entity*.
By default, user is displayed with Grid view. In order to change to List view, click on List view icon at the top right corner of the screen.

Grid View

List View
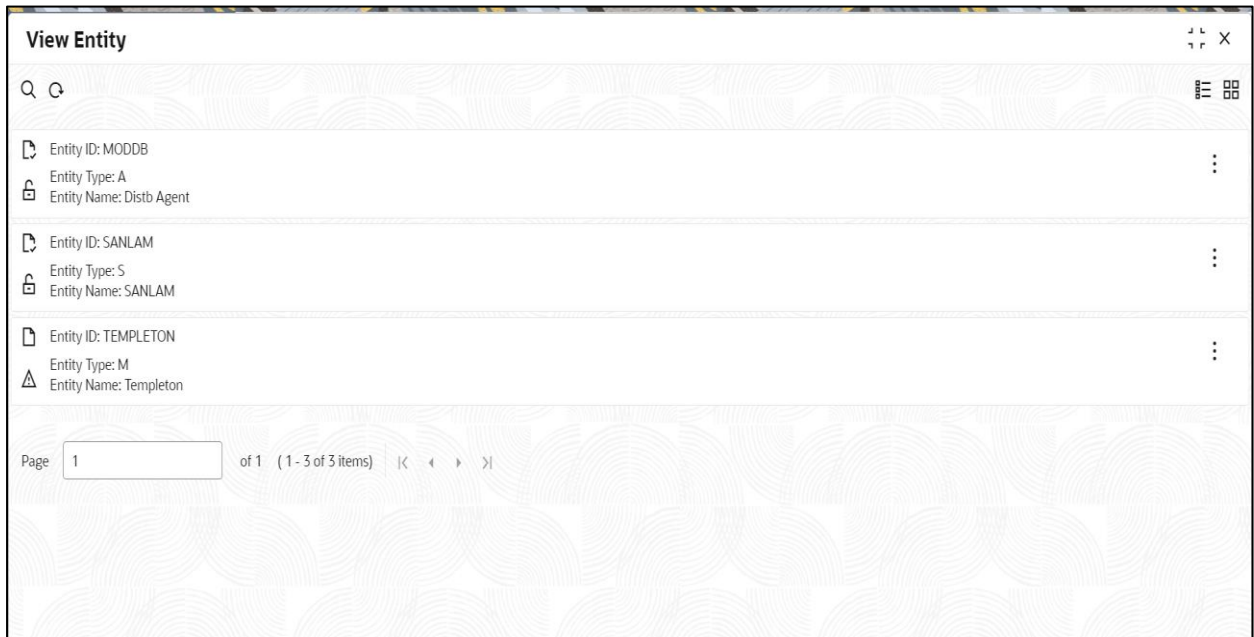
3.2.2 Retrieving Entity in View Entity (Summary) Screen

You can retrieve a previously entered entity as follows:

- Invoke the View Entity (Summary) screen and click on search icon at the top left corner of the screen and specify the following:
  - The status of the entity in the Authorization Status field. If you choose the "Blank Space" option, then all the entities are retrieved.
  - The status of the entity in the Open field. If you choose the "Blank Space" option, then all the entities are retrieved.
  - The Entity ID
  - Entity Type
  - Entity Name
- Click 'Search' button after you have specified the required details, all entities with the specified details are retrieved and displayed in the lower portion of the screen.

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

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

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

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

3.2.3 Editing Entity

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

- Invoke the View Entity (Summary) screen from the Browser.
- Select the status of the entity that you want to retrieve for modification in the Authorization Status field. You can only modify records of entities that are unauthorized. Accordingly, choose the unauthorized option from the drop-down list.
- Specify any or all of the details of the entity in the corresponding fields on the screen to retrieve the entity that is to be modified.
- Click 'Search' button. All unauthorized entities with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and click on Unlock. The Entity Maintenance screen is displayed.
- Modify the necessary information.
- Click Save & Close to save the changes. The Entity Maintenance screen is closed and the changes made are reflected in the Entity Summary screen.

3.2.4 Viewing Entity

To view an entity that you have previously entered:

- Invoke the View Entity Summary Screen from the Browser.
- Select the status of the entity that you want to retrieve for viewing in the Authorization Status field. You can also view all entities that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the details of the entity in the corresponding fields on the screen.
- Click 'Search' button. All entities with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and click on View. The Entity Maintenance screen is displayed in view mode.

3.2.5 Deleting Entity

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

- Invoke the View Entity Summary screen from the Browser.
- Select the status of the entity that you want to retrieve for deletion.
- Specify any or all of the details of the entity in the corresponding fields on the screen.
- Click 'Search' button. All entities with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and click on Delete and the record is deleted physically from the system database.

3.2.6 Authorizing Entities

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

- Invoke the View Entity Summary screen from the Browser.
- Select the status of the entity that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop-down list.
- Specify any or all of the details of the entity in the corresponding fields on the screen.

- Click 'Search' button. All entities with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and select Authorize button. New dialogue window is displayed, click on Approve button to authorize record.

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

3.2.7 Amending Entities

After an entity is authorized, it can be modified using the Unlock operation.

- Invoke the View Entity Summary screen from the Browser.
- Select the status of the entity that you wish to retrieve for amendment. You can only amend records of entities that are authorized.
- Specify any or all of the details of the entity in the corresponding fields on the screen.
- Click 'Search' button. All entities with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and select Unlock button. The Entity Maintenance screen is displayed in Amendment mode.
- Amend the necessary information. Click the Save & Close button to save the changes.

3.2.8 Authorizing Amended Entities

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

4. Segment

This section contains the following topics:

4.1 Maintaining System Segment Information

To set up system segment information, use the 'Create Segment' screen, which is available only in the fund manager. Each segment can potentially represent one country/Agency Branch. Multiple segments can be created in the system. Created Segments can be associated with Agency Branch, Unit holder and Fund in the system. This screen supports New, Edit, Delete, Authorize, Copy, Amend and Close operations. A Segment can be closed unless it is mapped to any Agency Branch or Unit holder or Fund.

Segment ID
Alphanumeric; 12 Characters; Mandatory; Non-Amendable
Enter the segment ID.

Segment Description
Alphanumeric; 255 Characters; Optional; Amendable
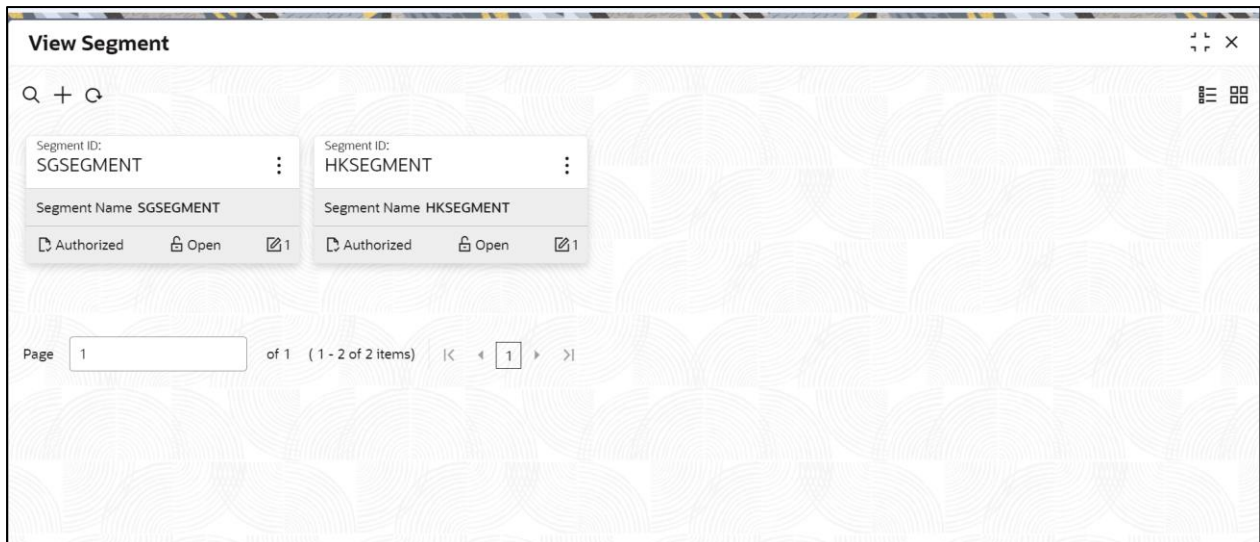Enter the segment Description.

4.2 <u>View Segment Screen</u>

This section contains the following topics:

4.2.1 <u>Retrieving Records in View Segment Screen</u>

Invoke the 'View Segment' screen by typing 'View Segment in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

- Specify any or all of the following details in the View Segment screen:

  – The status of the record in the Authorization Status field. If you choose the "Blank Space" option, then all the records that involve the specified criteria are retrieved.

  – The status of the record in the Open field. If you choose the "Blank Space" option, then all the records that involve the specified criteria are retrieved.

  – Segment ID

  – Segment Description

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

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

4.2.2 Editing Records in View Segment Screen

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

- Invoke the View Segment screen from the Browser.

- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

- Click on three dots menu of the record you want to modify in the list of displayed record.

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

- Click Save to save your changes. The segment maintenance Detail screen is **closed,** and the changes made are reflected in the View Segment screen.

4.2.3 Viewing Records in View Segment Screen

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

- Invoke the View Segment 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.

- Click on 3 dots menu of the record you want to view in the list of displayed records. The Segment Maintenance Detail screen is displayed in View mode.

4.2.4 <u>Deleting Records in View Segment Screen</u>

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

- Invoke the View Segment screen from the Browser.

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

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

- Click on 3 dots menu of the record you want to delete.

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

4.2.5 <u>Authorizing Records in View Segment Screen</u>

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

- Invoke the View Segment screen from the Browser.

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

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

- Click on 3 dots menu of the record wish to authorize. Select Authorize operation from Action.

4.2.6 <u>Amending Records in View Segment Screen</u>

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

- Invoke the View Segment screen from the Browser.

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

- Specify any or all of the details of the segment maintenance in the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Click on 3 dots menu of the record you want to amend. Click the Unlock operation from the Action list to amend the record.

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

When you retrieve a segment maintenance record for making an information change, it is displayed in the segment Maintenance Detail screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

Note

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

If we delete the record after amendment, only the amendments made after Auth are deleted. Record will be available in the system.

5. Source Currency Pair

This section contains the following topics:

5.1 Create Source Currency Pair

All sources that will be used to derive prevailing exchange rates between any two currencies must be identified in the system, with a unique identification and a profile. You can maintain these sources through the 'Create Source Currency Pair' screen.
You can invoke the 'Create Source Currency Pair' screen by typing 'Create Source Currency Pair' in 'Menu Item Search' at the top left corner of the screen or alternatively you can navigate manually Menu -> Investor *Servicing -> Source Currency Pair -> Create* Source Currency Pair

The profile for each source will consist of the following details:
- The unique ID and the name of the source
- The reference currency associated with this source, against which exchange rates for all other currencies will be derived.
- The default fluctuation percentage that is admissible for this source. Exchange Rates derived from this source can be overridden only within this percentage range.
- Units of quotation for the source reference currency, which will be used for the direct rates.

Before you maintain an exchange rate source in this screen, it is desirable to ensure that the currencies must be set up in the system in the Currency Maintenance.

5.1.1 Source Information Section

Source ID
Alphanumeric; 6 Characters; Mandatory
Specify a unique identification for the Source that is to be maintained.

Source Name
Alphanumeric; 60 Characters; Mandatory
Specify the name of the Source that is to be maintained.

Source Reference Currency
Alphanumeric; 3 Characters; Mandatory
Select the currency that is to be designated as the reference currency for this source. This is the currency in which the rates are to be maintained for the other currencies.
An In Currency can be designated as the Reference Currency for a Source only if the validity period (transition period) for the currency has not commenced. At that point when the validity period commences, exchange rates can no longer be captured for this Source. The Reference Currency is defaulted once you select the Source.

Default Fluctuation Allowed (%)
Numeric; 5 Characters; Mandatory
Specify the default percentage by which the exchange rates can be overridden or within which they can be allowed to fluctuate.

Quotation Units for Reference Currency
Alphanumeric; 27 Characters; Mandatory
Specify the units of quotation that must be used for direct rates for the reference currency.

5.1.2 <u>Pair Currency Details Section</u>

Before you set up the pair currencies for a source, it is desirable to ensure that the following Information is already setup in the system:

- The source for which the currency pair setup must be maintained has already been set up in the Source Maintenance.
- The currencies have already been maintained in the Currency Maintenance

Pair Currency
Alphanumeric; 3 Characters; Mandatory
Select the currency that must be set up as a pair currency for the source, from the drop-down list. An In Currency can be designated as a Pair Currency for a particular reference currency only if the validity period (transition period) for the currency has not commenced. At that point when the validity period commences, no exchange rates can be maintained for this currency. The Pair Currency is already set up for the source; you have to only select the pair currency for which exchange rate needs to be maintained

Quotation Mode
Mandatory
Select the mode of quotation that will be used to derive the exchange rate for this currency pair from the drop-down list. It could be a direct or an indirect quote.

Fluctuation Allowed
Numeric; 5 Characters; Mandatory
Specify the default percentage by which the exchange rates can be overridden or within which they can be allowed to fluctuate for this currency pair. This is defaulted to the value specified in the Source Maintenance record for this source, but it can be altered at this stage.

Quotation Units
Numeric; 5 Characters; Mandatory
Specify the units of quotation that must be used in direct rates for this currency pair. This is defaulted to the units specified in the Source Maintenance record for this source. If the mode of quotation specified for the pair is direct, then the default value cannot be altered. If the mode is indirect, then the default value may be altered.

Currency Disabled?
Mandatory
Select 'Yes' option if currency is disabled from the drop-down list. Else select 'No'.

If this is Yes, then, that Source-Pair combination will not be considered for selecting ModeOfQuotation, QuotationUnits, Fluctuation Allowed while generating Transactions, while enriching exchange rates.

5.2 View Source Currency Pair

This section contains the following topics:

5.2.1 Making Changes to Sources or Currency Pairs for Source

After you have set up an exchange rate source, you must have another user authorize it so that it would be effective in the system. Exchange rates for an unauthorized source will not be used in the system.

Before the exchange rate source with its associated pair currencies is authorized, you can edit its details as many times as necessary. You can also delete it before it is authorized.

After authorization, you can only make changes to any of the details of the source and currency pairs through an amendment, except in the following circumstances:

- It has been specified as the default source for the AMC in the Defaults Maintenance.
- Exchange Rates have been captured for the source
- The currency combination selected for amendment is in use as a fund base currency - transaction currency combination for any one fund in the system.
- The currency combination selected for deletion is being used to arrive at a derived rate between two currencies that do not form part of a currency pair for a source.

You can invoke the 'View Source Currency Pair' screen by typing 'View Source Currency Pair' in 'Menu Item Search' at the top left corner of the screen or alternatively you can navigate manually Menu -> Investor Servicing -> Source Currency Pair -> View Source Currency Pair

---
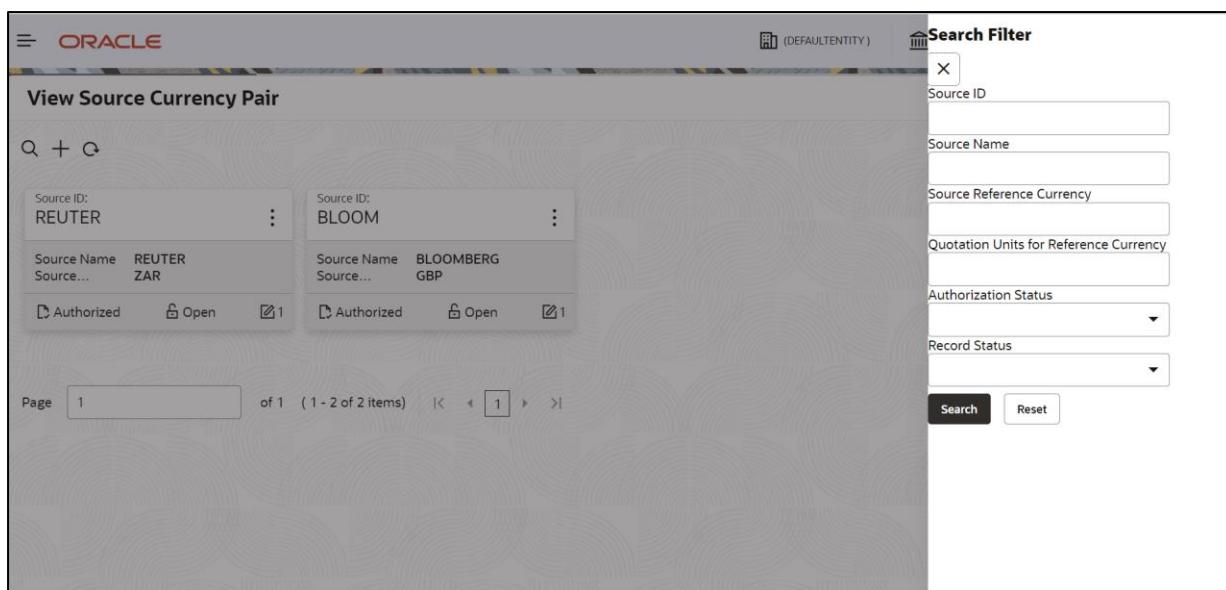
Note

Look and feel of View Source Currency Pair screen may change. Now, in above screenshot, Search Filter is coming at right corner. It may change, to display at the top of the results.

5.2.2 Retrieving Source Currency Pair Record

To perform any operation on a source and currency pair:

- Invoke the View Source Currency Pair screen and specify the following:

  – The authorization status of the source currency pair record in the Authorized field.

    If you choose the "Blank Space" option, then all the records are retrieved.

  – The status of the source currency pair records in the Open field. If you choose the

    "Blank Space" option, then all the records are retrieved.

  – Source ID

  – Source Name

  –Source Reference Currency

  –Quotation Units for Reference Currency

- Click 'Search' button after you have specified the required details. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

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

Example

You can search the record for Source ID by using the combination of % and alphanumeric value that is, Search by R%: The system will fetch all the records whose Source ID starts from Alphabet 'R'. For example, Reuters

5.2.3 Editing Source Currency Pair Details

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

- Invoke the View Source Currency Pair screen from the Browser.

41

- Select the authorization status of the source currency pair records that you want to retrieve for modification in the Authorization Status field. You can only modify records of the source currency pairs that are unauthorized. Accordingly, choose the Unauthorized option from the drop-down list.

- Specify any or all of the search parameters for retrieving the records.

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

- Click on 3 dots menu of the record you want to modify and Select Unlock Operation. Then, Create Source Currency Pair screen is displayed in Unlock mode

- Modify the necessary information

- Click Save to save the changes. The Source Currency Pair Maintenance Detail screen is closed and the changes made are reflected in the View Source Currency Pair screen.

5.2.4 Viewing Source Currency Pair Details

To view the source currency pair details that you have previously entered:

- Invoke the View Source Currency Pair Screen from the Browser.

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

- Specify any or all the search parameters for retrieving the records.

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

- Click on the 3 dots menu of the record that you want to view and Select View Operation. Create Source Currency Pair screen is displayed in view mode

5.2.5 Deleting Source Currency Pair Details

You can delete only unauthorized records which were not authorized even once. To delete a source currency pair record:

- Invoke the view Source Currency screen from the Browser.

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

- Specify any or all the search parameters for retrieving the records.

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

- Click on 3 dots menu of the record that you want to delete and Select Delete Operation.

- Click the source currency pair that you want to delete. System prompts you to confirm the deletion, and the record is deleted physically from the system database.

5.2.6 Authorizing Source Currency Pair Details

An unauthorized source currency pair association must be authorized in the system for it to be processed. To authorize a source currency pair:

- Invoke the View Source Currency Pair screen from the Browser.

- Select the status of the source currency pair records that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop-

down list.

- Specify any or all the search parameters for retrieving the records.

- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

- Click on 3 dots menu of the record that you want to authorize and select Authorize Operation.

- System prompts you to confirm the authorization, and the record is Authorized physically from the system database.

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

5.2.7 Amending Source Currency Pair Associations

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

- Invoke the View Source Currency Pair screen from the Browser.

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

- Specify any or all the search parameters for retrieving the records.

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

- Click on 3 dots menu of the record you want to amend and Select Unlock Operation. Then, Create Source Currency Pair screen is displayed in Amendment mode.

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

Note

An amended source currency pair record must be authorized for the amendment to be made effective in the system. The process of authorization after amendment is same as the process of normal authorization. If we delete the record after amendment, only the amendments made after Auth are deleted. Record will be available in the system.

5.2.8 Copying Attributes of Source Currency Pair

If you want to maintain a source currency pair having the same attributes of an existing source currency pair rate, you can copy the attributes of an existing source currency pair to a new source currency pair.
To copy the attributes:

- Retrieve the source currency pair record whose attributes the new currency pair should
inherit. You can retrieve the record through the View Source Currency Pair screen

- Click on 3 dots menu of the record you want to copy and Select Copy Operation. Then, Create Source Currency Pair screen is displayed with few/all details inherited except key attributes.

- Indicate the new Source ID. You can however change the details if required. And, then save.

6. Time Zone

6.1 <u>Maintaining Time Zone</u>

Oracle FLEXCUBE Investor Servicing (FCIS) enables you to capture time zones for a particular module. This feature is particularly applicable if you are using Oracle FLEXCUBE Investor Servicing for your Financial Services across the globe. The 'Create Time Zone' screen allows you to capture time zones for various modules.

You can specify the following fields in this screen:

Time Zone
Alphanumeric; 12 Characters; Mandatory
Enter the Time Zone. This can be captured for a particular entity.

Description
Alphanumeric; 255 Characters; Mandatory
Enter a brief description of the Time Zone specified.

Rule Effective Date
Date Format; Mandatory
Enter the date from when the Time Zone has to be considered for any particular entity.

Daylight Start Date
Date Format; Optional
Specify the date from when the Daylight-Saving Time or Summertime starts.

Daylight End Date
Date Format; Optional.
Specify the date from when the Daylight-Saving Time or Summertime ends.

Offset From GMT (HH24: MI: SS)
Numeric; 24 Characters; Mandatory
Enter the time difference between the Time Zone and Greenwich Meridian Time.

Server Time Zone
Optional
Make the slider to ON state, to specify if the time zone code is where the server would be located.

Behind GMT
Optional
Make the slider to ON state, to denote that the Time Zone being maintained is behind GMT.

6.2 View Time Zone Screen

6.2.1 Invoking the View Time Zone Screen

To perform any operation on Fund-ISIN association, you must first retrieve the record from the database in the Summary screen. You can invoke the 'View Time Zone' screen by typing 'View Time Zone' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can perform the following operations on a Time Zone:

- View
- Edit
- Delete
- Authorize
- Amend
- Authorize an amended record
- Copy the Attributes
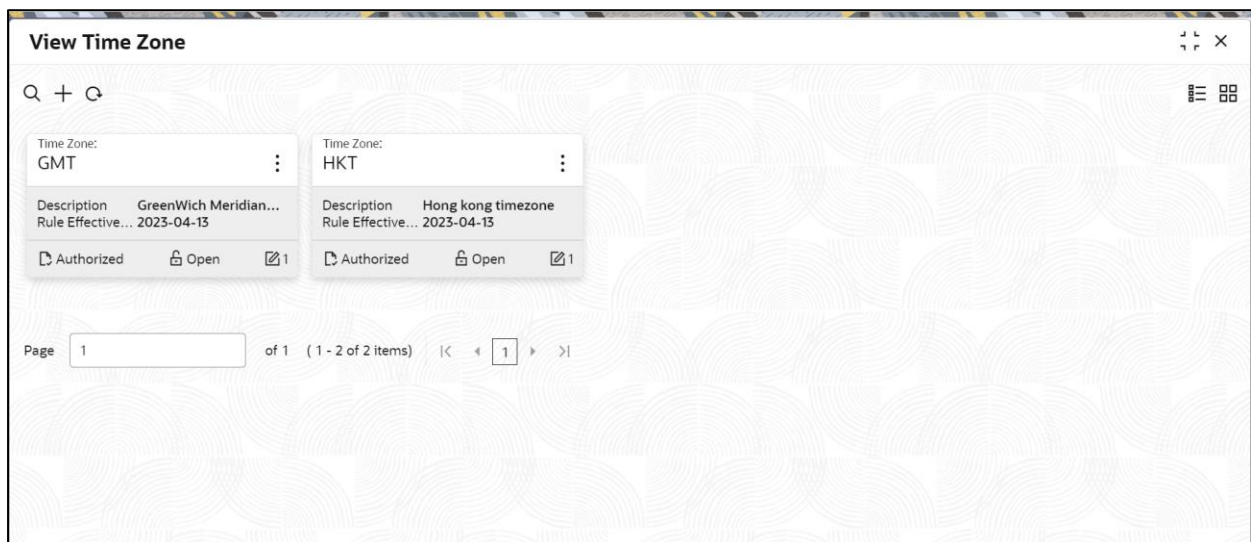
6.2.2 Retrieving Record in View Time Zone Screen

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

Invoke the summary screen and specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorized field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Time Zone
- Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

6.2.3 Editing Time Zone Maintenance

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

- Invoke the View Time Zone 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.

- Click on 3 dots menu of the record you want to modify in the list of displayed records.

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

- Click Save to save your changes. The Time Zone Maintenance Detail screen is closed and the changes made are reflected in the View Time Zone screen.

6.2.4 Viewing Time Zone Maintenance

To view a record that you have previously input, you must retrieve the same in the View Time Zone screen as follows:

- Invoke the View Time Zone 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.

- Click on 3 dots menu of the record you want to view in the list of displayed records. The Time Zone Maintenance Detail screen is displayed in View mode.

6.2.5 Deleting Time Zone Maintenance

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

- Invoke the View Time Zone 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.

- Click on 3 dots menu of the record you want to delete in the list of displayed records.

- 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.

6.2.6 Authorizing Time Zone Maintenance

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

- Invoke the View Time Zone 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.
- Click on 3 dots menu of the record you wish to authorize. 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.

6.2.7 <u>Amending Time Zone Maintenance</u>

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

- Invoke the View Time Zone 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.
- Click on 3 dots menu of the record you wish to authorize Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

Note

An amended Time Zone maintenance record must be authorized for the amendment to be made effective in the system. The process of authorization after amendment is same as the process of normal authorization. If we delete the record after amendment, only the amendments made after Auth are deleted. Record will be available in the system.

6.2.8 <u>Copying Attributes</u>

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

To copy the attributes:

- Invoke the View Time Zone screen from the Browser.
- Click on 3 dots menu of the record you wish to Copy. Select Copy operation from the Action List to Copy the record.
- Amend the necessary information and click on Save to save the changes.

7. Branch Preferences

This section contains the following topics:

7.1 <u>Create Branch Preferences</u>

Typically, in an AMC/Distributor, installation of Oracle FLEXCUBE Investor Servicing installs the following components:

- Fund Manager
- Agency Branch

In case of a Pension house, user should create Pension Module.

In a network scenario, the following situations are also possible:

- A single AMC/Distributor with a single installation may have two or more "instances" of Agency Branch
- A multi-AMC/Distributor situation where a number of AMCs/Distributors are networked, and each AMC/Distributor has one or more Agency Branch.

Each instance of the installation, in a multi-networked situation, is referred to a Branch. At the time of installation, the installation process sets up the Fund Manager in the system.
Subsequently, the system admin User must set up the corresponding Fund Manager, Agency Branch and/or Pension as applicable.

Subsequently, if any new agency branch branches need to be created, the system admin User can create them using the 'Create Branch Preferences' screen. You can invoke this screen by typing 'Branch Preferences' in 'Menu Item Search' at the top left corner of the screen or alternatively you can navigate
manually Menu→Investor Servicing→ Branch Preferences→ Create Branch Preferences.

To set up a branch, specify the following details:

Installation Branch Type

Alphanumeric; 3 Characters; Mandatory

Specify the branch type. You can select branch type from the dropdown list. The list displays all valid branch types maintained in the system.

Installation Branch Code

Alphanumeric; 3 Characters; Mandatory

Specify the Branch Code.
This must be unique, and if any duplicates are detected by the system, a warning message is displayed.

Installation Branch Name

Alphanumeric; 60 Characters; Mandatory

Specify the Branch Name.

Installation Branch Short Name

Alphanumeric; 15 Characters; Mandatory

Specify the Branch Short Name for the Installation Branch Name Entered

Distribution Installation?

Select if distribution installation is required or not from the On/Off Switch. The list displays the following values:

- On- Required
- Off- Not Required

AMC ID /Distributor ID

Alphanumeric; 12 Characters; Mandatory

Select the AMC/Distributor ID from the List of Values.

If the Distribution Installation switch is On, then Distributor ID needs to be selected from List of Values.
Alternatively, if the Distribution Installation switch is Off, then AMC ID needs to be selected from List of Values.

Agent

Alphanumeric; 12 Characters; Mandatory

Select the Agent from the List of Values.

Agency Branch

Alphanumeric; 12 Characters; Mandatory

Select the Agency Branch code from the List of Values.

7.1.1 Basic Information Tab

Registrar ID

Alphanumeric; 12 Characters; Optional

Select the Registrar ID from the List of Values.

Security Level

Alphanumeric; 2 Characters; Optional

Select the security level form the List of Values.

The value signifies the level of security where in 1 is the highest security level and 9 being the lowest.

Country Code

Alphanumeric; 3 Characters; Mandatory

Select the Country Code from the List of Values.

Currency Code

Alphanumeric; 3 Characters; Mandatory

Select the Currency Code from the List of Values.

Segment ID

Alphanumeric; 12 Characters; Optional

Select the Segment from the List of Values.

Fund ID Generation Logic

Alphanumeric; 6 Characters; Optional

Indicate the pattern using which the Fund ID needs to be generated, where the first two characters represent the ISO Country Code (except for any jurisdiction with distributor schemas where the 2nd character will designate whether it is "R"egistrar-world or "D"istributor-world) and the following four characters are auto generated numerals. It should end with "NN".

Default Language

Alphanumeric; 12 Characters; Mandatory

Select the Default Language from the List of Values.

Holiday

Select the appropriate c**heck** box adjacent to holiday date. The options are as follows:
Sunday

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

7.1.2 <u>Unit Holder Preferences Tab</u>

Nationality

Alphanumeric; 3 Characters; Optional

Enter the default Country of the unit holder.

Minor Age

Numeric; 22 Characters; Mandatory

Enter the default age limit for the Minors.

Check UH Duplicates

Indicates whether to check for unit holder Duplicates.

Select if UH Duplicates is required or not from the on/Off Switch. The list displays the following values:

- On- Yes
- Off- No

Title

Alphanumeric; 15 Characters; Optional

Enter the Title to default during unit holder Data Entry. You can make a blank specification so that a blank entry may be accepted as a title by the system.

Marital Status

Optional

Select the Marital Status from the drop-down list to default during unit holder data entry.

It gets populated from Param code "MARITALSTATUS" of Param Maintenance and is currently non-maintainable.

The list displays the following values:

- Divorced
- Married
- Not Available
- Single
- Widowed

Investor Type

Optional

Enter the default Investor Type, whether Individual or Corporate from the drop-down list, during unit holder data entry.

It gets populated from Param code "INVESTORTYPE" of Param Maintenance and is currently non-maintainable.

Resident Status

Optional

Enter Resident or Non-Resident as the Resident Status to default during unit holder data entry.

It gets populated from Param code "RESIDENTSTATUS" of Param Maintenance and is currently non-maintainable.

Gender

Optional

Select Male, Female or Not Available from drop-down list as the Gender to default during unit holder Data Entry.

It gets populated from Param code "SEX" of Param Maintenance and is currently non-maintainable.

Account Type

Alphanumeric; 1 Character; Optional

Enter Current, Savings or Fixed as the Payment Mode to default during Transaction data entry.

It gets populated from Param code "ACCOUNTTYPE" of Param Maintenance and is currently non-maintainable.

7.1.3 <u>Transaction Preferences Tab</u>

Create Branch Preferences

Check Validity Period

Numeric; 22 Characters; Optional

Enter the number of months for which a Check is valid, by default during transactions.

VAT Percent

Numeric; 5 Characters; Optional

Displays the default value for Value Added Tax (VAT) Percentage.

Amend Period

Numeric; 22 Characters; Optional

Enter the default Amendment period for the Fund Rule/Transactions.

Source ID

Alphanumeric; 6 Characters; Optional

From the list, select the default exchange rate source for the AMC.

EUSD Options

Optional

Select the default EUSD (European Union Savings Directive) option for the segment. The options available are:

- **WithHolding Tax (WHT)**: EUSD tax is computed and deducted
- **Exchange of Information (EOI):** EUSD tax is computed but not deducted
- **Tax Exemption Certificate (TEC):** EUSD tax is computed but not deducted

By default, the option is left unchecked. If you do not indicate any EUSD option, then EUSD option will not be applicable for the segment.

Note

This functionality is applicable only for the Fund Manager branch.

Settlement Level

Optional

Indicate whether the payment amount must be compared with the fund base currency amount or the transaction currency amount from the drop-down list while processing transaction settlements.

Mode of Payment

Alphanumeric; 1 Character; Optional

Enter Cash, Check or Transfer as the Payment Mode to default during Transaction data entry.

Redemption Mode

Optional

Enter Amount or Units as the Redemption Mode to default during transaction acceptance.

System General Reference Number

Mandatory

Select if System Generated Reference Number is required or not from the On/Off Switch.

- On- The Reference Number for all the transactions will also be generated by the system.
- Off- The Reference Number must be specified at the time of entering the transaction.

Auto Clear Reinvestments

1 Character Maximum, Alphanumeric, Mandatory

Indicate whether 100% outflow transactions include freeze held and reinvestment units.

You can specify any of the following options:

- **Option not allowed**: Freeze held/reinvestment units should not be considered while processing 100% outflow transactions.
- **Allowed – Default checked:** Freeze held/reinvestment units should be considered while processing 100% outflow transactions by default.
- **Allowed – Default unchecked:** Freeze held/reinvestment units will not be considered while processing 100% outflow transactions by default. However, you can check this option while performing transactions.

Auto Clear Provisional Balance

Mandatory

Indicate whether 100% outflow transactions include provisionally allotted units. You can specify any of the following options:

- **Option not allowed:** Provisionally allotted units should not be considered while processing 100% outflow transactions.
- **Allowed – Default checked**: Provisionally allotted units should be considered while processing 100% outflow transactions by default.
- **Allowed – Default unchecked**: Provisionally allotted units will not be considered while processing 100% outflow transactions by default. However, you can check this option while performing transactions.

Default Time Zone

Alphanumeric; 12 Characters; Mandatory; Non-amendable

Select the default time zone from the values available. All time zones user maintained through the Time Zone Maintenance screen are displayed in the option list.

7.1.4 <u>Limit Preferences Tab</u>

Low Date

Date Format; Mandatory

Enter the default Low date value for the system.

High Date

Date Format; Mandatory

Enter the default High Date Value for the system.

High Amount

Numeric; 30 Characters; Mandatory

Enter the default high amount value.

High Units

Numeric; 27 Characters; Mandatory

Enter the default high unit value.

Round Off Amount

Numeric; 43 Characters; Mandatory

Enter the default value for round off amount.

High Counter

Numeric; 22 Characters; Optional

Enter the default high counter value.

Tax Year Start

Date Format, Mandatory

Specify the start date from which the tax payment should be considered.

Tax Year End

Date Format, Mandatory

Specify the date till which the tax payment should be considered.

Interim Tax Paid Date

Date Format; Optional

Specify the tax payment date here. This is only applicable for non-pensions funds.
> **Note**
>
> It is mandatory to specify the interim tax for funds where IOF/IRRF is applicable.

Interim Tax Frequency

Numeric; 2 Characters; Optional

Specify the tax payment frequency here. This is only applicable for non-pensions funds.
> **Note**
>
> It is mandatory to specify the interim tax frequency for funds where IOF/IRRF is applicable.

Click save icon to save your user profile record. The system confirms the saving of the record.

6.2   <u>View Branch Preferences (Summary) Screen</u>

This section contains the following topics:

-

6.2.1   <u>Invoking the Branch Preferences (Summary) Screen</u>

After you have set up a branch, you must have another user authorize it so that it would be effective in the system.

Before the branch is authorized, you can edit its details as many times as necessary.
You can also delete it before it is authorized.

You can invoke the 'View Branch Preferences' screen by typing 'View Branch Preferences' in 'Menu Item Search' at the top left corner of the screen or alternatively you can navigate manually *Menu → Investor Servicing → Branch Preferences → View Branch Preferences*.

By default, user is displayed with Grid view. In order to change to List view, click on List view icon at the top right corner of the screen.

Grid View
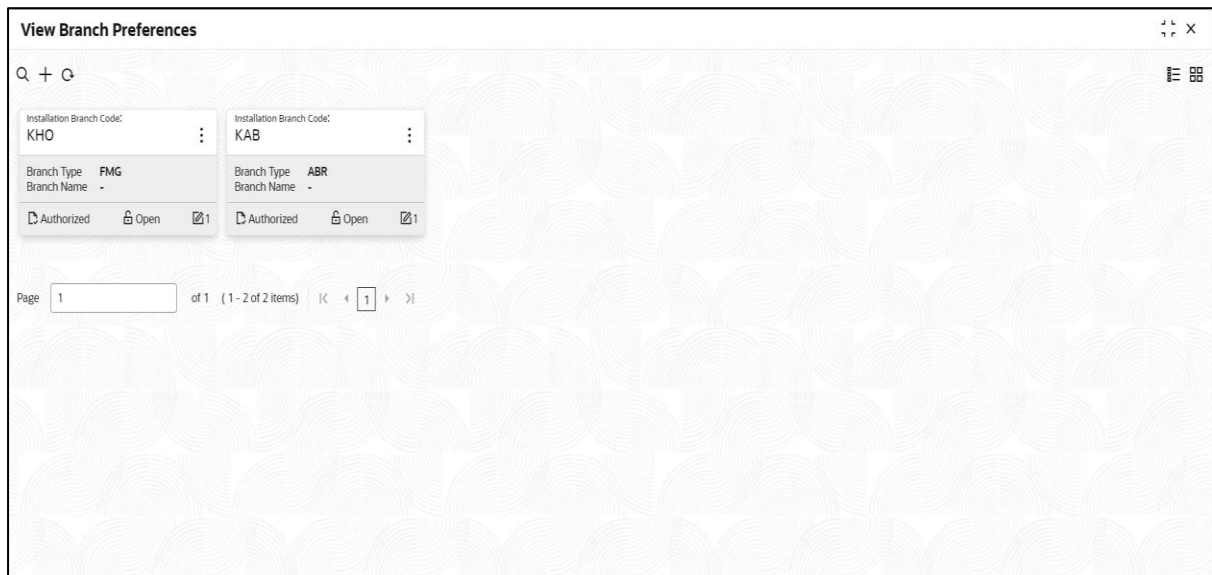
List View
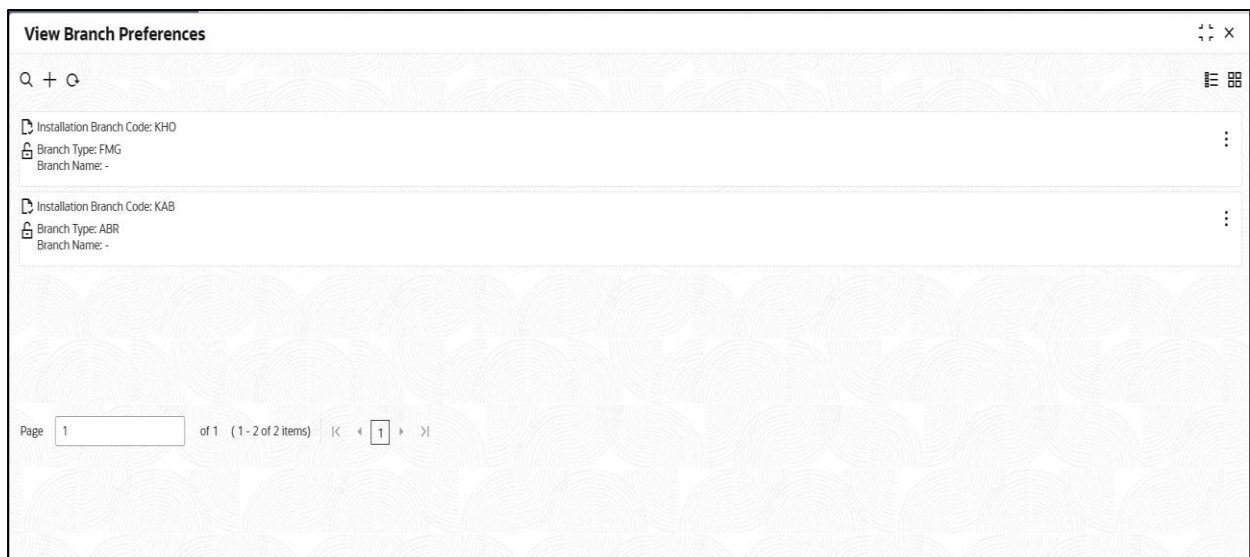
6.2.2 Retrieving Branch in Branch Preferences (Summary) Screen

You can retrieve a previously entered Branch as follows:

● Invoke the View Branch Preferences (Summary) screen and click on search icon at the top left corner of the screen and specify the following:

– The status of the Branch Preferences in the Authorization Status field. If you choose the "Blank Space" option, then all the Branch Preferences are retrieved.

– The status of the Branch Preferences in the Record Status field. If you choose the "Blank Space" option, then all the Branch Preferences are retrieved.

– The Installation Branch Type

– Installation Branch Code

● Click 'Search' button after you have specified the required details, all entities

with the specified details are retrieved and displayed in the lower portion of the screen.

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

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

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

- Search by K%:- System will fetch all the records whose Branch Code starts from Alphabet 'K'. For example, KHO/KAB.
- Search by %B: - System will fetch all the records whose Branch Code ends with Alphabet 'B'. For example, KAB.
- Search by %H%: - System will fetch all the records whose Branch Code contains the Alphabet H. For example, KHO.

6.2.3   Editing Branch Preferences

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

- Invoke the View Branch Preferences (Summary) screen from the Browser.
- Select the status of the Branch that you want to retrieve for modification in the Authorization Status field. You can only modify records of Branches that are unauthorized. Accordingly, choose the Unauthorized option from the drop-down list.
- Specify any or all of the details of the Branch in the corresponding fields on the screen to retrieve the Branch that is to be modified.
- Click 'Search' button. All unauthorized Branches with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and click on Unlock. The Create Branch Preferences is displayed.
- Modify the necessary information.
- Click Save & Close to save the changes. The Create Branch Preferences is closed, and the changes made are reflected in the View Branch Preferences.

6.2.4   Viewing Branch Preferences

To view a Branch that you have previously entered:

- Invoke the View Branch Preferences Summary Screen from the Browser.
- Select the status of the Branch that you want to retrieve for viewing in the Authorization Status field. You can also view all Branches that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the details of the Branch in the corresponding fields on the screen.
- Click 'Search' button. All Branches with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and click on View. The View Branch Preferences screen is displayed in view mode.

6.2.5   Deleting Branch Preferences

You can delete only unauthorized Branches in the system. To delete a Branch:

- Invoke the View Branch Preferences screen from the Browser.

- Select the status of the Branch that you want to retrieve for deletion.
- Specify any or all of the details of the Branch in the corresponding fields on the screen.
- Click 'Search' button. All Branches with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and click on Delete and the record is deleted physically from the system database.

6.2.6   Authorizing Branch Preferences

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

- Invoke the View Branch Preferences screen from the Browser.
- Select the status of the Branch 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 Branch in the corresponding fields on the screen.
- Click 'Search' button. All Branches with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and select Authorize button. New dialogue window is displayed, click on Approve button to authorize record.

When the checker authorizes a Branch, 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 it..

6.2.7   Amending Branch Preferences

After a Branch is authorized, it can be modified using the Unlock operation.

- Invoke the View Branch Preferences Summary screen from the Browser.
- Select the status of the Branch that you wish to retrieve for amendment. You can only amend records of Branches that are authorized.
- Specify any or all of the details of the branch in the corresponding fields on the screen.
- Click 'Search' button. All Branches with the specified details are retrieved and displayed in the lower portion of the screen.
- Click on 3 dotted icon and select Unlock button. The Create Branch Preferences screen is displayed in Amendment mode.
- Amend the necessary information. Click the Save & Close button to save the changes.

An amended branch must be authorized for the amendment to be made effective in the system. The process of authorization is subsequently the same as that for normal process. If we delete the record after amendment, only the amendments made after Auth are deleted. Record will be available in the system.

ORACLE®

Licensing Guide
May 2023
Version 14.7.2.0.0

Oracle Financial Services Software Limited
Oracle Park
Off Western Express Highway
Goregaon (East)
Mumbai, Maharashtra 400 063
India

Worldwide Inquiries:
Phone: +91 22 6718 3000
Fax:+91 22 6718 3001
www.oracle.com/financialservices/