

Subscription Workflow User Guide
Oracle FLEXCUBE Investor Servicing
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1.1 Introduction

Welcome to the Subscription Workflow user guide for Oracle FLEXCUBE Investor Services. This document provides an overview of the subscription process and takes you through the various steps involved in handling all the necessary activities in the life cycle of a subscription.

1.2 Audience

NA

2 Document Accessibility

For information about Oracle's commitment to accessibility, visit the Oracle Accessibility Program website at <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=docacc>.

2.1 Acronyms and Abbreviations

The list of the acronyms and abbreviations that you are likely to find in the manual are as follows:

Abbreviation	Description
FCIS	Oracle FLEXCUBE Investor Services
DS	Data Segment
System	Oracle FLEXCUBE Workflow Module

Table: Acronyms table

2.2 List of Topics

This user manual is organized as follows:

Topics	Description
Oracle FLEXCUBE Investor Services Transaction Process Management	This topic describes the subscription process, and the Reference Process flow is updated in this chapter.

Table: List of Topics

2.3 Symbols

This user manual may refer to all or some of the following icons:

Table 1: Symbols

→	Represents Results
---	--------------------

3 Oracle FLEXCUBE Transaction Process Management

This document provides an overview of the transaction (Subscription) process and takes you through the various steps involved in handling all the necessary activities in the life cycle of a transaction process.

The document is designed to help you create following types of transaction:

- Subscription

4 Transaction Workflow Setup

4.1 Conductor DSL upload

Subscription workflow uses JSON-based **DSL** (short for, **domain-specific language**) to define the workflows and workflow steps (tasks). DSL will specify the stages, outcome of stages and what action has to be taken based on outcome e.g. PROCEED or REJECT.

Download the obis-process-flow.zip and extract TRANSACTION.json and HOSTORCHESTRATOR.json on your desktop. In postman send the following request.

Operation	POST
URL	http://ofss-mum-3505.snbomprshared1.gbucdsint02bom.oraclevcn.com:8011/plato-orch-service/api/metadata/workflow
Header	isMEEnabled:false entityid:DEFAULTENTITY appid:platoorch branchcode:000
Body	TRANSACTION.json and HOSTORCHESTRATOR.json

FCIS SUB Testing / Conductor Post workflow

POST http://ofss-mum-3834.snbomprshared1.gbucdsint02bom.oraclevcn.com:8011/plato-orch-service/api/metadata/workflow

Params Authorization Headers (12) Body Pre-request Script Tests Settings Cookies

KEY	VALUE	DESCRIPTION
<input checked="" type="checkbox"/> isMEEnabled	false	
<input checked="" type="checkbox"/> entityid	DEFAULTENTITY	
<input checked="" type="checkbox"/> appid	platoorch	
<input checked="" type="checkbox"/> branchcode	000	
Key	Value	Description

Body Cookies Headers (8) Test Results

200 OK 720 ms 350 B Save Response

Pretty Raw Preview Visualize Text

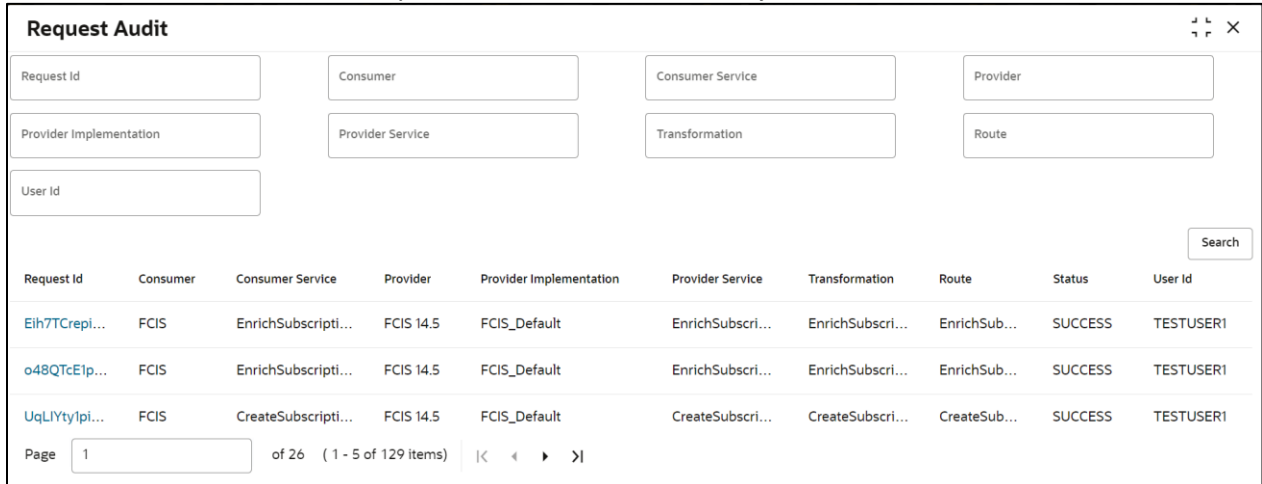
1

Figure: Conductor Post Workflow

5 Routing Hub Configuration

Download obis-obrh-config.zip from shipment and extract FCIS_Consumer_Service.json.

Go to Service Consumers and Import FCIS_Consumer_Service.json.

A screenshot of the 'Request Audit' interface. It features a top section with filter boxes for Request Id, Consumer, Consumer Service, Provider, Provider Implementation, Provider Service, Transformation, Route, and User Id. A 'Search' button is on the right. Below the filters is a table with 10 columns: Request Id, Consumer, Consumer Service, Provider, Provider Implementation, Provider Service, Transformation, Route, Status, and User Id. Three rows of data are visible, all with a status of 'SUCCESS' and user 'TESTUSER1'. At the bottom, there is a pagination bar showing 'Page 1 of 26 (1 - 5 of 129 items)' and navigation icons.

Request Id	Consumer	Consumer Service	Provider	Provider Implementation	Provider Service	Transformation	Route	Status	User Id
Eih7TCrepi...	FCIS	EnrichSubscripti...	FCIS 14.5	FCIS_Default	EnrichSubscri...	EnrichSubscri...	EnrichSub...	SUCCESS	TESTUSER1
o48QTcEIp...	FCIS	EnrichSubscripti...	FCIS 14.5	FCIS_Default	EnrichSubscri...	EnrichSubscri...	EnrichSub...	SUCCESS	TESTUSER1
UqLIYtylpi...	FCIS	CreateSubscripti...	FCIS 14.5	FCIS_Default	CreateSubscri...	CreateSubscri...	CreateSub...	SUCCESS	TESTUSER1

Figure: Request Audit

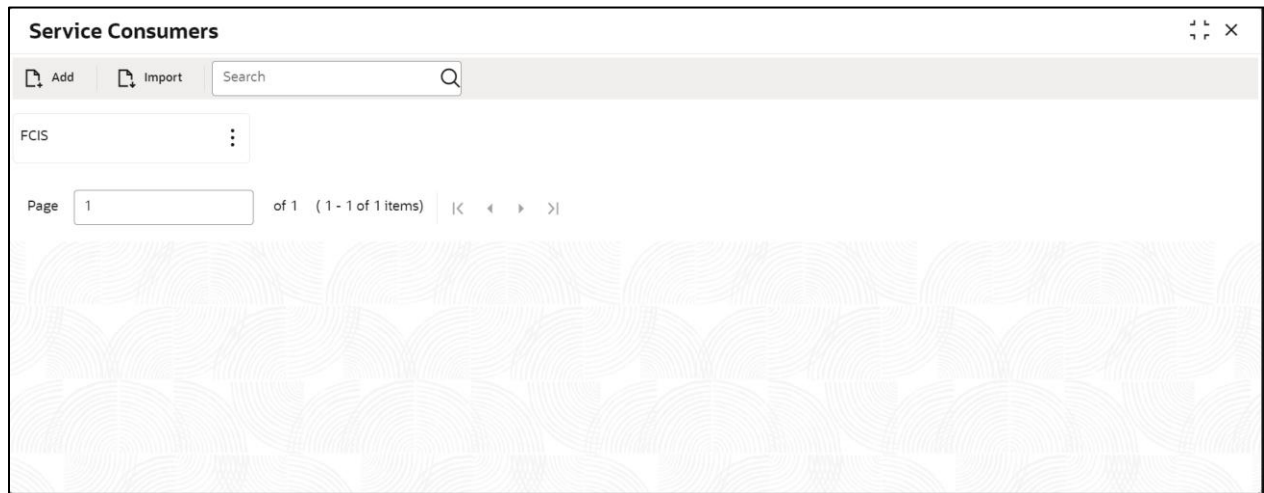


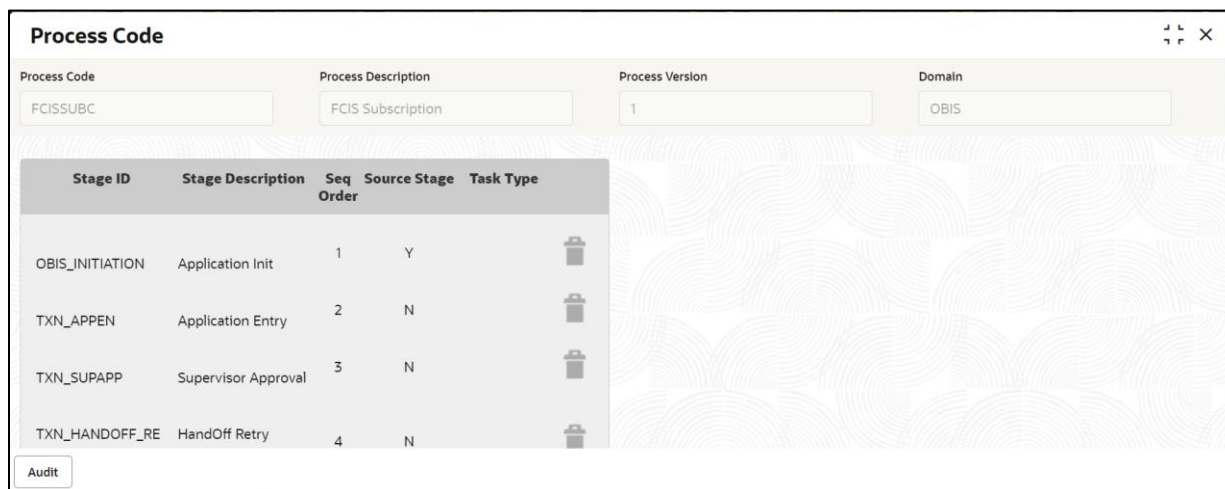
Figure: Service consumers

NOTE: After import, kindly update the host, port, and header details (Module Code, User Id) as per the FCIS rest setup.

6 Workflow Operation Configuration

6.1 Process Code Create

The process code created should be in sync with the DSL, and the functional activity code must be added to the user role.



Stage ID	Stage Description	Seq Order	Source Stage	Task Type
OBIS_INITIATION	Application Init	1	Y	
TXN_APPEN	Application Entry	2	N	
TXN_SUPAPP	Supervisor Approval	3	N	
TXN_HANDOFF_RE	HandOff Retry	4	N	

Audit

Figure: Process Code

6.2 Process Code View



Process Code: FCISSUBC

Process... FCIS Subscription
Process Code FCISSUBC

Authorized Open 1

Page 1 of 1 (1 - 1 of 1 items)

Figure: View Process Code

6.3 Business Process Create

User has to create a business process and provide the process code, once process code is selected the stages will be listed in the filmstrip and user has to map the respective data segments.

Business Process Defintion

Business Process Code

OBI30

Business Process Description

Dry Run Business Process

Lifecycle

TXNOrig

Lifecycle Description

Transaction Origination

Individual

FCISSUBC

Process Code

FCIS Subscription

Process Description

FCIS Subscription

Process Full View

Business Product Code

OBI30

Application Init

Application Entry

Supervisor Approval

HandOff Retry

Application Init

Audit

Application Init

Application Entry

Supervisor Approval

HandOff Retry

Application Init

Data Segments

Documents

Checklist

Advices

1 Initiate Transaction

2 Transaction Informa...

Mandatory Editable

Optional Readonly

Audit

Figure: Business Process Definition

6.4 Business Process View

View Business Process

Business Process Code:

FCISSUBC

Business Process Code:

OBISSUBR

Business Process Code:

OBI30

Business Process Code:

OBISSUBC

Description

Dry Run Business...

Description

Subscription Reversal

Description

Dry Run Business...

Description

OBI3 Subscription

Life Cycle

Transaction Origination

Life Cycle

Transaction Origination

Life Cycle

Transaction Origination

Life Cycle

Transaction Origination

Process

FCIS Subscription

Process

Subscription Reversal

Process

FCIS Subscription

Process

OBI3 Subscription

Business...

OBI30

Business...

FUND04

Business...

OBI30

Business...

OBI30

Authorized

Open

1

Authorized

Open

1

Authorized

Open

1

Authorized

Open

1

Page

1

of 1 (1 - 4 of 4 items)

<

<

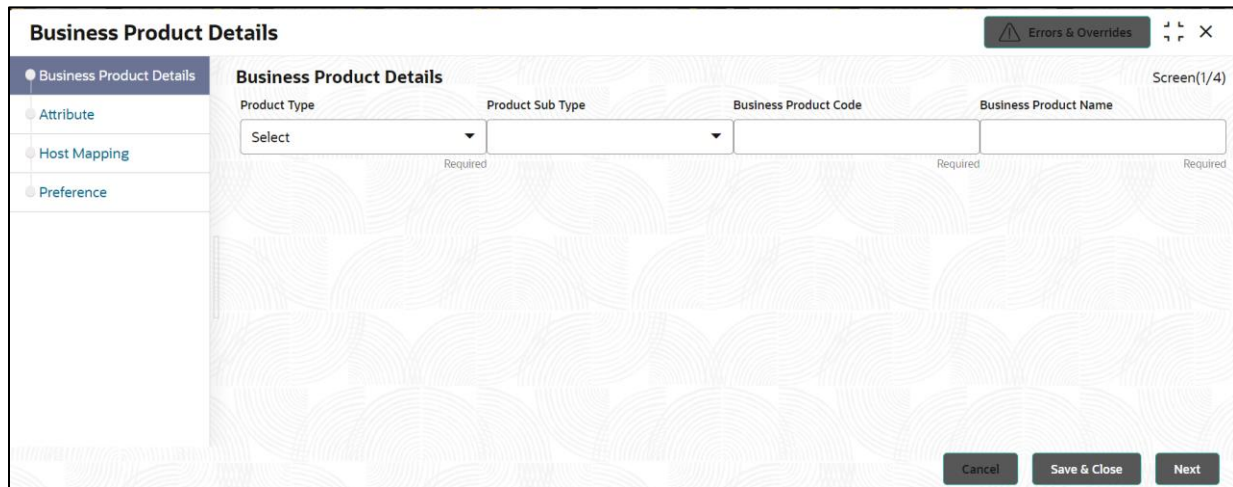
>

>

Figure: View Business Process

6.5 Business Product Create

Product has to be created for which the transaction will be done, the same will be mapped while defining the business process.

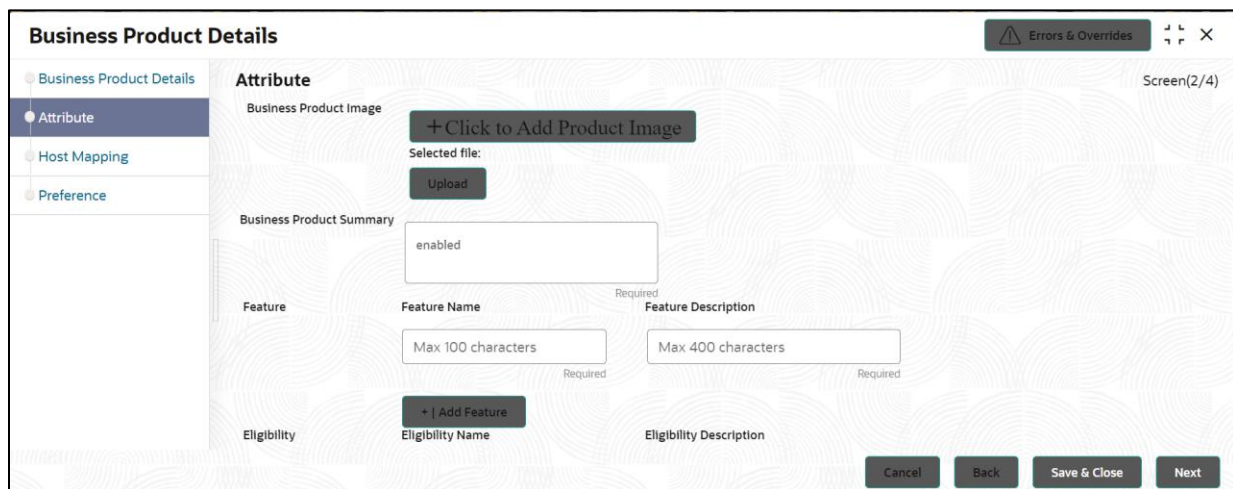


Business Product Details Screen(1/4)

Product Type Product Sub Type Business Product Code Business Product Name

Select Required Required Required

Cancel Save & Close Next



Business Product Details Screen(2/4)

Business Product Image + Click to Add Product Image

Selected file: Upload

Business Product Summary enabled

Feature Feature Name Feature Description

Max 100 characters Max 400 characters

Required Required

+ Add Feature

Eligibility Eligibility Name Eligibility Description

Cancel Back Save & Close Next

Figure: Business Product Details

Fund in which the transaction will take place will be mapped in this as part of host mapping.

Business Product Details Errors & Overrides Screen(3/4)

- Business Product Details
- Attribute
- Host Mapping**
- Preference

Host Mapping

Business Product Code:

Select Host Product:

Product Description:

Business Product Details Errors & Overrides Screen(4/4)

- Business Product Details
- Attribute
- Host Mapping
- Preference**

Preference

Common Configuration

Customer Status Allowed

Figure: Business Product Details

6.6 Business Product View

View Business Product ✕

Q + Q

Business Product Code:	Subs Work Flow
TXN002	Authorized
test01	Unauthorized

Page 1 of 1 (1 - 2 of 2 items)

Figure: Business Product View

7 Overview of Oracle FLEXCUBE Transaction Creation Process

Transaction creation process will enable the investment banks to leverage on the state of the art technology used for business modelling, help extend the boundaries of potential markets and ensure the convenience with primary focus on customer service.

We shall look at the reference workflows of the transaction process before understanding how the configuration and capture of data can be done. These stages can be made mandatory or non-mandatory based on the business process configurations. The process management flow is basically routed through various stages to capture relevant data before it is ready to be sent to the host for transaction creation.

The pre-defined process flow for transaction process is as follows:

- Initiation Stage
- Application Entry Stage
- Supervisor Approval Stage
- Transaction Creation

The convenience of configuring appropriate stages and the respective data segments within each of these stages, which can be business driven, is hosted and architected by our new platform solution. The random-access navigation between data segments within a given stage with appropriate validations, helps enable the business user to capture apt information anytime during the subscription process before the transaction is created in the host.

The business process definition will determine the different stages which are required for a given combination of the Process Code, Life Cycle and Business Product Code. The workflow management of these stages and the relevant stage movements are defined in the Process Orchestrator to help us orchestrate the subscription based process flow and ensure seamless transition of the transaction creation process across various stages in that given order. The workflow process drives the application from one stage to another based on the process outcomes at the respective stages and subject to fulfilling of the mandatory data capture/submission at the respective stages.

8 Transaction Creation Process

Prerequisite:

Specify **User Id** and **Password**, and login to **Home screen**.

From **Home screen**, > Menu > Investor Service > Operations > Transaction

On click of transaction it will launch the Subscription panel page

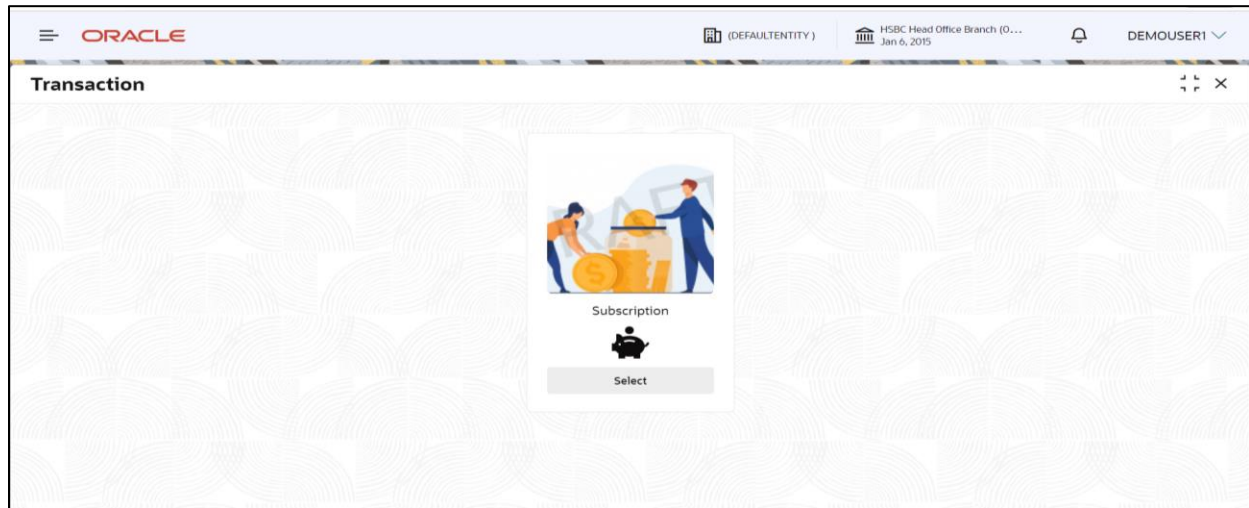


Figure: subscription page

On click of "Select" button, it will launch Unit Holder search page, where you can search for Unit Holder based on Unit Holder ID's

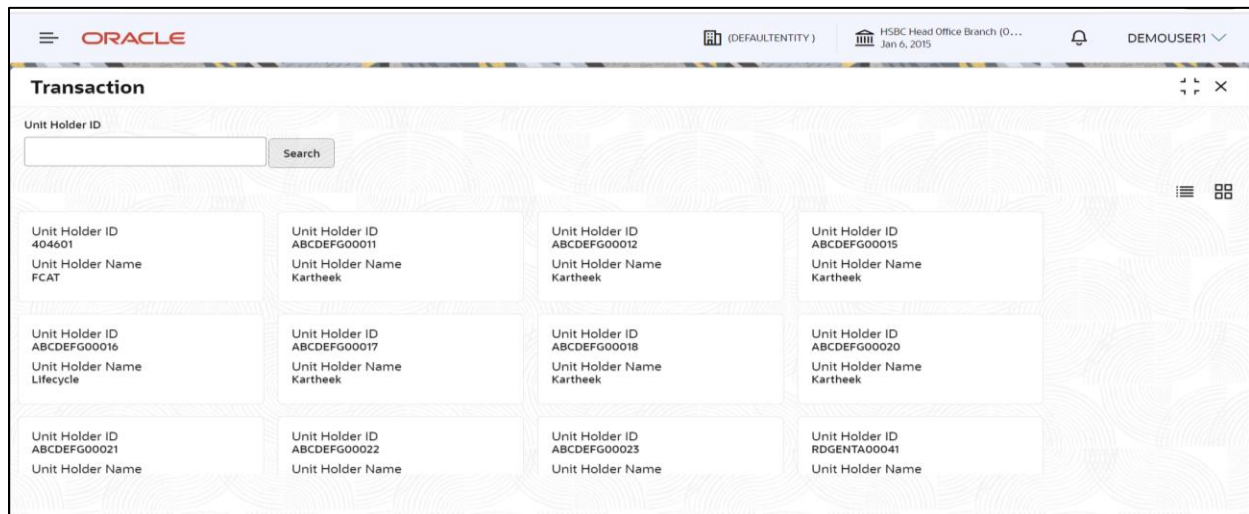


Figure: Unit Holder search view

Unit Holder ID

Specify the unit holder that has requested the transaction, in the Unit Holder Search section. Alternatively, you can click on search button to get unit holder ID list. The list displays all valid unit holder ID maintained in the system

After selection Unit Holder it will provide details of Unit Holder and available products and existing funds.

Transaction

Unit Holder ID: 404601

Unit Holder Name - FCAT

	Unit Holder Number 404601 CF Number 990000006	Identification Type Passport Identification Number 111023334	A/C operation Type Single Tax Id	US Citizen No Country Of Residence RSA	Date Of Birth 15 Jan 1980
--	--	---	--	---	------------------------------

Available Products

TEST10

DEMO PRODUCT 10 Modi

Demo Product

Figure: Unit Holder detail page

Once you click on available product it will launch the initiation screen

This chapter includes following sections:

- Transaction Initiation Stage
- Transaction Entry Stage
- Transaction Approval Stage
- Transaction Handoff Retry Stage

8.1 Transaction Initiation Stage

All the transaction are initiated in the Application Initiation stage. Once the transaction creation process is initiated as a single product origination, process orchestrator generates the transaction creation process reference number on click of Subscription. Process orchestrator also updates the record in the Free Task process for the 'Initiation' stage also referred as 'Task' from orchestrator perspective.

The Initiation stage is the first stage in the Transaction Creation process. After the initiate process is completed successfully, the application can be acquired by the user who has the access rights for the given stage and progress with the data capture.

Initiation Stage two screens are mapped, Initiate Transaction and Transaction Information. Stage Summary is show by default in workflow for all stages.

8.2 Initiate Transaction

In Initiation page, please input the required fields like User Reference Number, Transaction date, transaction subtype, Sub Payment Mode, transaction mode and respective field and click on next, it will take you to the Transaction Information Page

The screenshot displays the Oracle Initiation Page for transaction 000APP000000554. The page is divided into two main sections: Fund Info and Unit Holder details. The Fund Info section includes fields for Transaction Type (Subscription), Fund ID (ATFUND), ISIN Number (ATFUNDISIN1), AMC Name (TEMPLETON), Latest Nav (10), and Fund Base Currency (ZAR). The Unit Holder section, for Unit Holder Name - FCAT, includes fields for Unit Holder Number (404601), CIF Number (990000006), Identification Type (Passport), Identification Number (1111223334), A/C operation Type (Single), Tax Id, US Citizen (No), Country Of Residence (RSA), and Date Of Birth (15 Jan 1980).

Fund Info					
	Transaction Type Subscription	Fund ID ATFUND ISIN Number ATFUNDISIN1	AMC Name TEMPLETON Latest Nav 10	Fund Base Currency ZAR	

Unit Holder Name - FCAT					
	Unit Holder Number 404601 CIF Number 990000006	Identification Type Passport Identification Number 1111223334	A/C operation Type Single Tax Id	US Citizen No Country Of Residence RSA	Date Of Birth 15 Jan 1980

Figure: Initiation Page

Fund Info Panel:

System will display following values:

- Transaction Type
- Fund ID
- ISIN Number
- AMC Name
- Latest Nav
- Fund Base Currency

Unit Holder Panel:

System will display following values:

- Unit Holder Number
- CIF Number
- Identification Type
- Identification Number
- A/C operation type
- Tax Id
- US Citizen
- Country of Residence
- Date of Birth

Figure: Initiation Page

User Reference Number:

Alphanumeric; 16 Characters; Mandatory

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction

Transaction Number: Read Only

Order Received Time Zone:

Optional

Specify the order received Time Zone. Alternatively, you can select it from the option list. The list displays all Time Zones maintained in the system.

Order Received Date Time:

Date Format; Optional

Specify the order received date.

Note: Order Received Date will not be defaulted for system generated transactions.

Transaction Date:

Date Format; Mandatory

Specify the transaction date alternatively you can default it by providing the Order Receive Time zone or Order Receive Date Time.

Transaction Currency:

Alphanumeric; 3 Characters; Optional

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system

Transaction Sub Type:

Drop down: optional

Sub Payment Mode:

Drop down: optional

Transaction Mode:

Mandatory

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units

Units Applied

Numeric; 27 Characters; Optional Specify the units applied details.

You can specify the details in this field only if you have selected 'Transaction Mode' field as Units

Amount Applied:

Numeric; 27 Characters; Optional

Specify the amount applied details. You can specify the details in this field only if you have selected 'Transaction Mode' field as Amount. Else, while clicking 'Next' button, the system will display an error message.

8.2.1 Transaction Information

In Transaction Information page will provides information for all segments like

- 1.1 Transaction Basic Details.
- 1.2 Intermediary Details.
- 1.3 Load Override Details.
- 1.4 Preference Details.
- 1.5 Settlement Details.

On click each panel will provide detail information on popup with view mode only.

Initiate - 000APP00000530

Transaction Information

Transaction Basic Details

Unit Holder ID	Transaction Date
404601	2015-04-12
Unit Holder Name	Transaction Currency
Mr. FCAT UH 9	ZAR
Fund ID	Transaction Amount
ATFUND	70000
Fund Name	
Audit Test Fund	

Intermediary Details

Entity ID	Parent Entity Name
FJVOGEL	Percentage
Entity Name	100
Entity Type	
B	

Load Override Details

Load ID	Change Type
Load Description	Change Value
Amount or Percentage	Projected Returned Value

Preference Details

Settlement Date	Price Date
2015-04-12	
Base Cost	Dealing Date
	2015-04-12
Short Trade Unit	Completion Date
Lock in Period for Gain	

Settlement Details

Settlement Amount	Cheque Date
Payment Amount	Cheque Number
	Branch Code
	Bank Code

Buttons: Audit, Cancel, Back, Save & Close, Next

Figure: Transaction Information Page

Initiate - 000APP00000548

Transaction Information

Transaction Basic Details

UH And Fund Details Transaction Number - User Reference Number - 000APP00000548

Transaction Date	Order Receive TimeZone	Order Receive Date Time
12 Apr 2015	SER	06 Jan 2015
Transaction Currency	Gross or Net	Payment Mode
ZAR	Gross	Transfer
Transaction Sub Type	Sub Payment Mode	Transaction Category
Related Product Code	Amount or Percentage	

Buttons: Cancel, Audit, Cancel, Back, Save & Close, Next

Figure: Transaction Information Page detailed popup

8.2.2 Transaction Summary

While clicking on the next from Transaction information screen it will launch summary page it will contains with summary of Initiate Transaction and Transaction Information with completed (Green) and incomplete (Red) indicators.

On click of each panel it will detail information on popup.

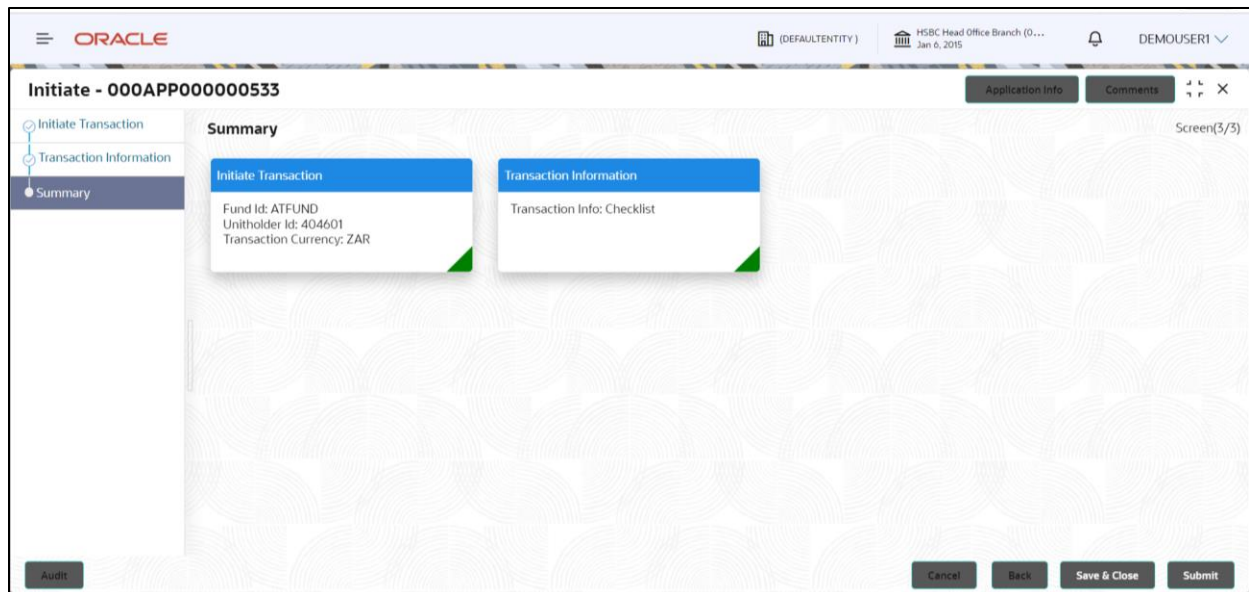


Figure: Transaction Summary Page

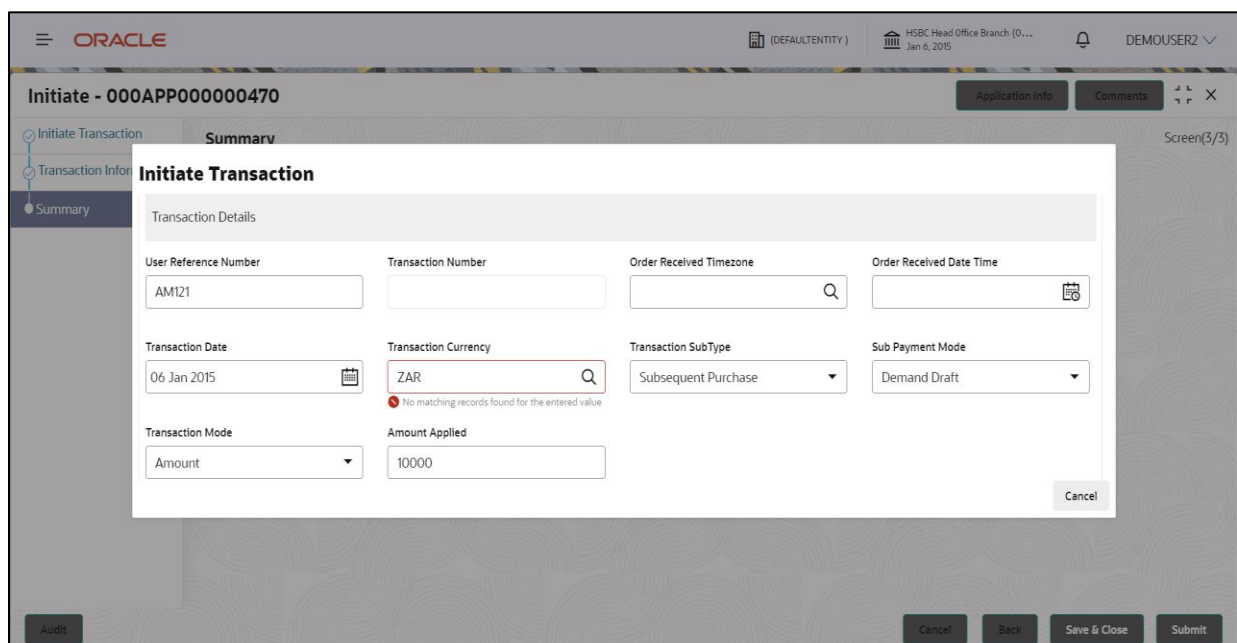


Figure: Transaction Summary Page Popup

While submitting the initiation segment it will take you to the submit flow

Transaction Override will be displayed with check list or if no override then no override message will be displayed. On click of proceed and next it will navigate to checklist view.

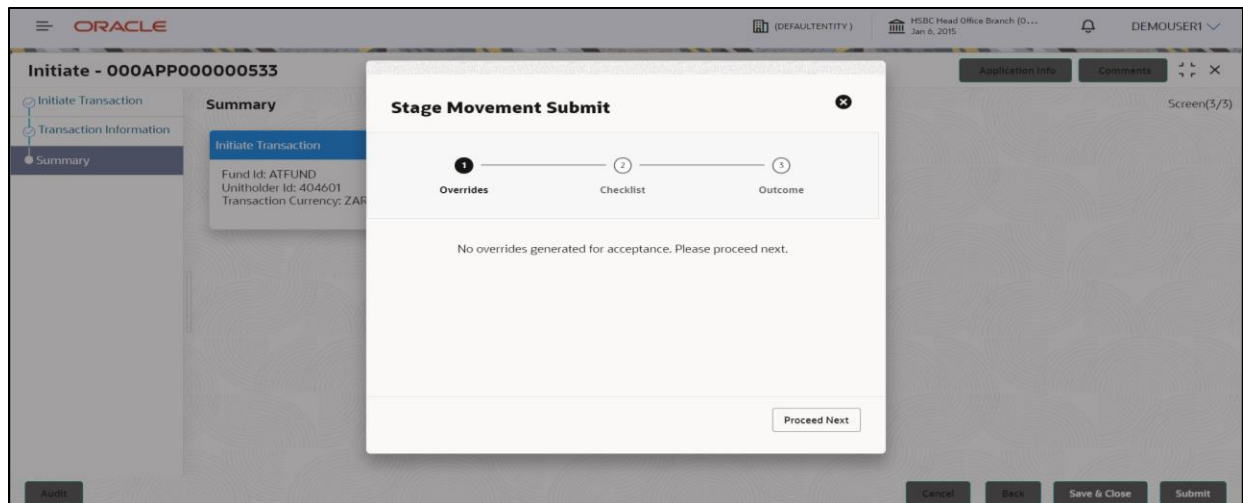


Figure: Transaction initiation submit override flows

In check list view will ask for validated the transaction details or not. On click of save & proceed it will navigate to outcome view.

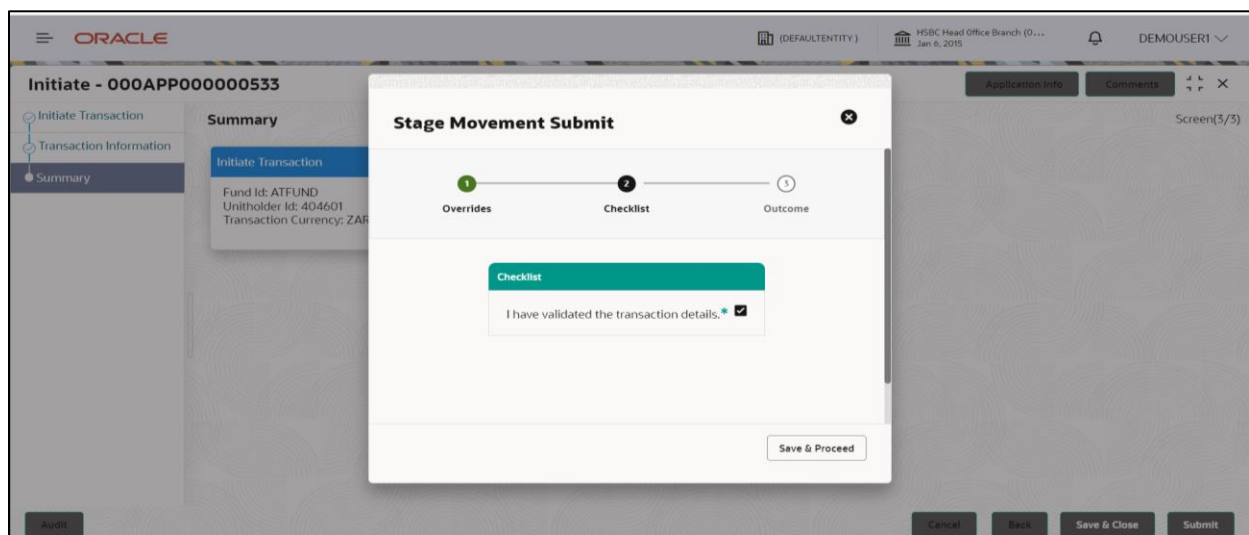


Figure: Transaction initiation submit checklist flows

In outcome field view it will be having outcome drop down with proceed and proceed for approval and remark field.

Acquire & Edit	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input type="checkbox"/>		FCIS Subscription	000TXN000000535	000APP000000533	Application Entry	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000496	000APP000000494	Handoff Retry	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000415	000APP000000413	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000412	000APP000000410	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000406	000APP000000404	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000118	000APP000000116	TXN Approval	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000073	000APP000000071	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000070	000APP000000068	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000067	000APP000000065	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000061	000APP000000059	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000058	000APP000000056	Application Initiation	15-01-06

Figure: Free task page

8.3 Transaction Entry Stage

All the data segment in these stages are marked as read only.

Transaction entry stage following screens are mapped.

8.3.1 Basic Information

UH And Fund Details			
Transaction Number -		User Reference Number - 000APP000000533	
Transaction Date	Order Receive Time Zone	Order Receive Date Time	
12 Apr 2015	SER	06 Jan 2015	
Transaction Currency	Gross or Net	Payment Mode	
ZAR	Gross	Transfer	
Transaction Sub Type	Sub Payment Mode	Transaction Category	
Initial Purchase	Money Transfer	Legacy	
Transaction Mode	Amount Applied		
Amount	50000		

Figure: Basic Information page

8.3.2 Transaction Preference

Transaction Application Entry - 000APP000000533

Application Info Comments

Basic Information Transaction Preferences Transaction Intermedia... Transaction Load Overv... Transaction Settlement... Summary

Transaction Preference

Settlement Date	Price Date	Dealing Date
12 Apr 2015		12 Apr 2015
Completion Date	Maturity Date	
Communication Mode	Units Classification	Fund Price Basis
DI		
KIID Received	EUSD Option	LOI Applicable
Yes	Yes	Yes

Audit Cancel Back Save & Close Next

Figure: Transaction Preference page

8.3.3 Transaction Intermediary Details

Transaction Application Entry - 000APP000000533

Application Info Comments

Basic Information Transaction Preferences Transaction Intermediary Transaction Load Overv... Transaction Settlement... Summary

Transaction Intermediary Details

Investing Through Adviser? Yes Are you within the target market of this investment product? Yes Reason for product recommendation?

Advised Mode Advised

FJVOGEL

Entity Type	Entity Name	Parent Entity Name
B	FJVOGEL	FJVOGEL

Add Intermediary Details

Audit Cancel Back Save & Close Next

Figure: Transaction Intermediary page

8.3.4 Transaction Load Override Details

The screenshot shows the Oracle Transaction Application Entry interface for entry 000APP000000533. The left sidebar contains a navigation menu with options: Basic Information, Transaction Preferences, Transaction Intermedia..., Transaction Load Overr..., Transaction Settlement..., and Summary. The main content area is titled 'Transaction Load Override Details' and includes a 'Load Refresh' button. Below this, there are fields for 'Apply Campaign' (set to 'Yes'), 'Campaign Level' (set to 'Campaign Group'), and 'Campaign Group or Code'. At the bottom right, there are buttons for 'Cancel', 'Back', 'Save & Close', and 'Next'. The top right corner shows the user 'DEMOUSER1' and the date 'Jan 6, 2015'.

Figure: Transaction Load Override page

8.3.5 Transaction Settlement Details.

The screenshot shows the Oracle Transaction Application Entry interface for entry 000APP000000533, specifically the 'Transaction Settlement Details' section. The left sidebar is the same as in the previous screenshot. The main content area is titled 'Transaction Settlement Details' and includes a 'Settlement Amount -' and 'Payment Amount -' section. Below this, there are fields for 'Settlement Level' (set to 'Fund Base Currency'), 'Settlement Method' (set to 'Gross Amount'), and 'Payment Details'. The 'Payment Details' section includes a 'Payment Reference No' field and a 'Payment Type' dropdown (set to 'select'). At the bottom right, there are buttons for 'Cancel', 'Back', 'Save & Close', and 'Next'. The top right corner shows the user 'DEMOUSER1' and the date 'Jan 6, 2015'.

Figure: Transaction Settlement page

8.3.6 Stage Summary

On click of each panel it will give detailed information in view mode.

Transaction Application Entry - 000APP00000533

Application Info | Comments | Screen(6/6)

Summary

- Basic Information**
 - Fund Id: ATFUND
 - Unitholder Id: 404601
 - Transaction Currency: ZAR
- Transaction Preferences**
 - Settlement Date: 2015-04-12
 - Dealing Date: 2015-04-12
 - Communication Mode: DI
- Transaction Intermediary Details**
 - Entity Id: FJVOGEL
 - Entity Type: B
- Transaction Load Override Details**
 - Load Id:
 - Load Description:
 - Change Type:
 - Change Value:
- Transaction Settlement Details**
 - Settlement Level:
 - Settlement Method:

Audit | Cancel | Back | Save & Close | Submit

Figure: Transaction Entry Summary

Transaction Application Entry - 000APP00000390

Application Info | Comments | Screen(6/6)

Summary

Basic Information

UH And Fund Details		Transaction Number -	User Reference Number - M98989
Transaction Date	Order Receive TimeZone	Order Receive Date Time	
06 Jan 2015	SER	06 Jan 2015	
Transaction Currency	Gross or Net	Payment Mode	
ZAR	Gross	Transfer	
Transaction Sub Type	Sub Payment Mode	Transaction Category	
Subsequent Purchase	Money Transfer	Loan	

Cancel

Audit | Cancel | Back | Save & Close | Submit

Figure: Transaction Entry Summary detailed popup with view mode

8.3.7 Stage Submit

While submitting the application entry it will prompt the submit process flow once submitted it will move approval stage.

8.3.7.1 Overrides

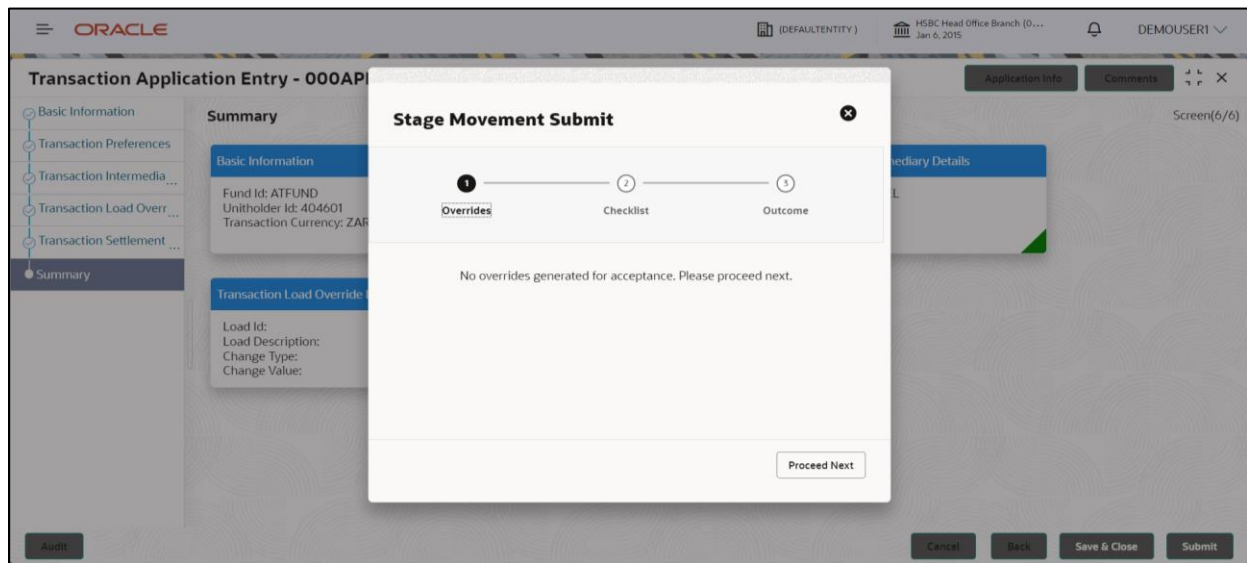


Figure: Transaction Entry Submit flow

8.3.7.2 Checklist

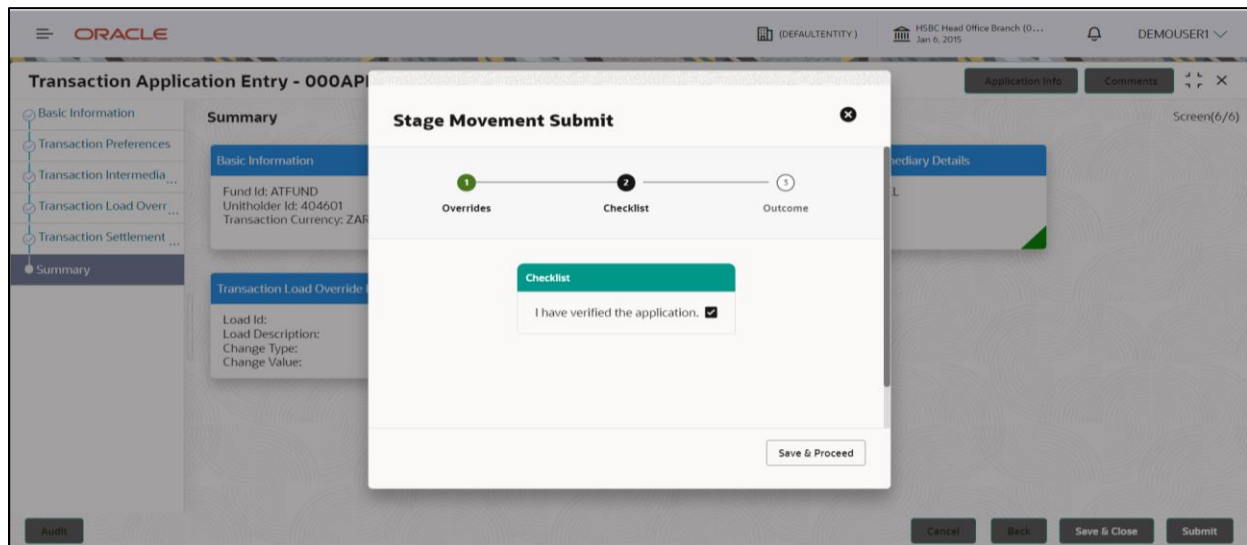


Figure: Transaction Entry Submit flow

8.3.7.3 Outcome

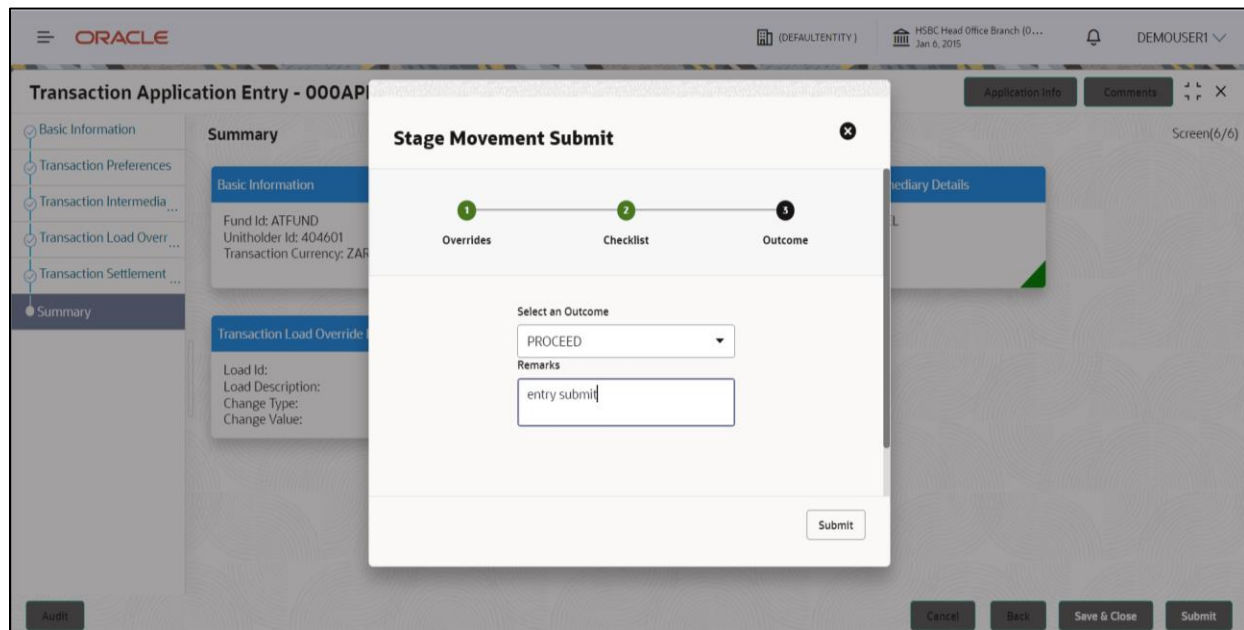


Figure: Stage movement Submit

8.3.7.4 Free Task

In free task page application will be approval stage once Acquire it will launch application approval segments.

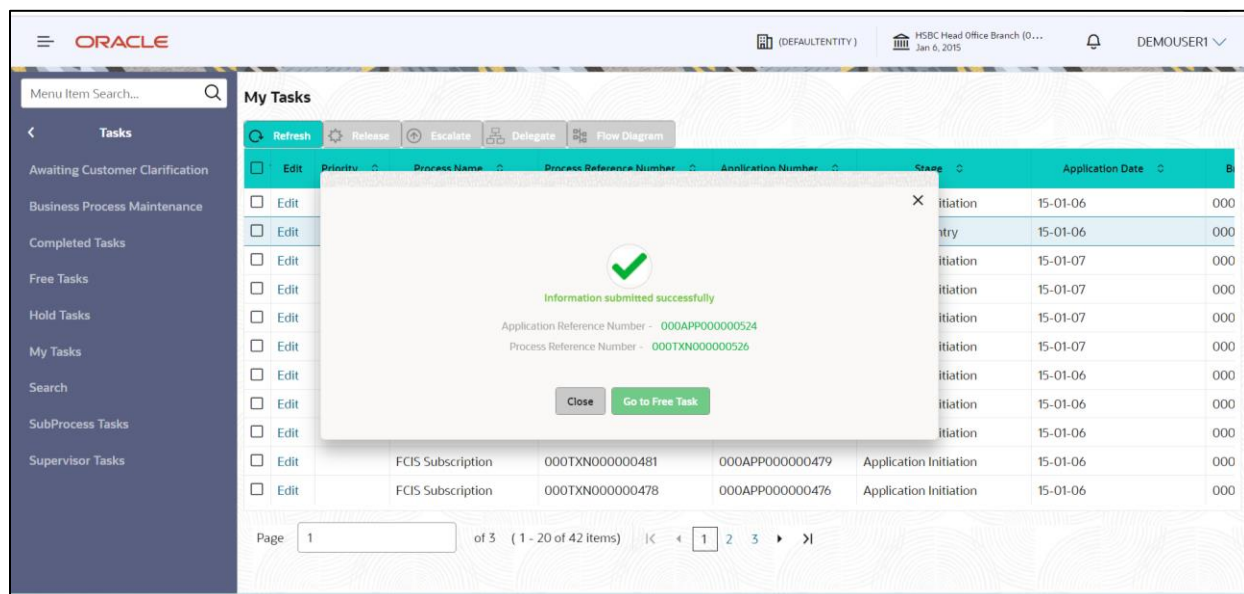


Figure: Free task page

Acquire & Edit	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input type="checkbox"/>		FCIS Subscription	000TXN000000526	000APP000000524	TXN Approval	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000535	000APP000000533	TXN Approval	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000496	000APP000000494	Handoff Retry	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000415	000APP000000413	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000412	000APP000000410	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000406	000APP000000404	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000118	000APP000000116	TXN Approval	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000073	000APP000000071	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000070	000APP000000068	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000067	000APP000000065	Application Initiation	15-01-06
<input type="checkbox"/>		FCIS Subscription	000TXN000000061	000APP000000059	Application Initiation	15-01-06

Figure: Free task page

8.4 Transaction Approval Stage

From free task if you acquire the approval transaction it will launch the approval screen where you can reject or approve the transaction.

Transaction entry stage following screens are mapped.

8.4.1 Transaction Information

Transaction Basic Details		Intermediary Details	
Unit Holder ID	Transaction Date	Entity ID	Parent Entity Name
404601	2015-04-12	FJVOGEL	Percentage
Unit Holder Name	Transaction Currency	Entity Name	100
Mr. FCAT UH 9	ZAR	Entity Type	B
Fund ID	Transaction Amount		
ATFUND	40000		
Fund Name			
Audit Test Fund			

Load Override Details		Preference Details	
Load ID	Change Type	Settlement Date	Price Date
Load Description	Change Value	2015-04-12	Dealing Date
Amount or Percentage	Projected Returned Value	Base Cost	2015-04-12
		Short Trade Unit	Completion Date

Figure: Transaction Information page

8.4.2 Approval Details

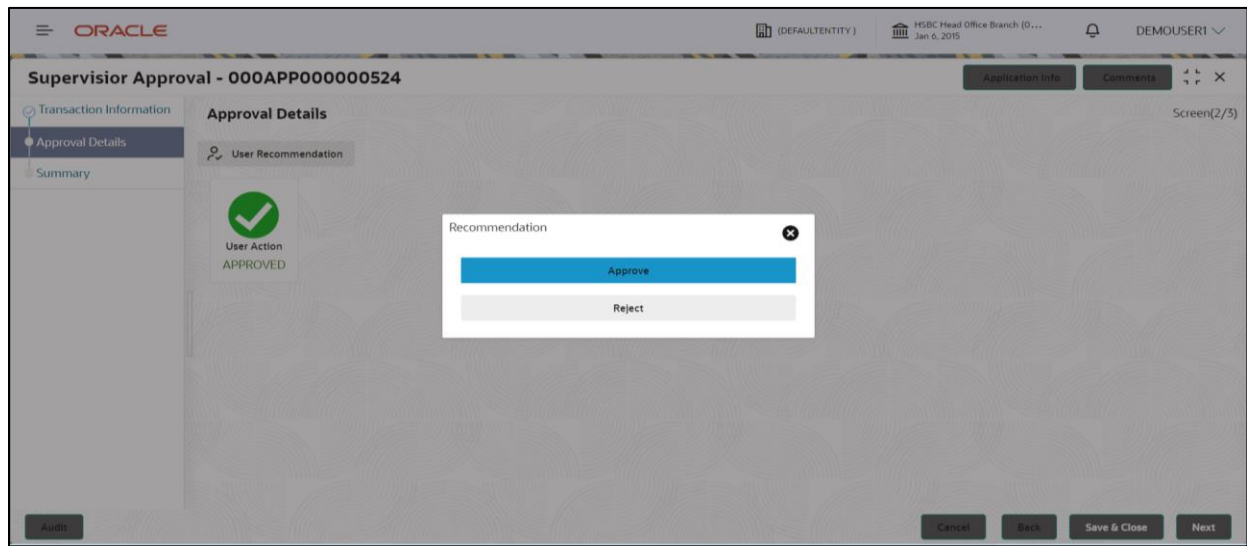


Figure: Approval page

8.4.3 Approval Summary

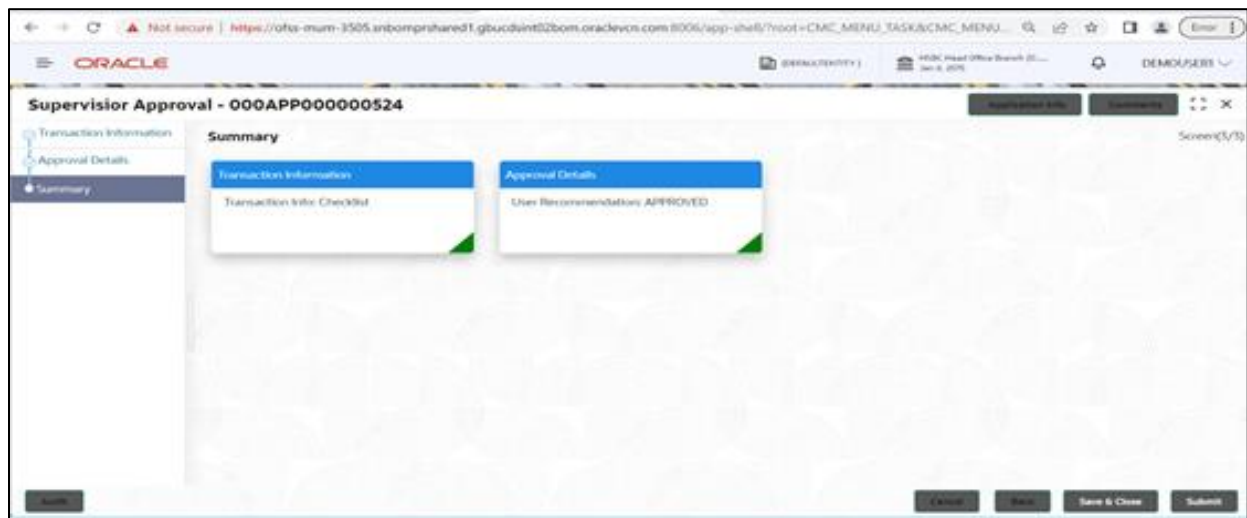


Figure: Transaction approval stage summary page

8.4.4 Stage Submit

8.4.4.1 Overrides

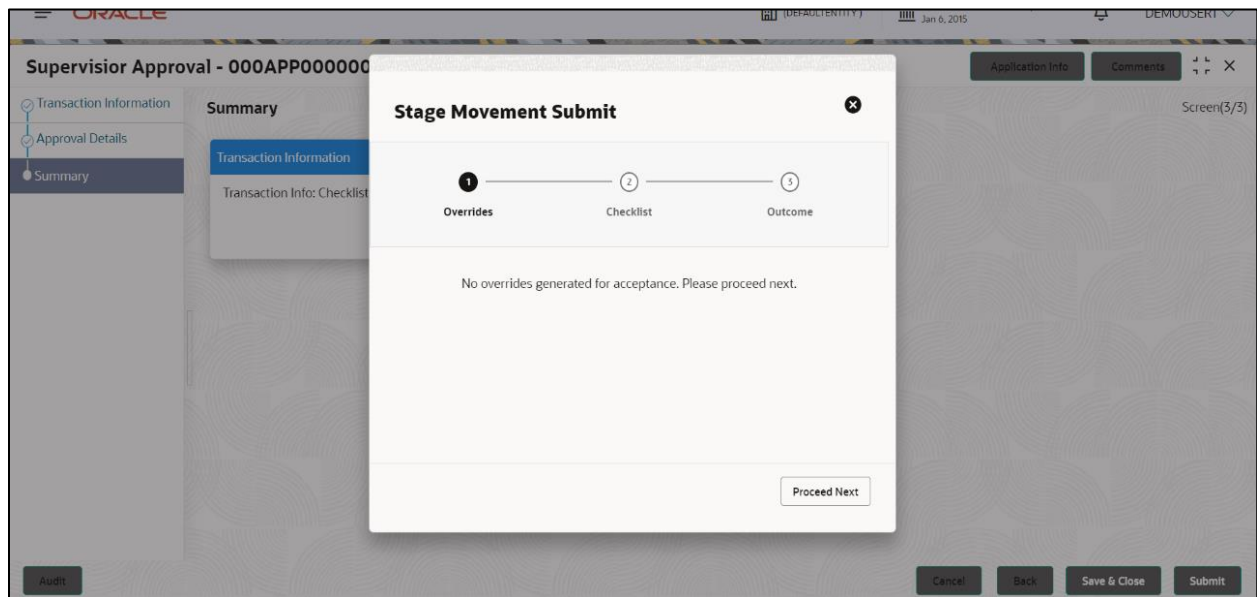


Figure: Transaction approval stage submit flow

8.4.4.2 Checklist

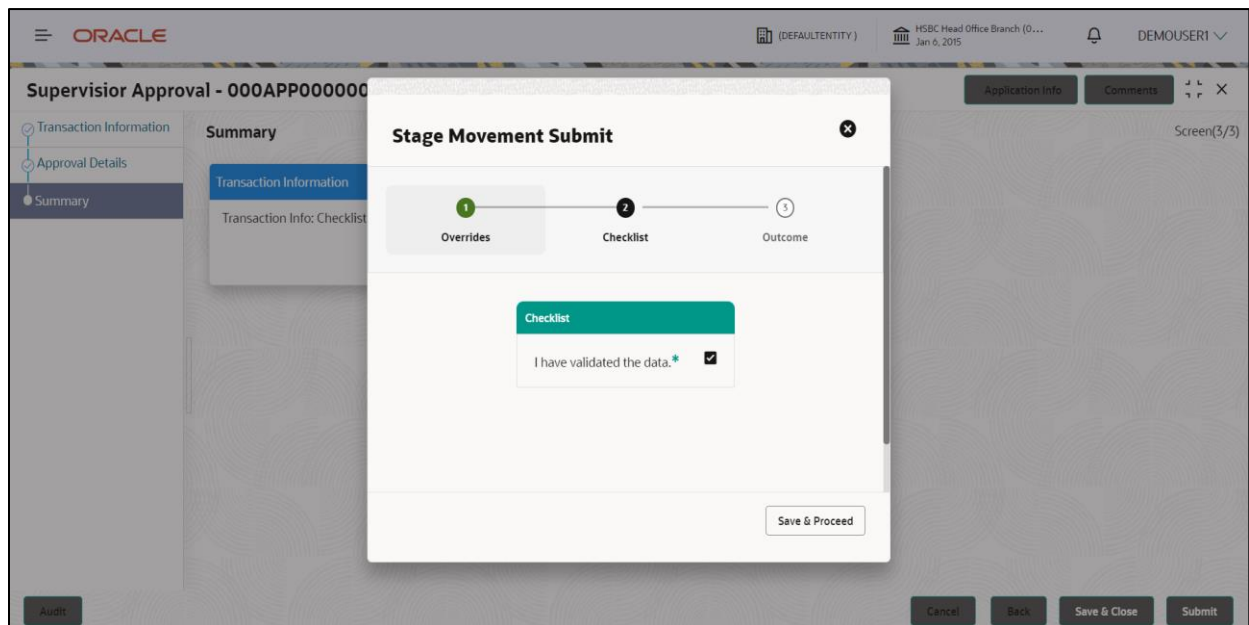


Figure: Transaction approval stage submit flow

8.4.4.3 Outcome

Transaction Information

Approval Details

Summary

Summary

Transaction Information

Transaction Info: Checklist

Application Info

Comments

Screen(3/3)

Supervisor Approval - 000APP000000

Transaction Information

Approval Details

Summary

Transaction Info: Checklist

Application Info

Comments

Screen(3/3)

Stage Movement Submit

1 Overrides

2 Checklist

3 Outcome

Select an Outcome

PROCEED

Remarks

approved

Submit

Figure: Transaction approval stage submit flow

Menu Item Search...

Menu

Core Maintenance

Investor Servicing

Security Management

Tasks

Free Tasks

Refresh

Acquire

Flow Diagram

	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input type="checkbox"/>	Acquire & Edit				
<input type="checkbox"/>	Acquire			approval	15-01-06
<input type="checkbox"/>	Acquire			off Retry	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire			approval	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire & ...	FCIS Subscription	000TXN000000061	000APP000000059	Application Initiation
<input type="checkbox"/>	Acquire & ...	FCIS Subscription	000TXN000000058	000APP000000056	Application Initiation

Page 1 of 2 (1 - 20 of 26 items)

1

2

Oracle

(DEFAULTTENITY)

HSBC Head Office Branch (0...
Jan 6, 2015)

DEMOUSER1

Menu Item Search...

Menu

Core Maintenance

Investor Servicing

Security Management

Tasks

Free Tasks

Refresh

Acquire

Flow Diagram

	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input type="checkbox"/>	Acquire & Edit				
<input type="checkbox"/>	Acquire			approval	15-01-06
<input type="checkbox"/>	Acquire			off Retry	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire			approval	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire			ization Initiation	15-01-06
<input type="checkbox"/>	Acquire & ...	FCIS Subscription	000TXN000000061	000APP000000059	Application Initiation
<input type="checkbox"/>	Acquire & ...	FCIS Subscription	000TXN000000058	000APP000000056	Application Initiation

Page 1 of 2 (1 - 20 of 26 items)

1

2

Figure: Free Tasks

Now application will be available in completed task

8.4.4.4 Tasks

Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date	Branch
	FCIS Subscription	000TXN000000526	000APP000000524	TXN Approval	15-01-06	000
	FCIS Subscription	000TXN000000526	000APP000000524	Application Entry	15-01-06	000
	FCIS Subscription	000TXN000000535	000APP000000533	Application Entry	15-01-06	000
	FCIS Subscription	000TXN000000535	000APP000000533	Application Initiation	15-01-06	000
	FCIS Subscription	000TXN000000526	000APP000000524	Application Initiation	15-01-06	000
	FCIS Subscription	000TXN000000383	000APP000000381	TXN Approval	15-01-06	000
	FCIS Subscription	000TXN000000383	000APP000000381	Application Initiation	15-01-06	000
	FCIS Subscription	000TXN000000380	000APP000000378	TXN Approval	15-01-06	000
	FCIS Subscription	000TXN000000380	000APP000000378	Application Entry	15-01-06	000
	FCIS Subscription	000TXN000000380	000APP000000378	Application Initiation	15-01-06	000
	FCIS Subscription	000TXN000000344	000APP000000342	TXN Approval	15-01-06	000

Figure: Completed task view.

8.5 Transaction Handoff Retry

In case of failure of transaction creation from the host system, the application will navigate to Handoff Retry Stage.

Acquire & Edit	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date
Acquire & ...		FCIS Subscription	000TXN000000547	000APP000000545	Handoff Retry	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000535	000APP000000533	TXN Approval	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000496	000APP000000494	Handoff Retry	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000415	000APP000000413	Application Initiation	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000412	000APP000000410	Application Initiation	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000406	000APP000000404	Application Initiation	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000118	000APP000000116	TXN Approval	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000073	000APP000000071	Application Initiation	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000070	000APP000000068	Application Initiation	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000067	000APP000000065	Application Initiation	15-01-06
Acquire & ...		FCIS Subscription	000TXN000000061	000APP000000059	Application Initiation	15-01-06

Figure: Handoff Retry grid view

Once user acquires the task it will launch the back-office error page.

8.5.1 TXN Handoff Retry

The screenshot shows the Oracle back-office interface for a 'TXN HandOff Retry' transaction. The header includes the Oracle logo, user identity '(DEFAULTTENTITY)', branch 'HSBC Head Office Branch (0...', and date 'Jan 6, 2015'. The transaction ID is '000APP000000545'. The status is 'FAILURE'. An error message is displayed: 'Error Code : E-INTERVALIDAMT' and 'Message : Please enter valid amount'. At the bottom right, there are 'Cancel', 'Save', and 'Submit' buttons.

Figure: Back-office error page.

8.5.2 Submit

While submitting the back-office error it will prompt with submission flow.

8.5.2.1 Overrides

The screenshot shows the Oracle back-office interface with a 'Stage Movement Submit' dialog box open. The dialog box has a title bar with a close button. It contains a progress indicator with three steps: '1 Overrides', '2 Checklist', and '3 Outcome'. The 'Checklist' step is currently active. Below the progress indicator, it says 'No overrides generated for acceptance. Please proceed next.' At the bottom right of the dialog box is a 'Proceed Next' button. The background shows the same error page as in the previous figure, but it is dimmed.

Figure: Submit flow

8.5.2.2 Checklist

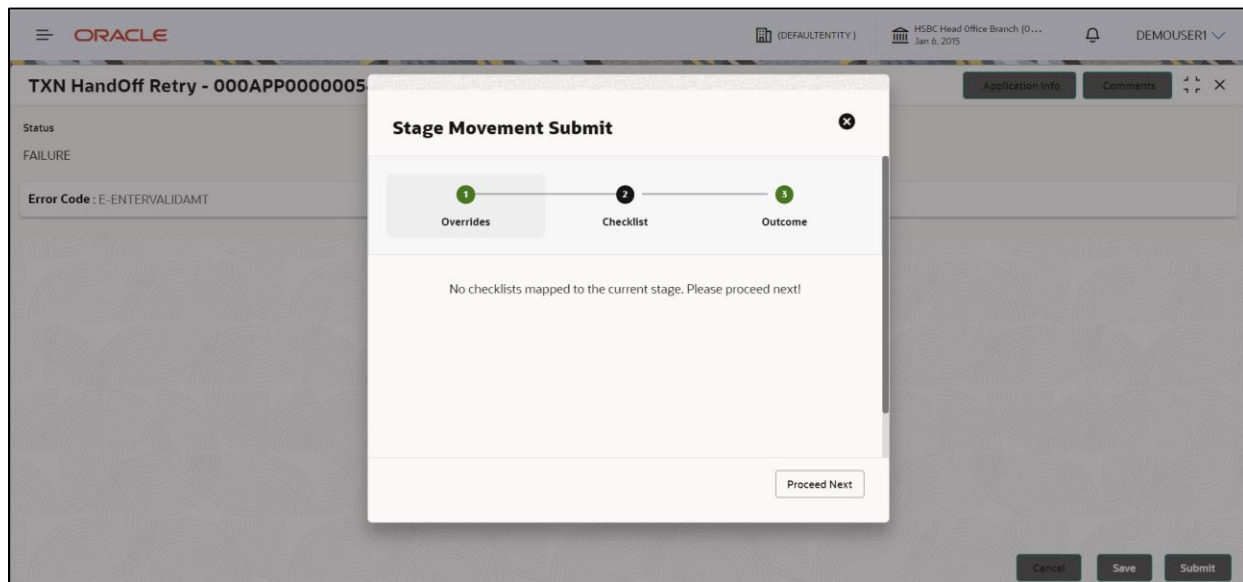


Figure: Submit flow

8.5.2.3 Outcome

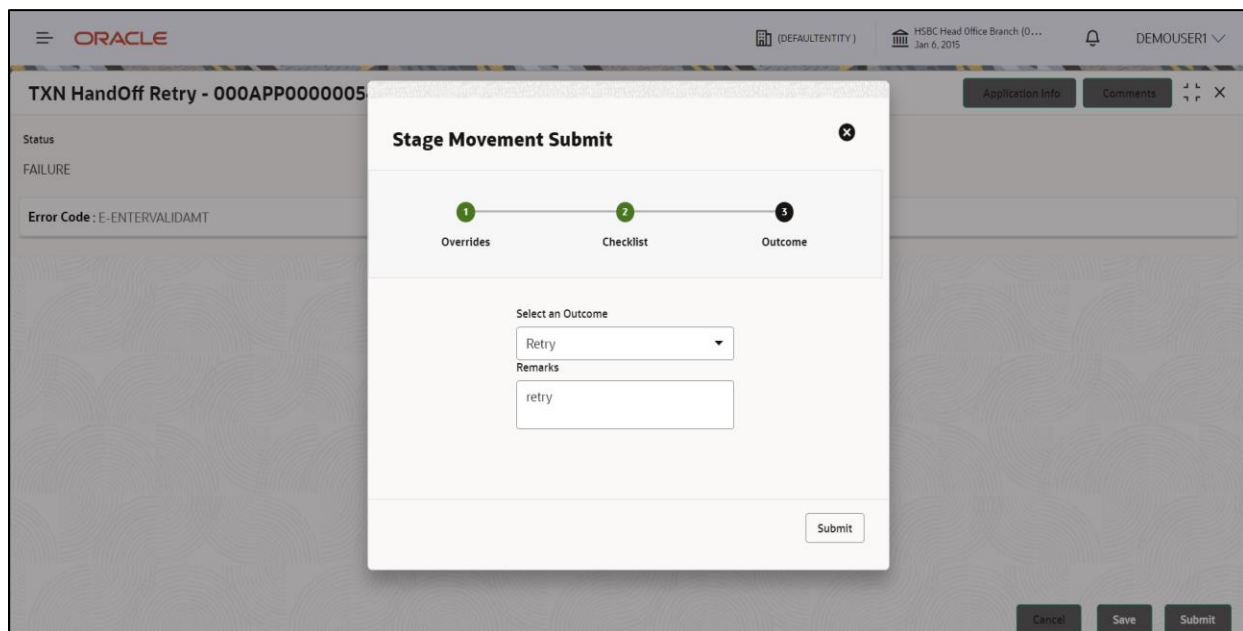


Figure: submit flow

8.6 Action Tabs

This section includes the following subsections:

- Application Info
- Remarks

The functions available in the various tabs can be accessed during any point in the Application Entry stage. Details about the tabs are as follows:

8.6.1 Application Info

1. Click **Application Info** to view the application information.

→ The **Application Information** screen is displayed.

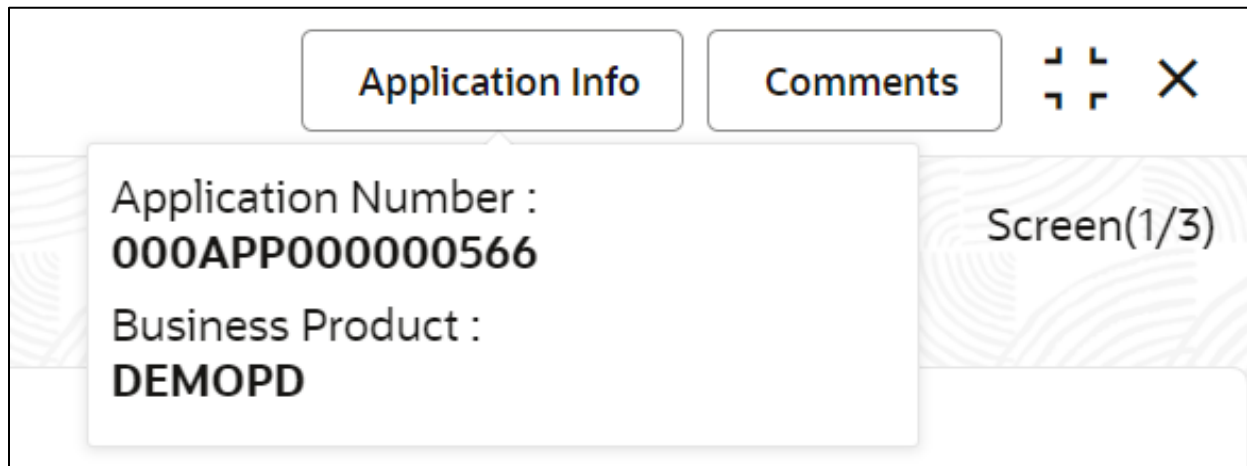


Figure: Application Information

8.6.2 Remarks

1. Click **Remarks** to update any remarks that you want to post for the application that you are working on.

→ The **Remarks** screen is displayed.

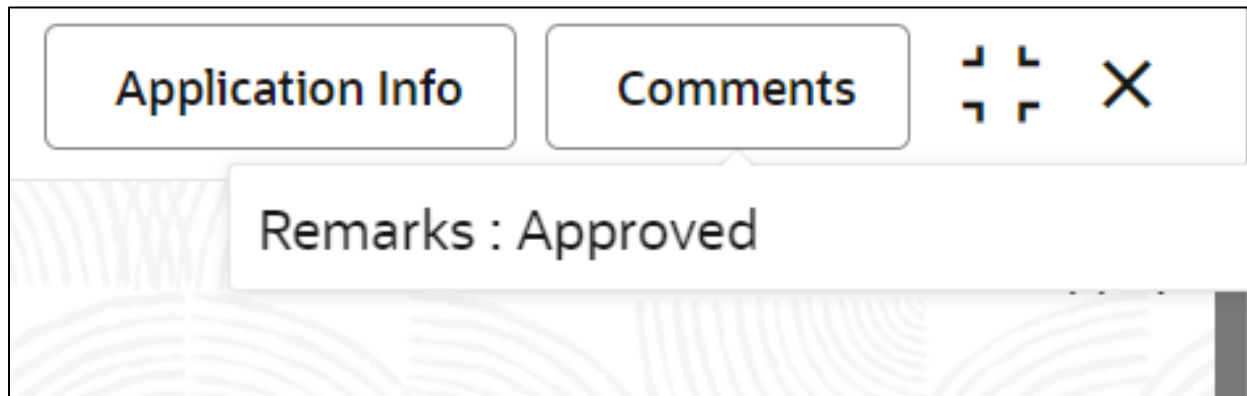


Figure: Remarks



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