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1. About This Manual

1.1 Introduction

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

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

1.2 Related Documents

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

1.3 Audience

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

1.4 Organization

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

Chapter	Description
Chapter 1	*About This Manual* explains the structure, audience, organization, and related documents of this manual.
Chapter 2	*Transactions –Maintaining Standing Instructions* explains the maintenance of standing instructions for an investor account.
Chapter 3	*Transactions –IRA Plans* explains the processes involved in the creation of retirement plans in retirement investment products for investors.
Chapter 4	*Transactions –Processing Transaction Requests* is intended for the Teller users and contains guidelines for the initiation and processing of investor transactions.
Chapter 5	*Transactions –Processing Transactions – II* explains how to process transactions. It also explains how to retrieve, edit, and view the details of a transaction.
Chapter 6	*Transactions – Adjustment and Amount Block Transactions* explains the processing of adjustment and amount block / unblock transactions.

1.5 Conventions Used in this Manual

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

1.5.1 General Conventions

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

1.5.2 Keyboard Conventions

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

1.6 Glossary of Icons

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

Icons	Function
	Exit
	Add Row
	Delete Row
	Option List

1.7 Abbreviations and Acronyms

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

Abbreviation/ Acronym	Meaning
ADMIN	User Administrator
AGY	The Agency Branch component of the system
AMC	Asset Management Company
BOD	Beginning of Day
CDSC	Contingent Deferred Sales Charge
CGT	Capital Gains Tax

Abbreviation/ Acronym	Meaning
CIF	Customer Information File
EOD	End of Day
EPU	Earnings per unit
FC-IS	Oracle FLEXCUBE Investor Servicing
FMG	The Fund Manager component of the system
FPADMIN	Oracle FLEXCUBE Administrator
GTA	Global Transfer Agency
ID	Identification
IHPP	Inflation Hedged Pension Plan
IPO	Initial Public Offering
LEP	Life and Endowment Products
LOI	Letter of Intent
NAV	Net Asset Value
REG	The Registrar component of the system
ROA	Rights of Accumulation
ROI	Return on Investment
SI	Standing Instructions
SMS	Security Management System
URL	Uniform Resource Locator
VAT	Value Added Tax
WAUC	Weighted Average Unit Cost
FBC	Fund Base Currency
TBC	Transaction Base Currency
FPC	Fund Price Currency
UHCOE	Unit Holder Currency Of Expression

1.8 Getting Help

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

2. Maintaining Standing Instructions

An investor in your AMC may wish to subscribe into any of the funds of the AMC at regular periodic intervals separated by a pre-defined frequency. The investor may want to withdraw investment from any of the funds at regular periodic intervals.

These transactions of subscribing or withdrawing investment could be requested by investors could be based on any regular savings plans or withdrawal plans they have decided upon for the purpose of managing their investment and savings.

Whenever these kind of periodic transactions are to be effected, the investor gives the AMC a standing instruction to carry out the same. This would mean that according to the preferences of the investor, the AMC would automatically enter and process these periodic transactions in the investor's account, without manual intervention from the investor.

A standing instruction given by an investor will always result in a transaction in the investor account.

This chapter contains the following sections:

- Section 2.1, "Standing Instructions Detail"
- Section 2.2, "Standing Instructions Summary"
- Section 2.3, "SI Lag Maintenance Screen"
- Section 2.4, "SI Lag Summary Screen"
- Section 2.5, "Unitholder Deal Summary"
- Section 2.6, "Plan Maintenance Detail"
- Section 2.7, "Plan Maintenance Summary"
- Section 2.8, "Transaction Category Updation"

2.1 Standing Instructions Detail

This section contains the following topics:

- Section 2.1.1, "Invoking FCIS Standing Instructions Detail Screen"
- Section 2.1.2, "Basic Info Tab"
- Section 2.1.3, "SI Preferences Tab"
- Section 2.1.4, "Intermediary Tab"
- Section 2.1.5, "Delivery Details Button"
- Section 2.1.6, "Bank and Routing Details Button"
- Section 2.1.7, "Additional Information Button"

2.1.1 Invoking FCIS Standing Instructions Detail Screen

To enter a standing instruction for an investor into the system, you must capture the details of the instruction in the 'FCIS Standing Instructions Detail' screen. You can invoke this screen by typing 'UTDSIN'/ 'UTDFIN; in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Note

You can enter details regarding standing instructions provided you have checked the '*Allow Systematic Plans*' Option in the Transaction Processing Rules screen.

In this screen, you must capture the following details for the instruction, as given by the investor:

- The unit holder ID of the investor that is requesting the standing instruction.
- The description of the standing instruction.
- The level at which you are entering the standing instruction; plan level or fund level.
- If you have chosen Plan Level, indicate the funds in which the transactions resulting from the standing instruction would be put through, in the investor's account. However, if you are entering the standing instructions for a single fund then indicate the SI Level as fund Level and indicate the fund in which the transactions resulting from the standing instruction would be put through, in the investor's account.
- At this stage, all the fields will be available in the screen.
- The type of transaction that would result when the standing instruction is processed.
- Whether the processing of the standing instruction must result in the generation of authorized transactions in the investor's account.
- The mode in which the resulting transaction of the specified type must be accepted.
- The currency for the resulting transaction.
- The value of the transaction, to be reckoned in the preferred mode.
- Whether the loads for the resulting transactions must be applied on a gross basis or net basis.
- The brokers, if any, identified for the transactions, with their appropriate split percentages.
- For certificate option funds and scrip-based funds, the certificate details.
- The start and end dates that signify the period during which the standing instruction must be processed, at the specified frequency.
- The frequency at which the standing instructions must be processed, during the defined period.
- The period, in days, during which reminders must be generated for the standing instruction.
- The details of any desired escalation in transaction values.
- The details of payment, if any, for the transactions.
- Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

After you specify all these details, click 'Ok' button. The record of the instruction is saved and the Standing Instructions Number is generated and displayed to you, for future reference.

If a transaction type has been suspended for the fund you have selected, standing instructions related to the fund for that transaction are also suspended. The system, however, allows you to maintain exceptions for which the suspension will not be applicable.

The transaction date will be derived based on the application received date and time recorded at the transaction level.

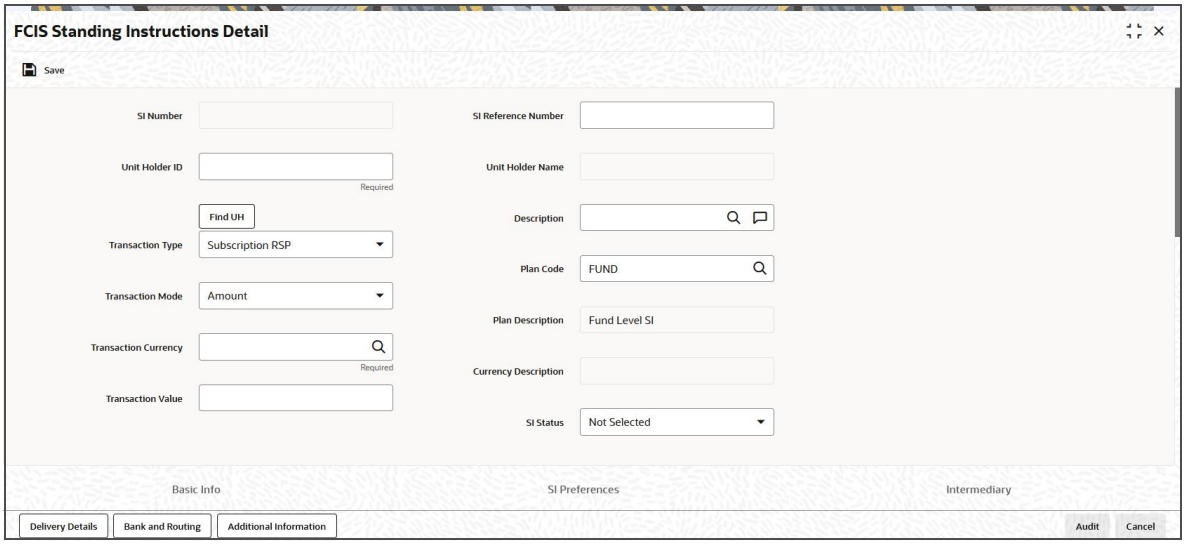
For switch in transaction, the application received date and time stamp recorded at switch transaction will be considered.

Note

Only Query option is available for ‘UTDFIN (FCIS Standing Instructions Detail)’ screen.

The process of saving standard instructions, if suspension rules and exemptions have been maintained, is as follows:

- At the time of saving, the system checks if a suspension rule applies for the given fund and transaction type selected for the SI.
- If suspension is applicable, then system would check if reference type applicable for standing instruction (reference type for standing instruction 41) is exempt from the suspension rule.
- If the reference type is exempt from the suspension rule, then system checks the value of field ‘Suspension applicability for SI’.
- If the value is ‘N’ (New) or ‘B’ (Both), the system allows the save. Else, it displays the following error message as “Transaction Type is Suspended”.
- For more details on maintaining exceptions for suspended transactions, please refer the chapter ‘Setting Up Fund Rules (II)’.



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

SI Number

Display

The system displays the SI number.

SI Reference Number

Alphanumeric; 16 Characters; Optional

Specify the SI reference number.

If you do not specify the SI reference number, then the system will default the SI number as SI reference number.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder for whom the standing instruction request is being entered.

When you specify the CIF Number, all the unit holders that fall under the CIF are displayed in this field. You can make your choice from this list.

You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

Click 'Find UH' button to search for unit holder ID.

Unitholder Name

Display

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

Description

Alphanumeric; 50 Characters; Optional

Specify the SI description. Alternatively, you can select description from the option list.

Transaction Type

Mandatory

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

- Subscription RSP
- Subscription DRSP
- Redemption
- Normal Switch
- Pseudo Switch
- Phase In Switch
- Transfer

Note

If you have chosen Plan Level as the SI level then the transaction type is defaulted as 'Subscription'. You will not be allowed to change this.

The 'Phase In' field is enabled only if the 'Transaction Type' field is set to 'Switch'.

Select 'Yes', if you want the system to allow Multiple Fund Transfer, i.e. moving fund amount from many funds to another.

The 'Phase In' switch feature is generally used by the Investment Frontiers. You would not be able to capture the ratio from these funds as these would be phased out in same number of occurrences. For example, if Fund1 is phased in to Fund3 and Fund4 with Phase occurrence of 5, say, after 2 occurrences, the investor cannot phase in to Fund 5 and Fund 6, as the process will be duplicated.

Note

The following points need to be considered:

- If a particular date a phase-in has been scheduled is a holiday the transaction will be generated on the next working day.
- If the 'From' and the 'To' funds belong to two different AMC's the switch will be considered a normal switch and not a pseudo switch.
- Many to Many Funds feature will not be supported for the following:

- Pensions
- Unit Trust Standing Instructions

Example

An investor John wants to invest amount 3000 on Funds, say FUND1 and FUND2. He has set 'Phase In Occurrences' to 5, and frequency as Monthly, i.e., the fund will be divided into 5 units on monthly basis.

'To Fund Ratio' has been set to 50%, i.e., FUND1 is equally divided into FUND 3 and FUND4. Similarly, FUND 2 is also equally divided into FUND3 and FUND4.

This is displayed in the table as shown:

From Funds	To Funds	To Fund Ratio
FUND1	FUND3	50%
FUND2	FUND4	50%

Unit balances can be set for every month manually shown as follows:

Month	Fund	Units
1st	FUND1	1000
	FUND2	2000
2nd	FUND1	850
	FUND2	1700
3rd	FUND1	630
	FUND2	1260
4th	FUND1	450
	FUND2	850
5th	FUND1	250
	FUND2	500

For the first month, the phase occurrence value is 5. The unit for the first month for FUND1 is 1000/5 = 200 and for FUND2 is 2000/5 = 400. Similarly, for second month, the unit for FUND1 is 850/4 = 212.5 and for FUND2 is 1700/4 = 425 and so on.

The unit details for 5 phase occurrences are as shown in the table:

Policy SI Details				Fund Split Details		
Ref No	Month	Mode	Value	Fund	Units	Remaining Occurrences
Ref 1	1	Units	0	FUND1	200	5
				FUND2	400	
Ref 2	2	Units	0	FUND1	212.5	4
				FUND2	425	

Policy SI Details				Fund Split Details		
Ref No	**Month**	**Mode**	**Value**	**Fund**	**Units**	**Remaining Occurrences**
Ref 3	3	Units	0	FUND1	210	3
				FUND2	420	
Ref 4	4	Units	0	FUND1	225	2
				FUND2	425	
Ref 5	5	Units	0	FUND1	250	1
				FUND2	500	

Since the 'To Fund Ratio' is set to 50%, the units obtained in the above table are equally divided into FUND3 and FUND4.

The Unit Transaction details are as shown in the table below:

Ref No	Month	From Fund	To Fund	Units
SW1	1	FUND1	FUND3	100
SW2		FUND1	FUND4	100
SW3		FUND2	FUND3	200
SW4		FUND2	FUND4	200
SW5	2	FUND1	FUND3	106.25
SW6		FUND1	FUND4	106.25
SW7		FUND2	FUND3	212.5
SW8		FUND2	FUND4	212.5
SW9	3	FUND1	FUND3	105
SW10		FUND1	FUND4	105
SW11		FUND2	FUND3	210
SW12		FUND2	FUND4	210
SW13	4	FUND1	FUND3	112.5
SW14		FUND1	FUND4	112.5
SW15		FUND2	FUND3	212.5
SW16		FUND2	FUND4	212.5

Ref No	Month	From Fund	To Fund	Units
SW17	5	FUND1	FUND3	125
SW18		FUND1	FUND4	125
SW19		FUND2	FUND3	250
SW20		FUND2	FUND4	250

Selecting the ‘Phase In Type’ to ‘Holdings’, the system will switch out the fund holdings within the specified number of occurrences to the selected fund.

Transaction Mode

Mandatory

Select the mode in which the transaction value is to be reckoned, for transactions generated in respect of processing of the standing instruction from the drop-down list. The list displays the following values:

- Amount
- Units
- Percentage

Note

If you have chosen Plan Level as the SI level then the transaction mode is defaulted as ‘Amount’. You will not be allowed to change this.

Plan Code

Alphanumeric; 6 Characters; Optional

Select the plan for which the standing instruction will be applicable. Any transactions resulting from the standing instruction will be put through in the funds maintained in the plan. When you specify the plan, the description of the plan is displayed alongside.

Note

This field will be displayed only if the SI level is ‘Plan Level’.

Plan Description

Display

The system displays the description for the selected plan code.

Transaction Currency

Alphanumeric, 3 Characters; Mandatory

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

In case, the unit holder does not have an account for the transaction currency, you can choose the multi-currency account in SI Bank Details screen – if the mode of payment is ‘Transfer’ and payment type is ‘Self’.

Currency Description

Display

The system displays the currency name of the specified SI Transaction Currency based on the details maintained at 'Currency Maintenance' level.

Transaction Value

Numeric; 22 Characters; Mandatory

Specify the transaction value.

SI Status

Optional

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

- Active: This means that the instruction is still being processed, and transactions have been put through.
- Paused: This means that the authorized instruction record exists in the database, but no processing is taking place in respect of the same.
- Cancelled: This means that the instruction has been annulled and no processing is scheduled to take place in respect of the same.
- Not Started
- Not Selected

2.1.2 Basic Info Tab

The system retrieves the name of the selected unit holder and displays it alongside this field when you click the Validate link.

Click 'SI Basic Info' tab to enter the details.

Dates

In this section, specify the period during which the standing instruction is to be processed for the unit holder, as well as the frequency at which it must be processed.

SI Start Date

Date Format; Mandatory

Specify the date on and following which the standing instruction must be processed, at the defined frequency. You can select the date using the system provided calendar.

> **Note**
>
> The SI Start Date should not be beyond 27th of every month. Else the system will display an error message as "SI Generation date will differ if SI start date is greater than 27".

SI End Date

Date Format; Optional

Specify the date until which the standing instructions must be processed, at the defined frequency. You can select the date using the system provided calendar.

No. of SI Transactions

Numeric; 22 Characters; Optional

Specify the number of SI transactions for Monthly, Quarterly, Half yearly and Yearly frequencies.

Generate On

Alphanumeric; 100 Characters; Optional

Specified the transaction generated date.

Last Day

Optional

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

- Yes
- No

If you select 'Yes' option, the system will consider holiday rule as Prior irrespective of the Fund level maintenance.

If you select 'No' option, the system will derive next SI generation date based on the SI start date's 'Day'. For instance, if SI Start Date is 28-Jan-2016 and frequency is monthly, SI generation date will be always 28th of every month as long as it is not a holiday.

If the SI generation date is a holiday, the system will generate the SI either on next working date or previous working date based on system calendar and holiday rule set up at Fund Rules. If holiday rule is not maintained, system will generate SI on next working date based on system calendar.

Example

Holiday Rule Maintained at Fund Rules as "After"	
Assume 08-Mar-2016 is a holiday	
SI Generation Date	**Actual Generation date**
8-Jan-16	8-Jan-16
8-Feb-16	8-Feb-16
8-Mar-16	9-Mar-16

Holiday Rule Maintained at Fund Rules as "Prior"	
Assume 08-Mar-2016 is a holiday	
SI Generation Date	**Actual Generation date**
8-Jan-16	8-Jan-16
8-Feb-16	8-Feb-16
8-Mar-16	7-Mar-16

Subsequent lump sum subscriptions/ regular RSP / switch-in to Source fund can be utilized for switching from Source fund into Target fund.

Example

SI Start Date - 28-Jan-2017	**Last Day - Y**
SI Generation Date	**Amount**
28-Jan-17	1000
28-Feb-17	1000
31-Mar-17	1000

SI Start Date - 28-Jan-2017	**Last Day - N**
SI Generation Date	**Amount**
28-Jan-17	1000
28-Feb-17	1000
28-Mar-17	1000

SI Start Date - 31-Jan-2017	**Last Day – Y/N**
SI Generation Date	**Amount**
31-Jan-17	1000
28-Feb-17	1000
31-Mar-17	1000
30-Apr-17	1000

Next Processing Date

Date Format; Optional

Select the next processing date from the adjoining calendar.

In case of SI amend, the system will validate this field against the cut off days maintained. Changing Next Processing Date is not allowed if Next Processing Date is less than or equal to Business Date + Cut off Days.

If you do not set COMPUTESINPD client country, then you can amend the next processing date.

You should manually specify Next Processing Date (NPD) in case of future dated rule effective date where rule effective date is greater than Next Processing Date of amended rule.

If you set COMPUTESINPD client country, the system computes the Next Processing Date (NPD) while saving. If you amend an SI with a future dated Rule Effective Date (RED), and if the Rule Effective Date is greater than the Next Processing Date of Amended SI, then the system will auto compute the NPD for the new rule as the next nearest date after the Rule

Effective Date without changing the generation day of month (in case of monthly). However, you cannot change generation day for an SI in this case.

If you manually try to change the Next Processing Date, when this client country is set, then the system displays an error message as ‘Next Processing Date cannot be changed by user’.

Note

In case of upload and gateway, Next Processing Date must be kept blank in the upload file and request xml respectively.

SI Effective Date

Date Format; Mandatory

Select the SI effective date from the adjoining calendar. If the SI effective date is greater than the current date then the next processing date is mandatory.

Note

The SI Effective date should not be during the cut-off period.

For instance, if SI start date is 8th November, and the current system date is 8th November, then the Next process date should be 8th December. If you try to amend the SI with SI effective date as 4th December, then the system displays an error message as ‘The SI Effective date should not be during the cut-off period.’.

Frequency

Mandatory

From the drop-down list, select the frequency at which the standing instruction must be processed, within the period defined between the start and end dates. The options available are as follows:

- Monthly
- Quarterly
- Half-Yearly
- Yearly
- Weekly
- Bi-Weekly
- Daily

Note

If the SI Cut-Off Day function is applicable for this installation, it will be effective only if the frequency specified in this field is ‘monthly’ or higher.

Click ‘Default Details’ button to view the following details:

- Details of transactions that could result when the standing instruction is processed
- Details of any brokers identified for the transactions
- Details of the instructions given for the transactions
- Details of any escalation for the standing instruction
- Details of any payment made for the processing of standing instructions

Last Processed Date

Display

The system displays the date when this standing instruction was last processed. For a new standing instruction, this field will be blank.

Suspension Expiry Date

Date Format; Optional

Select the suspension expiry date from the adjoining calendar.

This field will be applicable only if you select 'SI Status' field as 'Pause'.

The system will automatically update SI status as 'Active' when the Suspension Expiry Date maintained is lesser than business date. This will be achieved as part of a BOD job.

If this field is not maintained, you need to amend SI status manually to make it active or cancel.

First Generation Date

Date Format; Optional

Enter a date on which the system should generate a transaction apart from generating on the Standard Instruction start date. This date should be lesser than the Standard Instruction start date and Greater than or equal to the application date.

The date specified here cannot be edited or amended once you save the transaction.

Fund Details

Fund ID

Alphanumeric; 6 Characters; Mandatory

Select the fund in which any transactions resulting from the standing instruction must be put through. When you specify the fund, the ISIN Code of the fund is displayed in the ISIN Code field along with the fund name.

Note

This field will be displayed only if the SI level is 'Fund Level'.

Fund Name

Display

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

Transaction Value

Numeric; 22 Characters; Optional

Specify the transaction value.

Low Contribution Amount

Numeric; 18 Characters; Optional

Specify the SI amount to be used for transaction generation if yield calculated is greater than or equal to positive yield % maintained

This field is applicable only if you have selected 'SI Level' option as 'Fund'.

The low contribution amount should be less than SI Amount.

Positive Yield %

Numeric; 5 Characters; Optional

Specify the positive yield percentage to be maintained for DRSP.

This field is applicable only if you have selected 'SI Level' option as 'Fund'.

The Positive Yield % value should be greater than negative yield % maintained.

From Issued Balances

Optional

Select 'Yes' from the drop-down list, if you need to process transactions from issued balances. The drop-down list displays the following values:

- Yes
- No
- Both

Single Certificate?

Mandatory only if you have chosen the 'Yes' option in the Certificate Required field.

Select the denomination of certificates, whether single or multiple, that will be involved in the transaction, if certificates have been requested.

- For IPO and subscription, specify whether the unit holder has requested a single certificate or multiple certificates.
- For redemption, switch and transfer, specify whether a single certificate or multiple certificates are being redeemed, switched or transferred. For transfer transactions, specify whether the transferee unit holder has requested single or multiple certificates.

If you choose 'No' option in this field, then the certificates involved in the transaction will be reckoned in denominations governed by the maximum and minimum certificate denominations specified for the fund in the Shares Characteristics rule.

KIID Compliant

Select if the standing instruction is KIID compliant or not from the drop-down list. Following are the options available:

- Yes
- No

If SI is maintained for a single fund, then for the UH and Fund selected, the system will default 'Yes/No' value based on UH level mapping. In case the fund is selected is a non UCITS fund or if there is SI maintained for multiple funds at SI Fund Info tab, then this field will be blank.

In case there is no UH mapping for the UCITS fund selected, the system will default the value to 'No'. While saving this record, then the system will display an error message as 'The Unit holder has not received the KIID'

If the field is set to 'Yes', then the UH will receive the KIID. These entries where the KIID compliant is made as 'Yes' during maintenance will be available as part of 'UCITS-KIID Received SI Report'.

Contribution Percentage

Numeric; 5 Characters; Optional

Indicate the percentage of holdings of the transaction that is to be generated in respect of the instruction.

High Contribution Amount

Numeric; 22 Characters; Optional

Specify the SI amount to be used for transaction generation if yield calculated is less than or equal to negative yield % maintained.

This field is applicable only if you have selected ‘SI Level’ option as ‘Fund’.

The high contribution amount should be greater than SI Amount.

Negative Yield %

Numeric; 5 Characters; Optional

Specify the negative yield percentage to be maintained for DRSP.

This field is applicable only if you have selected ‘SI Level’ option as ‘Fund’.

The Negative Yield % value should be less than negative yield % maintained. Negative yield % cannot be greater than positive yield%.

The system will not allow amendment of SI between cut-off date and next processing date.

You can specify the following fields only if you have selected ‘SI Type’ as ‘DRSP’ and ‘Transaction Type’ as ‘Subscription’:

- High Contribution Amount
- Low Contribution Amount
- Positive Yield %
- Negative Yield %

Investors can define a yield for each fund and based on:

- If computed result is greater than or equal to positive yield, the RSP amount for the month will be the Low Contribution Amount defined, else the RSP amount will be base contribution amount specified
- If computed result is less than or equal to negative yield, the RSP amount for the month will be the High Contribution Amount specified, else the RSP amount will be base contribution amount specified
- If stop account is issued for an investor account, the system will not compute the yield % and system will always use the base contribution amount.
- DRSP transactions will have a new ref type ‘45’ to enable ageing sequence and separate load mapping.

Switching between RSP and DRSP is as follows:

- DRSP can be ‘switched’ to RSP and vice versa by amending the SI maintenance and mark the ‘SI Type’ as Normal/ Dynamic.
- The system will stop yield computation if you change ‘SI Type’ from ‘Dynamic’ to ‘Normal’. If stop account is issued for the investor post yield computation, the system will stop the yield computation from subsequent cycle only.
- The amendment to switch RSP to DRSP or vice-versa can be done for the next SI generation date only (Next processing date), if the allowed amendment period is breached. This will be derived based on cut-off day’s field at system level.

Note

The system will perform the sales suitability (risk rating) check at the point of RSP/ DRSP set up and amendment (i.e. fund and amount).

Sales suitability check will not be performed during SI generation of RSP/DRSP transactions if 'invriskcheck' client country code is disabled.

Certificate Required?

Optional

For funds that have the certificate option as specified in the Shares Characteristics rules, specify whether the selected unit holder has requested certificates for the standing instruction transaction. If yes, then choose the Yes option in this field, and specify the number of certificates requested in the Number of Certificates field.

Price Basis

Alphanumeric; 10 Characters; Mandatory

The default price basis defined in the Distributor Price Basis Setup, if any, for the fund, transaction type, distributor and investment account type involved in the standing instruction, is displayed in this field.

If no price basis has been maintained in the Distributor Price Basis Setup, the default price basis specified for the fund and transaction type for the instruction, from the fund rules, is displayed here.

Minimum Holding Check Required?

Optional

You can use this field to indicate whether the system must perform the minimum holdings validation when the subscription transactions in respect of the standing instruction are generated.

If this option is selected for a standing instruction, the system validates that the current holdings of the investor either equal or exceed the minimum holdings value specified in the Limit for Standing Instructions defined for the fund, when the subscription transactions in respect of the standing instruction are generated.

This specification can be maintained only if the Minimum Holdings Check has been indicated as applicable for the fund for which the standing instructions are being entered.

Contra Leg Fund/Unitholder

Switch To Fund ID

Alphanumeric; 6 Characters; Optional

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

Note

In GTA setup,

For Normal Switch and Phase In Switch Case:

- In AGY without cross branching, 'Fund ID' and 'Switch to Fund ID' fields can have funds selected only within same segment.
- In AGY with cross branching, Fund ID and Switch to Fund ID fields can have funds selected across segments.

For Pseudo Switch Case:

- In AGY without cross branching, Fund ID, Switch to Fund ID and Switch Back Fund ID fields can have funds selected only within same segment.

– In AGY with cross branching, Fund ID, Switch to Fund ID and Switch Back Fund ID fields can have funds selected across segments.

Switch To Fund Name

Display

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

To UnitHolder ID

Alphanumeric; 12 Characters; Optional

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

Click ‘Find To UH’ button to query To unit holder ID.

To Unit Holder Name

Display

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

Note

If client country 'UHFUNDRESTRICT' is turned on, the System will validate Unit Holder and the Fund should belong to the same AMC. Additionally,

– In case of SI Switch, Unit Holder and the To Fund should belong to the same AMC.

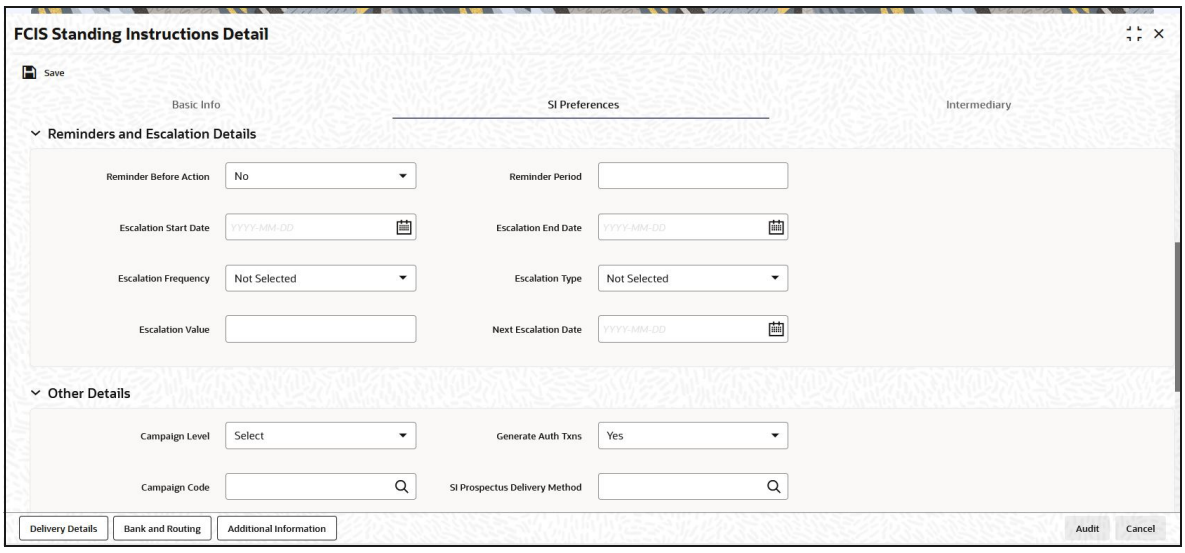
– In case of SI Transfer, To Unit Holder and the Fund should belong to the same AMC.

2.1.3 SI Preferences Tab

Unit holders may need to have the values of transactions generated for a standing instruction to be escalated at a pre-defined frequency. This is known as escalation.

Escalation is possible only for certain transaction types like IPO and Subscription.

Click ‘SI Preferences’ tab in ‘FCIS Standing Instructions Detail’ screen.



Reminders and Escalation Details

Reminder Before Action?

Mandatory

Select if the reminder before action is required or not from the drop-down list. the list displays the following values:

- Yes
- No

If you select the option as 'Yes', then the Unit Holder will be intimidated before SI generation.

Reminder Period

Numeric; 3 Characters; Optional

Specify a value in days to specify the requirement of reminder before the processing of the standing instruction.

Escalation Start Date

Date Format; Optional

Specify the date on which the escalation of the instruction will begin. This date has to be later than the SI Start date, but earlier than the SI End Date.

Escalation End Date

Date Format; Optional

Specify the date on which the escalation of the instruction will cease. This date has to be later than the SI Escalation Start Date, but earlier than the SI End Date.

Escalation Frequency

Optional

Select the frequency at which the escalation is to take place. You can select the desired frequency format from the drop down list. The list displays the following values:

- Monthly
- Quarterly
- Half-Yearly
- Yearly
- Weekly
- Bi-Weekly
- Daily

The escalation frequency must always be greater than or equal to the standing instruction frequency.

Escalation Type

Optional

Select whether the escalation is an amount/units-based escalation or a percentage escalation. Select the desired type from the drop down list. The list displays the following values:

- Amount/Units
- Percentage

Escalation Value

Numeric; 18 Characters; Optional

Enter the value by which the standing instruction transaction value must be escalated.

Next Escalation Date

Date Format; Optional

This is the date on which the next escalation will take place. It is updated by the system based on the standing instructions start date and the escalation frequency in the case of a new record. For records retrieved in the Amend mode, this date may be altered in the amend session. If this date is overridden manually, then next escalation will take place on the date amended by the user. If Next Escalation Date is updated, then this field given priority over Escalation Start Date

---

Note

If escalation is requested, then you must specify ALL the details in this section as mandatory information, to enable the system to process the escalation.

Other Details

Campaign Level

Optional

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

- Campaign Code
- Campaign Group

By default, campaign code will be selected.

Campaign Code

Alphanumeric; 6 Characters; Optional

Specify the campaign code to show the result based on Campaign Level selected. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the campaign maintenance.

If campaign Level is ‘Campaign Code’, then the system will tag the campaign while saving the transaction.

You can link the campaign to the subscription and switch transaction type of standing instruction. Specify the campaign to be mapped. You can also select the campaign code from the option list.

Transaction Category

Alphanumeric; 1 Character; Optional

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

Description

Display

The system displays the description for the selected transaction category.

Enable Auto Switch

Optional

Select if auto switch to be enabled or not from the drop-down list. The list displays the following values:

- Yes
- No

If you select 'Yes' option, you need to maintain the Auto switch mode sub screens maintained, else the system will display an error message.

Switch Back Fund ID

Alphanumeric; 16 Characters; Optional

Specify the fund ID for which the switch back should happen when yield is met. Alternatively, you can select switch back fund ID from the option list. The list displays all valid switch back fund ID maintained in the system.

Gross or Net

Optional

Specify whether the transaction is a gross or net transaction.

Note

If you have chosen Plan Level as the SI level then this field defaulted as 'Gross'. You will not be allowed to change this.

Generate Auth Txns

Mandatory

Select the option Yes/No from drop-down list to indicate whether authorized/unauthorized transactions generates when the standing instruction is processed

This specification is applicable and enabled only for scrip-less funds, and for funds in which the Aging Policy is based on Transaction Receipts (from the Transaction Processing Rules for the fund).This option is not applicable for certificate-option funds in which the unit holder has requested for certificates.

SI Prospectus Delivery Method

Alphanumeric; 2 Characters' Optional

Specify the SI prospectus delivery method. Alternatively, you can select SI prospectus delivery code from the option list. The list displays all valid SI prospectus delivery code maintained in the system.

Note

You can maintain this delivery method based on Param Code 'SIPROSPECTUSDELIV-ERYMTHD'

Delivery Option

Alphanumeric; 1 Character; Optional

Specify the delivery option. Alternatively, you can select delivery option from the option list. the list displays valid delivery option maintained in the system.

Template ID

Alphanumeric; 6 Characters; Optional

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

Yield Percentage

Numeric; 22 Characters; Mandatory

Specify the yield percentage mentioned by the investor and at which units in target fund achieve the yield will be switched back to source fund.

The system uses percentage (1-99) to validate the returns and switch back to source fund. This field is mandatory if you select 'Enable Auto Switch' field as 'Yes'.

Counter Details

SI Auto-Termination Cumulative Counter

Alphanumeric; 3 Characters; Optional

Specify the maximum number of times the SI payment rejections are allowed before the auto termination. If you have not maintained any value, then on saving/modifying the SI transaction, the system defaults the value maintained at the 'Plan Maintenance' screen, if the SI level is 'Plan'. Similarly, if the SI level is 'Fund', then the system defaults the value maintained in the 'Transaction Processing Rule – Detail' screen. However, the value available here is considered for auto termination of the standing instruction.

If you set this counter to zero, then the SI is cancelled on the very first rejection of the payment and the SI status maintained as 'Cancel'. If there is no value maintained, then the SI will not be automatically terminated if the payment is rejected.

Note

After automatically terminating the SI, the system will set the description for the SI to 'Cancelled due to exceeding cumulative payment rejections'.

SI Auto-Termination Consecutive Counter

Numeric; 3 Characters; Optional

Specify the maximum number of times consecutive SI payment rejections are allowed before the SI is automatically terminated. If you have not maintained any value, then on saving/modifying the SI transaction, the system defaults the value maintained at the 'Plan Maintenance' screen, if the SI level is 'Plan'. Similarly, if the SI level is 'Fund', then the system defaults the value maintained in the 'Transaction Processing Rule – Detail' screen. However, the value available here is considered for auto termination of the standing instruction.

If you set this counter to zero, then the SI is cancelled on the very first rejection of the payment. If there is no value maintained, then the SI will not be automatically terminated if the payment is rejected.

Note

After automatically terminating the SI, the system will set the description for the SI to 'Cancelled due to exceeding consecutive payment rejections'.

No. Of Cumulative Failures

Display

The system displays the number of cumulative failures.

No. Of Consecutive Failures

Display

The system displays the number of consecutive failures.

No. of SI Transaction Generated

Display

The system displays the number of SI transactions generated for the fund/plan. If this value is found to be equal to the limit set for the fund (in 'Fixed No of SI Installments' field in the Transaction Processing Rules) and the SI Level is 'Fund', then the SI will be cancelled. Similarly, where the SI Level is 'Plan', an SI will be cancelled if the number of SI transactions generated is found to be equal to the 'Fixed no of SI installments' for any of the funds under that plan".

In both cases, after cancelling the SI, the system will update the SI Status to 'Cancel' and the SI Description field to 'Cancelled due to exceeding number of maximum transactions allowed'.

2.1.4 Intermediary Tab

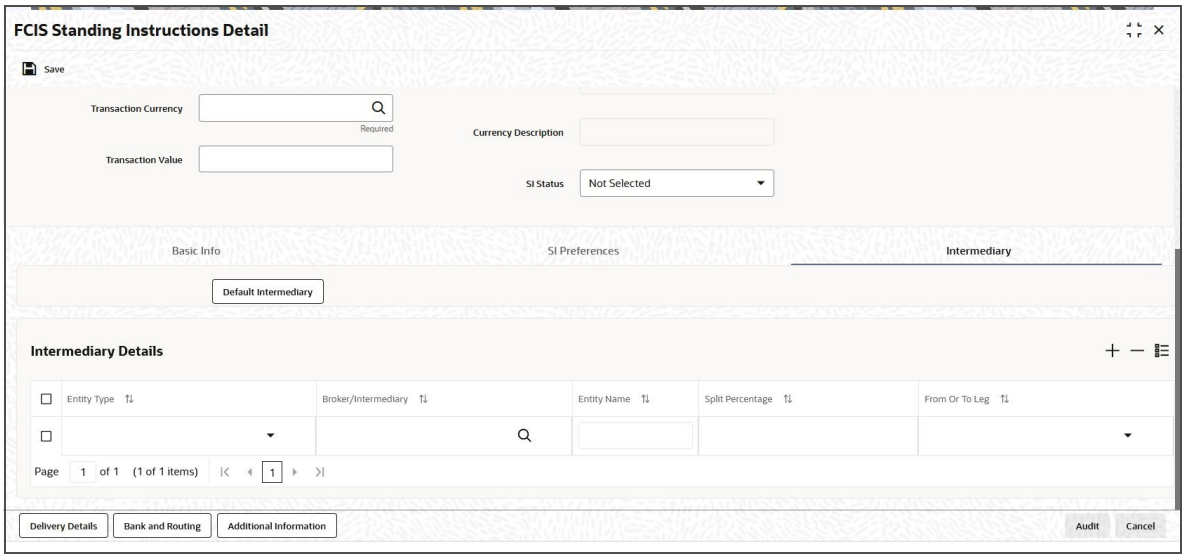
In this section, specify any brokers that are to be deemed as applicable for the transactions generated for the standing instruction.

Any identified brokers for the selected unit holder are displayed here, from the unit holder account profile, along with the parent brokers and the split percentages. You can alter this list, or add to it.

The split percentages that you specify for all brokers you choose for the transactions must sum up exactly to one hundred percent.

If brokers are designated as mandatory for the fund in which the standing instruction transactions are to be put through, you must specify at least one broker in this section. Click 'SI Intermediary' tab to enter the details.

Click 'Intermediary' tab in 'FCIS Standing Instructions Detail' screen.



You can specify the following details:

Entity Type

Mandatory

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

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

Broker/Intermediary

Alphanumeric; 12 Characters; Mandatory

You can also select the broker preferred by the investor from the list, and the corresponding information regarding the Intermediary and Parent Broker Name will automatically be populated in the adjoining fields on selection of the Broker Name.

Entity Name

Display

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

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of the commission derived for the standing instruction transaction that is to be accrued to the broker.

The split percentages that you specify for all brokers you choose for the transactions must sum up exactly to one hundred percent.

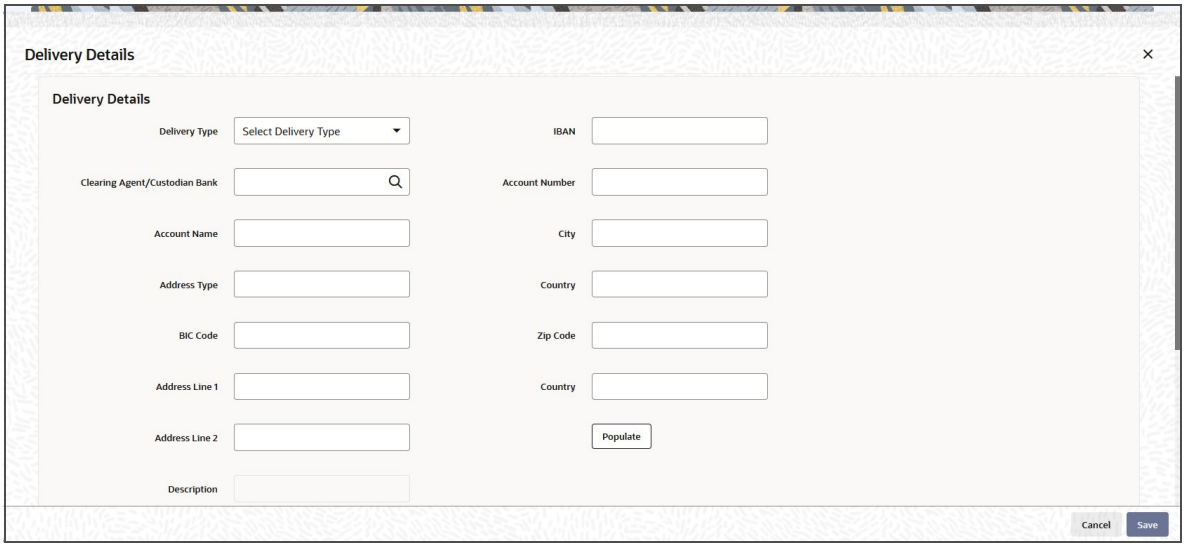
From Or To Leg

Mandatory

Select the From or To leg from the drop-down list.

Click ‘Default Intermediary’ button to default the intermediary details.

2.1.5 Delivery Details Button



You can specify the following SI delivery details:

Delivery Details

Delivery Type

Optional

Indicate the type of delivery from the drop-down list. The options available are:

- Self
- Third Party

IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN number.

Clearing Agent/ Custodian Bank

Alphanumeric; 12 Characters; Optional

Specify the clearing agent or custodian bank. The adjoining option list displays the valid clearing agent /custodian bank list. You can choose the appropriate one.

Account Number

Alphanumeric; 34 Characters; Optional

Specify the account number.

Account Name

Alphanumeric; 140 Characters; Optional

Specify the account name.

Address Type

Alphanumeric; 2 Characters; Optional

Specify the address type.

BIC Code

Alphanumeric; 12 Characters; Optional

Specify the BIC code.

Address Line1, 2

Alphanumeric; 105 Characters; Optional

Specify the address information in the two lines available.

Description

Display

The system displays the description of the specified country

City

Alphanumeric; 80 Characters; Optional

Indicate the name of the city.

Country

Alphanumeric; 80 Characters; Optional

Indicate the name of the country.

Zip Code

Alphanumeric; 10 Characters; Optional

Specify the zip code.

Certificate Denominations

Certificate Denominations

Alphanumeric; 200 Characters; Optional

Specify the certificate denominations.

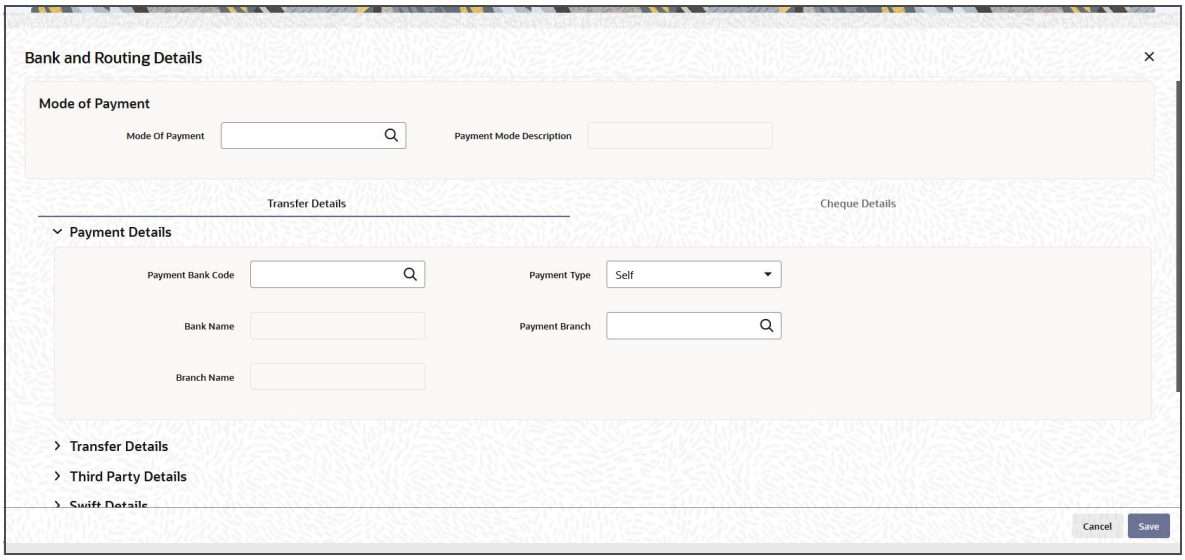
Certificate Description

Alphanumeric; 34 Characters; Optional

Specify a description of the certificate.

2.1.6 Bank and Routing Details Button

The details of the payments made for the standing instruction transactions can be captured here. This information is only applicable for IPO, Subscription and Redemption transaction types. Click ‘Bank and Routing Details’ button to invoke ‘Bank and Routing’ screen.



You can specify the following details:

Mode of Payment

Mode of Payment

Alphanumeric; 2 Characters; Optional

You can select it as cheque or money transfer.

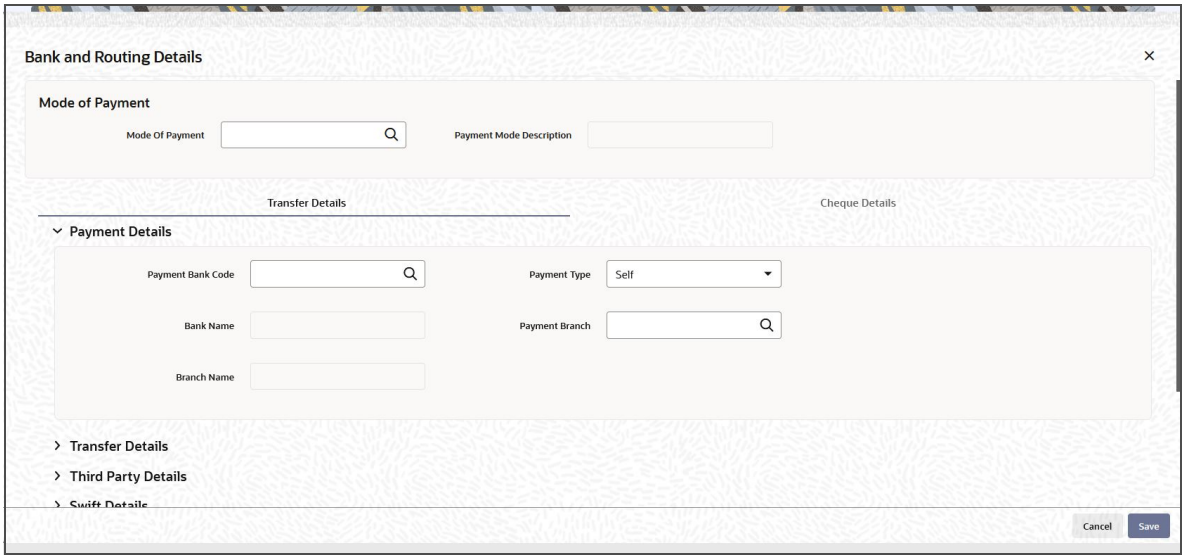
Payment Mode Description

Display

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

2.1.6.1 Transfer Details Tab

Click ‘Transfer Details’ tab in ‘Banking and Routing Details’ screen.



Payment Details

The payment details include the following:

- The mode through which the payment is made, either check or transfer
- The type of payment, that is, whether the payment is being made by the unit holder that has requested the transaction or by an external third party.
- The details of the bank and branch of the bank for the payment
- The details of any payment instruments such as checks, the number and date.
- In the case of payment by account transfer, the details of the bank account to which / from which the payment is being made from:
  - The maintained accounts in the Transfer Details option list in case of payment through transfer
  - The accounts in the Payment Bank Account option list in case of payment through cheque

Note

The system fetches bank accounts based on the payment currency and Mode of Payment (specified in SI bank Details). If the payment currency account is not maintained, you can choose the multi-currency account available.

Payment Bank Code

Alphanumeric; 12 Characters; Optional

Specify the Payment Bank Code of the Unit Holder.

Payment Type

Optional

Select payment type made by the unit holder who has requested for the transaction or by an external third party from the drop-down list. the list displays the following values:

- Self - Select this option if the payment is being made by the unit holder
- Third Party - Select this option if the payment is being made by an external party other than the unit holder

Bank Name

Display

The system displays the Bank name of the specified payment bank based on the details maintained at ‘Entity Maintenance’ level.

Payment Branch

Alphanumeric; 12 Characters; Optional

The system displays the branch code of the bank selected.

Branch Name

Display Only

The system displays the Branch name of the specified payment branch based on the details maintained at ‘Entity Maintenance’ level.

Transfer Details

Account Type

Alphanumeric; 1 Character; Optional

When you select the bank account of the unit holder that is being used to make the payment, the type of the transfer account is displayed here.

Account Holder Name

Alphanumeric; 60 Characters; Optional

When you select the bank account of the unit holder that is being used to make the payment, the name of the holder of the transfer account is displayed here.

Account Number

Alphanumeric; 34 Characters; Optional

When you select the bank account of the unit holder that is being used to make the payment, the account number of the transfer account is displayed here.

IBAN

Alphanumeric; 40 Characters; Optional

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

Third Party Details

When you select the ‘Mode of Payment’ as Third Party, you will be able to capture the details pertaining to third party. Following are the fields in the Third Party Details section.

Third Party Reference

Alphanumeric; 60 Characters; Optional

Specify the third party reference details.

Third Party Address Line 1-4

Alphanumeric; 105 Characters; Optional

Specify the third party address details.

Third Party Zip Code

Alphanumeric; 10 Characters; Optional

Specify the third party zip code details.

Third Party US State

Alphanumeric; 1 Character; Optional

Specify the third party US state code.

Third Party Details

Alphanumeric; 255 Characters; Optional

Specify the third party details.

BIC Code

Alphanumeric; 12 Characters; Optional

Specify the BIC code.

Country

Alphanumeric; 3 Characters; Optional

Specify the country code.

Swift Details

Swift Format

Optional

At the time of transaction input, the routing details specified here are picked up for the combination of fund, transaction type and transaction currency. Select the swift format from the drop-down list. The list displays the following values:

- MT103
- MT202

Bank Charged

Optional

Indicate whether the bank charges must be levied upon the beneficiary, the remitter or must be shared between the two. The options available in the drop-down list are as follows:

- Shared
- Remit
- Beneficiary

Beneficiary Details

Beneficiary

Alphanumeric; 35 Characters; Optional

Specify beneficiary details.

Beneficiary Add 1, 2, 3

Alphanumeric; 105 Characters; Optional

Enter beneficiary address. There are three lines available for this information.

Beneficiary IBAN

Alphanumeric; 35 Characters; Optional

Enter the IBAN account number of the beneficiary.

Beneficiary BIC Code

Alphanumeric; 24 Characters; Optional

Enter the BIC code of the beneficiary.

Beneficiary ACC No

Alphanumeric; 34 Characters; Optional

Enter the account number of the beneficiary.

Beneficiary Code

Alphanumeric; 24 Characters; Optional

Enter the code of the beneficiary.

Beneficiary Info

Alphanumeric; 100 Characters; Optional

Enter more information about the beneficiary.

Intermediary Details

Intermediary

Alphanumeric; 35 Characters; Optional

Specify Intermediary details.

Intermediary Add 1, 2, 3

Alphanumeric; 105 Characters; Optional

Enter Intermediary address. There are three lines available for this information.

Intermediary IBAN

Alphanumeric; 40 Characters; Optional

Enter the IBAN account number of the intermediary.

Intermediary BIC Code

Alphanumeric; 24 Characters; Optional

Enter the BIC code of the Intermediary.

Intermediary ACC No

Alphanumeric; 34 Characters; Optional

Enter the account number of the Intermediary.

Intermediary Code

Alphanumeric; 24 Characters; Optional

Enter the code of the Intermediary.

Intermediary Info

Alphanumeric; 100 Characters; Optional

Enter more information about the Intermediary.

Further Credit details

Further Credit Name

Alphanumeric; 35 Characters; Optional

Specify the further credit name.

Further Credit Acc No

Alphanumeric; 35 Characters; Optional

Specify the further credit account number.

Reference

Reference1

Alphanumeric; 35 Characters; Optional

Provide the first reference.

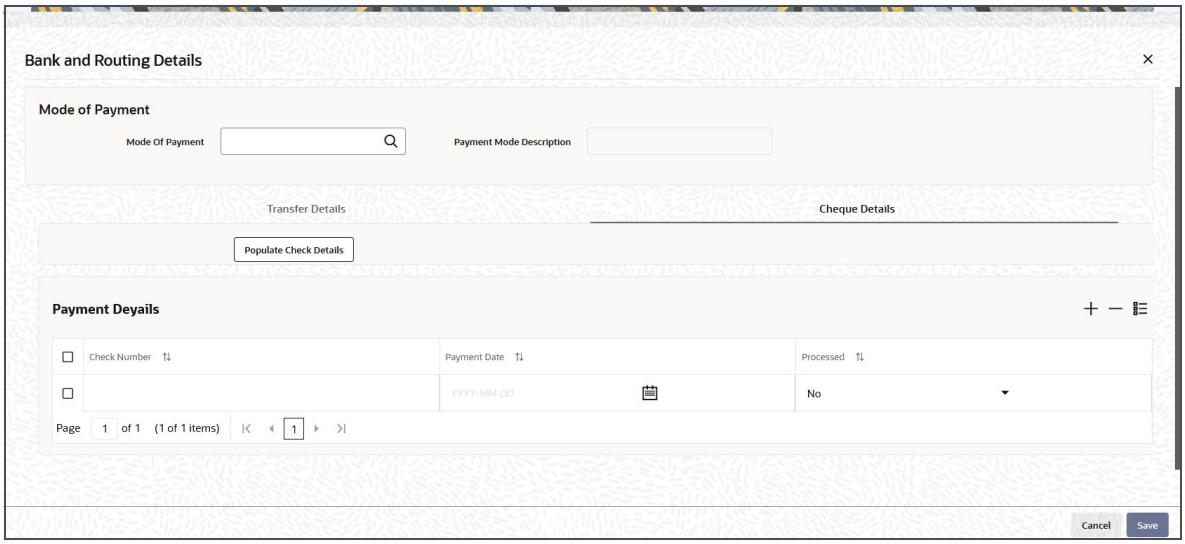
Reference2

Alphanumeric; 35 Characters; Optional

Provide the second reference.

2.1.6.2 Cheque Details Tab

Click ‘Cheque Details’ tab in ‘Bank and Routing Details’ screen.



You can specify the following details:

Payment Details

Check Number

Alphanumeric; 16 Characters; Optional

Specify the check book number.

Payment Date

Date Format; Optional

Specify the payment date.

Processed

Optional

Select if the transaction is processed or not.

Click ‘Populate Check Details’ button to specify the following cheque details.

Starting Check Number

Numeric; 10 Characters; Optional

Specify the starting cheque number.

Number Of Check Leaves

Numeric; 10 Characters; Optional

Specify the number of check leaves.

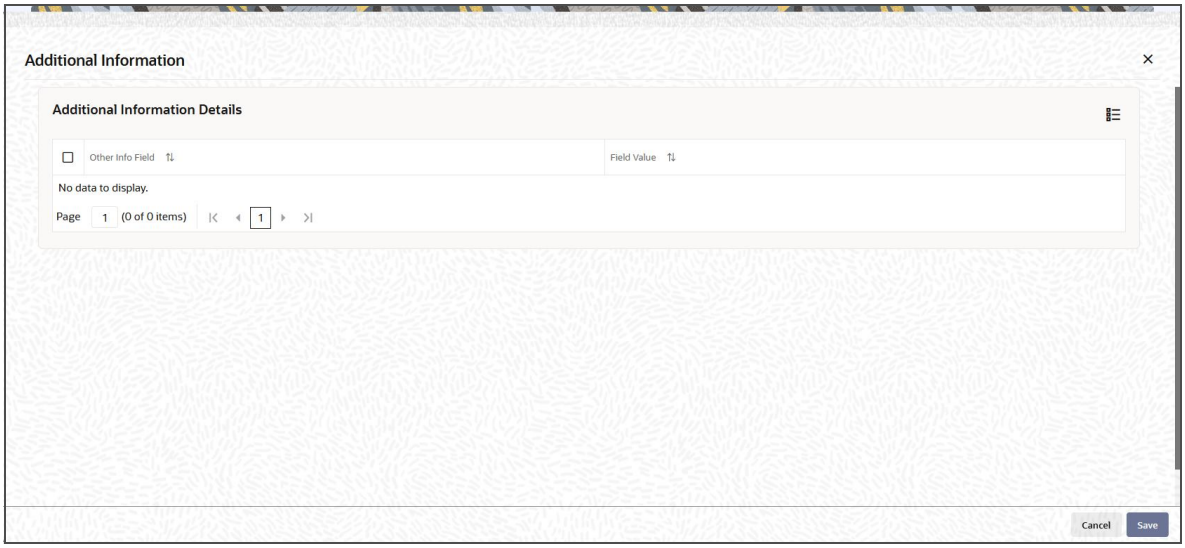
Check Start Date

Date Format; Optional

Specify the cheque start date.

2.1.7 Additional Information Button

Click ‘Additional Information’ button in ‘FCIS Standing Instructions Detail’ screen to invoke ‘Additional Information’ screen.



You can view the following details:

- Other Info Field
- Field Value

2.1.7.1 Validating SI Maintenance

In case of new SI maintenance, the system will validate SI start date with the cut off days maintained. The system maintains the Cut off Days at system level in Parameter Maintenance Screen (UTDPARAM) with Param Code as ‘SICUTOFFDAYS’ and Param Value as ‘RIS’.

If the SI is amended, the system will validate next processing date with the cut off days maintained. If yield is amended, system will use this revised yield specified by investor to compare against the computed yield for transactions generated after SI amend.

The system validates the investor and fund risk rating for the selected unit holder and funds based on the maintenance done in ‘Investor-Fund Risk Rating Mapping (UTDINFRR)’ screen.

The system should check the investor risk rating to fund risk rating (i.e. sales suitability check) while saving SI maintenance and display an error message.

Cut-off based SI Maintenance

You can create or amend new RSP based on the cut-off lag maintained at the system level.

While setting up a new SI or modifying an SI before authorization, the system will validate SI Start Date based on the parameter code ‘SICUTOFFDAYS’ and parameter Value ‘NORMAL’.

In Amend Mode, the system will validate Next Processing date based on the parameter code 'SICUTOFFDAYS' and parameter value 'NORMAL' maintained at Parameter Maintenance.

The system will capture the effective date of amended SI. Every SI rule will be associated with an effective date in the system.

If Fund Holiday is modified after deriving next processing date, the system will not update the next processing date. Instead, the actual SI generation will happen considering the modified fund holiday.

If amended during the cut off period, effective date must be greater than next processing date.

Cut-off days will always be system calendars days and lag is applicable for both RSP and DRSP creation and amendment. If the cut-off dates falls on Taiwan holidays, the cut-off dates will move to previous business day. For instance, cut-off days is '5', RSP date is 8th say, 8March, the cut-off date will be last day of previous month, i.e., 28February. If 28 February is not a Taiwan business day, the cut-off date should be moved to 27 February or previous business day.

Modified SI rule will be effective from SI Effective date of a SI plan and amendment of SI will be allowed based on the cut-off lag maintained.

When an SI rule becomes effective on the effective date, the SI mandate values (UI and non-UI) to be carry forwarded from the previously effective maintenance will be based on the Template ID field in 'SI Maintenance' screen.

Example

Assume that SI cut-off day for RSP/ DRSP is maintained as 7. The system will validate the maintenance as follows:

Case#	SI Start date	Existing SI	Business day	Effective Date	Next processing date	Operation	Remarks
1	28-Nov-16	No	20-Nov-16	20-Nov-16	Blank	New SI creation	SI will be created successfully
2	28-Nov-16	No	23-Nov-16	NA	Blank	New SI creation	SI creation will not be allowed as SI start date is within the disallowed period. If SI start date is 28Dec, the SI creation should be allowed
3	28-Jan-16	Yes	20-Nov-16	20-Nov-16	28-Nov-16	SI Amendment (post authorization)	SI amendment will be allowed

Case#	SI Start date	Existing SI	Business day	Effective Date	Next processing date	Operation	Remarks
4	28-Jan-16	Yes	22-Nov-16	Effective date can be any date after 28-Nov-2016	28-Nov-16	SI Amendment (post authorization)	SI amendment will be allowed only with effective date greater than Next Processing Date (28-Nov-2016) as Next processing date is within the disallowed period
5	28-Jan-16	Yes	10-Nov-16	10-Nov-16	12/8/2016 (this should be change to 08th Dec after post authorization)	SI Amendment (to change the RSP date from 28th to 8th (post authorization)	SI amendment will be allowed
6	28-Jan-16	Yes	11-Nov-16	11-Nov-16	11/28/2016 (this should be change to 28th Nov after post authorization)	SI Amendment (to change the RSP date from 8 to 28th (post authorization)	SI amendment will be allowed.

Case#	SI Start date	Existing SI	Business day	Effective Date	Next processing date	Operation	Remarks
7	2/8/2016 (Another RSP plan)	Yes	11-Nov-16	11-Nov-16	11/28/2016 (this should be change to 28th Nov after post authori-zation)	SI Amend-ment (to change the RSP date from 8 to 28th (post authori-zation)	SI amend-ment will be allowed

You can amend SI maintenance as follows:

Fetch the latest available SI rule with SIID and Effective date in UTDSIN or from summary screen (UTSSIN)

- If the business day is not within the cut-off period, the system will allow amendment of SI with same date as effective date/ future date
- If business day is within the cut-off period, the system will allow amendment of SI with effective date greater than next processing date.

The list of amendable fields will be factory shipped. Along with the existing SI amendable fields the following fields will be amendable:

Field	Description
High Contribution Amount	DRSP Specific
Low Contribution Amount	DRSP Specific
Positive yield %	DRSP Specific
Negative yield %	DRSP Specific
SI Effective Date	Generic
Next Processing Date	Generic
Suspension expiry date	Generic
SI Type	Allowed only for RSP/DRSP
Amount	SI Base amount
Yield %	Revolving investment schema

You can amend SI mandate only for effective date greater than next processing date between cut-off date and SI generation date.

Cut-off date will be derived as follows:

Cut-off date = Next Processing Date – CUTOFFDAYS

Example

If next processing date of the SI is 28-Nov-2016, and CUTOFF days is defined as '7', then you can amend the SI between '21-Nov-2016' till 28-Nov-2016 only if effective date greater than next processing date.

With the above setup, the system allows SI amendment between last processed date and cut-off date for the upcoming SI generation.

Last Processed Date	Cut-off Date	Next Process Date
28-Oct-16	21-Oct-16	28-Nov-16

Amendment of SI for next cycle (28-Dec) can be done between the below mentioned dates:

Amendment from	Amendment to
Any Date	21-Dec-16

2.1.7.2 Yield date derivation – Fund level SI

The system computes the yield and compares the latest record on (T-Y) days using the NAV as of (T-N) with holdings as of NAV date.

where,

T- SI date

Y – Yield lag, will be in system calendar days. Yield lag should not be greater than SICUTOFFDAYS. Param Code for Yield Lag is 'YIELDLAG'

If SICUTOFFDAYS is lesser than YIELDLAG, then post yield computation, then you can amend the amount, hence the validation.

The SI Effective date should be less than or equal to Yield Computation Date, otherwise the system will not pick SI for yield computation and hence the upcoming SI generation will fail.

N – NAV lag – Actual calendar. The system will calculate the lag from RSP date. Param Code for NAV Lag is 'NAVLAG'

The NAV date derived from NAV lag maintained must be always greater or equal to Yield computation date derived from Yield lag. You need to operationally control this validation..

NAV Lag and Yield Lag maintained are applicable to all DRSP irrespective of the SI Frequency selected.

In case of SI with daily frequency, Yield Lag must be 1 and for weekly frequency, you need to select the yield lag by considering the system holidays to avoid overlaps.

The system uses DRSP Yield Computation batch to compute yield and set the contribution based on the maintenance.

In case of fund restriction maintained as force situation where fund is frozen for new inflow/ new SI transaction's suspension, the system will compute yield for DRSP and generate the transaction with the base amount setup. You can amend SI amount to reduce the amount when fund restriction is maintained for inflow transactions.

If the RSP/ DRSP holdings in the account is fully redeemed, the system will deem the next DRSP as the 'first' DRSP, generated as base contribution amount.

Example

System Holiday in Feb						
Sun	**Mon**	**Tue**	**Wed**	**Thu**	**Fri**	**Sat**
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	1	2	3	4
5	6	7	8	9	10	11

Fund Holiday in Feb						
Sun	**Mon**	**Tue**	**Wed**	**Thu**	**Fri**	**Sat**
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	1	2	3	4

Assume SI date is 28th of every month (28-Feb-2017)

Yield Lag - Y is set as 4

NAV lag - N is set as 7

Yield Computation Date (SI Date - Y) System Calendar	22-Feb-17
NAV Date (SI Date – N) Actual Calendar	17-Feb-17
Holdings Date	17-Feb-17

As per the NAV lag maintenance, the system will derive the NAV date on 21-Feb-17 (28 Feb - 7 days) but NAV of 17-Feb-2017 will be used as 20th and 21st are fund holidays

Yield date derivation – SI – Plan level

Assume SI date is 28th of every month (28-Feb-2017)

Plan level SI with 2 offshore funds

Fund ID	Fund Type	Holidays
BONFND	Bond Fund	23,24

Fund ID	Fund Type	Holidays
EQYFND	Equity fund	20,21,24

Yield Lag - Y is set as 4

NAV lag - N is set as 7

Fund Holiday in Feb -BONFND						
Sun	**Mon**	**Tue**	**Wed**	**Thu**	**Fri**	**Sat**
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	1	2	3	4

Fund Holiday in Feb -EQYFND						
Sun	**Mon**	**Tue**	**Wed**	**Thu**	**Fri**	**Sat**
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	1	2	3	4

As per the NAV lag maintenance, for EQYFND, the system will derive the NAV date on 21-Feb-17 (28 Feb - 7 days) but NAV of 17-Feb-2017 will be used as 20th and 21st are fund holidays.

	BONFND	**EQYFND**
Yield Computation Date (SI Date - Y) System Calendar	22-Feb-17	22-Feb-17
NAV Date (SI Date – N) Actual Calendar	21-Feb-17	17-Feb-17
Holdings Date	21-Feb-17	17-Feb-17

Example for RSP on 8th and 28th

Lag Name	Value	For RSP Date 8th	For RSP Date 28th	Remarks
SICUT-OFFDATE	8	31-Jan-17	20-Feb-17	Follows actual calendar

Lag Name	Value	For RSP Date 8th	For RSP Date 28th	Remarks
YIELDLAG	3	2-Feb-17	22-Feb-17	Follows system calendar
NAVLAG	7	1-Jan-17	21-Feb-17	Follows actual calendar and derive the NAV date. If the derived date is a holiday system will use fund calendar and derive the available price prior to derived date

Calendar details below:

Holiday calendar for Jan						
Sun	**Mon**	**Tue**	**Wed**	**Thu**	**Fri**	**Sat**
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

Holiday calendar for Feb						
Sun	**Mon**	**Tue**	**Wed**	**Thu**	**Fri**	**Sat**
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	1	2	3	4

	Fund Holiday
	System Holiday

With the above setup, the system will generate the RSP transaction on 1st of March as 28th Feb is a fund holiday. The assumption here is, you have selected the holiday rule as 'After'.

2.2 Standing Instructions Summary

This section contains the following topics:

- Section 2.2.1, "Retrieving Standing Instruction in Summary Screen"

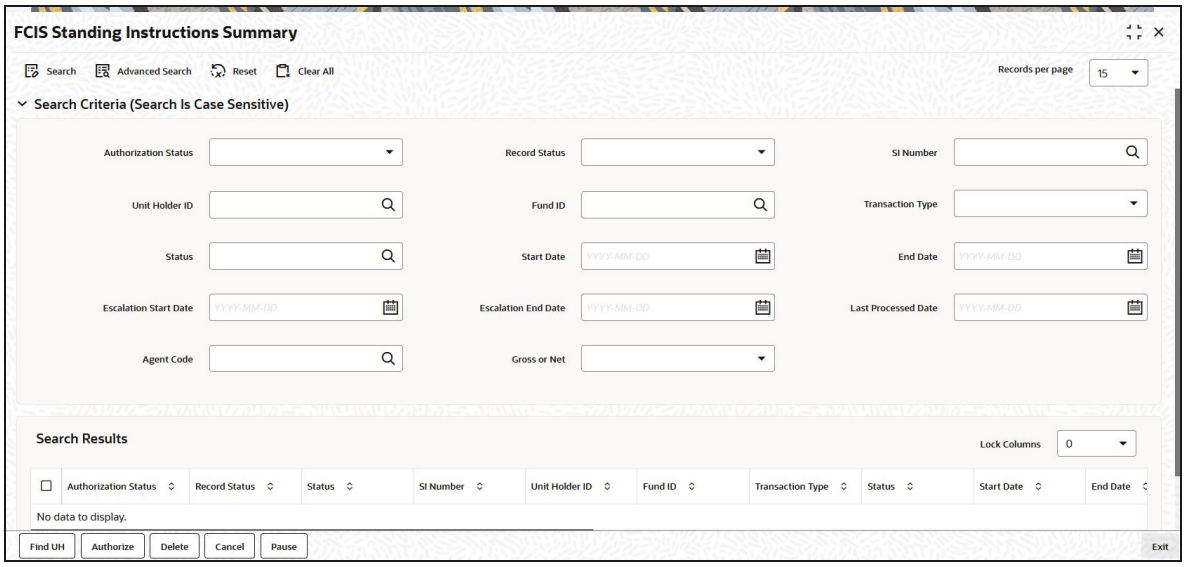
- Section 2.2.2, "Viewing Standing Instruction"
- Section 2.2.3, "Deleting Standing Instruction"
- Section 2.2.4, "Authorizing Standing Instruction"
- Section 2.2.5, "Amending Standing Instruction"
- Section 2.2.6, "Authorizing Amended Standing Instruction"

2.2.1 Retrieving Standing Instruction in Summary Screen

After you have saved a standing instruction record in the Standing Instruction Detail screen, you can perform the following operations:

- Edit the instruction record as many times as necessary before having it authorized. Only the user that has entered the record can edit it.
- Have another user authorize the record.
- Delete the record.

To either edit, authorize or delete an unauthorized standing instruction, use the 'FCIS Standing Instructions Summary' screen. You can invoke this screen by typing 'UTSSIN/ UTSFIN' 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 Standing Instructions Summary screen, as follows:

- Specify any or all of the following details in Standing Instructions Summary 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 unit holder are retrieved.
- The status of the record in the Record Status field. If you choose the "Blank Space" option, then all the records that involve the specified unit holder are retrieved.
- SI Number
- Unit Holder ID
- Fund ID
- Transaction Type
- Status
- Start Date

- End Date
- Escalation Start Date
- Escalation End Date
- Last Processed Date
- Agent Code
- Gross or Net

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

Note

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

- Press F7
- Input Unit Holder ID
- Press F8

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

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

2.2.2 Viewing Standing Instruction

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

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

2.2.3 Deleting Standing Instruction

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

- Invoke the Standing Instructions Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details and click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The Standing Instructions Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

2.2.4 Authorizing Standing Instruction

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

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

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

2.2.5 Amending Standing Instruction

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

- Invoke the Standing Instructions Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend only authorized records.
- Specify any or all of the details of the Standing Instructions in the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Standing Instructions Detail screen is displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

Changes during amendment

During an amendment, you can change any of the following details of a standing instruction:

Escalation Details

The escalation details such as SI Escalation Frequency, Next Escalation Date, Escalation Type and Escalation Value may be amended.

Transfer bank details for account transfer payments

The transfer bank account details can be altered only for those standing instructions for which the Mode of Payment is Transfer.

Payment mode and check details

The Mode of Payment can be amended from Transfer to Check or vice versa during amendment of a standing instruction.

The check details cannot be altered if the checks are still unprocessed.

Broker details

The broker may be altered during amendment.

Unit Holder Bank Details

You can change the bank details of an active standing instruction. If the modified bank are attached to any active Income Distribution Setup (IDS), Standing Instruction Setup or Policy SI (Premiums or Annuities), the system displays a warning message.

Cancelling / pausing / reactivating a Standing Instruction

After a standing instruction is authorized, it could be:

- Active: This means that the instruction is still being processed, and transactions have been put through.
- Paused: The authorized instruction record exists in the database, but no processing is taking place in respect of the same
- Cancelled: The instruction has been annulled and no processing is scheduled to take place in respect of the same

During amendment of an authorized standing instruction in this screen, you can change the status of the record. You can

- Pause an active instruction, by changing the status from Active to Paused in the Instruction Status field. In such a case, all future processing in respect of the instruction will be held back and not put through, till further notice
- Cancel an active instruction, by changing the status from Active to Cancelled in the Instruction Status field. In such a case, the instruction is deemed as annulled, and future processing and scheduling for the same is stopped indefinitely. Once you cancel an active instruction, you cannot make it active again.
- Re-activate a paused instruction, by changing the status from Paused to Active in the Instruction Status field. When you do so, processing for the instruction will begin again.

2.2.6 Authorizing Amended Standing Instruction

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

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

2.3 SI Lag Maintenance Screen

This section contains the following topics:

- Section 2.3.1, "Invoking SI Lag Maintenance Screen"

2.3.1 Invoking SI Lag Maintenance Screen

You can maintain SI Cut off days, NAV Lag and Yield Lag at AMC level using ‘SI Lag Maintenance screen.

During SI maintenance, the system will apply SI Cut off days to an SI based on the AMC of the selected Fund.

If there are multiple funds for an SI (Plan level SI) with funds from different AMCs, the system will use the SI cut-off days and lags maintained in ‘Parameter Maintenance’ (UTDPARAM) screen.

During DRSP yield computation, the system uses the NAV Lag and Yield Lag maintained for the fund’s AMC.

If SI cut-off, NAV lag and Yield Lag are not maintained for an AMC in ‘SL Lag Maintenance’ screen, then the system will use SI Cut off days and lags maintained in ‘Parameter Maintenance’ (UTDPARAM) screen

In case of Plan level SI, if all funds belong to same AMC, and if SI cut-off and lags for this AMC is maintained to use Fund Calendar, the system will use the AMC level maintenance as follows:

For SI cut-off, the system will use the least date from the derived cut-off date for each fund.

For instance, if SI date is 28-May and cut-off for Fund A is 21-May and cut off for Fund B is 20-May depending on the fund holidays, then the system will consider the cut off day for this SI as 20-May.

Yield computation date for each fund under an SI may not be same.

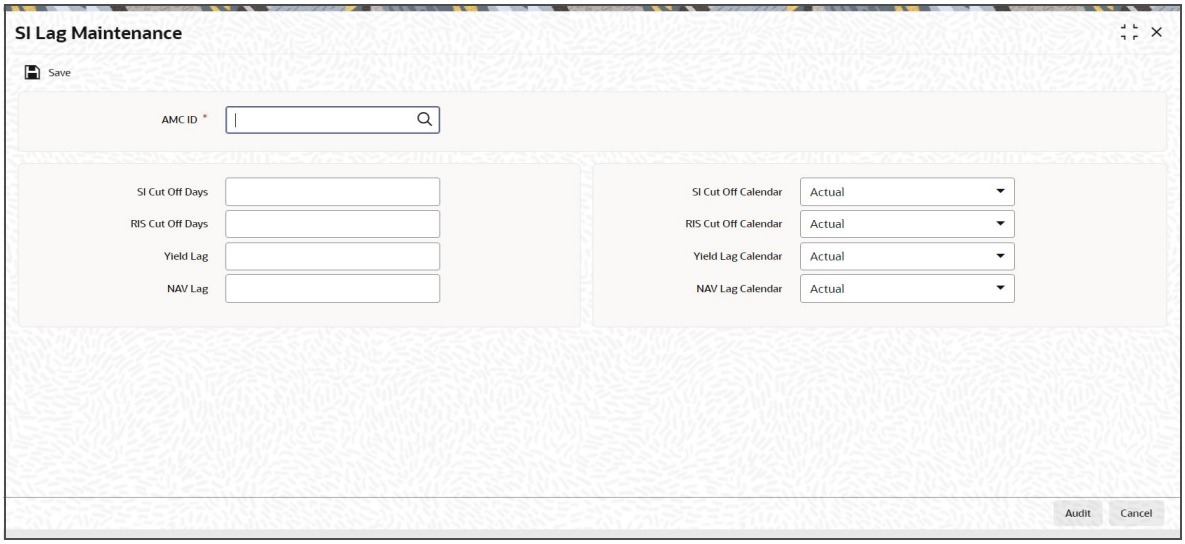
For instance, if there are 2 Funds, Fund A and Fund B for an SI with SI generation date as 28-May. If yield computation date for Fund A is 24-May and Yield computation date for Fund B is 25-May, then the system will compute yield and decide the SI generation amount for Fund A and Fund B on 24-May and 25-May respectively. Total amount for the SI can be determined only after 25-May when yield computation is completed for both the funds.

The system will calculate the NAV Date for yield computation for each fund based on the fund calendar and NAV Lag maintained.

Note

The ‘SI Lag Maintenance’ is applicable only for Fund Manager.

You can invoke ‘SI Lag Maintenance’ screen by typing ‘UTDSILAG’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

AMC ID

Alphanumeric; 12 Characters; Mandatory

Specify the AMC ID of the AMC for which Lag needs to be maintained.

SI Cut Off Days

Numeric; 2 Characters; Mandatory

Specify the SI Cut off days to be maintained for SIs other than RIS.

SI Cut Off Calendar

Optional

Select the calendar associated with 'SI Cut Off Days' field from the drop-down list. The list displays the following values:

- Actual
- System
- Fund

RIS Cut Off Days

Numeric; 2 Characters; Mandatory

Specify the Cut off days to be maintained for RIS.

RIS Cut Off Calendar

Optional

Select the calendar associated with 'RIS Cut Off Days' field from the drop-down list. The list displays the following values:

- Actual
- System
- Fund

Yield Lag

Numeric; 2 Characters; Mandatory

Specify the yield lag to be maintained for DRSP.

Yield Lag Calendar

Optional

Select the calendar associated with 'Yield Lag' field from the drop-down list. The list displays the following values:

- Actual
- System
- Fund

NAV Lag

Numeric; 2 Characters; Mandatory

Specify the NAV lag to be maintained for DRSP.

NAV Lag Calendar

Mandatory

Select the calendar associated with 'NAV Lag' field from the drop-down list. The list displays the following values:

- Actual
- System
- Fund

During Amend operation, the system will not validate any business impact for the new value captured, as the system does not restrict or maintain any particular date for SI maintenance. The following example needs to be operationally controlled:

Example

SI generation date is 8th Feb.The SI cut off lag is maintained as 3 days (system calendar).

You can amend the cut off lag At AMC level to 2 days upto 3rd Feb.

The system will not allow you to amend SI cut off lag to 4 days at AMC level on 3rd Feb.

2.4 SI Lag Summary Screen

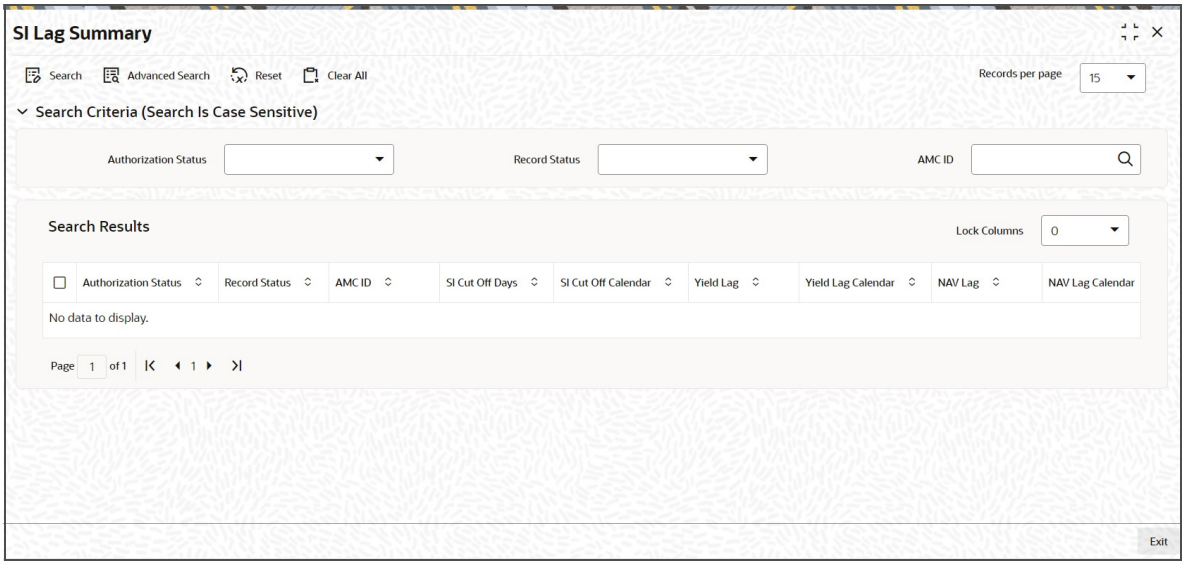
This section contains the following topics:

- Section 2.4.1, "Retrieving a Record in SI Lag Summary Screen"
- Section 2.4.2, "Editing SI Lag Record"
- Section 2.4.3, "Viewing SI Lag Record "
- Section 2.4.4, "Deleting SI Lag Record"
- Section 2.4.5, "Authorizing SI Lag Record "
- Section 2.4.6, "Amending SI Lag Record "
- Section 2.4.7, "Authorizing Amended SI Lag Record "

2.4.1 Retrieving a Record in SI Lag Summary Screen

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

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



Specify any or all of the following details in the corresponding details.

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

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

Note

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

- Press F7
- Input AMC ID
- Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

2.4.2 Editing SI Lag Record

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

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

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

2.4.3 Viewing SI Lag Record

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

- Invoke the SI Lag Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to view in the list of displayed records. The SI Lag Maintenance Detail screen is displayed in View mode.

2.4.4 Deleting SI Lag Record

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

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

2.4.5 Authorizing SI Lag Record

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

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

2.4.6 Amending SI Lag Record

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

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

2.4.7 Authorizing Amended SI Lag Record

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

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

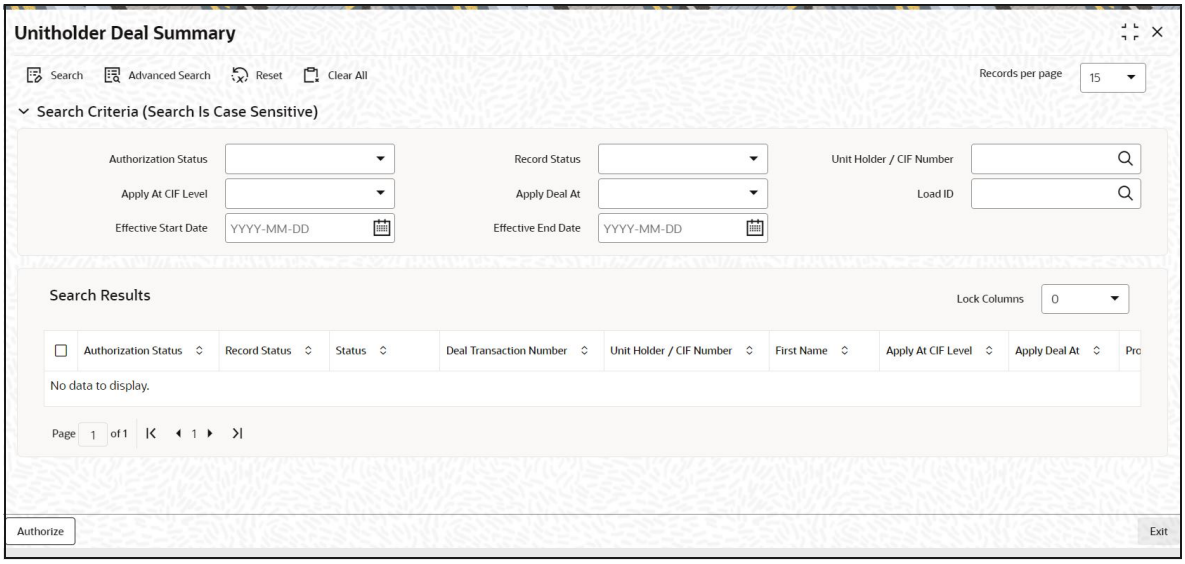
2.5 Unitholder Deal Summary

This section contains the following topics:

- Section 2.5.1, "Retrieving Deals for Investors "
- Section 2.5.2, "Viewing Deals for Investors "
- Section 2.5.3, "Deleting Deals for Investors "
- Section 2.5.4, "Authorizing Deals for Investors"
- Section 2.5.5, "Amending Deals for Investors"
- Section 2.5.6, "Authorizing Amended Deals for Investors"
- Section 2.5.7, "Processing Back Data Propagation for SI Transactions"

2.5.1 Retrieving Deals for Investors

You can view the details of all the deals set up for the unit holder in the 'Unitholder Deal Summary' menu. You can invoke this screen by typing 'UTSUHDEL' 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 Unitholder Deal Summary screen, as follows:

- Specify any or all of the following details in the Unitholder Deal Summary screen:
- The status of the record in the Authorization Status field. If you choose the "Blank Space" option, then all the record that involves the specified unit holder 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 unit holder are retrieved.
- Unit Holder / CIF Number
- Apply At CIF Level

- Apply Deal At
- Load ID
- Effective Start Date
- Effective End Date

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

Note

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

- Press F7
- Input Load ID
- Press F8

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

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

2.5.2 Viewing Deals for Investors

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

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

2.5.3 Deleting Deals for Investors

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

- Invoke the Unitholder Deal Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details and click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The Unitholder Deal Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

2.5.4 Authorizing Deals for Investors

An unauthorized Unitholder Deal records must be authorized in the system for it to be processed. To authorize a record:

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

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

2.5.5 Amending Deals for Investors

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

- Invoke the Unitholder Deal Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend only authorized records.
- Specify any or all of the details of the Unitholder Deal in the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Unitholder Deal Detail screen is displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

2.5.6 Authorizing Amended Deals for Investors

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

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

When you retrieve a deal record for the purpose of amendment in this screen, it is displayed in the UH Deal Setup 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.

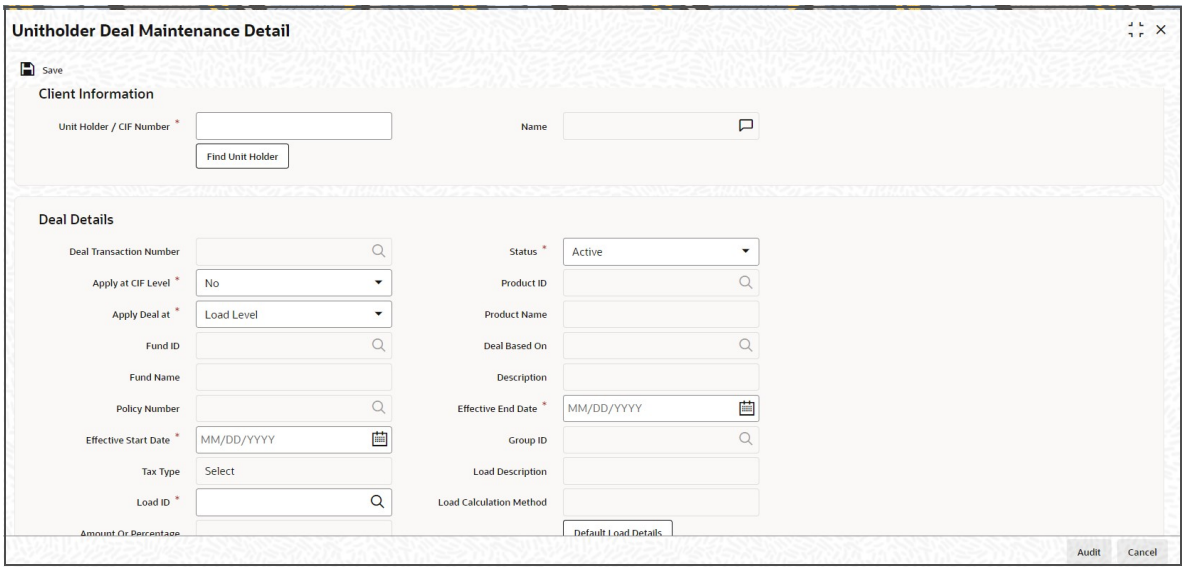
Note

When you make changes to any authorized record in the system database through the amendment operation, the record with the amended information is saved as an unauthorized record in the system. For your amendment changes to be effective, the amended record must be subsequently authorized. When it is authorized, it is saved in the system database as an authorized record with the amendment information, and is effective.

You can cancel an existing negotiated deal by changing the status to cancel. When you authorize this change, the deal set up is nullified.

You can invoke the ‘Unitholder Deal Maintenance Detail’ screen by typing ‘UTDUHDEL’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The Unit holder deal records matching the search criterion specified is displayed in row lists in the lower grid portion of the screen. From this results list, choose the unit holder deal that you want to view by double clicking on a record. The Unit Holder - Deal Setup screen is invoked in View mode as shown below, where you can view the details of the record.



For further information on this screen, refer Deals for an investor Section” of the “Setting Up Investor Preferences” chapter.

2.5.7 Processing Back Data Propagation for SI Transactions

You can correct erroneous transactions as well as enter those that have been missed out and compute the effect these have on the current holdings of the unit holder through the back data propagation process. To facilitate this propagation process, two schemas are used – the business (or normal) schema and the report schema. You are required to enter the correct data in the business schema for the required transactions and select these for propagation, again from the business schema. The transactions will be simulated in the report schema and the results can be viewed in the business schema.

Refer the chapter ‘Back Data Propagation’ for more details on the back data propagation process.

2.6 Plan Maintenance Detail

This section contains the following topic:

- Section 2.6.1, "Invoking Plan Maintenance Detail Screen"

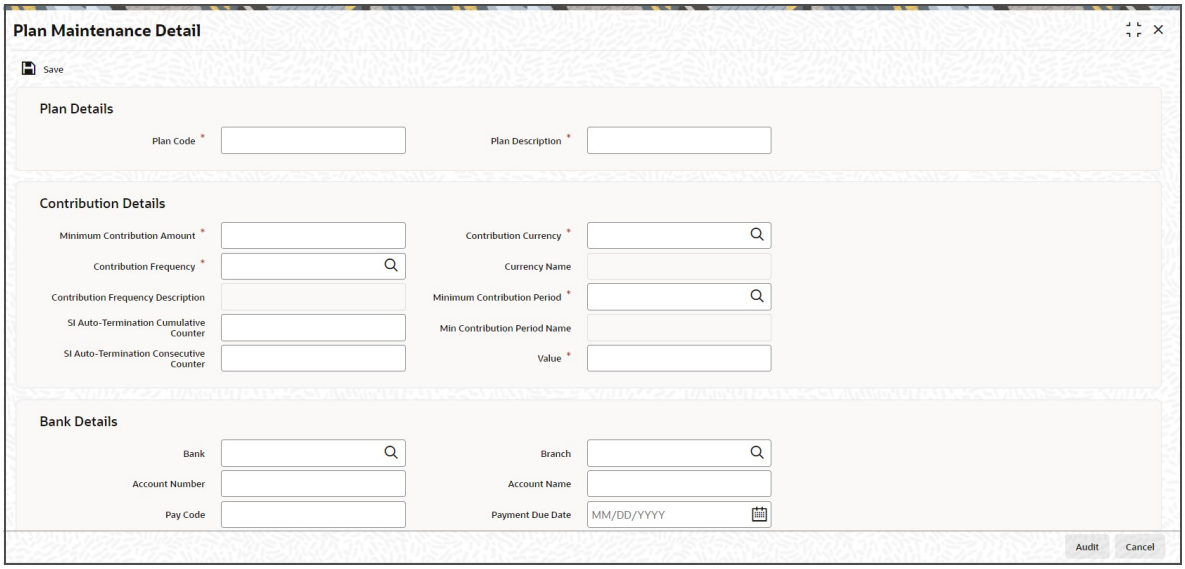
2.6.1 Invoking Plan Maintenance Detail Screen

Templates are particularly useful when you are entering standing instructions for multiple funds with the same characteristics for a unit holder, wherein options and rules are applicable to all funds belonging to the investor.

You can setup Plan level SI of same fund type (Onshore/ Offshore) funds. You cannot create Plan level SI with combination of Onshore and Offshore funds.

Use the ‘Plan Maintenance Detail’ screen to create templates for standing instructions. You can invoke this screen by typing ‘UTDRSPM’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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



Plan Details

Plan Code

Alphanumeric; 6 Characters; Mandatory

Provide a unique identification for the new template you are creating, in this field.

Plan Description

Alphanumeric; 60 Characters, Mandatory

Enter descriptive text, a short phrase that qualifies the plan.

Contribution Details

In this section, specify the period during which the standing instruction is to be processed for the unit holder, the minimum contribution amount, as well as the frequency at which it must be processed.

Minimum Contribution Amount

Numeric; 30 Characters; Mandatory

Indicate the minimum value of the transaction amount that is to be generated in respect of the instruction.

Contribution Frequency

Alphanumeric; 5 Characters; Mandatory

From the option list, select the frequency at which the standing instruction must be processed. The value specified here will be defaulted to all the underlying standing instructions.

Contribution Frequency Description

Display

The system displays the description for the selected contribution frequency.

SI Auto-Termination Cumulative Counter

Alphanumeric; 3 Characters; Optional

Specify the maximum number of times the SI payment rejections are allowed before the auto termination.

SI Auto Termination Consecutive Counter

Numeric; 3 Characters; Optional

Specify the maximum number of times consecutive SI payment rejections should be allowed before the SI is automatically terminated.

Contribution Currency

Alphanumeric; 3 Characters; Mandatory

From the list, select the currency in which the transactions generated in respect of the standing instruction will be processed.

Currency Name

Display

The system displays the currency name.

Minimum Contribution Period

Alphanumeric; 5 Characters; Mandatory

From the list, select the unit in which minimum period between the Start Date and End Date of the standing instructions is to be reckoned.

Min Contribution Period Name

Display

The system displays the minimum contribution period name for the selected period.

Value

Numeric; 5 Characters; Mandatory

Specify the value of the minimum contribution period between the Start Date and End Date of the standing instructions.

Note

Minimum Contribution Period and Value should be proportionate to Contribution Frequency. For example, if the Contribution Frequency is 'Months' then the Minimum Contribution Period and value should be above a month's time.

Bank Details

In this section, you specify details of any bank accounts operated for the savings plan.

Bank

Alphanumeric; 12 Characters; Optional

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

Bank Name

Display

The system displays the name of the bank.

Branch

Alphanumeric; 12 Characters; Optional

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

Branch Name

Display

The system displays the branch name.

Account Number

Alphanumeric; 34 Characters; Optional

Specify the number of the account for the plan in the selected bank.

Account Name

Alphanumeric; 140 Characters; Optional

Specify the name in which the account is maintained for the plan.

Pay Code

Alphanumeric; 25 Characters; Optional

Enter the pay code of the bank in which the account is held.

Payment Due Date

Date Format; Optional

Specify the date on which the payment is due. The payment date cannot be back dated.

Auto Pay Credit

Alphanumeric; 20 Characters; Optional

Specify the auto pay credit number for the savings plan.

IBAN

Alphanumeric; 40 Characters; Optional

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

2.6.1.1 Fund Details Section

Fund ID

Alphanumeric; 6 Characters; Optional

Select the fund in which the transactions resulting from the standing instruction would be put through, in the investor's account.

You can select multiple funds. However, all the funds should be from the Same AMC (or Agent in the Distributor installation).

Fund Name

Display

The name of the fund that you select will be displayed.

FUND ISIN

Display

The Fund ISIN of the fund you have chosen will be displayed.

The system will check if all the funds mapped are MIFID funds only or non-MIFID only funds.The system will display an error message if a plan is created with a combination of MIFID and non-MIFID applicable funds.

If you amend MIFID and non-MIFID as non-MIFID fund or vice versa post active SI, the system needs to update such SI and Plans operationally.

If MIFID regulated UH invests in a Non MIFID product but the underlying fund is a MIFID regulated fund; the system will derive the transaction category based on the product categorization.

After specifying the above details, click 'Ok' button to save the savings plan template.

2.7 Plan Maintenance Summary

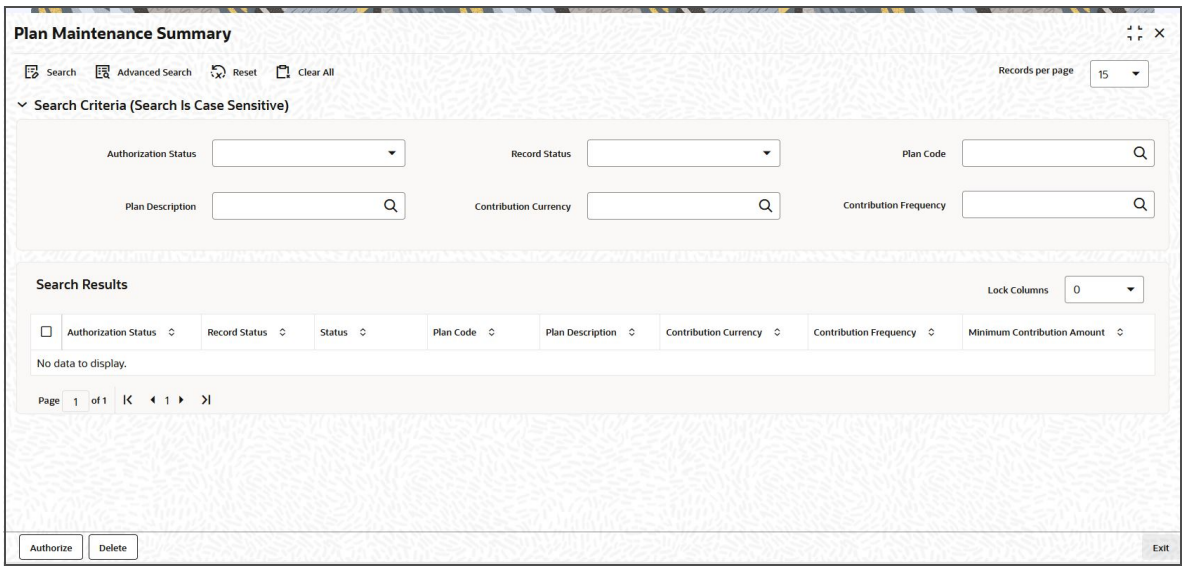
This section contains the following topics:

- Section 2.7.1, "Retrieving Savings Plan in Summary screen"
- Section 2.7.2, "Editing Savings Plan"
- Section 2.7.3, "Viewing Savings Plan "
- Section 2.7.4, "Deleting Savings Plan"
- Section 2.7.5, "Authorizing Savings Plan"
- Section 2.7.6, "Amending Savings Plan"
- Section 2.7.7, "Authorizing Amended Savings Plan"

2.7.1 Retrieving Savings Plan in Summary screen

To either edit, authorize or delete an unauthorized savings plan, use the 'Plan Maintenance Summary' screen. You can invoke this screen by typing 'UTSRSPM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The following screen is invoked:



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

- Specify any or all of the following details in the Plan Maintenance Summary screen:
- The status of the transaction in the Authorization Status field. If you choose the "Blank Space" option, then all the records that involve the specified unit holder 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 unit holder are retrieved.

- Plan Code
- Plan Description
- Contribution Currency
- Contribution Frequency

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

Note

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

- Press F7
- Input the Plan Code
- Press F8

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

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

2.7.2 Editing Savings Plan

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

2.7.3 Viewing Savings Plan

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

- Invoke the Plan Maintenance Summary Screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen, and click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to view in the list of displayed records. The Plan Maintenance Detail screen is displayed in View mode.

2.7.4 Deleting Savings Plan

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

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

2.7.5 Authorizing Savings Plan

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

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

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

2.7.6 Amending Savings Plan

After a Plan 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 Plan Maintenance Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend only authorized records.
- Specify any or all of the details of the Plan Maintenance in the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Plan Maintenance Detail screen is displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

Changes during amendment

During an amendment, you can change any of the details of the savings plan except the Plan Id and the Plan Description.

2.7.7 Authorizing Amended Savings Plan

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

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

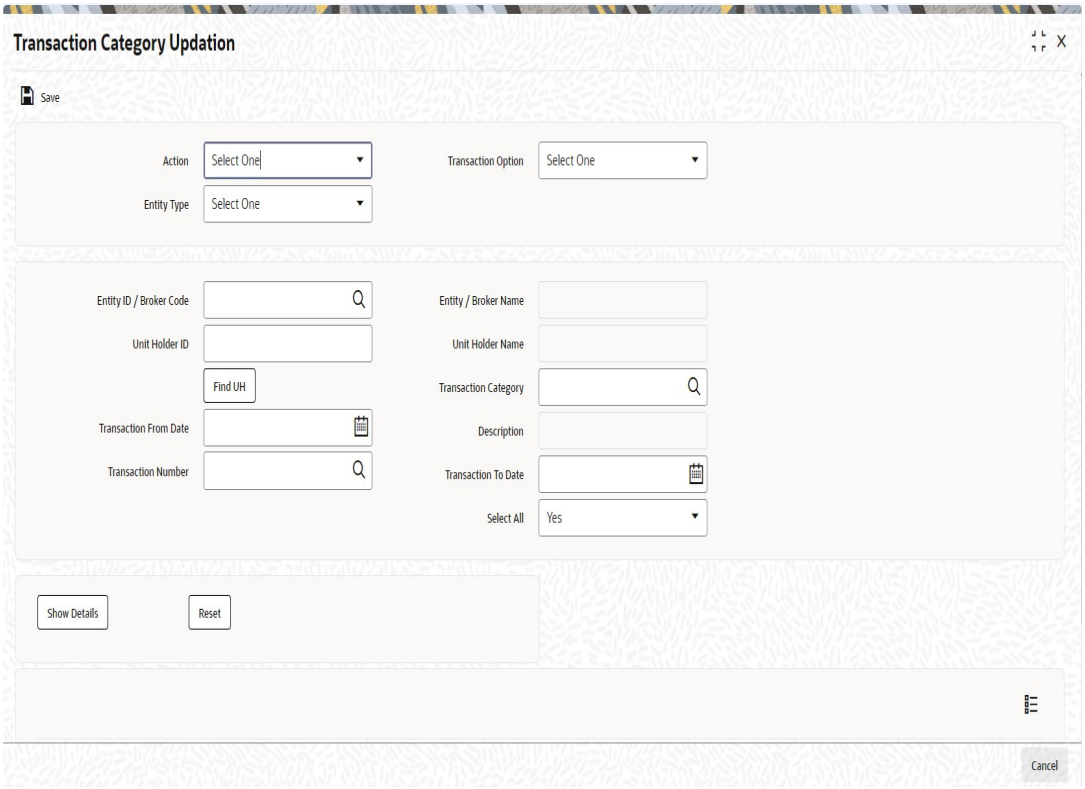
2.8 Transaction Category Updation

This section contains the following topic:

- Section 2.8.1, "Invoking Transaction Category Updation Screen"

2.8.1 Invoking Transaction Category Updation Screen

You can update transaction category using 'Transaction Category Updation' screen. You can invoke this screen by typing 'UTDTXNCU' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Action

Optional

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

- Category Change
- Authorize
- View
- Delete

Entity Type

Optional

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

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

Transaction Option

Optional

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

- UT
- LEP

Entity ID / Broker Code

Alphanumeric; 9 Characters; Optional

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

Entity / Broker Name

Display

The system displays the entity or the broker name for the selected entity ID or broker code.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID.

You can search for unit holder ID by clicking ‘Find UH’ button in the screen.

Unit Holder Name

Display

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

Transaction Category

Alphanumeric; 1 Character; Optional

Select the transaction category from the option list. The list displays the following values:

- Legacy
- Advised Business
- Execution Only

For MIFID fund transactions, the system will update the ‘Transaction Category’ field to ‘Advised Business’ and ‘Execution Only’. The effective date for category updation will be current system date. If the transaction category is updated for a transaction, effective date will be from the category updation date.

Description

Display

The system displays the description of the selected transaction category.

Transaction From Date

Date Format; Optional

Select the transaction from date from the adjoining calendar.

Transaction To Date

Date Format; Optional

Select the transaction To date from the adjoining calendar.

Transaction Number

Alphanumeric; 16 Characters; Optional

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

Select All

Optional

Select if all the transactions has to be selected or not from the drop-down list. The list displays the following values:

- Yes
- No

After specifying the necessary details, click ‘Show Details’ button. The following details are displayed:

- Product ID
- Policy Number
- Fund ID
- Transaction Number
- Transaction Date
- Unit Holder ID
- Unit Holder Name
- Transaction Type
- Ref Type
- Transaction Category
- Date
- New Transaction Category
- Remarks
- Select
- Authorization Status
- Maker ID
- Maker DT Stamp
- Checker ID
- Checker DT Stamp

3. IRA Plans

Your AMC may offer investors retirement planning products. An investor who invests in a retirement planning product invests into the underlying funds in the product portfolio.

Under each product, your AMC may offer different patterns of investment. Each such investment pattern is called a plan. It is essentially is an investment into the underlying portfolios of the product, and lays down the guidelines for the desired pattern of investment. A plan inherits the basic attributes defined for the product in which it is purchased.

After you define the different products that you offer to investors, you can accept requests from investors for purchasing or subscribing to plans in the products. An investor can purchase plans in any of the active products defined in the system.

This chapter contains the following section:

- Section 3.1, "Unit Holders and Unit Holder Accounts"

3.1 Unit Holders and Unit Holder Accounts

Any investor who desires to invest in any of the products by purchasing a plan in a product must be a valid unit holder with an account in the system. Therefore, you must set up a unit holder account for such an investor in the system, through the Unitholder menu in the Browser.

You can create policies for both authorized and unauthorized unit holders. If a policy is created for an unauthorized unit holder, the unauthorized account must be authorized before the End of Day process is put through on the date of creation.

For unit holders who wish to invest in IRA plans or retirement plans, you must use a product that has been defined with retirement features.

For a detailed discussion of the Unit Holder New Account screen, refer the "Managing Investor Accounts"

4. Processing Transaction Requests

Transactions are the operations that are requested by investors upon their holdings in any fund, with the prospect of reaping higher returns or distributing their holdings more profitably. To this end, they can enter into any of the following types of transactions:

- IPO
- Purchases (or Subscriptions)
- Sales (or Redemption)
- Switch
- Transfer
- Block
- Unblock
- Consolidation
- Split
- Reissue
- Transaction Enrichment

This chapter enables you to understand how transaction requests are accepted and processed in the FC-IS system. It consists of the following sections:

- Types of Transaction Requests
- Transaction Processing – The flow of events
- Transaction Processing Procedures
- Fields in the Transaction Detail screens
- Fields in the Transaction Summary screens
- Mandatory Information for all transaction types

Finding what You Need in this Chapter

- To understand the different types of transaction requests that may be encountered in an AMC, refer the section Types of Transaction Requests.
- To understand the flow of events according to which transaction requests are accepted and processed in the FC-IS system, refer the section Transaction Processing – The flow of events.
- To understand how to perform any procedures in respect of transaction processing, refer the section Transaction Processing Procedures.
- For a description of all the fields in the Transaction Detail screen, refer the section Fields in the Transaction Detail screens. Similarly, for a description of all fields in the Transaction Summary screen, refer the section Fields in the Transaction Summary screens.
- For an exhaustive list of all mandatory information that you need to capture in the transaction screens, refer the section Mandatory Information for all transaction types.

This chapter contains the following sections:

- Section 4.1, "Types of Transaction Requests"
- Section 4.2, "Transaction Processing –Flow of Events"
- Section 4.3, "Transaction Processing Procedures"
- Section 4.4, "IPO Subscription Detail"
- Section 4.5, "IPO Subscription Summary Screen"

- Section 4.6, "Bulk Transactions"
- Section 4.7, "Bulk Transaction Summary"
- Section 4.8, "Subscription Transaction Detail"
- Section 4.9, "Subscription Transaction Summary Screen"
- Section 4.10, "Cancel Transaction Detail"
- Section 4.11, "FCIS Cancel Transaction Summary"
- Section 4.12, "Redemption Transaction Detail"
- Section 4.13, "Redemption Transaction Summary"
- Section 4.14, "Redemption Confirmation"
- Section 4.15, "Early Redemption Detail"
- Section 4.16, "Transaction Switch Detail"
- Section 4.17, "Transaction Switch Summary Screen"
- Section 4.18, "Light Weight Transaction Detail"
- Section 4.19, "Transfer Detail"
- Section 4.20, "Transfer Summary Screen"
- Section 4.21, "Block Transaction Detail"
- Section 4.22, "Block Transaction Summary Screen"
- Section 4.23, "Unblock Transaction Detail"
- Section 4.24, "Unblock Transaction Summary Screen"
- Section 4.25, "Consolidation Transaction Detail"
- Section 4.26, "Consolidation Transaction Summary Screen"
- Section 4.27, "Split Transaction Detail"
- Section 4.28, "Split Transaction Summary Screen"
- Section 4.29, "Reissue Transaction Detail"
- Section 4.30, "Reissue Transaction Summary Screen"
- Section 4.31, "Defaulting of Price Date in Transaction Screens"
- Section 4.32, "Completing Transaction"
- Section 4.33, "Processing Back Data Propagation for Transactions"
- Section 4.34, "Auto Completion"

4.1 Types of Transaction Requests

This section contains the following topic:

- Section 4.1.1, "Types of Transaction Requests"

4.1.1 Types of Transaction Requests

IPO Subscription and Subscription

When an investor chooses to invest capital into a fund, the investment is typically made by ‘buying’ units in the fund. This is also known as ‘subscribing’ into the fund.

The investor can subscribe to a fund either during its Initial Public Offering (IPO) Period, or later. If the subscription is made during the IPO Period, the resulting transaction is an IPO subscription transaction, and the unit price for these transactions is fixed, generally the par value of the units, and not dependent on the prevalent net asset value for the fund.

If the investor's subscription is made after the initial IPO Period, the resulting transaction is known plainly as a subscription transaction, and the unit price for these transactions will vary on a fixed frequency basis, depending upon the prevalent net asset value of the fund.

Redemption

When an investor decides to pull investment out of a fund (or disinvest in a fund), the units held by the investor are sold back to the fund ("redeemed") at the prevalent Net Asset Value on the date of sale. This kind of a transaction is known as a redemption transaction. An investor can redeem all the holdings (complete redemption) or part of the holdings (partial redemption)

While "redeeming" or selling back units to the fund, the investor recovers the value of the holdings in the fund at that given point in time. It also means that the fund buys back its units from the investor.

An investor can redeem a specified number of units, or a specified amount, or a specified percentage of the holdings in any fund.

The fund may also prompt the investor to partially redeem the holdings under the following circumstances:

- The minimum registered capital has fallen below the minimum limit defined for the fund in the fund rules. In such a case, the redemption transaction is not allocated at all.
- The fund investor category limit falling down to the minimum limit defined for the fund in the fund rules.

Partial redemption may also occur due to other prevailing circumstances.

The AMC can set a limit on the total volume of redemption transactions that would be accepted for a fund on a given business day. The limit could be specified in terms of a percentage or an amount. Redemption transactions that are requested which result in exceeding the limit set for the fund will not be accepted, in such a case.

In the system, if the investor's balance reduces to zero as an account of a redemption transaction, the investor's account will be marked as pending closure.

Redemption through check writing

An investor may also request for the check writing facility, for usage of holdings in any of the funds. In such a case, a checkbook is issued to the investor for each fund. The investor may issue checks for payments, to any third party.

When these checks are presented at the specified bank, they are sent to the appropriate clearing house. The bank then sends a file to the AMC, containing used check information from the clearing house.

When the AMC receives details of used checks from the bank, a redemption transaction is initiated in the investor's account, and units are redeemed in the fund for which the checkbook was issued, to the extent of amount used on each check. No payment details are required for such redemption transactions.

Switch

An investor may choose to "switch" the investment in one fund, to another fund, for any reason. This would mean redeeming the investment in one fund and investing this redeemed capital in the other desired fund. This kind of exchange or switch is called a switch transaction.

In the system, a switch transaction is processed as two separate transactions, the first involving a redemption from the first fund, and the second involving a subscription to the second fund. The switching facility in the system provides for switching either between funds

in the same fund family, or between any two funds of the AMC. Switching within the same fund is defined as ‘Bed and Breakfast switch’ (the ‘Switch from’ fund and the ‘Switch to’ fund in a switch transaction is same).

Transfer

An investor may choose to transfer ownership of holdings in any fund to another investor. This kind of a transfer of ownership is called a transfer transaction.

A transfer transaction is different from a switch transaction in the sense that in a transfer transaction, the fund remains the same whereas the unit holder changes.

Block / Unblock

Typically, when lien is noted in respect of an investor’s holdings in a fund either in part or entirely, the concerned units are said to be “blocked”. These blocked units are subsequently (and temporarily) unavailable to the investor for further transacting. Blocking of units could also occur due to any reason other than lien noting. The process of blocking units is called a block transaction.

To release the blocked units for further transacting, the investor must ‘unblock’ these units, or the lien must be lifted. This is known as an unblock transaction.

Split / Consolidation / Reissue

In certain funds, the investors receive certificates that are representative of their holdings (investment units) in the fund. These funds are called scrip-based funds. In certain funds, the investors are given units for their investment in the fund, without certificates. These funds are called scrip-less funds.

In certain funds, the investor is given the option of requesting for certificates. If the investor chooses to receive certificates, then the fund furnishes the same. If not, then no certificates are issued. Such funds are termed as certificate-option funds.

In scrip-based funds and certificate option funds where certificates have been requested for, an investor may choose to:

- Split a single certificate into certificates of smaller denominations, resulting in a split transaction.
- Merge many certificates of smaller denominations into a single certificate of their total denomination, resulting in a consolidation transaction.
- Seek a ‘reissue’ of certificates for reasons of losing a certificate or mutilation of certification etc, resulting in a reissue transaction. In such an event, the reissued certificates are printed with a ‘Duplicate’ tag on them.

The FCIS system provides the facility to process any of the transaction types enumerated above.

4.2 Transaction Processing –Flow of Events

This section contains the following topics:

- Section 4.2.1, "Unauthorized Stage"
- Section 4.2.2, "Authorized Stage"
- Section 4.2.3, "Amendment Stage"
- Section 4.2.4, "Allocation of Transactions"

4.2.1 Unauthorized Stage

The transaction is first initiated into the system database when it is entered into the Transaction Detail screen for the required transaction type. In this screen, it is saved as an unauthorized transaction, which means that it is not reflected in the system's financial data stores as yet.

The transaction is given a unique identification called the Transaction Number.

During this unauthorized phase of the transaction, you can edit the details of the transaction as many times as is deemed necessary, using the Edit operation through the Transaction Summary screen. The transaction number is not changed when you edit a transaction.

An unauthorized transaction can only be edited by the user who initiated it into the system.

Due to various reasons, the supervisor can also reject transactions. Any such rejected transaction can also be edited.

4.2.2 Authorized Stage

When the transaction is authorized, the value of the transaction will be reflected in the system database.

The user who enters the transaction in the system cannot authorize it. A user other than the one that entered the transaction can perform authorization.

When a transaction is authorized, the authorizer must re-key the transaction amount or number of units, which was specified for the transaction during transaction entry. When this is successfully done, the transaction can be authorized.

The events that take place when you authorize a transaction can be understood from the table given below:

Online Allocation facility	**Mode of Payment**	**Check / Credit Card / Transfer allocations on par with cash**	**Upon Authorization**	**Allocation of Units**
Available	Cash		Confirmed units allocated	Confirmed units allocated upon authorization
Available	Check / Credit Card / Transfer	Available	Provisional Units allocated	Provisional Units allocated upon authorization, confirmed units on the date on which the check / credit card / transfer instrument is cleared in the system
Available	Check / Credit Card / Transfer	Not Available	No allocation at authorization	Confirmed units are allocated only on the date on which the check / credit card / transfer instrument is cleared in the system

Online Allocation facility	Mode of Payment	Check / Credit Card / Transfer allocations on par with cash	Upon Authorization	Allocation of Units
Not Available	Cash		Units allocated by End of Day processes on the date of authorization	Units allocated by End of Day processes on the date of authorization
Not Available	Check / Credit Card / Transfer	Available	Provisional Units allocated by the End of Day processes on the date of authorization	Provisional Units allocated by the End of Day processes on the date of authorization, confirmed units on the date on which the check / credit card / transfer instrument is cleared in the system.
Not Available	Check / Credit Card / Transfer	Not Available	No allocation at authorization	Units allocated by End of Day processes on the date on which the payment instrument is cleared in the system
"*" – as designated in Transaction Processing Rules for the fund				

4.2.3 Amendment Stage

After authorization, changes to a transaction request can only be made through an amendment. You can no longer "edit" the transaction through the Transaction Summary screen. You must choose the Amend menu option. Therefore, amendments are operations that you can perform only on authorized transaction records.

The amendment facility is not available for the following types of transactions:

- Unblock

You can amend an authorized transaction:

- Before the units in respect of the transaction have been allocated.
- After the allocation of units in respect of the same
- Within the default amendment period specified in the Defaults Maintenance

Subsequently, the amended transaction must be authorized again for it to be effective. The authorization of an amended transaction can be done only from the Fund Manager module.

Note

Once a transaction is amended and the amendment has been subsequently authorized, it cannot be amended again.

4.2.4 Allocation of Transactions

Once a transaction is authorized, the units in respect of it must be allocated to the concerned unit holder. The unit holder's balance holdings in the system database must reflect the changes due to the acquisition or the sale of units due to the transaction. The allocation processes in the system perform this function.

To understand how allocation is performed, refer to the Allocation chapter in Fund Manager User Manual.

Allocation can be performed in any (or all) of the following three ways:

Online Allocation

The allocation is performed at the time the transaction is authorized, i.e., simultaneously with authorization. This is true for amended transactions for which the amendment is authorized, too. Online allocation is only possible if it is designated as available in the Transaction Processing Rules for the fund.

Allocation by the End of Day processes

All transactions that have been entered and authorized on a given business day will be automatically allocated by the End of Day processes that are performed at the installation for that business day.

Allocation through the Menu

You can also manually trigger the allocation for a transaction through the corresponding menu item in the End of Day menu category in the Fund Manager component.

You can use this facility to perform allocation for transactions involving payment instruments, on the clearing date.

Note

If the application is offline, you can capture the transaction through web service only if there is an entry for that function ID entry in 'GWTMS_ AVAIL OPERATIONS' table.

4.3 Transaction Processing Procedures

This section contains the following topic:

- Section 4.3.1, "Requesting Transaction"

4.3.1 Requesting Transaction

Before you enter a transaction request from an investor into the system, ensure that the following details have been taken care of:

- All required static data maintenance for the branch in which you are accepting the transaction must be in place, including the user profiles.
- The investor that is requesting the transaction must be set up as a valid unit holder in the system, with a Unit Holder ID and a unit holder account.

You can accept and process an IPO or subscription transaction request for an unauthorized unit holder.

Note

You can accept redemption, transfer and unblock transaction requests from unit holders whose account is pending closure in the system.

- The funds in which the transaction is requested must be authorized funds that are effective in the system as on the date of the transaction.
- The date and time on which you enter the transaction request into the system must be within the Start and End Dates (and Start and End Times) specified for the requested transaction type, in the Transaction Processing Rules.

Maintenance for cheque writing facility

For investors using cheque writing facility, you must ensure that the following have been maintained, before you enter cheque redemption transactions:

- For each unit holder who requests use of the cheque writing facility, it must be specified as allowed, in the account profile, either while creating the account or through an information change.
- The cheque vendors who will print the cheque books for investors using the cheque writing facility, as entities in the system, through the Entity Maintenance. The vendors must also be associated with the funds for which they would print the chequebooks.
- In the System Parameters, you must maintain 'MMF Check' as one of the communication modes through which a transaction request can be entered.
- The rules that will govern the processing of the cheque redemption transactions, for each fund. You maintain these rules in the General Operating Rules for a fund.

For a detailed description of these rules, refer the chapter 'Setting up Fund Rules', in the Fund Setup User manual.

- The details of cheque books requested by unit holders for each fund must be maintained, through the cheque Book Request screen.
- Interface definitions that will be used to upload details of used cheques from the clearing house, as a bulk file. The upload file contains the number of each cheque that has been issued, as well as the amount on each cheque.
- Interface definitions that would be used to export details of cheque book requests from unit holders to the designated cheque vendors, and to import details of cheque books printed against requests, from the cheque vendors.

You define these interfaces using the Interface Definition facility in the system. You can use the Online Execution of Interfaces menu option to execute these interfaces. This option would execute each of the following interfaces that you have defined:

- To export details of cheque books requested by unit holders to the designated cheque vendors
- To import details of cheque books printed by cheque vendors against requests received
- To trigger automatic generation of cheque redemption transactions based on the information in the upload file sent by the clearing house or bank. You can also manually enter the redemption transactions in the system, in the Transaction Detail screen for Redemption.

Specifying Details for Limit Order Transactions

You can enter limit order transactions in the same manner as you would a normal subscription transaction (for a buy order) or a normal redemption transaction (for a sell order), in the corresponding transaction input detail screens. In other words, you can enter a buy order in the Subscription Detail screen, and a sell order in the Redemption Detail screen in the same manner as you would normal subscription and redemption transactions. You must, however, specify the options for the limit orders, in each case.

After you have initiated the transactions in the corresponding transaction input screens, the orders would be executed according to the options you have specified, either automatically by the end of day processes (if allowed for the fund) or after manual confirmation is received (if automatic processing is not allowed for the fund).

Limit orders can be executed whenever the desired price is prevalent within a specified period (price-based) or on a specified future date (date based).

Specifying Delivery Options

This feature is only available if your installation has requested for it. To learn how to specify delivery options for a transaction, refer the Annexure.

Specifying KYC documents details

You can maintain KYC lists for the combination of country type and the investor category. You can check the documents received from the investor while processing a transaction.

System allows you to save with the transaction even if the unitholder has not submitted all the required KYC documents. However, you will not be allowed to perform the completion operation on that transaction unless all the required documents have been received from the investor.

For information on setting up KYC lists, refer the chapter 'Maintaining Reference Information' in Reference Information User manual.

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

4.4 IPO Subscription Detail

This section contains the following topics:

- Section 4.4.1, "Invoking IPO Subscription Detail Screen"
- Section 4.4.2, "UH and Fund Tab"
- Section 4.4.3, "Transaction Tab"
- Section 4.4.4, "Other Tab"
- Section 4.4.5, "Intermediary Tab"
- Section 4.4.6, "Load Override Tab"
- Section 4.4.7, "KYC and Document Tab"
- Section 4.4.8, "Add Info Tab"
- Section 4.4.9, "Fee Payment Tab"
- Section 4.4.10, "Certificate Tab"
- Section 4.4.11, "Limit Order Tab"
- Section 4.4.12, "Settlement Details Button"
- Section 4.4.13, "Receipt Detail Button"
- Section 4.4.14, "Project Allocation Details Button"
- Section 4.4.15, "Allocation Details Button"
- Section 4.4.16, "Saving Transaction"
- Section 4.4.17, "Transaction Processing Logic for Currency of Expression Funds"

4.4.1 Invoking IPO Subscription Detail Screen

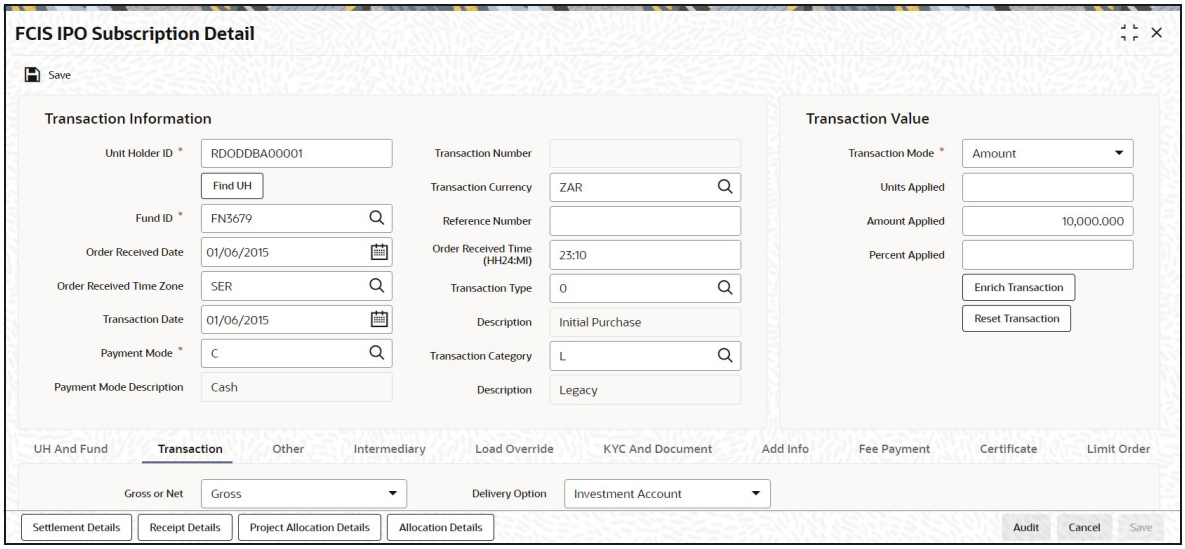
Enter an IPO transaction request into the system in the following sequence of events:

Invoke ‘FCIS IPO Subscription Detail’ screen by typing ‘UTDTXN01/ UTDTRA01’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Note

Only Query option is available for ‘UTDTRA01 (FCIS IPO Subscription Detail)’ screen.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the IPO Subscription transaction.



You can specify the following details:

Transaction Information

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system.

You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

When you specify the unit holder,

1. The IPO funds in which the specified unit holder can transact are displayed in the Fund ID list of values.
2. The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

Note

When you change the unit holder, time zone will get reset accordingly with a warning message “I-TZDEFAULT”.

Click ‘Find UH’ button to open ‘Unit Holder Find Options’ screen. You can get the Unit holder details by entering the required values in that screen.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Order Received Date

Date Format; Optional

Specify the order received date.

Note

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

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.

Note

- System should allow the user to map service location in the Service Location Maintenance screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured.
- If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone.
- If the Default Time Zone value is null, then the system will display an error message.
- Order Received Time zone will not be defaulted for system generated transactions.

Transaction Date

Date Format; Mandatory

Specify the transaction date.

Payment Mode

Alphanumeric; 2 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Payment Mode Description

Display

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

Transaction Number

Display

The system displays the transaction number.

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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Reference Number

Alphanumeric; 16 Characters; Optional

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.

Order Received Time (HH24:MI)

Time Format; Optional

Specify the order received time.

Note

Order Received Time will not be defaulted for system generated transactions.

Transaction Type

Alphanumeric; 1 Character; Optional

Select the transaction type. In case for a particular transaction type restriction is ‘Not Applicable’, then the system will display an error message as ‘STOPACCOUNT is issued for ‘Transaction Type’ to this Unit Holder’.

Description

Display

The system displays the description for the selected Transaction type.

Transaction Category

Alphanumeric; 1 Character; Optional

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

If the transactions captured are for MIFID funds/ products, the transaction category ‘Advised and execution only’ will be applicable (if fund/ product is MIFID regulated). For MIFID funds/ products related transactions; the defaulting of transaction category to legacy will not be applicable, only if MIFID fund/ Product is selected as ‘Yes’ at fund and product level.

In the transaction screen, the transaction category will be based on ‘RDRTXNCATEGORY’ PARAM maintenance.

For products if the risk level for a product is defined and risk profile for a UH is maintained during LEP transactions (plan initial investment, premiums, plan switch, plan top up) the system will perform the risk checks for LEP transactions, considering the product level risk and UH risk profile along with risk expiry date.

If ‘MIFID fund/ product’ is selected as ‘Yes’, the transaction applicable are IPO subscriptions, subscription, switch, Standing instructions and transfer In, plan initial investment, premiums, plan switch, plan top up. For MIFID funds; ‘Transaction Category’ at the transaction level will be classified as either ‘Advised Business’ or ‘Execution Only Business’.

The SI transactions (subscriptions and switches, includes premiums and recurring switches) escalations will be categorized as ‘Advised Business’ or ‘Execution Only Business’. If you amend the SI, the system displays the warning message as ‘Transaction category amended for the SI’. The next SI will reflect the changed category.

If you change the ‘Transaction Category’ for a MIFID transaction during edit or amend operation, then the system displays the warning message as ‘Default Transaction Category has been overridden. Do you want to continue?’

Note

If the MIFID applicable value is NO for an UH (irrespective of UH is MIFID classified or not), the system displays a warning message.

This is applicable for IPO Subscriptions, Subscription, Switch, Standing Instructions and Transfer transactions.

Description

Display

The system displays the description for the selected transaction category.

This field is enabled after you click ‘Enrich’ button.

Transaction Value

Transaction Mode

Mandatory

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

- Amount
- Units
- Percent

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. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

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 ‘Enrich Transaction’ button, the system will display an error message.

Percent Applied

Numeric; 27 Characters; Optional

Specify the percent applied details.

You can specify the details in this field only if you have selected ‘Transaction Mode’ field as Percent. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click ‘Enrich Transaction’ button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of ‘Enrich Transaction’ button all the header fields will be disabled. Clicking ‘Enrich Transaction’ button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click ‘Reset Transaction’ button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking ‘Reset Transaction’ button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click ‘Reset Transaction’ button. Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

Note

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
- If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The 'Reset Transaction' Button will be disabled, if UBS- Integration is enabled.

Deriving the order received date and time

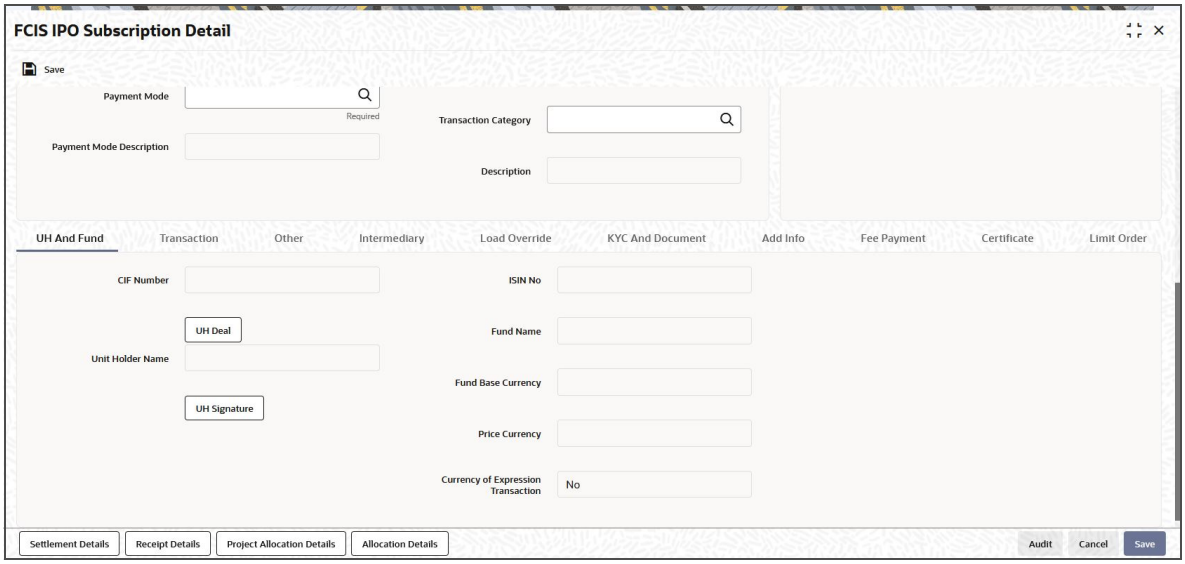
The system will validate the Fund cut off based on the Order received time and not the actual time the Transaction is captured in the system. The transaction date will be derived by the system based on these two fields. For instance, if the Fund Cut off is 14.00 hrs at a Fund level and the transaction is captured at 15.00 hrs in the system with the Order Received time as 13.00 then the system should validate the time maintained at Order Received time and not the time the transaction is actually captured. This will be considered as the same day transaction.

If all the below mentioned transactions are captured on 15-Oct-2012 at 16:00 hrs then the transaction dates will be derived as detailed below. In case the transaction date is amended then the system has to consider the amended transaction date. Post authorisation of the transaction, you cannot amend order received date and time.

Fund Cut off	Order Received Date	Order Received time	Transaction Date
14:00	15-Oct-2012	13:50	15-Oct-2012
14:00	15-Oct-2012	14:10	16-Oct-2012
14:00	14-Oct-2012	13:25	14-Oct-2012
14:00	14-Oct-2012	15:15	15-Oct-2012

4.4.2 UH and Fund Tab

Click UH and Fund tab in FCIS IPO Subscription Detail screen.



The system displays the following values:

- CIF Number
- Unit Holder Name

Click ‘UH Signature’ button to upload the image.

Click on the UH Deals button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

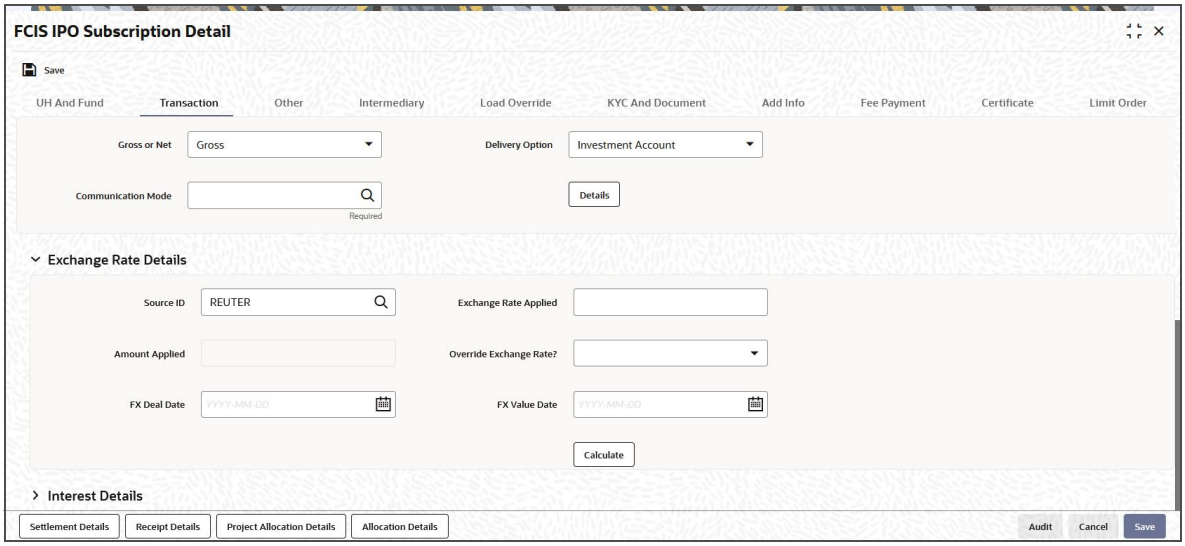
Choose the unit holder deal that you want to view by clicking on the View button alongside the record. The Unit Holder - Deal Setup screen is invoked in View mode, where you can view the details of the record.

The system displays the following values:

- ISIN No
- Fund Name
- Fund Base Currency
- Price Currency
- Currency of Expression Transaction

4.4.3 Transaction Tab

Click on Transaction tab in the FCIS IPO Subscription Detail screen.



You can specify the following details:

Gross or Net

Optional

Select the net value exclusive of the loads from the drop-down list. The list displays the following values:

- Gross
- Net

Communication Mode

Alphanumeric; 2 Characters; Mandatory

Specify the communication mode through which the transaction request was communicated.. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

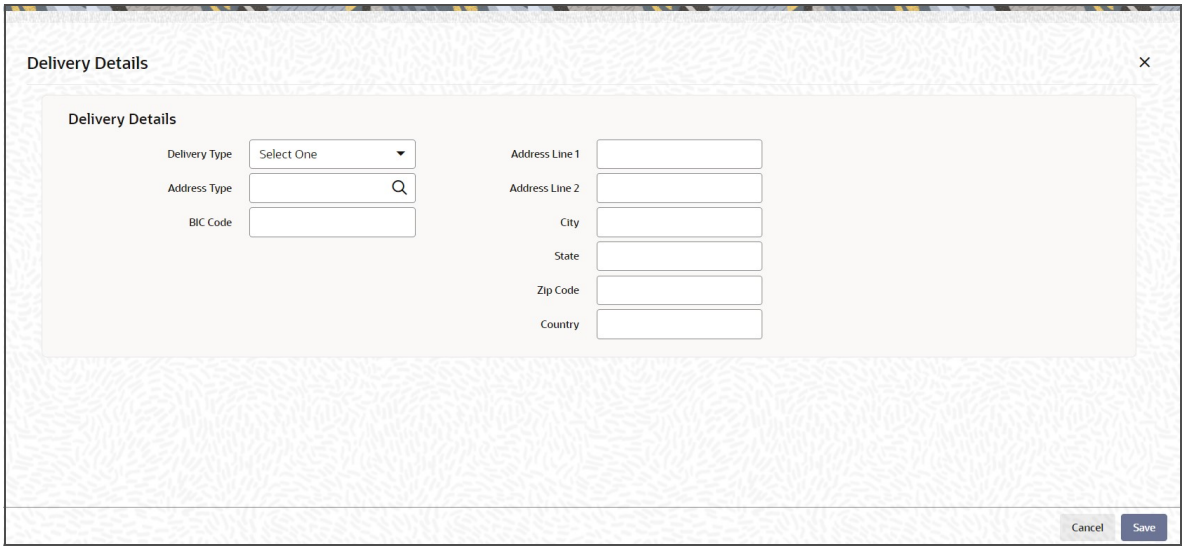
Delivery Option

Optional

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

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

Clicking ‘Details’ button, the ‘Delivery Details’ window will be opened, where in you can enter the following details:



Delivery Type

Optional

Select the type of delivery from the drop-down list. Following are the options available:

- Self
- Third Party

Address Type

Alphanumeric; 2 Characters; Optional

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

BIC Code

Alphanumeric; 12 Characters; Optional

Specify the BIC code.

Address Line 1-2

Alphanumeric; 105 Characters; Optional

Specify the residing address of the customer.

City

Alphanumeric; 80 Characters; Optional

Specify the residing city code.

State

Alphanumeric; 80 Characters; Optional

Specify the name of the residing state.

Zip Code

Alphanumeric; 10 Characters; Optional

Specify the zip code of the residing area.

Country

Alphanumeric; 3 Characters; Optional

Specify the residing country code.

Exchange Rate Details

Source ID

Alphanumeric; 6 Characters; Optional

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

> **Note**
>
> Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Amount Applied

Display

The system displays the amount applied details.

FX Deal Date

Date Format; Optional

Specify the FX deal date.

Exchange Rate Applied

Display

The system displays the exchange rate applied details.

Override Exchange Rate?

Optional

Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values;

- Yes
- No

FX Value Date

Date Format; Optional

Specify the FX value date.

Interest Details

Interest

Alphanumeric; 30 Characters; Optional

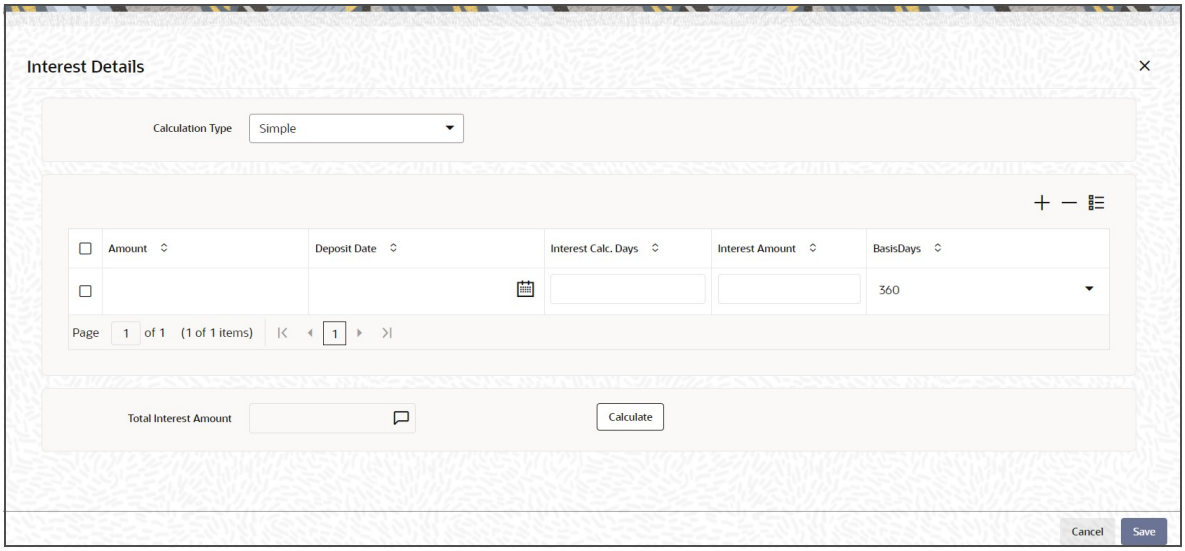
Specify the interest details.

Interest (FBC)

Display

The system displays the fund base currency interest details.

Clicking ‘Details’ button, ‘Interest Details’ window is displayed.



You can specify the following details:

Calculation Type

Optional

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

- Simple
- Compound

Amount

Numeric; 18 Characters; Optional

Specify the amount details.

Deposit Date

Date Format; Optional

Specify the deposited date.

Interest Calc. Days

Display

The system displays the calculated interest days.

Interest Amount

Display

The system displays the interest amount.

Basis Days

Optional

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

- 360
- 365

Total Interest Amount

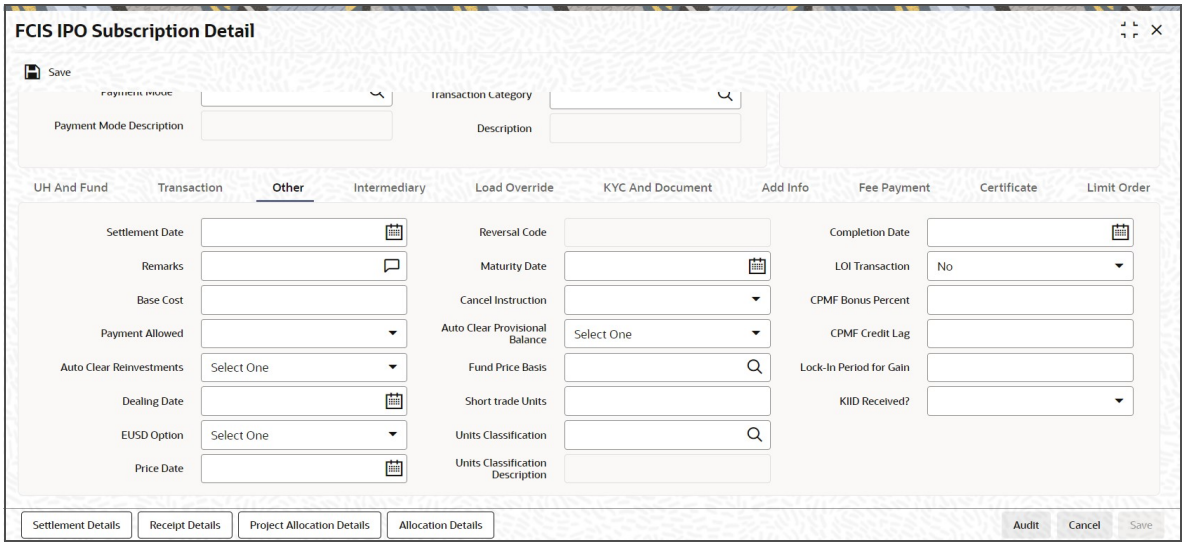
Display

The system displays the total interest amount details.

After specifying all the necessary details, click ‘Calculate’ button to calculate the interest details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

4.4.4 Other Tab

Click on ‘Other’ tab in the FCIS IPO Subscription Detail screen.



You can specify the following details:

Settlement Date

Date Format; Optional

Specify the settlement date.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

Base Cost

Numeric; 6 Characters; Optional

Specify the base cost details.

Payment Allowed

Optional

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

- Yes
- No

Auto Clear Reinvestments

Optional

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

- Yes

- No

Dealing Date

Date Format; Optional

Specify the dealing date.

The system displays the dealing date derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund

EUSD Option

Optional

Select the EUSD option from the drop-down list. The list displays the following values;

- With Holding Tax
- Exchange of Information
- Tax Exemption Certificate

Price Date

Date Format; Optional

The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section 'Defaulting of Price Dates in the Transaction' Screens in this chapter. You can modify this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

Reversal Code

Display

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

Maturity Date

Date Format; Optional

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

Note

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

Cancel Instruction

Optional

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

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

Note

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

Auto Clear Provisional Balance

Optional

Select 'Yes' option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

Fund Price Basis

Alphanumeric; 6 Characters; Optional

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

Short trade Units

Numeric; 27 Characters; Optional

Specify the short trade units.

Units Classification

Alphanumeric; 1 Character; Optional

Specify the units classification in which the units have to be linked. Alternatively, you can select units classification from the option list. The list displays all valid units maintained in the system.

This field is applicable only for onshore funds with ‘USERMNTFIFO’ ageing logic. The system will validate the same during save of the transactions.

Units Classification Description

Display

The system displays the description for the selected unit classification code.

The system generated inflow transactions like standing instructions and dividend reinvestments will be tagged as FEL units. The system generated outflow transactions like Periodic Fee Redemption, Auto Redemption will be tagged with ‘Age out Preference’ as blank and it will follow the Fund Rule ageing Logic as ‘USERMNTFIFO’ during ageing process.

The system will tag Swift inflow transactions with unit classification as FEL and outflow transactions will be tagged with ‘Age out Preference’ as blank and will follow the Fund Rule ageing logic.

The system will tag block transaction with ‘Age out Preference’ as blank and it will follow the Fund Rule Ageing Logic ‘USERMNTFIFO’ during ageing process.

Completion Date

Date Format; Optional

The date on which the transaction is completed.

LOI Transaction

Optional

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

- Yes
- No

If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

CPMF Bonus Percent

Numeric; 30 Characters; Optional

Specify the percentage of CPMF bonus.

By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is 'Fixed', Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section ‘Maintaining Fund CPMF Preferences’ in the Fund Manager module.

CPMF Credit Lag

Numeric; 4 Characters; Optional

Indicate the lag for the CPMF bonus to be credited.

Lock-In Period for Gain

Numeric; 4 Characters; Optional

The default lock-in period for the funds where IOF/IRRF are applicable is defaulted here. This can however be modified.

Note

Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

KIID Received?

Optional

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

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the 'UCITS Fund' at the Fund level is 'Yes' and the UH mapping to the Fund in the 'UH KIID Compliance' tab is 'NO' then at the transaction level, the system will default the 'KIID Complaint' to 'No'.

If the KIID Received is set to 'No', the system display an error message while saving the transaction as 'The Unit holder has not received the KIID'.

If the flag is set to 'YES' there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

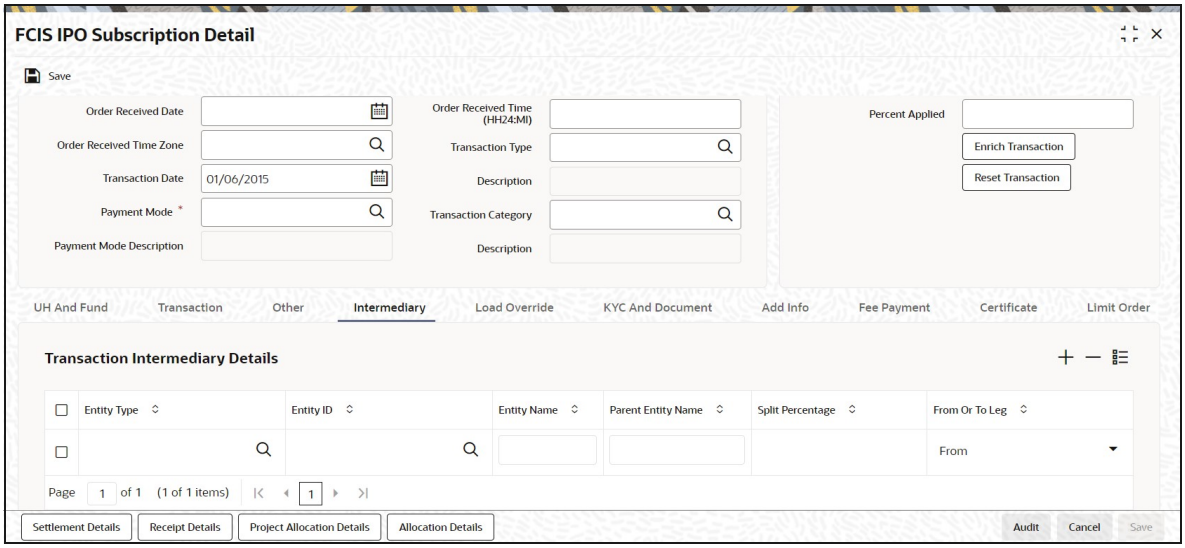
If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from 'No' to 'Yes' and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

4.4.5 Intermediary Tab

Click on 'Intermediary' tab in the FCIS IPO Subscription Detail screen.



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

Entity Type

Alphanumeric; 1 Character; Optional

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Optional

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Display

When you select the broker code, the name of the broker is displayed.

Parent Entity Name

Display

When you select the broker code, the name of the parent broker for the selected broker is displayed.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

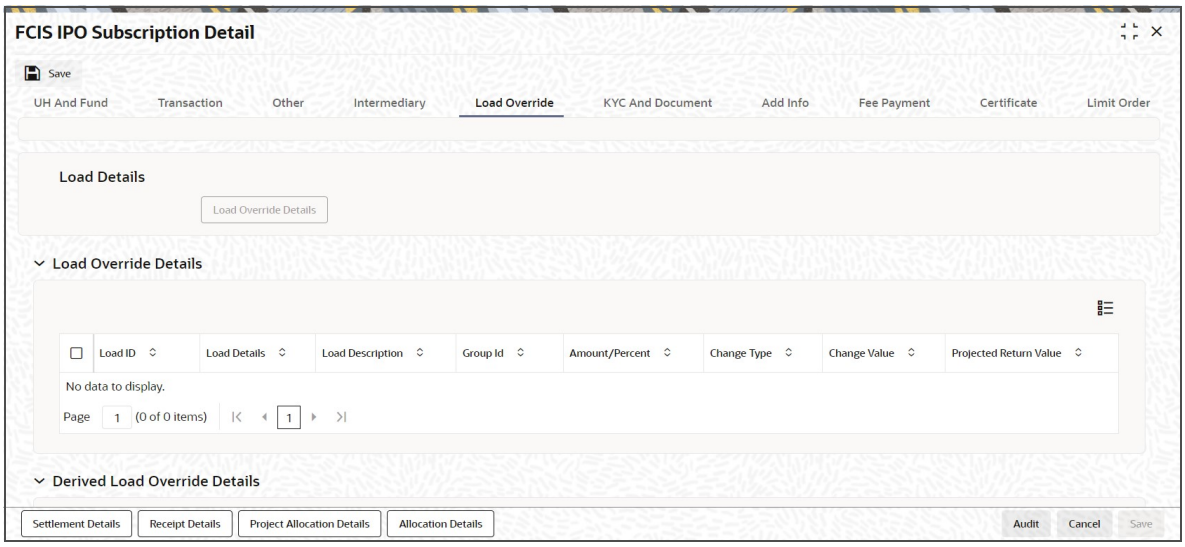
Optional

Select from or to leg details from the drop-down list. The list displays the following values:

- From
- To

4.4.6 Load Override Tab

Click on ‘Load Override’ tab in the FCIS IPO Subscription Detail screen.



In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

If you click ‘Load Override Details’ button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

Load ID

Display

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

Load Details

Display

The system displays the load details.

Load Description

Display

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

Group ID

Display

The system displays the group ID.

Amount Percent

Display

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

Change Value

Display

The system displays the change value details.

Change type

Display

The system displays the change type.

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

Project Return Value

Display

The system populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking 'Enrich Transaction' in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

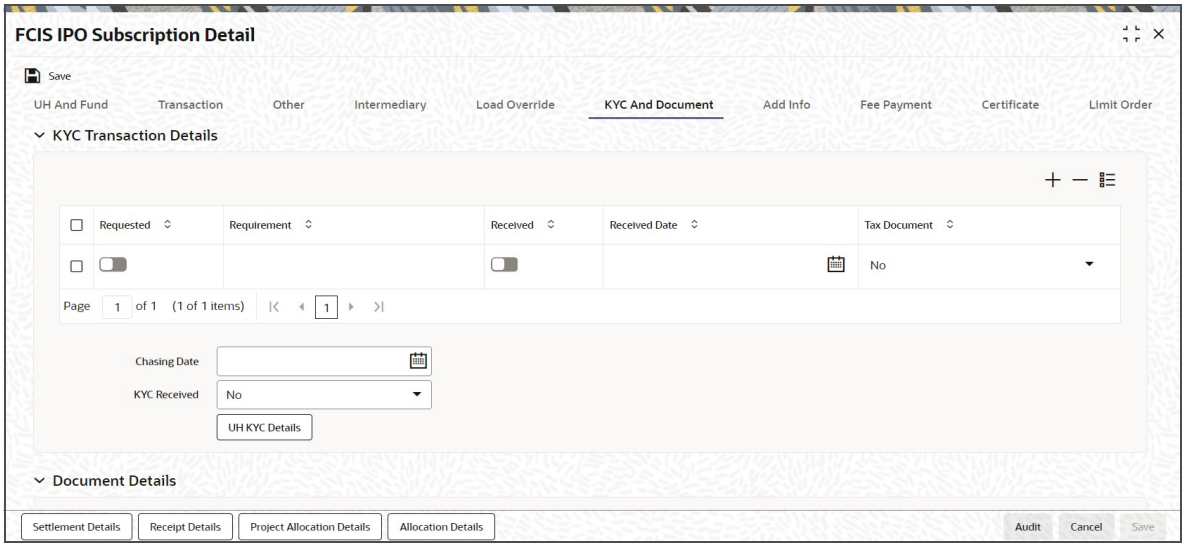
Derived Load Override Details

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value

4.4.7 KYC and Document Tab

Click on 'KYC and Document' tab in the FCIS IPO Subscription Detail screen.



KYC Transaction Details

Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Mandatory

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

KYC Received

Optional

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

- Yes
- No

Document Details

Document ID

Alphanumeric; 25 Characters; Optional

Specify the document ID.

Document Type

Alphanumeric; 4 Characters; Optional

Specify the document type.

Type Description

Alphanumeric; 255 Characters; Optional

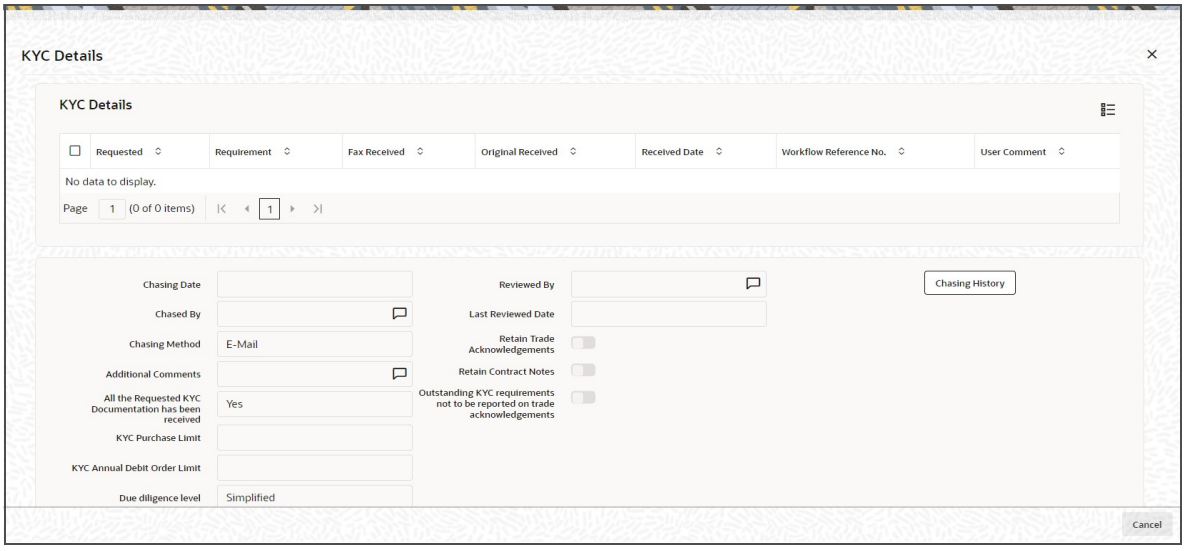
Specify the description for the type of document.

If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax ID, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC.

The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements.

> **Note**
>
> If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.



The details are populated from Unit Holder Maintenance screen (UTDUH).

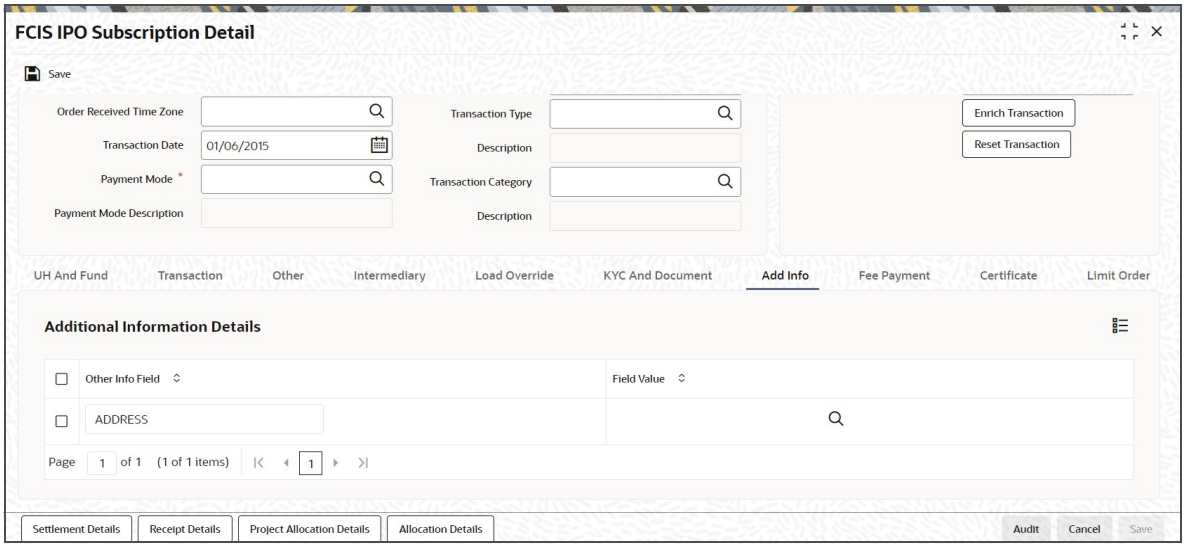
If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as

'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

For further details on this screen, refer 'KYC Details Tab' in 'Unit Holder Maintenance Detail' screen (UTDUH) in Entities User Manual.

4.4.8 Add Info Tab

Click on 'Add Info' tab in the FCIS IPO Subscription Detail screen.



Other Info Field

Display

The system displays the additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

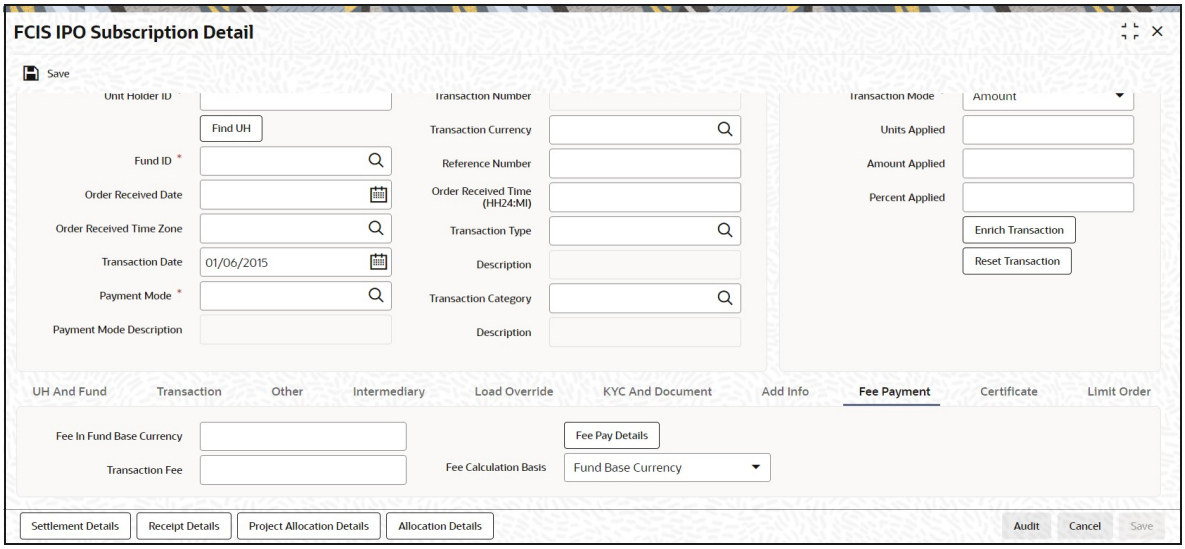
Field Value

Alphanumeric; 60 Characters; Optional

Specify the field value.

4.4.9 Fee Payment Tab

Click on 'Fee Payment' tab in the FCIS IPO Subscription Detail screen.



If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

Fee in Fund Base Currency

Numeric; 30 Characters; Optional

Specify the fee in fund base currency details.

Transaction Fee

Numeric; 30 Characters; Optional

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

Fee Calculation Basis

Optional

Select the fee calculation basis from the drop-down list. The list displays the following values:

- Fund Base Currency
- Transaction Currency

Click ‘Fee Pay Details’ button to specify fee payment details.

You can specify the following values:

Transaction Fee

Numeric; 30 Characters; Optional

Specify the transaction fee.

Payment Mode

Optional

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

- Cheque
- Transfer
- Draft

- Card

Bank

Alphanumeric; 12 Characters; Optional

Specify the bank details.

Branch

Alphanumeric; 20 Characters; Optional

Specify the branch code.

Cheque Number

Alphanumeric; 16 Characters; Optional

Specify the cheque number.

Cheque Date

Date Format; Optional

Specify the cheque date.

Transfer Branch

Alphanumeric; 12 Characters; Optional

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

Account Type

Optional

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

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

Account Number

Alphanumeric; 34 Characters; Optional

Specify the account number.

Clearing Date

Date Format; Optional

Specify the clearing date.

Account Holder Name

Alphanumeric; 100 Characters; Optional

Specify the name of the account holder.

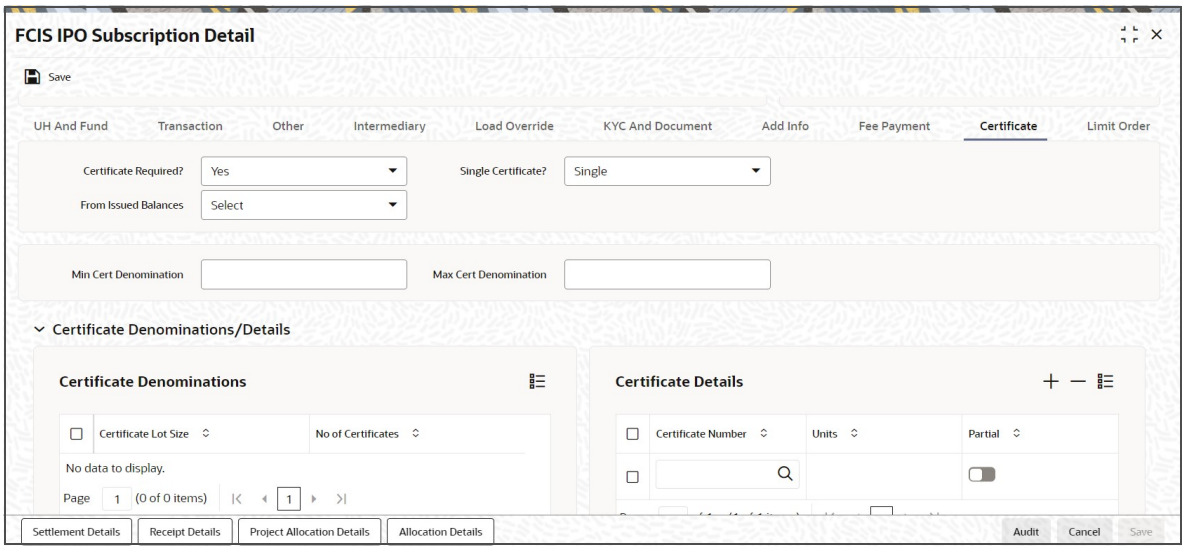
IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

4.4.10 Certificate Tab

Click on the certificate tab in the FCIS IPO Subscription Detail screen.



Certificate Required?

Optional

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

- Yes
- No

If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose 'Yes' in the Certificate Required field.

Single Certificate?

Optional

Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

Certificate Denominations/ Details

Certificate Denominations

Certificate Lot Size

Display

The system displays the certificate lot size details.

No of Certificates

Display

The system displays the number of certificates.

Certificate Details

Certificate Number

Numeric; 10 Characters; Optional

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

Units

Numeric; 27 Characters; Optional

Specify the units details.

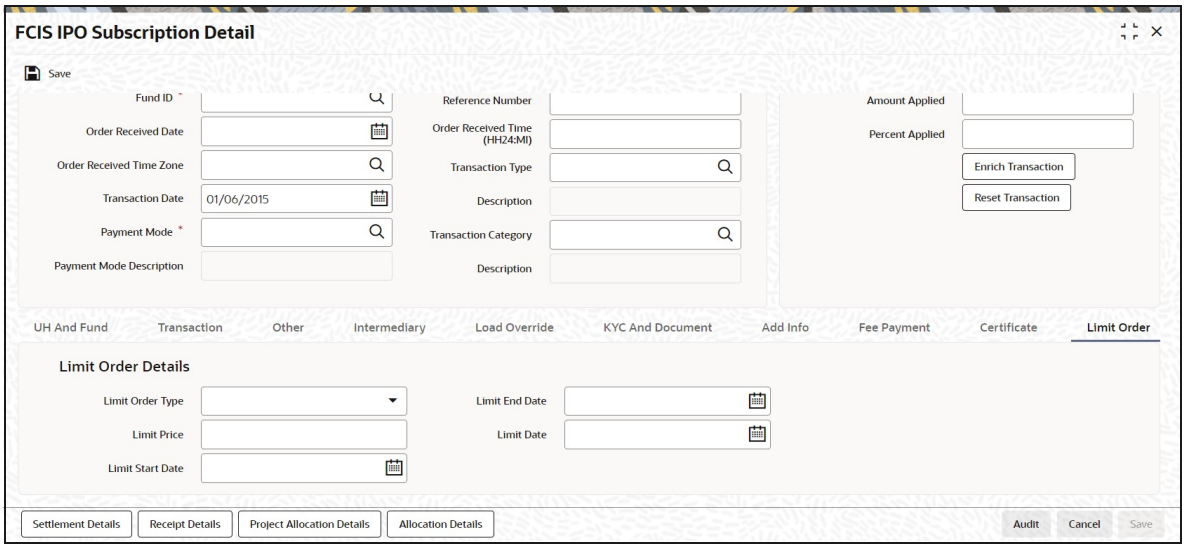
Partial

Optional

Check this box if partial details to be selected.

4.4.11 Limit Order Tab

Click on 'Limit Order' tab in the FCIS IPO Subscription Detail screen.



Limit Order Details

Select the ‘Limit Order for Subscription’ (buy) option in the Type of Transaction field. The Limit Order section is enabled.

Limit Order Type

Optional

Select ‘Price Based’ in the Limit Order Type field. The options available in the drop-down are as follows:

- Price-Based
- Date Based

Limit Price

Numeric; 9 Characters; Optional

Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).

Limit Start and End Date

Date Format; Optional

Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.

Limit Date

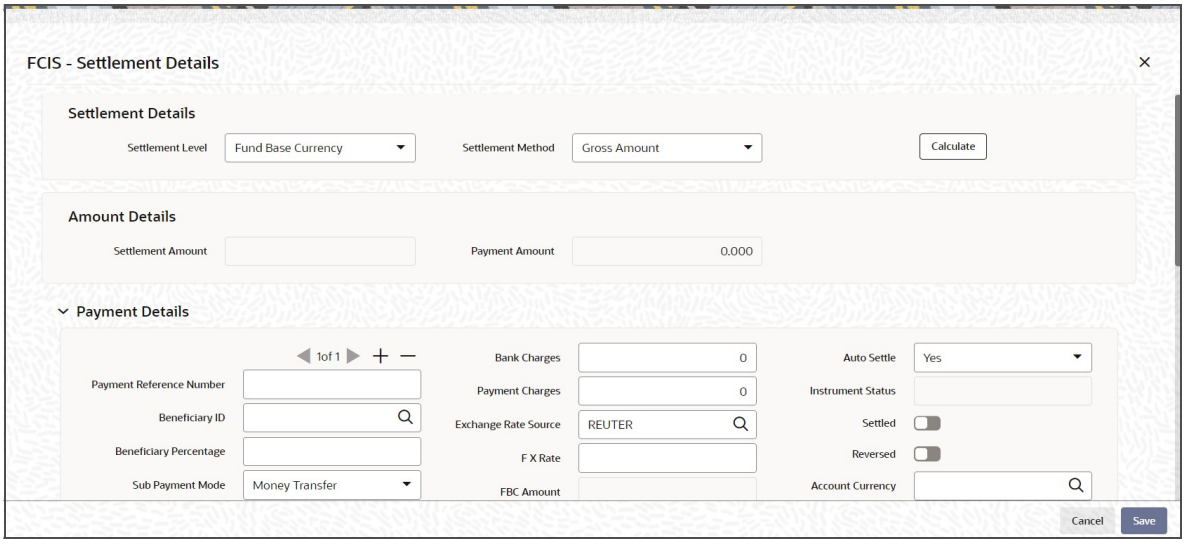
Date Format; Optional

To set up a date-based limit order, specify the following details in the Limit Order section:

- Select ‘Date Based’ in the Limit Order Type field.
- Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

4.4.12 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the ‘Settlement Details’ button to invoke the ‘Settlement Details’ screen.



4.4.12.1 Settlement Details

Settlement Level

Optional

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

- Fund Base Currency
- Transaction Base Currency

Settlement Method

Optional

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

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

Amount Details

The system displays the following values by clicking ‘Calculate’ button.

Settlement Amount

Display

The system displays the settlement amount.

Payment Amount

Display

The system displays the payment amount.

Payment Details

Payment Reference Number

Alphanumeric; 50 Characters; Optional

Specify the payment reference number.

Beneficiary ID

Alphanumeric; 50 Characters; Optional

Specify the beneficiary ID.

Beneficiary Percentage

Numeric; 5 Characters; Optional

Specify the beneficiary percentage.

Sub Payment Mode

Optional

Select the mode of payment. The following options are available:

- Demand Draft
- Pay Order
- Against Payment
- In Kind Payment
- CMA Cheque
- Broker Cheque

- Cashier Cheque
- Foreign Cheque
- Government Cheque
- Other Institution Cheque
- Local Cheque
- Out Of Town Cheque
- Payroll Deduction Cheque
- Reserve Bank Cheque
- Debit Card
- Credit Card
- Advice
- CMA Transfer
- Direct Debit
- Money Transfer
- Telegraphic Transfer
- Wire Transfer
- Cash

Payment Currency

Alphanumeric; 3 Characters; Optional

Specify the payment currency. You can also select the currency from the adjoining option list. The list consists of valid and authorised currencies maintained in the system.

Payment Date

Date Format; Optional

Specify the payment date.

Payment Amount

Numeric; 18 Characters; Optional

The payment amount is displayed.

Amount Block Number

Display

The system displays the amount block number.

Bank Code

Alphanumeric; 3 Characters; Optional

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

Branch Code

Alphanumeric; 20 Characters; Optional

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

Entity ID

Alphanumeric; 12 Characters; Optional

Specify the entity ID.

Payment Type

Optional

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

- Self
- Third Party
- Broker
- Retained
- Advanced Payment
- Absorbed/Paid Back
- Garnishee

Bank Charges

Numeric; 12 Characters; Optional

Specify the bank charges.

Payment Charges

Numeric; 12 Characters; Optional

Specify the payment charges.

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

Specify the source of exchange rate. You can also select the source of exchange rate from the adjoining option list. This exchange rate source is used to convert aggregate currency to transaction currency and vice versa.

FX Rate

Numeric; 15 Characters; Optional

Specify the foreign exchange rate.

FBC Amount

Display

The system displays the fund base currency amount.

Settlement Due Date

Date Format; Optional

Select the due date of the transaction from the adjoining calendar.

Paid Date

Date Format; Optional

Select the paid date of the transaction from the adjoining calendar.

Auto Settle

Optional

Select ‘Yes’ option from drop-down list if you require auto settlement. Else select No.

Instrument Status

Display

The status of the instrument is displayed.

Settled

Optional

Check this option if the transaction is settled.

Reversed

Optional

Check this option if the transaction is reversed.

Transaction Mode

Optional

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

- Amount
- Percent
- Residual

Check/Draft Details

Cheque Date

Date Format; Optional

Select the cheque date from the adjoining calendar.

Check Number

Alphanumeric; 16 Characters; Optional

Specify the check number.

Card Details

Credit Card Ref No

Alphanumeric; 16 Characters; Optional

Specify the credit card reference number.

Account Details

Account Currency

Alphanumeric; 3 Characters; Optional

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

Account Holder Name

Alphanumeric; 100 Characters; Optional

Specify the account holder name.

Account Number

Alphanumeric; 34 Characters; Optional

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

Account Type

Alphanumeric; 1 Character; Optional

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

IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

Third Party Details

Third Party Address

Alphanumeric; 255 Characters; Optional

Specify the third party address.

Third Party Reference

Alphanumeric; 255 Characters; Optional

Specify the third party reference details.

Third Party US State

Alphanumeric; 1 Character; Optional

Specify the third party US state name.

Third Party Zip Code

Alphanumeric; 10 Characters; Optional

Specify the third party zip code.

Unit Holder Details

Payment Address Details

Alphanumeric; 255 Characters; Optional

Specify the unit holder's address details.

In Kind Details

Inkind payment details

Alphanumeric; 255 Characters; Optional

Specify the in kind payment details.

Fund Bank Details

The system displays the following details:

- ISIN Code
- Fund Base Currency
- Bank
- Bank Branch
- Description
- Account Number
- Account Name
- Direct Debit
- Close Account

Routing Bank Detail

SWIFT format

Optional

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

- MT103
- MT202

Bank Charged

Optional

Select the bank charged details from the drop-down list. The list displays the following values:

- Beneficiary
- Remitter
- Share

Beneficiary Details

Beneficiary

Alphanumeric; 35 Characters; Optional

Specify the beneficiary name.

Beneficiary Add 1-3

Alphanumeric; 105 Characters; Optional

Specify the beneficiary address. There are three lines available for the same.

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 Code

Alphanumeric; 24 Characters; Optional

Specify the code of the beneficiary.

Beneficiary Info

Alphanumeric; 100 Characters; Optional

Enter more information about the beneficiary.

Beneficiary IBAN

Alphanumeric; 40 Characters; Optional

Specify the beneficiary IBAN details.

Intermediary Details

Intermediary

Alphanumeric; 35 Characters; Optional

Specify the intermediary detail.

Intermediary Add 1-3

Alphanumeric; 105 Characters; Optional

Specify the intermediary address. There are three lines available for the same

Intermediary BIC Code

Alphanumeric; 24 Characters; Optional

Specify the BIC code of the Intermediary.

Intermediary Acct No

Alphanumeric; 34 Characters; Optional

Specify the account number of the Intermediary.

Intermediary Code

Alphanumeric; 24 Characters; Optional

Specify the code of the Intermediary.

Intermediary Info

Alphanumeric; 100 Characters; Optional

Enter more information about the Intermediary.

Intermediary IBAN

Alphanumeric; 40 Characters; Optional

Specify the intermediary IBAN details.

Further Credit Details

Further Credit Name

Alphanumeric; 40 Characters; Optional

Specify the further credit name.

Further Credit Acct No

Alphanumeric; 34 Characters; Optional

Specify the further credit account number.

Reference

Reference1

Alphanumeric; 35 Characters; Optional

Specify reference details.

Reference2

Alphanumeric; 35 Characters; Optional

Specify reference details.

4.4.12.2 Processing Multi Transactions

To process the outflow transactions, execute the 'Multiple Transaction Generation' batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction

is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
- On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.

4.4.13 Receipt Detail Button

Receipt details does not support IPO Subscription transaction.

4.4.14 Project Allocation Details Button

At this stage, the transaction is ready to be saved. If you wish to see a projected picture of how the transaction would most possibly be allocated, then click the Project Allocation Details button.

You can view Dividend amount for each of the redemption transactions. This amount is the net payment amount payable along with the redemption post WHT and IDS being considered

You can view the projected allocation details only for funds in which the ageing policy is FIFO (first-in, first-out) or Transaction Receipts. If the prices are not available for subscription transactions on the transaction date, the latest available price is picked up for allocation.

For validating dilution levy breach amount, the system does a project allocation for the transaction and then calculates the net amount of the transaction.

When you request the allocation process, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a 'mock' temporary allocation, and displays the details of the same in the Allocation Projection screen. The following project allocation details are displayed:

- The Fund ID
- The Product ID
- The Unit Price for the transaction, as on the date of the temporary allocation.
- The Allocation Price
- The Gross amount in fund base currency
- The Settlement Amount in transaction currency
- The Linked Product ID
- The Load amount in fee currency
- The number of units allocated
- The Base Price
- The total load amount
- The Net amount in fund base currency
- The Settlement Amount in Price Currency
- The Linked units
- The Unit Balance

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- Load Amount
- Load amount in fee currency
- VAT Amount in Fee Currency

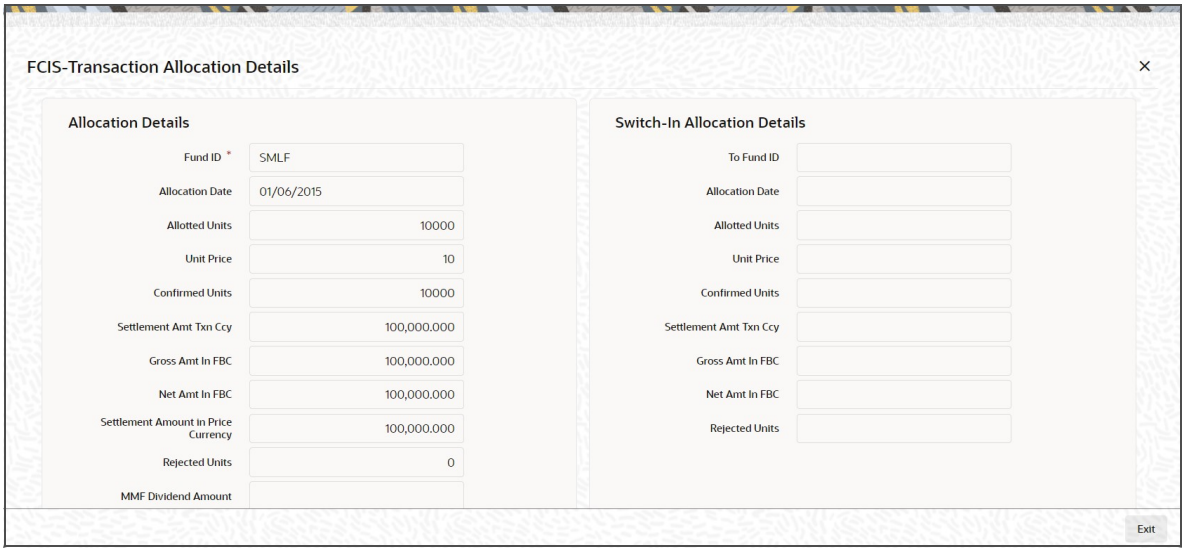
The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- InOutFlag
- Element Identification
- Element Description

After you have viewed the projected allocation details, click Close button to close the screen.

4.4.15 Allocation Details Button

Clicking ‘Allocation Details’ button, the following screen is displayed:



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Share Capital
- Fund Capital
- Switch In Bid Price
- To Fund Capital
- Bid Price
- Income
- Share Premium
- Switch In Offer Price

CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

4.4.16 Saving Transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

Alternatively, the following information may also need to be captured before you save an IPO transaction.

In the Intermediary section, ensure that all the identified brokers for the unit holder, that have not been disabled as on the application date, have been selected, and that the commission split percentages for all selected brokers sum up to one hundred percent.

In the Settlement Details under Transaction Section, you may need to capture the payment details for the transaction.

In the Load Override section, you may need to override an allocation-frequency charge or load. There are three options available for such overrides - Discount, Return Value and Increase. 'Discount' will reduce the slab value by the specified percent/amount for all slabs. 'Increase' will increase the slab value by the specified percent/amount for all slabs. 'Return Value' will change the return value for all the slabs to the specified percent/amount.

In the Certificate Details section, you may need to alter the minimum and maximum denominations. An override of these specifications is possible if it is allowed as designated in the fund rules.

In the Document Details section, you may need to capture the document id of the unit holder. You can either enter the document id or choose the same from the option list provided. This section will be enabled only if your installation is integrated with DMS.

You can now save the transaction.

Note

In case of 100% outflows redemption/switch/transfers, if blocked/provisional units are present for the Unitholder and fund combination, then the system will display the warning message as 'Blocked/provisional Units available for this Fund and Unit holder', However, you can override this message and save the transaction.

If any unalloted 100% outflow transaction exists across dates, i.e. across transaction types captured for same UH fund combination, then the system will display the warning message.

If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session time out. This is applicable for both online and gateway users.

4.4.17 Transaction Processing Logic for Currency of Expression Funds

The system defaults the UH currency of expression in the 'Transaction Currency' field, if available, during transaction capture based on UH and fund combination.

If there is no UH currency of expression maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance

(UTDUHCOE). The defaulted currency of expression in the UHCOE maintenance will be as system user.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field (Transaction capture) and if you override this defaulted currency to one of the FPC (from the fund level new) then upon authorization of the transaction FPC will be defaulted as UHCOE at the UHCOE maintenance.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field and if you override this defaulted currency to neither FBC/FPC, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance.

Following are the system behaviour in case there is an unauthorized or a modified and unauthorized UHCOE maintenance:

Case 1: You need to input a transaction when there is an unauthorized UHCOE maintenance. During transaction input there is not UHCOE to be defaulted as the maintenance is still in unauthorized status. Hence as per logic Fund base currency defaults during transaction capture and this fund base currency will not get defaulted to UHCOE maintenance. Once the UHCOE maintenance is authorized then defaulting will happen during transaction capture.

Case 2: Authorized UHCOE is modified which is still in unauthorized status. In this case if you input a transaction, then the new modified UHCOE will get defaulted during transaction input.

4.4.17.1 FX Logic

The FX rate will not be considered between transaction base currency and fund price currency for currency of expression fund transactions if they are same. This is applicable for subscriptions, redemptions and switch (normal and pseudo) transactions.

The system will use the transaction price currency to get the load; and after applying the load, the net amount and gross amount will get calculated in fund price currency and FBC as well. The currency of expression factor is applied to derive values in fund base currency. The net, gross and load amount will be calculated in currency of expression for a currency of expression transaction and using the COE factor the same is stored in fund base currency only. For a transaction placed using one of the fund price currency; in the project allocation/ allocation tab, the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

For currency of expression transactions the exchange rate applied field during transaction capture will be defaulted to '1'. If you change it, then while saving, the system will display warning message as 'This is a currency of expression transaction and exchange rate will be defaulted to 1 by the system'. This message is shown if do not click the 'Enrich' button after changing the exchange rate. The amount applied field will show the values in fund base currency.

If you change the exchange rate and click 'Enrich' button, then the system default the value to '1' while saving without any warning message.

Note

The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is

mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

If there is no price available for the fund price currency during transaction input, the system will use the par value to arrive at the price. While saving the transaction, the system will display an override message as 'Price not available for the price currency and the system will use the par value for the transaction'. If you continue, then the system will use the par value for processing the transactions. The unit price in project allocation will display FPC price. This logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

4.4.17.2 Processing Unit Holder Currency of Expression

You can select Fund Base currency as currency of expression. There will be no restriction in changing/ amending the currency of expression any number of times against an UH and fund combination.You can maintain only one currency as currency of expression for a UH- Fund combination.

If a UH is closed and reopened then the corresponding action will not happen for the unit holder currency of expression maintenance. The UHCOE maintenance will get closed once the UH is closed but you have to manually reopen the currency of expression for the unit holder fund combination. In case, you do not reopen the UHCOE maintenance after UH reopening, and simultaneously input a transaction, then the system will not apply COE defaulting logic at UHCOE maintenance as there is already a record available for reopen.

Note

After maintaining the unit holder currency of expression, if one of the FPC is removed (at the fund level) and that currency is UHCOE for a UH, then defaulting at transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC (this will be a normal cross currency case). At the UHCOE maintenance this will be operationally controlled.

4.4.17.3 Processing Fund Price Maintenance

The system will validate at the time of fund price capture whether price is being maintained for the Fund in fund price currencies. If it is not maintained. then the system will display warning message as 'Prices for all currencies are not maintained do you wish to continue?'

The Pre EOD checks 'Number of Non Pre-Settled Funds for which Fund Price has not been entered' will be changed to check whether price in FPC have been maintained for the day in the system. For the Pre-Settled trade funds, the Pre-EOD check 'Number of Pre-Settled Trade Funds for which Fund Price has not been entered' is maintained to list funds along with details such as fund Id, currency and effective date.This will be mandatory check. If the system does not find the price in currency of expression, then the transaction entered in currency of expression will not be allotted.

The Units will be allocated using respective currency of expression/ fund price if the transaction is done in currency of expression. If the transaction is done in fund base currency then the allocation will take place by taking the fund price captured in fund base currency. If the transaction is done in a currency which is other than FBC or currency of expression then the allocation of units will be done using prices captured in FBC.

Fluctuation percentage will be applicable for FPC's as well. For project allocation, the system will take the latest available price and show the project allocation.

In case of menu allocation if the price is not available then the system will not allocate the transactions.

4.4.17.4 NAV Correction impact for fund price currencies

If the NAV is corrected for fund price currency, say, for instance, GBP and the amend transaction is set to Yes; then all the transactions will be corrected with the new NAV price for the fund price currency (GBP). In case the amend transaction is set to No; the new price will not be corrected at transaction level. 'Reflect in Trading' field will not be impacted.

4.4.17.5 Currency of expression logic applied during Transactions

Case 1: If transaction base currency is not a part of the fund price currency and UH COE is not maintained

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the fund base currency will be defaulted as the unit holder's currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

Case 2: Transaction Currency is part of the Fund Price Currency and UHCOE is not maintained

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder's currency of expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

Post the transaction authorization, the fund price currency/FBC has to be defaulted as UH preferred currencies at the UHCOE maintenance. (Post authorization user will not be able to amend the TBC hence defaulting will be post authorization).

Case 3: Transaction Currency is part of the Fund Price Currency and UHCOE is maintained

If Transaction base currency is other than the Unit holder's currency of expression and the Unit Holder already has a UH COE for this fund, then while saving, the system will display warning message as 'The transaction currency is not the currency of expression for the unit holder'.

UHCOE = FPC and TBC $\neq$ UHCOE

Note

The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UHCOE will be defaulted as Transaction currency.

4.4.17.6 System logic to derive the Price Currency

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

4.4.17.7 Switch Logic for currency of expression

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

4.5 IPO Subscription Summary Screen

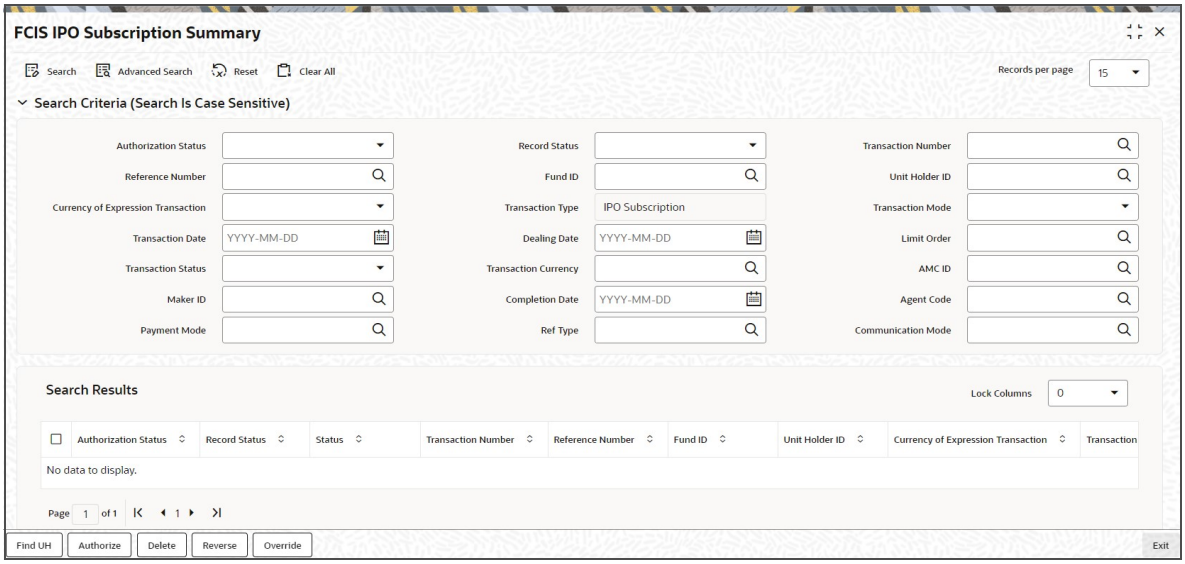
This section contains the following topics:

- Section 4.5.1, "Retrieving a Record in FCIS IPO Subscription Summary Screen"
- Section 4.5.2, "Editing FCIS IPO Subscription Record"
- Section 4.5.3, "Viewing FCIS IPO Subscription Record "
- Section 4.5.4, "Deleting FCIS IPO Subscription Record"
- Section 4.5.5, "Authorizing FCIS IPO Subscription Record "
- Section 4.5.6, "Amending FCIS IPO Subscription Record "
- Section 4.5.7, "Authorizing Amended FCIS IPO Subscription Record "

4.5.1 Retrieving a Record in FCIS IPO Subscription Summary Screen

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

Invoke the ‘FCIS IPO Subscription Summary’ screen by typing ‘UTSTXN01/ UTSTRA01’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the ‘Blank Space’ option, then all records are retrieved
- Transaction Number
- Fund ID
- Currency of Expression Transaction
- Transaction Mode
- Dealing Date
- Transaction Status
- AMC ID
- Completion Date
- Payment Mode
- Communication Mode
- Reference Number
- Unit Holder ID
- Transaction Type
- Transaction Date
- Limit Order
- Transaction Currency
- Maker ID
- Agent Code
- Ref Type

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

Note

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

– Press F7

– Input the Transaction Number
– Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

4.5.2 Editing FCIS IPO Subscription Record

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

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

Click Save to save your changes. The FCIS IPO Subscription Detail screen is closed and the changes made are reflected in the FCIS IPO Subscription Summary screen.

4.5.3 Viewing FCIS IPO Subscription Record

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

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

4.5.4 Deleting FCIS IPO Subscription Record

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

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

4.5.5 Authorizing FCIS IPO Subscription Record

- An unauthorized FCIS IPO Subscription record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS IPO Subscription Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS IPO Subscription Detail screen is displayed. Select Authorize operation from the Action List.

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

4.5.6 Amending FCIS IPO Subscription Record

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

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

4.5.7 Authorizing Amended FCIS IPO Subscription Record

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

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

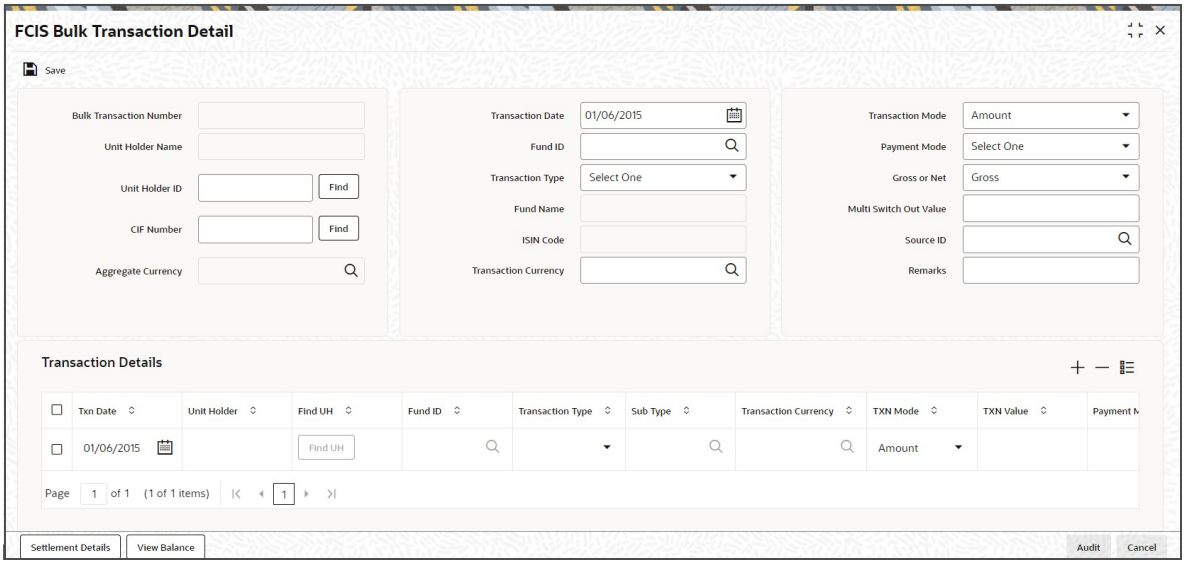
4.6 Bulk Transactions

This section contains the following topics:

- Section 4.6.1, "Invoking Bulk Transaction Screen"
- Section 4.6.2, "Settlement Details Button"
- Section 4.6.3, "Processing Dilution Levy"
- Section 4.6.4, "Viewing Balance Button"

4.6.1 Invoking Bulk Transaction Screen

You may need to enter multiple transactions in multiple funds for a unit holder. Use 'FCIS Bulk Transaction' screen for such requirements. You can invoke this screen by typing 'UTDTXNB' in the field at the top right corner of the Application tool bar and click the adjoining arrow.



You can maintain the following details:

Bulk Transaction Number

Display

When you save the multiple transactions that you have entered in this screen, a bulk transaction number is generated by the system for each set of multiple transactions entered. You can use the bulk transaction number to retrieve the transactions, in the Bulk Transactions Summary screen.

Unit Holder Name

Display

The name of the unit holder is displayed.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also click the 'Find' button to list the unit holder IDs maintained in the system. Select the required ID.

If you select unit holder ID, the system displays the CIF number and vice versa.

CIF Number

Alphanumeric; 20 Characters; Optional

Specify the CIF number of the unit holder for whom you wish to enter multiple transactions. You can also click the 'Find' button to list the CIF number maintained in the system. Select the required ID.

Aggregate Currency

Alphanumeric; 3 Characters; Optional

Specify the aggregate currency. You can also select the currency from the option list provided. The list consists of valid and authorised currencies maintained in the system.

Aggregate currency is used in case of multiple transactions with multiple currencies. This currency is used as an intermediate currency to do settlement between outflow and inflow transactions. If the fund base currency is same for all the funds involved in the transaction, then the system defaults the aggregate currency as the fund base currency. However, if the currency is different, then the system prompts to enter the aggregate currency on save.

Transaction Date

Date Format; Optional

The transaction date is defaulted. However, you can modify the same.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the transaction Fund ID.

Transaction Type

Optional

Select the type of transaction from the drop-down list. The options available are:

- IPO Subscription
- Subscription
- Redemption
- Switch
- Transfer
- Multi Transaction
- Multi Switch

For a unit holder, you can capture multiple redemptions, for which multiple settlements and subscriptions are captured through one wrapper reference number. This wrapper reference will be the reference number for all the subscription and redemption transactions. If you select the 'Multi Transaction' option, then the system will link all the transactions to one reference number. For instance, you can capture multiple transactions as follows:

Outflows,

- Redeem 1000 units from F1 as R1
- Redeem 5000 USD from F2 as R2
- Redeem 50% from F3 as R3

Inflows,

- Invest 30% into F4 as S1
- Invest 1000 USD to F5 as S2
- Invest remaining into F6 as S3

All these transactions will be linked to one wrapper reference number.

Fund Name

Display

The name of the fund is displayed.

ISIN Code

Display

The system displays the ISIN code.

Transaction Currency

Alphanumeric; 3 Characters; Mandatory

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

Transaction Mode

Optional

Select the mode of transaction. The options available are:

- Amount
- Units
- Percent

Payment Mode

Optional

Select the mode of payment from the drop-down list. The following are the options available:

- Cash
- Cheque
- Money Transfer
- Multi Payment
- Direct Debit

Gross or Net

Optional

Select if the bulk transaction is gross or net mode for pseudo switch out leg for multi switch transactions from the drop-down list. The list displays the following values:

- Gross
- Net

Multi Switch Out Value

Numeric; 22 Characters; Mandatory

Specify the multi switch out value for the pseudo switch out leg for multi switch transactions.

If selected, the system will treat the transaction captured as part of multiple switch transactions and it will link them with same reference number (wrapper number). This multi switch transaction will be a pseudo switch transaction. The system will switch out from one fund (pseudo switch out) to multiple switch into different funds (pseudo switch-in)

Multi switch transaction will allow one pseudo switch out (PS03) transaction captured against multiple inflows pseudo switch in (PS02) in bulk transaction screen. Internally it will create one-out leg transaction for each in-leg transaction. If switch out fund and switch in fund are different then it will be saved as pseudo switch and if switch out fund and switch in fund are same then it will be saved as bed and breakfast switch.

Source ID

Alphanumeric; 12 Characters; Optional

Select the source through which the transactions are routed.

Remarks

Alphanumeric; 255 Characters; Optional

You can specify any remarks for the transactions.

Transaction Details

You can enter information that is specific to each individual transaction that you wish to enter.

To add a new transaction, click the 'Add' (+) button. To delete a transaction that you have entered, select the transaction row and click the 'Delete' (-) button.

The default details that you have specified above are displayed for each transaction. However, you can change the following details:

Transaction Date

Date Format; Mandatory

The system displays the transaction date. However you can amend the same.

Unit Holder

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder details.

You can query for unit holder ID by clicking on 'Fund UH' button.

Fund ID

Alphanumeric; 6 Characters; Mandatory

The system displays the fund ID. However you can amend the same.

Transaction Type

Mandatory

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

- IPO Subscription
- Subscription
- Redemption
- Switch
- Transfer
- Multi Transaction
- Multi Switch

Sub Type

Alphanumeric; 1 Character; Mandatory

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

For Transfer Switch transaction, you need to select Switch in Transaction type and Transfer Switch in Subtype from the list displayed,

- Normal Switch
- Bed and Breakfast Switch

- Cash Management Account Switch
- RIS
- Pseudo Switch
- Transfer Switch

Transaction Currency

Alphanumeric; 3 Characters; Optional

The system displays the transaction currency. However, you can amend this value.

TXN Mode

Optional

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

- Amount
- Units
- Present
- Residual

TXN Value

Numeric; 22 Characters; Mandatory

Specify the transaction value.

Payment Mode

Alphanumeric; 2 Characters; Optional

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

Gross or Net

Optional

Select Gross or Net option from the drop-down list.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify To unit holder ID. You can query for To Unit holder ID by clicking ‘Find UH’ button.

To Fund ID

Alphanumeric; 6 Characters; Optional

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

Reference Number

Alphanumeric; 16 Characters; Optional

Specify the reference number.

Txn Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number.

Click ‘Detail’ button to get the transaction details.

Click ‘Clear’ button to clear all the transaction details.

Click ‘Log’ button to view the transaction error details. The ‘Log’ field will log the overrides (warning messages) and error messages. You can view overrides/ error post authorization of the bulk transaction. On launching the sub screen; system will display the following:

- Transaction Number
- Error/ Override
- Code
- Description

Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number.

Error/Override

Alphanumeric; 50 Characters; Optional

Specify the error or override details.

Code

Alphanumeric; 20 Characters; Optional

Specify the code.

Description

Alphanumeric; 255 Characters; Optional

Specify the error description.

Operate?

Optional

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

- Edit
- Delete

Units Classification

Alphanumeric; 1 Character; Optional

Specify the unit classification details.

Age out Preference

Alphanumeric; 1 Character; Optional

Specify the age out preference details.

Status

Alphanumeric; 4000 Characters; Optional

Specify the status of transaction.

Total Amount

Numeric; 22 Characters; Optional

Specify the total amount.

Total Units

Numeric; 22 Characters; Optional

Specify the total units.

Note

- For multi transactions, only redemption and subscription transactions are allowed
- For multi transaction, the transaction date and the unit holder ID are defaulted from the header and you cannot modify the same.
- For subscription transactions, you can select the following transaction modes:
- Amount
- Units
- Percentage
- Residual
- For redemption transactions,' Residual' transaction mode is not applicable
- You have to maintain different fund IDs for multiple transactions

The unit holder will be same for all the outflows and inflow transactions. If there is a different unit holder, the system will validate when the transaction is saved.

Whenever a multi switch transaction is captured, the system will check the unit balance including unallocated units from any other outflow transaction of the same fund. If the unit balance thus calculated is less than the transaction value, the transaction generation will fail for 'Insufficient Unit Balance'. For un-allotted unit based or percentage based transactions, the system will identify the unallocated units from the transaction details.

For Amount based transaction, the system will compute the units balance as follows:

Un-allotted units= Amount/ Latest Available NAV * (1 - Fluctuation %)

Note

Fluctuation % is a system level param value that can be maintained in Parameter Maintenance Screen (UTDPARAM) considering the maximum load and maximum fluctuation in price that can happen. PARAM Code to be maintained is 'FLUCTUATIONPERCENT'.

Example

Opening Balance	120
Buffer %	5%
NAV	11.23778

TXN	Txn Mode	Txn Value	Units redeemed	Settlement Amount	Outstanding	Txn Status	Remarks
RED1	Units	75	75	842.8335	45	Success	No un-allotted Transactions during RED1 capture hence available units will be 120
RED2	Units	50	NA	NA	NA	Failed	Un-allotted units - 75 pending, hence system will consider the available units as 45 (120-75)
RED3	Amount	100	9.3669	105.2632	35.6331	Success	System will use buffer % to arrive at units for amount based outflow transactions

The system will run 'Multi Switch' batch to generate pseudo switch in-leg. The system will split the pseudo out-leg and link to each pseudo in-leg (For instance, multiple switch out from 1 fund to 3 funds. There should be 3 out-leg link to 3 in-leg).If there is residual balance of units, it should be generated at the point of the allotment of pseudo switch out-leg.

Pseudo switch-in generation will be part of BOD sequence. The same can be scheduled as part of Mini-EOD, based on business requirement.

4.6.1.1 Multi Transaction Capture Flow

PS Out-leg Capture

In the header section the system will capture PS-out leg details:

Field	Description
UH ID	Investor ID
Fund ID	Switch-out fund ID
Net/Gross	Gross/Net
Transaction mode	Out leg mode
Multi switch out value	Switch-out value
Transaction Currency	Should be switch-out fund base currency

PS In-leg Capture

The system captures PS In-leg details as part of the multi record on click of add rows icon.

Field	Description
Transaction date	Defaulted from header
UH ID	Defaulted from header
Fund ID	Defaulted from header
Transaction Type	Should be switch
Transaction Sub Type	Should be Pseudo switch
Transaction Currency	Transaction currency
Transaction Mode	Only for Amount/Units
Transaction Value	Value to be switched
Gross/Net	Gross/Net
To Fund ID	Switch-in fund ID

On saving, the system generates multi switch wrapper reference number. the reference number will be same as wrapper reference number.

Note

Transaction number will be showing as key string till authorization.

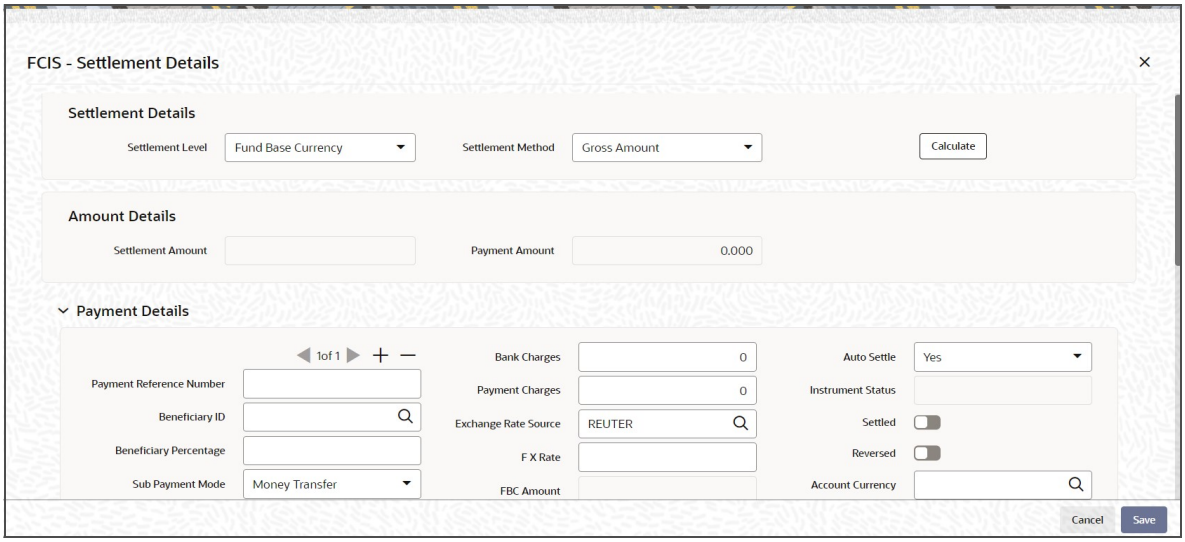
On authorization, the system will update the transaction reference number generated as key string to the actual switch out transaction number. The reference number will be same as wrapper reference number.

Note

Error and overrides will be logged for the PS out transactions.

4.6.2 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the ‘Settlement Details’ button to invoke the ‘Settlement Details’ screen.



For further details, refer ‘Settlement Details’ button in IPO Subscription Detail section of this User Manual.

4.6.2.1 Processing Multi Transactions

To process the outflow transactions, execute the ‘Multiple Transaction Generation’ batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions

- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
- On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.

4.6.3 Processing Dilution Levy

The Inflow breach factor for IN transactions and Outflow breach factor for OUT transactions are considered for arriving at the fund inflow/outflow dilution levy breach limit (Fund Corpus * Inflow / Outflow Breach Factor < Net Amount in FBC) for the day. For validating the dilution limit breach, a project allocation is done with the available price for the transaction and thereby the net amount of that transaction is calculated.

Dilution levy is validated against the gross transaction amount. If gross transaction amount is is greater than the dilution levy breach limit, then a warning message is displayed by the system as follows:

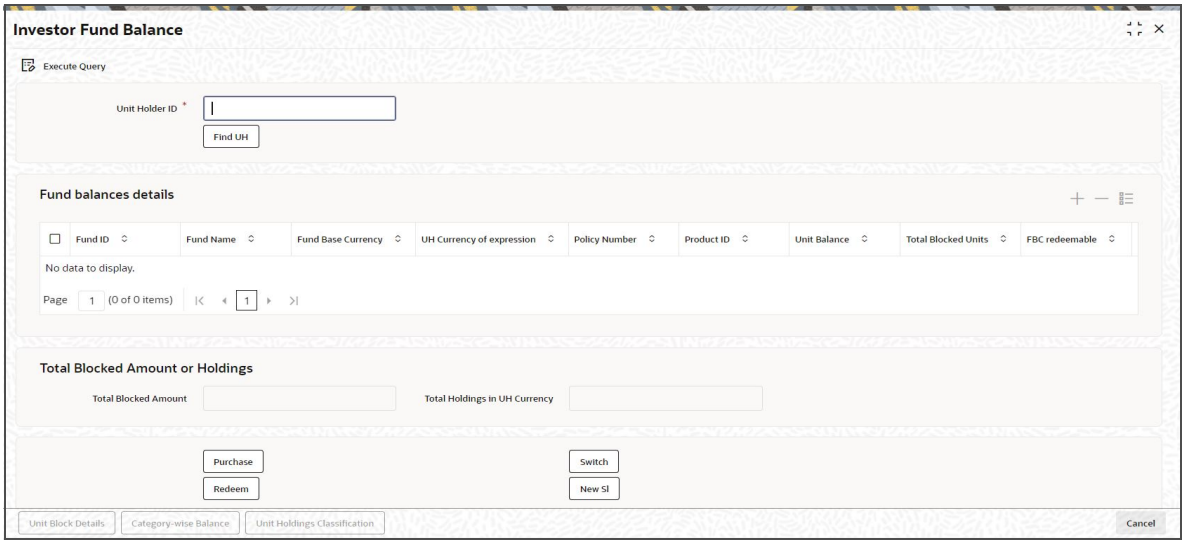
The transaction exceeds the dilution levy breach limit

Dilution levy value can be overridden. The overridden value is considered only if the transaction is breaching the dilution levy limit amount. If a transaction is saved and if there are overrides while saving such a transaction, then the following warning message is displayed by the system.

Transactions are saved with overrides.

4.6.4 Viewing Balance Button

You can view the available fund balance details of a unit holder. For this, click the 'View Balance' button in the 'FCIS Bulk Transaction Detail' screen. The 'Investor Fund Balance' (UTDFNBAL) screen is displayed in view mode displaying the unit holder fund balance details



For further details, refer View Balance Button sub section in 'IPO Subscription Detail' section in this User Manual.

4.7 Bulk Transaction Summary

This section contains the following topics:

- Section 4.7.1, "Invoking Bulk Transactions Summary Screen"
- Section 4.7.2, "Retrieving a Record in FCIS Bulk Transaction Summary Screen"
- Section 4.7.3, "Editing FCIS Bulk Transaction Record"
- Section 4.7.4, "Viewing FCIS Bulk Transaction Record "
- Section 4.7.5, "Deleting FCIS Bulk Transaction Record"
- Section 4.7.6, "Authorizing FCIS Bulk Transaction Record "
- Section 4.7.7, "Amending FCIS Bulk Transaction Record "
- Section 4.7.8, "Authorizing Amended FCIS Bulk Transaction Record "

4.7.1 Invoking Bulk Transactions Summary Screen

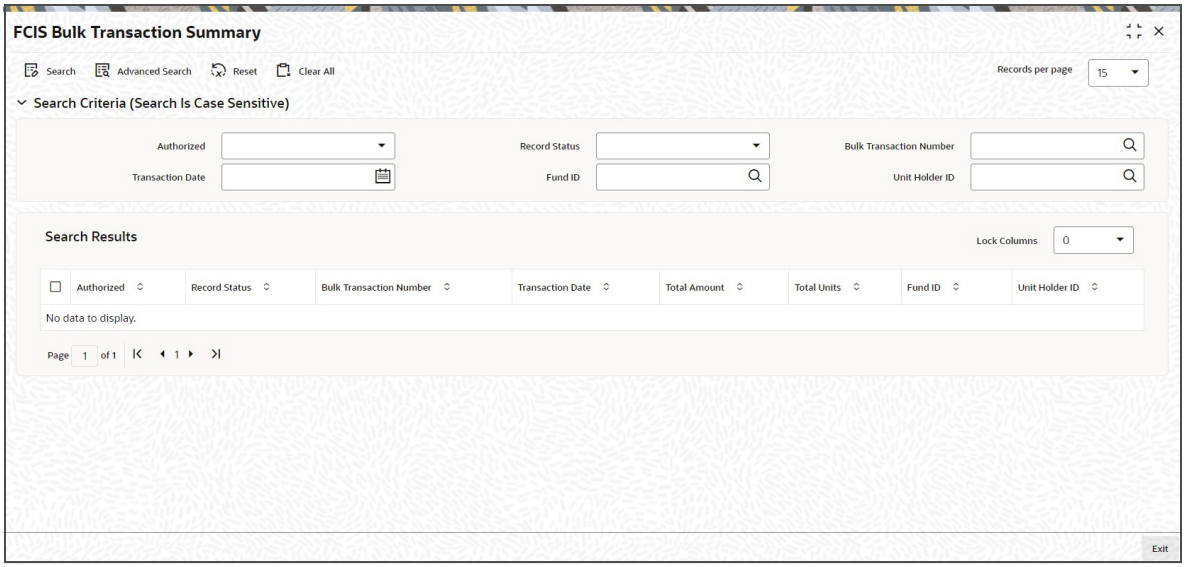
The following operations can be performed for multiple transactions using 'FCIS Multiple Transaction' screen:

- New - You can capture outflows and inflows transactions in this screen. This will then be grouped under one transaction.
- Modify - You can modify the unauthorized multi transactions. Click 'Unlock' option in the action menu and amend the individual transaction by editing each transaction using 'Edit' option available in the 'Transaction Details' section in the 'FCIS Bulk Transaction Detail' screen.
- Delete - To delete a particular transaction, unlock the unauthorized record and select the 'Delete' option available in the 'Transaction Details' section in the 'FCIS Bulk Transaction Detail' screen.
- Authorize - Authorizing the multi transaction results in authorizing all the linked transactions along with it.

4.7.2 Retrieving a Record in FCIS Bulk Transaction Summary Screen

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

Invoke the ‘FCIS Bulk Transaction Summary’ screen by typing ‘UTSTXNB’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Specify any or all of the following details in the corresponding details.

- The status of the record in the Authorized field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the ‘Blank Space’ option, then all records are retrieved
- Bulk Transaction Number
- Transaction Date
- Fund ID
- Unit Holder ID

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

Note

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

- Press F7
- Input the Bulk Transaction Number
- Press F8

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

For example:

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

- Search by A%:- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.

- Search by%7:- System will fetch all the records whose Fund ID ends by numeric value' 7' . For example: AGC17, GSD267, AGC77 etc.
- Search by%17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

4.7.3 Editing FCIS Bulk Transaction Record

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

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

Click Save to save your changes. The FCIS Bulk Transaction Detail screen is closed and the changes made are reflected in the FCIS Bulk Transaction Summary screen.

4.7.4 Viewing FCIS Bulk Transaction Record

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

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

4.7.5 Deleting FCIS Bulk Transaction Record

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

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

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

4.7.6 Authorizing FCIS Bulk Transaction Record

- An unauthorized FCIS Bulk Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Bulk Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.7.7 Amending FCIS Bulk Transaction Record

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

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

4.7.8 Authorizing Amended FCIS Bulk Transaction Record

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

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

4.8 Subscription Transaction Detail

This section contains the following topics:

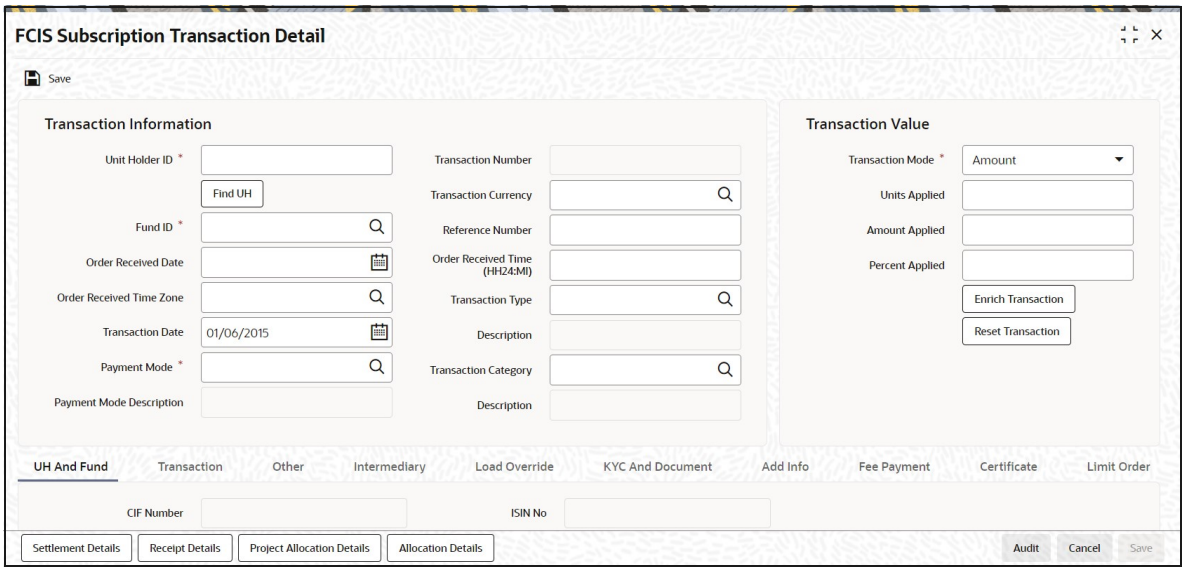
- Section 4.8.1, "Invoking Subscription Transactions Detail Screen"
- Section 4.8.2, "UH And Fund Tab"
- Section 4.8.3, "Transaction Tab"
- Section 4.8.4, "Others Tab"
- Section 4.8.5, "Intermediary Tab"

- Section 4.8.6, "Load Override Tab"
- Section 4.8.7, "KYC and Document Tab"
- Section 4.8.8, "Add Info Tab"
- Section 4.8.9, "Fee Payment Tab"
- Section 4.8.10, "Certificate Tab"
- Section 4.8.11, "Limit Order Tab"
- Section 4.8.12, "Settlement Details Button"
- Section 4.8.13, "Receipt Detail Button"
- Section 4.8.14, "Project Allocation Details Button"
- Section 4.8.15, "Allocation Details Button"
- Section 4.8.16, "Saving the transaction"
- Section 4.8.17, "Transaction Processing Logic for Currency of Expression Funds"

4.8.1 Invoking Subscription Transactions Detail Screen

Enter a subscription transaction request into the system in the following sequence of events:

Invoke the 'FCIS Subscription Transaction Detail' screen by typing 'UTDTXN02/ UTDTRA02' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for subscription transactions is displayed, with all the default information.



Select 'New' from the Actions menu in the Application toolbar or click new icon to enter the details of the Subscription transaction.

You can specify the following details:

Transaction Information

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system.

Provided the client country parameter is set to 'HSBCSPECIFIC' for your bank, the validation for settlement date being greater than or equal to the transaction date will not be carried out.

Note

When you change the unit holder, time zone will get reset accordingly with a warning message "I-TZDEFAULT".

Click 'Find UH' button to open 'Unit Holder Find Options' screen. You can get the Unit holder details by entering the required values in that screen.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Order Received Date

Date Format; Optional

Specify the order received date.

Note

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

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.

Note

- System should allow the user to map service location in the Service Location Maintenance screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured.
- If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone.
- If the Default Time Zone value is null, then the system will display an error message.
- Order Received Time zone will not be defaulted for system generated transactions.

Transaction Date

Date Format; Mandatory

Specify the transaction date.

Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order Received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order Received time breaches the fund cutoff, then transaction date arrives to next business date.

It is better understood by the below example:

Fund ID	FNSGP1		
Fund Time Zone	SGT		
Fund Cut Off	17:30		
Module Default Time Zone	HKT		
Time Zone	UKT	HKT	SGT
GMT+	00:00:00	08:00:00	08:00:00

Order Received within Cut off time		Order Received Post Cut off time	
Fund ID	FNSGP1	Fund ID	FNSGP1
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15

Examples on Transaction Date Derivation:

Notice Period	5 days
Trade Cut Off Appli-cable	No
Calendar basis	Actual
Transaction Type	02

Capture Transaction Date	Application Date	Cut Off	Transaction Date/ Override Transaction Date	ORD	ORT	Derived Transaction Date
Pre-Settle Trade	07-Jan-2015	12:00	07-Jan-2015	07-Jan-2015	15:00	12-Jan-2015
Future Date	07-Jan-2015	12:00	09-Jan-2015	07-Jan-2015	15:00	09-Jan-2015
Back Date	07-Jan-2015	12:00	06-Jan-2015	07-Jan-2015	15:00	06-Jan-2015
Application Date	07-Jan-2015	12:00	07-Jan-2015			07-Jan-2015

Note

- For the Pre-settled trade, system will arrive at the transaction date as Order Received Date + Notice period for the transaction.
- If ORT is after fund cut-off then, cut-off will be ignored and system will simply take ORD + NOTICE PERIOD to arrive at transaction date.
- If transaction date is overridden, system will derive the new settlement due date based on new price date.
- If derived transaction date is holiday, then next working date will be considered as transaction date.
- System generated transaction will not be considered for deriving transaction date and settlement due date for pre-settled funds.

Payment Mode

Alphanumeric; 2 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Payment Mode Description

Display

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

Transaction Number

Display

The system displays the transaction number.

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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Reference Number

Alphanumeric; 16 Characters; Optional

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.

Order Received Time (HH24:MI)

Time Format; Optional

Specify the order received time.

Note

Order Received Time will not be defaulted for system generated transactions.

Transaction Type

Alphanumeric; 1 Character; Optional

Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

Description

Display

The system displays the description for the selected Transaction type.

Transaction Category

Alphanumeric; 1 Character; Optional

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

Description

Display

The system displays the description for the selected transaction category.

This field is enabled after you click 'Enrich' button.

Transaction Value

Transaction Mode

Mandatory

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

- Amount
- Units
- Percent

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. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

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 ‘Enrich Transaction’ button, the system will display an error message.

Percent Applied

Numeric; 27 Characters; Optional

The system displays the percent applied details.

Specify the percent applied details.

You can specify the details in this field only if you have selected ‘Transaction Mode’ field as Percent. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click on ‘Enrich Transaction’ button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of ‘Enrich Transaction’ button all the header fields will be disabled. Clicking ‘Enrich Transaction’ button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click ‘Reset Transaction’ button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking ‘Reset Transaction’ button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click ‘Reset Transaction’ button. Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date

- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

System generated transactions like Dividend, Corporate Actions, NAV corrections, Standing Instruction etc., will not consider notice period and due lag maintained for pre-settled funds.

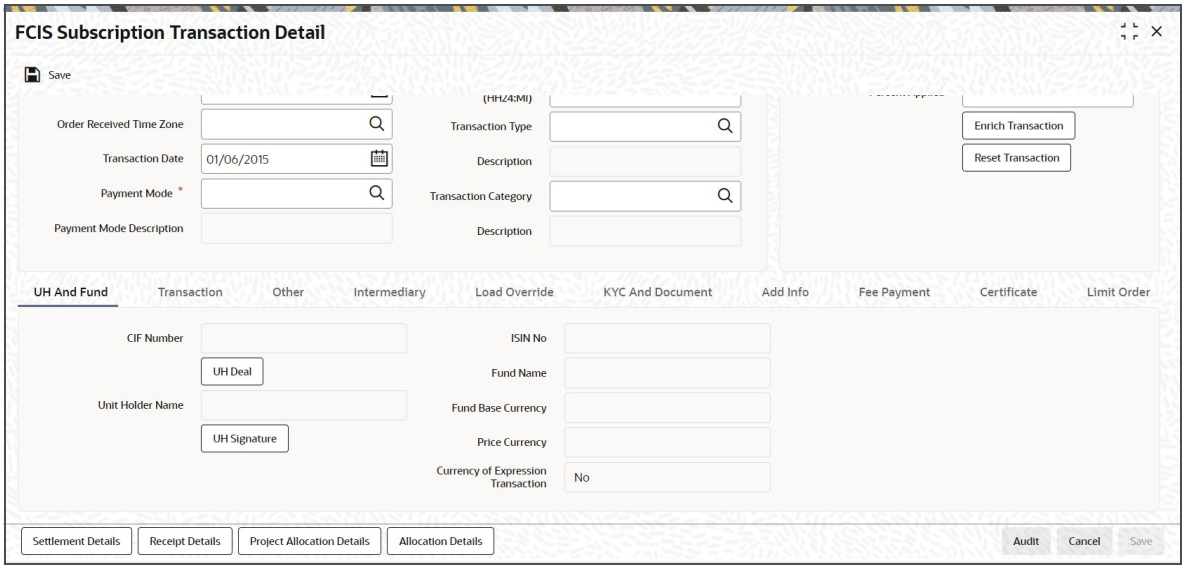
Dates for transaction pertaining to pre-settle trade fund received via external system such as upload, GW, RS and SWIFT will be as provided in the upload file/request received. Based on the transaction date, price date and settlement due date will be driven.

Note

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
- If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The ‘Reset Transaction’ Button will be disabled, if UBS- Integration is enabled.

4.8.2 UH And Fund Tab

Click ‘UH And Fund’ tab in FCIS Subscription Transaction Detail screen.



Click ‘UH Signature’ button to upload the image.

Click on the UH Deals tab to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

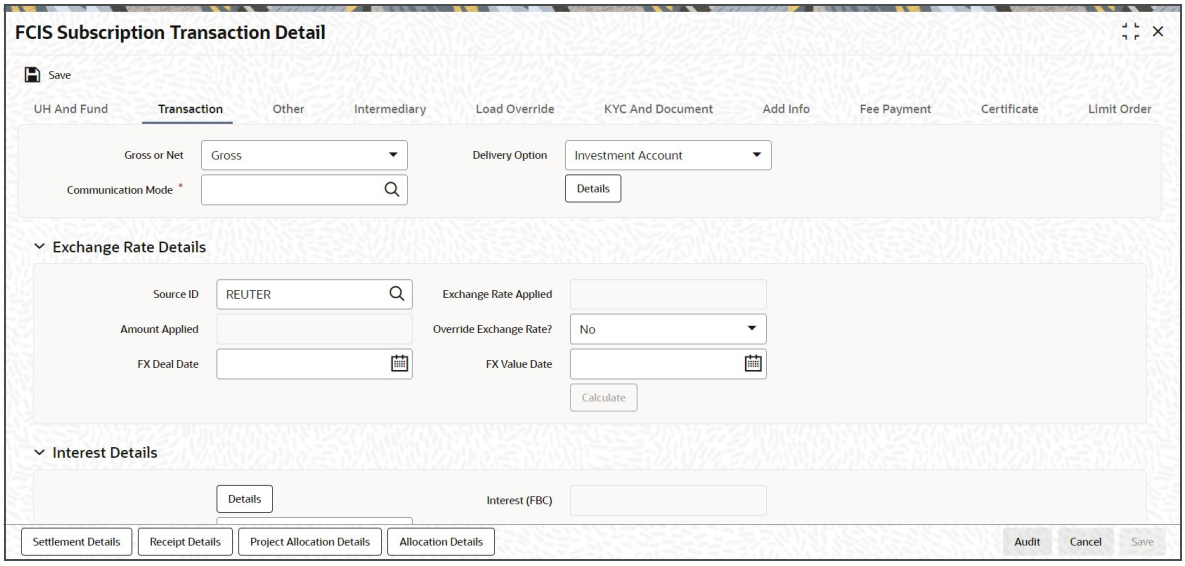
By Clicking on Enrich transaction button information is defaulted in the UH and fund section. If the selected investor is eligible for tax-exemption, select the tax product in which the investor wishes to purchase units, in the Product ID field. When you select the product, you are indicating to the system that this transaction will affect the used up amount of the non-taxable limit set up for the selected unit holder in the Non-Tax Limits Setup options.

The system will display the following values:

- ISIN No
- Fund Name
- Fund Base Currency
- Price Currency
- Currency of Expression Transaction

4.8.3 Transaction Tab

Click ‘Transaction’ tab in FCIS Subscription Transaction Detail screen.



You can specify the following details:

Gross or Net

Optional

Select the net value exclusive of the loads from the drop-down list. The list displays the following values:

- Gross
- Net

Communication Mode

Alphanumeric; 2 Characters; Mandatory

Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

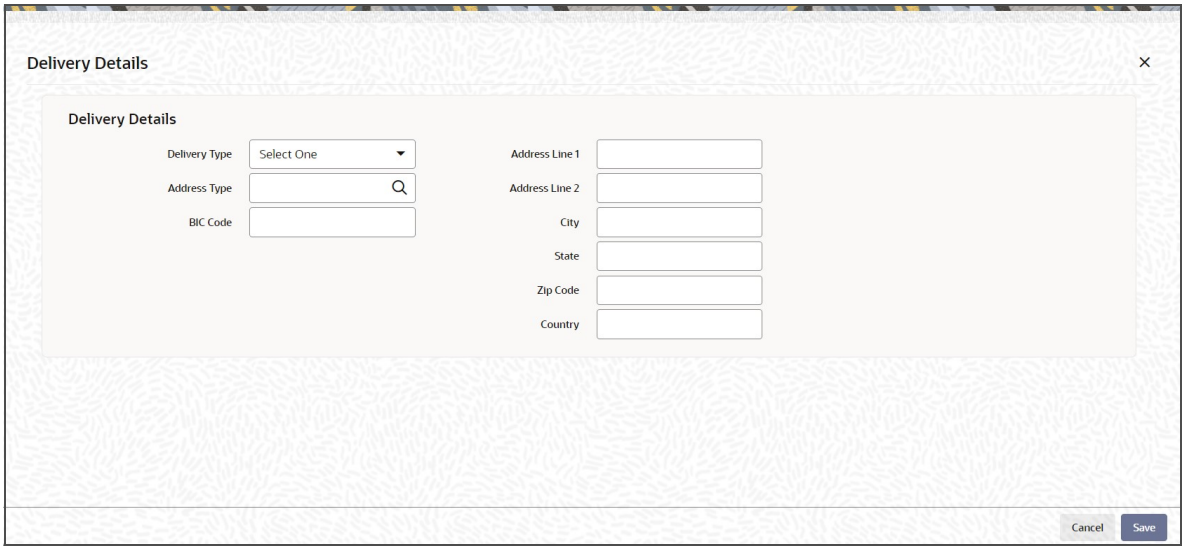
Delivery Option

Optional

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

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

Clicking ‘Details’ button, the ‘Delivery Details’ window will be opened, where in you can enter the following details:



Delivery Type

Optional

Select the type of delivery from the drop-down list. Following are the options available:

- Self
- Third Party

Address Type

Alphanumeric; 2 Characters; Optional

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

BIC Code

Alphanumeric; 12 Characters; Optional

Specify the BIC code.

Address Line 1-2

Alphanumeric; 105 Characters; Optional

Specify the residing address of the customer.

City

Alphanumeric; 80 Characters; Optional

Specify the residing city code.

State

Alphanumeric; 80 Characters; Optional

Specify the name of the residing state.

Zip Code

Alphanumeric; 10 Characters; Optional

Specify the zip code of the residing area.

Country

Alphanumeric; 3 Characters; Optional

Specify the residing country code.

Exchange Rate Details

Source ID

Alphanumeric; 6 Characters; Optional

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

> **Note**
>
> Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Amount Applied

Display

The system displays the amount applied details.

FX Deal Date

Date Format; Optional

Specify the FX deal date.

Exchange Rate Applied

Display

The system displays the exchange rate applied details.

Override Exchange Rate?

Optional

Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values;

- Yes
- No

FX Value Date

Date Format; Optional

Specify the FX value date.

Interest Details

Interest

Alphanumeric; 30 Characters; Optional

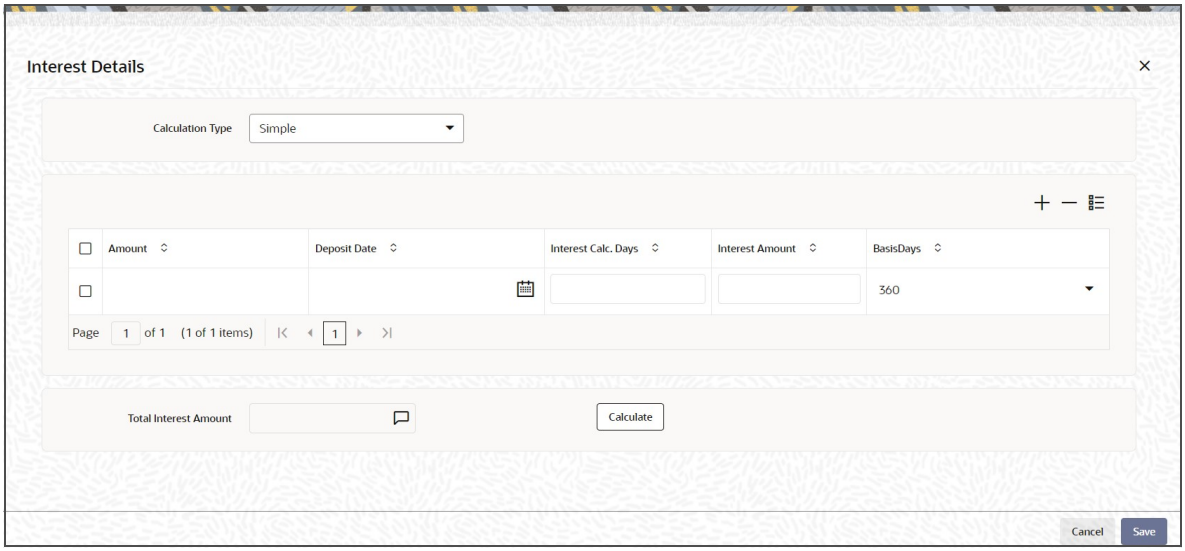
Specify the interest details.

Interest (FBC)

Display

The system displays the fund base currency interest details.

Clicking ‘Details’ button, ‘Interest Details’ window is displayed. You can specify the following details:



Calculation Type

Optional

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

- Simple
- Compound

Amount

Numeric; 18 Characters; Optional

Specify the amount details.

Deposit Date

Date Format; Optional

Specify the deposited date.

Interest Calc. Days

Display

The system displays the calculated interest days.

Interest Amount

Display

The system displays the interest amount.

Basis Days

Optional

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

- 360
- 365

Total Interest Amount

Display

Specify the total interest amount details.

After specifying all the necessary details, click ‘Calculate’ button to calculate the interest details. Click the Calculate button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base

currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

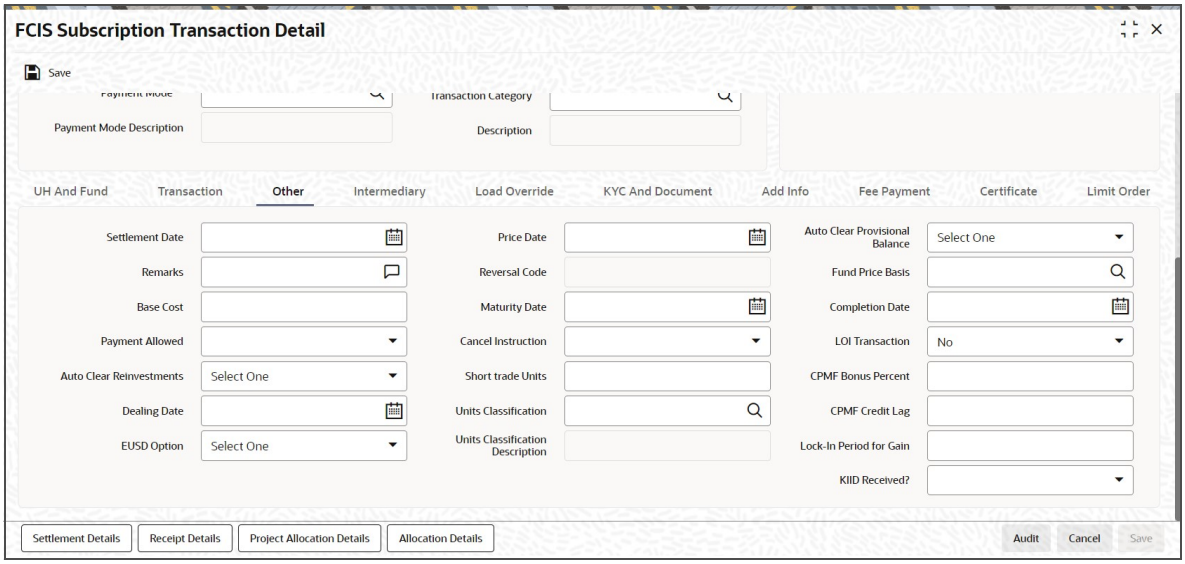
Dilution Levy Processing

To arrive at the dilution levy breach limit the outflow breach factor is considered. (Fund Corpus * Outflow Breach Factor < Net Amount in FBC). Dilution Levy limit breach is validated against the gross transaction amount. If the gross transaction amount exceeds the dilution levy breach limit, then a warning message is displayed by the system. The dilution levy breach limit amount can be overridden at the transaction level. The overridden value is considered only if the transaction attracts dilution levy.

An EOD batch computes the aggregated net transaction amount at unit holder, fund and transaction type level. This batch is schedules before the allocation process. If the gross aggregated amount for Unit Holder, Fund and Transaction type combination is identified breaching, then a dilution levy fee is applied on all transactions of that fund, Unit Holder, and transaction type combination.

4.8.4 Others Tab

Click ‘Other’ tab in the FCIS Subscription Transaction Detail screen.



You can specify the following details:

Settlement Date

Date Format; Optional

Specify the settlement date.

Remarks

Alphanumeric; 255 Characters; Mandatory

Specify remarks, if any.

Base Cost

Numeric; 6 Characters; Optional

Specify the base cost details.

Payment Allowed

Optional

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

- Yes
- No

Auto Clear Reinvestments

Optional

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

- Yes
- No

Dealing Date

Date Format; Optional

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund

EUSD Option

Optional

Select the EUSD option from the drop-down list. The list displays the following values;

- With Holding Tax
- Exchange of Information
- Tax Exemption Certificate

Price Date

Date Format; Optional

The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section 'Defaulting of Price Dates in the Transaction' Screens in this chapter. You can modify this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

Reversal Code

Display

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

Maturity Date

Date Format; Optional

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

Note

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

Cancel Instruction

Optional

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

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

Note

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

Short Trade Units

Numeric; 27 Characters; Optional

Specify short trade units.

Units Classification

Alphanumeric; 3 Characters; Optional

Specify the units classification in which the units have to be linked. Alternatively, you can select units classification from the option list. The list displays all valid units maintained in the system.

This field is applicable only for onshore funds with 'USERMNTFIFO' ageing logic. The system will validate the same during save of the transactions.

Units Classification Description

Display

The system displays the description for the selected unit classification code.

Auto Clear Provisional Balance

Optional

Select ‘Yes’ option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is ‘Percent’ and the transaction value is ‘100’.

Fund Price Basis

Alphanumeric; 6 Characters; Optional

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

Completion Date

Date Format; Optional

The date on which the transaction is completed.

LOI Transaction

Optional

Select the status of LOI transaction

If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

CPMF Bonus Percent

Numeric; 30 Characters; Optional

Specify the percentage of CPMF bonus.

By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is 'Fixed', Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section ‘Maintaining Fund CPMF Preferences’ in the Fund Manager module.

CPMF Credit Lag

Numeric; 4 Characters; Optional

Indicate the lag for the CPMF bonus to be credited.

Lock-in Period for Gain Days

Numeric, 4 Characters; Optional

The default lock-in period for the funds where IOF/IRRF are applicable is defaulted here. This can however be modified.

Note

Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

KIID Received?

Optional

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

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the 'UCITS Fund' at the Fund level is 'Yes' and the UH mapping to the Fund in the 'UH KIID Compliance' tab is 'NO' then at the transaction level, the system will default the 'KIID Complaint' to 'No'.

If the KIID Received is set to 'No', the system display an error message while saving the transaction as 'The Unit holder has not received the KIID'.

If the flag is set to 'YES' there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

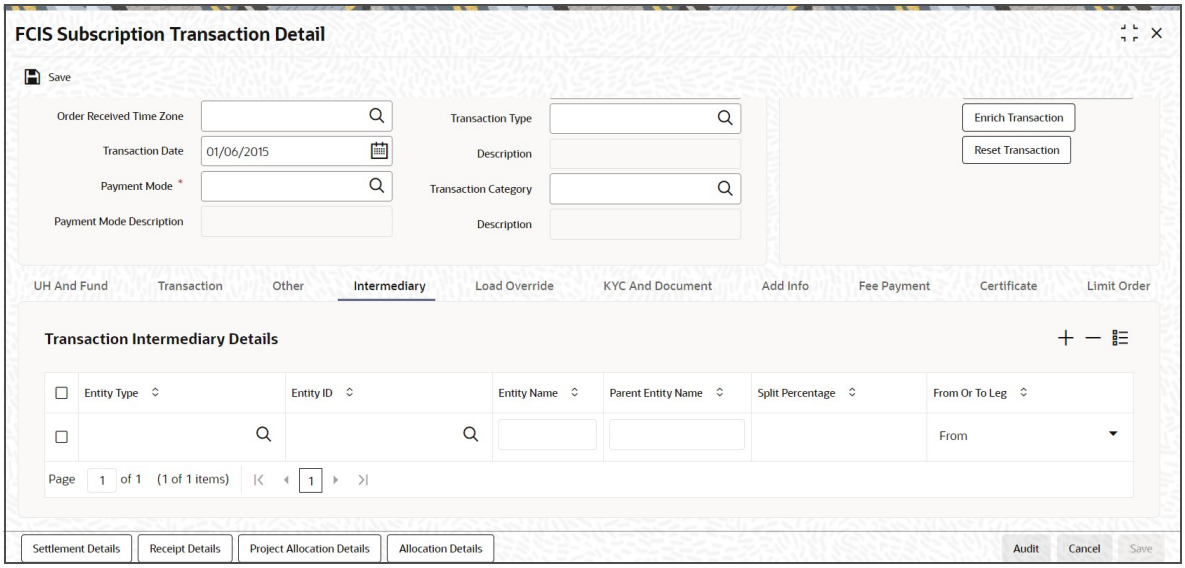
If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from 'No' to 'Yes' and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

4.8.5 Intermediary Tab

Click 'Intermediary' tab in the FCIS Subscription Transaction Detail screen.



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

Entity Type

Alphanumeric; 1 Character; Optional

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Optional

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Display

When you select the broker code, the name of the broker is displayed.

Parent Entity Name

Display

When you select the broker code, the name of the parent broker for the selected broker is displayed.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

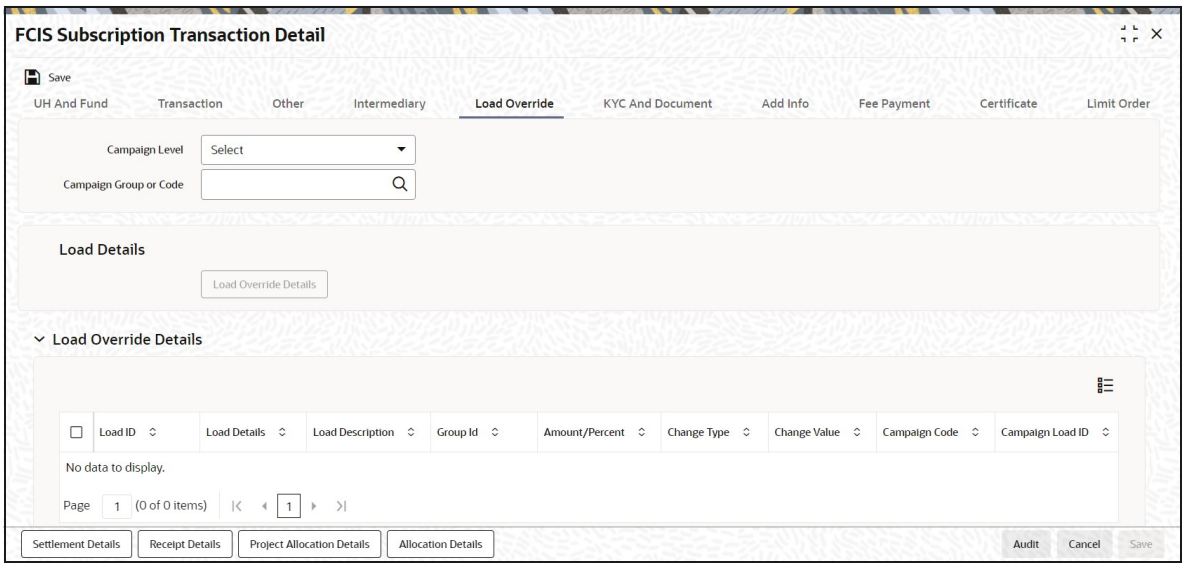
From or To Leg

Optional

Specify the from or to leg details.

4.8.6 Load Override Tab

Click ‘Load Override’ tab in the FCIS Subscription Transaction Detail screen.



In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

Campaign Level

Optional

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

- Campaign Code
- Campaign Group

By default, campaign code will be selected.

Campaign Group or Code

Alphanumeric; 6 Characters; Optional

Specify the campaign group or code to show the result based on Campaign Level selected. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the campaign maintenance.

While saving the transaction, if you have selected Campaign Level as ‘Campaign Group’ and Campaign Group is mentioned in Campaign Code option list, then the system will evaluate the best rate for investor during save of transaction and will tag the campaign against the transaction.

If campaign Level is ‘Campaign Code’, then the system will tag the campaign while saving the transaction.

You can link the campaign to the subscription and switch transaction type of standing instruction. Specify the campaign to be mapped. You can also select the campaign code from the option list.

Note

Campaign is applicable only for subscription /Switch screens only.

If you click 'Load Override Details' button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

Load ID

Display

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

Load Details

Display

The system displays the load details.

Load Description

Display

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

Group ID

Display

The system displays the group ID.

Amount Percent

Display

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

Change Type

Display

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

Change Value

Display

The system displays the change value details.

Campaign Code

Display

The system displays the campaign code.

Campaign Load ID

Display

The system displays the campaign load ID details.

Project Return Value

Display

The system populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking ‘Enrich Transaction’ in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

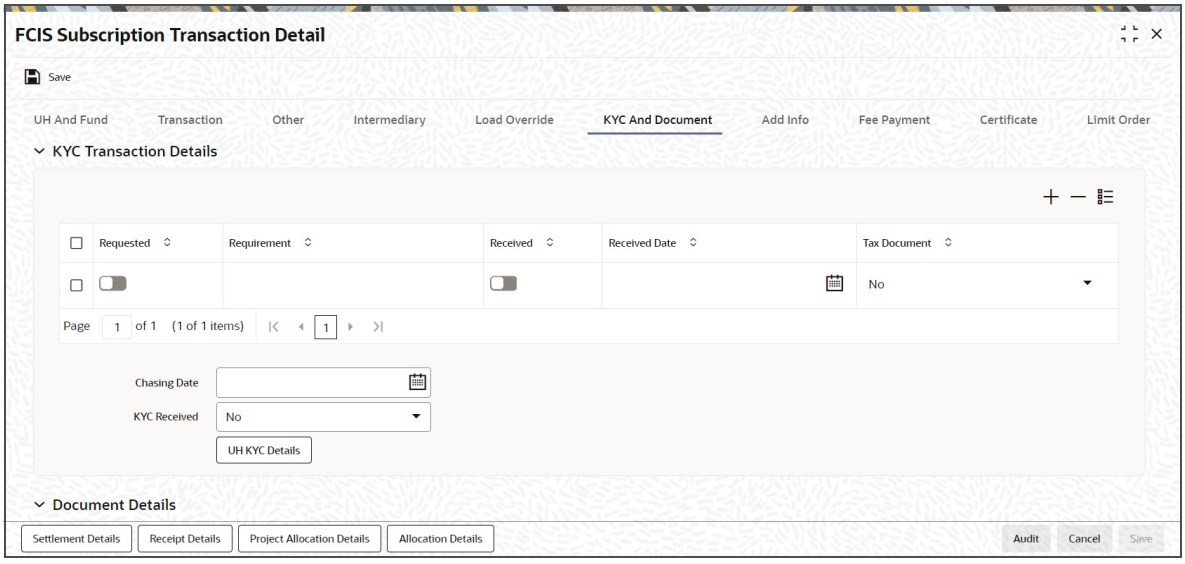
Derived Load Override Details

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value

4.8.7 KYC and Document Tab

Click on ‘KYC and Document’ tab in the ‘FCIS Subscription Transaction Detail’ screen.



KYC Transaction Details

Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Mandatory

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

KYC Received

Optional

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

- Yes
- No

Document Details

Document ID

Alphanumeric; 25 Characters; Optional

Specify the document ID.

Document Type

Alphanumeric; 4 Characters; Optional

Specify the document type.

Type Description

Alphanumeric; 255 Characters; Optional

Specify the description for the type of document.

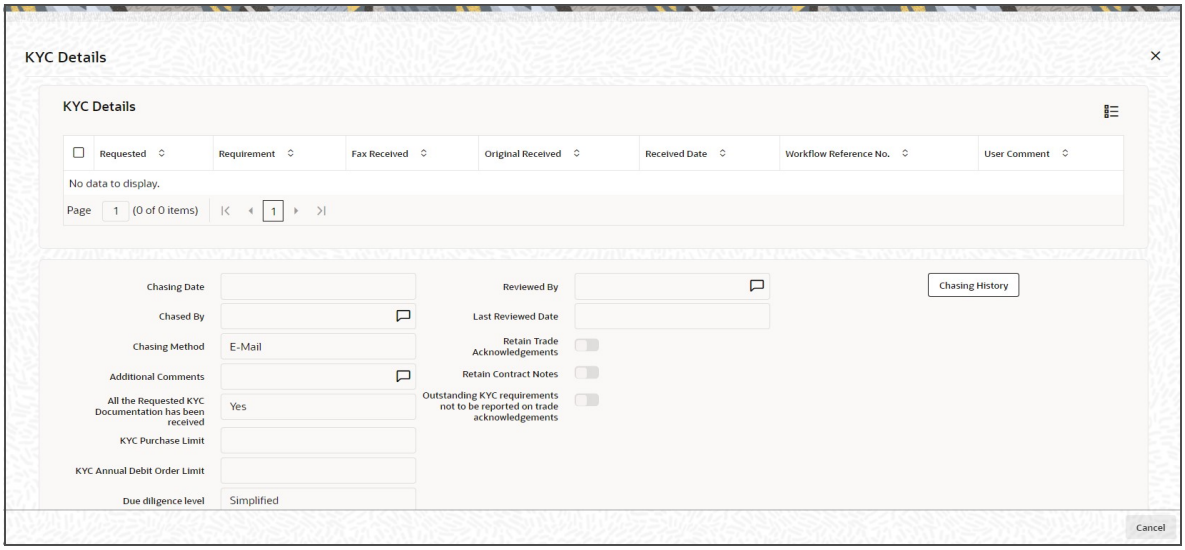
If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax Id, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC.

The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements.

Note

If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.



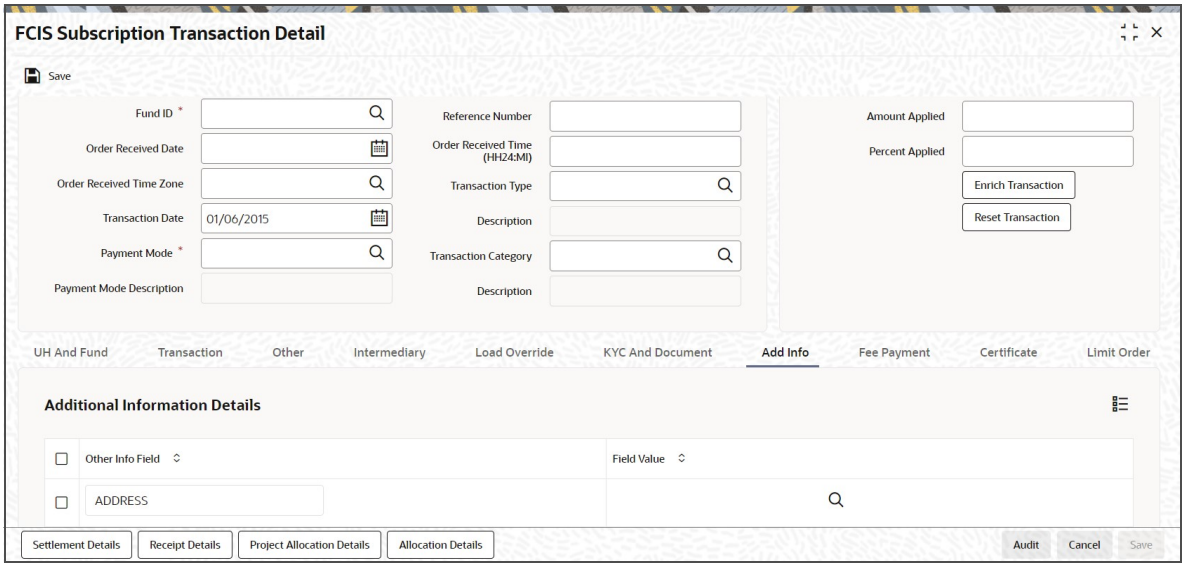
The details are populated from Unit Holder Maintenance screen (UTDUH).

If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as 'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

For further details on this screen, refer 'KYC Details Tab' in 'Unit Holder Maintenance Detail' screen (UTDUH) in Entities User Manual.

4.8.8 Add Info Tab

Click on 'Add Info' tab in the 'FCIS Subscription Transaction Detail' screen.



Other Info Field

Display

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

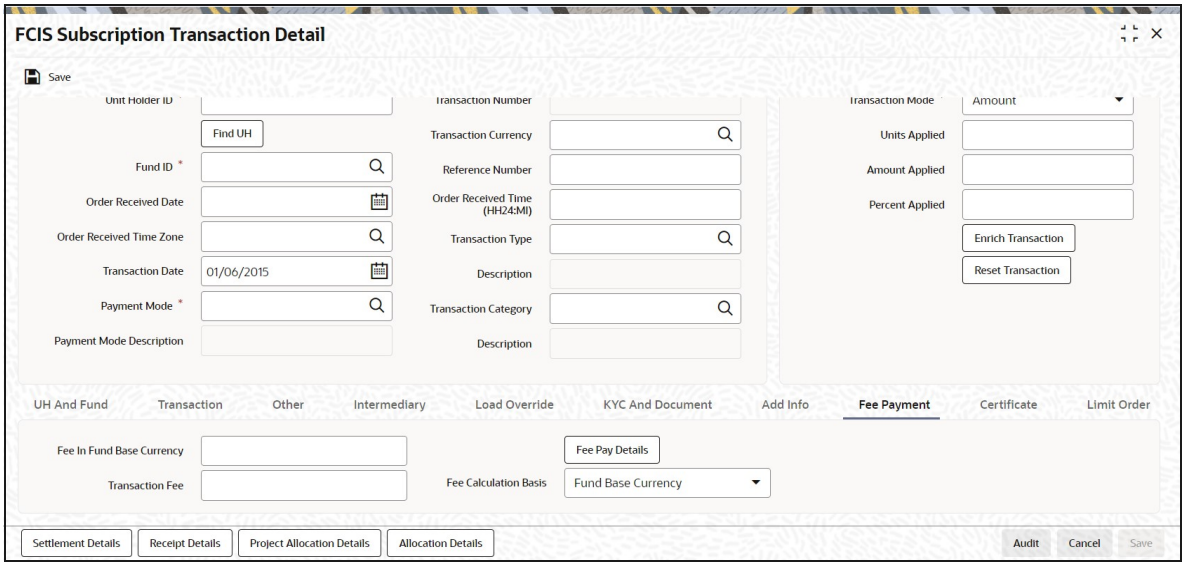
Field Value

Alphanumeric; 60 Characters; Optional

The system displays the field value.

4.8.9 Fee Payment Tab

Click on ‘Fee Payment’ tab in the FCIS Subscription Transaction Detail screen.



If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

Fee in Fund Base Currency

Numeric; 30 Characters; Optional

Specify the fee in fund base currency details.

Transaction Fee

Numeric; 30 Characters; Optional

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

Fee Calculation Basis

Optional

Select the fee calculation basis from the drop-down list. The list displays the following values:

- Fund Base Currency
- Transaction Currency

Click 'Fee Pay Details' button to specify fee payment details.

You can specify the following values:

Transaction Fee

Numeric; 30 Characters; Optional

Specify the transaction fee.

Payment Mode

Optional

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

- Cheque
- Transfer
- Draft
- Card

Bank

Alphanumeric; 12 Characters; Optional

Specify the bank details.

Branch

Alphanumeric; 20 Characters; Optional

Specify the branch code.

Cheque Number

Alphanumeric; 16 Characters; Optional

Specify the cheque number.

Cheque Date

Date Format; Optional

Specify the cheque date.

Transfer Branch

Alphanumeric; 12 Characters; Optional

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

Account Type

Optional

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

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

Account Number

Alphanumeric; 34 Characters; Optional

Specify the account number.

Clearing Date

Date Format; Optional

Specify the clearing date.

Account Holder Name

Alphanumeric; 100 Characters; Optional

Specify the name of the account holder.

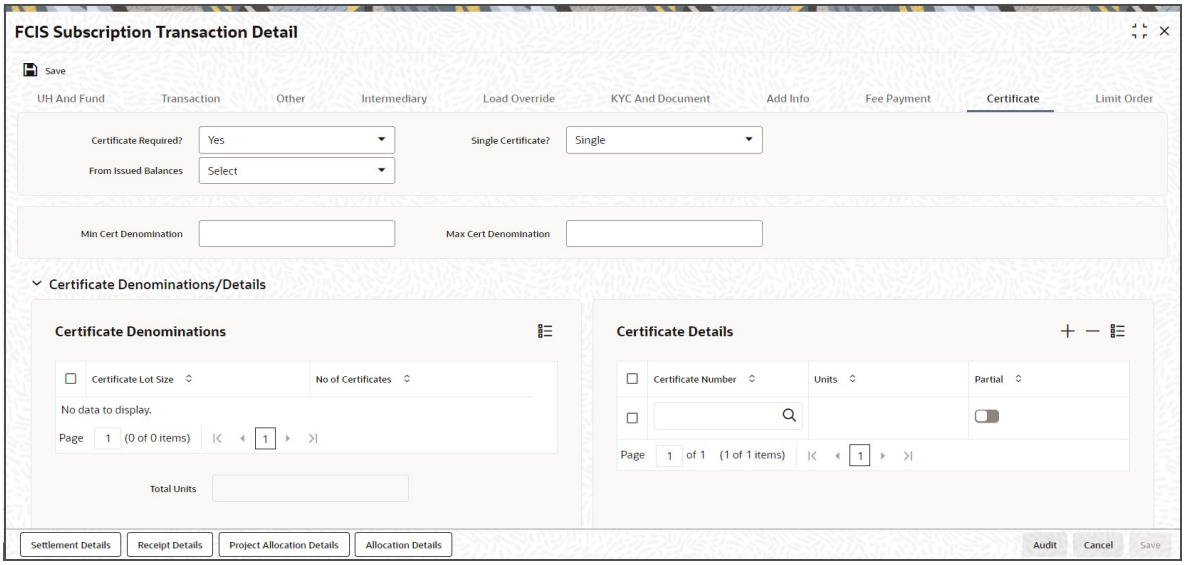
IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

4.8.10 Certificate Tab

Click Certificate tab in the FCIS Subscription Transaction Detail screen.



Certificate Required?

Optional

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

- Yes
- No

If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose 'Yes' in the Certificate Required field.

Single Certificate?

Optional

Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Note

From issued balance field 'Both Option' is not applicable for the subscription transaction.

Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

Certificate Denominations

Certificate Lot Size

Display

The system displays the certificate lot size details.

No of Certificates

Display

The system displays the number of certificates.

Certificate Details

Certificate Number

Numeric; 10 Characters; Optional

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

Units

Numeric; 27 Characters; Optional

Specify the units details.

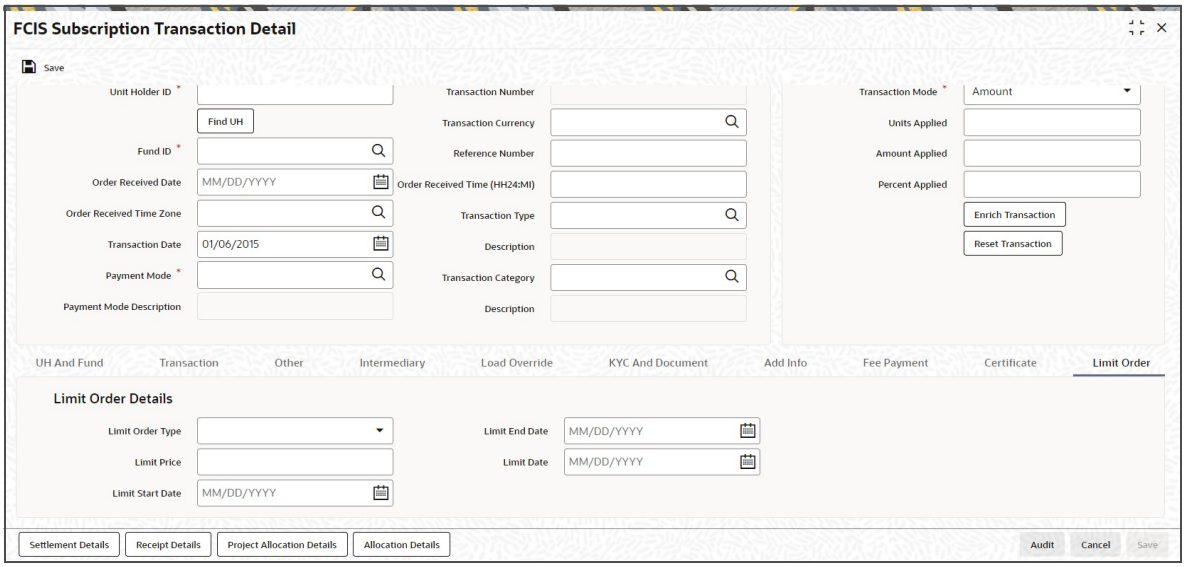
Partial

Optional

Check this box if partial details to be selected.

4.8.11 Limit Order Tab

Click on 'Limit Order' tab in the FCIS Subscription Transaction Detail screen.



Limit Order Details

Select the 'Limit Order for Subscription' (buy) option in the Type of Transaction field. The Limit Order section is enabled.

Limit Order Type

Optional

Select 'Price Based' in the Limit Order Type field. The options available in the drop-down are as follows:

- Price-Based
- Date Based

Limit Price

Numeric; 9 Characters; Optional

Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).

Limit Start and End Date

Date Format; Optional

Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.

Limit Date

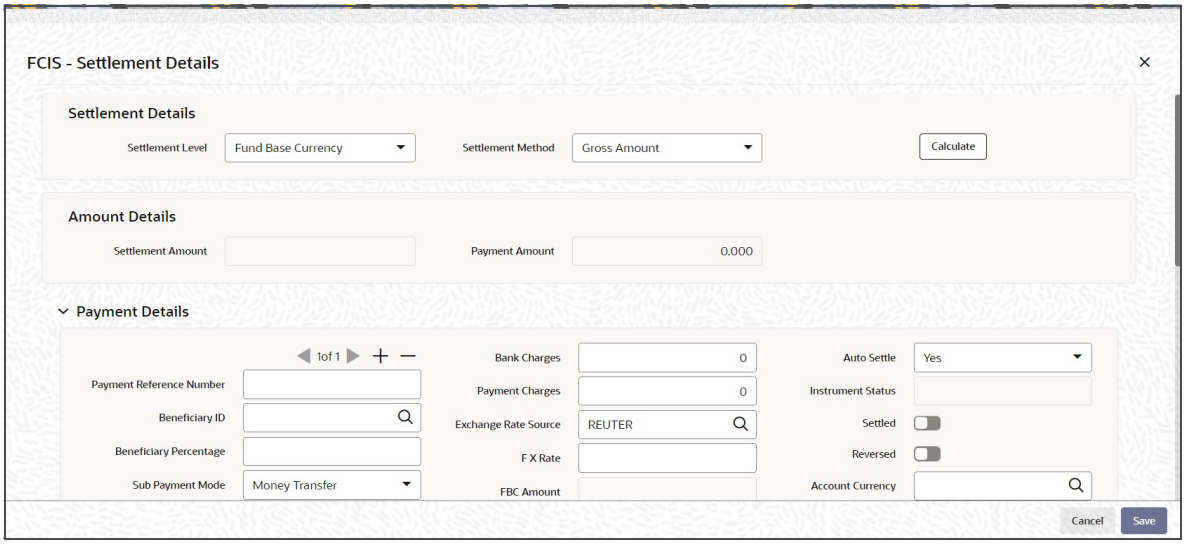
Date Format; Optional

To set up a date-based limit order, specify the following details in the Limit Order section:

- Select ‘Date Based’ in the Limit Order Type field.
- Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

4.8.12 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the ‘Settlement Details’ button to invoke the ‘Settlement Details’ screen.



For more details on this screen, refer Settlement Details Button sub section in ‘IPO Subscription Detail’ section in this User Manual.

4.8.12.1 Processing Multi Transactions

To process the outflow transactions, execute the ‘Multiple Transaction Generation’ batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction

is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
- On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.
- System will allow user to settle a particular trade from payment tab of subscription.
- If trade is settled from the subscription screen (UTDTXN02) after the settlement date, system will display a warning message 'Trade is Settled After Settlement Due Date'.
- If trade is cleared from the clearing screen post settlement date, system will not display warning message.
- If Settlement Due Date is given in any format of process that is upload/front-end/ gateway/ReST/SWIFT will be considered as user overridden settlement Due Date.
- For Pre-Settled Trade Funds, System will derive the settlement due date as Price Date minus due lag and in case settlement due date falls on a holiday, system will be move to next payment currency working day and rule AFTER will be applied.

Error Messages for Settlement Details

S.NO	Validation	Type	Error code	Error Message
1	When user tries to settle a transaction after settlement due date, system will raise an error.	W	W-SETTLEMENTDUEDATE	Trade is Settled after Settlement Due Date.

4.8.13 Receipt Detail Button

Receipt details does not support Subscription transaction.

4.8.14 Project Allocation Details Button

At this stage, the transaction is ready to be saved. If you wish to see a projected picture of how the transaction would most possibly be allocated, then click the Project Allocation Details button.

You can view Dividend amount for each of the redemption transactions. This amount is the net payment amount payable along with the redemption post WHT and IDS being considered

You can view the projected allocation details only for funds in which the ageing policy is FIFO (first-in, first-out) or Transaction Receipts. If the prices are not available for subscription transactions on the transaction date, the latest available price is picked up for allocation.

For validating dilution levy breach amount, the system does a project allocation for the transaction and then calculates the net amount of the transaction.

When you request the allocation process, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a 'mock' temporary allocation, and displays the details of the same in the Allocation Projection screen. The following allocation details are displayed:

- The Fund ID
- The Product ID
- The Unit Price for the transaction, as on the date of the temporary allocation.
- The Allocation Price
- The Gross amount in fund base currency
- The Settlement Amount in transaction currency
- The Linked Product ID
- The Load amount in fee currency
- The number of units allocated
- The Base Price
- The total load amount
- The Net amount in fund base currency
- The Settlement Amount in Price Currency
- The Linked units
- The Unit Balance

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- Load Amount
- Load amount in fee currency
- VAT Amount in Fee Currency

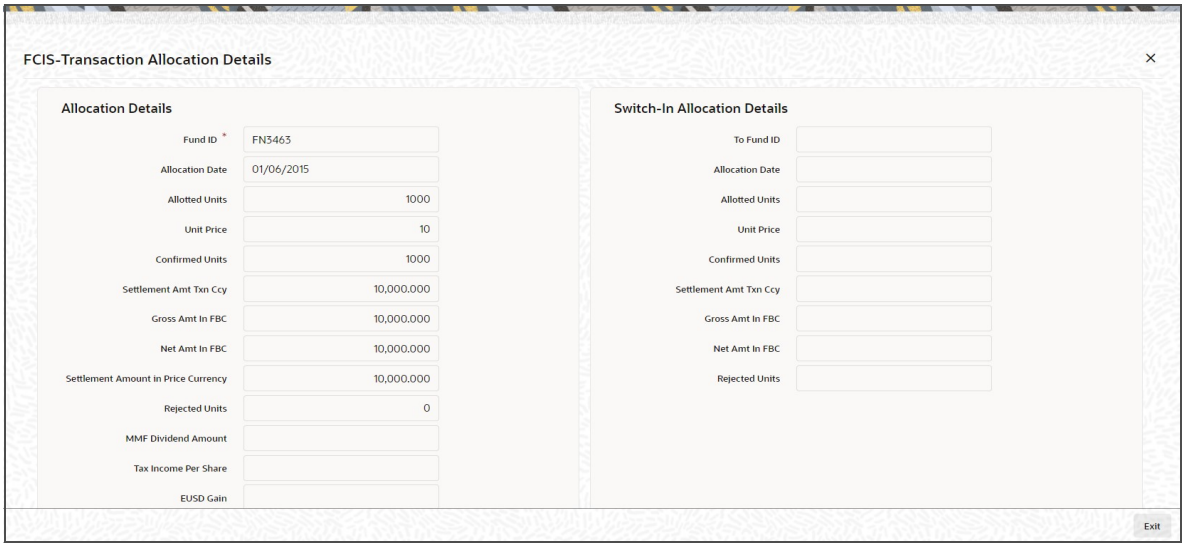
The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- InOutFlag
- Element Identification
- Element Description
- Value

After you have viewed the projected allocation details, click Close button to close the screen.

4.8.15 Allocation Details Button

Clicking 'Allocation Details' button, the Allocation screen is displayed:



Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Alloted Units
- Unit Price
- Confirmed Units
- Settlement Amt Txn Ccy
- Gross Amt In FBC
- Net Amt In FBC

- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital

- Income
- Fund Capital
- Share Premium
- Switch In Bid Price
- Switch In Offer Price
- To Fund Capital

CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

4.8.16 Saving the transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

The system will validate the following if CPMF is applicable for the fund involved in the transaction:

- Transaction amount should be greater than the minimum amount for CPMF
- Mode of payment is Money transfer
- The subscription is Gross-Amount based
- Only one bank account is maintained in the payment details.
- The account type of the transfer account is an eligible account type
- In case 'Credit on Outflow' is ‘No’, and if there is any redemption linked to this subscription before credit date (barring any interim taxation), crediting will not happen.
- CPMF percentage and Lag cannot be modified for System generated authorized transactions.
- In Subscription screen, If Lag basis is 'Trigger based', Lag will be defaulted to '-1' and cannot be changed. If Lag basis is 'Transaction date', lag will be 0.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session time out. This is applicable for both online and gateway users.

4.8.16.1 Viewing Balance Holdings of a Unit Holder

You can view the available fund balance details of a unit holder. For this, click the ‘View Balance’ button in the ‘FCIS Subscription Transaction Detail’ screen. The ‘Investor Fund Balance Summary’ screen is displayed in view mode displaying the unit holder fund balance details.

4.8.17 Transaction Processing Logic for Currency of Expression Funds

The system defaults the UH currency of expression in the 'Transaction Currency' field, if available, during transaction capture based on UH and fund combination.

If there is no UH currency of expression maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (UTDUHCOE). The defaulted currency of expression in the UHCOE maintenance will be as system user.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field (Transaction capture) and if you override this defaulted currency to one of the FPC (from the fund level new) then upon authorization of the transaction FPC will be defaulted as UHCOE at the UHCOE maintenance.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field and if you override this defaulted currency to neither FBC/FPC, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance.

Following are the system behaviour in case there is an unauthorized or a modified and unauthorized UHCOE maintenance:

Case 1: You need to input a transaction when there is an unauthorized UHCOE maintenance. During transaction input there is not UHCOE to be defaulted as the maintenance is still in unauthorized status. Hence as per logic Fund base currency defaults during transaction capture and this fund base currency will not get defaulted to UHCOE maintenance. Once the UHCOE maintenance is authorized then defaulting will happen during transaction capture.

Case 2: Authorized UHCOE is modified which is still in unauthorized status. In this case if you input a transaction, then the new modified UHCOE will get defaulted during transaction input.

4.8.17.1 FX Logic

The FX rate will not be considered between transaction base currency and fund price currency for currency of expression fund transactions if they are same. This is applicable for subscriptions, redemptions and switch (normal and pseudo) transactions.

The system will use the transaction price currency to get the load; and after applying the load, the net amount and gross amount will get calculated in fund price currency and FBC as well. The currency of expression factor is applied to derive values in fund base currency. The net, gross and load amount will be calculated in currency of expression for a currency of expression transaction and using the COE factor the same is stored in fund base currency only. For a transaction placed using one of the fund price currency; in the project allocation/ allocation tab, the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

For currency of expression transactions the exchange rate applied field during transaction capture will be defaulted to '1'. If you change it, then while saving, the system will display warning message as 'This is a currency of expression transaction and exchange rate will be defaulted to 1 by the system'. This message is shown if do not click the 'Enrich' button after changing the exchange rate. The amount applied field will show the values in fund base currency.

If you change the exchange rate and click 'Enrich' button, then the system default the value to '1' while saving without any warning message.

Note

The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

If there is no price available for the fund price currency during transaction input, the system will use the par value to arrive at the price. While saving the transaction, the system will display an override message as 'Price not available for the price currency and the system will use the par value for the transaction'. If you continue, then the system will use the par value for processing the transactions. The unit price in project allocation will display FPC price. This logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

4.8.17.2 Processing Unit Holder Currency of Expression

You can select Fund Base currency as currency of expression. There will be no restriction in changing/ amending the currency of expression any number of times against an UH and fund combination.You can maintain only one currency as currency of expression for a UH- Fund combination.

If a UH is closed and reopened then the corresponding action will not happen for the unit holder currency of expression maintenance. The UHCOE maintenance will get closed once the UH is closed but you have to manually reopen the currency of expression for the unit holder fund combination. In case, you do not reopen the UHCOE maintenance after UH reopening, and simultaneously input a transaction, then the system will not apply COE defaulting logic at UHCOE maintenance as there is already a record available for reopen.

Note

After maintaining the unit holder currency of expression, if one of the FPC is removed (at the fund level) and that currency is UHCOE for a UH, then defaulting at transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC (this will be a normal cross currency case). At the UHCOE maintenance this will be operationally controlled.

4.8.17.3 Processing Fund Price Maintenance

The system will validate at the time of fund price capture whether price is being maintained for the Fund in fund price currencies. If it is not maintained. then the system will display warning message as 'Prices for all currencies are not maintained do you wish to continue?'

The Pre EOD checks 'Number of Non Pre-Settled Funds for which Fund Price has not been entered' will be changed to check whether price in FPC have been maintained for the day in the system. For the Pre-Settled trade funds, the Pre-EOD check 'Number of Pre-Settled Trade Funds for which Fund Price has not been entered' is maintained to list funds along with details such as fund Id, currency and effective date.This will be mandatory check. If the system does not find the price in currency of expression, then the transaction entered in currency of expression will not be allotted.

The Units will be allocated using respective currency of expression/ fund price if the transaction is done in currency of expression. If the transaction is done in fund base currency then the allocation will take place by taking the fund price captured in fund base currency. If

the transaction is done in a currency which is other than FBC or currency of expression then the allocation of units will be done using prices captured in FBC.

Fluctuation percentage will be applicable for FPC's as well. For project allocation, the system will take the latest available price and show the project allocation.

In case of menu allocation if the price is not available then the system will not allocate the transactions.

4.8.17.4 NAV Correction impact for fund price currencies

If the NAV is corrected for fund price currency, say, for instance, GBP and the amend transaction is set to Yes; then all the transactions will be corrected with the new NAV price for the fund price currency (GBP). In case the amend transaction is set to No; the new price will not be corrected at transaction level. 'Reflect in Trading' field will not be impacted.

4.8.17.5 Currency of expression logic applied during Transactions

Case 1: If transaction base currency is not a part of the fund price currency and UH COE is not maintained

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the fund base currency will be defaulted as the unit holder's currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

Case 2: Transaction Currency is part of the Fund Price Currency and UHCOE is not maintained

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder's currency of expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

Post the transaction authorization, the fund price currency/FBC has to be defaulted as UH preferred currencies at the UHCOE maintenance. (Post authorization user will not be able to amend the TBC hence defaulting will be post authorization).

Case 3: Transaction Currency is part of the Fund Price Currency and UHCOE is maintained

If Transaction base currency is other than the Unit holder's currency of expression and the Unit Holder already has a UH COE for this fund, then while saving, the system will display warning message as 'The transaction currency is not the currency of expression for the unit holder'.

UHCOE = FPC and TBC ≠ UHCOE

Note

The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will al-

low transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UH-COE will be defaulted as Transaction currency.

4.8.17.6 System logic to derive the Price Currency

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

4.8.17.7 Switch Logic for currency of expression

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

4.9 Subscription Transaction Summary Screen

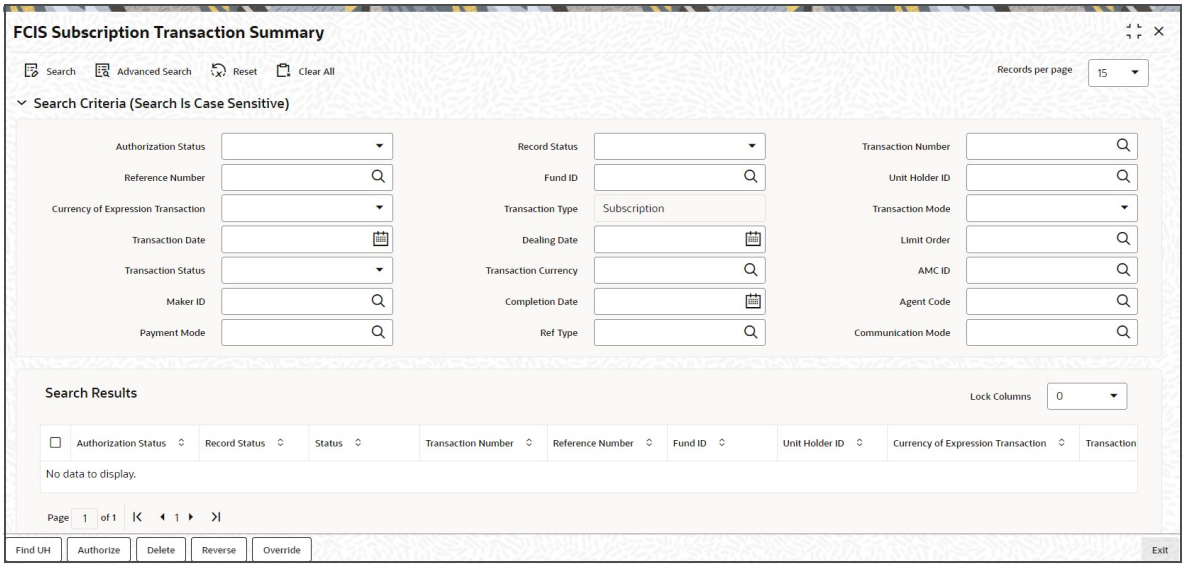
This section contains the following topics:

- Section 4.9.1, "Retrieving a Record in FCIS Subscription Transaction Summary Screen"
- Section 4.9.2, "Editing FCIS Subscription Transaction Record"
- Section 4.9.3, "Viewing FCIS Subscription Transaction Record "
- Section 4.9.4, "Deleting FCIS Subscription Transaction Record"
- Section 4.9.5, "Authorizing FCIS Subscription Transaction Record "
- Section 4.9.6, "Amending FCIS Subscription Transaction Record "
- Section 4.9.7, "Authorizing Amended FCIS Subscription Transaction Record "

4.9.1 Retrieving a Record in FCIS Subscription Transaction Summary Screen

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

Invoke the ‘FCIS Subscription Transaction Summary’ screen by typing ‘UTSTXN02/ UTSTRA02’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the ‘Blank Space’ option, then all records are retrieved
- Transaction Number
- Fund ID
- Currency of Expression Transaction
- Transaction Mode
- Dealing Date
- Transaction Status
- AMC ID
- Completion Date
- Payment Mode
- Communication Mode
- Reference Number
- Unit Holder ID
- Transaction Type
- Transaction Date
- Limit Order
- Transaction Currency
- Maker ID
- Agent Code
- Ref Type

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

Note

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

– Press F7

– Input the Transaction Number
– Press F8

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

For example:

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

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value' 7'. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

4.9.2 Editing FCIS Subscription Transaction Record

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

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

Click Save to save your changes. The FCIS Subscription Transaction Detail screen is closed and the changes made are reflected in the FCIS Subscription Transaction Summary screen.

4.9.3 Viewing FCIS Subscription Transaction Record

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

- Invoke the FCIS Subscription Transaction Summary screen from the Browser.

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

4.9.4 Deleting FCIS Subscription Transaction Record

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

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

4.9.5 Authorizing FCIS Subscription Transaction Record

- An unauthorized FCIS Subscription Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Subscription Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Subscription Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.9.6 Amending FCIS Subscription Transaction Record

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

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

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

4.9.7 Authorizing Amended FCIS Subscription Transaction Record

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

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

4.10 Cancel Transaction Detail

This section contains the following topics:

- Section 4.10.1, "Invoking Cancel Transaction Detail Screen"
- Section 4.10.2, "Processing Cancellations"

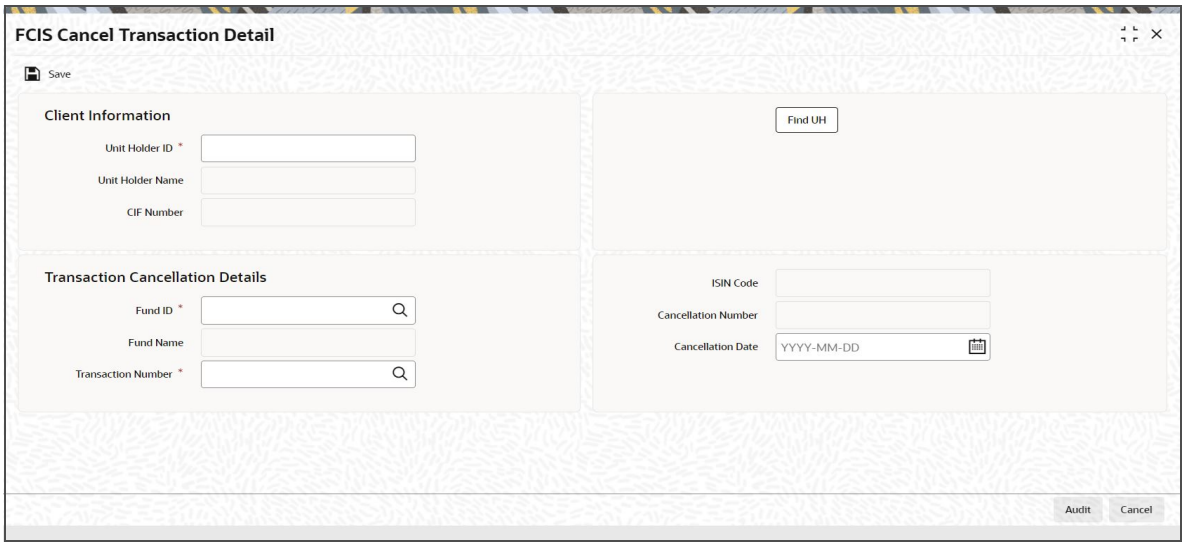
4.10.1 Invoking Cancel Transaction Detail Screen

An initial purchase (subscription) transaction entered into by an investor can be cancelled at the investor's request, through a Cancel operation, provided the cancellation period specified for the fund has not elapsed.

When a cancellation is processed, a redemption transaction that annuls the original subscription transaction is generated. Upon successful processing of the cancel operation, the subscription amount refunded.

Cancellation is possible only for subscription transactions.

To enter a cancellation request, you can use the 'FCIS Cancel Transaction Detail' screen. You can invoke this screen by typing 'UTDCNTXN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You need to specify the following details:

Client Information

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested for a cancellation.

You can query for unit holder ID by clicking 'Find UH' button.

Unit Holder Name

Display

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

CIF Number

Display

The system displays the CIF number for the selected unit holder ID.

Transaction Cancellation Details

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund in which the subscription was entered, for which a cancellation is being sought.

Fund Name

Display

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

ISIN Code

Display

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

Transaction Number

Alphanumeric; 16 Characters; Mandatory

Specify the transaction number of the subscription transaction being cancelled.

Cancellation Number

Display

The system displays the cancellation number.

Cancellation Date

Date Format; Mandatory

Select the cancellation date from the adjoining calendar. The cancellation date, which is deemed to be the current date. It must fall within the cancellation period for the fund.

The system checks to see that the transaction being cancelled is an initial purchase, and that the unit holder has no holdings in the fund at the time of cancellation; also, that the cancellation date is within the cancellation period for the fund. If any of these checks fail, an override is sought.

4.10.2 Processing Cancellations

Cancellations are processed as follows:

- The cancellation is processed based on the fund-level cancellation parameters, as follows:

  - The price basis for the cancellation depends on the Cancellation Price Basis defined in the fund rules.
  - The fund load mapping for cancellation would have been set up similar to the loads applicable for the initial subscription, with entity types reversed.
- Upon authorization, the cancellation creates an underlying redemption transaction with transaction date as the cancellation date and units equal to the original allotted units of the subscription transaction.
- Upon authorization of the cancellation, the original subscription cannot be amended or reversed. Also, the original subscription cannot be reversed or aged against any other redemption.
- The cancellation transaction is a sub type of redemption transaction.
- The administration fee for cancellation is captured as a transaction time fee.
- If the original transaction has already been redeemed out, the System records an error.
- If the original transaction has not been settled (that is, there are provisional units), there is no payout due to the generated redemption, which is generated as confirmed and paid.
- The load amount for the redemption is the sum of loads due to refund of the original load amounts.
- Allocation of the cancellation age out the original units allotted. The settlement amount after this allocation is the market value of cancellation.
- Market value of cancellation is taken to be:

Units allotted * NAV / Bid / Offer price + Front end load on original purchase

- The cancellation amount (settlement amount) due to the transaction is determined as shown below:

Case	Description
Market Value more than or equal to original investment amount	Market value less than original investment amount Consideration of original Subscription price as cancellation price during allocation
Cancellation amount is equal to the original investment amount In case of a price increase, the difference between the cancellation amount and original investment amount is accounted to the fund	Cancellation amount is equal to the Market Value. In this case, the difference between the cancellation amount and the original investment amount is ‘Due to Fund Manager’

4.11 FCIS Cancel Transaction Summary

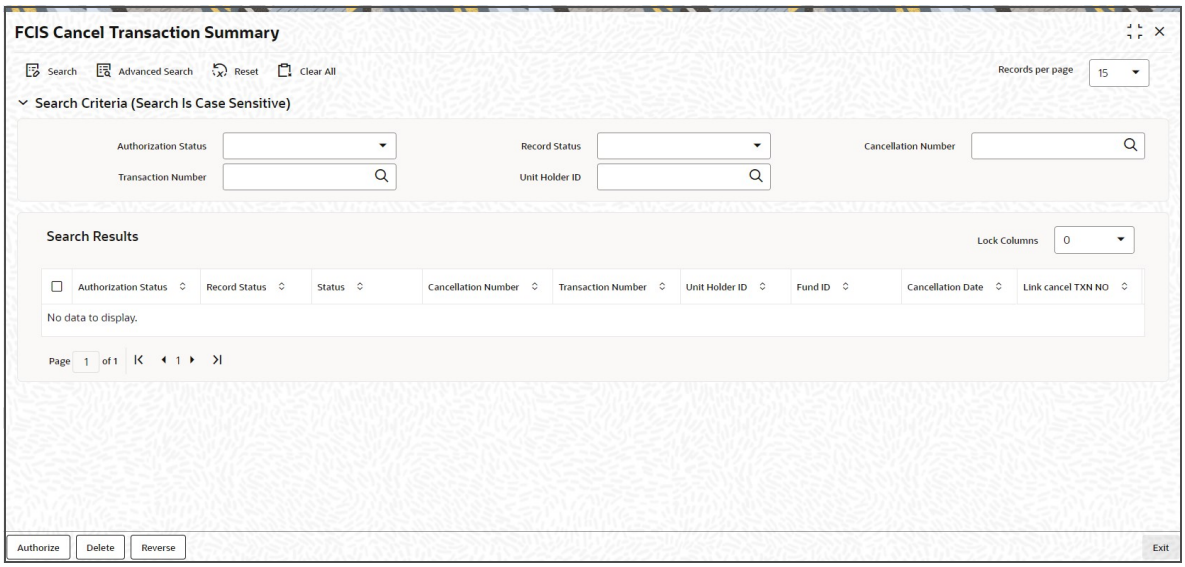
This section contains the following topics:

- Section 4.11.1, "Retrieving a Record in Cancel Transaction Summary Screen"
- Section 4.11.2, "Editing Transaction Cancel Transaction Record"
- Section 4.11.3, "Viewing Transaction Cancel Transaction Record"
- Section 4.11.4, "Deleting Transaction Cancel Transaction Record"
- Section 4.11.5, "Authorizing Transaction Cancel Transaction Record"
- Section 4.11.6, "Amending Transaction Cancel Transaction Record"
- Section 4.11.7, "Authorizing Amended Cancel Transaction Record"

4.11.1 Retrieving a Record in Cancel Transaction Summary Screen

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

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



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

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

4.11.2 Editing Transaction Cancel Transaction Record

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

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

Click Save to save your changes. The FCIS Cancel Transaction Detail screen is closed and the changes made are reflected in the FCIS Cancel Transaction Summary screen.

4.11.3 Viewing Transaction Cancel Transaction Record

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

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

4.11.4 Deleting Transaction Cancel Transaction Record

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

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

4.11.5 Authorizing Transaction Cancel Transaction Record

- An unauthorized FCIS Cancel Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Cancel Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.

- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Cancel Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.11.6 Amending Transaction Cancel Transaction Record

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

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

4.11.7 Authorizing Amended Cancel Transaction Record

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

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

4.12 Redemption Transaction Detail

This section contains the following topics:

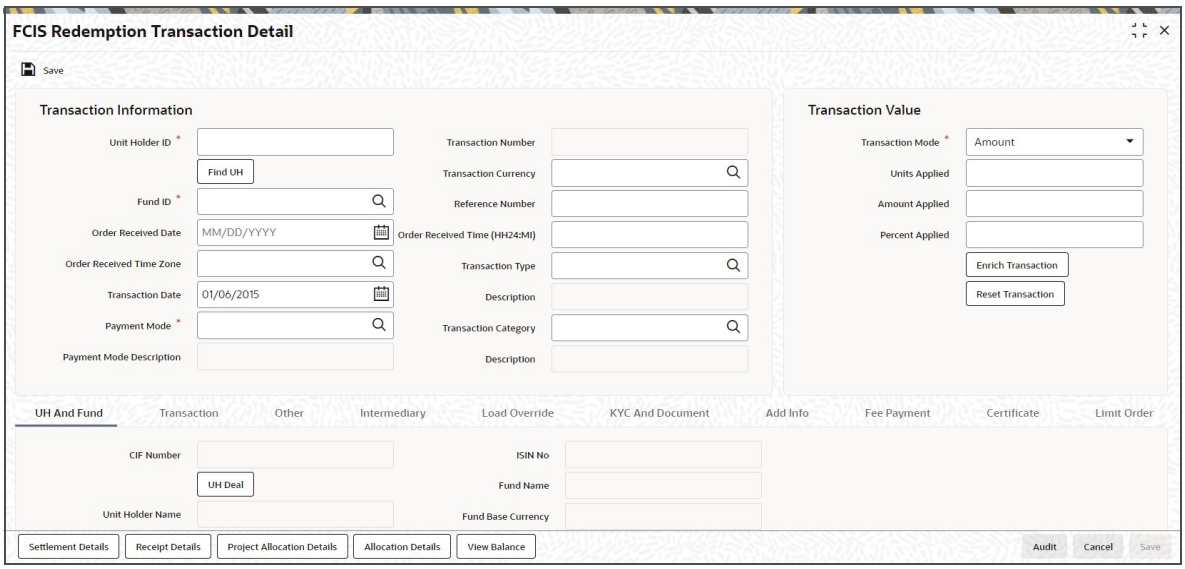
- Section 4.12.1, "Invoking Redemption Transaction Detail Screen"
- Section 4.12.2, "UH And Fund Tab"
- Section 4.12.3, "Transaction Tab"
- Section 4.12.4, "Other Tab"
- Section 4.12.5, "Intermediary Tab"
- Section 4.12.6, "Load Override Tab"
- Section 4.12.7, "KYC and Document Tab"
- Section 4.12.8, "Add Info Tab"
- Section 4.12.9, "Fee Payment Tab"
- Section 4.12.10, "Certificate Tab"
- Section 4.12.11, "Limit Order Tab"
- Section 4.12.12, "Settlement Details Button"
- Section 4.12.13, "Receipt Detail Button"

- Section 4.12.14, "Project Allocation Details Button"
- Section 4.12.15, "Allocation Details Button"
- Section 4.12.16, "View Balance Button"
- Section 4.12.17, "Transaction Processing Logic for Currency of Expression Funds"

4.12.1 Invoking Redemption Transaction Detail Screen

Enter a redemption transaction request into the system in the following sequence of events:

Invoke the 'FCIS Redemption Transaction Detail' screen by typing 'UTDTXN03/ UTDTRA03' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for redemption transactions is displayed, with all the default information. To enable the fields for entry, select 'New' from the Actions menu in the Application tool bar or click new icon.



Transaction Information

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system.

You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

Note

When you change the unit holder, time zone will get reset accordingly with a warning message "I-TZDEFAULT".

Click ‘Find UH’ button to open ‘Unit Holder Find Options’ screen. You can get the Unit holder details by entering the required values in that screen.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Order Received Date

Date Format; Optional

Specify the order received date.

Note

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

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.

Note

- System should allow the user to map service location in the Service Location Maintenance screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured.
- If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone.
- If the Default Time Zone value is null, then the system will display an error message.
- Order Received Time zone will not be defaulted for system generated transactions.

Transaction Date

Date Format; Mandatory

Specify the transaction date.

Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order Received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order Received time breaches the fund cutoff, then transaction date arrives to next business date.

It is better understood by the below example:

Fund ID	FNSGP1		
Fund Time Zone	SGT		
Fund Cut Off	17:30		
Module Default Time Zone	HKT		
Time Zone	UKT	HKT	SGT

Fund ID	FNSGP1		
GMT+	00:00:00	08:00:00	08:00:00

Order Received within Cut off time		Order Received Post Cut off time	
Fund ID	FNSGP1	Fund ID	FNSGP1
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15

Examples on Transaction Date Derivation:

Notice Period	5 days
Trade Cut Off Applicable	No
Calendar basis	Actual
Transaction Type	02

Capture Transaction Date	Application Date	Cut Off	Transaction Date/ Override Transaction Date	ORD	ORT	Derived Transaction Date
Pre-Settle Trade	07-Jan-2015	12:00	07-Jan-2015	07-Jan-2015	15:00	12-Jan-2015
Future Date	07-Jan-2015	12:00	09-Jan-2015	07-Jan-2015	15:00	09-Jan-2015

Capture Transaction Date	Application Date	Cut Off	Transaction Date/ Override Transaction Date	ORD	ORT	Derived Transaction Date
Back Date	07-Jan-2015	12:00	06-Jan-2015	07-Jan-2015	15:00	06-Jan-2015
Application Date	07-Jan-2015	12:00	07-Jan-2015			07-Jan-2015

Note

- For the Pre-settled trade, system will arrive at the transaction date as Order Received Date + Notice period for the transaction.
- If ORT is after fund cut-off then, cut-off will be ignored and system will simply take ORD + NOTICE PERIOD to arrive at transaction date.
- If transaction date is overridden, system will derive the new settlement due date based on new price date.
- If derived transaction date is holiday, then next working date will be considered as transaction date.
- System generated transaction will not be considered for deriving transaction date and settlement due date for pre-settled funds.

Payment Mode

Alphanumeric; 2 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Payment Mode Description

Display

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

Transaction Number

Display

The system displays the transaction number.

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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Reference Number

Alphanumeric; 16 Characters; Optional

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.

Order Received Time (HH24:MI)

Time Format; Optional

Specify the order received time.

Note

Order Received Time will not be defaulted for system generated transactions.

Transaction Type

Alphanumeric; 1 Character; Optional

Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

Description

Display

The system displays the description for the selected Transaction type.

Transaction Category

Alphanumeric; 1 Character; Optional

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

Description

Display

The system displays the description for the selected Transaction category.

Transaction Value

Transaction Mode

Mandatory

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

- Amount
- Units
- Percent

Units Applied

Numeric; 27 Characters; Optional

Specify the units applied details.

You should specify the details in this field only if you have selected 'Transaction Mode' field as Units. Else, while clicking 'Enrich Transaction' button, the system will display an error message.

Amount Applied

Numeric; 27 Characters; Optional

Specify the amount applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Amount. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Percent Applied

Numeric; 27 Characters; Optional

Specify the percent applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Percent. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click on ‘Enrich Transaction’ button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of ‘Enrich Transaction’ button all the header fields will be disabled. Clicking ‘Enrich Transaction’ button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click ‘Reset Transaction’ button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking ‘Reset Transaction’ button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click ‘Reset Transaction’ button. Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied

- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

System generated transactions like Dividend, Corporate Actions, NAV corrections, Standing Instruction etc., will not consider notice period and due lag maintained for pre-settled funds.

Dates for transaction pertaining to pre-settle trade fund received via external system such as upload, GW, RS and SWIFT will be as provided in the upload file/request received. Based on the transaction date, price date and settlement due date will be driven.

Note

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
- If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The 'Reset Transaction' Button will be disabled, if UBS- Integration is enabled

Deriving the order received date and time

The system will validate the Fund cut off based on the Order received time and not the actual time the Transaction is captured in the system. The transaction date will be derived by the system based on these two fields. For instance, if the Fund Cut off is 14.00 hrs at a Fund level and the transaction is captured at 15.00 hrs in the system with the Order Received time as 13.00 then the system should validate the time maintained at Order Received time and not the time the transaction is actually captured. This will be considered as the same day transaction.

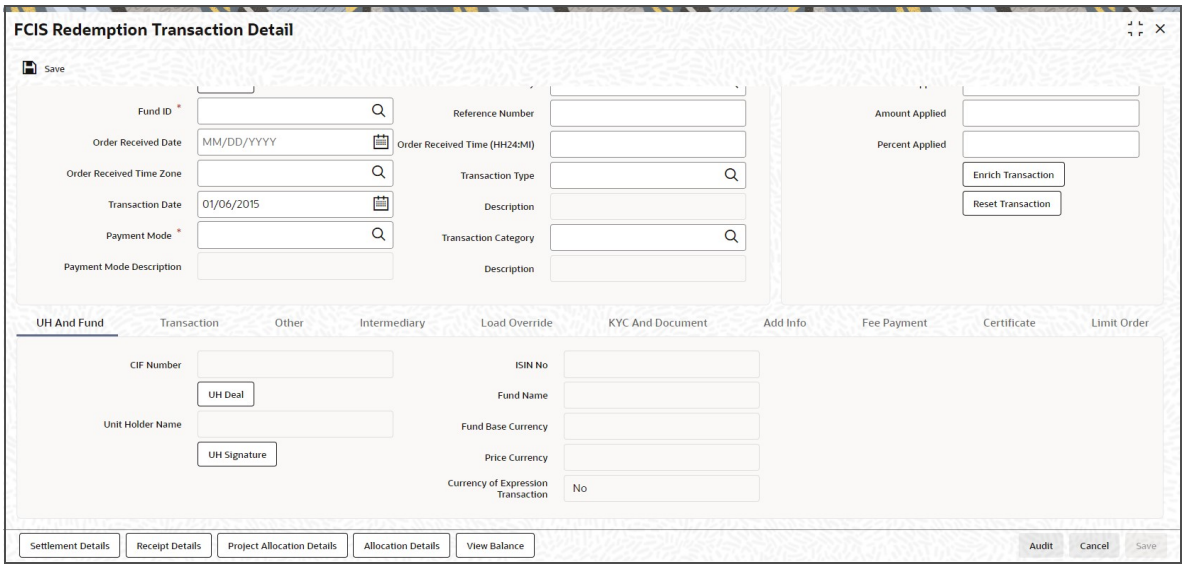
If all the below mentioned transactions are captured on 15-Oct-2012 at 16:00 hrs then the transaction dates will be derived as detailed below. In case the transaction date is amended then the system has to consider the amended transaction date. Post authorisation of the transaction, you cannot amend order received date and time.

Fund Cut off	Order Received Date	Order Received time	Transaction Date
14:00	15-Oct-2012	13:50	15-Oct-2012

Fund Cut off	Order Received Date	Order Received time	Transaction Date
14:00	15-Oct-2012	14:10	16-Oct-2012
14:00	14-Oct-2012	13:25	14-Oct-2012
14:00	14-Oct-2012	15:15	15-Oct-2012

4.12.2 UH And Fund Tab

Click UH And Fund tab in FCIS Redemption Transaction Detail screen.



The system displays the following values:

- CIF Number
- Unit Holder Name

Click ‘UH Signature’ button to upload the image.

Click on the UH Deals button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

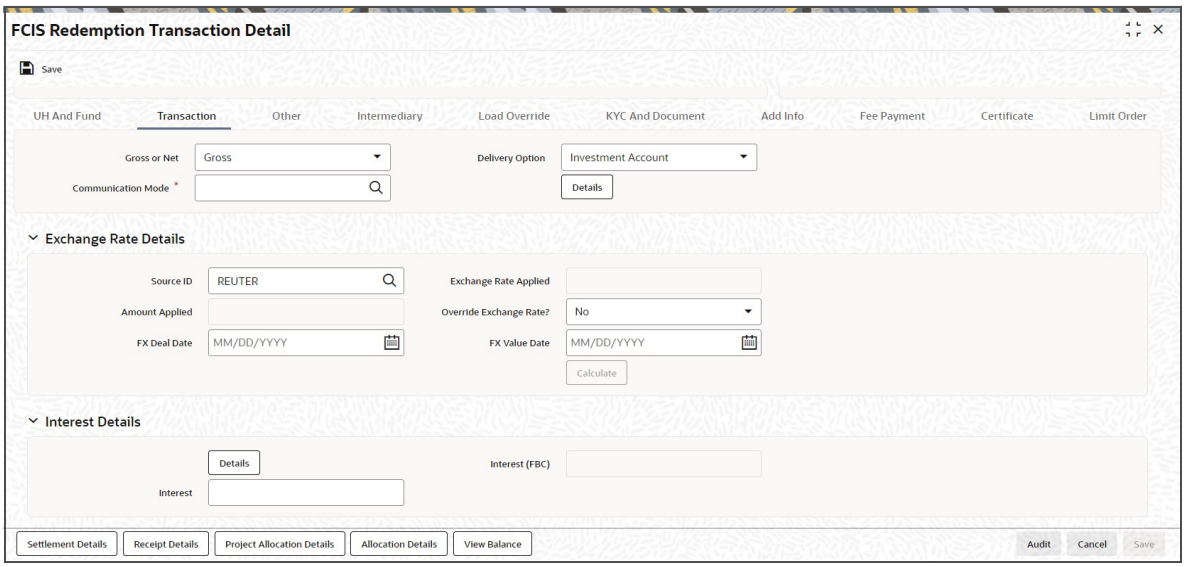
If the selected investor is eligible for tax-exemption, select the tax product in which the investor wishes to redeem units, in the Product ID field. When you select the product, you are indicating to the system that this transaction will affect the used up amount of the non-taxable limit set up for the selected unit holder in the Non-Tax Limits Setup options.

The system displays the following values:

- ISIN No
- Fund Name
- Fund Base Currency
- Price Currency
- Currency of Expression Transaction

4.12.3 Transaction Tab

Click on Transaction tab in the Redemption Transaction screen.



You can specify the following details:

Gross or Net

Optional

Select the net value exclusive of the loads from the drop-down list. The list displays the following values:

- Gross
- Net

Communication Mode

Alphanumeric; 2 Characters; Mandatory

Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

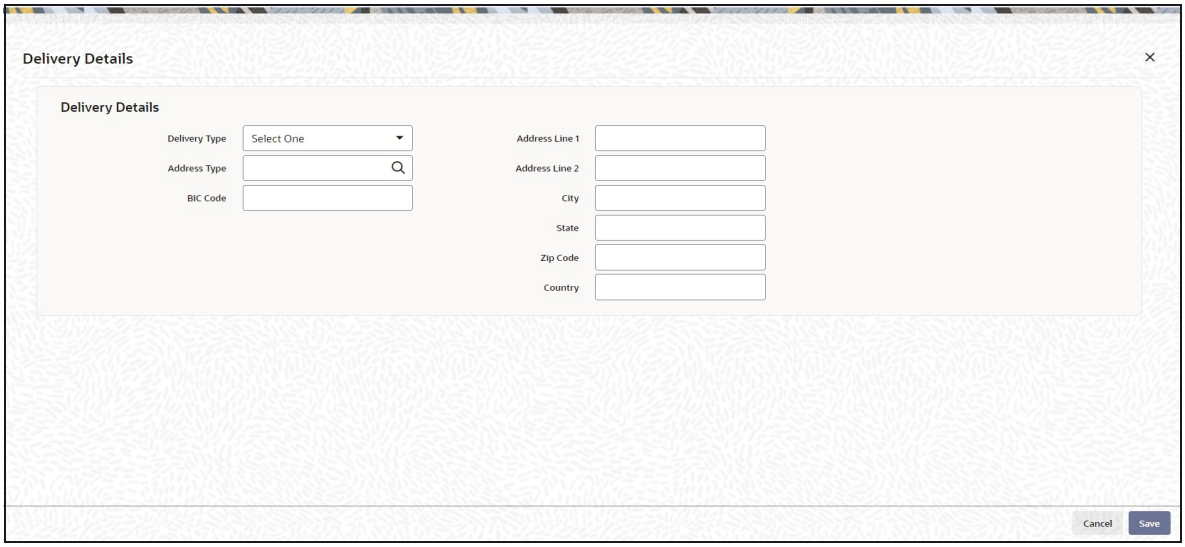
Delivery Option

Optional

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

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

Clicking ‘Details’ button, the ‘Delivery Details’ window will be opened, where in you can enter the following details:



Delivery Type

Optional

Select the type of delivery from the drop-down list. Following are the options available:

- Self
- Third Party

Address Type

Alphanumeric; 2 Characters; Optional

Specify the type of address. Alternatively, you can select address type ID from the option list.

The list displays all valid address maintained in the system.

BIC Code

Alphanumeric; 12 Characters; Optional

Specify the BIC code.

Address Line 1-2

Alphanumeric; 105 Characters; Optional

Specify the residing address of the customer.

City

Alphanumeric; 80 Characters; Optional

Specify the residing city code.

State

Alphanumeric; 80 Characters; Optional

Specify the name of the residing state.

Zip Code

Alphanumeric; 10 Characters; Optional

Specify the zip code of the residing area.

Country

Alphanumeric; 3 Characters; Optional

Specify the residing country code.

Exchange Rate Details

Source ID

Alphanumeric; 6 Characters; Optional

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

> **Note**
>
> Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Amount Applied

Display

The system displays the amount applied details.

FX Deal Date

Date Format; Optional

Specify the FX deal date.

Exchange Rate Applied

Display

The system displays the exchange rate applied details.

Override Exchange Rate?

Optional

Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values;

- Yes
- No

FX Value Date

Date Format; Optional

Specify the FX value date.

Interest Details

Interest

Alphanumeric; 30 Characters; Optional

Specify the interest details.

Interest (FBC)

Alphanumeric; Optional

Specify the fund base currency interest details.

Clicking ‘Details’ button, ‘Interest Details’ window is displayed.

For further details on this screen, refer ‘Transaction Tab’ sub section in IPO Subscription Detail section of this user manual.

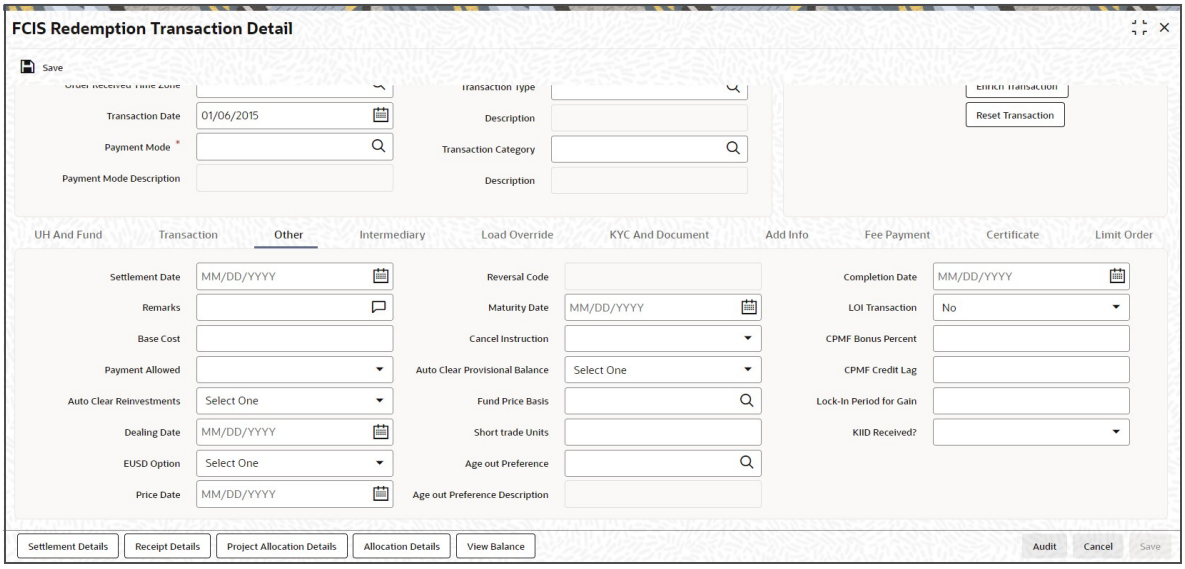
4.12.3.1 Dilution Levy Processing

To arrive at the dilution levy breach limit the inflow breach factor is considered. (Fund Corpus * inflow Breach Factor < Net Amount in FBC). Dilution Levy limit breach is validated against the gross transaction amount. If the gross transaction amount exceeds the dilution levy breach limit, then a warning message is displayed by the system. The dilution levy breach limit amount can be overridden at the transaction level. The overridden value is considered only if the transaction attracts dilution levy.

An EOD batch computes the aggregated net transaction amount at unit holder, fund and transaction type level. This batch is schedules before the allocation process. If the gross aggregated amount for Unit Holder, Fund and Transaction type combination is identified breaching, then a dilution levy fee is applied on all transactions of that fund, Unit Holder, and transaction type combination.

4.12.4 Other Tab

Click on 'Other' tab in the Redemption Transaction Detail.



You can specify the following details:

Settlement Date

Date Format; Optional

Specify the settlement date.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

Base Cost

Numeric; 6 Characters; Optional

Specify the base cost details.

Payment Allowed

Optional

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

- Yes
- No

Auto Clear Reinvestments

Optional

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

- Yes
- No

Dealing Date

Date Format; Optional

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund

EUSD Option

Optional

Select the EUSD option from the drop-down list. The list displays the following values;

- With Holding Tax
- Exchange of Information
- Tax Exemption Certificate

Price Date

Date Format; Optional

The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section 'Defaulting of Price Dates in the Transaction' Screens in this chapter. You can modify this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

Reversal Code

Display

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

Maturity Date

Date Format; Optional

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

Note

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

Cancel Instruction

Optional

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

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

Note

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

Auto Clear Provisional Balance

Optional

Select 'Yes' option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

Fund Price Basis

Alphanumeric; 6 Characters; Optional

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

Short Trade Units

Numeric; 27 Characters; Optional

Specify the short trade units.

If the unit holder is nominee account, only then system will allow you to capture the short trade units.

Applicable short trade units will be taken for applying penalty.

If short trade units is not entered, then the transaction allocation will follow the normal allocation process.

Age out Preference

Alphanumeric; 1 Character; Optional

Specify the age out preference from which we need to preferably redeem the units during outflow and is applicable for Redemption, Switch and Transfer screens. Alternatively, you can select age out preference from the option list. The list displays all valid age out preference code maintained in the system.

While saving a Redemption, Switch or Transfer based on 'Age out preference' value, the system will check for available balance in particular classification like CDSC or FEL. In case of insufficient unit balance, the system will display an error message. The system will consider unalloted transaction for unit balance check.

- In case of an unallotted unit based or percentage based transactions, the unallocated units will be directly identified from the transaction details.
- In case of un unalloted amount based transaction, the system will compute the unallotted units as follows:

  Unallotted units = Amount/ (Latest Available NAV * (1 - Fluctuation %)

  Fluctuation % is a system level param value that can be maintained in 'Parameter Maintenance' screen (UTDPARAM) considering the maximum fluctuation in price that can happen. The system maintains the Param Code as 'FLUCTUATIONPERCENT'.

If you have not specified 'Age out Preference' value for the transaction, then system will save the field as blank and will follow the fund level ageing logic.

During actual ageing if there is no sufficient units in respective classification, the system will redeem from available classification based on fund level ageing policy.

Based on the 'Age out preference' selection, the system will age out the transactions during outflow. If there is no sufficient balance in the respective buckets, then system will age out the transactions from other buckets based on fund rule ageing logic.

Age out Preference Description

Display

The system displays the description for the selected age out preference.

Completion Date

Date Format; Optional

The date on which the transaction is completed.

LOI Transaction

Optional

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

- Yes
- No

If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

CPMF Bonus Percent

Numeric; 30 Characters; Optional

Specify the percentage of CPMF bonus.

By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is 'Fixed', Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section ‘Maintaining Fund CPMF Preferences’ in the Fund Manager module.

CPMF Credit Lag

Numeric; 4 Characters; Optional

Indicate the lag for the CPMF bonus to be credited.

Lock-in Period for Gain Days

Numeric, 4 Characters; Optional

The default lock-in period for the funds where IOF/IRRF are applicable is defaulted here. This can however be modified.

Note

Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

KIID Received?

Optional

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

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the ‘UCITS Fund’ at the Fund level is ‘Yes’ and the UH mapping to the Fund in the ‘UH KIID Compliance’ tab is ‘NO’ then at the transaction level, the system will default the ‘KIID Complaint’ to ‘No’.

If the KIID Received is set to ‘No’, the system display an error message while saving the transaction as ‘The Unit holder has not received the KIID’.

If the flag is set to ‘YES’ there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

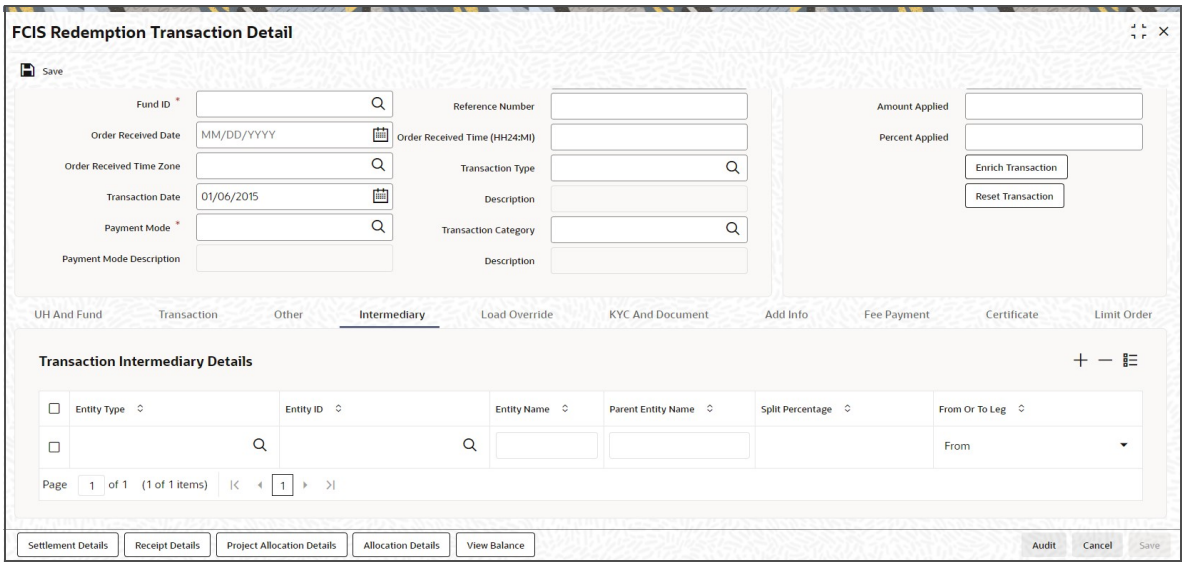
If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from ‘No’ to ‘Yes’ and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to ‘No’ and then you need to manually override it.

4.12.5 Intermediary Tab

Click on ‘Intermediary’ tab in the Redemption Transaction Detail screen



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

Entity Type

Alphanumeric; 1 Character; Optional

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Optional

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Display

When you select the broker code, the name of the broker is displayed.

Parent Entity Name

Display

When you select the broker code, the name of the parent broker for the selected broker is displayed.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

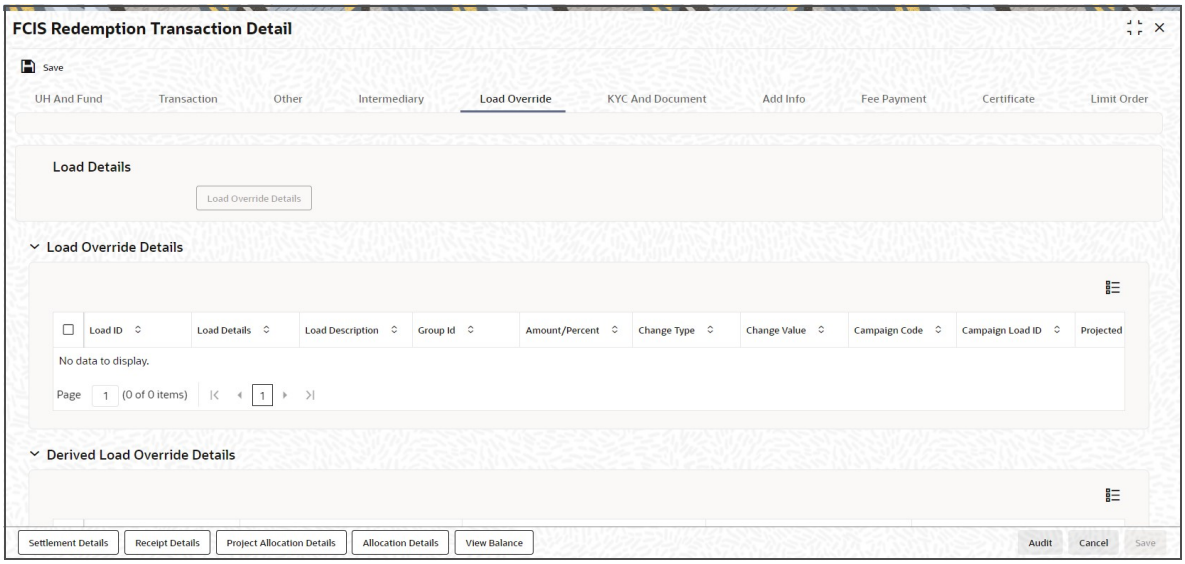
Optional

Select from or to leg details from the drop-down list. The list displays the following values:

- From
- To

4.12.6 Load Override Tab

Click on 'Load Override' tab in the Redemption Transaction Detail screen.



In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

Load Details

Load ID

Display

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

Load Details

Display

The system displays the load details.

Load Description

Display

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

Group ID

Display

The system displays the group ID.

Amount Percent

Display

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

This value will be validated against the minimum, maximum and step values specified for redemption transactions in the Transaction Processing Rules for the fund. It is also validated against the amount / units limit values maintained for both the communication mode selected for the transaction, and the investor category of the selected unit holder. A warning, which can be overridden, is displayed if the value is not within the limits.

If the client country option 'NETUNALLOTEDAMT' is set to true for your bank, then the system will match the units to be redeemed with the unit holder's current balance minus the un-allotted redemptions (if any). If the transaction value exceeds the balance available, the system will throw up an error message. It will not save the transaction.

If the transaction is being put through as a result of a check issued by an investor with the check writing facility, in a fund for which the check writing facility is allowed, the transaction amount that you specify here must fall within the minimum and maximum limits specified for the fund, for check redemption transactions.

For transactions by gross amount, a transaction value that exceeds the Minimum Amount for Tax ID that has been specified in the fund rules, the system validates the availability of the PAN Number in the unit holder account profile. If the PAN Number has not been specified in the profile, you must enter a transaction value that does not exceed the Minimum Amount for Tax ID value, or make a change to the unit holder account and specify the PAN Number, and then attempt to input the transaction.

If specified in the General Operating Rules for the fund, the End of Day processes perform the minimum holdings validation, by picking up all allocated transactions during the business day and grouping according to CIF-level or unit holder-level, as indicated in the General Operating Rules. During this, the system validates whether the current holdings balance of the investor either equals or exceeds the minimum holdings balance specified in the General Operating Rules.

Change Type

Display

The system displays the change type.

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

Change Value

Display

The system displays the change value details.

Campaign Code

Display

The system displays the campaign code.

Campaign Load ID

Display

The system displays the campaign load ID.

Projected Return Value

Display

The system populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking 'Enrich Transaction' in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

Note

For Period based slab load, projected return value will display the return value of the first sequence. However for the detailed slab details, user can use the load details button.

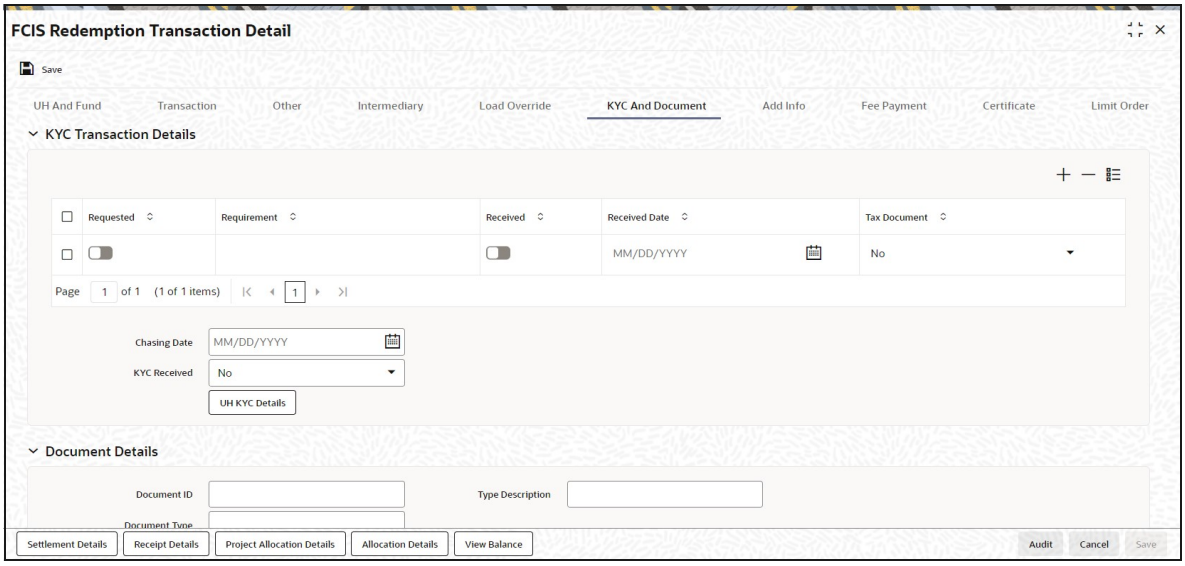
Derived Load Override Details

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value

4.12.7 KYC and Document Tab

Click on 'KYC and Document' tab in the Redemption Transaction Detail screen.



KYC Transaction Details

Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Mandatory

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

KYC Received

Optional

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

- Yes
- No

Document Details

Document ID

Alphanumeric; 25 Characters; Optional

Specify the document ID.

Document Type

Alphanumeric; 4 Characters; Optional

Specify the document type.

Type Description

Alphanumeric; 255 Characters; Optional

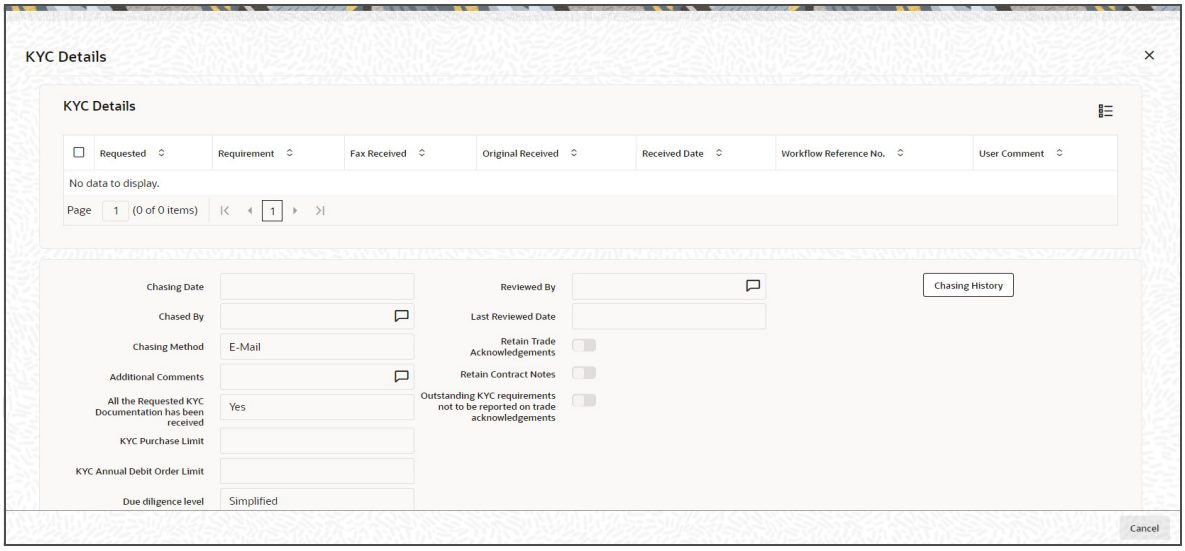
Specify the description for the type of document.

If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax Id, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC.

The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements.

> **Note**
>
> If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.



The details are populated from Unit Holder Maintenance screen (UTDUH).

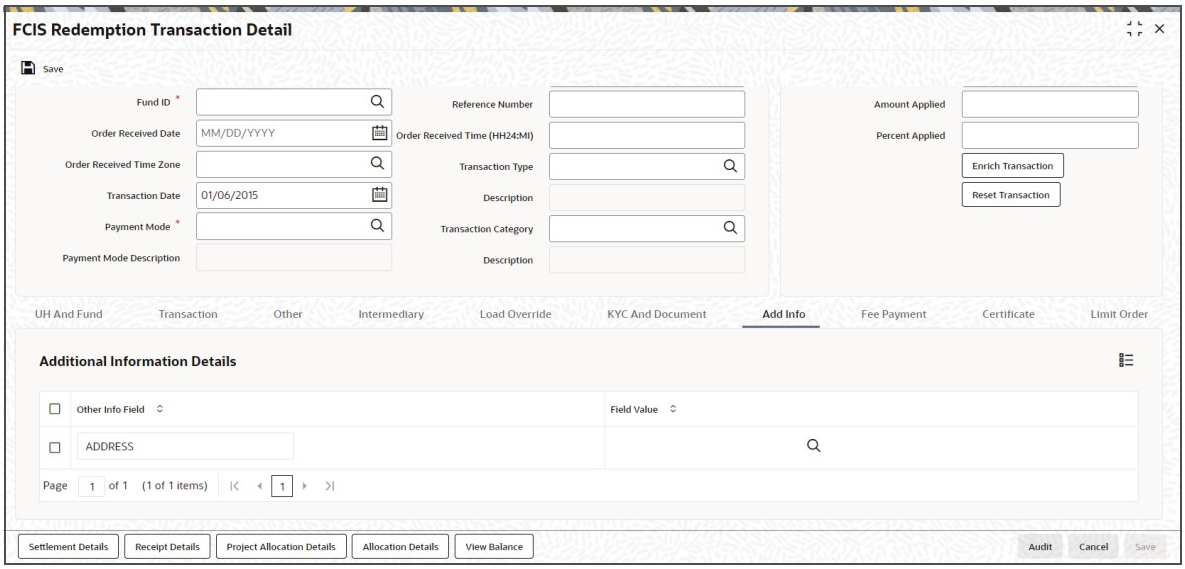
Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH. If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all

KYC received at UH level is ‘No’, then the system will display a warning message as ‘Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete’ during save of the transaction.

For further details on this screen, refer ‘KYC Details Tab’ in ‘Unit Holder Maintenance Detail’ screen (UTDUH) in Entities User Manual.

4.12.8 Add Info Tab

Click on ‘Add Info’ tab in the Redemption Transaction Detail screen.



Other Info Field

Display

The system displays the additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

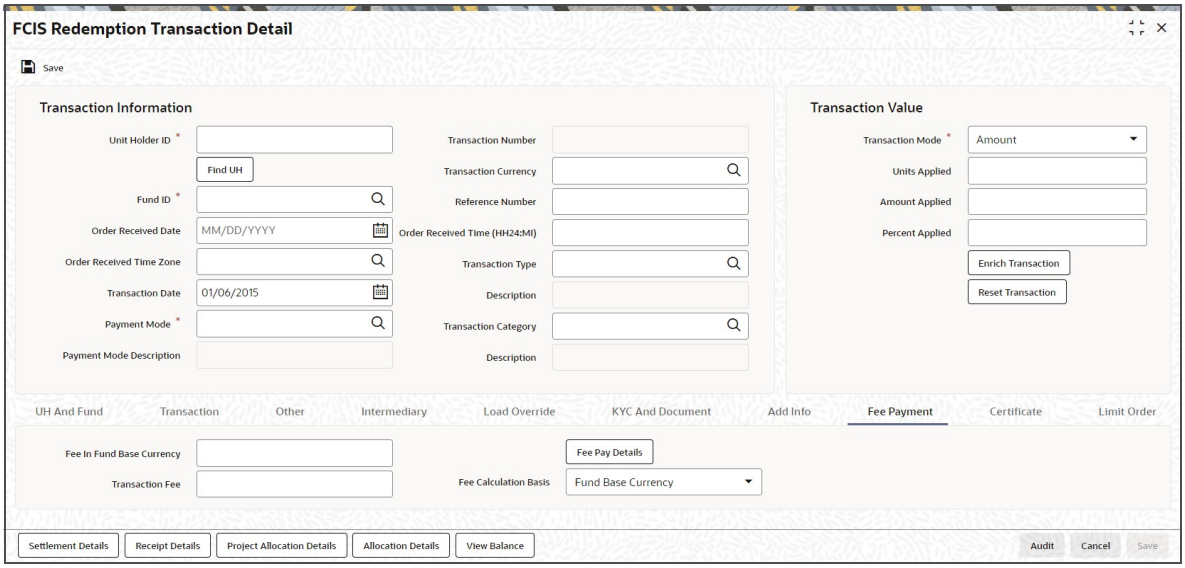
Field Value

Alphanumeric; 60 Characters; Optional

The system displays the field value.

4.12.9 Fee Payment Tab

Click on ‘Fee Payment’ tab in the Redemption Transaction Detail screen.



If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

Fee in Fund Base Currency

Numeric; 30 Characters; Optional

Specify the fee in fund base currency details.

Transaction Fee

Numeric; 30 Characters; Optional

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

Fee Calculation Basis

Optional

Select the fee calculation basis from the drop-down list. The list displays the following values:

- Fund Base Currency
- Transaction Currency

Click ‘Fee Pay Details’ button to specify fee payment details.

You can specify the following values:

Transaction Fee

Numeric; 30 Characters; Optional

Specify the transaction fee.

Payment Mode

Optional

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

- Cheque
- Transfer
- Draft

- Card

Bank

Alphanumeric; 12 Characters; Optional

Specify the bank details.

Branch

Alphanumeric; 12 Characters; Optional

Specify the branch code.

Cheque Number

Alphanumeric; 16 Characters; Optional

Specify the cheque number.

Cheque Date

Date Format; Optional

Specify the cheque date.

Transfer Branch

Alphanumeric; 12 Characters; Optional

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

Account Type

Optional

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

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

Account Number

Alphanumeric; 34 Characters; Optional

Specify the account number.

Clearing Date

Date Format; Optional

Specify the clearing date.

Account Holder Name

Alphanumeric; 100 Characters; Optional

Specify the name of the account holder.

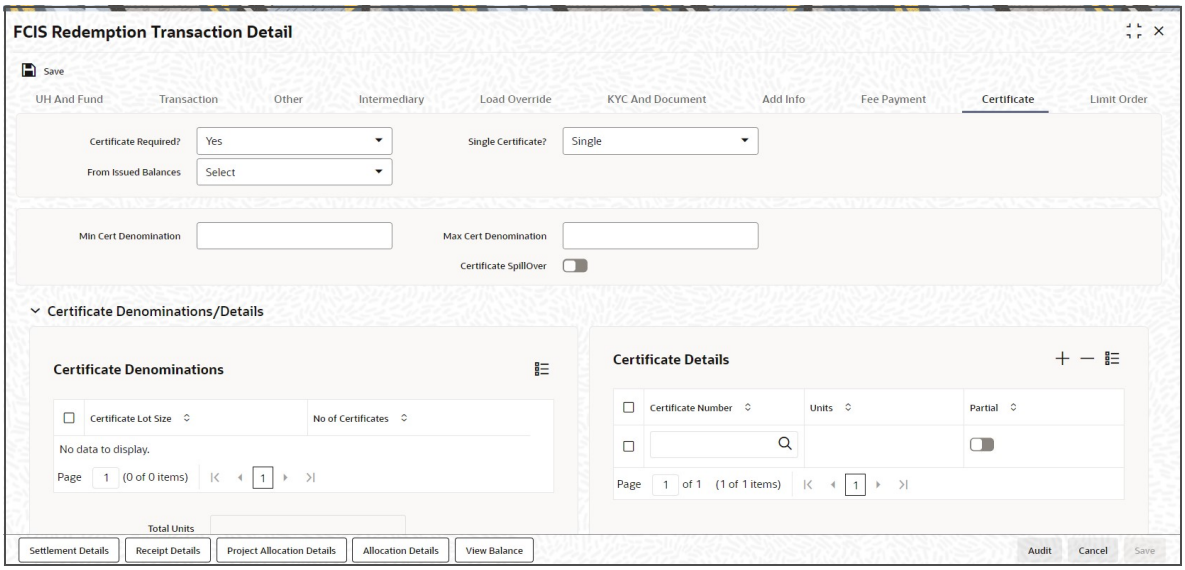
IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

4.12.10 Certificate Tab

Click Certificate tab in the Redemption Transaction Detail screen.



Certificate Required?

Optional

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

- Yes
- No

If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose 'Yes' in the Certificate Required field.

Single Certificate?

Optional

Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

Certificate Spillover

Optional

Check this box if certificate spillover is required.

Certificate Denominations/Details

Certificate Denominations

Certificate Lot Size

Display

The system displays the certificate lot size details.

No of Certificates

Display

The system displays the number of certificates.

Certificate Details

Certificate Number

Numeric; 10 Characters; Optional

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

Units

Numeric; 27 Characters; Optional

Specify the units details.

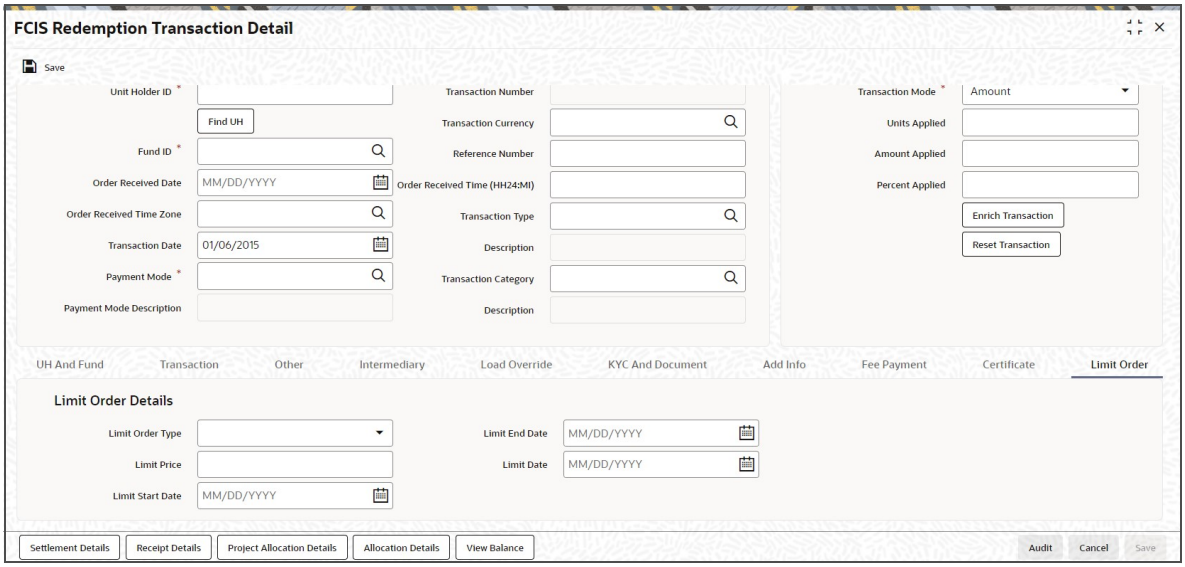
Partial

Optional

Check this box if partial details to be selected.

4.12.11 Limit Order Tab

Click on ‘Limit Order’ tab in the Redemption Transaction Detail screen.



Select the ‘Limit Order for Subscription’ (buy) option in the Type of Transaction field. The Limit Order section is enabled.

Limit Order Type

Optional

Select ‘Price Based’ in the Limit Order Type field. The options available in the drop-down are as follows:

- Price-Based
- Date Based

Limit Price

Numeric; 9 Characters; Optional

Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).

Limit Start and End Date

Date Format; Optional

Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.

Limit Date

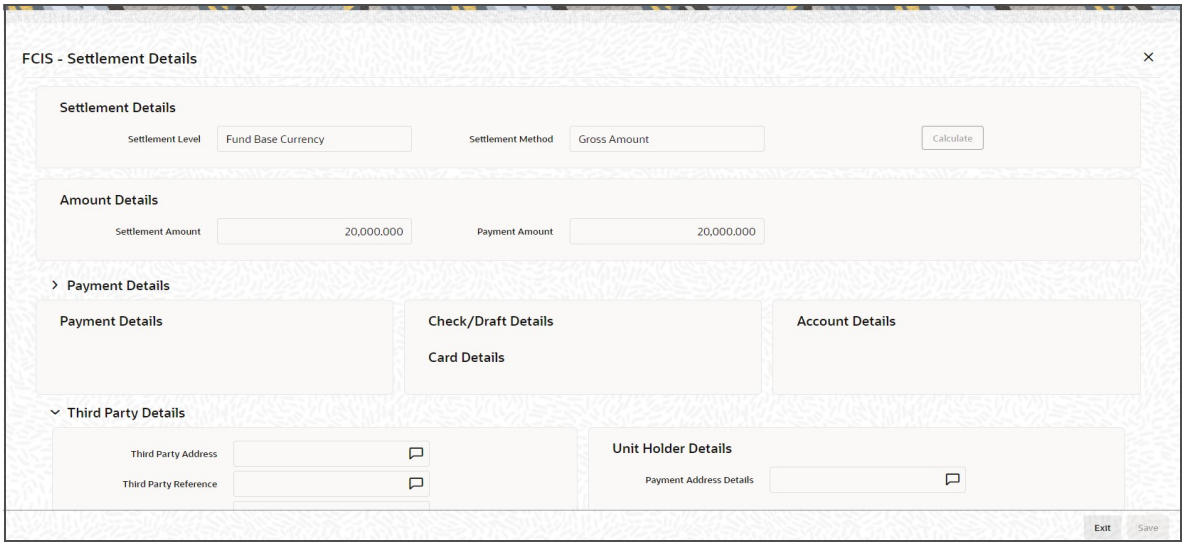
Date Format; Optional

To set up a date-based limit order, specify the following details in the Limit Order section:

- Select ‘Date Based’ in the Limit Order Type field.
- Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

4.12.12 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the ‘Settlement Details’ button to invoke the ‘Settlement Details’ screen.



Note

- If Settlement Due Date is given in any format of process that is upload/front-end/ gateway/ReST/SWIFT will be considered as user overridden settlement Due Date.

- For Pre-Settled Trade Funds, System will derive the settlement due date as Price Date plus due lag and in case settlement due date falls on a holiday, system will move to next payment currency working day and rule AFTER will be applied.

Error Messages for Settlement Details

S.NO	Validation	Type	Error code	Error Message
1	When user tries to settle a transaction after settlement due date, system will raise an error.	W	W-SETTLEMENTDUEDATE	Trade is Settled after Settlement Due Date.

For further details, refer 'Settlement Details Button' sub section in 'IPO Subscription Detail' section in this user manual.

4.12.12.1 Processing Multi Transactions

To process the outflow transactions, execute the 'Multiple Transaction Generation' batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

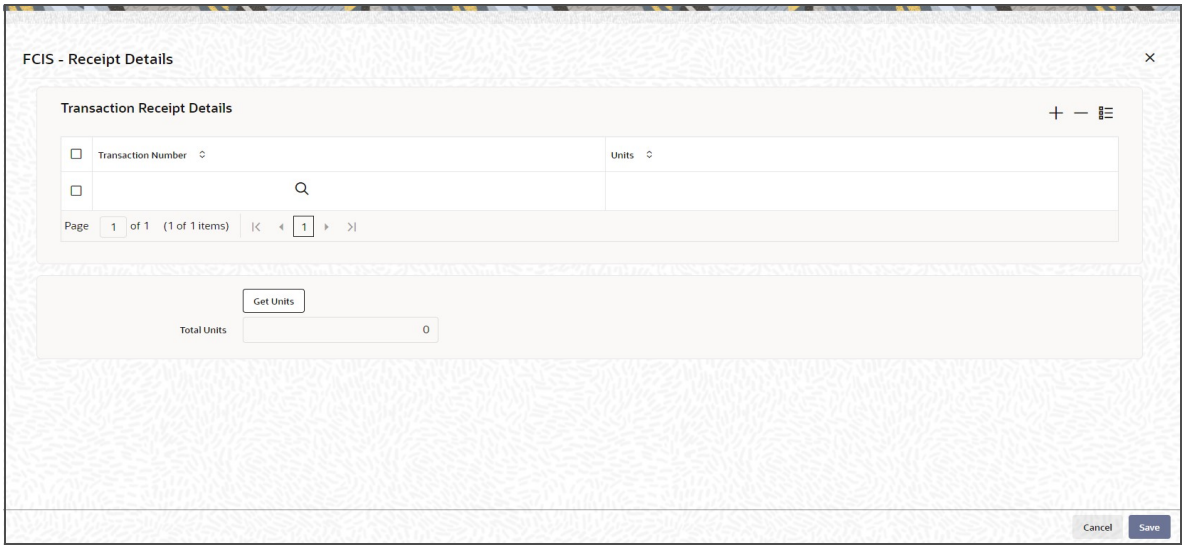
The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
- On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.

4.12.13 Receipt Detail Button

Click on 'Receipt Detail' button to invoke Receipt Details screen.



You can specify the following details:

Transaction Number

Alphanumeric; 16 Characters; Optional

Specifies the transaction number linked to the outflow transaction.

Units

Numeric; 22 Characters; Optional

Specify the units details.

Total Units

Display

The system displays the total number of units by clicking ‘Get Units’ button.

4.12.14 Project Allocation Details Button

At this stage, the transaction is ready to be saved. If you wish to see a projected picture of how the transaction would most possibly be allocated, then click the Project Allocation Details button.

You can view Dividend amount for each of the redemption transactions. This amount is the net payment amount payable along with the redemption post WHT and IDS being considered

You can view the projected allocation details only for funds in which the ageing policy is FIFO (first-in, first-out) or Transaction Receipts. If the prices are not available for subscription transactions on the transaction date, the latest available price is picked up for allocation.

For validating dilution levy breach amount, the system does a project allocation for the transaction and then calculates the net amount of the transaction.

When you request the allocation process, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a ‘mock’ temporary allocation, and displays the details of the same in the Allocation Projection screen. The following allocation details are displayed:

- The Fund ID
- The Product ID
- The Unit Price for the transaction, as on the date of the temporary allocation.

- The Allocation Price
- The Gross amount in fund base currency
- The Settlement Amount in transaction currency
- The Linked Product ID
- The Load amount in fee currency
- The number of units allocated
- The Base Price
- The total load amount
- The Net amount in fund base currency
- The Settlement Amount in Price Currency
- The Linked units
- The Unit Balance

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- Load Amount
- Load amount in fee currency
- VAT Amount in Fee Currency

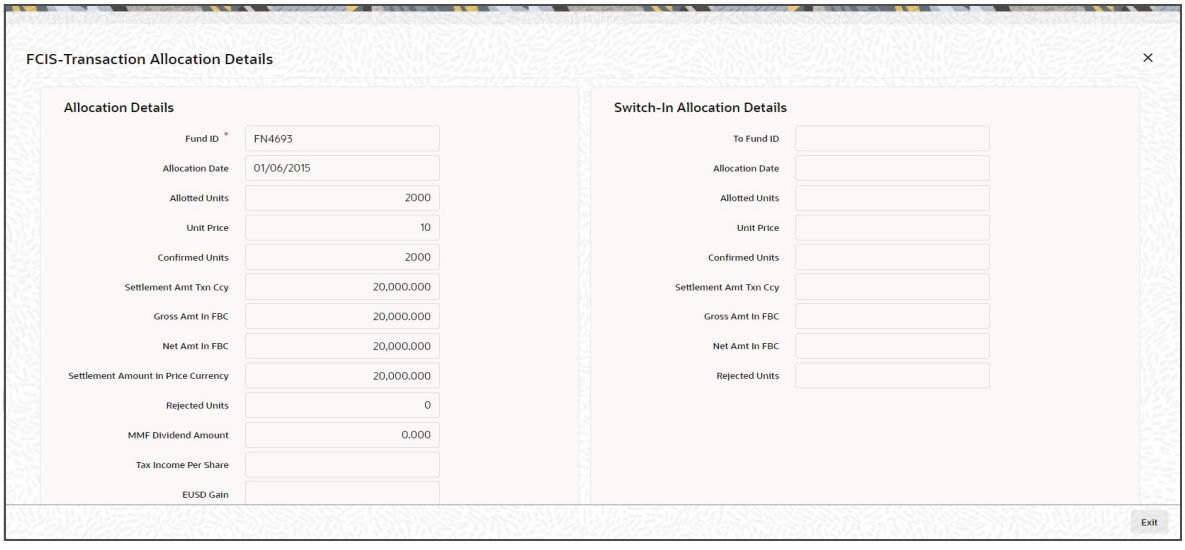
The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- InOutFlag
- Element Identification
- Element Description

After you have viewed the projected allocation details, click Close button to close the screen.

4.12.15 Allocation Details Button

Clicking ‘Allocation Details’ button, the following screen is displayed:



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

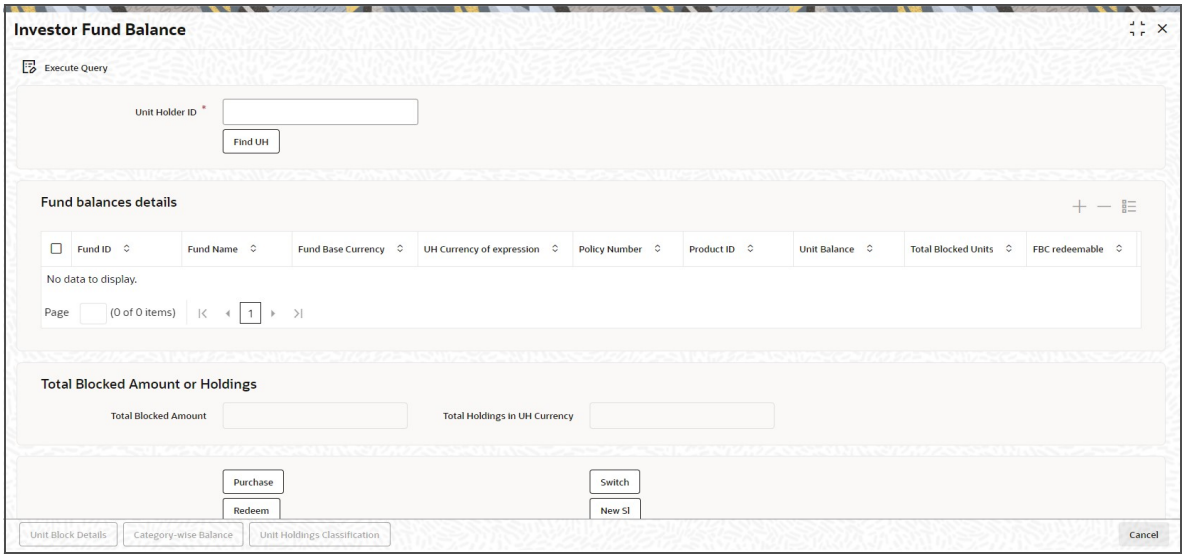
CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name'
- Tax Amount

4.12.16 View Balance Button

Clicking 'View Balance' button, 'Investor Fund Balance' screen is displayed:



Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. Alternatively, you can select unit holder ID form the option list.

You can also search for unit holder ID by clicking ‘Find UH’ button.

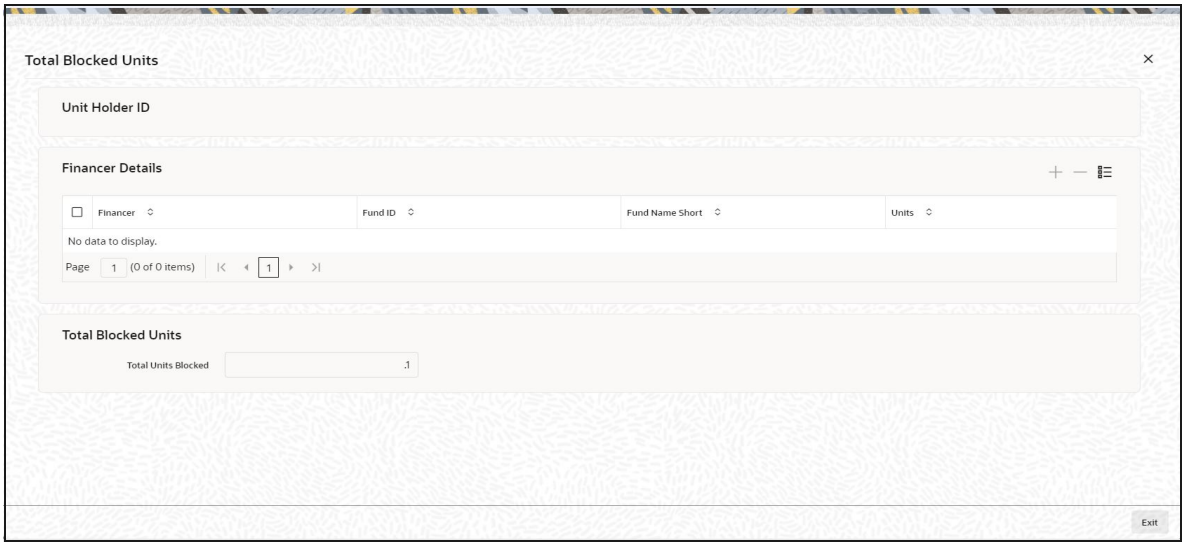
Click ‘Execute Query’ button to view the following fund balance details:

- Fund ID
- Fund Name
- Fund Base Currency
- UH Currency of Expression
- Policy Number
- Product ID
- Unit Balance
- Total Blocked Units
- FBC redeemable
- FBC Holding
- UHBC Redeemable
- Average Cost
- Provisional Units
- UHBC Holding
- Balance in Currency of Expression
- UH Preferred Currency
- Balance in UH Preferred Currency
- G1 Units
- G2 Units

The system also displays the Total Blocked Amount or Total Holdings in UH Currency.

4.12.16.1 Unit Block Details Button

You can also view financier and fund-wise blocked units and total number of units blocked in the ‘Total Block Units’ screen. You can invoke this screen by clicking the ‘Total Blocked Units’ button in the ‘Investor Fund Balance Summary’ screen.



The system displays the following values:

- Unit Holder ID

- Financier Details
  - Financer
  - Fund ID
  - Fund Name Short
  - Units
- Total Blocked Units

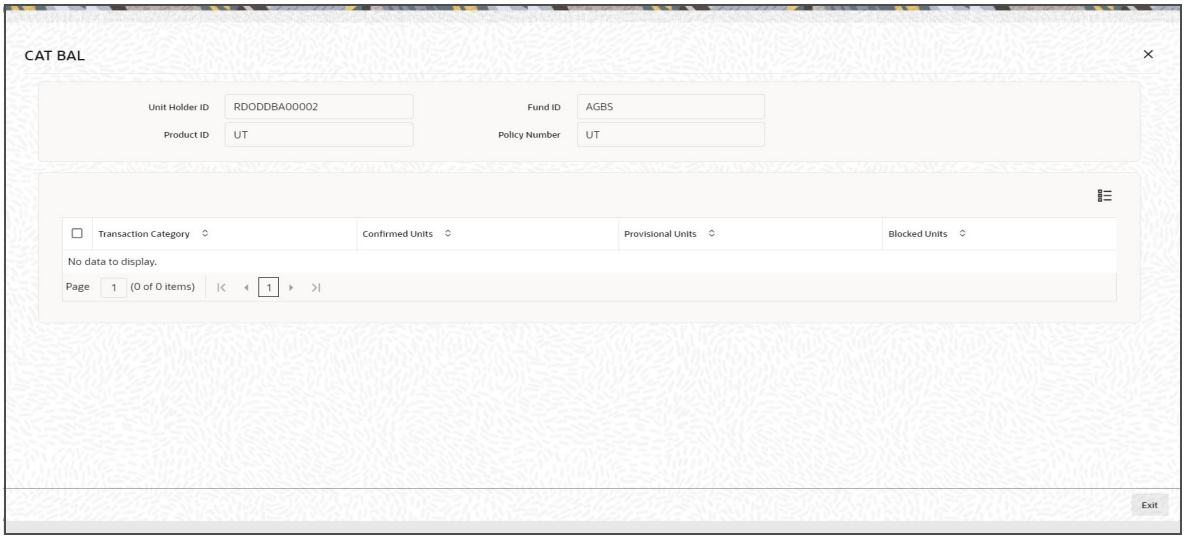
During block transaction, if the financier name is not maintained, then all the records will be categorized and consolidated under financier as ‘Others’.

Note

You will be able to open the subscription /redemption/switch/SI screens from the Client Enquiry Fund Balances screen provided you have the SMS rights to open and transact in those screens.

4.12.16.2 Category-wise Balance Button

You can also view transaction category and unit holder details in the ‘CAT BAL’ screen. You can invoke this screen by clicking the ‘Category-wise Balance’ button in the ‘Investor Fund Balance Summary’ screen.

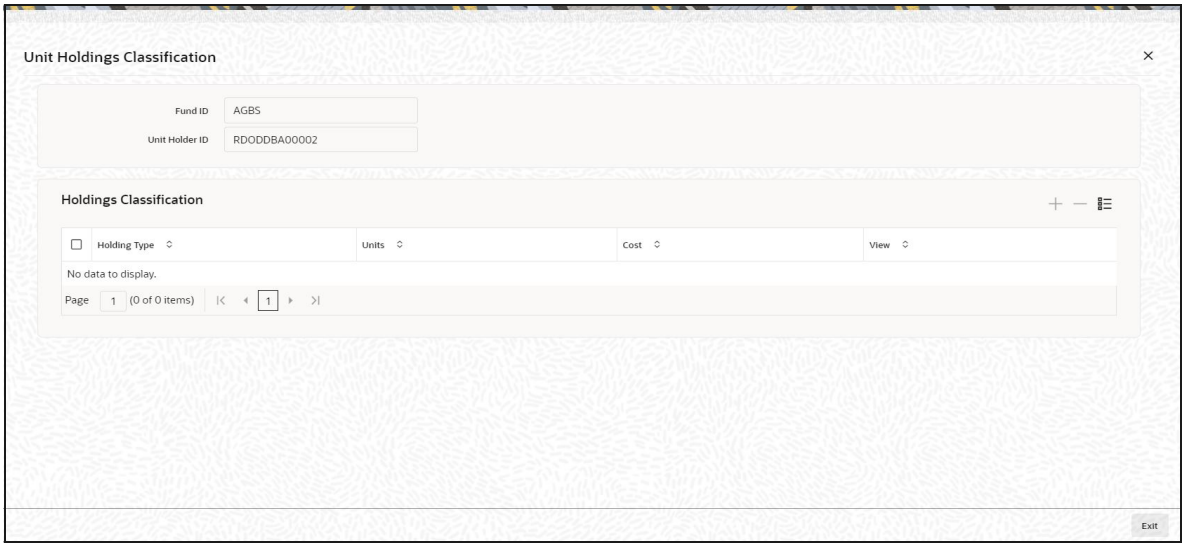


The system displays the following values:

- Unit Holder ID
- Fund ID
- Product ID
- Policy Number
- Transaction Category
- Confirmed Units
- Provisional Units
- Blocked Units

4.12.16.3 Unit Holdings Classification Button

You can view unit holder holdings classification details in ‘Unit Holder Holdings Classification’ screen. You can invoke this screen by clicking the ‘Unit Holdings Classification’ button in the ‘Investor Fund Balance Summary’ screen.



Unit Holder ID

Display

The system displays the unit holder ID for which holding details will be displayed based on the value selected in ‘Consolidate Enquiry Screen’ (UTSCOINQ).

Fund ID

Display

The system defaults the fund ID for which holding details will be displayed based on the fund that is selected in the ‘Investor Fund Balance Details’ grid.

You need to select only one fund from the Fund Balance Detail grid.

Holding Classification

Display

The system displays the unit classification based on the fund selected.

Total Units

Display

The system displays the total sum of units for the corresponding classification.

Cost

Display

The system displays the total cost of the unit holdings for the classification.

The detail section will be populated with corresponding details as the case of on-shore or off-shore fund

For on-shore fund, the system displays the FEL/ CDSC holdings summary.

For off-shore fund holdings will be grouped into 2 different categories based on the Transaction Currency.

- All transaction with Transaction currency as Installed Entity Base Currency (TWD) (refers to AMC base currency)
- All transaction with Transaction currency other than Installed Entity Base Currency.

Click ‘View’ button to view the details of the selected unit classification. On click of ‘View’ button Holding Details screen will be launched.

The system displays the units holding and the cost for following classifications:

- Holding Type: CDSC, FEL, TWD etc.
- Transaction Type: Subscription, RSP
- Certificate option: Certificate or non-Certificate
- Redeemable: Redeemable or Blocked
- Units: Current units balance for the said classification
- Cost: Cost of the current unit holdings

Clicking ‘Purchase’ button, ‘FCIS Subscription Transaction Detail’ screen is displayed. After specifying the necessary details, save the transaction to purchase the same.

Clicking ‘Redeem’ button, ‘FCIS Redemption Transaction Detail’ screen is displayed. After specifying the necessary details, save the transaction to redeem the same.

Clicking ‘Switch’ button, ‘FCIS Transaction Switch Detail’ screen is displayed. After specifying the necessary details, save the transaction to switch the same.

Clicking ‘New SI’ button, ‘FCIS Standing Instructions Detail’ screen is displayed. After specifying the necessary details, save the standing instruction.

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation. If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session timeout. This is applicable for both online and gateway users.

Specify Intermediary Details, Override Allocation Loads and Document Details, if necessary.

- Alternatively, the following information may also need to be captured before you save a redemption transaction.
- In the Intermediary section, ensure that all the identified brokers for the unit holder, that have not been disabled as on the application date, have been selected, and that the commission split percentages for all selected brokers sum up to one hundred percent.
- In the Load Override section, you may need to override an allocation-frequency charge or load. There are three options available for such overrides - Discount, Return Value and Increase. ‘Discount’ will reduce the slab value by the specified percent/amount for all slabs. ‘Increase’ will increase the slab value by the specified percent/amount for all slabs. ‘Return Value’ will change the return value for all the slabs to the specified percent/amount.

- In the Document Details section, you may need to capture the document id of the unit holder. You can either enter the document id or choose the same from the option list provided. This section will be enabled only if your installation is integrated with DMS.
- You can now save the transaction.

4.12.17 Transaction Processing Logic for Currency of Expression Funds

The system defaults the UH currency of expression in the 'Transaction Currency' field, if available, during transaction capture based on UH and fund combination.

If there is no UH currency of expression maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (UTDUHCOE). The defaulted currency of expression in the UHCOE maintenance will be as system user.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field (Transaction capture) and if you override this defaulted currency to one of the FPC (from the fund level new) then upon authorization of the transaction FPC will be defaulted as UHCOE at the UHCOE maintenance.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field and if you override this defaulted currency to neither FBC/FPC, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance.

Following are the system behaviour in case there is an unauthorized or a modified and unauthorized UHCOE maintenance:

Case 1: You need to input a transaction when there is an unauthorized UHCOE maintenance. During transaction input there is not UHCOE to be defaulted as the maintenance is still in unauthorized status. Hence as per logic Fund base currency defaults during transaction capture and this fund base currency will not get defaulted to UHCOE maintenance. Once the UHCOE maintenance is authorized then defaulting will happen during transaction capture.

Case 2: Authorized UHCOE is modified which is still in unauthorized status. In this case if you input a transaction, then the new modified UHCOE will get defaulted during transaction input.

4.12.17.1 FX Logic

The FX rate will not be considered between transaction base currency and fund price currency for currency of expression fund transactions if they are same. This is applicable for subscriptions, redemptions and switch (normal and pseudo) transactions.

The system will use the transaction price currency to get the load; and after applying the load, the net amount and gross amount will get calculated in fund price currency and FBC as well. The currency of expression factor is applied to derive values in fund base currency. The net, gross and load amount will be calculated in currency of expression for a currency of expression transaction and using the COE factor the same is stored in fund base currency only. For a transaction placed using one of the fund price currency; in the project allocation/ allocation tab, the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

For currency of expression transactions the exchange rate applied field during transaction capture will be defaulted to '1'. If you change it, then while saving, the system will display warning message as 'This is a currency of expression transaction and exchange rate will be defaulted to 1 by the system'. This message is shown if do not click the 'Enrich' button after

changing the exchange rate. The amount applied field will show the values in fund base currency.

If you change the exchange rate and click ‘Enrich’ button, then the system default the value to ‘1’ while saving without any warning message.

Note

The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

If there is no price available for the fund price currency during transaction input, the system will use the par value to arrive at the price. While saving the transaction, the system will display an override message as ‘Price not available for the price currency and the system will use the par value for the transaction’. If you continue, then the system will use the par value for processing the transactions. The unit price in project allocation will display FPC price. This logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

4.12.17.2 Processing Unit Holder Currency of Expression

You can select Fund Base currency as currency of expression. There will be no restriction in changing/ amending the currency of expression any number of times against an UH and fund combination.You can maintain only one currency as currency of expression for a UH- Fund combination.

If a UH is closed and reopened then the corresponding action will not happen for the unit holder currency of expression maintenance. The UHCOE maintenance will get closed once the UH is closed but you have to manually reopen the currency of expression for the unit holder fund combination. In case, you do not reopen the UHCOE maintenance after UH reopening, and simultaneously input a transaction, then the system will not apply COE defaulting logic at UHCOE maintenance as there is already a record available for reopen.

Note

After maintaining the unit holder currency of expression, if one of the FPC is removed (at the fund level) and that currency is UHCOE for a UH, then defaulting at transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC (this will be a normal cross currency case). At the UHCOE maintenance this will be operationally controlled.

4.12.17.3 Processing Fund Price Maintenance

The system will validate at the time of fund price capture whether price is being maintained for the Fund in fund price currencies. If it is not maintained. then the system will display warning message as ‘Prices for all currencies are not maintained do you wish to continue?’

The Pre EOD checks ‘Number of Non Pre-Settled Funds for which Fund Price has not been entered’ will be changed to check whether price in FPC have been maintained for the day in the system. For the Pre-Settled trade funds, the Pre-EOD check ‘Number of Pre-Settled Trade Funds for which Fund Price has not been entered’ is maintained to list funds along with details such as fund Id, currency and effective date.This will be mandatory check. If the

system does not find the price in currency of expression, then the transaction entered in currency of expression will not be allotted.

The Units will be allocated using respective currency of expression/ fund price if the transaction is done in currency of expression. If the transaction is done in fund base currency then the allocation will take place by taking the fund price captured in fund base currency. If the transaction is done in a currency which is other than FBC or currency of expression then the allocation of units will be done using prices captured in FBC.

Fluctuation percentage will be applicable for FPC's as well. For project allocation, the system will take the latest available price and show the project allocation.

In case of menu allocation if the price is not available then the system will not allocate the transactions.

4.12.17.4 NAV Correction impact for fund price currencies

If the NAV is corrected for fund price currency, say, for instance, GBP and the amend transaction is set to Yes; then all the transactions will be corrected with the new NAV price for the fund price currency (GBP). In case the amend transaction is set to No; the new price will not be corrected at transaction level. 'Reflect in Trading' field will not be impacted.

4.12.17.5 Currency of expression logic applied during Transactions

Case 1: If transaction base currency is not a part of the fund price currency and UH COE is not maintained

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the fund base currency will be defaulted as the unit holder's currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

Case 2: Transaction Currency is part of the Fund Price Currency and UHCOE is not maintained

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder's currency of expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

Post the transaction authorization, the fund price currency/FBC has to be defaulted as UH preferred currencies at the UHCOE maintenance. (Post authorization user will not be able to amend the TBC hence defaulting will be post authorization).

Case 3: Transaction Currency is part of the Fund Price Currency and UHCOE is maintained

If Transaction base currency is other than the Unit holder's currency of expression and the Unit Holder already has a UH COE for this fund, then while saving, the system will display warning message as 'The transaction currency is not the currency of expression for the unit holder'.

UHCOE = FPC and TBC $\neq$ UHCOE

Note

The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UHCOE will be defaulted as Transaction currency.

4.12.17.6 System logic to derive the Price Currency

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

4.12.17.7 Switch Logic for currency of expression

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

4.13 Redemption Transaction Summary

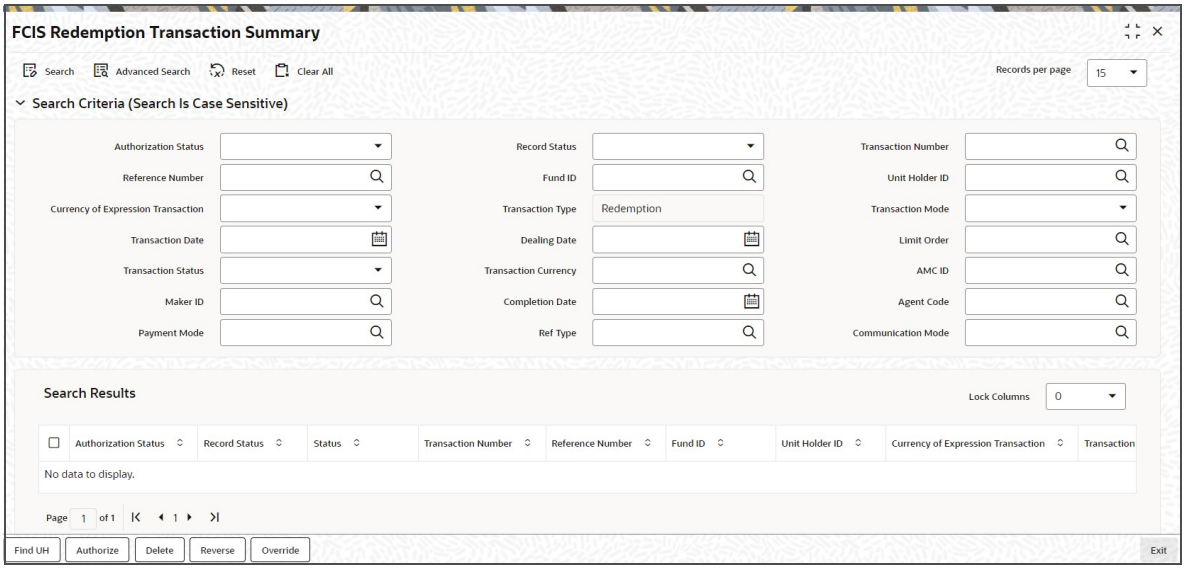
This section contains the following topics:

- Section 4.13.1, "Retrieving a Record in Redemption Transaction Summary Screen"
- Section 4.13.2, "Editing Redemption Transaction Record"
- Section 4.13.3, "Viewing Redemption Transaction Record "
- Section 4.13.4, "Deleting Redemption Transaction Record"
- Section 4.13.5, "Authorizing Redemption Transaction Record "
- Section 4.13.6, "Amending Redemption Transaction Record "
- Section 4.13.7, "Authorizing Amended FCIS Redemption Transaction Record "

4.13.1 Retrieving a Record in Redemption Transaction Summary Screen

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

Invoke the ‘FCIS Redemption Transaction Summary’ screen by typing ‘UTSTXN03/ UTSTRA03’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the ‘Blank Space’ option, then all records are retrieved
- Transaction Number
- Fund ID
- Currency of Expression Transaction
- Transaction Mode
- Dealing Date
- Transaction Status
- AMC ID
- Completion Date
- Payment Mode
- Communication Mode
- Reference Number
- Unit Holder ID
- Transaction Type
- Transaction Date
- Limit Order
- Transaction Currency
- Maker ID
- Agent Code
- Ref Type

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

Example:

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

- Search by A% :- System will fetch all the records whose Transaction Number starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Transaction Number ends by numeric value' 7'. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Number contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

4.13.2 Editing Redemption Transaction Record

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

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

Click Save to save your changes. The FCIS Redemption Transaction Detail screen is closed and the changes made are reflected in the FCIS Redemption Transaction Summary screen.

4.13.3 Viewing Redemption Transaction Record

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

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

4.13.4 Deleting Redemption Transaction Record

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

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

4.13.5 Authorizing Redemption Transaction Record

- An unauthorized FCIS Redemption Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Redemption Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.13.6 Amending Redemption Transaction Record

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

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

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

4.13.7 Authorizing Amended FCIS Redemption Transaction Record

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

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

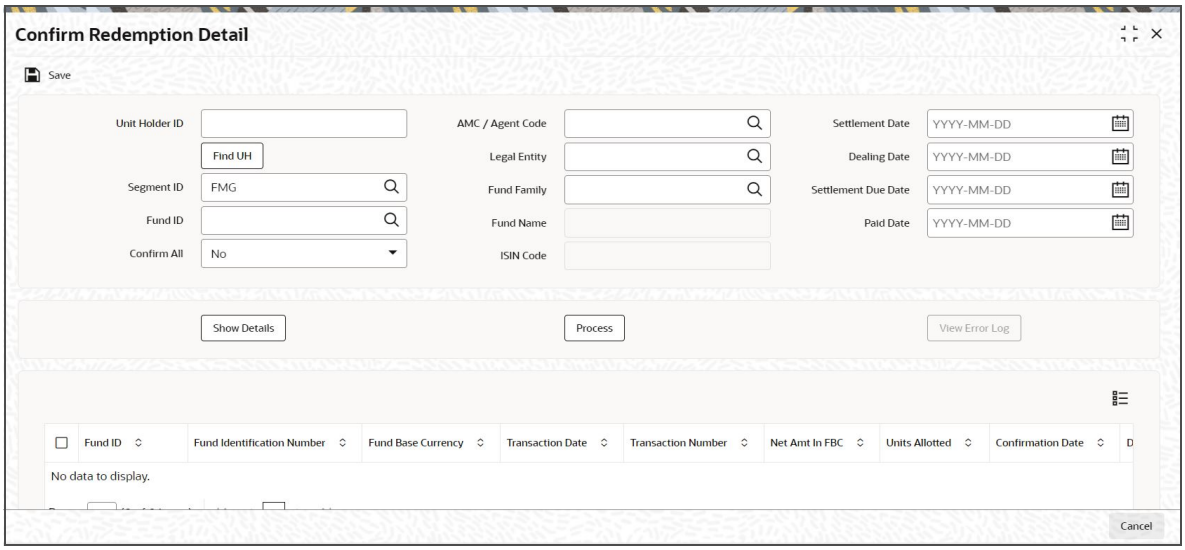
4.14 Redemption Confirmation

This section contains the following topic:

- Section 4.14.1, "Invoking Redemption Confirmation Screen"
- Section 4.14.2, "Show Details Button"
- Section 4.14.3, "Process Button"
- Section 4.14.4, "View Error Log Button"

4.14.1 Invoking Redemption Confirmation Screen

You can confirm redemption transaction using 'Confirm Redemption Detail' screen. You can invoke this screen by typing 'UTDCNRED' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID.

Segment ID

Alphanumeric; 12 Characters; Optional

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

Note

Segment ID is mandatory in Global Transfer Agency(GTA) Setup. In Non GTA Setup, Segment ID will be defaulted to value 'FMG'.

Fund ID

Alphanumeric; 6 Characters; Optional

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

Confirm All

Optional

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

- Yes
- No

Clicking 'Yes' option, the system will clear the transaction details irrespective of trades chosen individually for confirmation or not. That is, if 'Process' button is clicked with 'Confirm All' option is 'Yes' then all the trades pertaining to the selected criteria will be confirmed irrespective of whether trades have been individually selected or not.

AMC / Agent Code

Alphanumeric; 12 Characters; Optional

Specify the AMC or agent code. Alternatively, you can select the AMC or agent code from the option list. The list displays all the valid AMC or agent codes maintained in the system.

Legal Entity

Alphanumeric; 6 Characters; Optional

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

Fund Family

Alphanumeric; 6 Characters; Mandatory

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

Fund Name

Display

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

ISIN Code

Display

The system displays ISIN code for the selected fund ID.

Settlement Date

Date Format; Optional

Select the settlement date from the adjoining calendar.

Dealing Date

Date Format; Optional

Select the dealing date from the adjoining calendar.

Settlement Due Date

Date Format; Optional

Select the settlement due date from the adjoining calendar.

Error Message for Settlement Due Date:

S.NO	Validation	Type	Error code	Error Message
1	When user tries to confirm the redemption before settlement due date, system will prompt an error.	E	E-INVCONF-SETTDATE	Confirmation cannot be done before Settlement Due Date.

Paid Date

Date Format; Optional

Select the paid date from the adjoining calendar.

4.14.2 Show Details Button

Clicking 'Show Details' button, the system will display the following details:

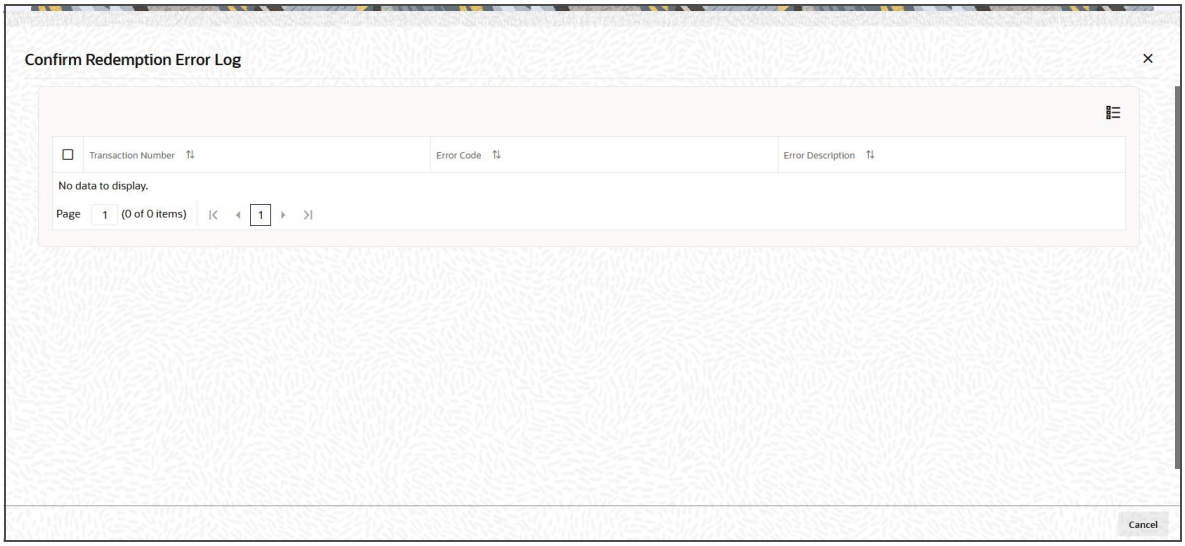
- Fund ID
- Fund Identification Number
- Fund Base Currency
- Transaction Date
- Transaction Number
- Net Amount in FBC
- Units Allotted
- Confirmation Date
- Dealing Date
- Settlement Due Date

4.14.3 Process Button

if 'Process' button is clicked with 'Confirm All' option is 'Yes' then all the trades pertaining to the selected criteria will be confirmed irrespective of whether trades have been individually selected or not. The system will display a confirmation message as 'Choosing this option will pick all the transactions matching the criteria for processing. Do you want to continue?'

4.14.4 View Error Log Button

Clicking 'View Error Log' button, the following window is displayed:



The system will persist the error and the failed records will be shown along with the error description. The following values are displayed:

- Transaction Number
- Error Code
- Error Description

The following types of errors will be considered:

- Stop account Errors for redemption settlement
  - Stop Account is issued for redemption Settlement to this Unitholder
- Confirmation date cannot be less than transaction date
- Settlement process related
  - Redemption transaction is not allotted
  - Settlement is not matching with the total payment amount
- General error – Redemption confirmation failed
- If Client country 'REDCONFCCYCHECK' is ON then the system will check transaction currency for holiday. If it is OFF, then the system will check for fund calendar. The system will display an error message as 'Date entered is a holiday'.

If entered confirmation date is greater than date allotted and confirmation lag, then the system will display an error message as 'Confirmation date is greater than allowed limit'.

Note

- Confirmation will happen on/after the Redemption Settlement Due Date.
- Confirmation lag will not be considered for Pre-Settled Trade Funds.

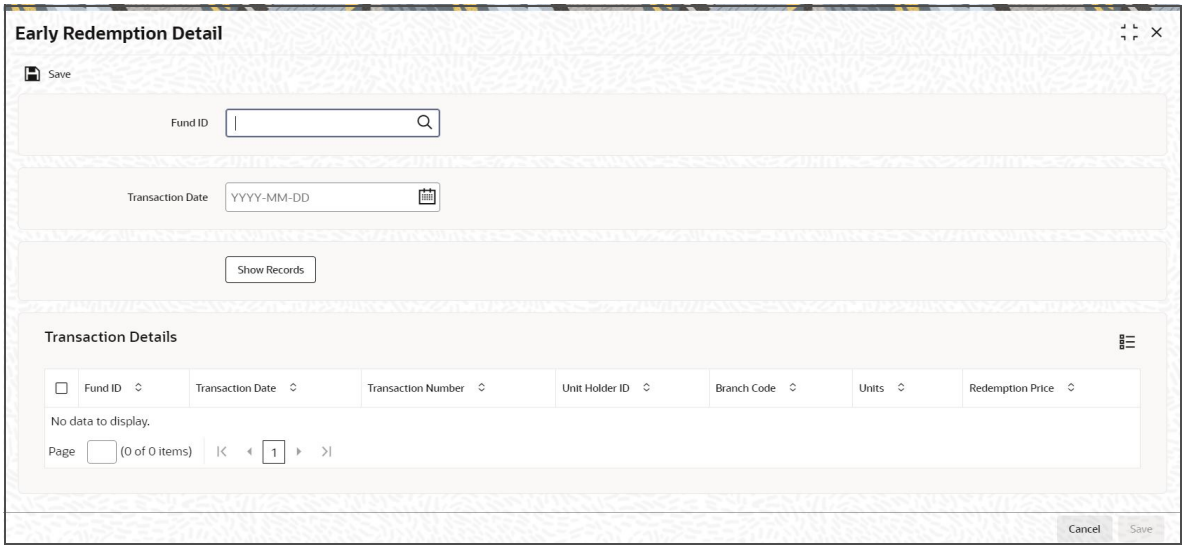
4.15 Early Redemption Detail

This section contains the following topics:

- Section 4.15.1, "Invoking Early Redemption Detail Screen"

4.15.1 Invoking Early Redemption Detail Screen

You can maintain early redemption details using ‘Early Redemption Detail’ screen. You can invoke this screen by typing ‘UTDERRED’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Transaction Date

Date Format; Optional

Select the transaction date from the adjoining calendar.

After specifying the necessary details, click ‘Show Records’ button. The system displays the following transaction details:

- Fund ID
- Transaction Date
- Transaction Number
- Unit Holder ID
- Branch Code
- Units
- Units Applied

4.16 Transaction Switch Detail

This section contains the following topics:

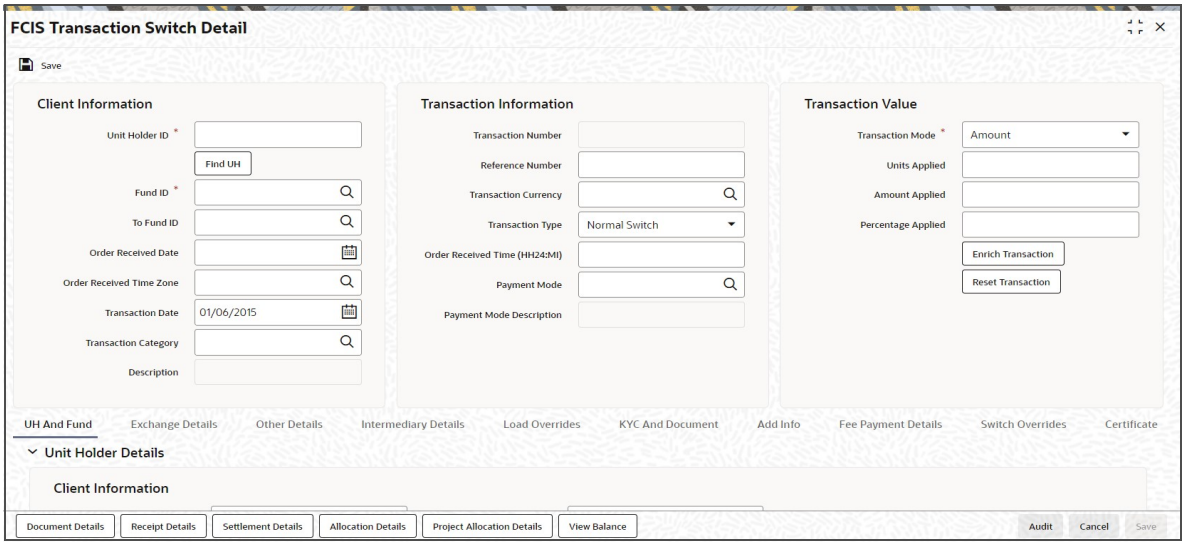
- Section 4.16.1, "Invoking Transaction Switch Detail Screen"
- Section 4.16.2, "UH and Fund Tab"
- Section 4.16.3, "Exchange Details Tab"
- Section 4.16.4, "Other Details Tab"

- Section 4.16.5, "Intermediary Tab"
- Section 4.16.6, "Load Override Tab"
- Section 4.16.7, "KYC and Document Tab"
- Section 4.16.8, "Add Info Tab"
- Section 4.16.9, "Fee Payment Details Tab"
- Section 4.16.10, "Switch Overrides Tab"
- Section 4.16.11, "Certificate Tab"
- Section 4.16.12, "Document Details Button"
- Section 4.16.13, "Receipt Detail Button"
- Section 4.16.14, "Settlement Details Button"
- Section 4.16.15, "Project Allocation Details Button"
- Section 4.16.16, "Allocation Details Button"
- Section 4.16.17, "View Balance Button"
- Section 4.16.18, "Saving the Transaction"
- Section 4.16.19, "Transaction Processing Logic for Currency of Expression Funds"

4.16.1 Invoking Transaction Switch Detail Screen

Enter a switch transaction request into the system in the following sequence of events:

Invoke the ‘FCIS Transaction Switch Detail’ screen by typing ‘UTDTXN04/ UTDTRA04’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for switch transactions is displayed, with all the default information. Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the Switch Transaction.



In this screen, you can maintain the following details:

Client Information

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder who has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

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

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

When you specify the unit holder,

The funds in which the specified unit holder can transact are displayed in the Fund drop down list.

The default brokers maintained for the specified unit holder that have not been disabled as on the transaction date, are displayed by default in the Broker Details Section of the screen.

Note

When you change the unit holder, time zone will get reset accordingly with a warning message "I-TZDEFAULT".

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

To Fund ID

Alphanumeric; 6 Characters; Optional

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

Order Received Date

Date Format; Optional

Specify the order received date.

Note

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

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.

Note

- System should allow the user to map service location in the Service Location Maintenance screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured.
- If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone.
- If the Default Time Zone value is null, then the system will display an error message.
- Order Received Time zone will not be defaulted for system generated transactions.

Transaction Date

Date Format; Mandatory

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

If the unit holder account has a stop instruction (i.e., is frozen), then you can only input the transaction if the transaction date is ahead of the Stop Account Release Date specified in the account profile.

Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order Received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order Received time breaches the fund cutoff, then transaction date arrives to next business date.

You can go through the below example for this:

Param text is set to 'Y' for Param Code PSINCUTTIME at UTDPARAM.

From Fund ID	FNSGP1	To Fund ID	FNTWN1	
Fund Time Zone	SGT	Fund Time Zone	CST	
Fund Cut Off	17:30	Fund Cut Off	15:30	
Module Default Time Zone	HKT			
Time Zone	UKT	HKT	SGT	CST
GMT+	00:00:00	08:00:00	08:00:00	08:00:00

Order Received within Cut off time		Order Received Post Cut off time	
From Fund ID	FNSGP1	From Fund ID	FNSGP1
Subscription Fund ID	FNTWN1	Subscription Fund ID	FNTWN1

Out Leg		Out Leg	
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15
In Leg		In Leg	
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	5-Jan-15	Transaction Date arrives to	5-Jan-15

If Param text is set to 'Y' for Param Codes PSINCUTTIME/TSINCUTTIME, then for switch in transaction, the application received date, Time Zone and time stamp recorded at switch out transaction will be considered.

If Param text is set to 'N', then system will not consider the order received date, time zone and time from out leg to derive transaction date for in leg and transaction date will be defaulted from out leg.

Note

- For the Pre-settled trade funds, during Out Leg transaction creation of Pseudo Switch and Transfer Switch, the system will derive the transaction date based on Order Received Date and Notice period.
- If ORT is after fund cut-off, then the cut-off will be ignored and system will simply add Order Received Date and Notice period to arrive at transaction date.
- During In leg transaction generation, system will not consider Pre-Settled Trade details of fund preference maintenance.

Transaction Category

Alphanumeric; 1 Character; Optional

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

Description

Display

The system displays the description for the selected transaction category.

Transaction Information

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

Specify the reference number for the transaction in the Reference Number field. 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 Currency

Alphanumeric; 3 Characters; Optional

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

Transaction Type

Optional

Select the type of switch transaction requested by the unitholder from the drop-down list. The list displays the following values:

- Normal Switch
- Pseudo Switch
- CMA Switch
- BB Switch
- Systematic PS
- Transfer Switch

In case of normal switch transaction, the following sequence of events occurs:

- Select the fund from which the requested switching is to be put through, from the drop down list in the Fund field. You can also specify the ISIN Code of the fund. The base currency for the fund is displayed in the Fund Base Currency field. The name of the chosen fund is displayed in the Fund Name field.
- If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Number of Certificates and the Certificate Details section.
- If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:
- The Fee Details including the Calculate Fee button, the Fee in Fund Base Currency, Fee in Transaction Currency, Override Fee and the Fee after Override fields.
- The Fee Payment Details Section.
- The Load Override Section.
- Specify the fund to which the unit holder wishes to switch the investment, in the To Fund field. You can also specify the ISIN Code of the fund. The name of the chosen fund is displayed in the Fund Name field. Switching is allowed either between funds in a fund family or between funds in an AMC, as designated in the Entity Maintenance record for the AMC. You are allowed to switch to a fund provided you do not have any holdings in the fund complementary to the fund you have chosen.

In case of pseudo switch transaction, the following fields will be displayed:

- Subscription Fund ID
- Subscription Price Basis
- Switch In Fund Base Currency

Bed and Breakfast switch means switching within the same fund i.e. if the ‘Switch from’ fund and the ‘Switch to’ fund in a switch transaction are same. In case of Band B switch, the following sequence of events occurs:

- The system bypasses all the check which restricts switching into same fund at the time of allocation if the reftype is ‘BB’.
- The system defaults the ‘Switch To’ fund to same as ‘Switch From’ fund. You will not be able to edit the same.
- For the switch subscription leg, transaction date will be defaulted with the switch redemption leg transaction date
- For a transaction, you will not be able to specify the settlement details for either the redemption leg or the subscription leg.
- The transaction currency and the fund base currency should be same. On enriching the transaction, the system defaults the transaction currency to same as the fund base currency.

As part of EOD batch, amount based subscription leg transaction is generated once the allocation of redemption leg is through and it is settled. B & B transaction processing and allocation is similar to that of the pseudo switch transaction type. The settlement amount in fund base currency of the redemption transaction will be used as the transaction currency amount for the subscription leg. The transaction currency for the subscription leg will be the fund base currency.

Select the transaction type. In case for a particular transaction type restriction is ‘Not Applicable’, then the system will display an error message as ‘STOPACCOUNT is issued for ‘Transaction Type’ to this Unit Holder’.

Note

- Allocation for both redemption and subscription transaction is done on the same day.
- Based on the redemption and subscription allocation price, the subscription leg allotted units could be different from the redemption leg allotted units
- The Bed and Breakfast subscription transaction is generated only after its linked redemption and its original subscription transaction status is complete.

In case of Transfer switch transaction, the following points to be considered:

- Transfer Switch transaction can be accessed only from this screen. Select the Unitholder ID, ToUnitHolderId, Fund Id and Subscription Fund Id along with other details to save the transaction.
- Switch In Leg Load override details will be used to override subscription leg transaction load details.
- The BOD and Mini-EOD process have been used to generate Transfer Switch Subscription leg transaction.
- Subscription Leg generation (TXN type 02 and RefType TS) will be generated after the settlement of Transfer Switch Redemption transaction.
- On save of Redemption Transaction(03) with Reftype “TS” will be generated.
- Allocation will happen as per the Redemption Fund setup.

- Subscription generation process will be generated on redemption transaction settlement date on or before the current application date.
- Subscription transaction's UnitholderId will be set to ToUnitholderID, Transaction date will be set to settlement date of Redemption Transaction.
- Subscription leg transaction is always a cash based transaction.
- Subscription leg Transaction intermediary will be populated to the default ToUnitHolder Intermediary.
- If the parameter TSINCUTTIME is turned ON, then the Transfer switch date will be derived based on cut off time.

Note

Transfer Switch Unitholder ID and ToUnitHolderID need to be different.

Order Received Time (HH24:MI)

Time Format; Mandatory

Specify the order received time.

Note

Order Received Time will not be defaulted for system generated transactions.

Payment Mode

Alphanumeric; 2 Characters; Optional

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

Payment Mode Description

Display

The system displays the payment mode description.

Deriving the order received date and time

The system will validate the Fund cut off based on the Order received time and not the actual time the Transaction is captured in the system. The transaction date will be derived by the system based on these two fields. For instance, if the Fund Cut off is 14.00 hrs at a Fund level and the transaction is captured at 15.00 hrs in the system with the Order Received time as 13.00 then the system should validate the time maintained at Order Received time and not the time the transaction is actually captured. This will be considered as the same day transaction.

If all the below mentioned transactions are captured on 15-Oct-2012 at 16:00 hrs then the transaction dates will be derived as detailed below. In case the transaction date is amended then the system has to consider the amended transaction date. Post authorisation of the transaction, you cannot amend order received date and time.

Fund Cut off	Order Received Date	Order Received time	Transaction Date
14:00	15-Oct-2012	13:50	15-Oct-2012
14:00	15-Oct-2012	14:10	16-Oct-2012
14:00	14-Oct-2012	13:25	14-Oct-2012

Fund Cut off	Order Received Date	Order Received time	Transaction Date
14:00	14-Oct-2012	15:15	15-Oct-2012

Transaction Value

Transaction Mode

Mandatory

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

- Amount
- Units
- Percent

Units Applied

Numeric; 27 Characters; Optional

Specify the units applied details.

You should specify the details in this field only if you have selected 'Transaction Mode' field as Units. Else, while clicking 'Enrich Transaction' button, the system will display an error message.

Amount Applied

Numeric; 27 Characters; Optional

Specify the amount applied details.

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

Percent Applied

Numeric; 27 Characters; Optional

Specify the percent applied details.

You should specify the details in this field only if you have selected 'Transaction Mode' field as Percent. Else, while clicking 'Enrich Transaction' button, the system will display an error message.

After entering all details in Transaction Information section click on 'Enrich Transaction' button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of 'Enrich Transaction' button all the header fields will be disabled. Clicking 'Enrich Transaction' button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click 'Reset Transaction' button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking 'Reset Transaction' button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click ‘Reset Transaction’ button. Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

Both the ‘From’ and ‘To’ fund IDs of Switch Transaction will be enabled for modification and amendment.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

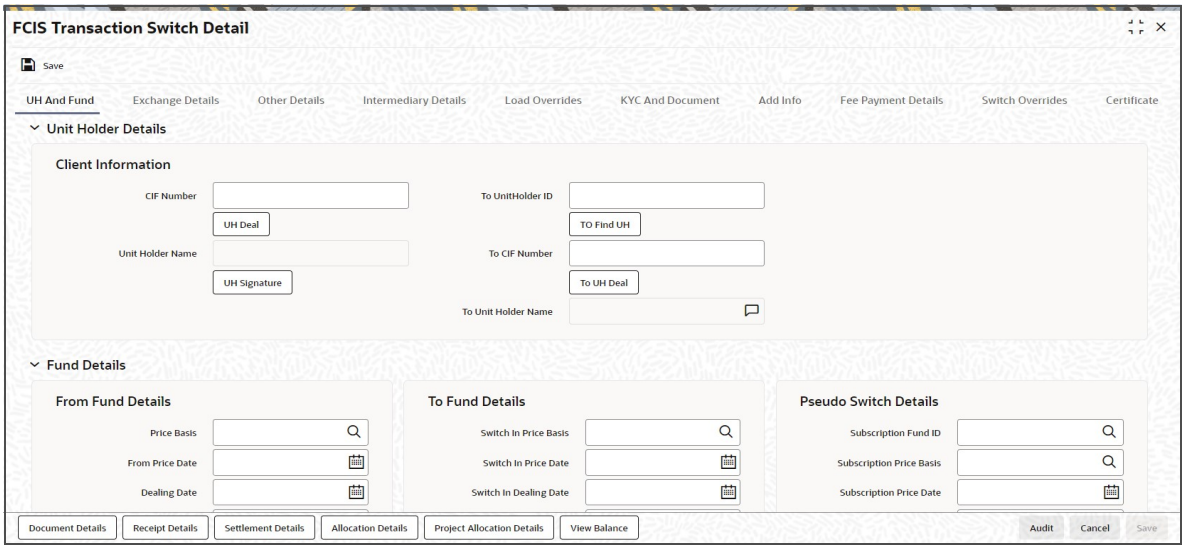
Note

– This is not applicable to transactions captured through any other function/UI/ channels/uploads.

– If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The ‘Reset Transaction’ Button will be disabled, if UBS- Integration is enabled

4.16.2 UH and Fund Tab

Click UH and Fund tab in FCIS Transaction Switch Detail screen.



CIF Number

Alphanumeric; 20 Characters; Optional

The system displays the CIF number based on the unit holder ID selected. However, you can amend this value.

Unit Holder Name

Display

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

Click ‘UH Signature’ button to upload the image.

Click UH Deals button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

To UnitHolder ID

Specify the to unitholder ID.

To CIF Number

Display

The system displays the to CIF Number.

To Unit Holder Name

Display

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

Fund Details

From Fund Details

Price Basis

Alphanumeric; 10 Characters; Optional

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

From Price Date

Date Format; Optional

Specify the from price date.

Dealing Date

Date Format; Optional

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund

Fund ISIN

Alphanumeric; 25 Characters; Optional

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

If you have specified fund ID, then the system displays the fund ISIN code and vice versa.

Fund Name Short

Display

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

Fund Base Currency

Display

The system displays the fund base currency.

From Price Currency

Display

The system displays the from price base currency.

To Fund Details

Switch in Price Basis

Alphanumeric; 10 Characters; Optional

Specify the Switch in price basis details. Alternatively, you can select switch in price basis from the option list. The list displays all valid switch in price basis maintained in the system.

Switch in Price Date

Date Format; Optional

Specify the switch in price date.

Switch in Dealing Date

Date Format; Optional

Specify the switch in dealing date.

To ISIN Code

Alphanumeric; 25 Characters; Optional

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

To Fund Name Short

Display

The system displays the short fund name.

To Fund Base Currency

Display

The system displays the To fund base currency.

To Price Currency

Display

The system displays the To price currency.

Pseudo Switch Details

Subscription Fund ID

Alphanumeric; 6 Characters; Optional

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

Subscription Price Basis

Alphanumeric; 10 Characters; Optional

Specify the subscription price basis. Alternatively, you can select subscription price basis from the option list. The list displays all valid subscription price basis maintained in the system.

Subscription Price Date

Date Format; Optional

Specify the subscription price date.

Subscription Settlement Date

Date Format; Optional

Specify the subscription settlement date.

Subscription Fund Base Currency

Display

The system displays Subscription Fund Base Currency details.

Subscription Fund Name Short

Display

The system displays Subscription Short Fund Name.

Subscription ISIN Code

Alphanumeric; 25 Characters; Optional

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

Subscription Price Currency

Display

The system displays Subscription Price Currency details.

Currency of Expression Transaction

Optional

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

- Yes
- No

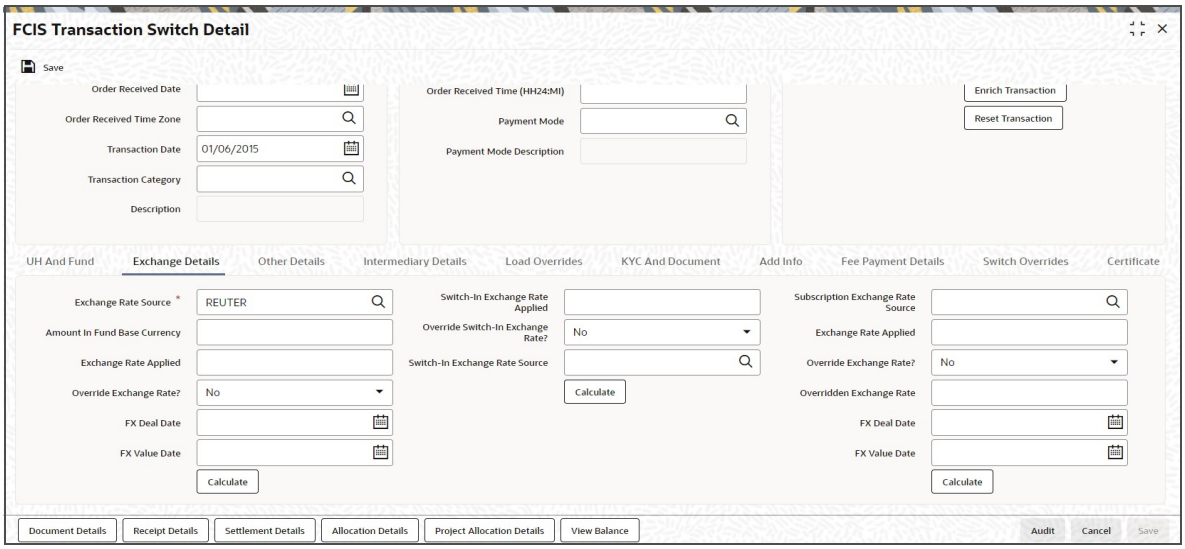
Subscription Transaction Date

Display

The system displays Subscription Transaction Date.

4.16.3 Exchange Details Tab

Click Exchange Details tab in the Transaction Switch Detail screen.



You can specify the following details:

Exchange Rate Source

Alphanumeric; 6 Characters; Mandatory

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

Note

Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Amount In Fund Base Currency

Numeric; 18 Characters; Optional

Specify the amount in fund base currency.

Exchange Rate Applied

Numeric; 21 Characters; Optional

Specify the applied exchange rate.

Override Exchange Rate?

Optional

Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values;

- Yes
- No

FX Deal Date

Date Format; Optional

Specify the FX deal date.

FX Value Date

Date Format; Optional

Specify the FX value date.

Switch-In Exchange Rate Applied

Numeric; 21 Characters; Optional

Specify the switch-in exchange rate applied.

Override Switch-in Exchange Rate

Optional

Select if switch-in exchange rate should be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

Switch-in Exchange Rate Source

Alphanumeric; 12 Characters; Optional

Specify the switch-in exchange rate source.

Subscription Exchange Rate Source

Alphanumeric; 6 Characters; Optional

Specify the subscription exchange rate source.

Exchange Rate Applied

Numeric; 21 Characters; Optional

Specify the exchange rate applied.

Override Exchange Rate

Optional

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

- Yes
- No

Overridden Exchange Rate

Numeric; 21 Characters; Optional

Specify the overridden exchange rate applied.

FX Deal Date

Date Format; Optional

Specify the FX deal date.

FX Value Date

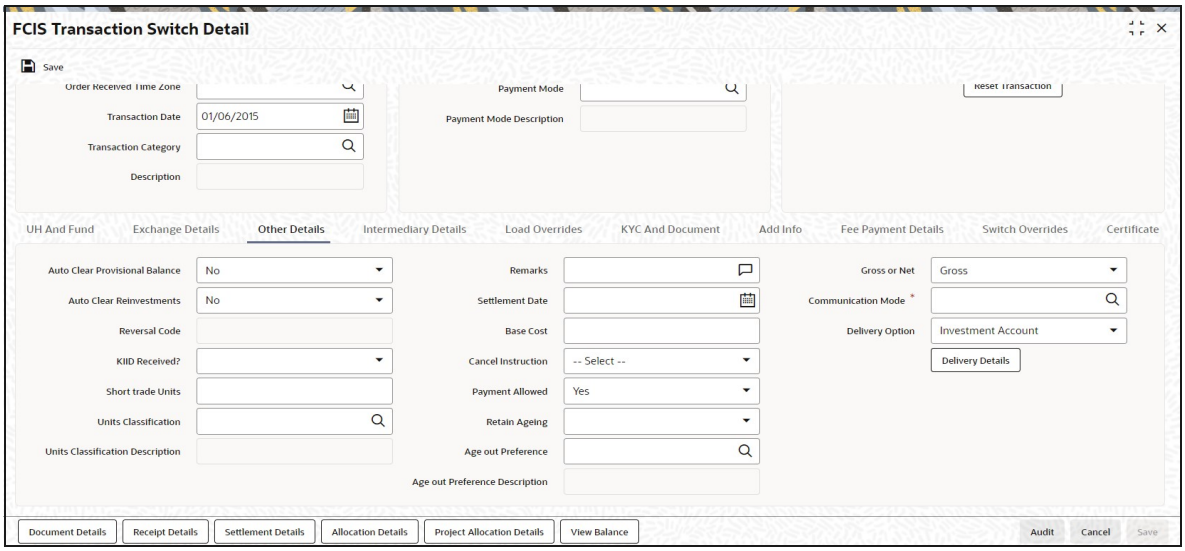
Date Format; Optional

Specify the FX value date.

After specifying all the necessary details, click ‘Calculate’ button to calculate the exchange details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

4.16.4 Other Details Tab

Click on ‘Other Details’ tab in the FCIS Transaction Switch Detail screen.



You can specify the following details:

Auto Clear Provisional Balance

Optional

Select ‘Yes’ option from drop-down list to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is ‘Percent’ and the transaction value is ‘100’.

Auto Clear Reinvestments

Optional

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

- Yes
- No

Reversal Code

Display

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

KIID Received?

Optional

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

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the 'UCITS Fund' at the Fund level is 'Yes' and the UH mapping to the Fund in the 'UH KIID Compliance' tab is 'NO' then at the transaction level, the system will default the 'KIID Complaint' to 'No'.

If the KIID Received is set to 'No', the system display an error message while saving the transaction as 'The Unit holder has not received the KIID'.

If the flag is set to 'YES' there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from 'No' to 'Yes' and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

Short Trade Units

Numeric; 27 Characters; Optional

Specify the short trade units.

If the unit holder is nominee account, only then system will allow you to capture the short trade units.

Applicable short trade units will be taken for applying penalty.

If short trade units is not entered, then the transaction allocation will follow the normal allocation process.

Units Classification

Alphanumeric; 1 Character; Optional

Specify the units classification code. Alternatively, you can select units classification code from the option list. The list displays valid unit classification code maintained in the system.

Note

As part of corporate action for merger, split and reverse split, if both from fund and to fund is CDSC fund with 'USERMNTFIFO' ageing Logic, then movement of unit holdings will be in same unit classification bucket.

Units Classification Description

Display

The system displays the description for the selected units classification code.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

Settlement Date

Date Format; Optional

Specify the settlement date.

Base Cost

Numeric; 15 Characters; Optional

Specify the base cost details.

Cancel Instruction

Optional

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

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

Note

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

Payment Allowed

Optional

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

- Yes
- No

Retain Ageing

Optional

Select if ageing is retained or not from the drop-down list and the default retain ageing value displayed is blank field. The list displays the following values:

- Yes
- No
- Blank field

Age out Preference

Alphanumeric; 1 Character; Optional

Specify the age out preference from which we need to preferably redeem the units during outflow and is applicable for Redemption, Switch and Transfer screens. Alternatively, you can select age out preference from the option list. The list displays all valid age out preference code maintained in the system.

Based on the 'Age out preference' selection, the system will age out the transactions during outflow. If there is no sufficient balance in the respective buckets, then the system will age out the transactions from other buckets based on fund rule ageing logic.

The system will consider the following parameter to age out onshore funds based on 'USERMNTFIFO' ageing logic:

- Unit classification
- Ageing Sequence

Age out Preference Description

Display

The system displays the description for the selected age out preference code.

Gross or Net

Optional

Select if gross or net has to be selected from the drop-down list. The list displays the following values:

- Gross
- Net

Communication Mode

Mandatory

Select the mode of communication from the drop-down list. Alternatively, you can select communication mode from the option list. The list displays all valid communication mode maintained in the system.

Delivery Option

Optional

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

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

- PUEV

Click ‘Delivery Details’ button to specify the delivery details.

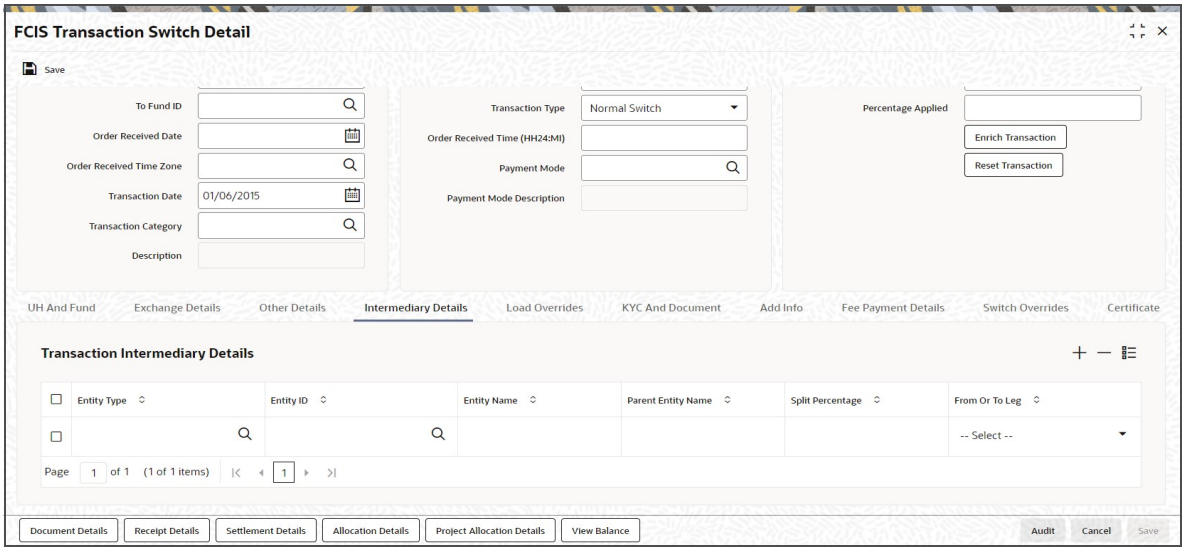
For further information on delivery details, refer ‘Transaction Tab’ sub section in ‘IPO Subscription Detail’ section in this User Manual.

In case of Pseudo switch between equity funds and money funds, the system will perform the following logic for CDSC load computation:

CDSC Computation Logic				
	From units	**To units**	**Switch out Leg (PS-03)**	**Switch in Leg (PS-02)**
Case 1	Equity Fund CDSC units	Equity Fund FEL units	Invalid combination. Will be restricted at the screen level	Invalid combination. Will be restricted at the screen level
Case 2	Equity Fund CDSC units	Equity Fund CDSC units	No CDSC fee will be applied on switch out leg.	CDSC ageing should be carried forward. Retain ageing flag will be turned on to cater this requirement. Switch fee on switch-in leg
Case 3	Equity Fund CDSC units	MMF FEL units	CDSC fee on switch-out leg	No switch fee on switch-in leg
Case 4	Equity Fund FEL units	Equity Fund FEL units	No CDSC Fee	Switch fee on switch-in leg
Case 5	Equity Fund FEL units	Equity Fund CDSC units	Invalid combination .will be restricted at screen level	
Case 6	Equity Fund FEL units	MMF FEL units	No CDSC Fee	No switch fee on switch-in leg
Case 7	MMF FEL units	Equity Fund FEL units	No CDSC Fee	Switch fee on switch-in leg
Case 8	MMF FEL units	Equity Fund CDSC units	No CDSC Fee	No switch fee on switch-in leg
Case 9	MMF FEL units	MMF FEL units	No CDSC Fee	No switch fee on switch-in leg

4.16.5 Intermediary Tab

Click on ‘Intermediary’ tab in the FCIS Transaction Switch Detail screen.



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

Transaction Intermediary Details

Entity Type

Alphanumeric; 1 Character; Mandatory

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Mandatory

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the broker is displayed. However, you can amend this value.

Parent Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

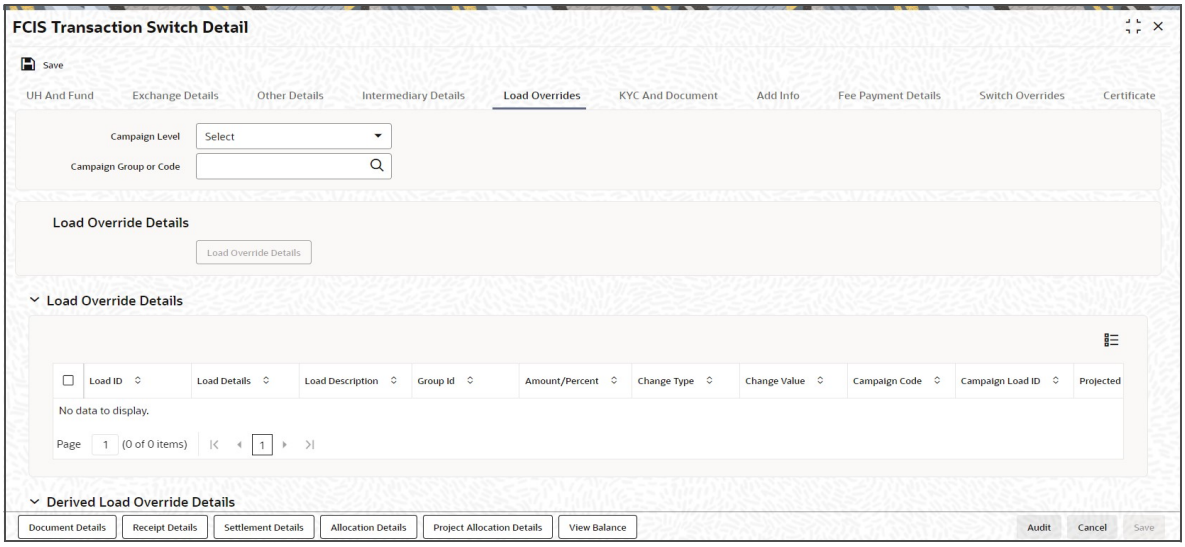
Mandatory

Select the from or to leg details from the drop-down list. The list displays the following values:

- From
- To

4.16.6 Load Override Tab

Click on ‘Load Override’ tab in the FCIS Transaction Switch Detail screen.



In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be “allocation”.

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

If you click ‘Load Override Details’ button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

Campaign Level

Optional

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

- Campaign Code
- Campaign Group

By default, campaign code will be selected.

Campaign Group or Code

Alphanumeric; 10 Characters; Optional

Specify the campaign group or code to show the result based on Campaign Level selected. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the campaign maintenance.

While saving the transaction, if you have selected Campaign Level as ‘Campaign Group’ and Campaign Group is mentioned in Campaign Code option list, then the system will evaluate the best rate for investor during save of transaction and will tag the campaign against the transaction.

If campaign Level is ‘Campaign Code’, then the system will tag the campaign while saving the transaction.

You can link the campaign to the subscription and switch transaction type of standing instruction. Specify the campaign to be mapped. You can also select the campaign code from the option list.

Note

Campaign is applicable only for subscription /Switch screens only.

Load Override Details

Click ‘Load Override Details’ button to view Load Override details.

Load Override Details

Load ID

Display

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

Load Details

Display

The system displays the load details.

Load Description

Display

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

Group ID

Display

The system displays the group ID.

Amount Percent

Display

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The ‘type’ of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

If the client country option ‘NETUNALLOTEDAMT’ is set to true for your bank, then the system will match the units to be redeemed with the unit holder’s current balance minus the un-allotted switches (if any). If the transaction value exceeds the balance available, the system will throw up an error message. It will not save the transaction.

For transactions by gross amount, a transaction value that exceeds the Minimum Amount for Tax ID that has been specified in the fund rules for either the switched-in or switched-out fund, the system validates the availability of the PAN Number in the unit holder account profile. If the PAN Number has not been specified in the profile, you must enter a transaction value that does not exceed the Minimum Amount for Tax ID value, or make a change to the unit holder account and specify the PAN Number, and then attempt to input the transaction.

If specified in the General Operating Rules for the fund, the End of Day processes perform the minimum holdings validation, by picking up all allocated transactions during the business day and grouping according to CIF-level or unit holder-level, as indicated in the General Operating Rules. During this, the system validates whether the current holdings balance of the investor either equals or exceeds the minimum holdings balance specified in the General Operating Rules.

Campaign Code

The system displays the campaign code.

Campaign Load ID

The system displays the campaign load ID.

Change type

Display

The system displays the change type.

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

Change Value

Display

The system displays the change value details.

Campaign Code

Display

The system displays the campaign code.

Campaign Load ID

Display

The system displays the campaign load ID.

Project Return Value

The System populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking ‘Enrich Transaction’ in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO.

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

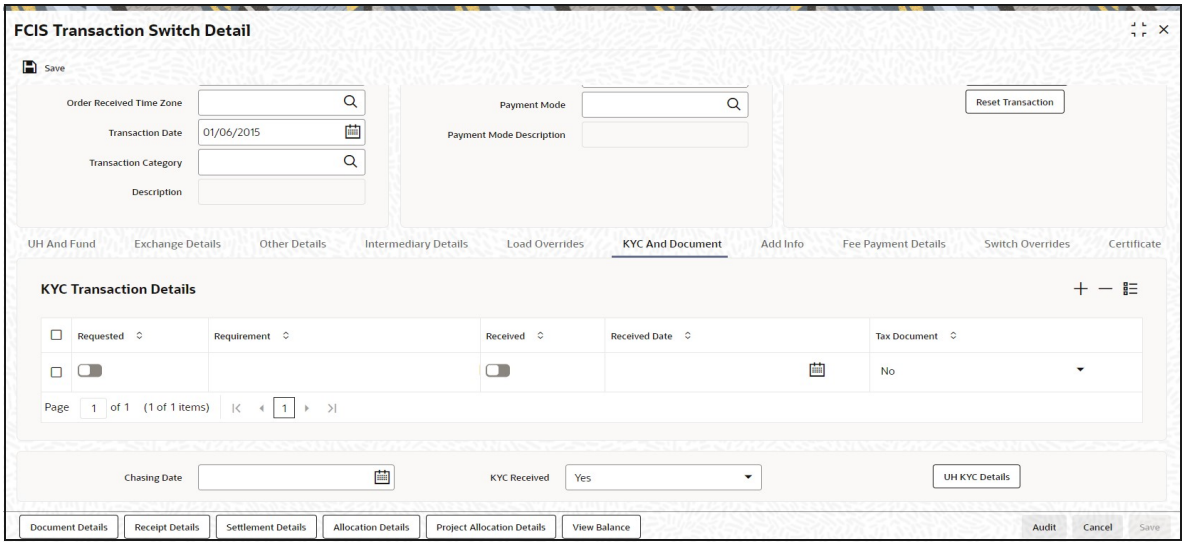
Derived Load Override Details

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value

4.16.7 KYC and Document Tab

Click on 'KYC and Document' tab in the FCIS Transaction Switch Detail screen.



KYC Transaction Details

Requested

Mandatory

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Mandatory

Specify the list of KYC documents required for the unit holder.

Received

Mandatory

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Mandatory

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

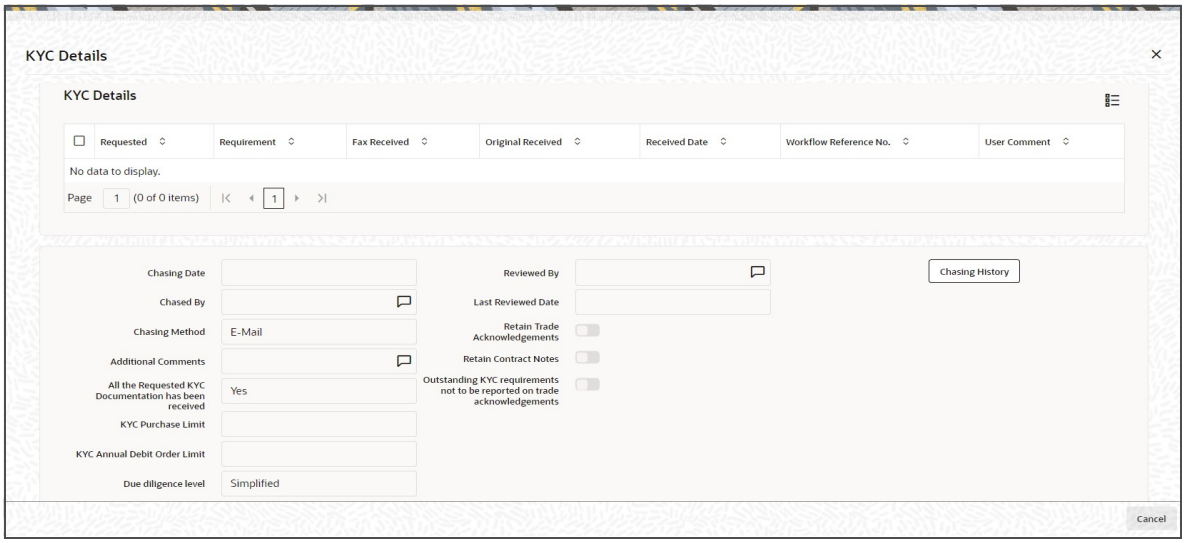
KYC Received

Optional

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

- Yes
- No

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.



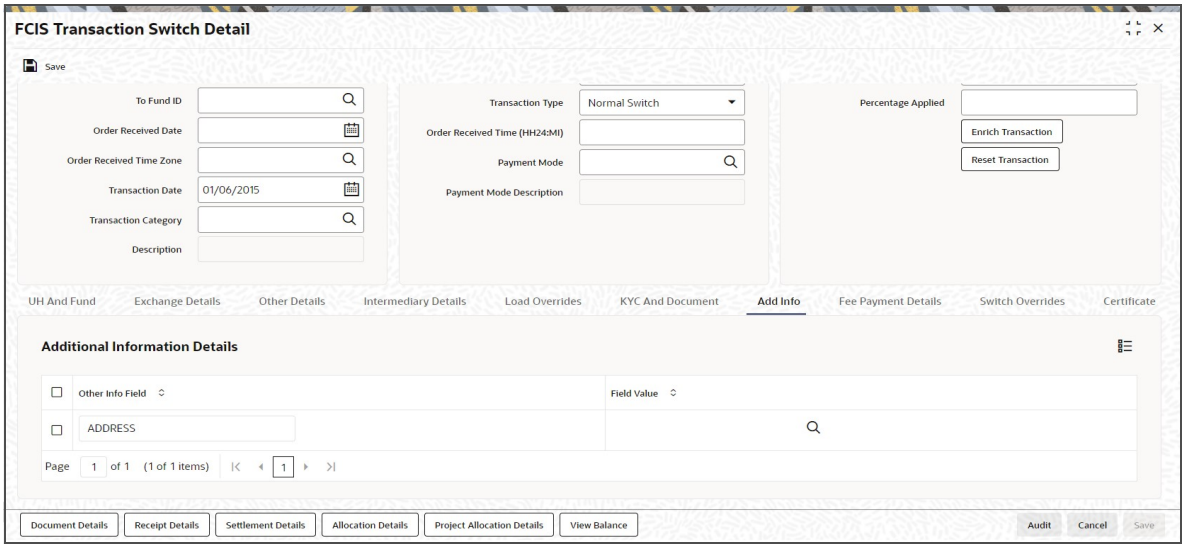
The details are populated from Unit Holder Maintenance screen (UTDUH).

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH. If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as 'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

For further details on this screen, refer 'KYC Details Tab' in 'Unit Holder Maintenance Detail' screen (UTDUH) in Entities User Manual.

4.16.8 Add Info Tab

Click on 'Add Info' tab in the FCIS Transaction Switch Detail screen.



Other Info Field

Display

The system displays the additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

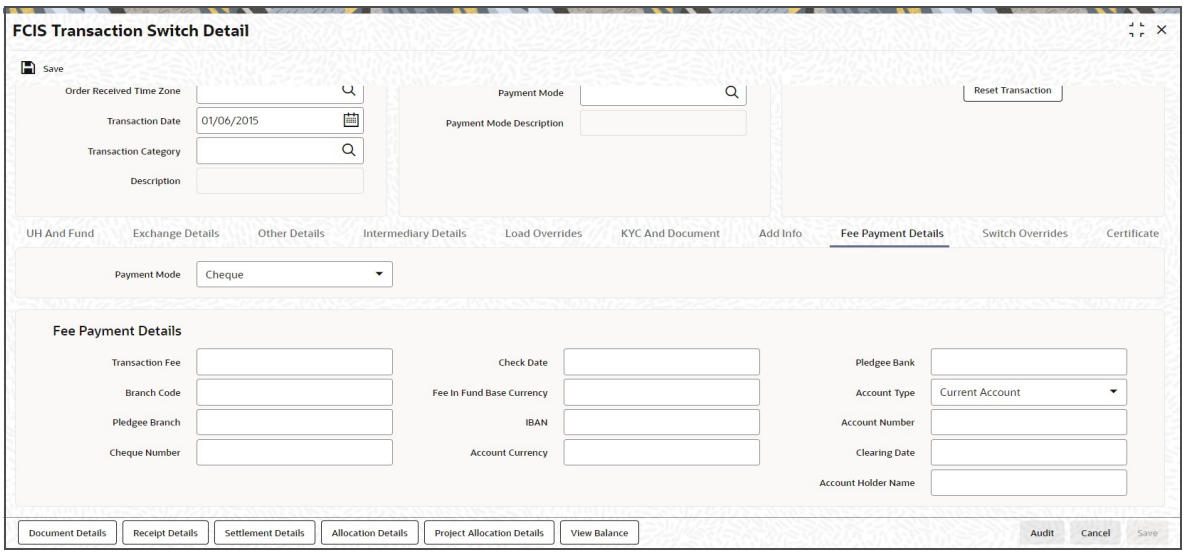
Field Value

Display

The system displays the field value.

4.16.9 Fee Payment Details Tab

Click on ‘Fee Payment Details’ tab in the FCIS Transaction Switch Detail screen.



If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

Payment Mode

Optional

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

- Cheque
- Transfer
- Draft
- Card

Fee Payment Details

Transaction Fee

Numeric; 30 Characters; Optional

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

Branch Code

Alphanumeric; 12 Characters; Optional

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

Pledgee Branch

Alphanumeric; 20 Characters; Optional

Specify the pledgee branch code.

Check Number

Alphanumeric; 16 Characters; Optional

Specify the cheque number.

Check Date

Date Format; Optional

Specify the cheque date.

Fee in Fund Base Currency

Alphanumeric; 3 Characters; Optional

Specify the fee in fund base currency details.

IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

Account Currency

Numeric; 30 Characters; Optional

Specify the account currency details.

Pledgee Bank

Alphanumeric; 12 Characters; Optional

Specify the pledgee bank details.

Account Type

Optional

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

- Current Account
- Fixed Account

- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

Account Number

Alphanumeric; 34 Characters; Optional

Specify the account number.

Clearing Date

Date Format; Optional

Specify the clearing date.

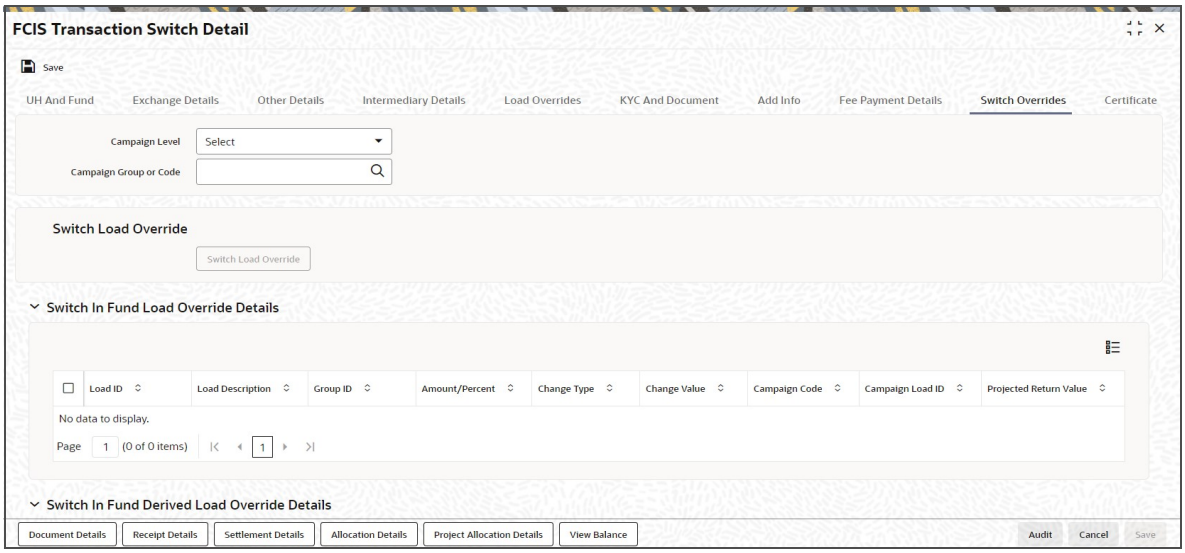
Account Holder Name

Alphanumeric; 100 Characters; Optional

Specify the name of the account holder.

4.16.10 Switch Overrides Tab

Click on 'Switch Overrides' tab in the FCIS Transaction Switch Detail screen.



You can specify the following details:

Campaign Level

Optional

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

- Campaign Code
- Campaign Group

By default, campaign code will be selected.

Campaign Group or Code

Alphanumeric; 10 Characters; Optional

Specify the campaign group or code to show the result based on Campaign Level selected. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the campaign maintenance.

While saving the transaction, if you have selected Campaign Level as 'Campaign Group' and Campaign Group is mentioned in Campaign Code option list, then the system will evaluate the best rate for investor during save of transaction and will tag the campaign against the transaction.

If campaign Level is 'Campaign Code', then the system will tag the campaign while saving the transaction.

You can link the campaign to the subscription and switch transaction type of standing instruction. Specify the campaign to be mapped. You can also select the campaign code from the option list.

Note

Campaign is applicable only for subscription /Switch screens only.

Switch Load Override

Click 'Switch Load Override' button to view Load Override details.

Switch In Fund Load Override Details

Load ID

Display

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

Load Description

Display

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

Load Type

Display

The system displays the load type.

Group ID

The system displays the group ID.

Change type

Display

The system displays the change type.

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

Change Value

Display

The system displays the change value details.

Campaign Code

Display

The system displays the campaign code.

Campaign Load ID

Display

The system displays the campaign load ID.

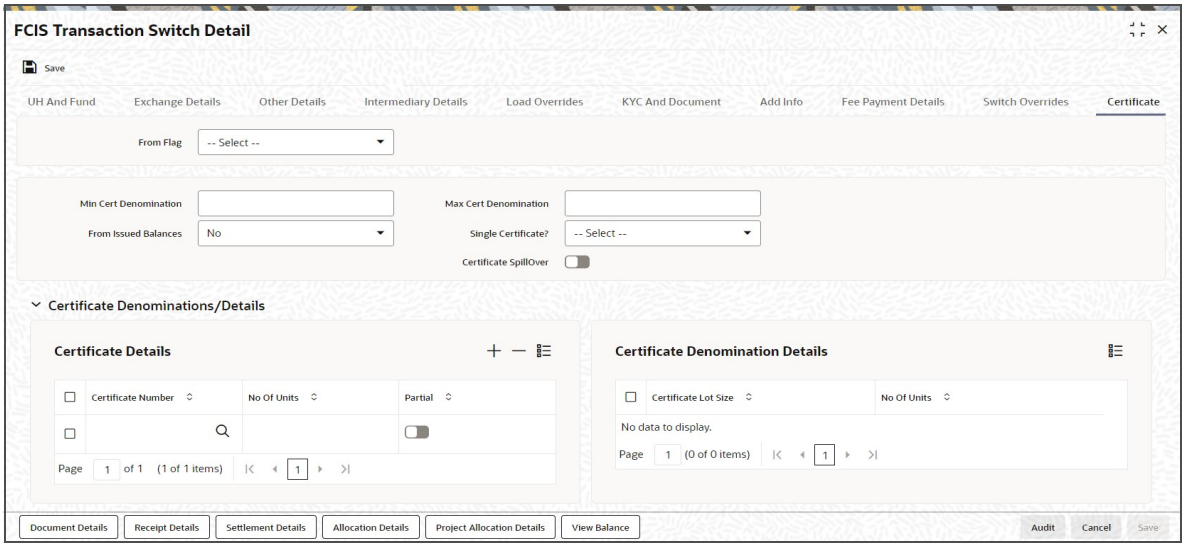
Switch In Fund Derived Load Override Details

The system displays the following values:

- Load ID
- Load Description
- Parent Load ID
- Change Type
- Change Value

4.16.11 Certificate Tab

Click on the Certificate tab in the FCIS Transaction Switch Detail screen.



From Flag

Optional

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

- From
- To

Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Single Certificate?

Optional

Select whether a single certificate or multiple certificates have been requested from the drop-down list. The list displays the following values:

- Single
- Multiple

If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.

Certificate SpillOver

Optional

Check this box to enable certificate spillover status.

Certificate Denominations/Details

Certificate Details

Certificate Number

Numeric; 10 Characters; Mandatory

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

No of Units

Numeric; 27 Characters; Optional

Specify the units details.

Partial

Optional

Check this box if partial details to be selected.

Certificate Denominations

Certificate Lot Size

Display

The system displays the certificate lot size details.

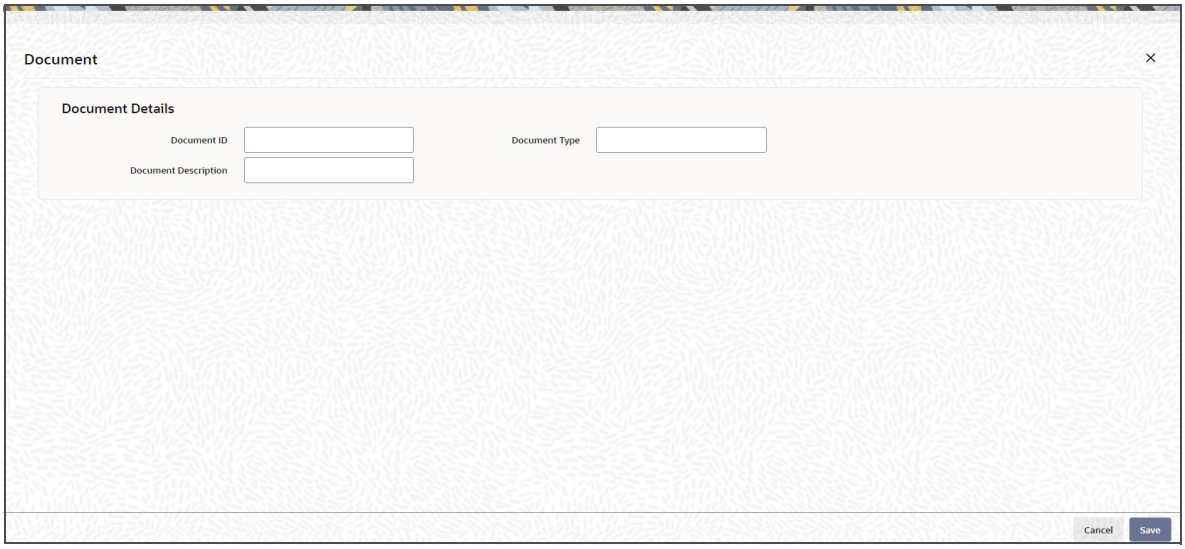
No of Certificates

Display

The system displays the number of certificates.

4.16.12 Document Details Button

Click ‘Document Details’ button to invoke ‘Document Details’ window



You can specify the following details:

Document Details

Document ID

Alphanumeric; 25 Characters; Optional

Specify the document ID.

Document Description

Alphanumeric; 255 Characters; Optional

Specify the document description for the selected document ID.

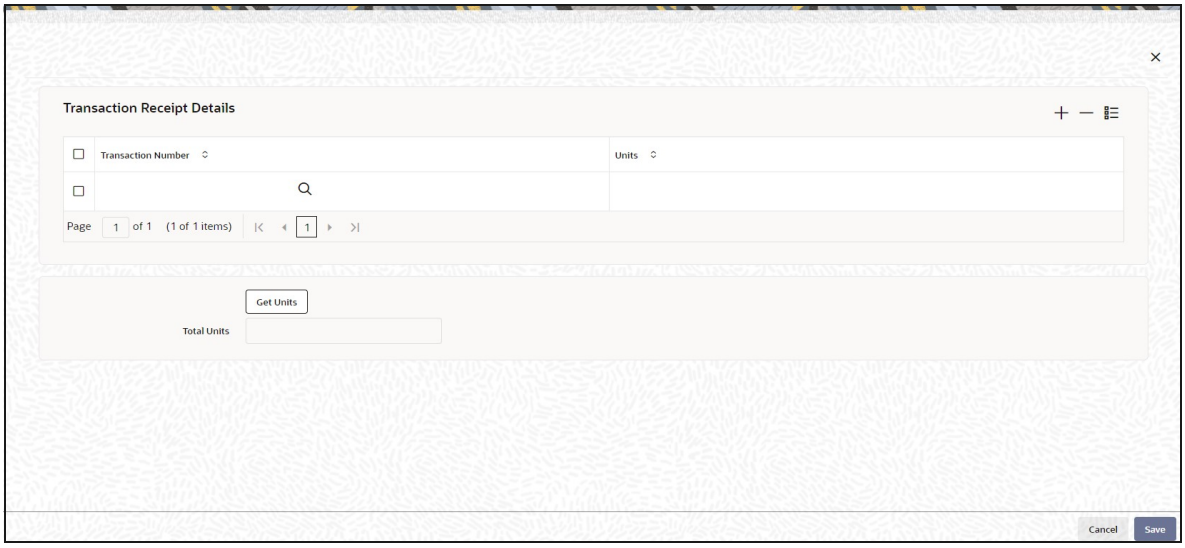
Document Type

Alphanumeric; 4 Characters; Optional

Specify the document type.

4.16.13 Receipt Detail Button

Click on ‘Receipt Detail’ button to invoke Receipt Detail screen.



You can specify the following details:

Transaction Receipt Details

Transaction Number

Alphanumeric; 16 Characters; Optional

Specifies the transaction number linked to the outflow transaction.

Units

Numeric; 22 Characters; Optional

Specify the units details.

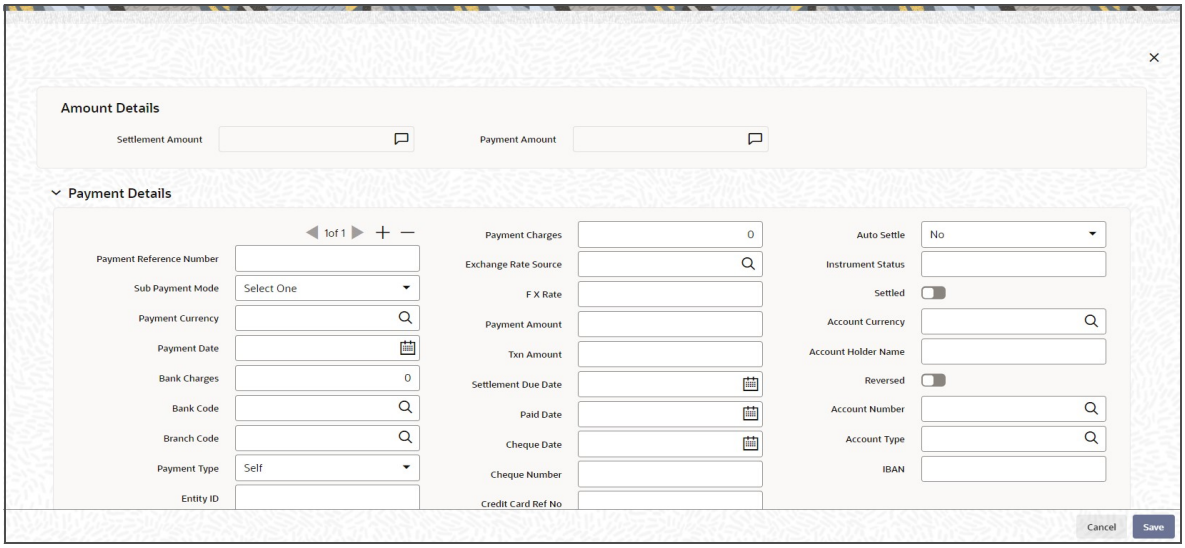
Total Units

Display

The system displays the total number of units by clicking ‘Get Units’ button.

4.16.14 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the ‘Settlement Details’ button to invoke the ‘Settlement Details’ screen.



Note

- For the Pre-settled trade funds, during Out Leg transaction creation of Pseudo Switch and Transfer Switch, the system will derive the settlement due date based on price date of the transaction and due lag which is maintained at Fund Preference.
- During In leg transaction generation, system will not consider Pre-Settled Trade details of fund preference maintenance.

For further details, refer 'Settlement Details Button' sub section in 'IPO Subscription Detail' section in this user manual.

4.16.14.1 Processing Multi Transactions

To process the outflow transactions, execute the 'Multiple Transaction Generation' batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number

- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
- On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.

4.16.15 Project Allocation Details Button

At this stage, the transaction is ready to be saved. If you wish to see a projected picture of how the transaction would most possibly be allocated, then click the Project Allocation Details button.

You can view Dividend amount for each of the redemption transactions. This amount is the net payment amount payable along with the redemption post WHT and IDS being considered

You can view the projected allocation details only for funds in which the ageing policy is FIFO (first-in, first-out) or Transaction Receipts. If the prices are not available for subscription transactions on the transaction date, the latest available price is picked up for allocation.

For validating dilution levy breach amount, the system does a project allocation for the transaction and then calculates the net amount of the transaction.

When you request the allocation process, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a 'mock' temporary allocation, and displays the details of the same in the Allocation Projection screen. The following allocation details are displayed:

- The Fund ID
- The Product ID
- The Unit Price for the transaction, as on the date of the temporary allocation.
- The Allocation Price
- The Gross amount in fund base currency
- The Settlement Amount in transaction currency
- The Linked Product ID
- The Load amount in fee currency

- The number of units allocated
- The Base Price
- The total load amount
- The Net amount in fund base currency
- The Settlement Amount in Price Currency
- The Linked units
- The Unit Balance

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- Load Amount
- Load amount in fee currency
- VAT Amount in Fee Currency

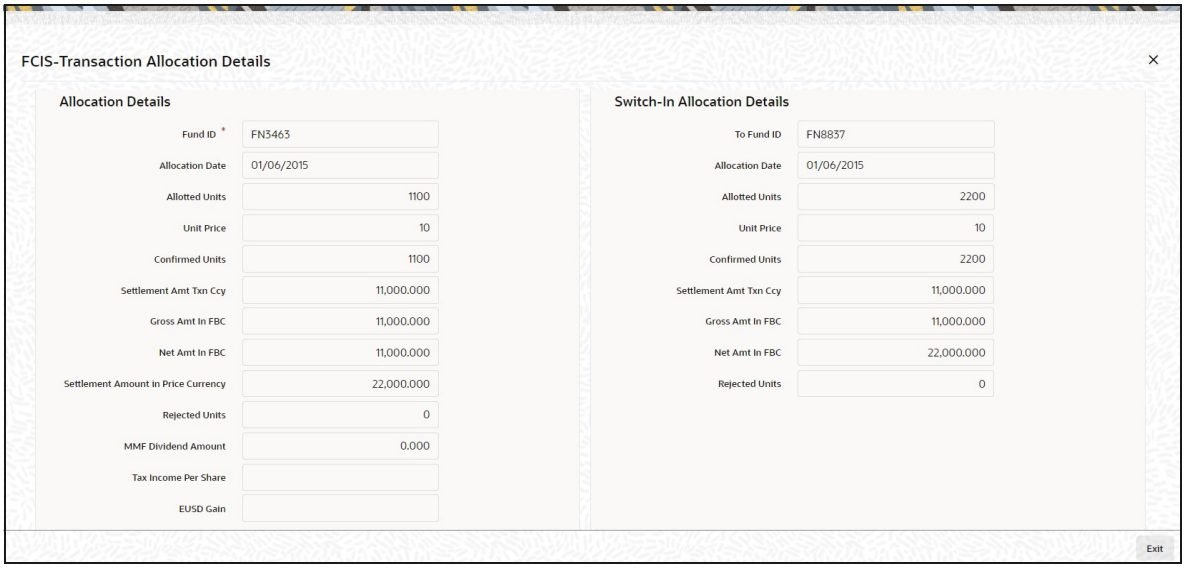
The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- InOutFlag
- Element Identification
- Element Description

After you have viewed the projected allocation details, click the Close button to close the screen.

4.16.16 Allocation Details Button

Clicking ‘Allocation Details’ button, the following screen is displayed:



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

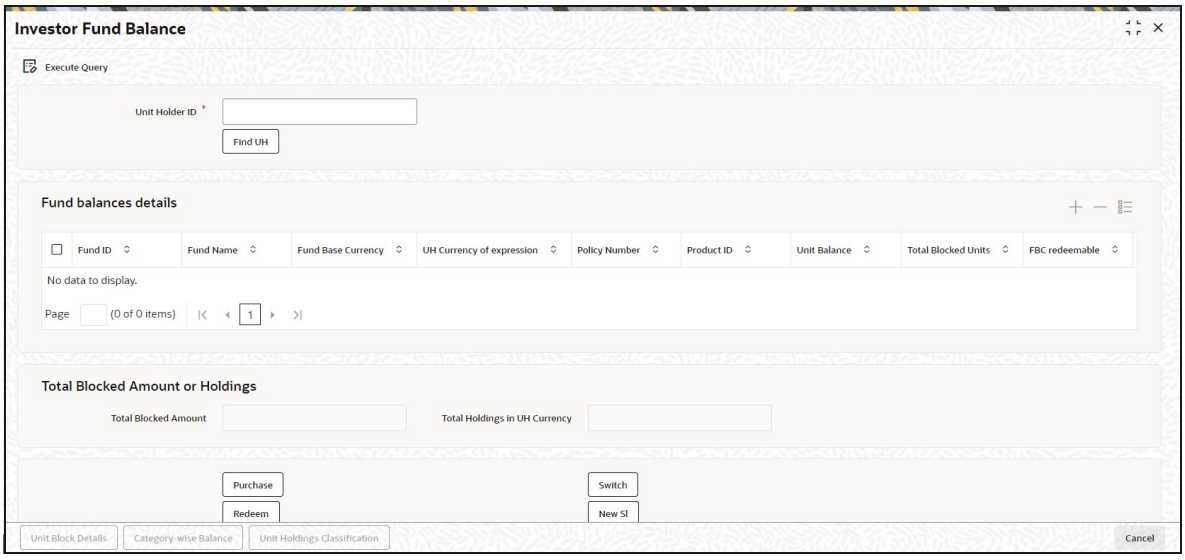
CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

4.16.17 View Balance Button

Clicking 'View Balance' button, 'Investor Fund Balance' screen is displayed:



For further details, refer View Balance Button sub section in 'IPO Subscription Detail' section in this User Manual.

4.16.18 Saving the Transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

4.16.19 Transaction Processing Logic for Currency of Expression Funds

The system defaults the UH currency of expression in the 'Transaction Currency' field, if available, during transaction capture based on UH and fund combination.

If there is no UH currency of expression maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (UTDUHCOE). The defaulted currency of expression in the UHCOE maintenance will be as system user.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field (Transaction capture) and if you override this defaulted currency to one of the FPC (from the fund level new) then upon authorization of the transaction FPC will be defaulted as UHCOE at the UHCOE maintenance.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field and if you override this defaulted currency to neither FBC/FPC, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance.

Following are the system behaviour in case there is an unauthorized or a modified and unauthorized UHCOE maintenance:

Case 1: You need to input a transaction when there is an unauthorized UHCOE maintenance. During transaction input there is not UHCOE to be defaulted as the maintenance is still in unauthorized status. Hence as per logic Fund base currency defaults during transaction capture and this fund base currency will not get defaulted to UHCOE maintenance. Once the UHCOE maintenance is authorized then defaulting will happen during transaction capture.

Case 2: Authorized UHCOE is modified which is still in unauthorized status. In this case if you input a transaction, then the new modified UHCOE will get defaulted during transaction input.

4.16.19.1 FX Logic

The FX rate will not be considered between transaction base currency and fund price currency for currency of expression fund transactions if they are same. This is applicable for subscriptions, redemptions and switch (normal and pseudo) transactions.

The system will use the transaction price currency to get the load; and after applying the load, the net amount and gross amount will get calculated in fund price currency and FBC as well. The currency of expression factor is applied to derive values in fund base currency. The net, gross and load amount will be calculated in currency of expression for a currency of expression transaction and using the COE factor the same is stored in fund base currency

only. For a transaction placed using one of the fund price currency; in the project allocation/ allocation tab, the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

For currency of expression transactions the exchange rate applied field during transaction capture will be defaulted to '1'. If you change it, then while saving, the system will display warning message as 'This is a currency of expression transaction and exchange rate will be defaulted to 1 by the system'. This message is shown if do not click the 'Enrich' button after changing the exchange rate. The amount applied field will show the values in fund base currency.

If you change the exchange rate and click 'Enrich' button, then the system default the value to '1' while saving without any warning message.

Note

The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

If there is no price available for the fund price currency during transaction input, the system will use the par value to arrive at the price. While saving the transaction, the system will display an override message as 'Price not available for the price currency and the system will use the par value for the transaction'. If you continue, then the system will use the par value for processing the transactions. The unit price in project allocation will display FPC price. This logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

4.16.19.2 Processing Unit Holder Currency of Expression

You can select Fund Base currency as currency of expression. There will be no restriction in changing/ amending the currency of expression any number of times against an UH and fund combination.You can maintain only one currency as currency of expression for a UH- Fund combination.

If a UH is closed and reopened then the corresponding action will not happen for the unit holder currency of expression maintenance. The UHCOE maintenance will get closed once the UH is closed but you have to manually reopen the currency of expression for the unit holder fund combination. In case, you do not reopen the UHCOE maintenance after UH reopening, and simultaneously input a transaction, then the system will not apply COE defaulting logic at UHCOE maintenance as there is already a record available for reopen.

Note

After maintaining the unit holder currency of expression, if one of the FPC is removed (at the fund level) and that currency is UHCOE for a UH, then defaulting at transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC (this will be a normal cross currency case). At the UHCOE maintenance this will be operationally controlled.

4.16.19.3 Processing Fund Price Maintenance

The system will validate at the time of fund price capture whether price is being maintained for the Fund in fund price currencies. If it is not maintained. then the system will display warning message as ‘Prices for all currencies are not maintained do you wish to continue?’

The Pre EOD checks ‘Number of Non Pre-Settled Funds for which Fund Price has not been entered’ will be changed to check whether price in FPC have been maintained for the day in the system. For the Pre-Settled trade funds, the Pre-EOD check ‘Number of Pre-Settled Trade Funds for which Fund Price has not been entered’ is maintained to list funds along with details such as fund Id, currency and effective date.This will be mandatory check. If the system does not find the price in currency of expression, then the transaction entered in currency of expression will not be allotted.

The Units will be allocated using respective currency of expression/ fund price if the transaction is done in currency of expression. If the transaction is done in fund base currency then the allocation will take place by taking the fund price captured in fund base currency. If the transaction is done in a currency which is other than FBC or currency of expression then the allocation of units will be done using prices captured in FBC.

Fluctuation percentage will be applicable for FPC’s as well. For project allocation, the system will take the latest available price and show the project allocation.

In case of menu allocation if the price is not available then the system will not allocate the transactions.

4.16.19.4 NAV Correction impact for fund price currencies

If the NAV is corrected for fund price currency, say, for instance, GBP and the amend transaction is set to Yes; then all the transactions will be corrected with the new NAV price for the fund price currency (GBP). In case the amend transaction is set to No; the new price will not be corrected at transaction level. ‘Reflect in Trading’ field will not be impacted.

4.16.19.5 Currency of expression logic applied during Transactions

Case 1: If transaction base currency is not a part of the fund price currency and UH COE is not maintained

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the fund base currency will be defaulted as the unit holder’s currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

Case 2: Transaction Currency is part of the Fund Price Currency and UHCOE is not maintained

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder’s currency of expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

Post the transaction authorization, the fund price currency/FBC has to be defaulted as UH preferred currencies at the UHCOE maintenance. (Post authorization user will not be able to amend the TBC hence defaulting will be post authorization).

Case 3: Transaction Currency is part of the Fund Price Currency and UHCOE is maintained

If Transaction base currency is other than the Unit holder's currency of expression and the Unit Holder already has a UH COE for this fund, then while saving, the system will display warning message as 'The transaction currency is not the currency of expression for the unit holder'.

UHCOE = FPC and TBC ≠ UHCOE

Note

The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UHCOE will be defaulted as Transaction currency.

4.16.19.6 System logic to derive the Price Currency

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

4.16.19.7 Switch Logic for currency of expression

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

4.17 Transaction Switch Summary Screen

This section contains the following topics:

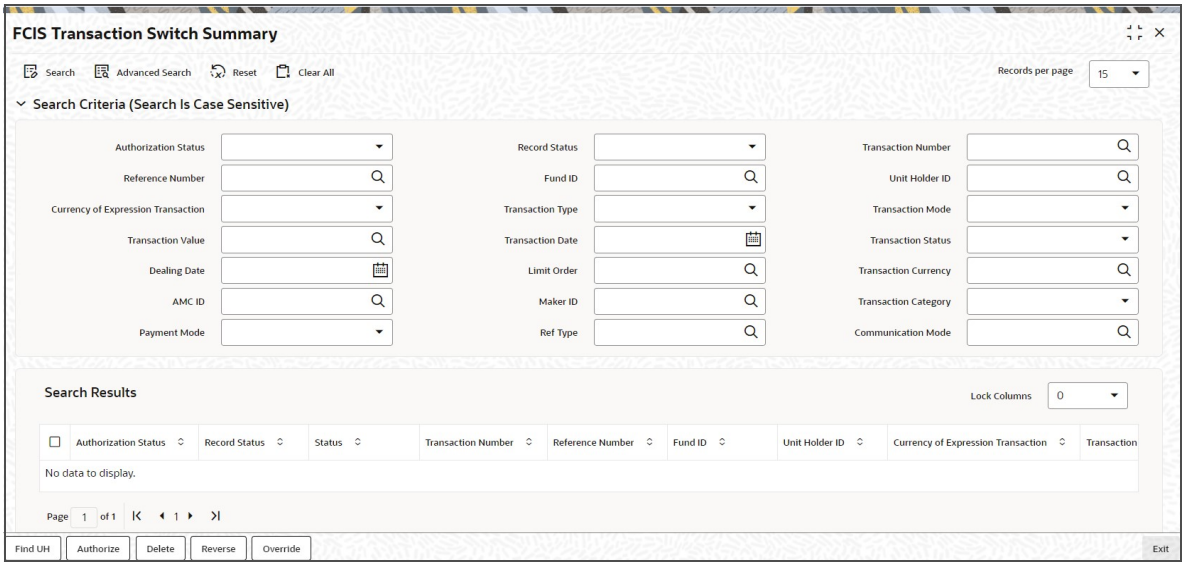
- Section 4.17.1, "Retrieving a Record in FCIS Transaction Switch Summary Screen"
- Section 4.17.2, "Editing FCIS Transaction Switch Record"
- Section 4.17.3, "Viewing FCIS Transaction Switch Record "
- Section 4.17.4, "Deleting FCIS Transaction Switch Record"

- Section 4.17.5, "Authorizing FCIS Transaction Switch Record "
- Section 4.17.6, "Amending FCIS Transaction Switch Record "
- Section 4.17.7, "Authorizing Amended FCIS Transaction Switch Record "

4.17.1 Retrieving a Record in FCIS Transaction Switch Summary Screen

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

Invoke the 'FCIS Transaction Switch Summary' screen by typing 'UTSTXN04' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Fund ID
- Currency of Expression Transaction
- Transaction Mode
- Transaction Date
- Dealing Date
- Transaction Currency
- Maker ID
- Payment Mode
- Communication Mode
- Unit Holder ID
- Transaction Type
- Transaction Value
- Transaction Status
- Limit Order
- AMC ID
- Transaction Category

- Ref Type

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

For example:

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

- Search by A% :- System will fetch all the records whose Transaction Number starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7:- System will fetch all the records whose Transaction Number ends by numeric value’ 7’ . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Number contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc.

4.17.2 Editing FCIS Transaction Switch Record

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

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

Click Save to save your changes. The FCIS Transaction Switch Detail screen is closed and the changes made are reflected in the FCIS Transaction Switch Summary screen.

4.17.3 Viewing FCIS Transaction Switch Record

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

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

4.17.4 Deleting FCIS Transaction Switch Record

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

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

4.17.5 Authorizing FCIS Transaction Switch Record

- An unauthorized FCIS Transaction Switch record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Transaction Switch Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Transaction Switch Detail screen is displayed. Select Authorize operation from the Action List.

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

4.17.6 Amending FCIS Transaction Switch Record

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

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

4.17.7 Authorizing Amended FCIS Transaction Switch Record

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

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

4.18 Light Weight Transaction Detail

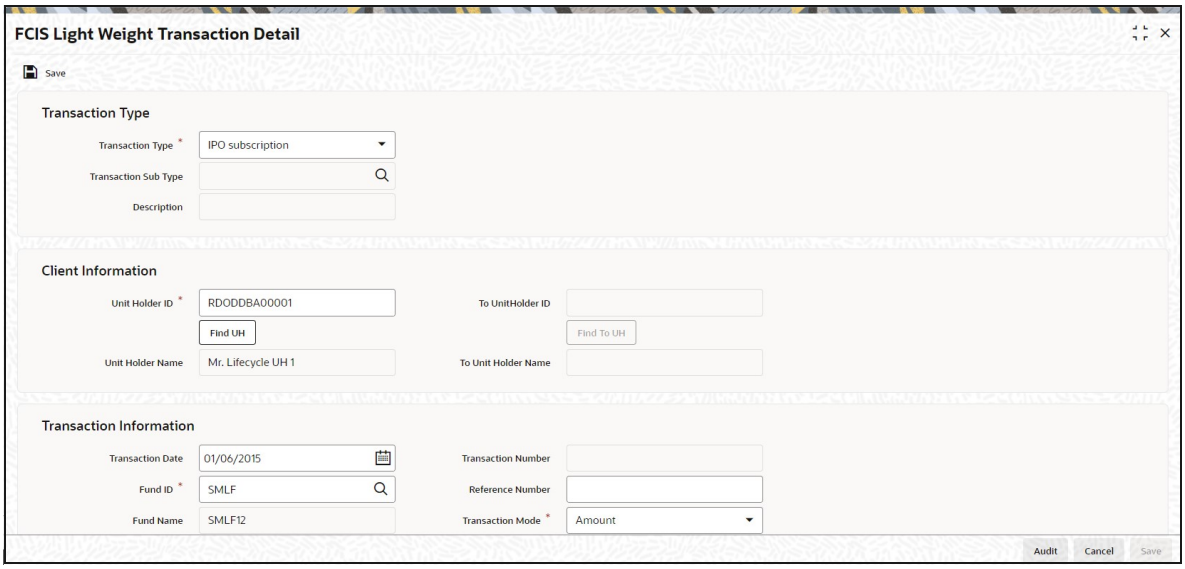
This section contains the following topic:

- Section 4.18.1, "Invoking Light Weight Transaction Detail Screen"

4.18.1 Invoking Light Weight Transaction Detail Screen

Enter a switch transaction request into the system in the following sequence of events:

Invoke the ‘FCIS Light Weight Transaction Detail’ screen by typing ‘UTDTXNLT’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Specify ‘Switch Form’ in the ‘Transaction Type’ field. The Switch Detail screen for transactions is displayed, with all the default information.



Transaction Type

Transaction Type

Mandatory

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

- IPO Subscription
- Subscription
- Redemption
- Switch From
- Transfer

Transaction Sub Type

Alphanumeric; 1 Character; Optional

Specify the transaction sub type. Alternatively, you can select transaction sub type from the option list. The option list display all valid transaction sub type maintained in the system. For Transfer Switch transaction, you need to select 'Switch From' in Transaction Type and 'Transfer Switch' in Transaction Sub Type from the list displayed,

- Normal Switch
- Pseudo Switch
- CMA Switch
- BB Switch
- Transfer Switch

Note

For a 'Switch From' transaction type, you cannot opt the 'Bed and Breakfast Switch' sub type.

Description

Display

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

Client Information

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID of the unit holder who has requested for the transaction. You can select the unit holder ID by clicking 'Find UH' button.

Unit Holder Name

Display

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

To UnitHolder ID

Alphanumeric; 12 Characters; Optional

Specify the to unit holder ID. You can also select To Unit Holder ID by clicking 'Find UH' button.

This field is enabled only if you have selected 'Transfer' option in 'Transaction Type' field.

To Unit Holder Name

Display

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

Transaction Information

Transaction Date

Date Format; Mandatory

By default, the settlement date is arrived at by taking the payment lag defined for the fund in the Transaction Processing Rules into consideration. The date displayed here can be altered, if required, and you can specify the requisite settlement date.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund id for which the requested transaction is to be put through, from the option list in the Fund ID field.

Fund Name

Display

The system displays the name of the selected fund ID.

Fund Identification Number

Display

The system displays the Fund Identification Number.

Transaction Currency

Alphanumeric; 3 Characters; Optional

Specify the currency in which the amount value for the transaction will be reckoned, in the Transaction Currency field.

The option list displays only the maintained fund base currency and fund price currencies for the Fund ID selected.

Refer the session above to know more about the validation of these fields and about the link KYC details and Payment Details.

You can now save the transaction. A summary screen will appear showing all the details of the transaction along with defaults and transaction number.

Note

Ensure that the verified bank accounts are used for redemption transaction. If the bank accounts are unverified, such accounts should not be processed till the account status is changed to ‘Verified’.

This can be only a Fund Base Currency or Fund Price Currency

You can now save the transaction. A summary screen will appear showing all the details of the transaction along with defaults and transaction number.

Refer the session above to know more about the validation of these fields.

Note

Multi currency is not handled in light-weight screens and Bulk client defaults should be maintained.

The Inflow breach factor for IN transactions and Outflow breach factor for OUT transactions are considered for arriving at the fund inflow/outflow dilution levy breach limit (Fund Corpus * Inflow / Outflow Breach Factor < Net Amount in FBC) for the day. Dilution levy is validated against the gross transaction amount. If gross transaction amount is greater than the dilution levy breach limit, then a warning message is displayed by the system. Dilution levy value can be overridden. The overridden value is considered only if the transaction is breaching the dilution levy limit amount. If a transaction is saved and if there are overrides while saving such a transaction, then the warning message is displayed by the system as 'Transactions are saved with overrides.'

To Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund to which the unit holder wishes to switch the investment, in the To Fund ID field.

This field is enabled only if you have selected 'Switch From' or 'Transfer' option in 'Transaction Type' field.

Subscription Fund ID

Alphanumeric; 6 Characters; Optional

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

KIID Received?

Mandatory

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

- Yes
- No

Units Classification

Alphanumeric; 1 Character; Optional

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

Units Classification Description

Display

The system displays the description for the selected unit classification.

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

Specify the reference number.

Transaction Mode

Mandatory

Select the mode in which the transaction value will be reckoned from the drop-down list. The list displays the following values:

- Amount
- Percent
- Units

> **Note**
>
> Transaction Mode will be enabled for only Pseudo switch transactions.

Units

Numeric; 27 Characters; Optional

Specify the units applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Units. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Amount

Numeric; 27 Characters; Optional

Specify the amount applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Amount. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Percent

Numeric; 27 Characters; Optional

Specify the percent applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Percent. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Payment Mode

Alphanumeric; 2 Characters; Optional

Specify the mode in which the payment for the transaction will be made, in the Payment Mode field.

Payment Mode Description

Display

The description for the mode selected is displayed here.

Age Out Preference

Alphanumeric; 1 Character; Optional

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

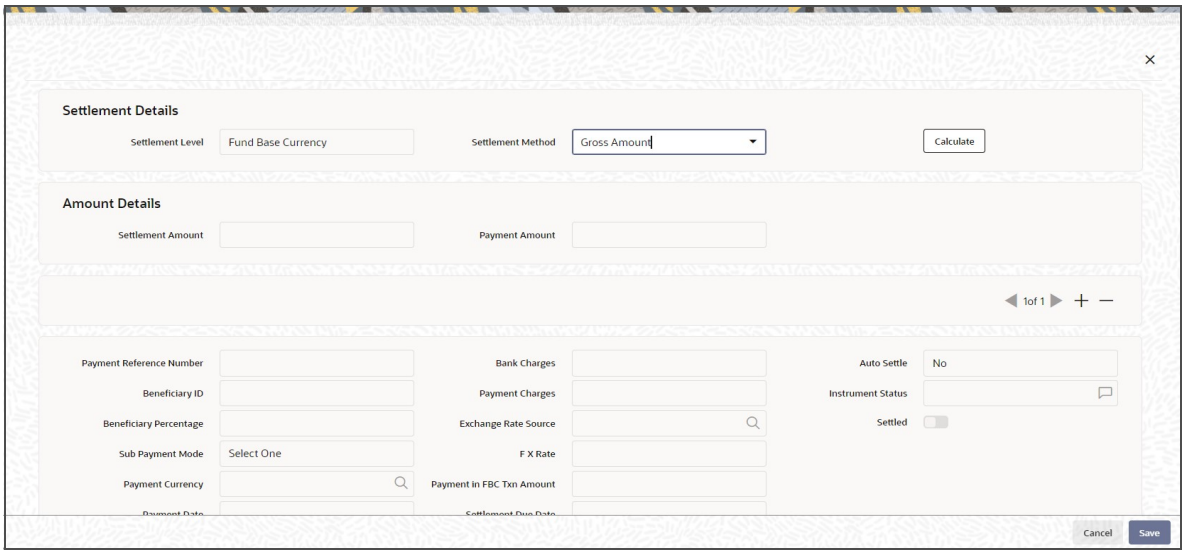
Age out Preference Description

Display

The system displays the description for the selected age out preference.

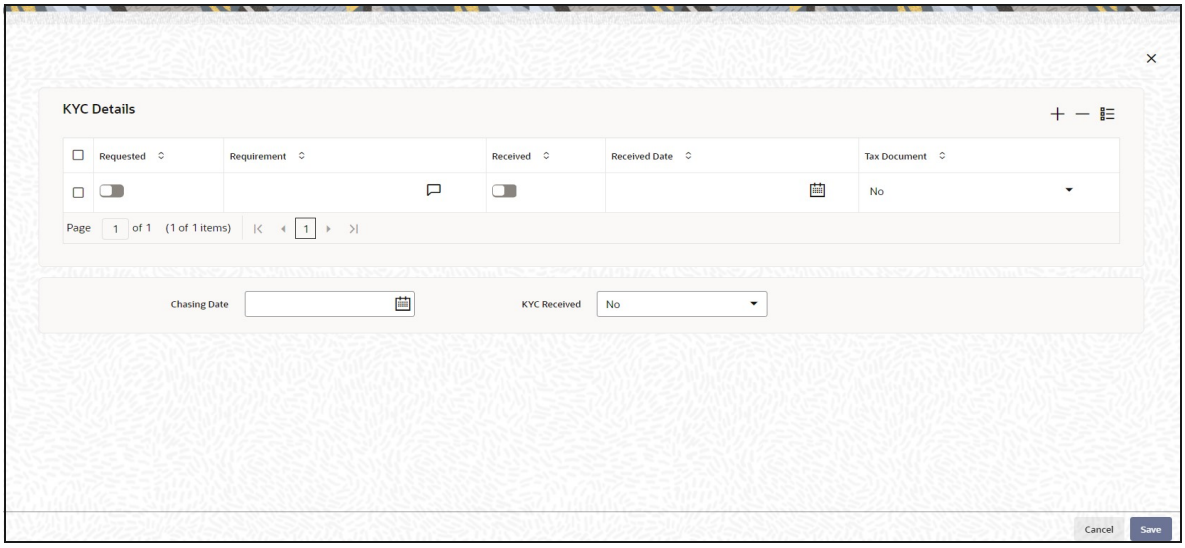
The ‘Payment Details’ button is disabled if you select ‘Transfer’ option in Transaction Type field.

Click ‘Payment Details’ button. The following window is displayed:



For further details, refer ‘Settlement Details button’ sub section in ‘IPO Subscription Detail’ section in this user manual.

Click ‘KYC Details’ button. The following window is displayed:



You can specify the following details:

KYC Details

Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Mandatory

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

KYC Received

Optional

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

- Yes
- No

4.19 Transfer Detail

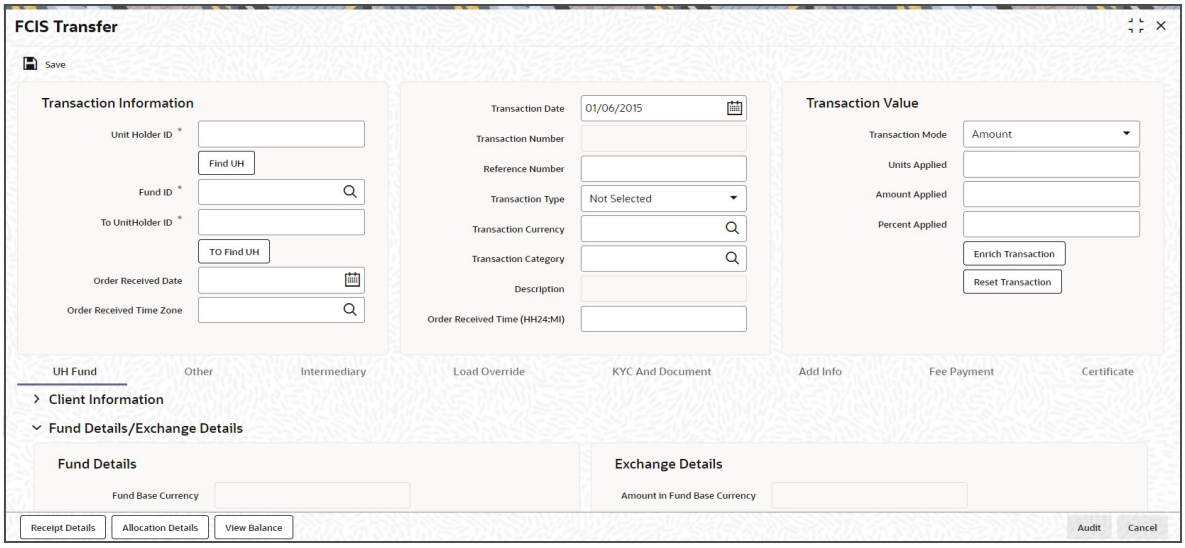
This section contains the following topics:

- Section 4.19.1, "Invoking Transfer Detail Screen"
- Section 4.19.2, "UH Fund Tab"
- Section 4.19.3, "Other Tab"
- Section 4.19.4, "Intermediary Tab"
- Section 4.19.5, "Load Override Tab"
- Section 4.19.6, "KYC and Document Tab"
- Section 4.19.7, "Add Info Tab"
- Section 4.19.8, "Fee Payment Tab"
- Section 4.19.9, "Certificate Tab"
- Section 4.19.10, "Receipt Detail Button"
- Section 4.19.11, "Allocation Details Button"
- Section 4.19.12, "View Balance Button"
- Section 4.19.13, "Saving the Transaction"

4.19.1 Invoking Transfer Detail Screen

To enter a transfer transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Transfer Detail' screen by typing 'UTDTXN05/ UTDTRA05' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for Transfer transactions is displayed, with all the default information.



You can specify the following details:

Transaction Information

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Transaction Information section.

Note

When you change the unit holder, time zone will get reset accordingly with a warning message "I-TZDEFAULT".

You can query for unit holder ID by clicking 'Find UH' button.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

To UnitHolder ID

Alphanumeric; 12 Characters; Mandatory

Specify To unit holder that has requested the transaction, in the Transaction Information section.

You can query for To unit holder ID by clicking ‘Find UH’ button.

Order Received Date

Date Format; Optional

Specify the order received date.

Note

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

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.

Note

- System should allow the user to map service location in the Service Location Maintenance screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured.
- If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone.
- If the Default Time Zone value is null, then the system will display an error message.
- Order Received Time zone will not be defaulted for system generated transactions.

Transaction Date

Date Format; Mandatory

Specify the transaction date.

Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order Received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order Received time breaches the fund cutoff, then transaction date arrives to next business date.

It is better understood by the below example:

Fund ID	FNSGP1		
Fund Time Zone	SGT		
Fund Cut Off	17:30		
Module Default Time Zone	HKT		
Time Zone	UKT	HKT	SGT
GMT+	00:00:00	08:00:00	08:00:00

Order Received within Cut off time		Order Received Post Cut off time	
Fund ID	FNSGP1	Fund ID	FNSGP1
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

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 Type

Optional

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

- Book to Certificate
- Certificate to Book
- Normal Transfer
- Roll Over

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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Transaction Category

Alphanumeric; 1 Character; Optional

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

Description

Display

The system displays the description for the selected transaction category.

Order Received Time (HH24:MI)

Time Format; Optional

Specify the order received time.

> **Note**
>
> Order Received Time will not be defaulted for system generated transactions.

Transaction Value

Transaction Mode

Mandatory

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

- Amount
- Units
- Percent

Units Applied

Numeric; 27 Characters; Optional

Specify the units applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Units. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Amount Applied

Numeric; 27 Characters; Optional

Specify the amount applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Amount. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Percent Applied

Numeric; 27 Characters; Optional

Specify the percent applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Percent. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click on ‘Enrich Transaction’ button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of ‘Enrich Transaction’ button all the header fields will be disabled. Clicking ‘Enrich Transaction’ button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click ‘Reset Transaction’ button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking ‘Reset Transaction’ button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click ‘Reset Transaction’ button. Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

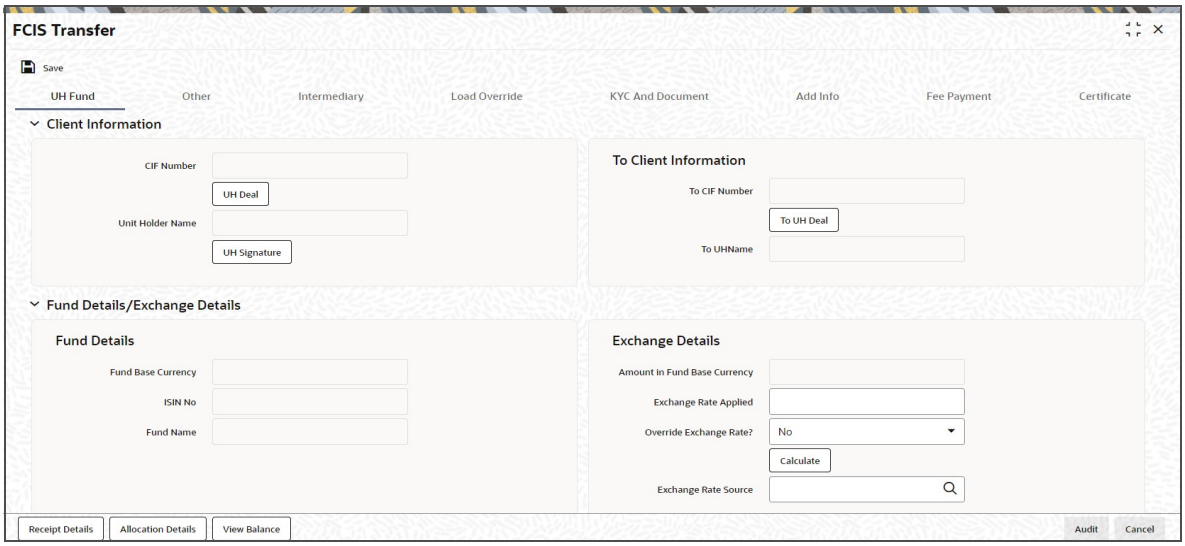
The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

Note

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
- If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The ‘Reset Transaction’ Button will be disabled, if UBS- Integration is enabled

4.19.2 UH Fund Tab

Click UH Fund tab in FCIS Transfer Detail screen.



Client Information

The system displays the following values:

- CIF Number
- Unit Holder Name

Click ‘UH Signature’ button to upload the image.

Click ‘UH Deal’ button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

To Client Information

The system displays the following values:

- To CIF Number
- To Unit Holder Name

Click ‘To UH Deal’ button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

Fund Details/Exchange Details

Fund Details

When you specify the unit holder, the following details are displayed:

- Fund Base Currency
- IAIN Number
- Fund Name

Exchange Details

Amount in Fund Base Currency

Display

The system displays the amount in fund base currency.

Exchange Rate Applied

Numeric; 21 Characters; Optional

Specify the exchange rate applied.

Override Exchange Rate?

Optional

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

- Yes
- No

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

Specify the exchange rate source.

Click ‘Calculate’ button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Applied Exchange Rate field.

If the transaction value is specified in units or percentage of holdings, then the prevalent price for a transfer transaction on the transaction date is used to compute the amount of the transaction, and the same is converted into the fund base currency equivalent.

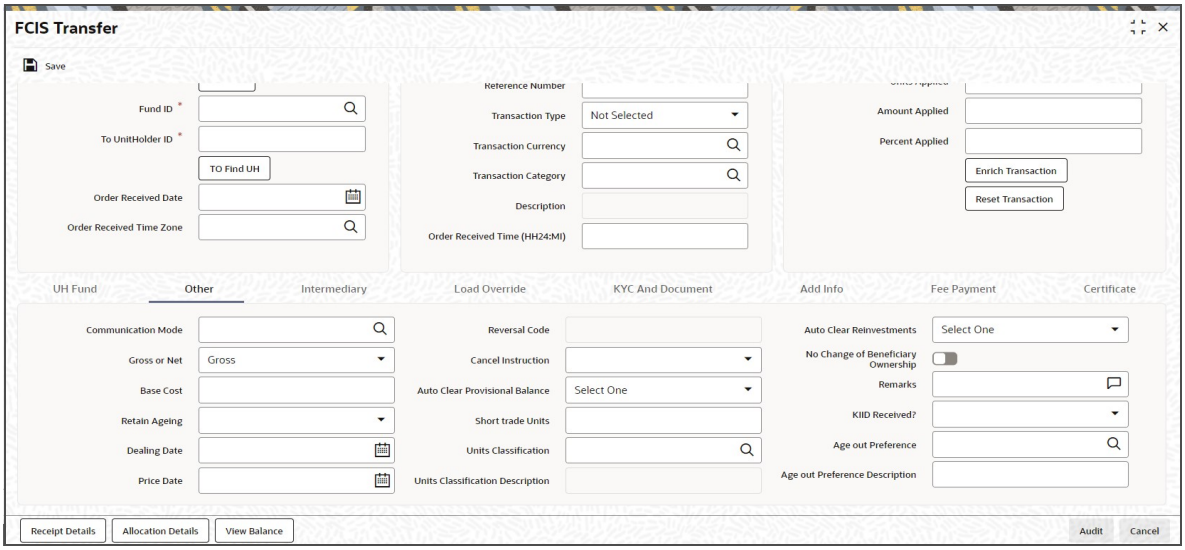
If you wish to override the applied exchange rate at this stage, select the ‘Yes’ option in the Override Exchange Rate field. Specify the overridden exchange rate in the Applied Exchange Rate field, and click the Calculate button again. If overridden, the overridden exchange rate should be within the permitted fluctuation limits defined in the Source Maintenance.

Note

Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

4.19.3 Other Tab

Click on ‘Other’ tab in the FCIS Transfer screen.



You can specify the following details:

Communication Mode

Alphanumeric; 2 Characters; Mandatory

Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

Gross or Net

Optional

Select the net value exclusive of the loads from the drop-down list. The list displays the following values:

- Gross
- Net

Base Cost

Numeric; 6 Characters; Optional

Specify the base cost details.

Retain Ageing

Optional

Select if ageing has to be retained or not from the drop-down list. The list displays the following values:

- Yes
- No

Note

The flag for Retain Ageing to Subscription is not available for System generated transactions like Standing Instructions. System would take default values from the Fund Rules for such transactions.

Dealing Date

Date Format; optional

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund

Price Date

Date Format; optional

The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section 'Defaulting of Price Dates in the Transaction' Screens in this chapter. You can modify this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

Reversal Code

Display

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

Cancel Instruction

Optional

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

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

Note

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to ‘Standing Instruction’, would re-instate the standing instructions.

Auto Clear Provisional Balance

Optional

Select ‘Yes’ option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is ‘Percent’ and the transaction value is ‘100’.

Short Trade Units

Numeric; 27 Characters; Optional

Specify the short trade units.

If the unit holder is nominee account, only then system will allow you to capture the short trade units.

Applicable short trade units will be taken for applying penalty.

If short trade units is not entered, then the transaction allocation will follow the normal allocation process.

Units Classification

Alphanumeric; 1 Character; Optional

Specify the units classification code. Alternatively, you can select units classification code from the option list. The list displays valid unit classification code maintained in the system.

Units Classification Description

Display

The system displays the description for the selected units classification code.

Auto Clear Reinvestments

Optional

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

- Yes
- No

No Change of Beneficiary Ownership

Optional

Check this box if there is no change in beneficiary ownership details.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

KIID Received?

Optional

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

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the ‘UCITS Fund’ at the Fund level is ‘Yes’ and the UH mapping to the Fund in the ‘UH KIID Compliance’ tab is ‘NO’ then at the transaction level, the system will default the ‘KIID Complaint’ to ‘No’.

If the KIID Received is set to ‘No’, the system display an error message while saving the transaction as ‘The Unit holder has not received the KIID’.

If the flag is set to ‘YES’ there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from ‘No’ to ‘Yes’ and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to ‘No’ and then you need to manually override it.

Age out Preference

Alphanumeric; 1 Character; Optional

Specify the age out preference from which we need to preferably redeem the units during outflow and is applicable for Redemption, Switch and Transfer screens. Alternatively, you can select age out preference from the option list. The list displays all valid age out preference code maintained in the system.

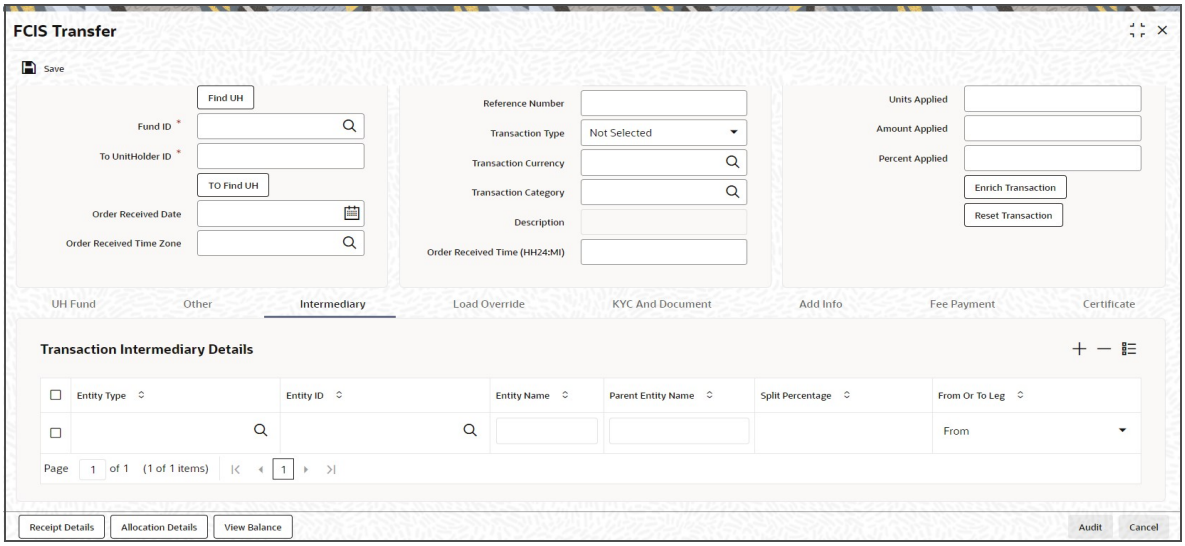
Age out Preference Description

Display

The system displays the description for the selected age out preference code.

4.19.4 Intermediary Tab

Click on ‘Intermediary’ tab in the FCIS Transfer Detail screen.



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

Entity Type

Alphanumeric; 1 Character; Optional

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Optional

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Display

When you select the broker code, the name of the broker is displayed.

Parent Entity Name

Display

When you select the broker code, the name of the parent broker for the selected broker is displayed.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

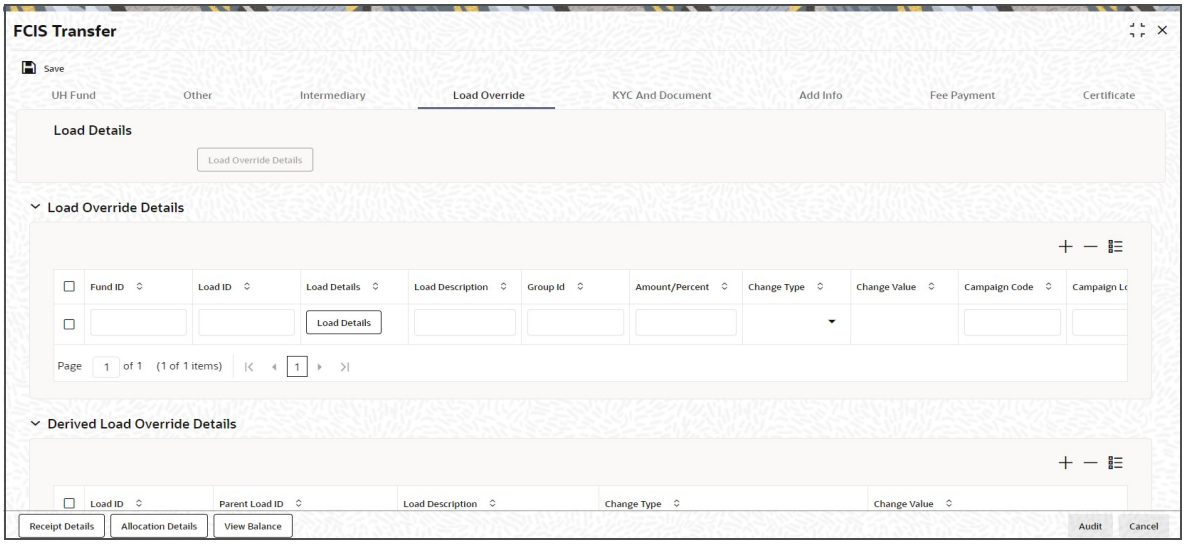
Optional

Specify the from or to leg details from the drop-down list. The list displays the following values:

- From
- To

4.19.5 Load Override Tab

Click on ‘Load Override’ tab in the FCIS Transfer Detail screen.



In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

If you click ‘Load Override Details’ button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

Fund ID

Display

The system displays the fund ID.

Load ID

Display

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

Load Details

Clicking ‘Load Details’ button, ‘Load Maintenance Detail’ screen is displayed.

For further details refer ‘Load Maintenance Detail’ section in Fund Rule user manual.

Load Description

Display

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

Group ID

Display

The system displays the group ID.

Amount/Percent

Display

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

Change type

Optional

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

- Discount
- Increase
- Return Value

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

Change Value

Alphanumeric; 30 Characters; Optional

Specify the change value details.

Campaign Code

Display

The system displays the campaign code.

Campaign Load ID

Display

The system displays the campaign load ID.

Project Return Value

Display

The system populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking 'Enrich Transaction' in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

Derived Load Override Details

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description

Change type

Optional

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

- Discount
- Increase
- Return Value

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

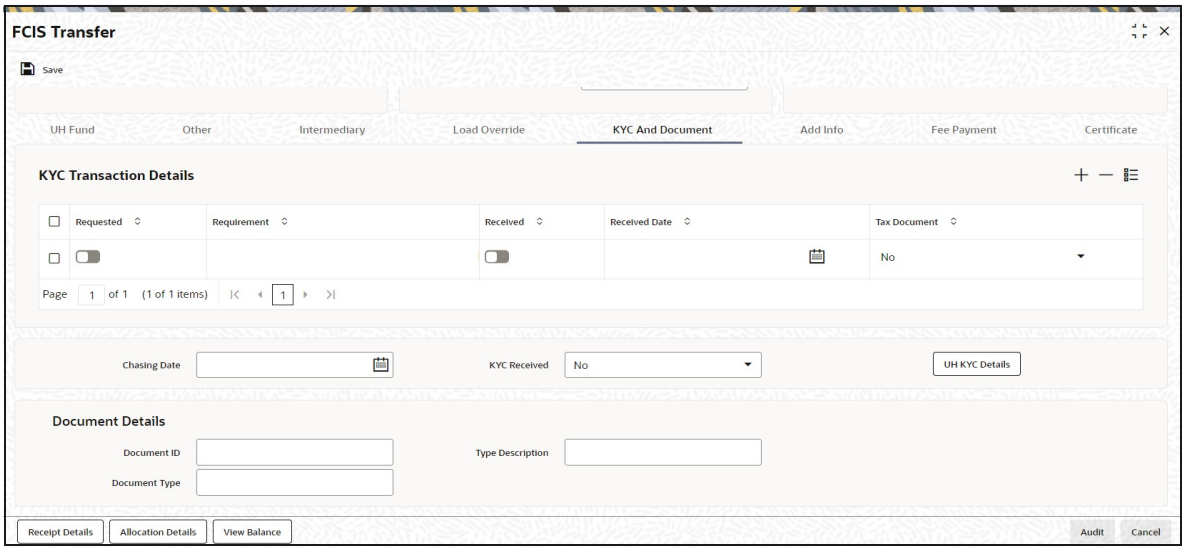
Change Value

Alphanumeric; 30 Characters; Optional

Specify the change value details.

4.19.6 KYC and Document Tab

Click on 'KYC and Document' tab in the FCIS Transfer Detail screen.



Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Optional

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

KYC Received

Optional

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

- Yes
- No

Document Details

Document ID

Alphanumeric; 25 Characters; Optional

Specify the document ID.

Document Type

Alphanumeric; 4 Characters; Optional

Specify the document type.

Type Description

Alphanumeric; 255 Characters; Optional

Specify the description for the type of document.

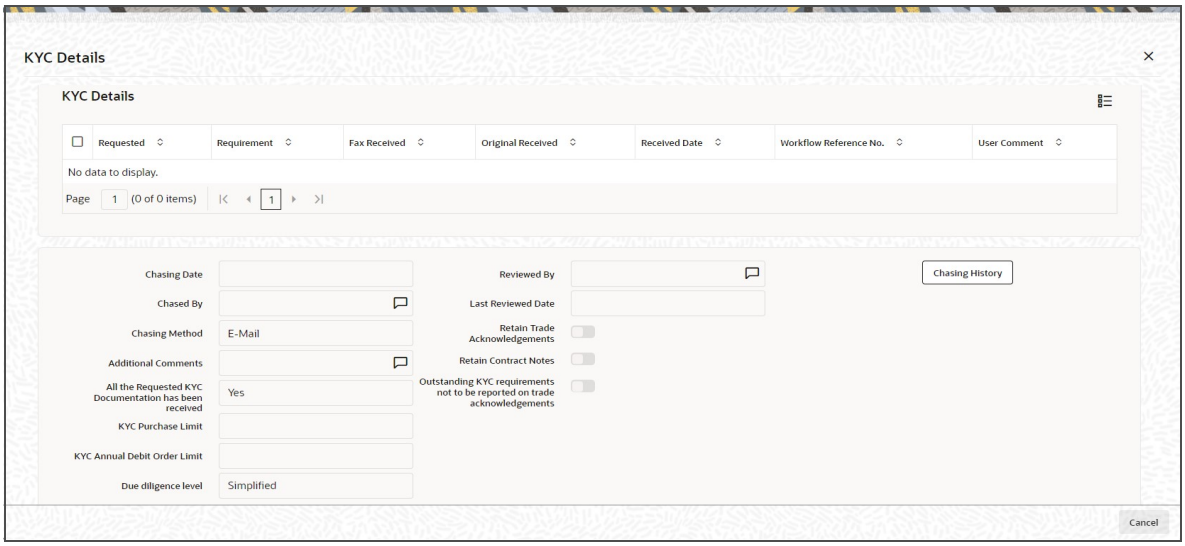
If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax Id, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC.

The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements.

Note

If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.



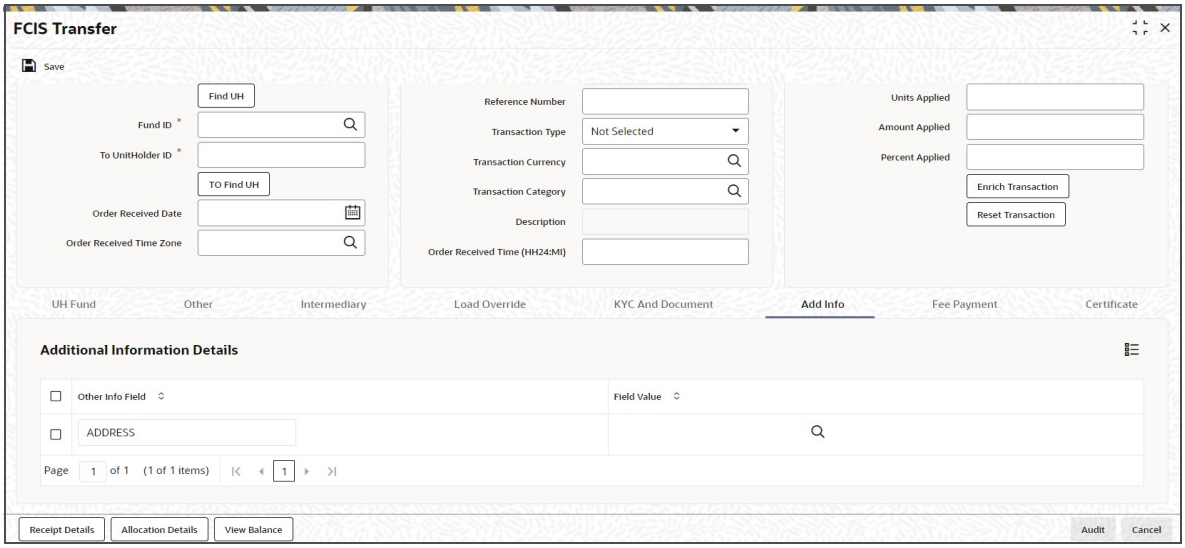
The details are populated from Unit Holder Maintenance screen (UTDUH).

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH. If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as 'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

For further details on this screen, refer 'KYC Details Tab' in 'Unit Holder Maintenance Detail' screen (UTDUH) in Entities User Manual.

4.19.7 Add Info Tab

Click on 'Add Info' tab in the FCIS Transfer Detail screen.



Other Info Field

Display

The system displays additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.

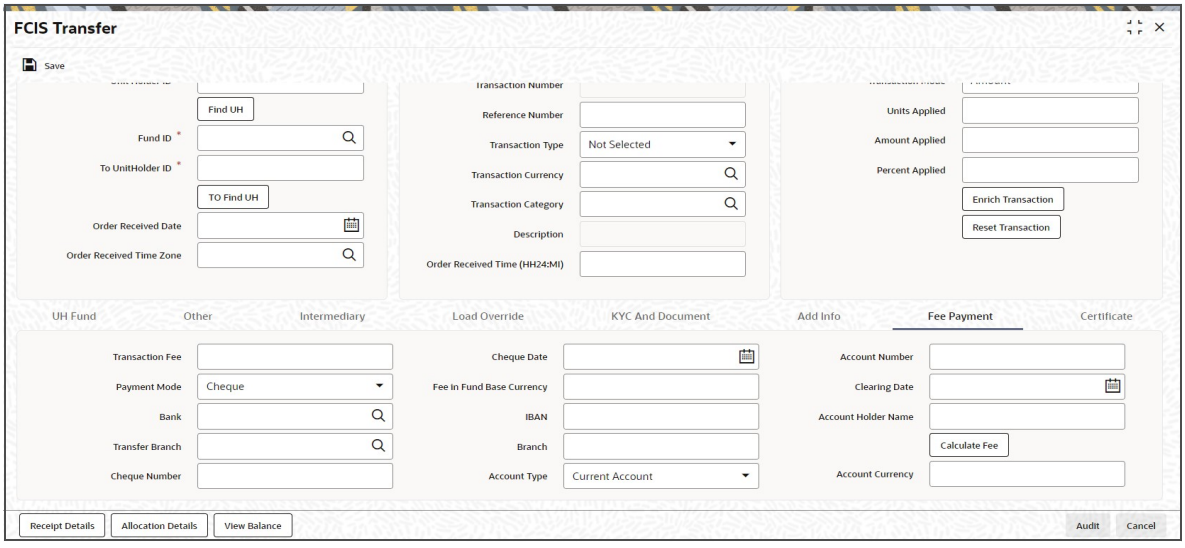
Field Value

Display

The system displays the field value.

4.19.8 Fee Payment Tab

Click on 'Fee Payment' tab in the FCIS Transfer Detail screen.



If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

Transaction Fee

Numeric; 30 Characters; Optional

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

Payment Mode

Optional

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

- Cheque
- Transfer
- Draft
- Card

Bank

Alphanumeric; 12 Characters; Optional

Specify the bank details.

Transfer Branch

Alphanumeric; 12 Characters; Optional

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

Cheque Number

Alphanumeric; 16 Characters; Optional

Specify the cheque number.

Cheque Date

Date Format; Optional

Specify the cheque date.

Fee in Fund Base Currency

Alphanumeric; 3 Characters; Optional

Specify the fee in fund base currency details.

IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

Transfer Branch

Alphanumeric; 20 Characters; Optional

Specify the branch code.

Account Type

Optional

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

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account

- Savings Account
- Sweeping Account

Account Number

Alphanumeric; 34 Characters; Optional

Specify the account number.

Clearing Date

Date Format; Optional

Specify the clearing date.

Account Holder Name

Alphanumeric; 100 Characters; Optional

Specify the name of the account holder.

Account Currency

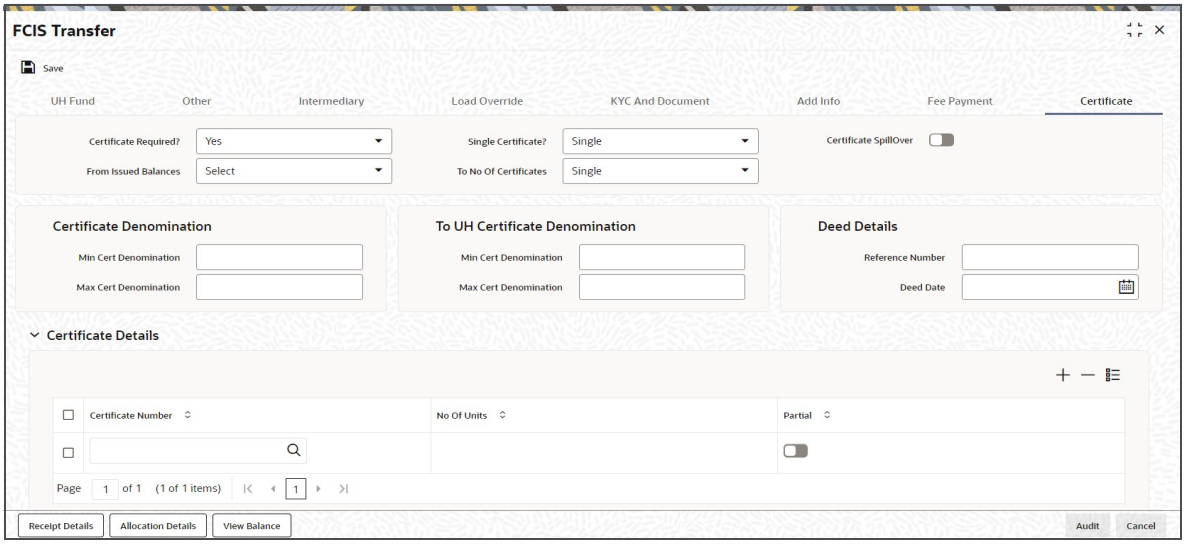
Alphanumeric; 3 Characters; Optional

Specify the account currency details.

Clicking ‘Calculate Fee’ button, the system calculates the fee payment details.

4.19.9 Certificate Tab

Click ‘Certificate’ tab in the FCIS Transfer Detail screen.



Certificate Required?

Optional

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

- Yes
- No

If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose ‘Yes’ in the Certificate Required field.

Single Certificate?

Optional

Select whether a single certificate or multiple certificates have been requested from the drop-down list. The list displays the following values:

- Single
- Multiple

If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.

Certificate Spill Over?

Optional

Check this box to allow certificate spill over.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

To No Of Certificates

Optional

Select To number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

Certificate Denomination

Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

To UH Certificate Denomination

Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

Deed Details

Reference Number

Alphanumeric; 22 Characters; Optional

Specify the reference number.

Deed Date

Date Format; Optional

Specify the deed date.

Certificate Details

Certificate Number

Numeric; 10 Characters; Optional

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

Units

Numeric; 27 Characters; Optional

Specify the units details.

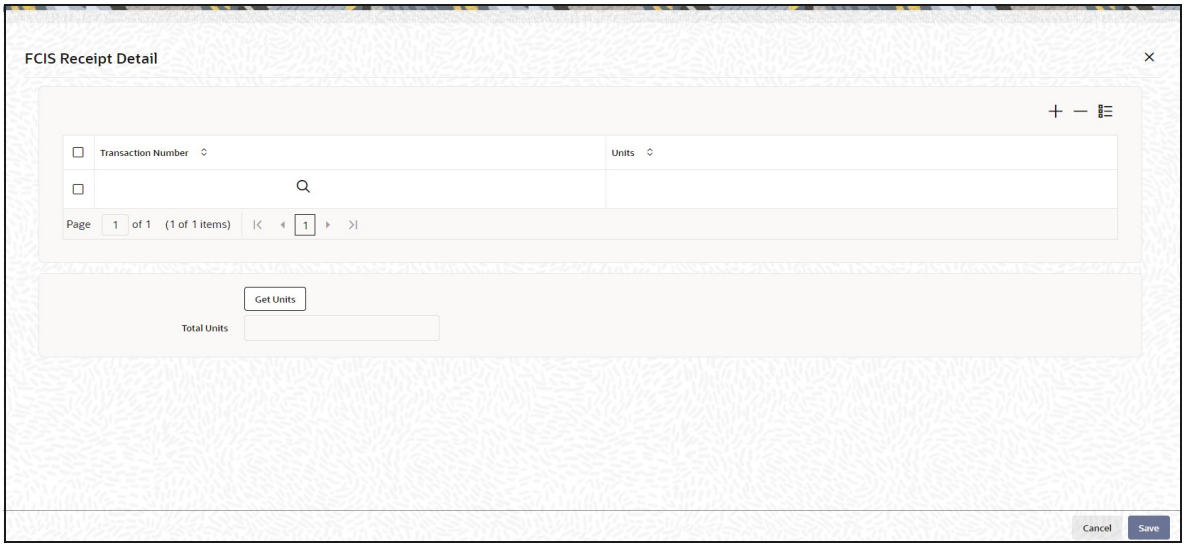
Partial

Optional

Check this box if partial details to be selected.

4.19.10 Receipt Detail Button

Click on ‘Receipt Detail’ button to invoke Receipt Details screen.



You can specify the following details:

Transaction Number

Alphanumeric; 16 Characters; Optional

Specifies the transaction number linked to the outflow transaction.

Units

Numeric; 22 Characters; Optional

Specify the units details.

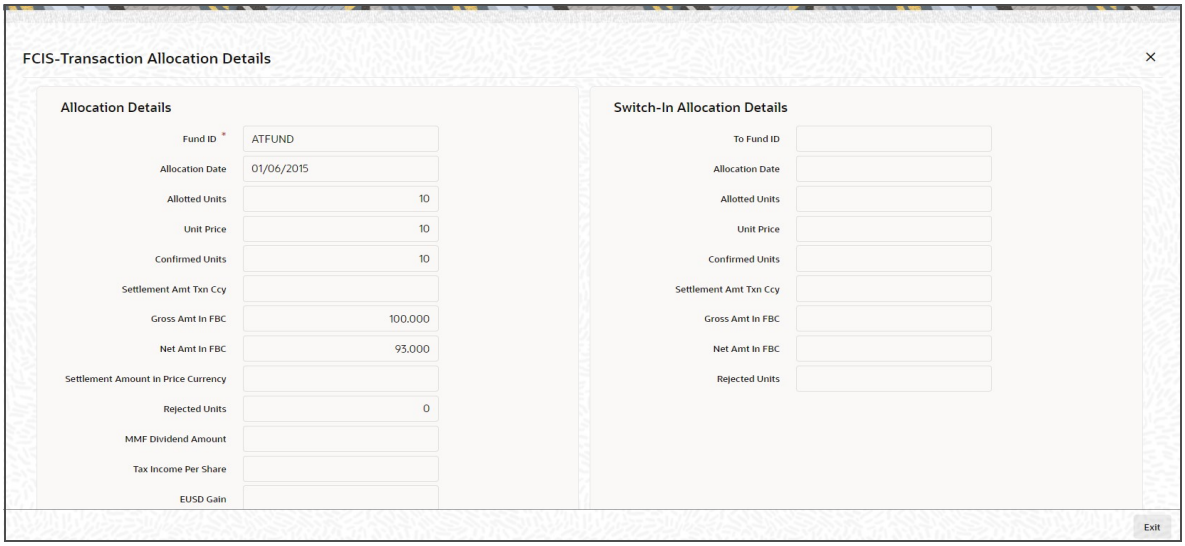
Total Units

Display

The system displays the total number of units by clicking ‘Get Units’ button.

4.19.11 Allocation Details Button

Clicking ‘Allocation Details’ button, the following screen is displayed:



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

CGT Deduction Details

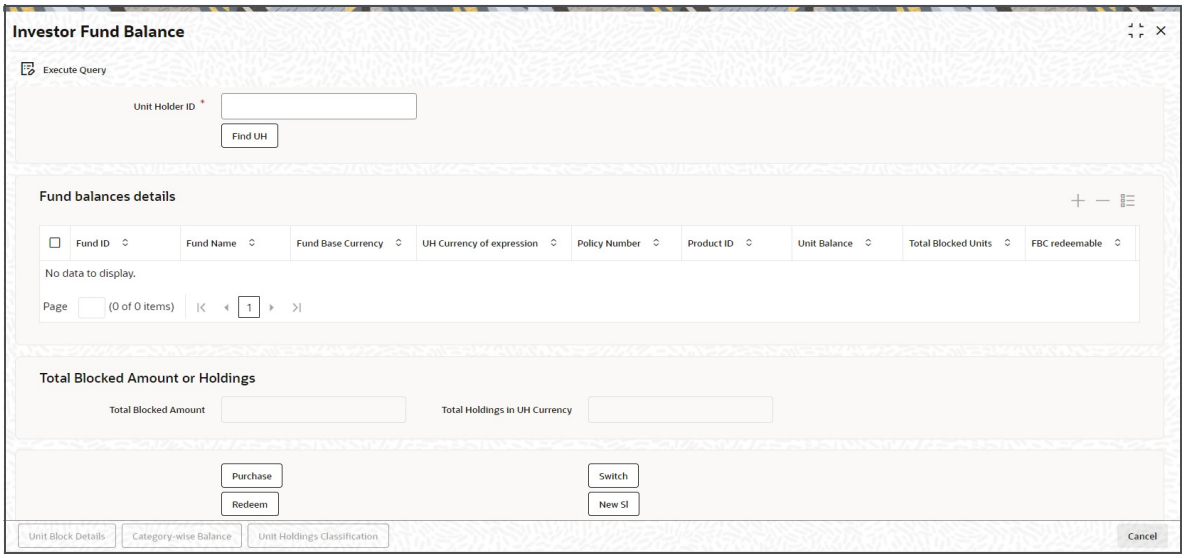
The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name

- Tax Amount

4.19.12 View Balance Button

Clicking ‘View Balance’ button, ‘Investor Fund Balance’ screen is displayed:



For further details, refer View Balance Button sub section in ‘IPO Subscription Detail’ section in this User Manual.

Note

If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session time out. This is applicable for both online and gateway users.

4.19.13 Saving the Transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

4.20 Transfer Summary Screen

You can perform the following operations in this screen:

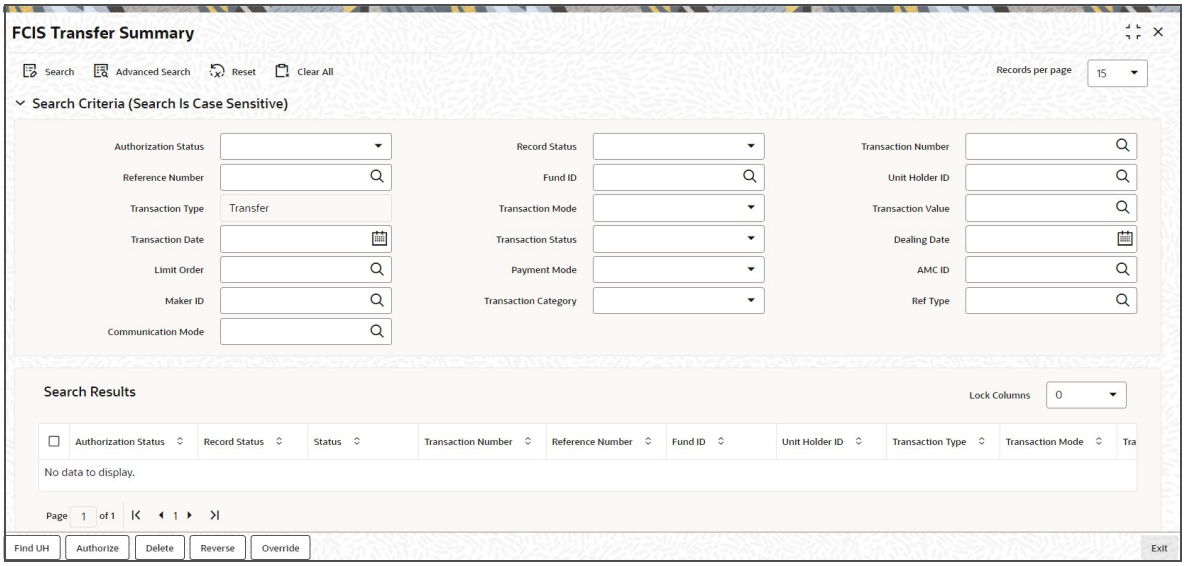
- Section 4.20.1, "Retrieving a Record in Transfer Summary Screen"
- Section 4.20.2, "Editing Transfer Record"
- Section 4.20.3, "Viewing Transfer Record "
- Section 4.20.4, "Deleting Transfer Record"

- Section 4.20.5, "Authorizing Transfer Record "
- Section 4.20.6, "Amending Transfer Record "
- Section 4.20.7, "Authorizing Amended Transfer Record "

4.20.1 Retrieving a Record in Transfer Summary Screen

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

Invoke the 'FCIS Transfer Summary' screen by typing 'UTSTXN05' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Fund ID
- Transaction Type
- Transaction Value
- Transaction Status
- Limit Order
- AMC ID
- Transaction Category
- Communication Mode
- Reference Number
- Unit Holder ID
- Transaction Mode
- Transaction Date
- Dealing Date
- Payment Mode
- Maker ID
- Ref Type

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

For example:

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

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’ . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc.

4.20.2 Editing Transfer Record

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

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

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

4.20.3 Viewing Transfer Record

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

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

4.20.4 Deleting Transfer Record

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

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

4.20.5 Authorizing Transfer Record

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

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

4.20.6 Amending Transfer Record

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

- Invoke the FCIS Transfer Summary screen from the Browser.

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

4.20.7 Authorizing Amended Transfer Record

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

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

4.21 Block Transaction Detail

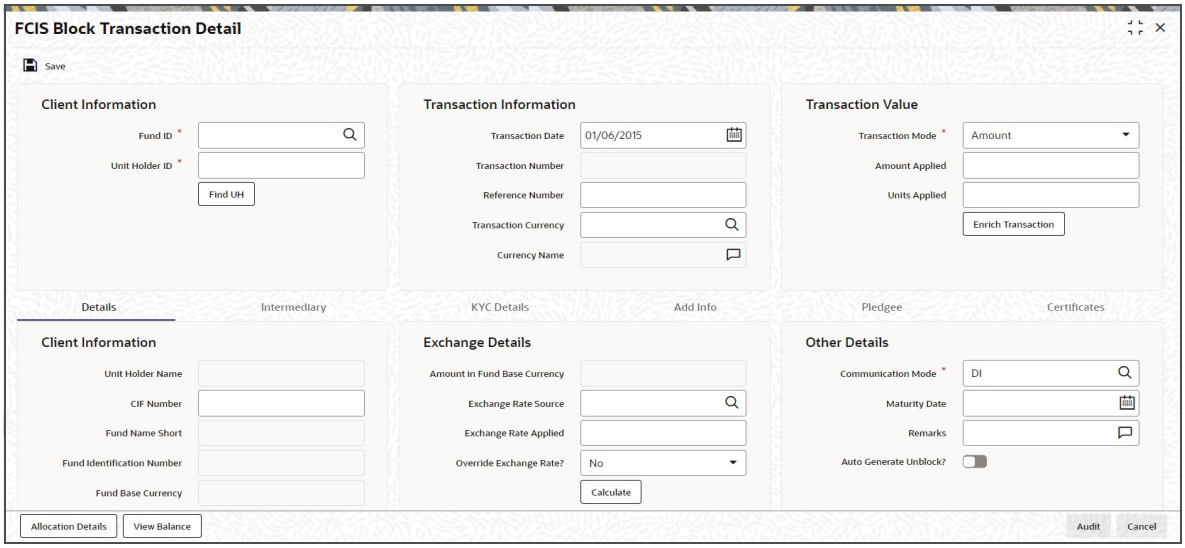
This section contains the following topics:

- Section 4.21.1, "Invoking Block Transaction Detail Screen"
- Section 4.21.2, "Details Tab"
- Section 4.21.3, "Intermediary Tab"
- Section 4.21.4, "KYC Details Tab"
- Section 4.21.5, "Add Info Tab"
- Section 4.21.6, "Pledgee Tab"
- Section 4.21.7, "Certificate Tab"
- Section 4.21.8, "Allocation Details Button"
- Section 4.21.9, "View Balance Button"
- Section 4.21.10, "Saving the transaction"

4.21.1 Invoking Block Transaction Detail Screen

To enter a block transaction request into the system, perform the following sequence of steps:

Invoke the ‘FCIS Block Transaction Detail’ screen by typing ‘UTDTXN06/ UTDTRA06’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for Block transactions is displayed, with all the default information.



You can specify the following details:

Client Information

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

You can also query for unit holder ID by clicking ‘Find UH’ button.

Transaction Information

Transaction Date

Date Format; Mandatory

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

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 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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Currency Name

Display

The system displays the name of the currency.

Transaction Value

Transaction Mode

Mandatory

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

- Amount
- Units

Amount Applied

Numeric; 27 Characters; Optional

Specify the amount applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Amount. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Units Applied

Numeric; 27 Characters; Optional

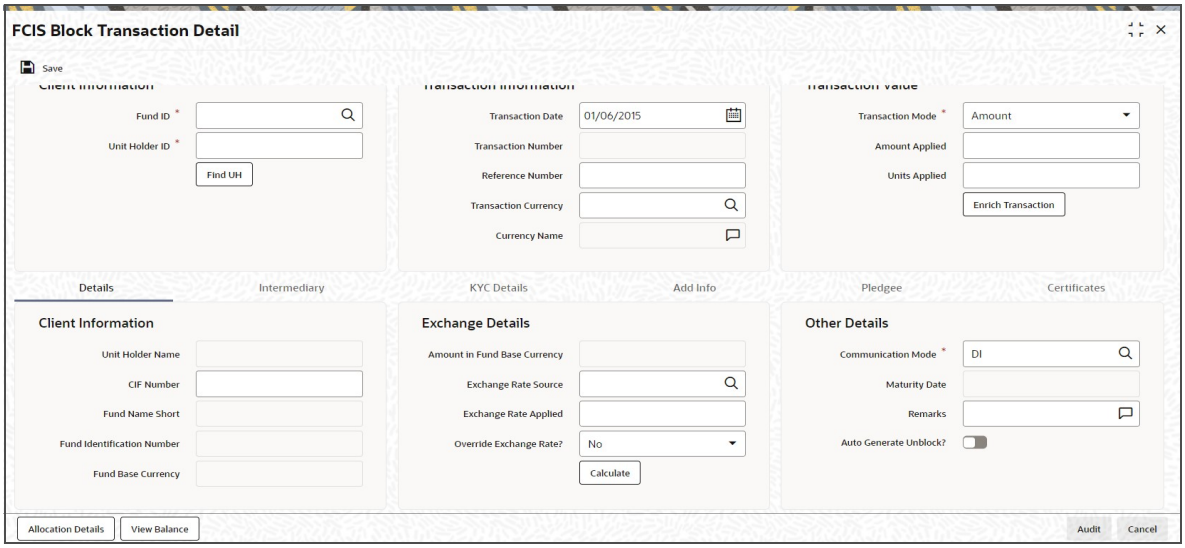
Specify the units applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Units. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click on ‘Enrich Transaction’ button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

4.21.2 Details Tab

Click ‘Details’ tab in the FCIS Block Transaction Detail screen.



You can specify the following details:

Client Information

CIF Number

Alphanumeric; 20 Characters; Optional

Specify the CIF number.

The system will display the following values:

- Unit Holder Name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

Exchange Details

Amount in Fund Base Currency

Display

The system displays the amount in fund base currency.

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

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

Note

Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Exchange Rate Applied

Numeric; 6 Characters; Optional

Specify the applied exchange rate.

Override Exchange Rate?

Optional

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

- Yes
- No

Other Details

Communication Mode

Alphanumeric; 2 Characters; Mandatory

Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

Maturity Date

Date Format; Optional

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

Note

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

Auto Generate Block?

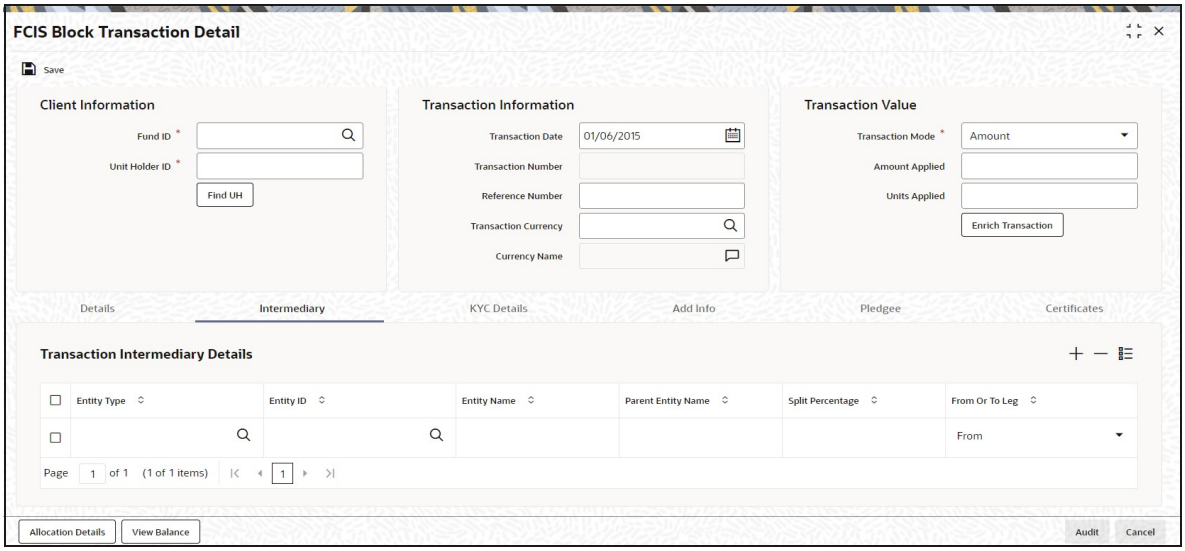
Optional

Check this box if block transactions needs to be automatically generated.

After specifying all the necessary details, click ‘Calculate’ button to calculate the interest details. Click the Calculate button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

4.21.3 Intermediary Tab

Click ‘Intermediary’ tab in the FCIS Block Transaction Detail screen.



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

Entity Type

Alphanumeric; 1 Character; Optional

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Optional

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the broker is displayed. However, you can amend this value.

Parent Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

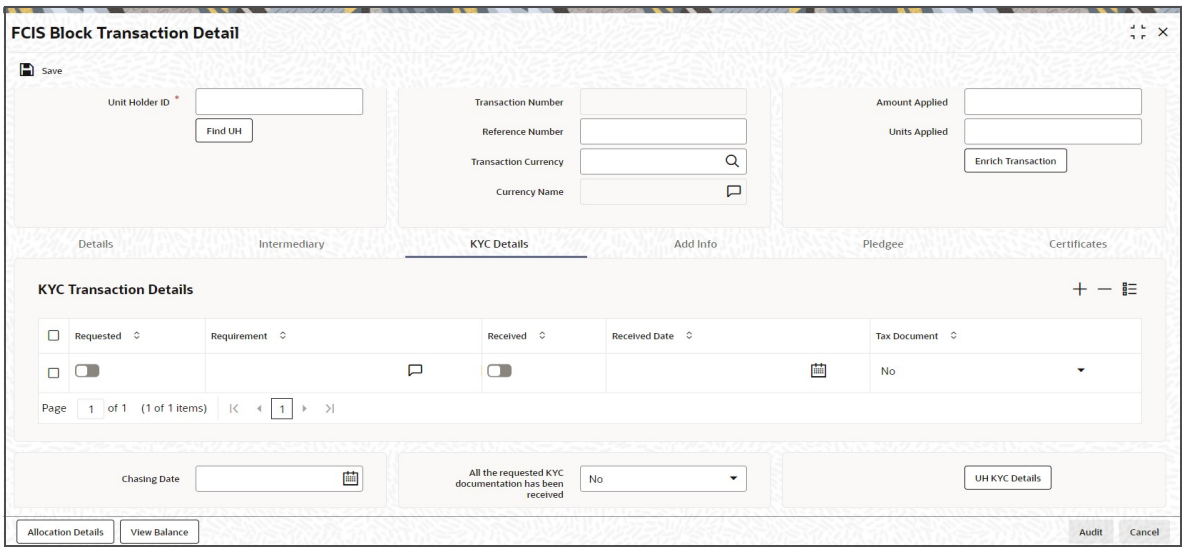
Mandatory

Select the from or to leg details from the drop-down list. The list displays the follwoing values:

- From
- To

4.21.4 KYC Details Tab

Click ‘KYC Details’ tab in the FCIS Block Transaction Detail screen.



Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Optional

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

All the requested KYC documentation has been received

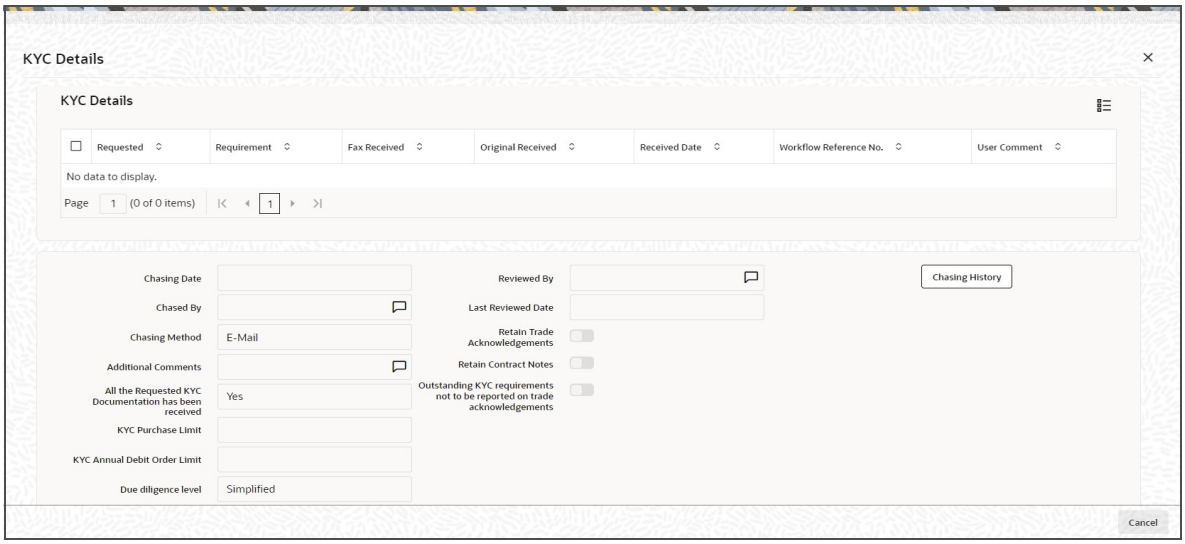
Optional

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

- Yes

- No

Clicking on ‘UH KYC Details’ button, the system displays all the KYC details available for the UH.



The details are populated from Unit Holder Maintenance screen (UTDUH).

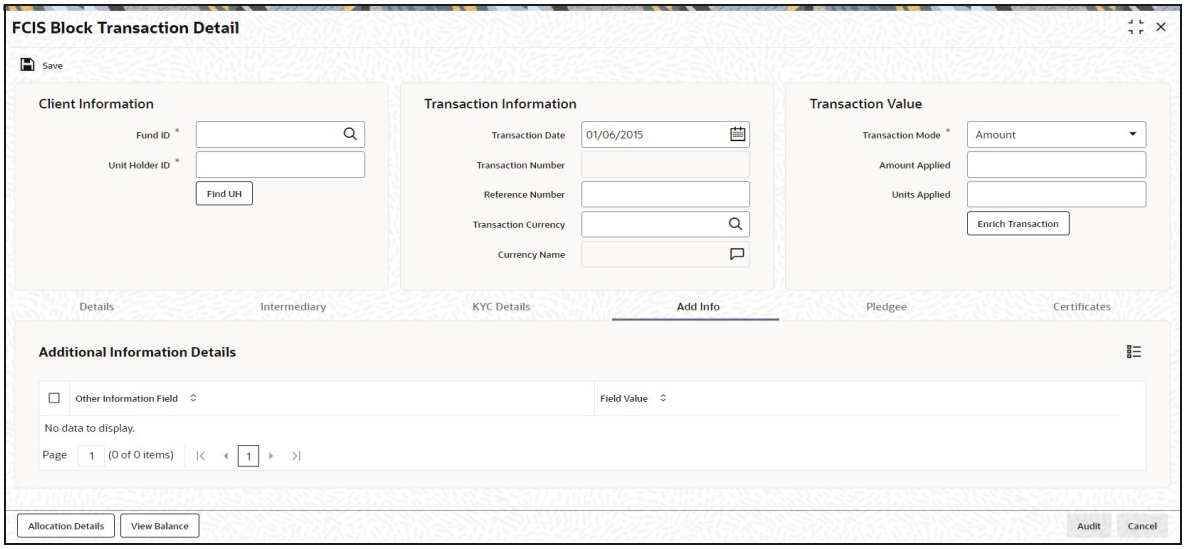
Note

Transaction Status will not check the KYC Details to complete the transaction.

For further details on this screen, refer ‘KYC Details Tab’ in ‘Unit Holder Maintenance Detail’ screen (UTDUH) in Entities User Manual.

4.21.5 Add Info Tab

Click on ‘Add Info’ tab in the FCIS Block Transaction Detail screen.



Other Info Field

Display

The system displays additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.

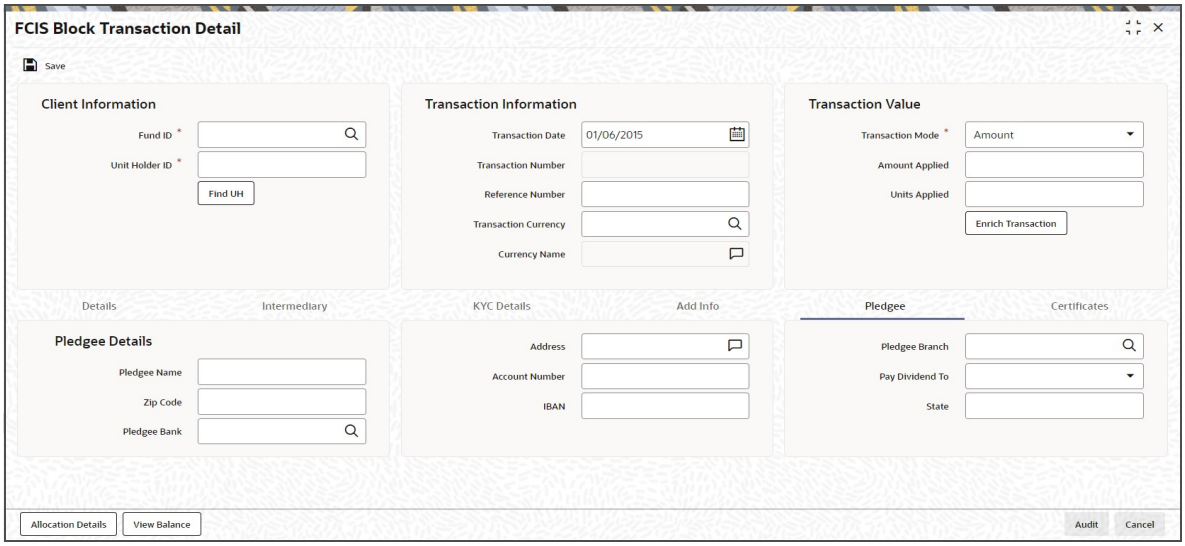
Field Value

Display

The system displays the field value.

4.21.6 Pledgee Tab

Click ‘Pledgee’ tab in FCIS Block Transaction Detail screen.



You can specify the following details:

Pledgee Name

Alphanumeric; 100 Characters; Optional

Specify the pledgee name.

Zip Code

Alphanumeric; 10 Characters; Optional

Specify the residing zip code of the pledgee.

Pledgee Bank

Alphanumeric; 12 Characters; Optional

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

Address

Alphanumeric; 255 Characters; Optional

Specify the residing address of the Pledgee.

Account Number

Alphanumeric; 34 Characters; Optional

Specify the Account number details of the pledgee.

IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

Pledgee Branch

Alphanumeric; 20 Characters; Optional

Specify the branch code.

Pay Dividend To

Optional

Specify whether the dividend proceeds on the blocked units should be paid to the pledgor, pledgee or to hold back the payment.

- Pledgee - If you choose to pay the dividend to the pledgee, you need to specify the details of the pledgee such as pledgee name, address and account details.
- Pledgor
- Hold Back Account

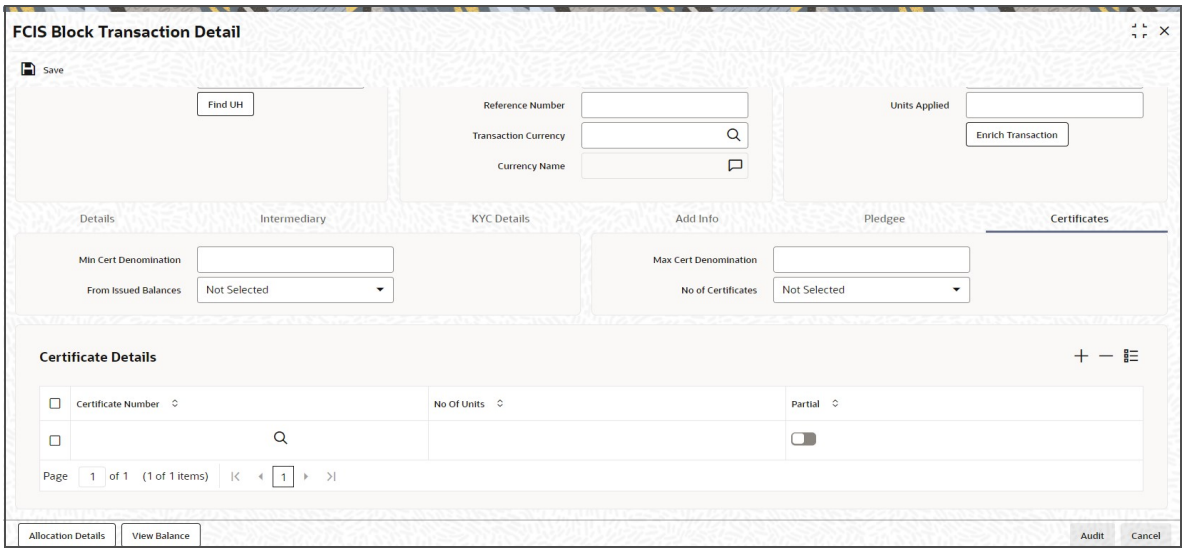
State

Alphanumeric; 20 Characters; Optional

Specify the residing state name of the pledgee.

4.21.7 Certificate Tab

Click Certificate tab in the FCIS Block Transaction Details screen.



Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Note

From issued balance field ‘Both Option’ is not applicable for the subscription transaction

---

No of Certificates

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

Certificate Details

Certificate Number

Numeric; 10 Characters; Mandatory

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

No of Units

Numeric; 27 Characters; Optional

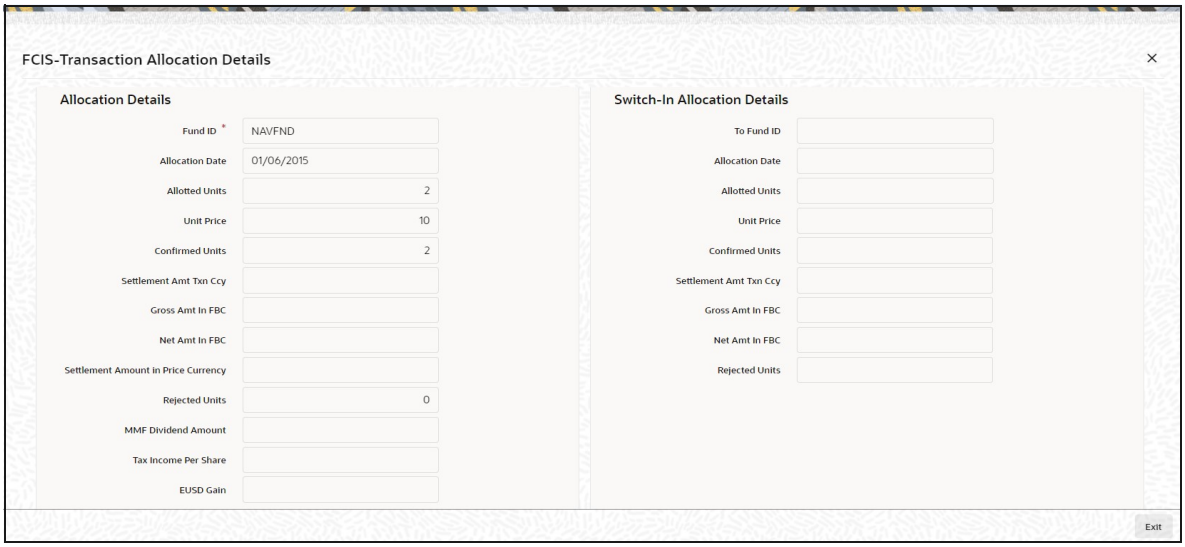
Specify the number of units details.

Partial

Optional

Check this box if partial details to be selected.

4.21.8 Allocation Details Button



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC

- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

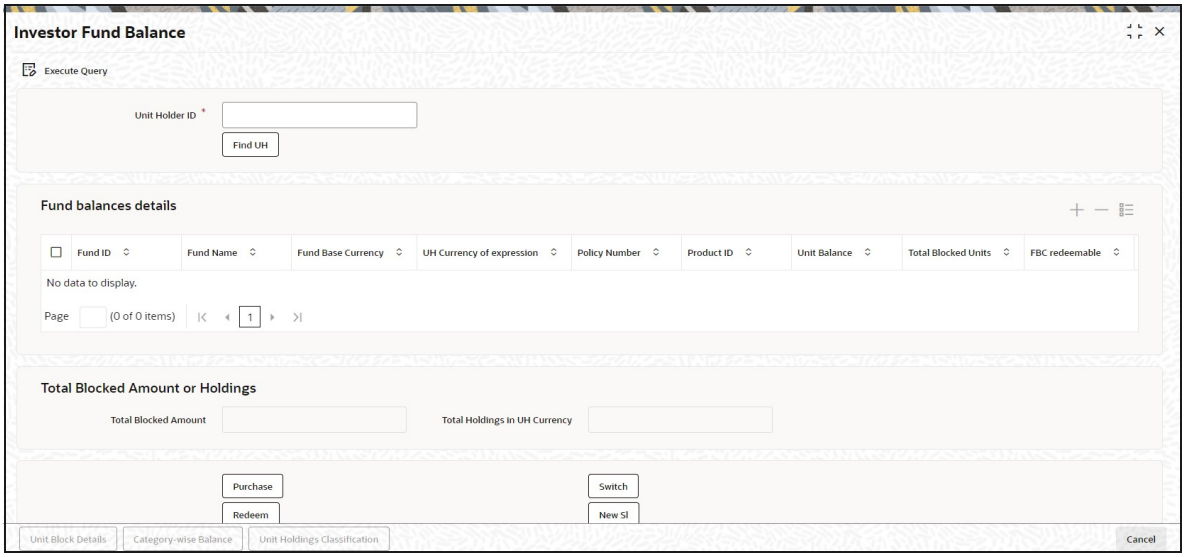
CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

4.21.9 View Balance Button

Clicking ‘View Balance’ button, ‘Investor Fund Balance’ screen is displayed:



For further details, refer View Balance Button sub section in 'IPO Subscription Detail' section in this User Manual.

4.21.10 Saving the transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

4.22 Block Transaction Summary Screen

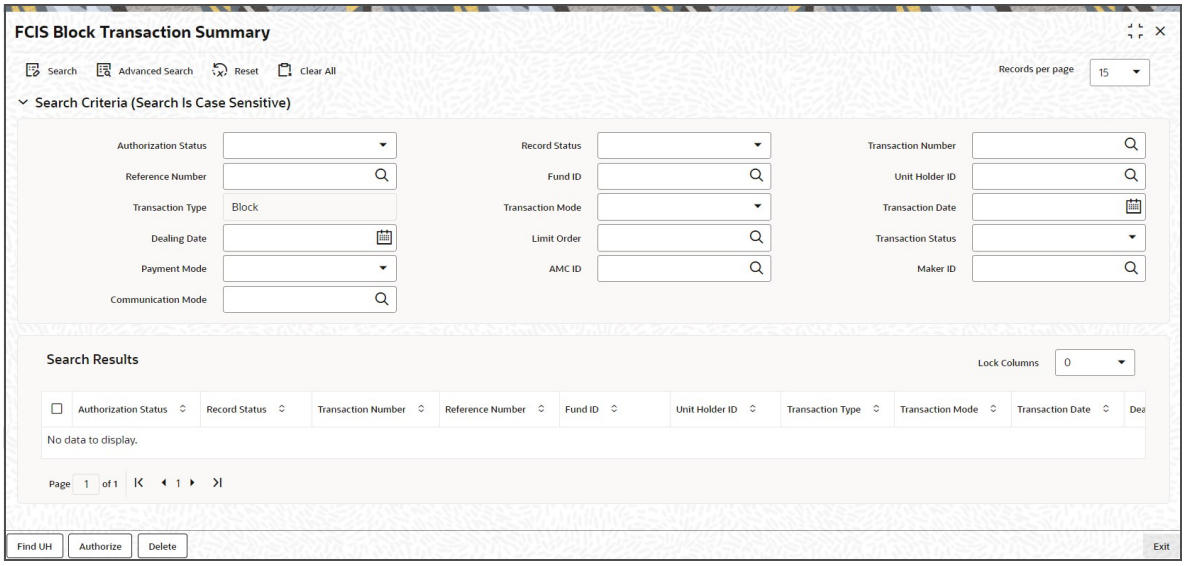
This section contains the following topics:

- Section 4.22.1, "Retrieving a Record in Block Transaction Summary Screen"
- Section 4.22.2, "Editing Block Transaction Record"
- Section 4.22.3, "Viewing Block Transaction Record "
- Section 4.22.4, "Deleting Block Transaction Record"
- Section 4.22.5, "Authorizing Block Transaction Record "
- Section 4.22.6, "Amending Block Transaction Record "
- Section 4.22.7, "Authorizing Amended Block Transaction Record "

4.22.1 Retrieving a Record in Block Transaction Summary Screen

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

Invoke the 'FCIS Block Transaction Summary' screen by typing 'UTSTXN06' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the ‘Blank Space’ option, then all records are retrieved
- Transaction Number
- Fund ID
- Transaction Type
- Transaction Date
- Limit Order
- Payment Mode
- Maker ID
- Reference Number
- Unit Holder ID
- Transaction Mode
- Dealing Date
- Transaction Status
- AMC ID
- Communication Mode

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

For example:

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

- Search by A% :- System will fetch all the records whose Transaction Number starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Transaction Number ends by numeric value' 7' . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Number contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc

4.22.2 Editing Block Transaction Record

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

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

Click Save to save your changes. The FCIS Block Transaction Detail screen is closed and the changes made are reflected in the FCIS Block Transaction Summary screen.

4.22.3 Viewing Block Transaction Record

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

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

4.22.4 Deleting Block Transaction Record

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

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

4.22.5 Authorizing Block Transaction Record

- An unauthorized FCIS Block Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Block Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Block Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.22.6 Amending Block Transaction Record

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

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

4.22.7 Authorizing Amended Block Transaction Record

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

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

4.23 Unblock Transaction Detail

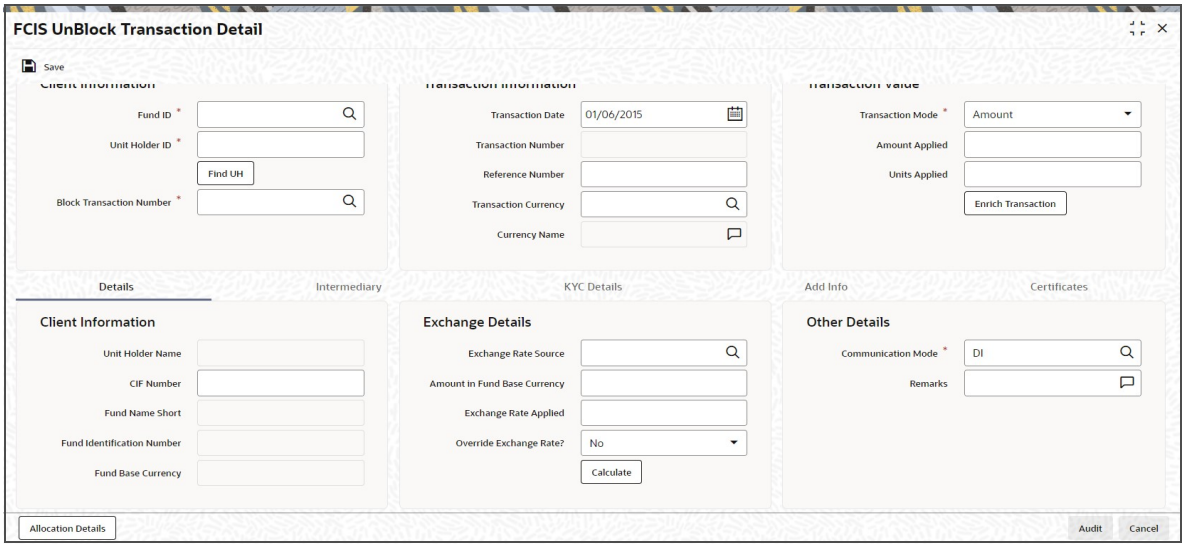
This section contains the following topic:

- Section 4.23.1, "Invoking Unblock Transaction Detail Screen"
- Section 4.23.2, "Details Tab"
- Section 4.23.3, "Intermediary Tab"
- Section 4.23.4, "KYC Details Tab"
- Section 4.23.5, "Add Info Tab"
- Section 4.23.6, "Certificates Tab"
- Section 4.23.7, "Allocation Details Button"
- Section 4.23.8, "Saving the Transaction"

4.23.1 Invoking Unblock Transaction Detail Screen

To enter an unblock transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS UnBlock Transaction Detail' screen by typing 'UTDTXN07/ UTDTRA07' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for Unblock transactions is displayed with all the default information.



You can specify the following details:

Client Information

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

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

Block Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the block transaction number.

Transaction Information

Transaction Date

Date Format; Mandatory

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

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 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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Currency Name

Display

The system displays the name of the currency.

Transaction Value

Transaction Mode

Mandatory

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

- Amount
- Units

Amount Applied

Numeric; 27 Characters; Optional

Specify the amount applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Amount. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Units Applied

Numeric; 27 Characters; Optional

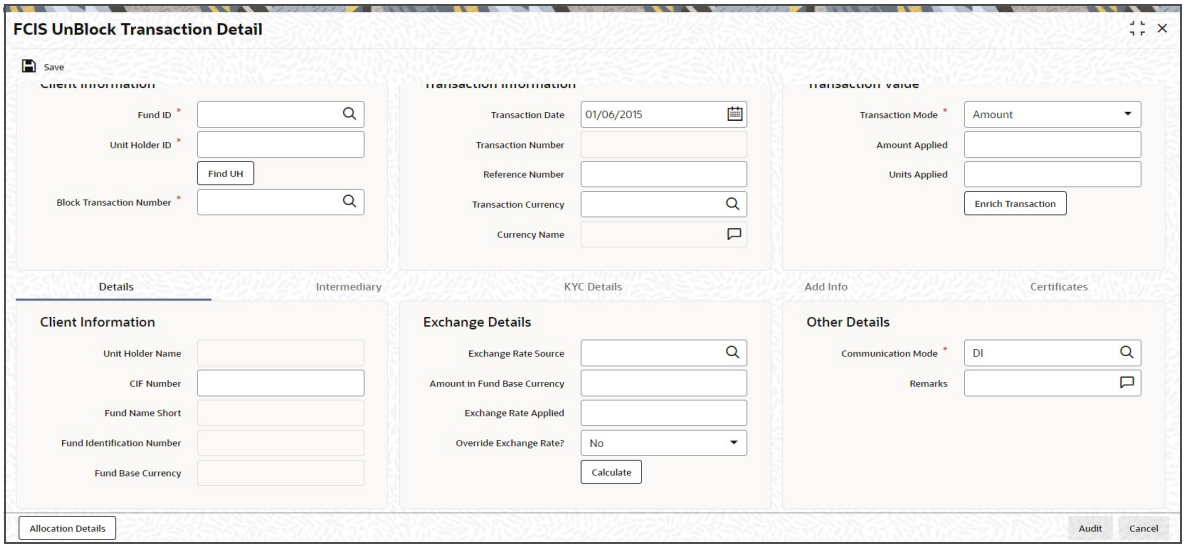
Specify the units applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Units. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click on ‘Enrich Transaction’ button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

4.23.2 Details Tab

Click ‘Details’ tab in the FCIS UnBlock Transaction Detail screen.



You can specify the following details:

Client Information Section

CIF Number

Alphanumeric; 20 Characters; Optional

Specify the CIF number.

The system will display the following values:

- Unit holder name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

Exchange Details

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

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

> **Note**
>
> Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Amount in Fund Base Currency

Numeric; 18 Characters; Optional

Specify the amount in fund base currency.

Exchange Rate Applied

Numeric; 21 Characters; Optional

The system displays the applied exchange rate.

Override Exchange Rate?

Optional

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

- Yes
- No

Other Details

Communication Mode

Alphanumeric; 2 Characters; Mandatory

Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

Remarks

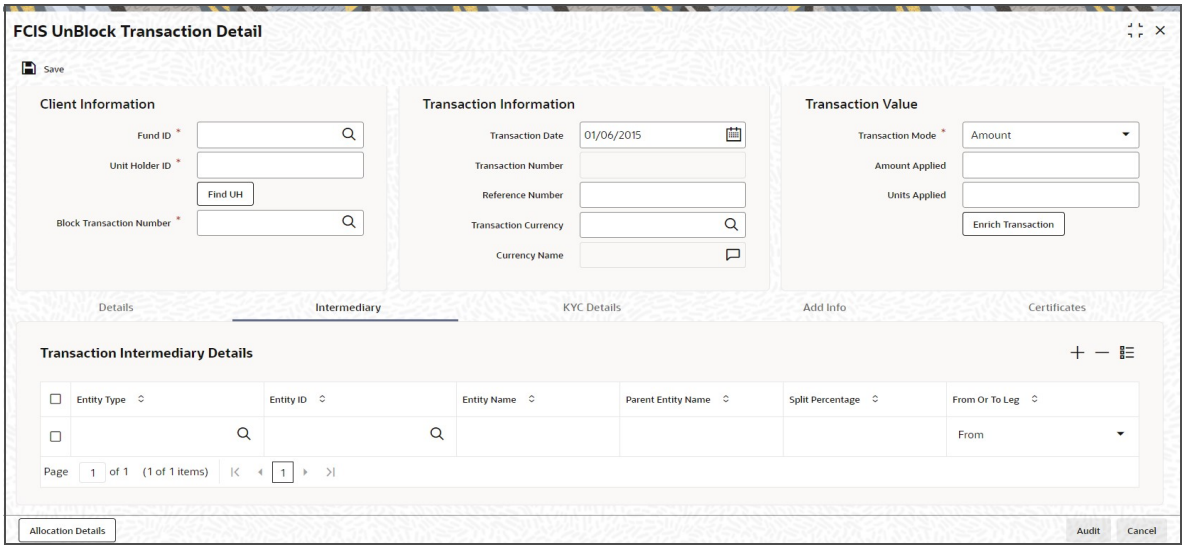
Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

After specifying all the necessary details, click ‘Calculate’ button to calculate the interest details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

4.23.3 Intermediary Tab

Click ‘Intermediary’ tab in the FCIS UnBlock Transaction Detail screen.



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

Entity Type

Alphanumeric; 1 Character; Mandatory

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Mandatory

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the broker is displayed. However, you can amend this value.

Parent Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

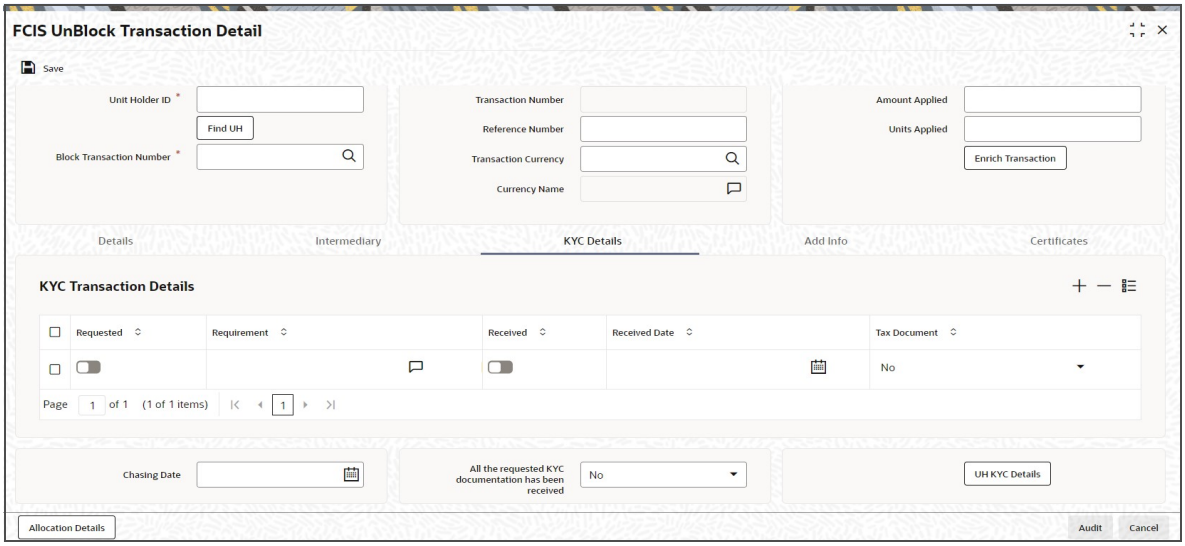
Mandatory

Select the from or to leg details from the drop-down list. The list displays the following values:

- From
- To

4.23.4 KYC Details Tab

Click on 'KYC Details' tab in the FCIS UnBlock Transaction Detail screen.



Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Optional

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

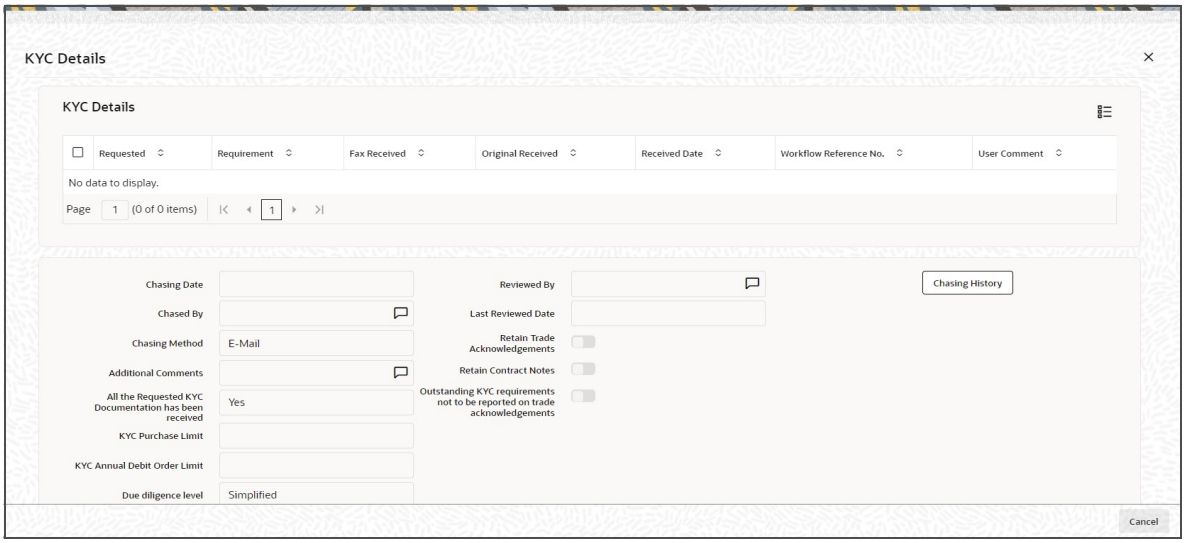
All the requested KYC documentation has been received

Optional

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

- Yes
- No

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.



The details are populated from Unit Holder Maintenance screen (UTDUH).

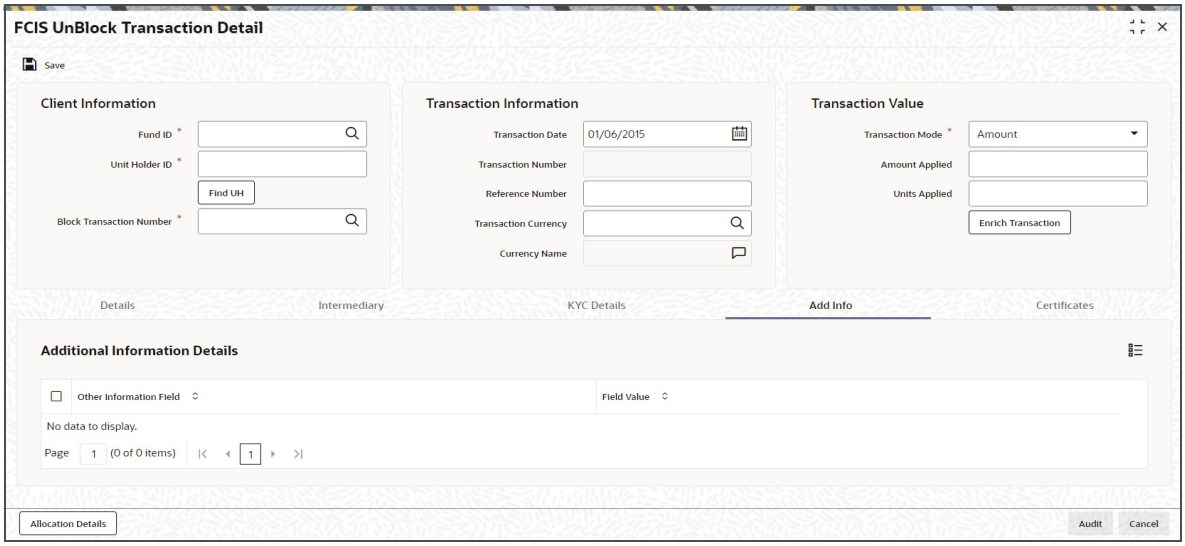
Note

Transaction Status will not check the KYC Details to complete the transaction.

For further details on this screen, refer 'KYC Details Tab' in 'Unit Holder Maintenance Detail' screen (UTDUH) in Entities User Manual.

4.23.5 Add Info Tab

Click on 'Add Info' tab in the FCIS UnBlock Transaction Detail screen.



Other Info Field

Display

The system displays additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.

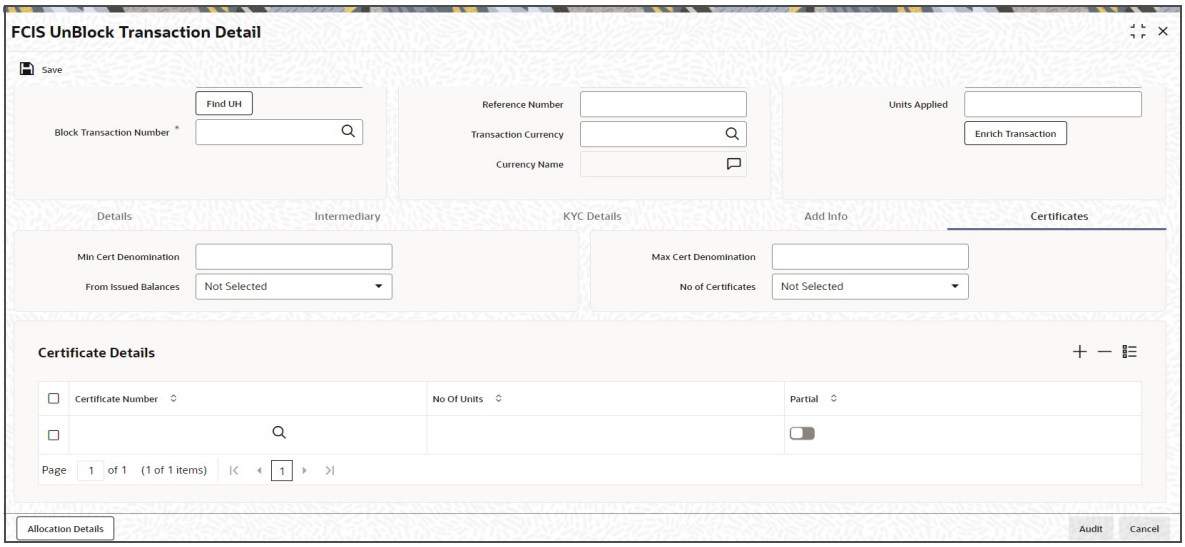
Field Value

Display

The system displays the field value.

4.23.6 Certificates Tab

Click on the Certificates tab in the FCIS Block Transaction Details screen.



Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Note

From issued balance field 'Both Option' is not applicable for the subscription transaction

---

No of Certificates

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

Certificate Details

Certificate Number

Numeric; 10 Characters; Optional

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

No of Units

Numeric; 27 Characters; Optional

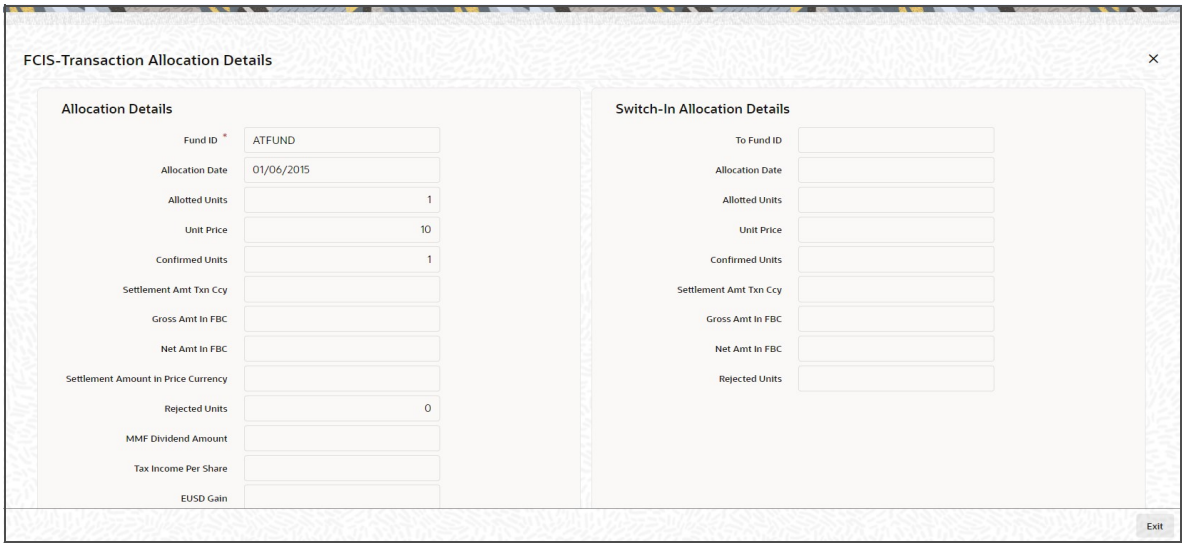
Specify the number of units details.

Partial

Optional

Check this box if partial details to be selected.

4.23.7 Allocation Details Button



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC

- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

4.23.8 Saving the Transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

4.24 Unblock Transaction Summary Screen

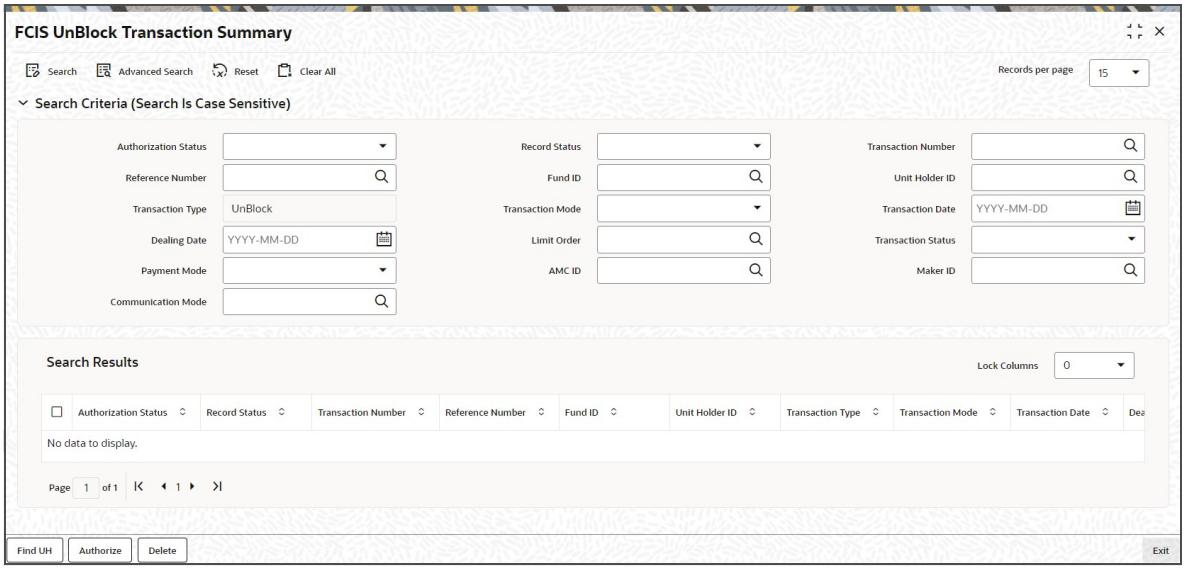
This section contains the following topics:

- Section 4.24.1, "Retrieving a Record in Unblock Transaction Summary Screen"
- Section 4.24.2, "Editing Unblock Transaction Record"
- Section 4.24.3, "Viewing Unblock Transaction Record "
- Section 4.24.4, "Deleting Unblock Transaction Record"
- Section 4.24.5, "Authorizing Unblock Transaction Record "
- Section 4.24.6, "Amending Unblock Transaction Record "
- Section 4.24.7, "Authorizing Amended Unblock Transaction Record "

4.24.1 Retrieving a Record in Unblock Transaction Summary Screen

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

Invoke the 'FCIS Unblock Transaction Summary' screen by typing 'UTSTXN07' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



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

- Limit Order
- Payment Mode
- Maker ID
- Reference Number
- Unit Holder ID
- Transaction Mode
- Dealing Date
- Transaction Status
- AMC ID
- Communication Mode

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

For example:

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

- Search by A% :- System will fetch all the records whose Transaction Number starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Transaction Number ends by numeric value' 7' . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Number contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc

4.24.2 Editing Unblock Transaction Record

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

- Invoke the FCIS Unblock Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to modify in the list of displayed records. The FCIS Unblock Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Unblock Transaction Detail screen is closed and the changes made are reflected in the FCIS Unblock Transaction Summary screen.

4.24.3 Viewing Unblock Transaction Record

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

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

4.24.4 Deleting Unblock Transaction Record

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

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

4.24.5 Authorizing Unblock Transaction Record

- An unauthorized FCIS Unblock Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Unblock Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Unblock Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.24.6 Amending Unblock Transaction Record

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

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

4.24.7 Authorizing Amended Unblock Transaction Record

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

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

4.24.7.1 Checking for Duplicate Transactions

At the time of saving the transaction details, the system checks for the Transaction Type – Fund ID – Unit Holder combination. If there are any existing transactions for the same combination that has been captured in the past 'n' days, the system will display you an warning message if you try to save another transaction with the same combination within those 'n' days. You need to specify this 'n' number of days which the system has to consider for validation.

The system performs the duplicate transaction validation:

For unauthorized transactions

If a parameter code called "DUPWARNINGLAG" and the value for the 'n' number of days has been maintained. The validation fails if the 'n' number of days is specified as zero.

For From and To Funds for Switch Transactions

4.24.7.2 Maintaining Parameter Code for Displaying Warning Messages

You need to maintain the parameter code "DUPWARNINGLAG" and the number of days as the Parameter Value in the Parameter Setup screen.

Refer to the chapter "Maintaining System Parameters" in Volume 1 of Fund Manager User Manual for further details on maintaining the parameters.

4.25 Consolidation Transaction Detail

This section contains the following topic:

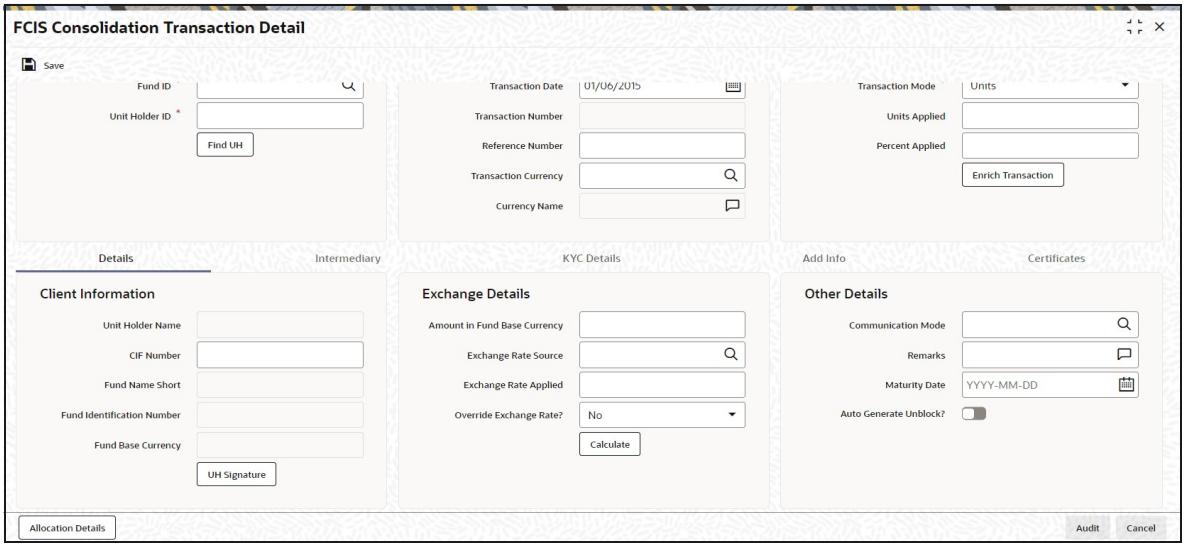
- Section 4.25.1, "Invoking Consolidation Transaction Detail Screen"
- Section 4.25.2, "Details Tab"

- Section 4.25.3, "Intermediary Tab"
- Section 4.25.4, "KYC Details Tab"
- Section 4.25.5, "Add Info Tab"
- Section 4.25.6, "Certificates Tab"
- Section 4.25.7, "Allocation Details Button"
- Section 4.25.8, "Saving the Transaction"

4.25.1 Invoking Consolidation Transaction Detail Screen

To enter a consolidation transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Consolidation Transaction Detail' screen by typing 'UTDTXN08/ UTDTRA08' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for consolidation transactions is displayed, with all the default information.



You can specify the following details:

Client Information

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

You can also query unit holder ID by clicking ‘Find UH’ button.

Transaction Information

Transaction Date

Date Format; Optional

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

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 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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Currency Name

Display

The system displays the name of the currency.

Transaction Value

Transaction Mode

Mandatory

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

- Units
- Percent

Units Applied

Numeric; 27 Characters; Optional

Specify the units applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Units. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Percent Applied

Numeric; 27 Characters; Optional

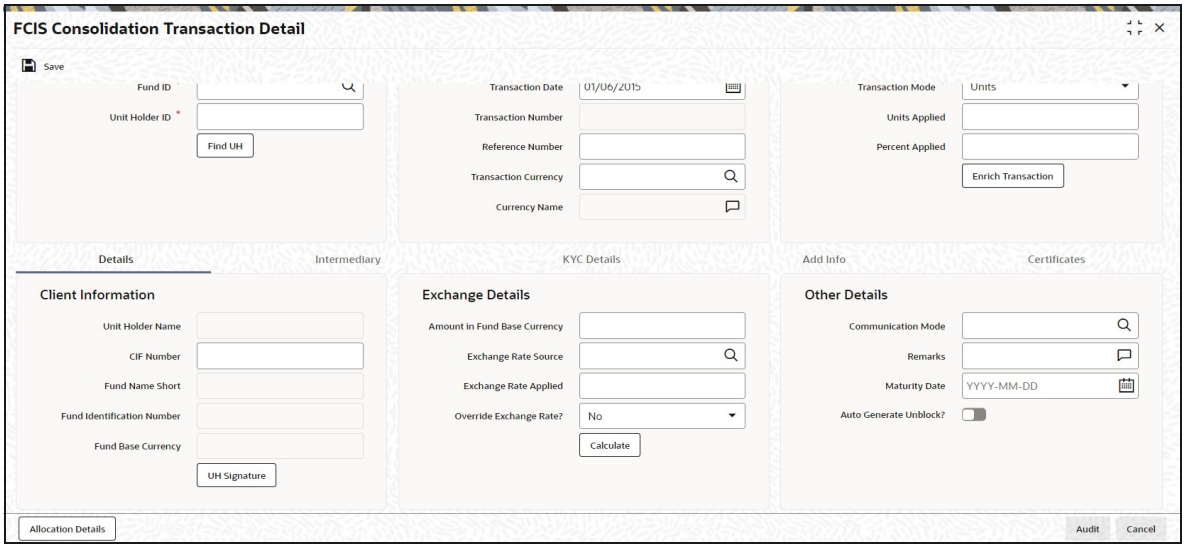
Specify the percent applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Percent. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click on ‘Enrich Transaction’ button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

4.25.2 Details Tab

Click ‘Details’ tab in the FCIS Consolidation Transaction Detail screen.



You can specify the following details:

Client Information Section

CIF Number

Alphanumeric; 20 Characters; Optional

Specify the CIF number.

The system will display the following values:

- Unit holder name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

You can upload unit holder signature image by clicking ‘UH Signature’ button.

Exchange Details

Amount in Fund Base Currency

Numeric; 30 Characters; Optional

Specify the amount in fund base currency.

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

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

Note

Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Exchange Rate Applied

Numeric; 21 Characters; Optional

The system displays the applied exchange rate.

Override Exchange Rate?

Optional

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

- Yes
- No

Other Details

Communication Mode

Alphanumeric; 2 Characters; Optional

Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

Maturity Date

Date Format; Optional

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

Auto Generate Unblock?

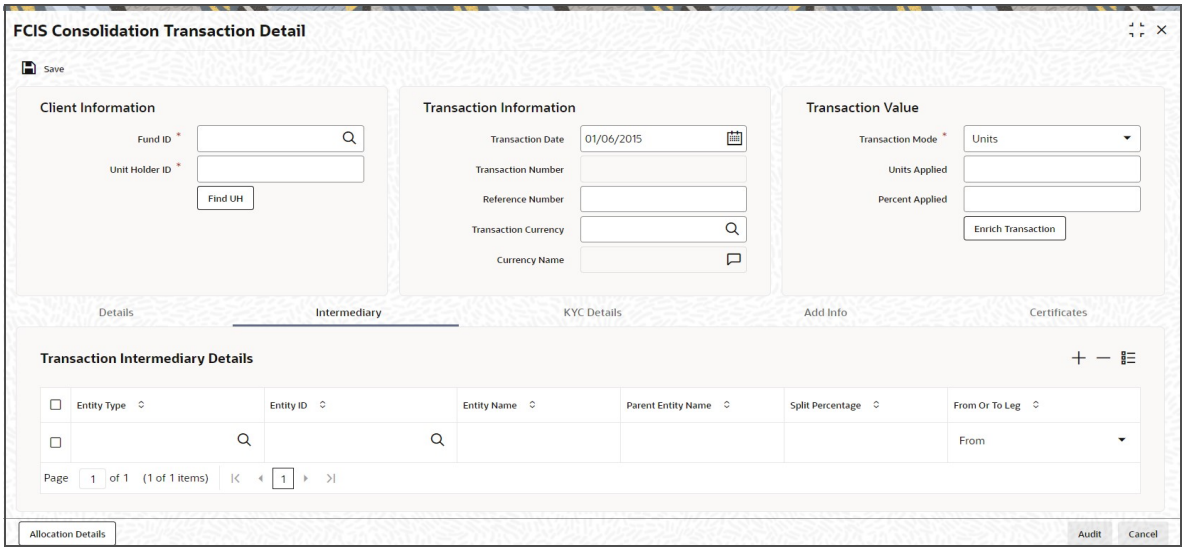
Optional

Check this box to automatically generate unblock transactions.

After specifying all the necessary details, click ‘Calculate’ button to calculate the interest details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

4.25.3 Intermediary Tab

Click ‘Intermediary’ tab in the FCIS Consolidation Transaction Detail screen.



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

Entity Type

Alphanumeric; 1 Character; Optional

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Mandatory

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the broker is displayed. However, you can amend this value.

Parent Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

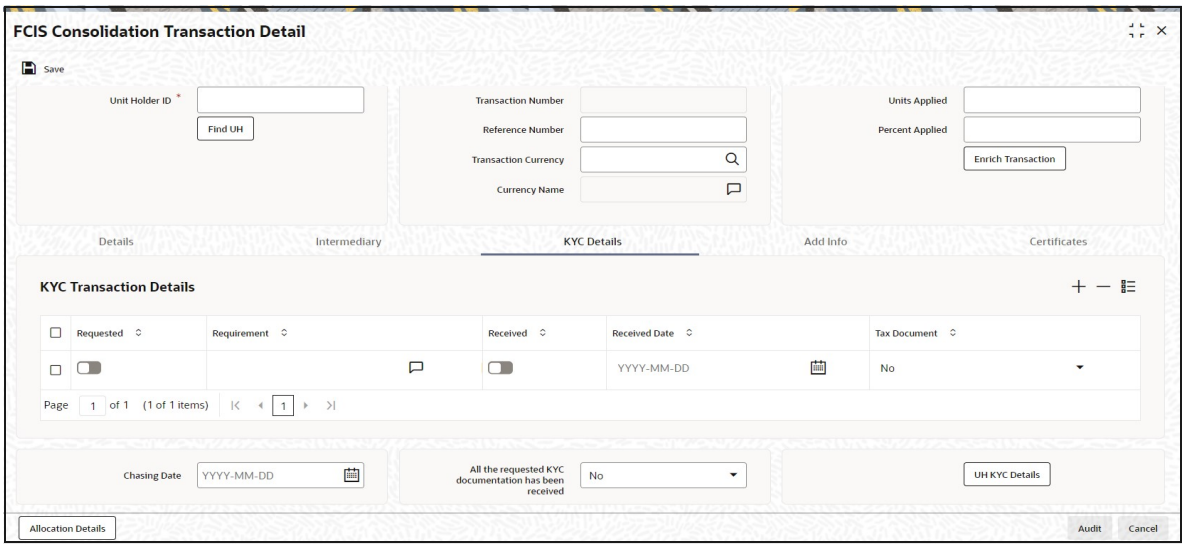
Optional

Select the from or to leg details from the drop-down list. The list displays the following values:

- From
- To

4.25.4 KYC Details Tab

Click on ‘KYC Details’ tab in the FCIS Consolidated Transaction Detail screen.



Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Optional

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

All the requested KYC documentation has been received

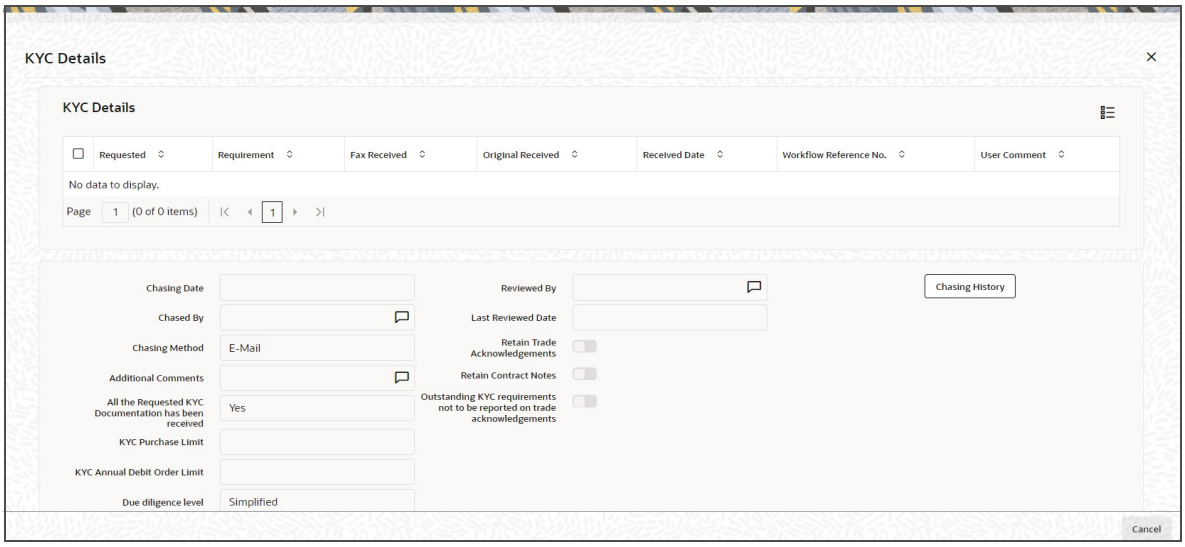
Optional

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

- Yes

- No

Clicking on ‘UH KYC Details’ button, the system displays all the KYC details available for the UH.



The details are populated from Unit Holder Maintenance screen (UTDUH).

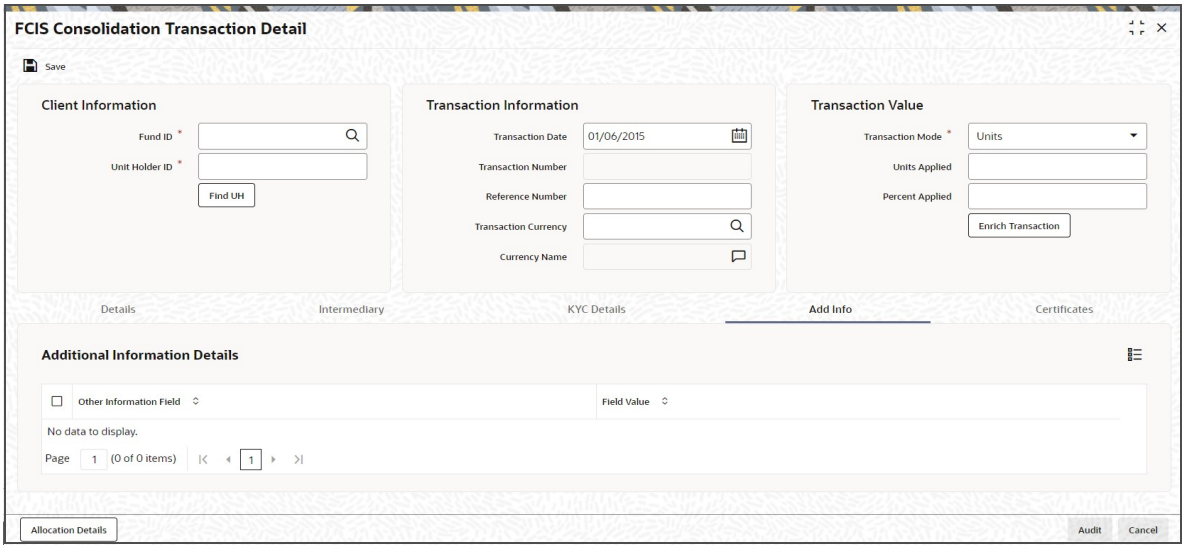
Note

Transaction Status will not check the KYC Details to complete the transaction.

For further details on this screen, refer ‘KYC Details Tab’ in ‘Unit Holder Maintenance Detail’ screen (UTDUH) in Entities User Manual.

4.25.5 Add Info Tab

Click on ‘Add Info’ tab in the FCIS Consolidated Transaction Detail screen.



Other Info Field

Display

The system displays the additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.

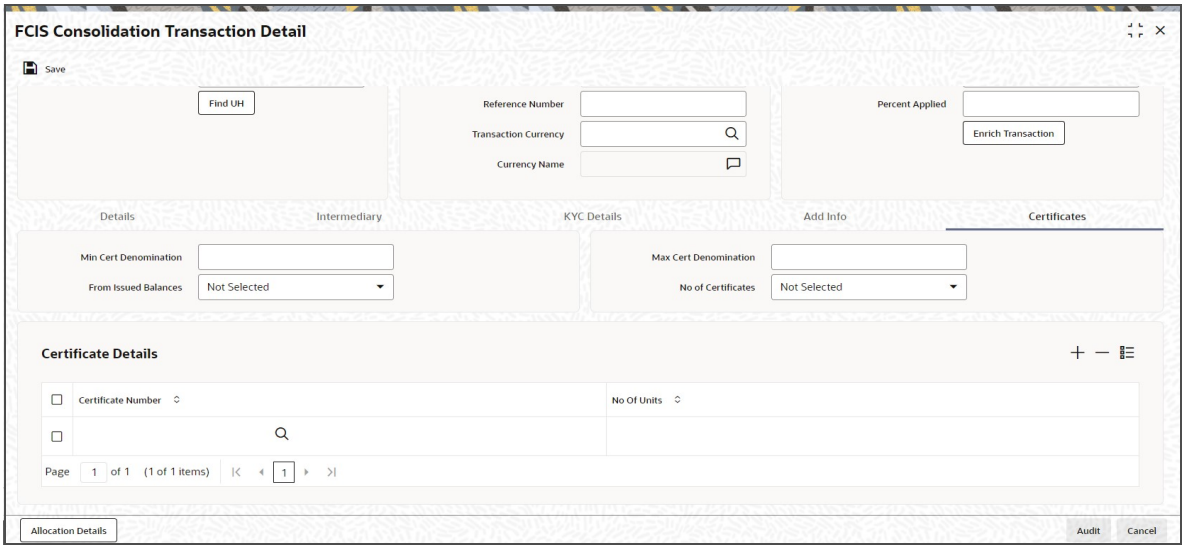
Field Value

Display

The system displays the field value.

4.25.6 Certificates Tab

Click on the Certificate tab in the FCIS Consolidation Transaction Details screen.



Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Note

From issued balance field ‘Both Option’ is not applicable for the subscription transaction

No of Certificates

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

Certificate Details

Certificate Number

Numeric; 10 Characters; Optional

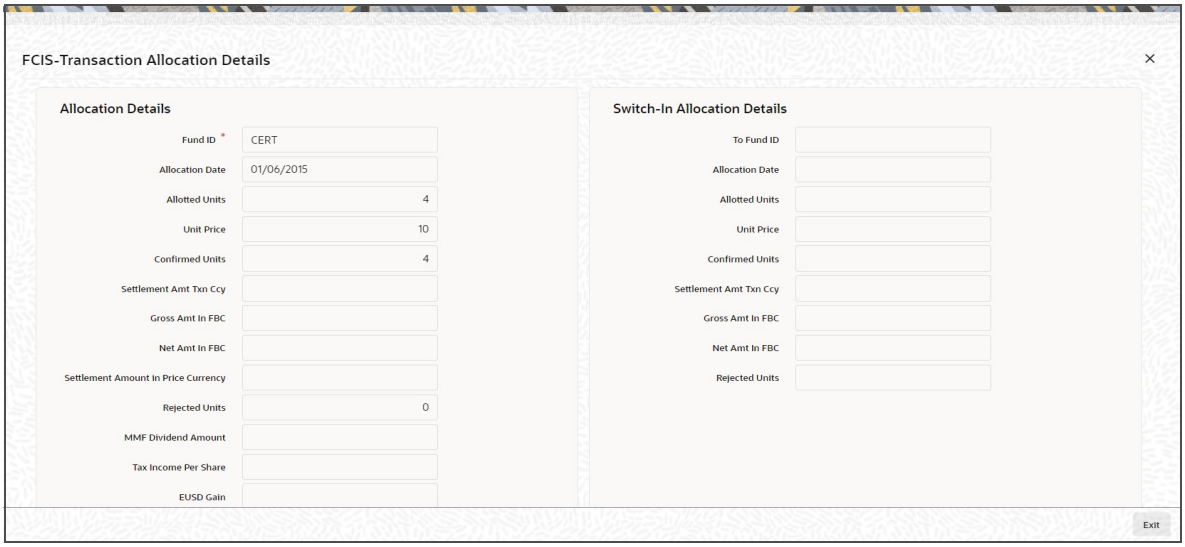
Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.

No of Units

Numeric; 27 Characters; Optional

Specify the number of units details.

4.25.7 Allocation Details Button



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency

- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income

- Fund Capital
- Share Premium

CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

4.25.8 Saving the Transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

4.26 Consolidation Transaction Summary Screen

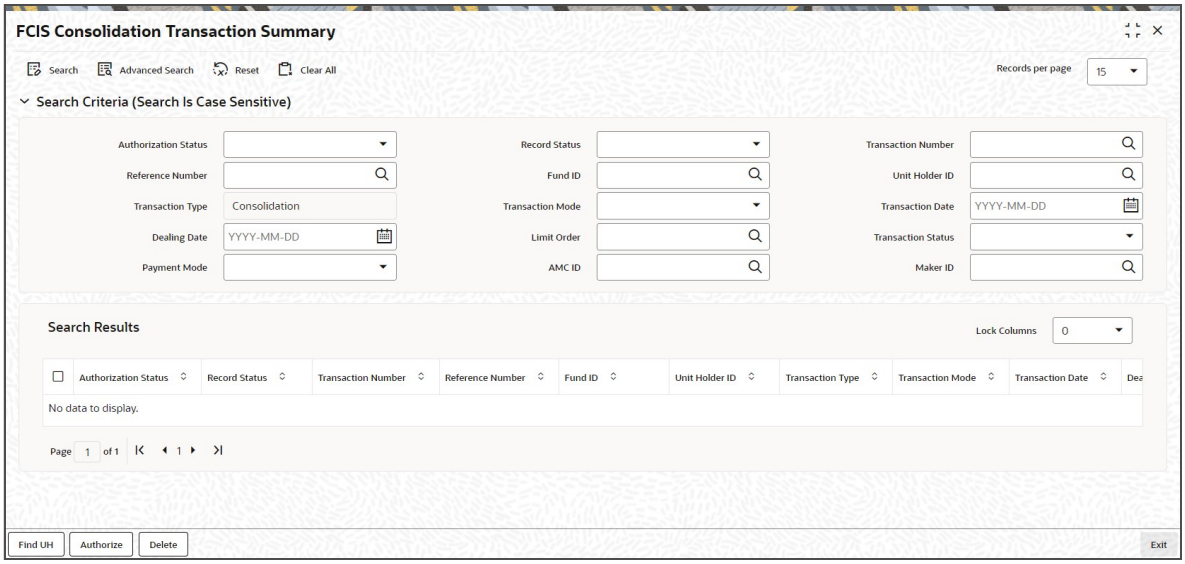
This section contains the following topics:

- Section 4.26.1, "Retrieving a Record in Consolidation Transaction Summary Screen"
- Section 4.26.2, "Editing Consolidation Transaction Record"
- Section 4.26.3, "Viewing Consolidation Transaction Record "
- Section 4.26.4, "Deleting Consolidation Transaction Record"
- Section 4.26.5, "Authorizing Consolidation Transaction Record "
- Section 4.26.6, "Amending Consolidation Transaction Record "
- Section 4.26.7, "Authorizing Amended Consolidation Transaction Record "

4.26.1 Retrieving a Record in Consolidation Transaction Summary Screen

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

- Invoke the ‘FCIS Consolidation Transaction Summary’ screen by typing ‘UTSTXN08’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the ‘Blank Space’ option, then all records are retrieved.
- Transaction Number
- Fund ID
- Transaction Type
- Transaction Date
- Limit Order
- Payment Mode
- Maker ID
- Reference Number
- Unit Holder ID
- Transaction Mode
- Dealing Date
- Transaction Status
- AMC ID

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

For example:

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

- Search by A%:- System will fetch all the records whose Transaction Number starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7:- System will fetch all the records whose Transaction Number ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Number contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

4.26.2 Editing Consolidation Transaction Record

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

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

Click Save to save your changes. The FCIS Consolidation Transaction Detail screen is closed and the changes made are reflected in the FCIS Consolidation Transaction Summary screen.

4.26.3 Viewing Consolidation Transaction Record

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

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

4.26.4 Deleting Consolidation Transaction Record

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

- Invoke the FCIS Consolidation Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.

- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Consolidation Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.26.5 Authorizing Consolidation Transaction Record

- An unauthorized FCIS Consolidation Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Consolidation Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Consolidation Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.26.6 Amending Consolidation Transaction Record

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

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

4.26.7 Authorizing Amended Consolidation Transaction Record

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

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

4.27 Split Transaction Detail

This section contains the following topic:

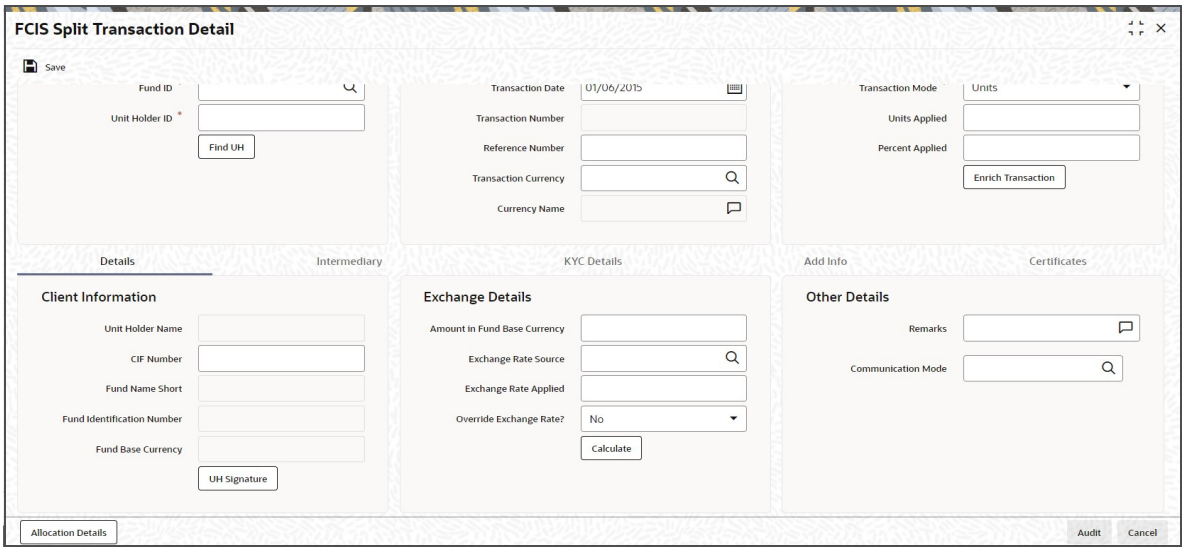
- Section 4.27.1, "Invoking Split Transaction Detail Screen"

- Section 4.27.2, "Details Tab"
- Section 4.27.3, "Intermediary Tab"
- Section 4.27.4, "KYC Details Tab"
- Section 4.27.5, "Add Info Tab"
- Section 4.27.6, "Certificate Tab"
- Section 4.27.7, "Allocation Details Button"
- Section 4.27.8, "Saving the Transaction"

4.27.1 Invoking Split Transaction Detail Screen

To enter a split transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Split Transaction Detail' screen by typing 'UTDTXN09/ UTDTRA09' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for Split transactions is displayed, with all the default information.



You can specify the following details:

Client Information

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

You can also query for unit holder ID by clicking ‘Find UH’ button.

Transaction Information

Transaction Date

Date Format; Mandatory

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

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 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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Currency Name

Display

The system displays the name of the currency.

Transaction Value

Transaction Mode

Mandatory

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

- Units
- Percent

Units Applied

Numeric; 27 Characters; Optional

Specify the units applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Units. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Percent Applied

Numeric; 9 Characters; Optional

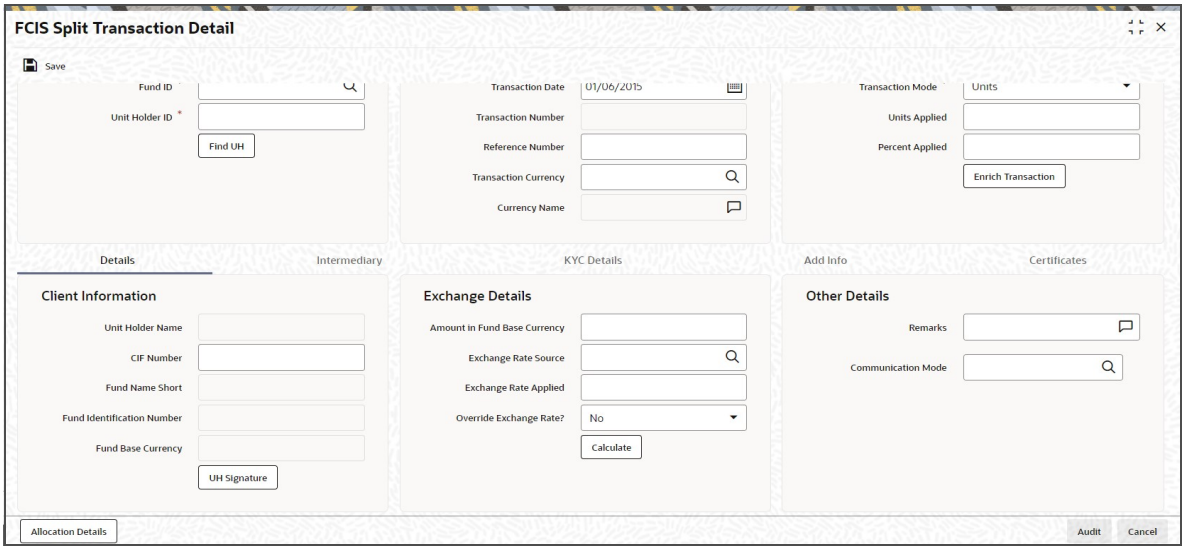
Specify the percent applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Percent. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click on ‘Enrich Transaction’ button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

4.27.2 Details Tab

Click ‘Details’ tab in the FCIS Split Transaction Detail screen.



You can specify the following details:

Client Information Section

CIF Number

Alphanumeric; 20 Characters; Optional

Specify the CIF number.

The system will display the following values:

- Unit Holder Name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

You can upload unit holder signature image by clicking ‘UH Signature’ button.

Exchange Details

Amount in Fund Base Currency

Numeric; 30 Characters; Optional

The system displays the amount in fund base currency.

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

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

> **Note**
>
> Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Exchange Rate Applied

Numeric; 21 Characters; Optional

The system displays the applied exchange rate.

Override Exchange Rate?

Optional

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

- Yes
- No

Other Details

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

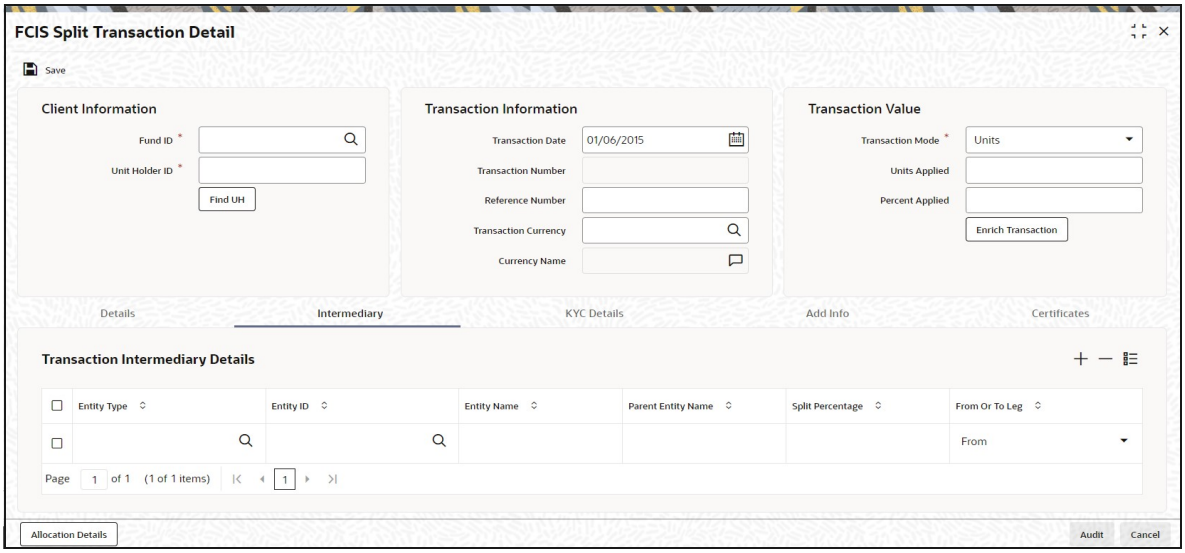
Communication Mode

Alphanumeric; 2 Characters; Mandatory

Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

4.27.3 Intermediary Tab

Click ‘Intermediary’ tab in the FCIS Split Transaction Detail screen.



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

Entity Type

Alphanumeric; 1 Character; Optional

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Mandatory

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the broker is displayed. However, you can amend this value.

Parent Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.

Split Percentage

Numeric; 5 Character; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

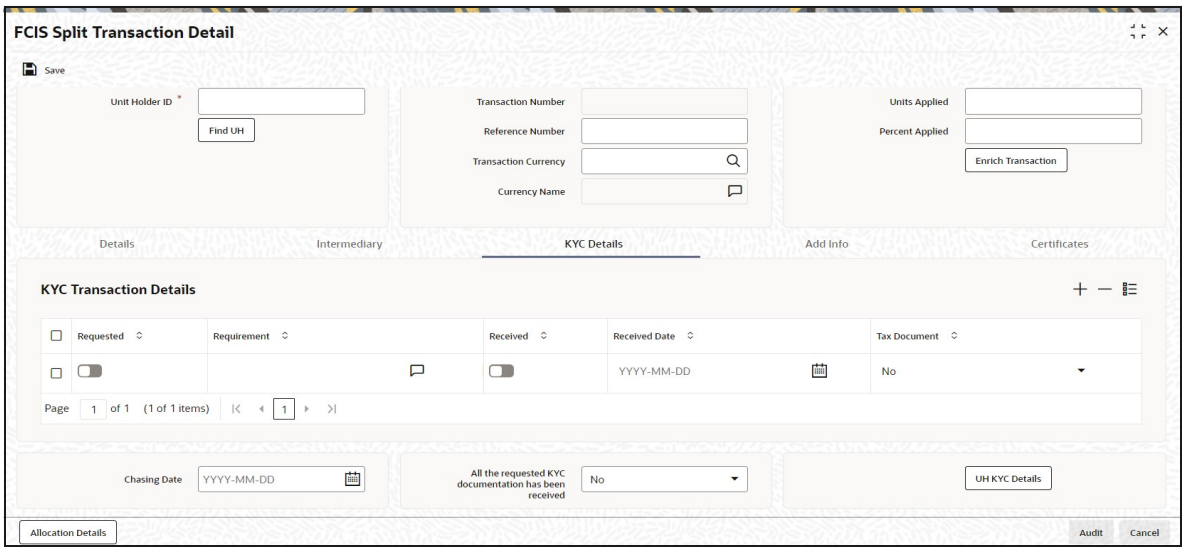
Optional

Select the from or to leg details from the drop-down list. The list displays the following values:

- From
- To

4.27.4 KYC Details Tab

Click on ‘KYC Details’ tab in the FCIS Split Transaction Detail screen.



Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Optional

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Mandatory

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

All the requested KYC documentation has been received

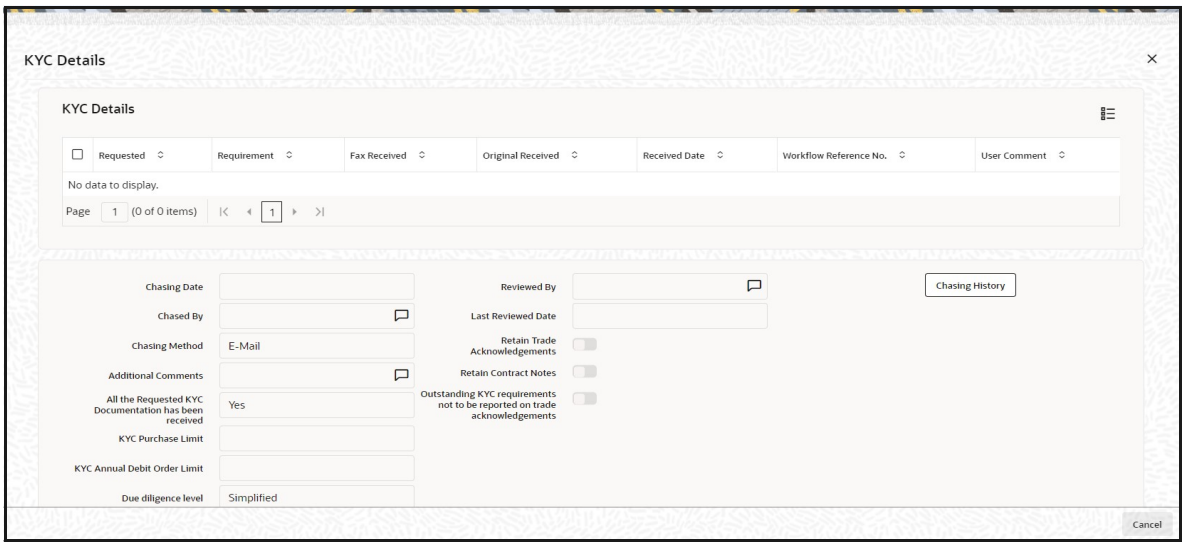
Optional

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

- Yes

- No

Clicking on ‘UH KYC Details’ button, the system displays all the KYC details available for the UH.



The details are populated from Unit Holder Maintenance screen (UTDUH).

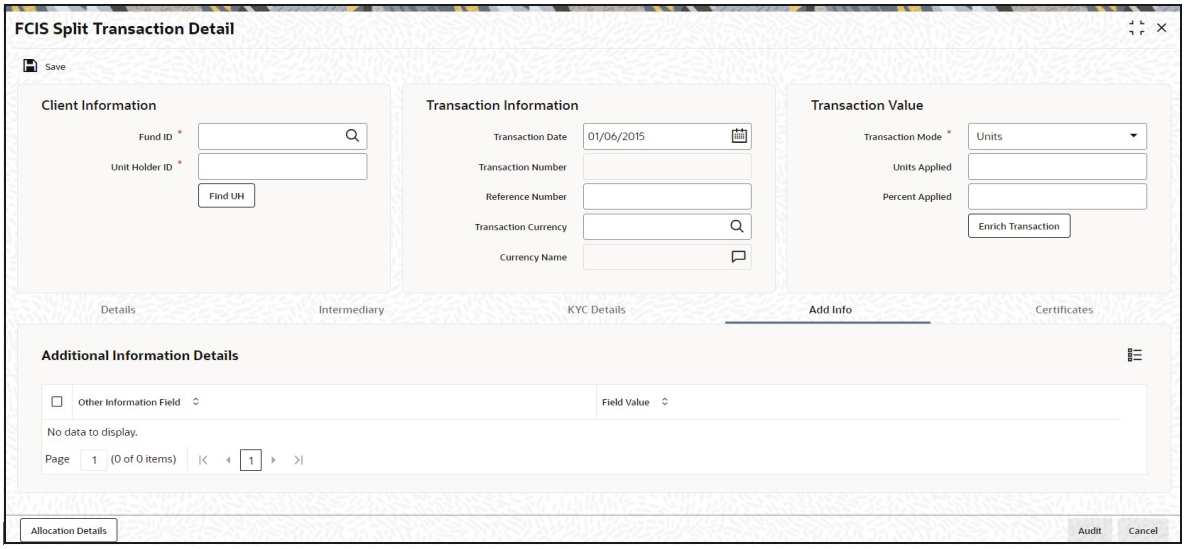
Note

Transaction Status will not check the KYC Details to complete the transaction.

For further details on this screen, refer ‘KYC Details Tab’ in ‘Unit Holder Maintenance Detail’ screen (UTDUH) in Entities User Manual.

4.27.5 Add Info Tab

Click on ‘Add Info’ tab in the FCIS Split Transaction Detail screen.



Other Info Field

Display

The system displays the additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.

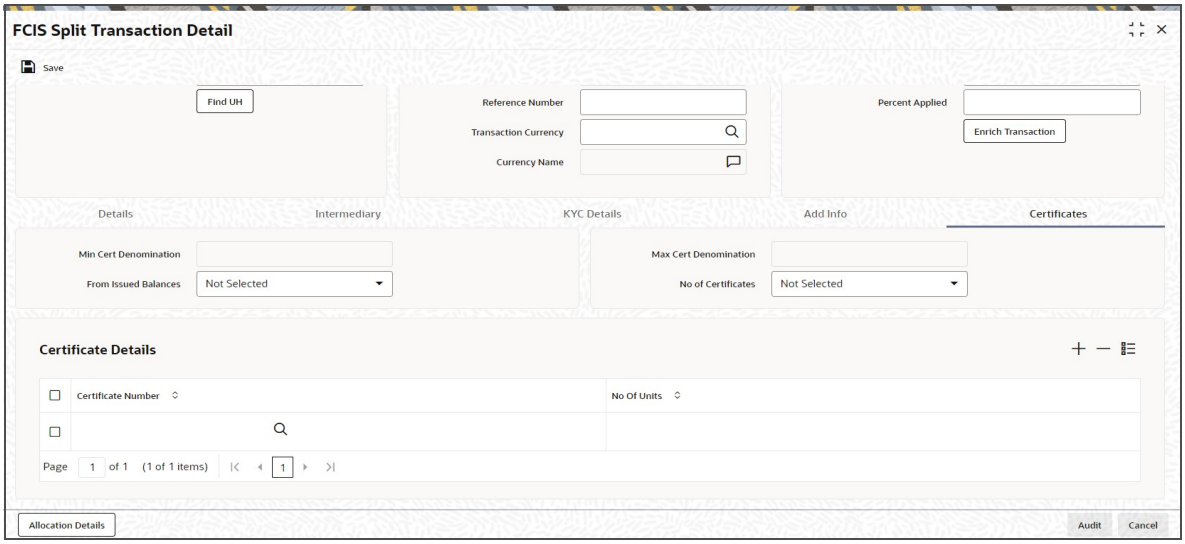
Field Value

Display

The system displays the field value.

4.27.6 Certificate Tab

Click on the Certificate tab in the FCIS Split Transaction Details screen.



Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Note

From issued balance field ‘Both Option’ is not applicable for the subscription transaction

No of Certificates

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

Certificate Details

Certificate Number

Numeric; 10 Characters; Optional

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

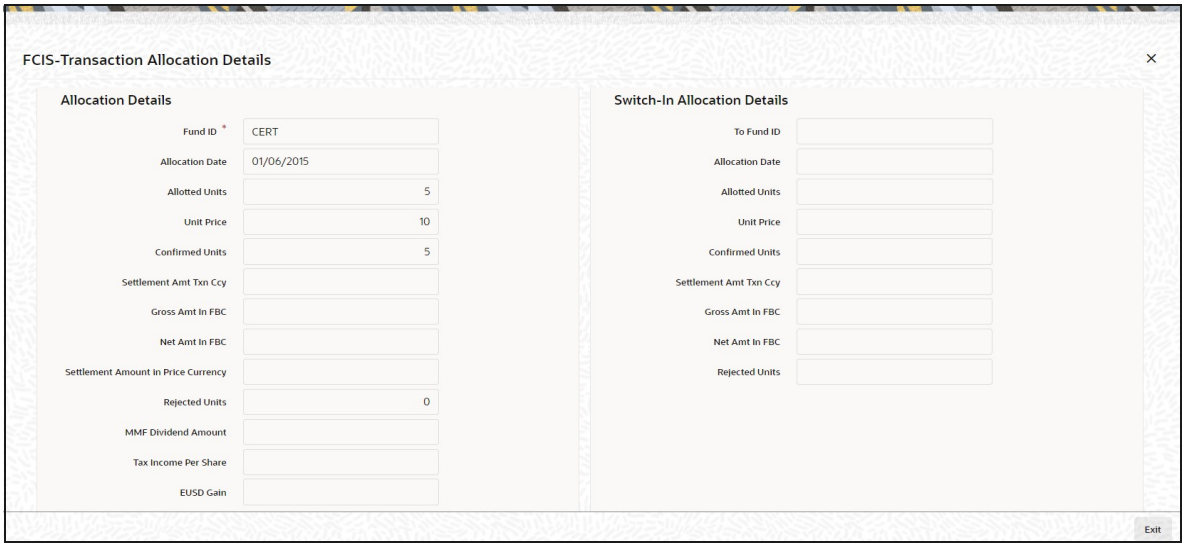
No of Units

Numeric; 27 Characters; Optional

Specify the number of units details.

4.27.7 Allocation Details Button

Click Allocation Details button to invoke Allocation Details screen.



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC

- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price

- Share Capital
- Income
- Fund Capital
- Share Premium

CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

4.27.8 Saving the Transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

4.28 Split Transaction Summary Screen

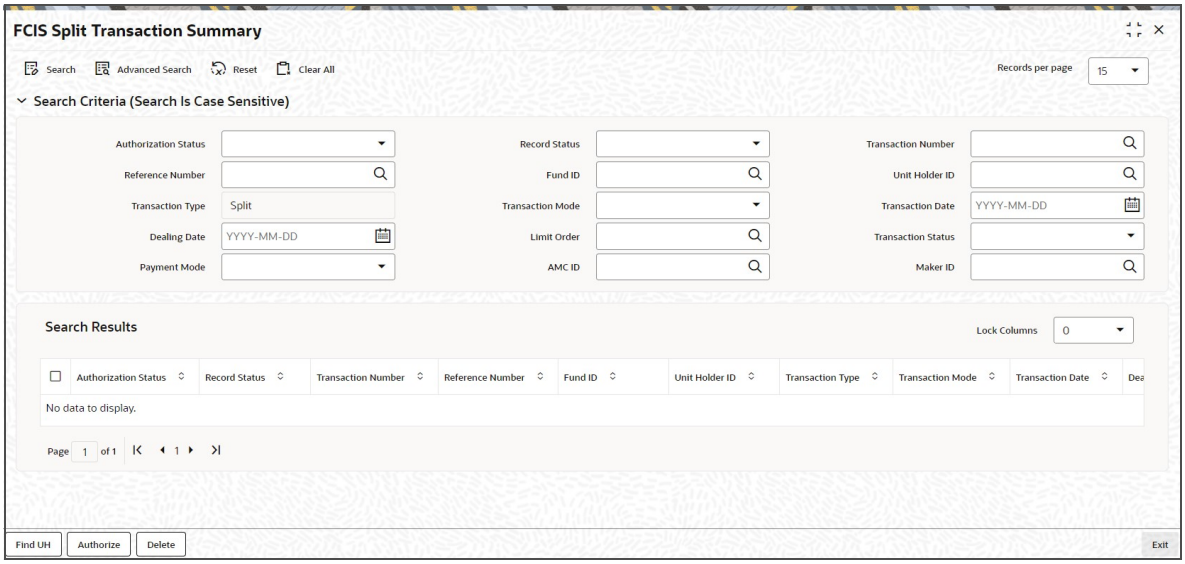
This section contains the following topics:

- Section 4.28.1, "Retrieving a Record in Split Transaction Summary Screen"
- Section 4.28.2, "Editing Split Transaction Record"
- Section 4.28.3, "Viewing Split Transaction Record "
- Section 4.28.4, "Deleting Split Transaction Record"
- Section 4.28.5, "Authorizing Split Transaction Record "
- Section 4.28.6, "Amending Split Transaction Record "
- Section 4.28.7, "Authorizing Amended Split Transaction Record "

4.28.1 Retrieving a Record in Split Transaction Summary Screen

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

- Invoke the 'FCIS Split Transaction Summary' screen by typing 'UTSTXN09' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details..



- The status of the record in the Authorization Status field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the ‘Blank Space’ option, then all records are retrieved
- Transaction Number
- Fund ID
- Transaction Type
- Transaction Date
- Limit Order
- Payment Mode
- Maker ID
- Reference Number
- Unit Holder ID
- Transaction Mode
- Dealing Date
- Transaction Status
- AMC ID

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

For example:

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

- Search by A% :- System will fetch all the records whose Transaction Number starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Transaction Number ends by numeric value’ 7’ . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Number contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc.

4.28.2 Editing Split Transaction Record

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

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

Click Save to save your changes. The FCIS Split Transaction Detail screen is closed and the changes made are reflected in the FCIS Split Transaction Summary screen.

4.28.3 Viewing Split Transaction Record

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

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

4.28.4 Deleting Split Transaction Record

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

- Invoke the FCIS Split Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.

- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Split Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.28.5 Authorizing Split Transaction Record

- An unauthorized FCIS Split Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Split Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Split Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.28.6 Amending Split Transaction Record

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

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

4.28.7 Authorizing Amended Split Transaction Record

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

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

4.29 Reissue Transaction Detail

This section contains the following topic:

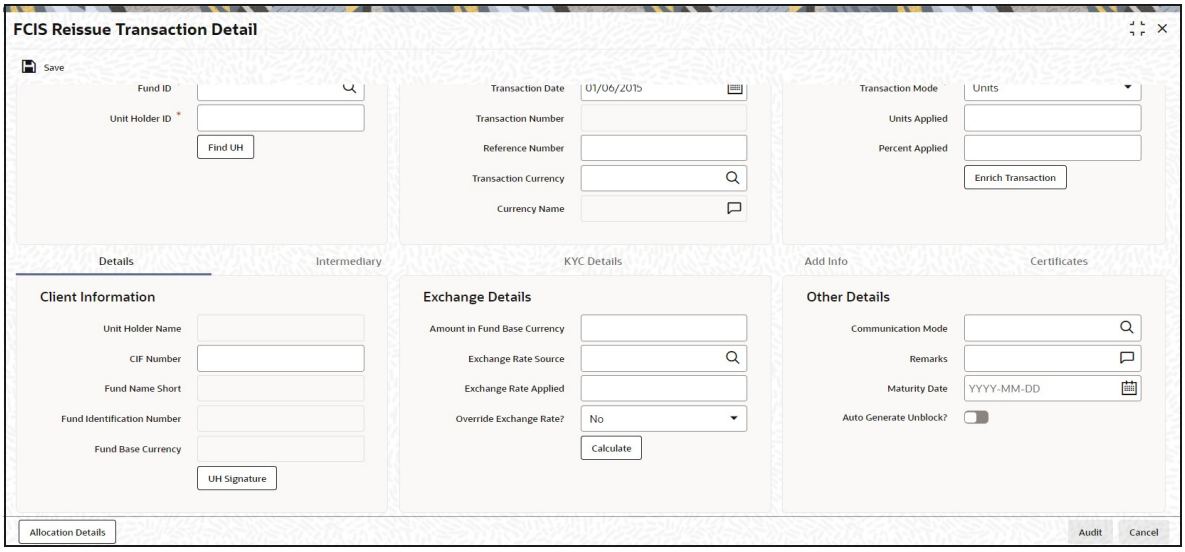
- Section 4.29.1, "Invoking Reissue Transactions Detail Screen"

- Section 4.29.2, "Details Tab"
- Section 4.29.3, "Intermediary Tab"
- Section 4.29.4, "KYC Details Tab"
- Section 4.29.5, "Add Info Tab"
- Section 4.29.6, "Certificate Tab"
- Section 4.29.7, "Allocation Details Button"
- Section 4.29.8, "Saving the Transaction"

4.29.1 Invoking Reissue Transactions Detail Screen

To enter a reissue transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Reissue Transaction Detail' screen by typing 'UTDTXN10/ UTDTRA10' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for reissue transactions is displayed, with all the default information.



You can specify the following details:

Client Information

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

You can also query unit holder ID by clicking ‘Find UH’ button.

Transaction Information

Transaction Date

Date Format; Mandatory

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

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 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.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Currency Name

Display

The system displays the name of the currency.

Transaction Value

Transaction Mode

Mandatory

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

- Units
- Percent

Units Applied

Numeric; 27 Characters; Optional

Specify the units applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Units. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

Percent Applied

Numeric; 27 Characters; Optional

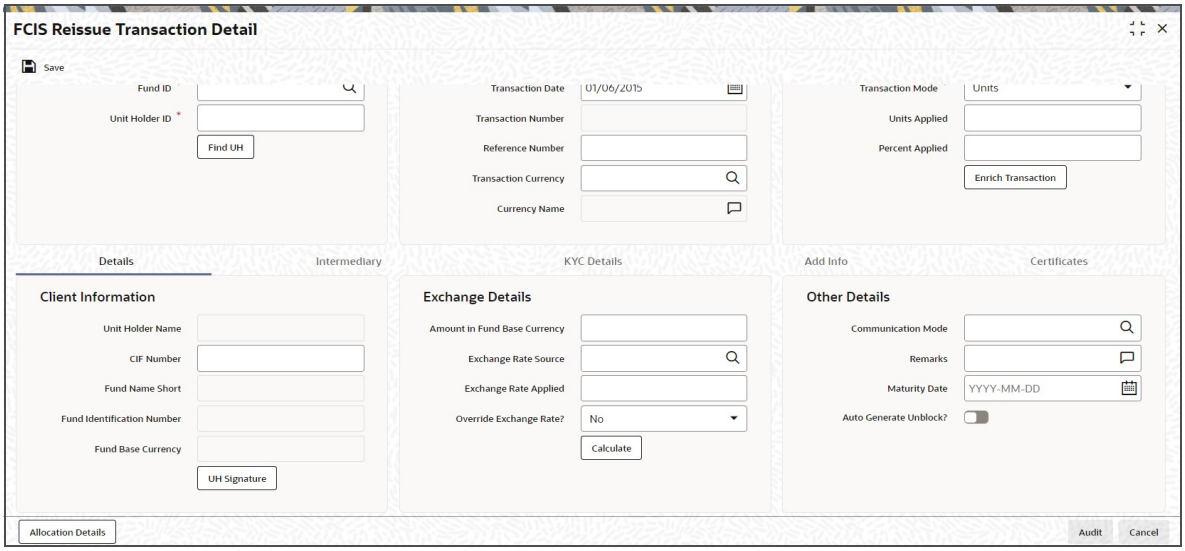
Specify the percent applied details.

You should specify the details in this field only if you have selected ‘Transaction Mode’ field as Percent. Else, while clicking ‘Enrich Transaction’ button, the system will display an error message.

After entering all details in Transaction Information section click on button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

4.29.2 Details Tab

Click ‘Details’ tab in the FCIS Reissue Transaction Detail screen.



You can specify the following details:

Client Information Section

CIF Number

Alphanumeric; 20 Characters; Optional

Specify the CIF number.

The system will display the following values:

- Unit holder name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

You can upload unit holder signature image by clicking ‘UH Signature’ button.

Exchange Details

Amount in Fund Base Currency

Numeric; 30 Characters; Optional

Specify the amount in fund base currency.

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

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

Note

Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.

Exchange Rate Applied

Numeric; 21 Characters; Optional

The system displays the applied exchange rate.

Override Exchange Rate?

Optional

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

- Yes
- No

Other Details

Communication Mode

Alphanumeric; 2 Characters; Optional

Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

Maturity Date

Date Format; Optional

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

Auto Generate Unblock?

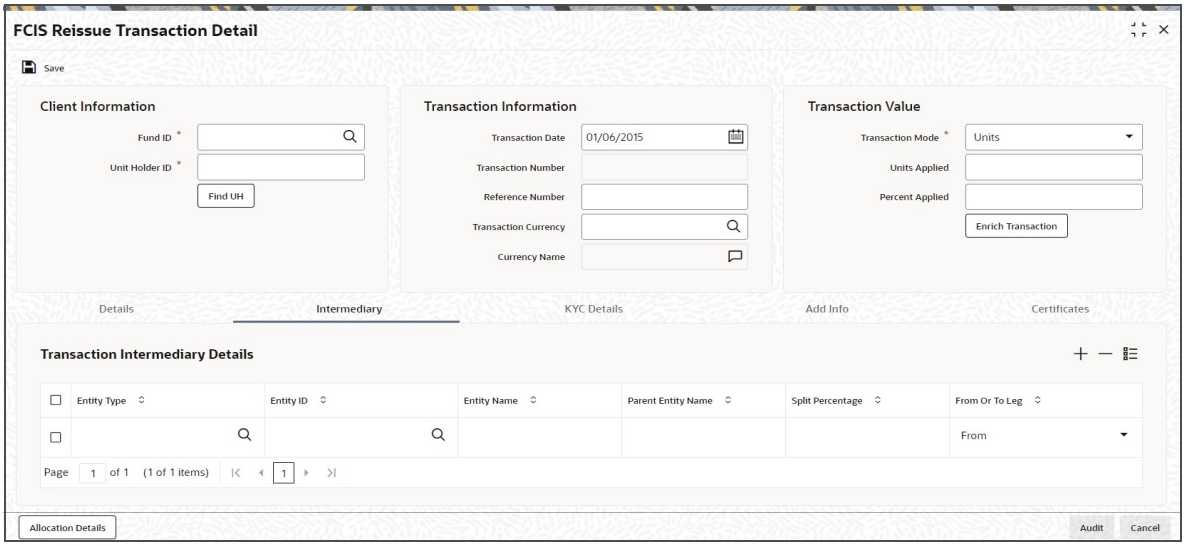
Optional

Check this box to automatically generate unblock transactions.

After specifying all the necessary details, click ‘Calculate’ button to calculate the interest details. Click the Calculate button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

4.29.3 Intermediary Tab

Click ‘Intermediary’ tab in the FCIS Reissue Transaction Detail screen.



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

Entity Type

Alphanumeric; 1 Character; Optional

Select the entity type that has been identified as the intermediary for the transaction.

Entity ID

Alphanumeric; 12 Characters; Mandatory

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the broker is displayed. However, you can amend this value.

Parent Entity Name

Alphanumeric; 100 Characters; Optional

When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.

Split Percentage

Numeric; 5 Characters; Optional

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

From or To Leg

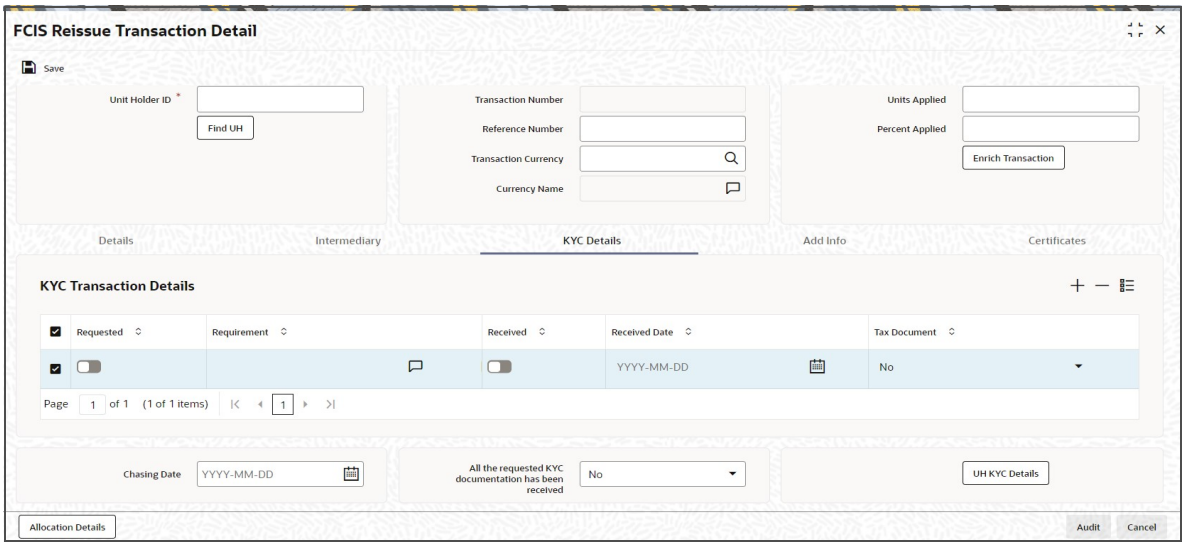
Optional

Select the from or to leg details from the drop-down list. The list displays the following values:

- From
- To

4.29.4 KYC Details Tab

Click on ‘KYC Details’ tab in the FCIS Reissue Transaction Detail screen.



Requested

Optional

Check this box to indicate KYC details are requested.

Requirement

Alphanumeric; 255 Characters; Optional

Specify the list of KYC documents required for the unit holder.

Received

Optional

Check this box to indicate KYC details are received.

Received Date

Date Format; Optional

Specify the date on which the documents are received from the investor.

Tax Document

Optional

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

- Yes
- No

Chasing Date

Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

All the requested KYC documentation has been received

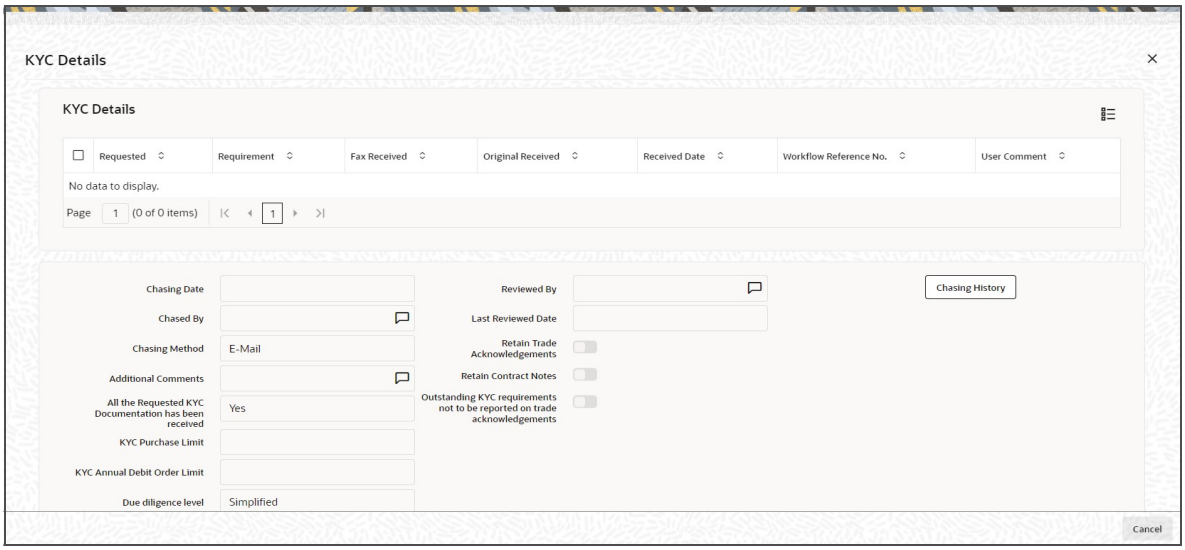
Optional

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

- Yes

- No

Clicking on ‘UH KYC Details’ button, the system displays all the KYC details available for the UH.



The details are populated from Unit Holder Maintenance screen (UTDUH).

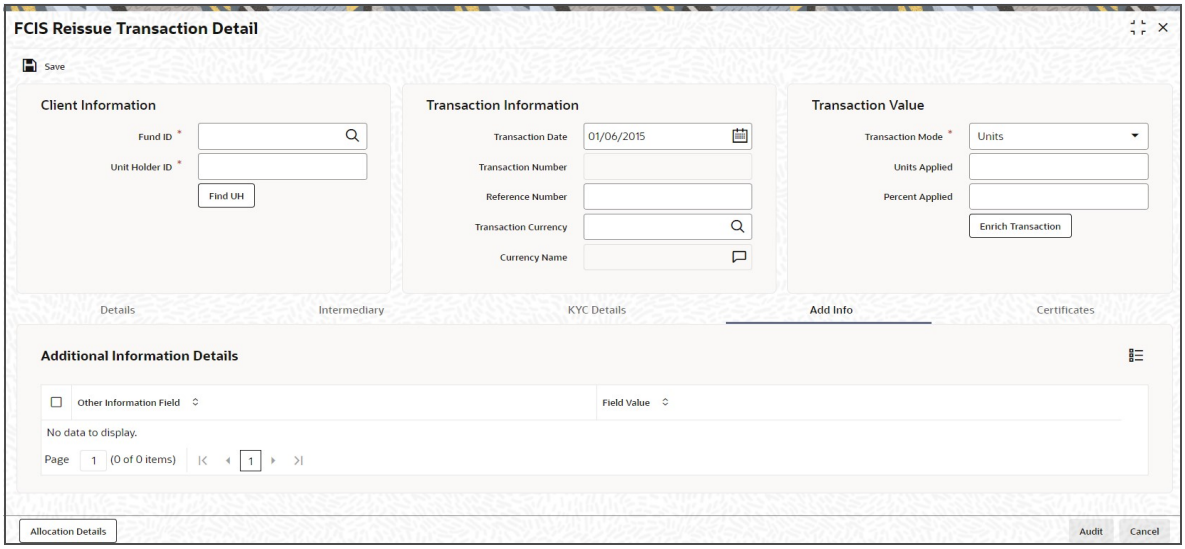
Note

Transaction Status will not check the KYC Details to complete the transaction.

For further details on this screen, refer ‘KYC Details Tab’ in ‘Unit Holder Maintenance Detail’ screen (UTDUH) in Entities User Manual.

4.29.5 Add Info Tab

Click on ‘Add Info’ tab in the FCIS Reissue Transaction Detail screen.



Other Info Field

Display

The system displays the additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.

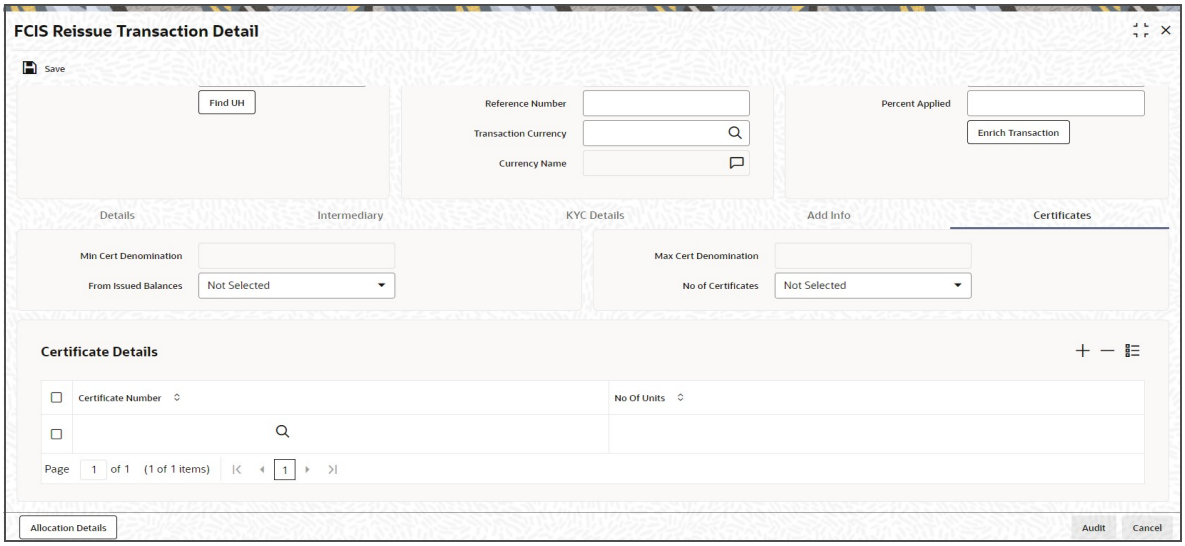
Field Value

Display

The system displays the field value.

4.29.6 Certificate Tab

Click Certificate tab in the FCIS Reissue Transaction Details screen.



Min Cert Denomination

Numeric; 22 Characters; Optional

Specify the minimum certificate denomination details.

Max Cert Denomination

Numeric; 22 Characters; Optional

Specify the maximum certificate denomination details.

From Issued Balances

Optional

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

Note

From issued balance field ‘Both Option’ is not applicable for the subscription transaction

No of Certificates

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

Certificate Details

Certificate Number

Numeric; 10 Characters; Optional

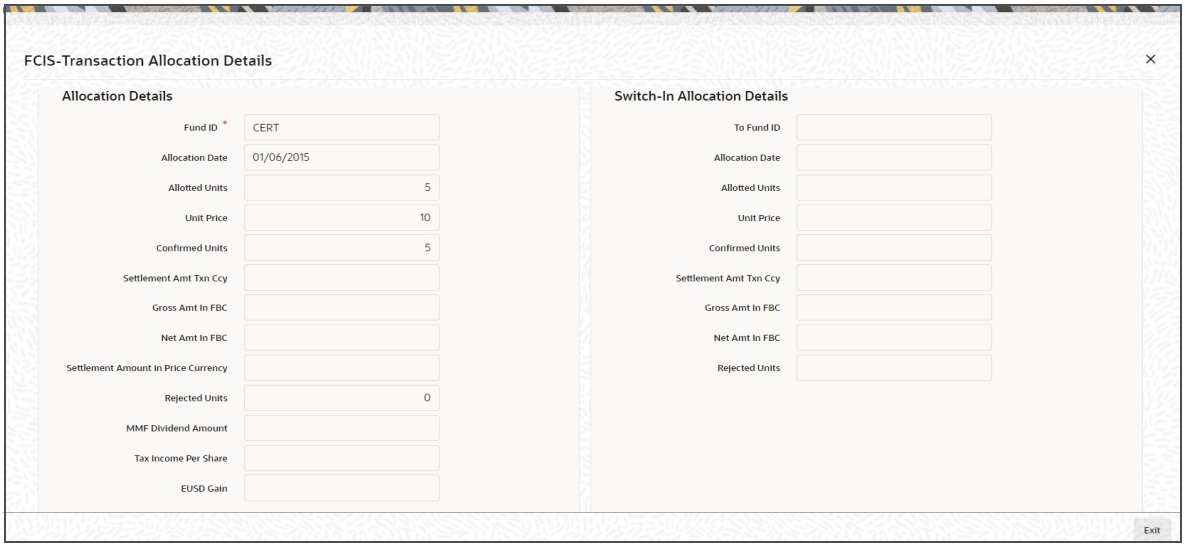
Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.

No of Units

Numeric; 27 Characters; Optional

Specify the number of units details.

4.29.7 Allocation Details Button



The following allocation details are displayed:

Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency

- Rejected Units
- MMF Dividend Amount
- Tax Income Per Share
- EUSD Gain

Switch-In Allocation Details

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

Load Details

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

Performance Fee Details

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

Transaction Component Details

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income

- Fund Capital
- Share Premium

CGT Deduction Details

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

4.29.8 Saving the Transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

Note

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

4.30 Reissue Transaction Summary Screen

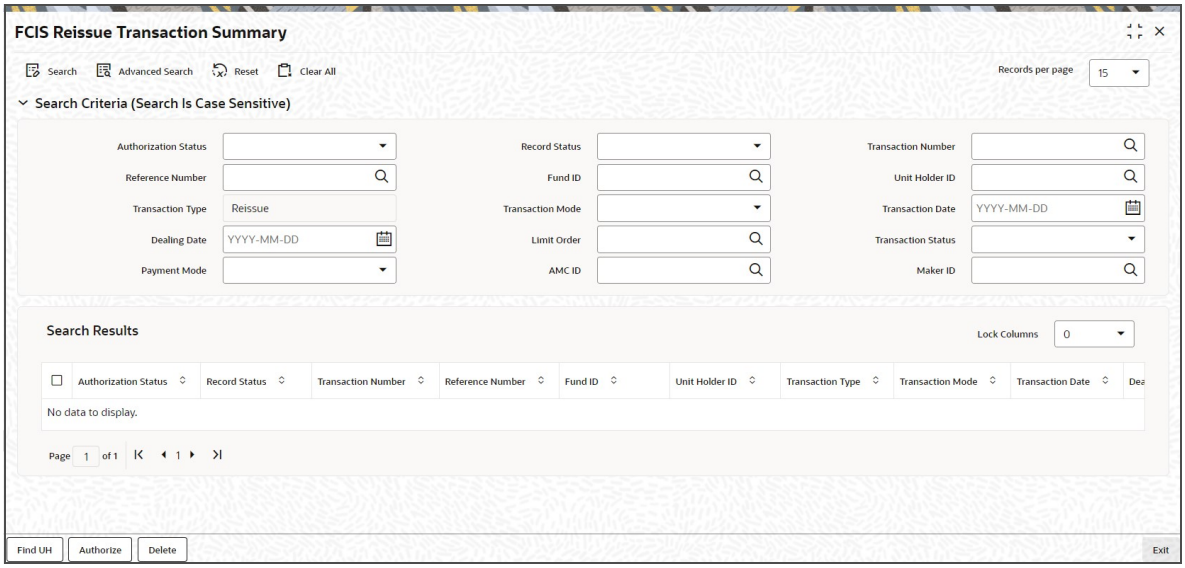
This section contains the following topics:

- Section 4.30.1, "Retrieving a Record in Reissue Transaction Summary Screen"
- Section 4.30.2, "Editing Reissue Transaction Record"
- Section 4.30.3, "Viewing Reissue Transaction Record "
- Section 4.30.4, "Deleting Reissue Transaction Record"
- Section 4.30.5, "Authorizing Reissue Transaction Record "
- Section 4.30.6, "Amending Reissue Transaction Record "
- Section 4.30.7, "Authorizing Amended Reissue Transaction Record "

4.30.1 Retrieving a Record in Reissue Transaction Summary Screen

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

- Invoke the ‘FCIS Reissue Transaction Summary’ screen by typing ‘UTSTXN10’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the ‘Blank Space’ option, then all records are retrieved
- Transaction Number
- Fund ID
- Transaction Type
- Transaction Date
- Limit Order
- Payment Mode
- Maker ID
- Reference Number
- Unit Holder ID
- Transaction Mode
- Dealing Date
- Transaction Status
- AMC ID

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

For example:

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

- Search by A%:- System will fetch all the records whose Transaction Number starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7:- System will fetch all the records whose Transaction Number ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Number contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

4.30.2 Editing Reissue Transaction Record

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

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

Click Save to save your changes. The FCIS Reissue Transaction Detail screen is closed and the changes made are reflected in the FCIS Reissue Transaction Summary screen.

4.30.3 Viewing Reissue Transaction Record

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

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

4.30.4 Deleting Reissue Transaction Record

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

- Invoke the FCIS Reissue Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.

- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Reissue Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.30.5 Authorizing Reissue Transaction Record

- An unauthorized FCIS Reissue Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Reissue Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Reissue Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

4.30.6 Amending Reissue Transaction Record

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

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

4.30.7 Authorizing Amended Reissue Transaction Record

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

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

4.31 Defaulting of Price Date in Transaction Screens

While entering a transaction in any of the Transaction Detail screens, you will have to select the fund in which the requested transaction has to be put through. Once you choose the fund from the option list, the field From Price Date will be displayed.

The table below gives you four sets of conditions that will determine the price date that will be updated in the field From Price Date.

Case	Post Priced	Forward Pricing	Specific Fund Price Frequency	Cut Off Basis	Adhoc Price Date
Case 1	Yes	No	NA	NA	NA
Case 2	Yes	Yes	'User Defined'	'Cut Off Based on Price Date'	NA
Case 3	Yes	Yes	'User Defined'	'Cut Off Based on Price Date'	Maintained
Case 4	Yes	Yes	Any option other than 'User Defined'	'Cut Off as an Inde-pendent Calendar'	Maintained

Note

When indicating the Adhoc Price Date you should have specified that the price entered is not meant for reporting alone, by not checking the box 'For Reporting'.

NA, wherever present, denotes the field is Not Applicable given the set of conditions.

For each of the set of conditions given in the table above, the following will be the date that will be updated in the field From Price Date:

Case 1

The next scheduled price date.

Example

For a Fund A, which is post priced (pricing will be of a daily frequency), the system by default the price to the current available price date.

Case 2

The next user defined price date taking into account the number of cut off days specified.

Example

For a fund A, with the following set of maintenances, the allocation would be as follows:

Fund Name	Forward Pricing Applicable	Scheduled Price Date	Pricing Cut-Off (days)
Fund B	Yes	14-Apr-04	2
		17-Apr-04	
		19-Apr-04	
		21-Apr-04	

For a transaction captured on 12th, the field From Price Date in the subscription transaction will be updated with the date 14th April 2004.

For a transaction captured on 13th, the field From Price Date in the subscription transaction will be updated with the date 19th April 2004 as the 17th is an AMC holiday.

Note

For the transaction captured on the 13th in the above example, the default price date cannot be overridden to the adhoc date as it is not maintained but can be overridden to the 14th (the Scheduled Price Date), though it does not satisfy the pricing cut off limit.

Case 3

The next user defined price date taking into account the number of cut off days specified. You can change this price date and enter the Adhoc Price Date.Example

For a fund A, with the following set of maintenances, the allocation would be as follows:

Fund Name	Forward Pricing Applicable	Scheduled Price Date	Pricing Cut-Off (days)	Adhoc Date (Subscription)	Adhoc Cut-Off (days)
Fund B	Yes	14-Apr-04	2	12-Apr-04	0
		17-Apr-04		13-Apr-04	1
		19-Apr-04		15-Apr-04	2 - Flagged for reporting
		21-Apr-04		16-Apr-04	3

Assume, 15th is a Fund holiday and 17th April, 2004 is a AMC holiday.

For a transaction captured on the 12th, the field From Price Date in the subscription transaction will be updated with the date 14th April 2004.

The above defaulted price date 14th April 2004, can be overridden to the Adhoc Date 12th April 2004.

For a transaction captured on 13th, the field From Price Date in the subscription transaction will be updated with the date 19th April 2004 as the 17th is an AMC holiday.

In the above transaction, the default price date can be overridden to the Adhoc Date, 13th April 2004 as it does not satisfy the cut-off days limit. But the 14th (the Scheduled Price Date) can be applied.

Case 4

The next scheduled price date taking into account the number of cut off days specified. You can change this price date and enter the Adhoc Price Date.

Refer to the chapter ‘Setting Up Fund Rules (II’) in Volume 2 of the Fund Manager User Manual.

For further information on the Transaction Detail screens, refer to the chapters ‘Processing Transaction Requests and Processing Transaction Requests (II)’ in Volume 2 of the Agency Branch User Manual.

4.32 Completing Transaction

A transaction is deemed as complete only after it is settled and the required KYC documents have been received from the investor, both at the unit holder level and at the transaction level.

Redemption and Switch Out transactions are allowed even if the linked subscription transactions are not complete. However, payment will not be allowed. If Redemption and Switch out transactions are settled and all the required KYC documents have been received, Completion of linked Subscription triggers the Completion of the Redemption or Switch out transaction.

A transaction can be redeemed or switched out only if the KYC/AML checks have been completed for the linked inflow transaction.

Completion is possible for IPO subscription, subscription, redemption, switch and transfer transactions.

Completion of a transaction is possible only under the following circumstances:

- Transaction has been allotted
- All the payments linked with the transaction are settled
- All KYC documents have been received from the investor at the unit holder level and at the transaction level.
- Transaction is confirmed in case of redemptions
- Linked inflow transaction is ‘Complete’ in case of redemptions or switch out transactions

You can perform the completion operation as follows:

- In the main menu, invoke the Transaction Input menu. For the required transaction type, choose the Summary option. The Transaction Summary screen is opened.
- In the Operation field, select the Completion option from the drop-down list.
- You can only complete records of transactions that have been allotted. Accordingly, the Status field is defaulted with ‘Allotted’ and you are not allowed to change this.
- To retrieve the transaction that is to be completed, specify any or all of the details of the transaction in the corresponding fields on the screen. All allotted transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- To complete any single transaction that has been retrieved,
  - In the displayed list, select the row of the transaction number and specify the date of completion in the Completion Date field.
  - Check the Complete checkbox. Then click the Complete Transaction button to complete the operation.

Note

The completion date that you specify here should be less than or equal to the application date and should be greater than or equal to the transaction date, allocation date and the settlement date of the transaction.

In case the KYC list is incomplete for an unsettled transaction, Completion date is updated on settlement. A settled transaction can be marked as ‘Complete’ only after marking that all the requested KYC documents have been received.

If your installation has not requested for KYC checks, then the transaction will be automatically marked as completed in the following cases:

- Allocation happens before clearing/settlement – In this case, during clearing, the transaction is marked as completed and the Completion date is defaulted with the Clearing date.
- Allocation happens after clearing – In this case, during allocation, transaction is marked as completed and Completion date is defaulted with the Allocation date.

In case of Redemption transactions:

- Completion should be done through 'Confirm Redemption' after settling the transaction.
- Completion should be done through 'Completion' option in Transaction Summary Screen after marking that all KYC documents have been received.

4.33 Processing Back Data Propagation for Transactions

You can correct erroneous transactions as well as enter those that have been missed out and compute the effect these have on the current holdings of the unit holder through the back data propagation process. The following transactions are covered as part of this feature:

- IPO
- Subscription
- Redemption
- Normal Switch and Pseudo switch
- Transfer
- SI transactions

To facilitate this propagation process, two schema are used – the business (or normal) schema and the report schema. You are required to enter the correct data in the business schema for the required transactions and select these for propagation, again from the business schema. The transactions will be simulated in the report schema and the results can be viewed in the business schema.

Refer the chapter 'Back Data Propagation' in the Fund Manager User Manual for more details on the back data propagation process.

4.34 Auto Completion

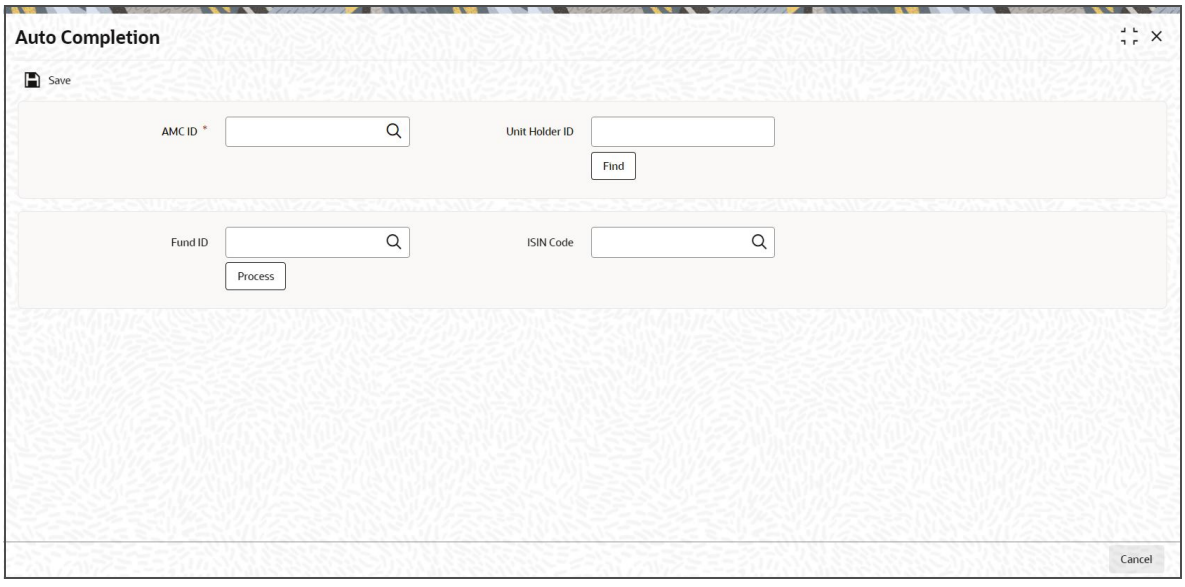
This section contains the following topics:

- Section 4.34.1, "Invoking Auto Completion Screen"

4.34.1 Invoking Auto Completion Screen

You can update the transaction completion status of the transaction using 'Auto Completion' screen. For the transactions which are either cleared in payment or KYC process and you need to complete the transaction before the end of the day program, then run this batch to make the transaction complete.

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



In order to process the Job, you need to input the following details.

AMC ID

Alphanumeric; 12 Characters; Mandatory

Specify the AMC ID of the transactions for which the status needs to be marked as completed. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC ID maintained in the system.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID of the transaction in case you want to mark the status as completed for a particular unit holder.

You can also query for unit holder ID by clicking ‘Find’ button.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund along with AMC in case all the transaction under that AMC and fund combination status needs to be marked as completed. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

ISIN Code

Alphanumeric; 25 Characters; Optional

The system displays the ISIN code if you have specified the fund ID. Else specify the ISIN code.

If you specify the ISIN code, the system displays the fund ID and vice versa.

5. Processing Transactions - II

This chapter contains the following sections:

- Section 5.1, "Mandatory Information for All Transaction Types"
- Section 5.2, "Unit Holder Balances Summary"
- Section 5.3, "Contract Notes for Transactions"
- Section 5.4, "Entering Payment Details for Transactions"
- Section 5.5, "Enrich Exchange Rate Detail"
- Section 5.6, "Payment Clearing Detail"
- Section 5.7, "Transaction Load Override"
- Section 5.8, "Transaction Load Override Summary"
- Section 5.9, "Global Order"
- Section 5.10, "GO Maintenance Summary"
- Section 5.11, "Global Order Confirmation Detail"
- Section 5.12, "Global Order Confirmation Summary"
- Section 5.13, "GO Reconciliation Details"
- Section 5.14, "GO Reconciliation Summary"
- Section 5.15, "Global Order Settlement Details"
- Section 5.16, "Global Order Settlement Summary"
- Section 5.17, "Global Order Status"
- Section 5.18, "Global Order Generation"
- Section 5.19, "Trading Transaction or Global Order Restriction Mapping"
- Section 5.20, "Trading Transaction or Global Order Restriction Mapping Summary"
- Section 5.21, "ISA Transfer"
- Section 5.22, "One Legged Transfer Summary"
- Section 5.23, "Distribution Void Detail"
- Section 5.24, "Distribution Void Summary"
- Section 5.25, "Void Maintenance Detail"
- Section 5.26, "Void Maintenance Summary"
- Section 5.27, "Intra-day Checks for Transactions"
- Section 5.28, "UH Portfolio Readjustment Details"
- Section 5.29, "UH Portfolio Readjustment Summary"
- Section 5.30, "Help Desk Facility"
- Section 5.31, "Help Desk Summary"
- Section 5.32, "Sending and Receiving Messages"
- Section 5.33, "RTA Transfer Details"
- Section 5.34, "RTA Transfer Summary"
- Section 5.35, "Consolidation of Portfolios"
- Section 5.36, "Batch Update of Transaction Date"
- Section 5.37, "Tracking Cheques"
- Section 5.38, "Cheque Tracking Summary Screen"
- Section 5.39, "Special Discount Maintenance"
- Section 5.40, "Special Discount Summary"

- Section 5.41, "Disable Auto Switch"
- Section 5.42, "Disable Auto Switch Summary Screen"
- Section 5.43, "Block Allowed Transaction Ref Types"
- Section 5.44, "Block Allowed Transaction Ref Types Summary"
- Section 5.45, "Cheque Processing Detail Screen"
- Section 5.46, "Authorization Screen"
- Section 5.47, "FCIS Conversion Transaction Detail"
- Section 5.48, "FCIS Conversion Transaction Summary"
- Section 5.49, "Redemption Limit Check Detail"

5.1 Mandatory Information for All Transaction Types

The transactions input detailed screen consists of the following sections:

- Client Information
- Transaction Information
- Broker Details
- Payment Details
- Fee Details
- Certificate Details
- Load Override Details
- Allocation Details
- Document Details

The mandatory information you need to supply before saving the transaction is given below as under each section. This is applicable to all transaction types:

Client Information Section

- The CIF Number for the investor, or, if this is not known, the investor number (or Unit Holder ID) in the Investor field.
- The Unit Holder ID for non-CIF investors.

Transaction Information Section

- The date of the transaction, in the Transaction Date field. If you are entering a backdated transaction, the date must be within the backdating limits specified for the fund in the Transaction Processing Rules.
- The fund in which the transaction was requested, in the Fund field. You must also specify the ISIN Code of the fund, in the ISIN Code field.
- The desired mode for the transaction, in the Transaction Mode field.
- The currency for the transaction, in the Transaction Currency field.
- The volume of the transaction, in terms of the selected transaction mode, in the Transaction Value field.
- The mode of communication that was used to request the transaction, in the Communication Mode field.
- The desired mode of payment for the transaction, in the Payment Mode field, for IPO, subscription and redemption transactions.
- Whether the applicable exchange rate that is prevalent at the time of transaction entry, must be overridden, in the Override Exchange Rate? field.

- Whether the transaction is to be initiated by gross amount / units, or net amount, in the Gross / Net field, for IPO, subscription and redemption transactions.
- The exchange rate source to be used, in the Exchange Rate Source field.
- Whether the transaction is an LOI transaction, in the LOI Transaction field.
- The maturity date for the transaction, if any, in the Maturity Date field.
- Whether the fee for the transaction is to be overridden, in the Override Fee field.
- The Price Basis for the transaction

Payment Details Section

- For redemption transactions, all the details in the Payment Details section.
- For IPO and subscription transactions, the payment type in the Payment Type field.

Fee Payment Details Section

- If fees are applicable, then all the details of fee payment, in the Fee Payment Details section.

Certificate Details Section

- The certificate numbers for certificate based transactions.

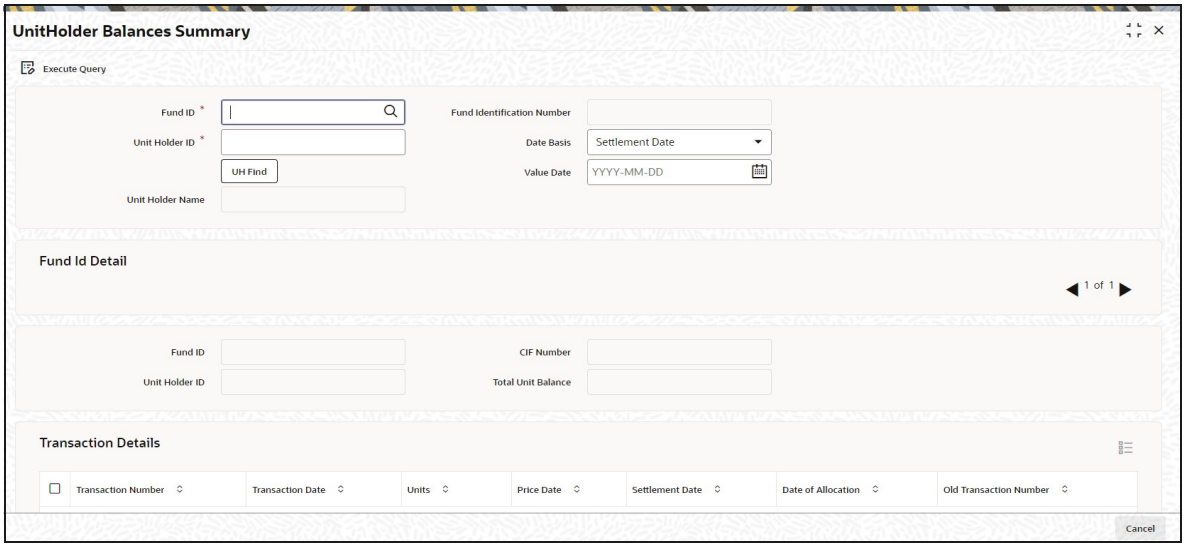
5.2 Unit Holder Balances Summary

This section contains the following topic:

- Section 5.2.1, "Invoking Unit Holder Balances Summary Screen"

5.2.1 Invoking Unit Holder Balances Summary Screen

In the 'UnitHolder Balances Summary' screen, you can query the database to obtain fund-wise balances of unit holders, as of a price date or settlement date. You can invoke this screen by typing 'UTDUHBAL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



As of a price date or a settlement date, you can view the balances for:

- A specific unit holder in all funds. You must provide the ID of the required unit holder in this case. This is a mandatory field.

- A specific unit holder in a specific fund. You must provide the IDs of both the required fund as well as the unit holder, in this case.
- All unit holders in a specific fund. You must provide the ID of the required fund in this case.

To obtain the required balances for viewing in this screen, you must specify the following information that would be used as search criteria:

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the ID of the fund for which you require to view the unit holder balances. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Fund Identification Number

Display

The system displays the fund identification number.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the ID of the unit holder for which you wish to view fund-wise balances as of the indicated date. You can also query for unit holder ID by clicking on ‘UH Find’ button.

Unit Holder Name

Display

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

Date Basis

Optional

Select whether you wish to view the balances as of a price date or a settlement date from the drop-down list. The list displays the following values:

- Settlement Date
- Price Date

Value Date

Date Format; Mandatory

Select the value date from the adjoining calendar.

The following details are displayed in the Fund ID Detail portion of the Unit Holder Balances screen:

- ID of the fund for which the unit holder balances are displayed
- CIF of the unit holder whose balances are displayed
- ID of the unit holder
- Total Unit balance of the unit holder in the fund, as of the indicated date

You can view a transaction-wise breakup details for the unit balance, in the Transaction Details section:

- Transaction Number
- Transaction Date
- Units
- Price Date
- Settlement Date

- Date of Allocation
- Old Transaction Number

5.3 Contract Notes for Transactions

Confirmation reports (contract notes) for transactions allocated on a business day may be obtained by printing them through the Confirmation Reports menu item in the Queries menu. You can print the notes as often as required through the Confirmation Reports menu.

The End of Day processes on a given business day also execute an EOD job that prints contract notes in respect of transactions allocated on a given business day. The job checks to see if the contract notes have already been printed from the menu. If so, duplicates will be printed only if the 'Duplicates Required' option in the task parameters static information for the job has been enabled and set to 'Yes'. If the Duplicates Required option has been set to 'No', duplicate contract notes are not printed by the EOD job. The Duplicates Required option is configured by the implementers at your installation, according to your requirement in respect of printing of duplicate contract notes.

If the contract notes have not been printed through the Confirmation Reports menu, the EOD job prints the contract notes.

Also, if allowed, as explained above, the EOD job prints transaction contract notes for transactions involving only those unit holders for whom the 'File' option has not been set as the preferred mailing mode in the unit holder account details. For transactions involving any unit holders for which the 'File' option has been set in the account details, the EOD job suppresses the printing of contract notes.

5.4 Entering Payment Details for Transactions

This section contains the following topics:

- Section 5.4.1, "Payment Incomplete Transactions"
- Section 5.4.2, "Gross Basis and Net Basis Transactions"

5.4.1 Payment Incomplete Transactions

When you enter a transaction request from an investor into the system (in the Transaction Details screens), you can save the transaction without entering any details of payment, in either of the following cases:

- For instance, in the case of a gross basis transaction, you would capture the mode of payment as mandatory information, but the investor need not actually furnish details of any payment instrument at the time of transaction entry.
- In the case of net basis transactions, you would not capture any payment details, as the actual amount of the transaction is not known at the time of transaction entry.

Whenever you do not enter the payment details, the transaction is saved as a payment incomplete transaction.

Further, a payment incomplete transaction can be authorized, and the payment details "completed" or entered subsequently, after authorization.

5.4.2 Gross Basis and Net Basis Transactions

An investor may request either a gross basis or a net basis for processing a transaction, at the time when you enter the request into the system.

5.5 Enrich Exchange Rate Detail

This section contains the following topics:

- Section 5.5.1, "Exchange Rate Enrichment for Exchange Rate Incomplete Transactions"
- Section 5.5.2, "Invoking Enrich Exchange Rate Detail"
- Section 5.5.3, "Performing Bulk Update of Exchange Rate"
- Section 5.5.4, "Authorizing Exchange Rate Enrichments"

5.5.1 Exchange Rate Enrichment for Exchange Rate Incomplete Transactions

When you enter a transaction request from an investor into the system (in the Transaction Details screens), you can save the transaction without specifying an exchange rate, in cases where the exchange rate for the source selected for the transaction has not been uploaded or is unavailable.

Whenever you do not enter the exchange rate, the transaction is saved as an exchange rate-incomplete transaction.

Further, an exchange rate incomplete transaction can be authorized, and the exchange rate “completed” or entered subsequently, after authorization.

Transaction Enrichment

The process of entering the exchange rate for an exchange rate incomplete transaction is known as Exchange Rate Enrichment.

Why must enrichment be performed?

A transaction can only be picked up by the End of Day process for allocation of units only if it is authorized and all necessary details are present in the transaction record. If the exchange rate is not available, the equivalent transaction amount in fund base currency cannot be computed. In the event of the transaction being authorized before the exchange rate details are specified, it must be made “exchange rate-complete” before it can be picked up subsequently for allocation.

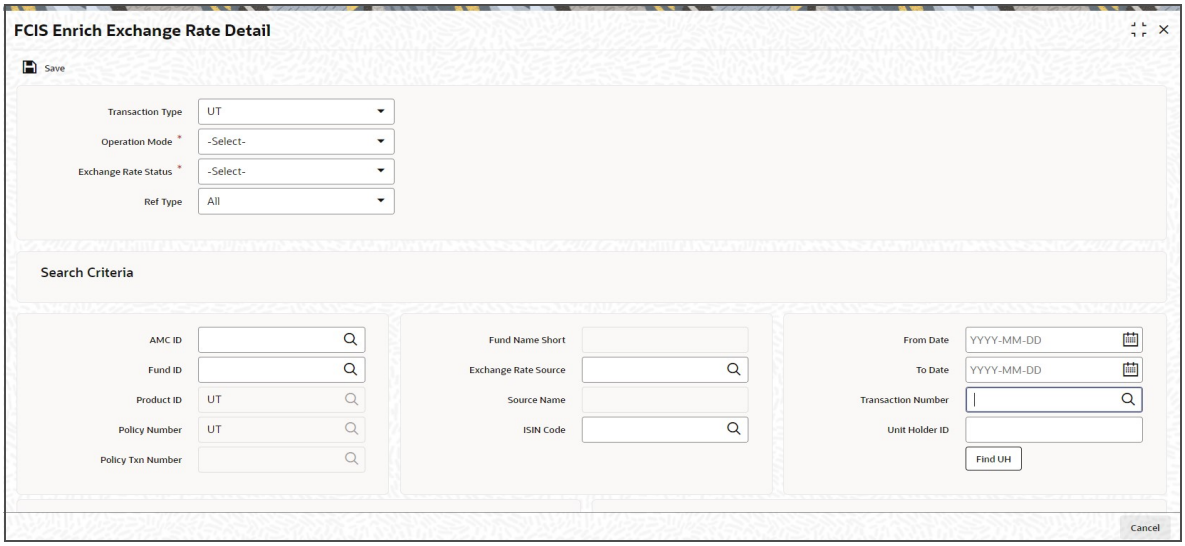
When to perform enrichment?

Exchange rate enrichment must be performed as a mandatory procedure before an exchange rate incomplete transaction is allocated.

Exchange rate enrichment must also be performed for authorized transactions generated due to a standing instruction.

5.5.2 Invoking Enrich Exchange Rate Detail

You can specify the exchange rate for exchange rate incomplete transactions in the ‘FCIS Enrich Exchange Rate Detail’. You can invoke this screen by typing ‘UTDTXNEE’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Enrich the exchange rate details in this screen as follows:

Transaction Type

Optional

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

- LEP
- UT

If u choose UT only incomplete UT transactions will be displayed for enrichment. If you choose LEP and mention the 'Product ID' and 'Policy Number', then all the underlying incomplete UT transactions of the particular policy will be available enrichment.

Operation Mode

Mandatory

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

- Enrich Exchange Rate
- Authorize
- Bulk Exchanged Rate Enrichment
- View Enrich Exchange Rate

If you select 'Enrich Exchange Rate' or 'Authorize' option, then 'Exchange Rate Status' and 'Ref Type' fields will be disabled. Also 'Execute' and 'Process' buttons will be disabled.

Exchange Rate Status

Mandatory

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

- Incomplete
- UnAuthorized
- Unauthorized/ Authorized
- Complete

If the transaction for which you are entering the exchange rate is an authorized transaction for which the exchange rate has not been entered, select 'Incomplete' option.

Ref Type

Optional

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

- All
- Standing Instruction
- IPO Subscription
- Subscription
- Redemption
- Switch
- Transfer

Search Criteria

AMC ID

Alphanumeric; 12 Characters; Optional

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

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Name Short

Display

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

Product ID

Alphanumeric; 10 Characters; Optional

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

This field is enabled only if you have selected ‘Transaction Type’ as ‘LEP’.

Policy Number

Alphanumeric; 16 Characters; Optional

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

This field is enabled only if you have selected ‘Transaction Type’ as ‘LEP’.

Policy Txn Number

Alphanumeric; 16 Characters; Optional

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

This field is enabled only if you have selected ‘Transaction Type’ as ‘LEP’.

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

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

Source Name

Display

The system displays the source name for the selected exchange rate source.

ISIN Code

Alphanumeric; 6 Characters; Optional

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

If you specify the fund ID, the system displays ISIN code and vice versa.

From Date

Date Format; Optional

Select the From date from the adjoining calendar.

To Date

Date Format; Optional

Select the To date from the adjoining calendar.

Transaction Number

Alphanumeric; 16 Characters; Optional

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

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID.

You can query unit holder ID by clicking ‘Find UH’ button.

Clicking ‘Execute’ button, the system displays the following enrich exchange rate details:

- Enrich
- Product ID
- Policy Number
- Policy transaction number/reference number
- Transaction Number
- Transaction Date
- Unit Holder ID
- Fund ID
- Transaction Mode
- Transaction Currency
- Fund Base Currency
- Source ID
- Override Exchange Rate
- Exchange Rate Applied

- Switch-In-Fund Base Currency
- Switch-In-Source ID
- Switch-In Exchange Rate Applied
- Mod No
- FX Deal Date
- FX Value Date

This button will be enabled only if you have selected ‘Bulk Exchanged Rate Enrichment’ and ‘View Enrich Exchange Rate’ option in ‘Operation Mode’ field.

Click ‘Process’ button to process the exchange rate. This button will be enabled only if you have selected ‘Bulk Exchanged Rate Enrichment’ and ‘View Enrich Exchange Rate’ option in ‘Operation Mode’ field.

After specifying the necessary details, click ‘Ok’ button. This button will be enabled only if you have selected ‘Enrich Exchange Rate’ and ‘Authorize’ option in ‘Operation Mode’ field.

You can reset by clicking ‘Reset’ button. This button will be enabled only if you have selected ‘Enrich Exchange Rate’ and ‘Authorize’ option in ‘Operation Mode’ field.

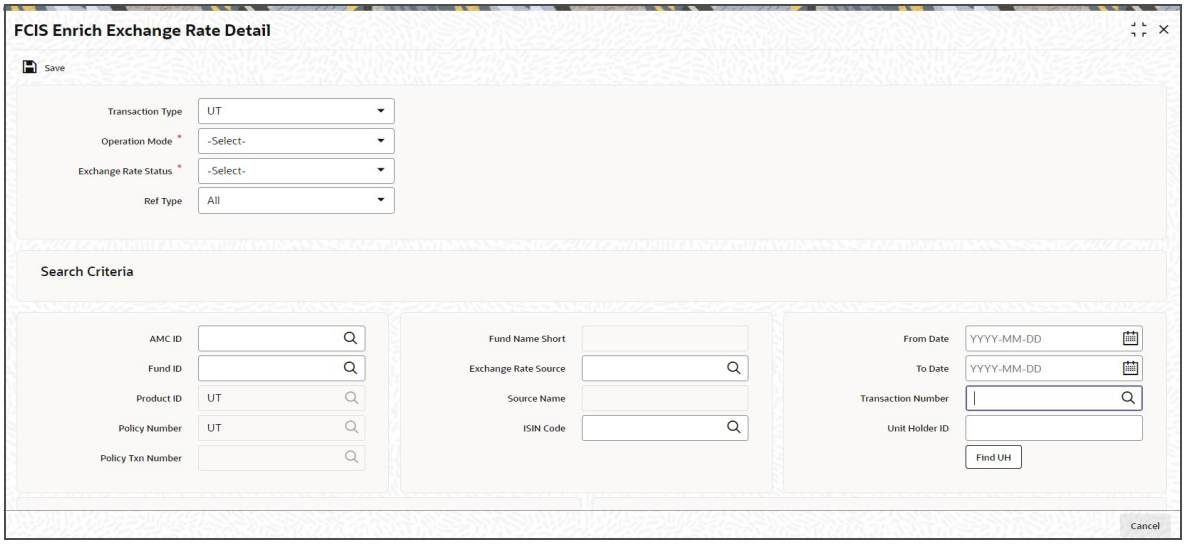
Click ‘Authorize’ button to authorize the transaction.

5.5.3 Performing Bulk Update of Exchange Rate

Bulk Exchange rate enrichment is performed for authorized but un-allotted transactions in the system. To perform bulk update of exchange rates select ‘Bulk Exchange Rate Enrichment’ in the operation field.

Certain other fields will be displayed in this screen if you choose the operation as ‘Bulk Exchange Rate Enrichment’.

To invoke this screen type UTDTXNEE in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Enrich the exchange rate details in this screen as follows:

- Select the operation mode as ‘Bulk Exchange Rate Enrichment’.
- Select the reference type for which you are performing exchange rate enrichment.

- Select the ID of the fund or the ISIN Code of the fund in which the bulk exchange rate enrichment is being performed, in the Fund ID and the ISIN Code fields.
- The date range when the transaction was processed.
- If the transaction for which you are enriching the exchange rate is an authorized but un-allotted transaction, choose the 'Complete' option in the field Exchange Rate Status
- If the transaction for which you are entering the exchange rate is an authorized transaction for which the exchange rate has not been entered, choose the ‘Incomplete’ option in the Exchange Rate Status field.
- In the Exchange Rate Source field, select the exchange rate source specified for the transaction, and click ‘Process’ button to submit the job to update the exchange rate details.
- Else, click ‘Execute’ button to update the update the exchange rate details.

5.5.4 Authorizing Exchange Rate Enrichments

After you have enriched the exchange rate in the Exchange Rate Enrichment screen, another user must authorize the enrichment for it to be effective in the system database, so that the transaction can be picked up for allocation.

To authorize the enrichment of exchange rate for a transaction, do as follows:

- Select the ID of the fund or the ISIN Code of the fund in which the transaction was entered, in respect of which exchange rate enrichment was done, in the Fund ID and the ISIN Code fields.
- Select the Authorize option in the Operation Mode field, in the Find Records section of the screen.
- Only unauthorized exchange rate enrichment transactions can be authorized. Select the Unauthorized option in the Exchange Rate Status field.
- In the Exchange Rate Source field, select the exchange rate source specified for the exchange rate enriched transaction, and click ‘Ok’ button.
- All exchange rate-enriched transactions that are retrieved according to your specifications are displayed as a list in the Records Matching The Search Criteria grid, in the lower portion of the screen.
- For each transaction for which you want to authorize the exchange rate enrichment, select the row of the transaction in the list grid.
- In the Auth Status field, select the Authorize option to mark the enrichment for authorization.
- After similarly marking as many records as necessary for payment enrichment authorization, click ‘Authorize’ button to effect the authorization.
- Transactions enriched through bulk operation need not be authorized.

5.6 Payment Clearing Detail

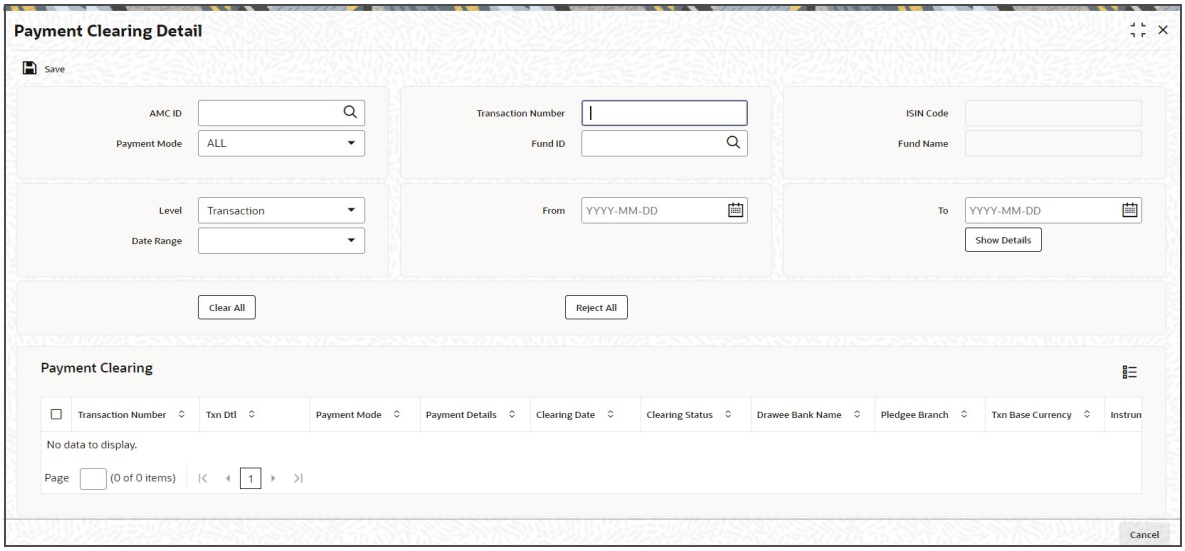
This section contains the following topics:

- Section 5.6.1, "Invoking Clearing Payment Instruments"
- Section 5.6.2, "Updating Clearing Status of Payment Instrument"
- Section 5.6.3, "Payment Clearing Details"
- Section 5.6.4, "Authorizing Clearing Status"
- Section 5.6.5, "Tracking Status of Returned Cheques"
- Section 5.6.6, "Authorizing Tracking Status"

5.6.1 Invoking Clearing Payment Instruments

The system provides the facility to keep track of the clearing status of payment instruments for transactions, or, in the case of LEP (Life and Endowment Products), on a policy level, on an online basis.

To update the clearing status of a payment, use the 'Payment Clearing Detail' screen. You can invoke this screen by typing 'UTDPYCLR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



5.6.2 Updating Clearing Status of Payment Instrument

To update the clearing status of a payment instrument for a transaction in the Payment Clearing screen, do as follows:

AMC ID

Alphanumeric; 12 Characters; Optional

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

Payment Mode

Optional

Select mode of payment from the drop-down list, specified for the transaction for which you want to update the clearing status of the payment instrument. The list displays the following values:

- All
- Cheque
- Demand Draft
- Transfer
- Credit Card

Level

Optional

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

- Transaction
- Policy

- Settlement
- Pre-Settled Trade

Date Range

Optional

Select range of dates from the drop-down list that would signify the period between which the transaction date or the allotted date of the transaction would be found. The list displays the following values:

- Transaction date
- Allocation Date
- Payment Date

Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number.

Fund ID

Alphanumeric; 6 Characters; Optional

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

ISIN Code

Display

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

Fund Name

Display

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

From

Date Format; Optional

Select the From date from the adjoining calendar.

To

Date Format; Optional

Select the To date from the adjoining calendar.

Click ‘Show Details’ button to view the following payment clearing details:

- Transaction Number
- Transaction Detail
- Payment Mode
- Payment Details
- Clearing Date
- Clearing Status
- Drawee Bank Name
- Pledgee Branch
- Transaction Base Currency
- Instrument Status
- Remarks
- System Reference Number

- Check Status
- Clearing Level
- Auth Status
- Maker ID
- Maker Date Stamp
- Checker ID
- Checker Date Stamp

Click 'Clear All' button to clear the instruments displayed. Click 'Reject All' button to reject the instrument details. Depending on what you choose, either Clear All or Reject All, the clearing status field under the Payment Clearing grid will display the clearing status

After marking as many instruments as necessary for clearing or rejection, click the Save button to save your changes.

5.6.3 Payment Clearing Details

The following details are displayed in the Payment Clearing screen:

- The transaction number of the transactions with the selected mode of payment or a check number.
- The payment mode used in the specified transaction
- The instrument number of the payment instrument used for the transaction
- The date of the payment instrument.
- The currency of the payment instrument.
- The amount of the payment instrument.
- The bank name and branch name of the bank where the payment instrument was drawn.

5.6.4 Authorizing Clearing Status

After you have updated the clearing status for a transaction payment instrument, another user must authorize the clearing status, for it to be effective in the system data stores.

To authorize a clearing status in the Payment Clearing screen, do as follows:

- In the Selection Criteria section, specify the following details as search parameters to retrieve the transaction records for which the clearing status of payment instruments must be authorized:
- In the Mode field, select the Authorize option.
- In the Level field, select the Transaction option.
- In the Payment Mode field, select the mode of payment specified for the transaction for which you want to authorize the clearing status of the payment instrument. To authorize a specific cleared payment instrument, enter the number of the instrument in the Specific Number field.
- In the Date Range fields, specify a range of dates that would signify the period between which the transaction date or the allotted date of the transaction would be found.
- Click on the Show button. All transactions with payment instruments that match your search criteria are displayed, with the instrument details, in the lower grid portion of the screen, in a list.
- For each payment instrument that you want to authorize the clearing status, select Authorize from the drop down menu in the Auth Status field. Your specification here will mark the clearing status of the instrument for authorization.

- After marking the clearing status of as many instruments as necessary for authorization, click the Authorize button to effect the authorization. Authorization of the payment clearing of a subscription transaction will settle all unsettled redemptions linked to it.

Clearing Status

3 Character, Alphanumeric, Mandatory

Select Clear to mark the check as Cleared. Select Reject to mark the check as Returned / Rejected.

Clearing Date

Date, Mandatory

Specify the date on which the clearing takes place. By default, the clearing date is deemed to be the application date.

Remarks

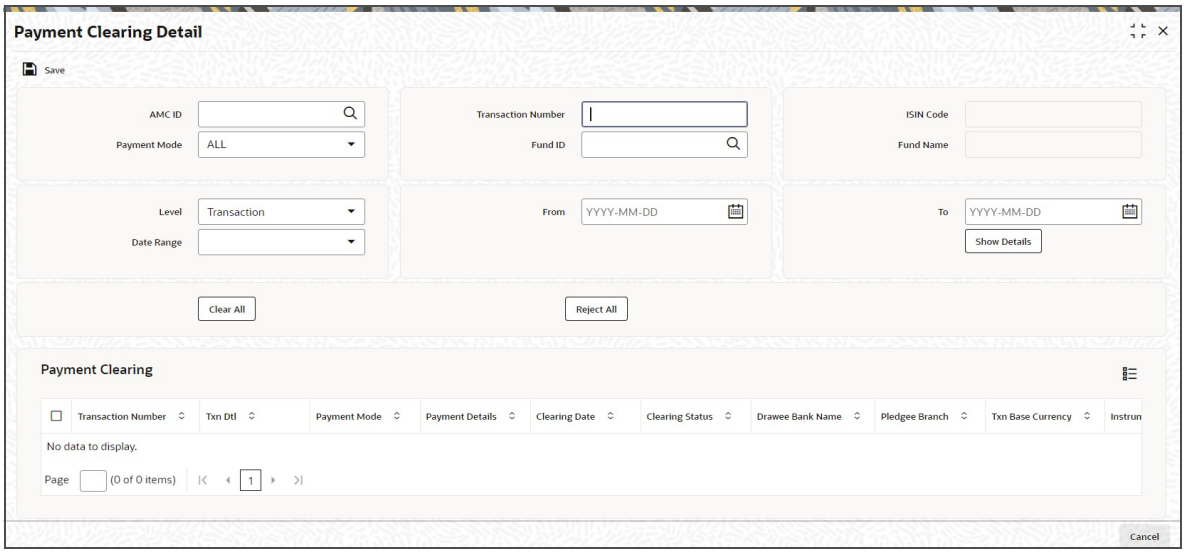
255 Characters Maximum, Alphanumeric, Mandatory

Specify any relevant remarks regarding the clearing status.

5.6.5 Tracking Status of Returned Cheques

After a transaction has been allocated, the purchase transaction will have a cooling block set, which implies that no units can be redeemed from this transaction's lots. The cooling block will be removed (transaction will be cooled off) when the status of the instrument is updated as cleared.

You can track the status of the physical instruments using the Payment Clearing screen.



To track the status of a payment instrument for a transaction in the Payment Clearing screen, do as follows:

- In the Selection Criteria section, specify the following details as search parameters to retrieve the transaction records for which the payment instruments must be tracked:
- In the Mode field, select the 'New' option.
- In the Level field, select the Settlement option.
- You can search for a record using any of the following criteria:
- Fund ISIN
- Fund ID

- AMC ID
- In the Payment Mode field, select the mode of payment specified for the transaction for which you want to update the status of the payment instrument. Only Cheque, Demand Draft and Money Transfer payment modes are applicable. To clear a specific payment instrument, enter the number of the instrument in the Specific Number field.
- In the Date Range fields, specify a range of dates that would signify the period between which the transaction date, the allotted date or the payment date of the transaction would be found.
- Click on the Show button. All transactions with payment instruments that match your search criteria are displayed, in the lower grid portion of the screen in a list.
  - All necessary information such as transaction number, payment mode, clearing date, payment currency, payment amount, etc is recorded.
- Click on the Payment Details link to view the Settlement Information screen. The payment details of all legs involved in the transaction is displayed.
- Specify the status of the instrument in the Instrument Status field. The options are:
  - Credit Received - Once this status is selected, system triggers automatic clearing of the associated transaction record and convert provisional units into confirmed units.
  - Debit Received - Indicates that information about Cheque rejection is received from Bank.
  - Reject Status Awaited - Indicates that information about Cheque rejection has been received at AMC/TA through return of physical instrument.
  - Rejected - This means that both; rejected cheque and reject information from the bank have been received. Once this status is updated, system will trigger automatic reversal of the associated transaction record.
- Specify any relevant remarks in the Remarks field.
- After marking as many instruments as for tracking, click the Save button to save your changes.

If you select an Instrument Status for one or all of Instruments for a transaction that results in payment / transaction rejection, system gives the following warning message “This will reject the entire transaction. Do you want to go ahead?”

5.6.6 Authorizing Tracking Status

After you have updated the status of a transaction payment instrument, another user must authorize the instrument status, for it to be effective in the system data stores.

To authorize an instrument status in the Payment Clearing screen, do as follows:

- In the Selection Criteria section, specify the following details as search parameters to retrieve the transaction records for which the status of payment instruments must be authorized:
- From the Actions list, select the Authorize option.
- In the Level field, select the Settlement option.
- In the Payment Mode field, select the mode of payment specified for the transaction for which you want to authorize the status of the payment instrument. To authorize a specific payment instrument, enter the number of the instrument in the Specific Number field.
- In the Date Range fields, specify a range of dates that would signify the period between which the transaction date or the allotted date of the transaction would be found.

- Click on the Show button. All transactions with payment instruments that match your search criteria are displayed, with the instrument details, in the lower grid portion of the screen, in a list.
- For each payment instrument that you want to authorize the status, select Authorize from the drop down menu in the Authorization Status field. Your specification here will mark the status of the instrument for authorization.
- After marking the status of as many instruments as necessary for authorization, click the Authorize button to effect the authorization.

Instrument Status

Alphanumeric, Mandatory

Specify the status of the instrument in the Instrument Status field. The options:

- Credit Received - If this status is selected, system triggers automatic clearing of the associated transaction record and convert provisional units into confirmed units.
- Debit Received - Indicates that information about Cheque rejection is received from Bank.
- Reject Status Awaited - Indicates that information about Cheque rejection has been received at AMC/TA through return of physical instrument.
- Rejected - This means that both; rejected cheque and reject information from the bank have been received. Once this status is updated, system will trigger automatic reversal of the associated transaction record.

Note

If the record is uploaded with the status ‘Debit Received’, the options in the drop-down list are ‘Reject Status Awaited’ and ‘Rejected’.

- If the record is uploaded with the status ‘Reject Status Awaited’, the options in the drop-down list are ‘Debit Received’ and ‘Rejected’.
- If the payment mode is Money Transfer, then the options available are ‘Credit Received’ and ‘Rejected’.
- If the record is uploaded from the Bank Reconciliation screen with the status ‘Credit Received’ or ‘Rejected’, then the record will not be available in the New mode and you will not be allowed to update the instrument status.

In case of uploaded records, system adds the following in the Remarks field:

‘Through Bank Recon Upload When No Action’

5.7 Transaction Load Override

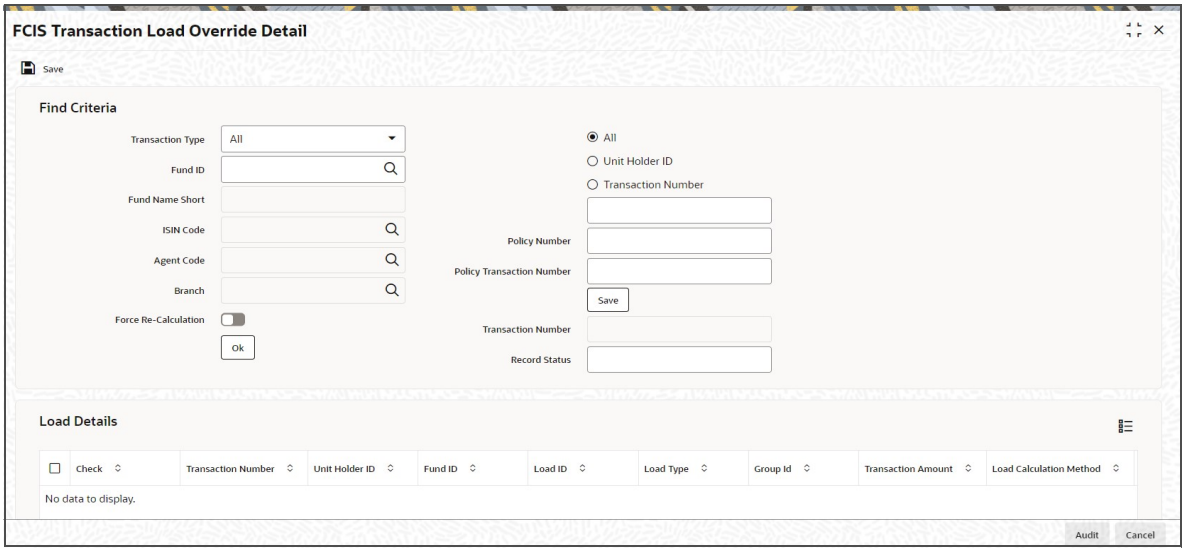
This section contains the following topics:

- Section 5.7.1, "Invoking Load Override Details"

5.7.1 Invoking Load Override Details

In FLEXCUBE Investor Services, you have the facility of changing the return value or final amount value of a load (charge) that is applicable for a transaction requested by an investor.

To override such a load, use the ‘FCIS Transaction Load Override Detail’ screen. You can invoke this screen by typing ‘UTDTXNLO’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



To override a load, do as follows:

Retrieve the record of the load that you want to override by specifying search parameters. You can specify any or all of the following to enable the search:

Find Criteria

Transaction Type

Optional

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

- All
- IPO Subscription
- Reinv IPO Subscription
- Subscription
- Reinv Subscription
- Redemption
- Switch From
- Transfer
- Block
- Unblock
- Consolidation
- Split
- Reissue

Choose one of the following options and enter the associated number for the selected option in the text box below:

- All
- Unit Holder ID
- Transaction Number

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID in which the transaction was put through, for which you want to override a load. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Fund Name Short

Display

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

ISIN Code

Alphanumeric; 12 Characters; Optional

Specify the ISIN code.

If you have specified Fund ID, then the system displays the ISIN code for the specified fund ID and vice versa.

Agent Code

Alphanumeric; 12 Characters; Optional

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

Branch

Alphanumeric; 12 Characters; Optional

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

Force Re-Calculation

Optional

Check this box to enable force re-calculation.

Policy Number

Alphanumeric; 12 Characters; Optional

Specify the policy number

Policy Transaction Number

Alphanumeric; 12 Characters; Optional

Specify the policy transaction number.

Transaction Number

Display

The system displays the transaction number.

Record Status

Alphanumeric; 1 Character; Optional

Specify the record status.

When you have specified your criteria, click ‘Save’ button to save the details. Click ‘Ok’ button to view the following details:

Load Details

- Check
- Transaction Number

- Unit Holder ID
- Fund ID
- Load ID
- Load Type
- Group ID
- Transaction Amount
- Load Calculation Method
- Amount Or Percentage

Load Details

The system displays the following Load Details for the selected transaction number:

- Load ID
- Load From Entity Type
- Load to Entity Type
- Transaction Amount
- Transaction Date
- Load To Price
- Load VAT To Price
- Mandatory
- Priority Number
- Free Transaction
- Apply Return Value on
- No of Decimals for Load
- Round of truncate for Load
- Group ID
- To Override

Investor

Display Only

The ID of the unit holder who has made the transaction is displayed here.

Transaction Number

Display Only

In this field, the transaction numbers of the transactions, based on the selection criteria, are displayed

Fund ID

Display Only

The ID of the fund on which the transaction has occurred is displayed here

Original Return Value

Display Only

The original return value percentage of each of the applicable loads before the override is displayed here.

Original Load Amount

Display Only

The original load amount of each of the applicable loads before the override is displayed here, after being calculated based on the return value.

You are allowed to override the following details in this section:

Override Return Value

Numeric, 30 Characters; Optional

Enter a value to override the original Return Value for the given load, for the given transaction. If nothing is entered then the Return Value will be taken as it is for allocation purposes provided the Override Load Amount is not changed. If the Return value specified is a percentage, you can override this percentage too.

If the Load Amount is changed, the change is also reflected in the Load Return Value field.

Override Load Amount

Numeric, 30 Characters; Optional

Enter an amount to override the original Load Amount for the given load, for the given transaction. If nothing is entered then the Load Amount will be taken as it is for allocation purposes provided the Override Return Value is not changed.

If the Load Return Value is changed, the change is also reflected in the Load Amount field.

To Override

Optional

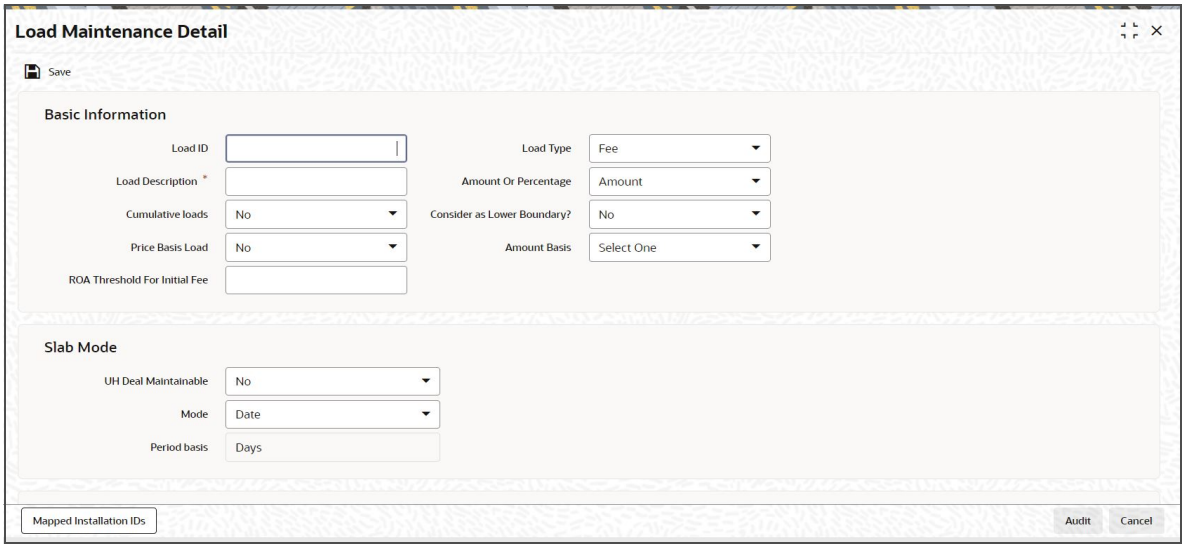
Indicate one of the following to indicate your preference for overriding, from the drop-down list:

- Both
- Return Value
- Load Amount

Derived Load Details

- Check
- Transaction Number
- Unit Holder ID
- Fund ID
- Load ID
- Parent Load ID
- Transaction Amount

You can check against the transaction number for which transaction is done in the check box.



If the load is criteria based, the criteria will be displayed in the Load Details screen.

If any derived loads are applicable, they are also displayed and can be overridden.

Load Type

Display Only

The type of load, indicating whether it is a fee or an incentive, is displayed here.

Transaction Amount

Display Only

The transaction amount of the given transaction is displayed here.

Calculation Method

Display Only

This field displays the Calculation Method (either Slab, Linear or Weighted) for the particular Load.

Amount/Percent

Display Only

This Field displays whether the Return Value is displayed in Amount or Percentage.

Load Details

Original Return Value

Display Only

The original return value of each of the applicable loads before the override is displayed here, either as a percentage or a load amount.

Click the OK button to save your changes.

The following must be borne in mind at a general level, while carrying out load overrides in this screen:

- Any load that is a tax cannot be overridden. A particular Load is deemed a tax if the fund load mapping record has a value specified for the Apply Return Value On field.
- Interconnected Loads:

- In the system, two loads are deemed to be interconnected loads if the From Entity of the one is the same as the To Entity of the other. After you exercise a Load Override in this screen and attempt to save the override record, the system flashes a warning message if the concerned load is an interconnected one. The message also displays the transaction number and the connected loads. If you choose Yes in this message box, these changes will be reflected during allocation of the transaction.
- Once a load override is saved in this screen, it is removed from the view list. To retrieve it, you must specify the search criteria again.
- If the original load is a percentage based load, and is loaded to price, the original load amount displayed is a per unit figure. The following illustration will make this clear:

Let us suppose that the Transaction Price is 10, and the load percentage is 5%. The amount displayed is as follows:

5% of 10=0.5.per unit.

If the load is not loaded to price, then the actual load amount is displayed here. Considering the same example above, If the transaction amount is 1000 currency units, and the load percentage is 5%, with the load not loaded to price, the load amount displayed is as follows:

5% of 1000=50 currency units.

5.7.1.1 Forcing Recalculation

When you open the load override screen for the first time (i.e., before any load overrides have been performed) and retrieve some load records, the computed load amounts are not displayed in the Amount/Return Value fields in the Txn Load Override screen. This will be so if you have not checked the Force Recalculation? field check box in the main Transaction Load Override screen. To indicate to the system that load computation must be done, you must Select this option. When you do so, the original computed loads, before any overrides, is displayed in the Return Value/Amount fields in the Txn Load Override screen.

After you perform the load overrides and override some or all of the retrieved loads, the overridden load records are saved as unauthorized load overrides. At this stage, when you open the Load Override screen and retrieve the overridden load records by specifying search criteria, you have the following options:

- If you check the Force Re-calculation? check box, the system will compute the loads again, without taking into account the overrides you have performed. The load amounts displayed after this computation are the original, pre-override amounts.
- If you want to revert to the saved load override record and the overridden load values, do not check the Force Recalculation? check box. The overridden load records will be retrieved and displayed.

If a load override that is performed is subsequently authorized, then you will not be able to retrieve it through specifying search criteria.

5.7.1.2 Authorizing load Override

A user other than the one who performed the override must authorize any override of a load.

To authorize a load override, use the Transaction Load Override Authorization screen. You can access this screen by clicking the Summary option in the Txn Load Override menu item in the Transactions Input menu category of the Agency Branch main menu.

When you open this screen, the load overrides that have been exercised, that are pending authorization, are displayed along with their details.

Mark each override you want to authorize by selecting the Authorize option in the Authorize field against the required override row.

After you have marked as many records as necessary for authorization, click the Authorize button to effect the authorization.

5.8 Transaction Load Override Summary

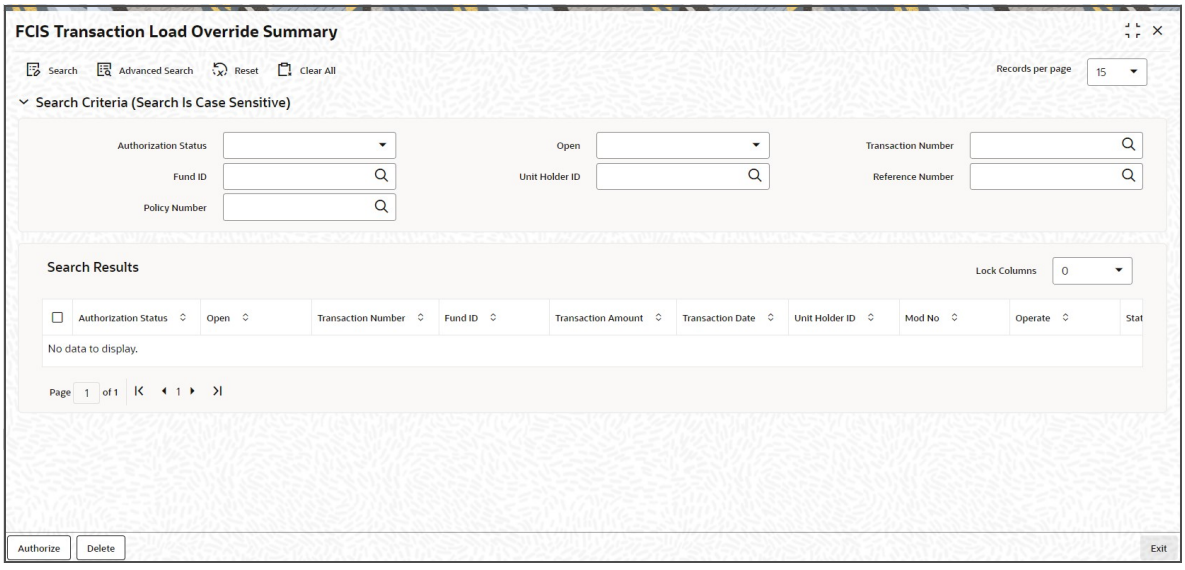
This section contains the following topics:

- Section 5.8.1, "Retrieving a Record in Transaction Load Override Summary Screen"
- Section 5.8.2, "Editing Transaction Load Override Record"
- Section 5.8.3, "Viewing Transaction Load Override Record"
- Section 5.8.4, "Deleting Transaction Load Override Record"
- Section 5.8.5, "Authorizing Transaction Load Override Record"
- Section 5.8.6, "Amending Transaction Load Override Record"
- Section 5.8.7, "Authorizing Amended Transaction Load Override Record"

5.8.1 Retrieving a Record in Transaction Load Override Summary Screen

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

Invoke the 'FCIS Transaction Load Override Summary' screen by typing 'UTSTXNLO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved.
- Transaction Number
- Unit Holder ID
- Policy Number
- Fund ID
- Reference Number

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

5.8.2 Editing Transaction Load Override Record

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

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

Click Save to save your changes. The FCIS Transaction Load Override Detail screen is closed and the changes made are reflected in the FCIS Transaction Load Override Summary screen.

5.8.3 Viewing Transaction Load Override Record

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

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

5.8.4 Deleting Transaction Load Override Record

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

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

5.8.5 Authorizing Transaction Load Override Record

- An unauthorized FCIS Transaction Load Override record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Transaction Load Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Transaction Load Override Detail screen is displayed. Select Authorize operation from the Action List.

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

5.8.6 Amending Transaction Load Override Record

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

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

5.8.7 Authorizing Amended Transaction Load Override Record

An amended FCIS Transaction Load Override record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

5.9 Global Order

This section contains the following topics:

- Section 5.9.1, "Maintaining Global Order"
- Section 5.9.2, "Invoking Global Order Maintenance Detail Screen"

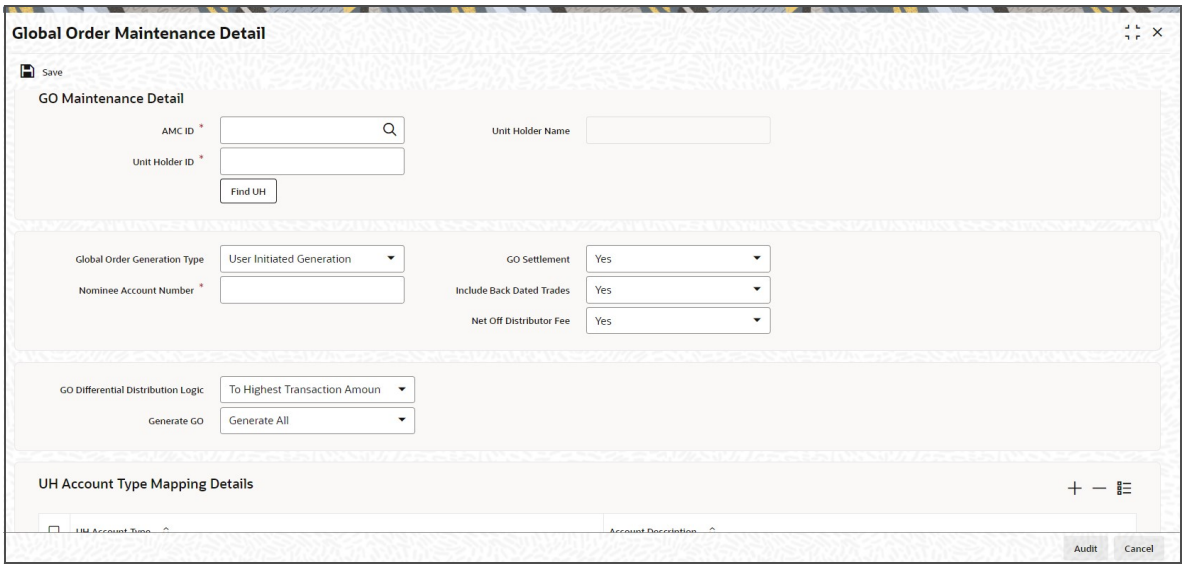
5.9.1 Maintaining Global Order

Global Order is a process where a distributor bulks their investor's transactions including Subscriptions, Redemptions and send to the Asset Management Companies or to the Fund Houses as a single Transaction for processing before the funds cut-off time on daily basis. The distributors generally will have an identification number with the fund houses or AMC's which is called as Nominee Account Number. On receipt of a bulk order or GO from the distributor, the fund house will confirm the units allotted to this distributor or to the Nominee Account. On receipt of confirmation from fund house, distributor will then confirm the global order at his end. If there is any discrepancy in global order, then global order will go through a reconciliation mechanism to address the difference. Once the discrepancy, if any, is resolved, distributor will allocate units to underlying unit holders.

The GO will be grouped according to Fund, transaction type (subscription and redemption), transaction mode (units/amount), Transaction Category (Advised, Execution and Legacy), Account type, Indicator (gross/Net) and transaction date. This is applicable for daily price funds. For non daily price funds, the system will generate separate GO which will not include Transaction date in grouping.

5.9.2 Invoking Global Order Maintenance Detail Screen

You can maintain Global Order set up using 'Global Order Maintenance Detail' screen. To invoke this screen, type 'UTDGOMNT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



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

AMC ID

Alphanumeric; 12 Characters; Mandatory

Specify the AMC for which the GO is maintained. You can also select the valid AMC ID from the adjoining option list.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the Unit Holder for which the GO is maintained.

You can also query for unit holder ID by clicking ‘Find UH’ button.

Unit Holder Name

Display

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

Global Order Generation Type

Optional

Select the Global Order generation type from the drop-down list. Following are the options available in the drop-down list:

- User Initiated Generation
- Generation at Cut-off time

GO Settlement

Optional

Select the GO Settlement details from the drop-down list. Following are the options available in the drop-down list:

- Yes
- No

Nominee Account Number

Alphanumeric; 34 Characters; Mandatory

Specify the nominee account number.

Include Back Dated Trade

Optional

Select if back dated trade is included from the drop-down list. Following are the options available in the drop-down list:

- Yes
- No

Net Off Distributor Fee

Optional

Select if distributor fee is netted off or not from the drop-down list. Following are the options available in the drop-down list:

- Yes
- No

GO Differential Distribution Logic

Optional

Select the GO differential distribution logic from the drop-down list. Following are the options available in the drop-down list:

- To Highest Transaction Amount
- Highest Transaction to the Lowest

If you maintain distribution logic as 'To Highest Transaction Amount' then the differential units will be adjusted to the transaction which has the highest transaction amount.

If you maintain distribution logic as 'Highest Transaction Amount to Lowest' then the system will distribute the difference amount from the highest transaction amount to the lowest in step up units.

Generate GO

Optional

Select if all the GO should be generated or GO as per transaction category should be generated from the adjoining drop-down list. Following are the options available:

- Generate All
- Generate per transaction category

5.9.2.1 UH Account Type Mapping Details

UH Account Type

Alphanumeric; 2 Characters; Mandatory

Specify the UH account type. You can also select the valid account type from the adjoining option list.

Account Description

Display

The system displays the description for the selected UH account type.

Once GO is generated, the system will generate subscription multiple order generation message (SWIFT) /redemption multiple order generation message for subscription/ redemption global orders respectively as per the Swift pooling frequency defined in the system.

For non daily priced funds, the system will generate GO as per transaction cut-off date and it will take trade cycle override into account while generating GO.

In case for a trade TBC is different from FBC the system will only pick trades for which exchange rate is available. Exchange rate required to be maintained for the trades where exchange rate is not available. If no exchange rate is available for the trades where TBC is different from FBC then those trades will not be picked for GO.

The system will run a pre EOD batch to check if all trades for a given date have been sent across in a GO which will be based on price date.

5.10 GO Maintenance Summary

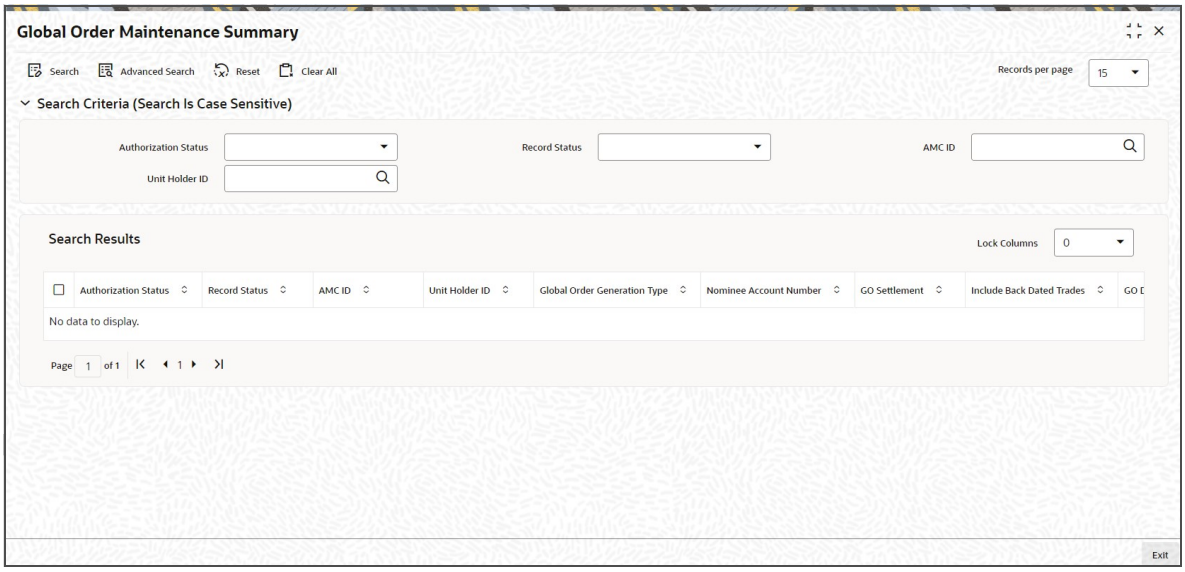
This section contains the following topics:

- Section 5.10.1, "Retrieving Global Order Maintenance Record"
- Section 5.10.2, "Viewing Global Order Maintenance Record"
- Section 5.10.3, "Editing Global Order Maintenance Record"
- Section 5.10.4, "Deleting Global Order Maintenance Record"
- Section 5.10.5, "Authorizing Global Order Maintenance Record"
- Section 5.10.6, "Amending Global Order Maintenance Record"

- Section 5.10.7, "Copying Global Order Maintenance Record"
- Section 5.10.8, "Closing Global Order Maintenance Record"

5.10.1 Retrieving Global Order Maintenance Record

You can view Global Order details using 'GO Maintenance Summary' screen. To invoke this screen, type 'UTSGOMNT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can retrieve previously entered Global Order Maintenance as follows:

- Invoke the 'GO Maintenance Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID
  - The Unit Holder ID. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

After retrieving a record, you can perform the following actions in the Global Order Maintenance Detail screen:

- View a Record
- Edit a Record
- Delete a Record
- Authorize a Record
- Amend an Authorized Record
- Close a Record
- Copy a Record

5.10.2 Viewing Global Order Maintenance Record

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

- Invoke the 'Global Order Maintenance Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'Global Order Maintenance Detail' screen is displayed in the view mode.

5.10.3 Editing Global Order Maintenance Record

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

- Invoke the 'Global Order Maintenance Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to modify in the list of displayed records. The 'Global Order Maintenance Detail' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'Global Order Maintenance Detail' screen is closed and the changes made are reflected in the 'Global Order Maintenance Summary' screen.

5.10.4 Deleting Global Order Maintenance Record

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

- Invoke the 'Global Order Maintenance Summary' screen from the Browser.

- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The ‘Global Order Maintenance Detail’ screen is displayed.
- 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.

Note

The maker of the record can only delete the unauthorized record.

5.10.5 Authorizing Global Order Maintenance Record

Apart from the maker, someone else must authorize an unauthorized global order record deal in the system for it to be processed. To authorize a record:

- Invoke the ‘Global Order Maintenance Summary’ screen from the Browser.
- ‘The status of the transaction in the ‘Authorized’ field. Choose the ‘Unauthorized’ status.
- Click ‘Search’ button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

5.10.6 Amending Global Order Maintenance Record

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

- Invoke the ‘Global Order Maintenance Summary’ screen from the Browser.
- Select the status of the transaction that you wish to retrieve for amendment. You can only amend only authorized records.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The ‘Global Order Maintenance Detail’ screen is displayed in the amendment mode. Click the Unlock operation from the Action list to amend the record.

5.10.7 Copying Global Order Maintenance Record

To create a new record with details similar to a previously created record, refer to the following steps:

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

  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The ‘Global Order Maintenance Detail’ screen is displayed.
- Click Copy from the action list in the ‘Details’ screen, to create a new record with the same details.

5.10.8 Closing Global Order Maintenance Record

To close an authorized record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The ‘Global Order Maintenance Detail’ screen is displayed.
- Click Close from the action list in the ‘Details’ screen.

You can re-open any closed record at a later point in time.

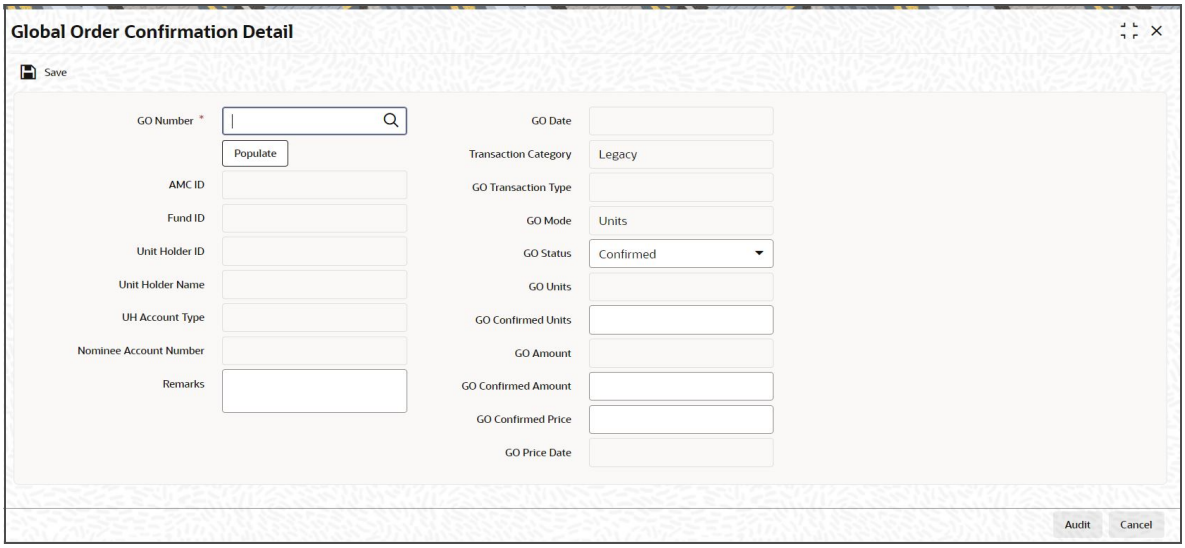
5.11 Global Order Confirmation Detail

This section contains the following topic:

- Section 5.11.1, "Invoking Global Order Confirmation Detail Screen"

5.11.1 Invoking Global Order Confirmation Detail Screen

You can specify the price received from the fund house against the GO using ‘GO Confirmation Detail’ screen. the system which provide the details of price uploaded for the Global Orders. To invoke this screen, type ‘UTDGOCNF’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the ‘GO Confirmation Detail’ screen. You can enter the following in this screen:

GO Number

Alphanumeric; 16 Characters; Mandatory

Specify the Global Order number.

If you click on ‘Populate’ button, the following fields are displayed:

AMC ID

Display

The system displays the AMC ID.

Fund ID

Display

The system displays the fund ID.

Unit Holder ID

Display

The system displays the unit holder ID.

Unit Holder Name

Display

The system displays the unit holder name.

UH Account Type

Display

The system displays the UH account type.

Nominee Account Number

Display

The system displays the nominee account number.

Remarks

Alphanumeric; 255 Characters; Mandatory

Specify remarks, if any.

GO Date

Display

The system displays the Global Order date.

Transaction Category

Display

The system displays the transaction category. One of the following values are displayed in this field:

- Legacy
- Advised Business
- Execution Only

GO Transaction Type

Display

The system displays the GO transaction type.

GO Mode

Display

The system displays the GO mode. One of the following values are displayed in this field:

- Unit
- Amount

GO Status

Optional

Select the Global Order status from the drop-down list. Following are the options available in the drop-down list:

- Confirmed
- Rejected
- Pending Confirmation
- Amount Mismatch
- Unit Mismatch
- Price Mismatch

For Amount based order, if confirmation amount is mismatch then system will save record with Status as ‘Amount Mismatch’.

For Unit based order, if confirmation unit is mismatch then system will save record with Status as ‘Unit Mismatch’.

For Amount/ unit based order, if confirmation price is different than the fund price (for transaction date and transaction type combination) then system will save GO with status as ‘Price Mismatch’.

If unit/ amount and confirmation price matches then system will save the GO with confirmed status as ‘GO Confirmed’.

You can change the GO status manually to either GO confirmed or GO rejected in the GO Confirmation screen. All other statuses are defaulted by the system without manual intervention. Once GO is rejected, post confirmation of rejected order and all underlying transactions in the GO will be rejected. These will not be taken up for allocation.

GO Units

Display

The system displays the Global Order units.

GO Confirmed Units

Numeric; 27 Characters; Optional

Specify the Global Order confirmed units.

GO Amount

Display

The system displays the Global Order amount.

GO Confirmed Amount

Numeric; 30 Characters; Optional

Specify the Global Order confirmed amount.

GO Confirmed Price

Numeric; 22 Characters; Optional

Specify the Global Order confirmed price.

The system will consider the confirmation price received against a GO as the fund price for the GO confirmation date.

GO Price Date

Display

The system displays the Global Order price date.

The 'GO Confirmation Detail' screen will support all messages received via Swift Messages and will be enabled for any manual confirmation.

If no confirmation is received from the fund house, then GO will not be reversed, however, it will reflect GO status as 'Pending Confirmation' in 'GO Confirmation Detail' screen

The system will run the pre-EOD batch to check if all GOs generated for the day have been confirmed. The batch will also include unconfirmed GOs for back dated. Only if GO is confirmed, the underlying trades will be allotted.

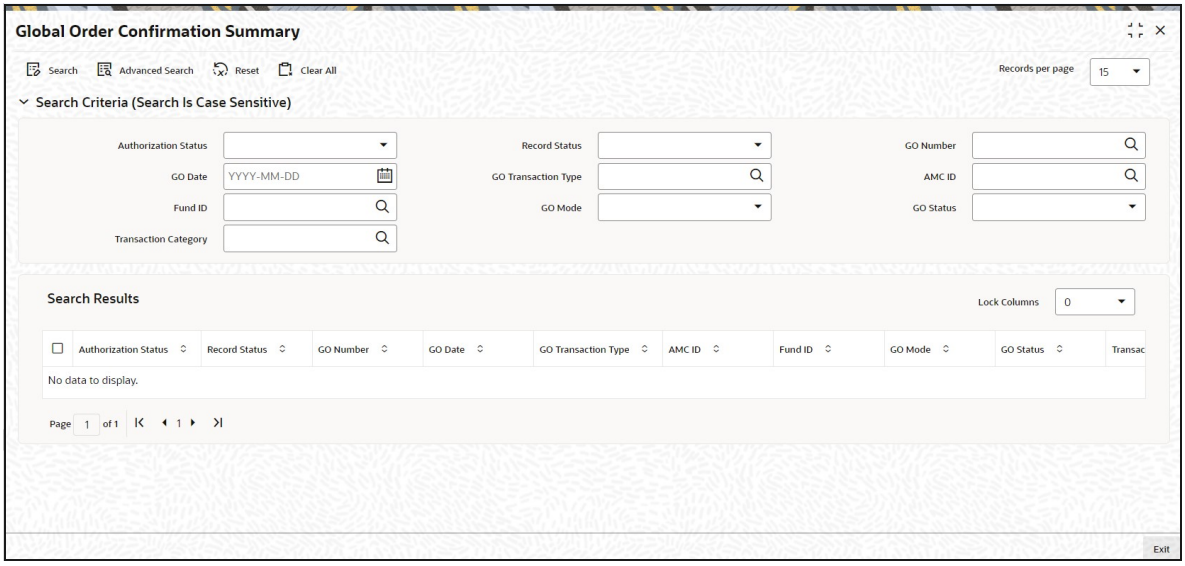
5.12 Global Order Confirmation Summary

This section contains the following topics:

- Section 5.12.1, "Retrieving Global Order Confirmation Record"
- Section 5.12.2, "Viewing Global Order Confirmation Record"
- Section 5.12.3, "Editing Global Order Confirmation Record"
- Section 5.12.4, "Deleting Global Order Confirmation Record"
- Section 5.12.5, "Authorizing Global Order Confirmation Record"
- Section 5.12.6, "Copying Global Order Confirmation Record"
- Section 5.12.7, "Closing Global Order Confirmation Record"

5.12.1 Retrieving Global Order Confirmation Record

You can view Global Order Confirmation details using ‘GO Confirmation Summary’ screen. To invoke this screen, type ‘UTSGOCNF’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button to perform the following operations:



You can retrieve a previously entered Global Order Confirmation Details as follows:

- Invoke the ‘GO Confirmation Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - GO Number
  - GO Date
  - GO Transaction Type
  - AMC ID
  - Fund ID
  - GO Mode
  - GO Status
  - Transaction Category. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

After retrieving a record, you can perform the following actions from the Global Order Confirmation Detail screen:

- View a Record
- Edit a Record
- Delete a Record
- Authorize a Record
- Close a Record

- Copy a Record

5.12.2 Viewing Global Order Confirmation Record

To view a record that you have previously entered, you must retrieve the same in the 'GO Confirmation Summary' screen, as follows:

- Invoke the 'GO Confirmation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'GO Confirmation Detail' screen is displayed in the view mode.

5.12.3 Editing Global Order Confirmation Record

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

- Invoke the 'GO Confirmation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'GO Confirmation Detail' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'GO Confirmation Detail' screen is closed and the changes made are reflected in the 'GO Confirmation Summary' screen.

5.12.4 Deleting Global Order Confirmation Record

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

- Invoke the 'GO Confirmation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:

- The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
- The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.

- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The ‘GO Confirmation Detail’ screen is displayed.
- 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.

Note

The maker of the record can only delete the unauthorized record.

5.12.5 Authorizing Global Order Confirmation Record

Apart from the maker, someone else must authorize an unauthorized global order confirmation record deal in the system for it to be processed. To authorize a record:

- Invoke the ‘GO Confirmation Summary’ screen from the Browser.
- ‘The status of the transaction in the ‘Authorized’ field. Choose the ‘Unauthorized’ status.
- Click ‘Search’ button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

5.12.6 Copying Global Order Confirmation Record

To create a new record with details similar to a previously created record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The ‘Global Order Confirmation Detail’ screen is displayed.
- Click Copy from the action list in the ‘Details’ screen, to create a new record with the same details.

5.12.7 Closing Global Order Confirmation Record

To close an authorized record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Confirmation Detail' screen is displayed.
- Click Close from the action list in the 'Details' screen.

You can re-open any closed record at a later point in time.

5.13 GO Reconciliation Details

This section contains the following topic:

- Section 5.13.1, "Invoking Global Order Reconciliation Detail"

5.13.1 Invoking Global Order Reconciliation Detail

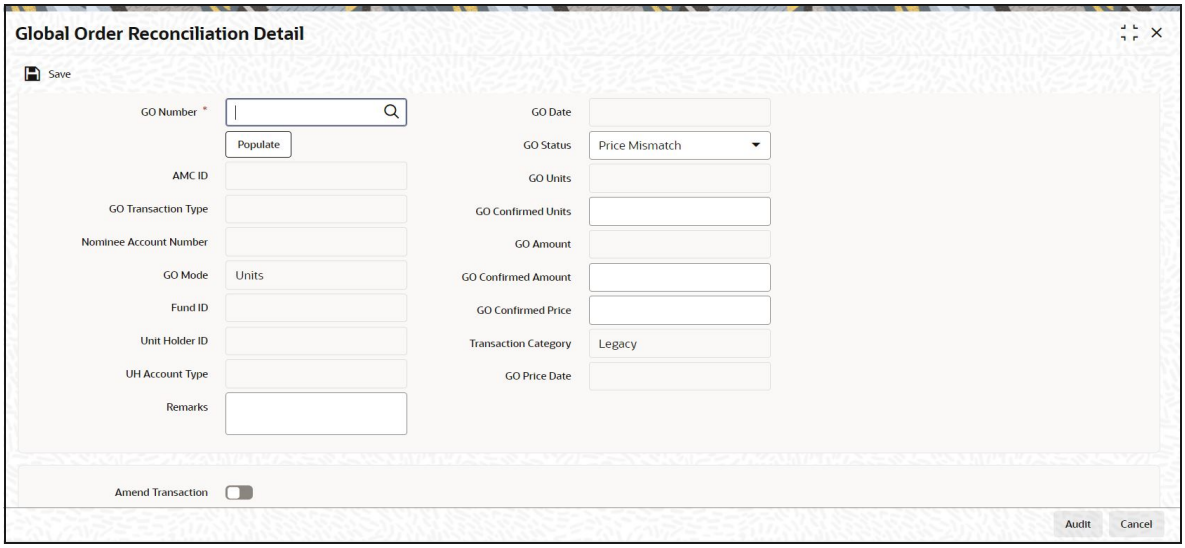
The system will compare the confirmation message received from the fund house with the original message generated. If there is a mismatch in the fund price received from the fund house for this order compared to fund price received for an earlier order having same fund ID/ transaction type/ transaction date, then same will get reflect in the 'GO Reconciliation' screen. You can manually correct the status message as 'Confirmed' or 'Rejected' which will be confirmed from the fund house.

If the latest GO price is different from the existing fund price, then you need to confirm the GO price. Update the correct price in the GO, once the price issue is sorted out. On updating the correct price, all the GO will have the same price for the transaction date/fund/transaction type combination.

IF GO price is correct, you can update other GO (for same transaction date/transaction type/ fund) and even fund price. On update, all the GO will have same price for the transaction date/ fund/transaction type combination. Once the price is amended with the correct price, you can authorize the transaction from 'GO Reconciliation' screen.

The mismatch transaction will no longer reflect in the 'GO Reconciliation' screen once authorized.

To invoke this screen, type 'UTDGORCN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button to perform the following operations:



Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the ‘GO Confirmation Detail’ screen.

GO Number

Alphanumeric; 16 Characters; Mandatory

Specify the Global Order number.

If you click on ‘Populate’ button, the following fields are displayed:

AMC ID

Display

The system displays the AMC ID.

GO Transaction Type

Display

The system displays the GO transaction type.

Nominee Account Number

Display

The system displays the nominee account number.

GO Mode

Display

The system displays the GO mode

Fund ID

Display

The system displays the fund ID.

Unit Holder ID

Display

The system displays the unit holder ID.

UH Account Type

Display

The system displays the UH account type.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

GO Date

Display

The system displays the Global Order date.

GO Status

Optional

Select the Global Order status from the drop-down list. Following are the options available in the drop-down list:

- Price Mismatch
- Unit Mismatch
- Amount Mismatch
- Confirmed
- Rejected

The system will compare the confirmation message received from the fund house with the original message generated

In case, if there is a mismatch in the fund price received from the fund house for this order compared to fund price received for an earlier order having same fund id/transaction type/ transaction date, then same will get reflect in the “GO Reconciliation” screen for manual correction with status message as ‘Confirmed Price Mismatched’.

The correct price will be confirmed from the fund house outside the system.

If the latest GO price is different from the existing fund price, you need to confirm GO price.

Once the price issue is sorted out, you should update the correct price in the GO.

IF GO price is correct, then update the fund price. On update, all the GO will have same price for the transaction date/fund/transaction type combination.

Once the price is amended with the correct price, you should authorize the transaction from ‘GO Reconciliation’ screen.

The mismatch transaction will no longer reflect in the GO Reconciliation screen once authorized.

GO Units

Display

The system displays the Global Order units.

The confirmation message received from the fund house will be compared with the original message generated.

For a units based order, in case, if there is a mismatch in the GO Units Value received from the fund house, then same will get reflect in the ‘GO Reconciliation’ screen for manual correction with status message as ‘Confirmed Units Mismatched’

The correct value will be confirmed from the fund house outside the system

Once the units issue is sorted out, you need to update the units with correct units in 'GO Reconciliation' screen

Once the units are amended with the correct Units, you should authorize the transaction from GO Reconciliation screen

The mismatch transaction will no longer reflect in the GO Reconciliation screen once authorized.

GO Confirmed Units

Numeric; 27 Characters; Optional

Specify the Global Order confirmed units.

Once the GO is confirmed all the underlying transactions will be picked up for allocation by allocation batch. Once the underlying GO trades are allocated during EOD, the system will do a reconciliation of allotted units against confirmed units.

If there is a difference in the allotted units, the same will be reflected in the "GO Reconciliation" screen with a status message "GO Allotted Units Mismatched". This will be before rounding difference process.

To sort the difference, the system will calculate the threshold units in 'Fund Rules' screen. If the difference units are more than the threshold units maintained, you need to manually round off the units.

If the difference units falls under the threshold units maintained, the system will automatically rounded off using a distribution logic with values as "To Highest Transaction Amount" and "Highest Transaction Amount to Lowest"

This distribution logic are applicable to funds, which fall under the AMC for which Distribution logic has been maintained

If user maintained distribution logic as "To Highest Transaction Amount" then the system will adjust the differential units to the transaction which has the highest transaction amount.

If user maintained distribution logic as "Highest Transaction Amount to Lowest" then system will distribute the difference amount from the highest transaction amount to the lowest in step up units.

If the AMC confirmed units are more than the system allotted, then system calculates Negative (-ve) differential units. If the AMC confirmed units are less than the system allotted, then system calculates Positive (+ve) differential units

Once the rounding difference is sorted out, this transaction will no longer reflect in the "GO Reconciliation" screen.

The difference units distributed based on the logic will be tracked separately during allocation

Based on the logic- system will update the allocated units with extra or reduced units

GO Amount

Display

The system displays the Global Order amount.

GO Confirmed Amount

Numeric; 30 Characters; Optional

Specify the Global Order confirmed amount.

The confirmation message received from the fund house will be compared with the original message generated

For an amount based order In case, if there is a mismatch in the GO Amount Value received from the fund house, then same will get reflect in the ‘GO Reconciliation’ screen for manual correction with status message as “Confirmed Amount Mismatched”

The correct value will be confirmed from the fund house outside the system

Once the Amount issue is sorted out, you need to update the amount with correct amount in GO Reconciliation screen

Once the amount are amended with the correct amount, you should authorize the transaction from ‘GO Reconciliation’ screen

The mismatch transaction will no longer reflect in the ‘GO Reconciliation’ screen once authorized.

GO Confirmed Price

Numeric; 22 Characters; Mandatory

Specify the Global Order confirmed price.

Transaction Category

Display

The system displays the transaction category. One of the following values are displayed in this field:

- Legacy
- Advised Business
- Execution Only

GO Price Date

Display

The system displays the Global Order price date.

Once the GO is confirmed all the underlying transactions will be picked up for allocation by allocation batch. Once the underlying GO trades are allocated during EOD, system will do a reconciliation of allotted units against confirmed units.

If there is a difference in the allotted units, the same will be reflected in the ‘GO Reconciliation Detail’ screen with the status message as “GO Allotted Units Mismatched”.

This will be before rounding difference process.

If the AMC confirmed units are more than the system allotted, then the system will calculate Negative (-ve) differential units.

If the AMC confirmed units are less than the system has allotted, then the system will calculate Positive (+ve) differential units.

Once the rounding difference is sorted out, this transaction will no longer reflect in the ‘GO Reconciliation Detail’ screen.

The GO Reconciliation screen will show any unconfirmed global orders and those with a price mismatch or those where the allotted units does not match the confirmed number of units during de-aggregation.

In case the confirmation message is not received on any date, the system will show all the transactions with, confirmation related columns as BLANK and the Confirmation Status field will show the message as “Confirmation message pending”.

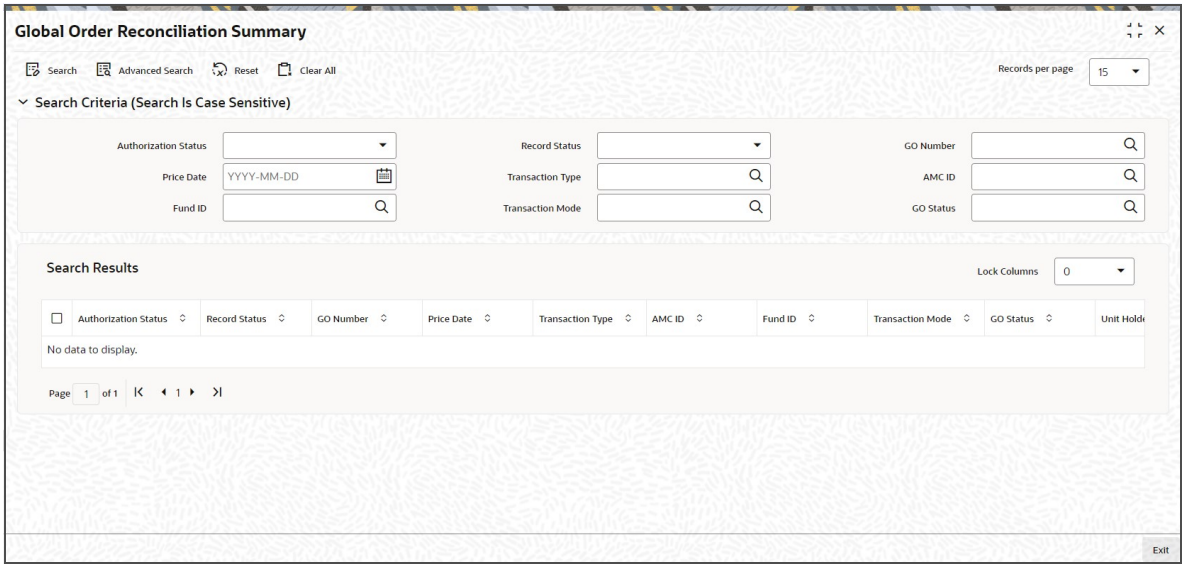
5.14 GO Reconciliation Summary

This section contains the following topics:

- Section 5.14.1, "Retrieving Global Order Reconciliation Record"
- Section 5.14.2, "Viewing Global Order Reconciliation Record"
- Section 5.14.3, "Editing Global Order Reconciliation Record"
- Section 5.14.4, "Deleting Global Order Reconciliation"
- Section 5.14.5, "Authorizing Global Order Reconciliation Record"
- Section 5.14.6, "Copying Global Order Reconciliation Record"
- Section 5.14.7, "Closing Global Order Reconciliation Record"

5.14.1 Retrieving Global Order Reconciliation Record

You can view Global Order Confirmation details using ‘GO Reconciliation Summary’ screen. To invoke this screen, type ‘UTSGORCN’ 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 Global Order Reconciliation Details as follows:

- Invoke the ‘GO Reconciliation Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - GO Number
  - Transaction Type
  - Fund ID
  - GO Status

- Price Date
- AMC ID
- Transaction Mode
- If you choose the blank space, then all the records are retrieved.

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

After retrieving a record, you can perform the following actions in the ‘Global Order Reconciliation Detail’ screen:

- View a Record
- Edit a Record
- Delete a Record
- Authorize a Record
- Close a Record
- Copy a Record

5.14.2 Viewing Global Order Reconciliation Record

To view a record that you have previously entered, you must retrieve the same in the ‘GO Reconciliation Summary’ screen, as follows:

- Invoke the ‘GO Reconciliation Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The Fund ID in the ‘Fund ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to view in the list of displayed records. The ‘GO Reconciliation Detail’ screen is displayed in the view mode.

5.14.3 Editing Global Order Reconciliation Record

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

- Invoke the ‘GO Reconciliation Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.

- The Fund ID in the ‘Fund ID’ field. If you choose the blank space, then all the records are retrieved.

- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The ‘GO Reconciliation Detail’ screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The ‘GO Reconciliation Detail’ screen is closed and the changes made are reflected in the ‘GO Reconciliation Summary’ screen.

5.14.4 Deleting Global Order Reconciliation

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

- Invoke the ‘GO Reconciliation Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The fund ID in the ‘Fund ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The ‘GO Reconciliation Detail’ screen is displayed.
- 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.

Note

The maker of the record can only delete the unauthorized record.

5.14.5 Authorizing Global Order Reconciliation Record

Apart from the maker, someone else must authorize an unauthorized global order confirmation record deal in the system for it to be processed. To authorize a record:

- Invoke the ‘GO Reconciliation Summary’ screen from the Browser.
- ‘The status of the transaction in the ‘Authorized’ field. Choose the ‘Unauthorized’ status.
- Click ‘Search’ button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

5.14.6 Copying Global Order Reconciliation Record

To create a new record with details similar to a previously created record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The ‘Global Order Reconciliation Detail’ screen is displayed.
- Click Copy from the action list in the ‘Details’ screen, to create a new record with the same details.

5.14.7 Closing Global Order Reconciliation Record

To close an authorized record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The ‘Global Order Reconciliation Detail’ screen is displayed.
- Click Close from the action list in the ‘Details’ screen.

You can re-open any closed record at a later point in time.

5.15 Global Order Settlement Details

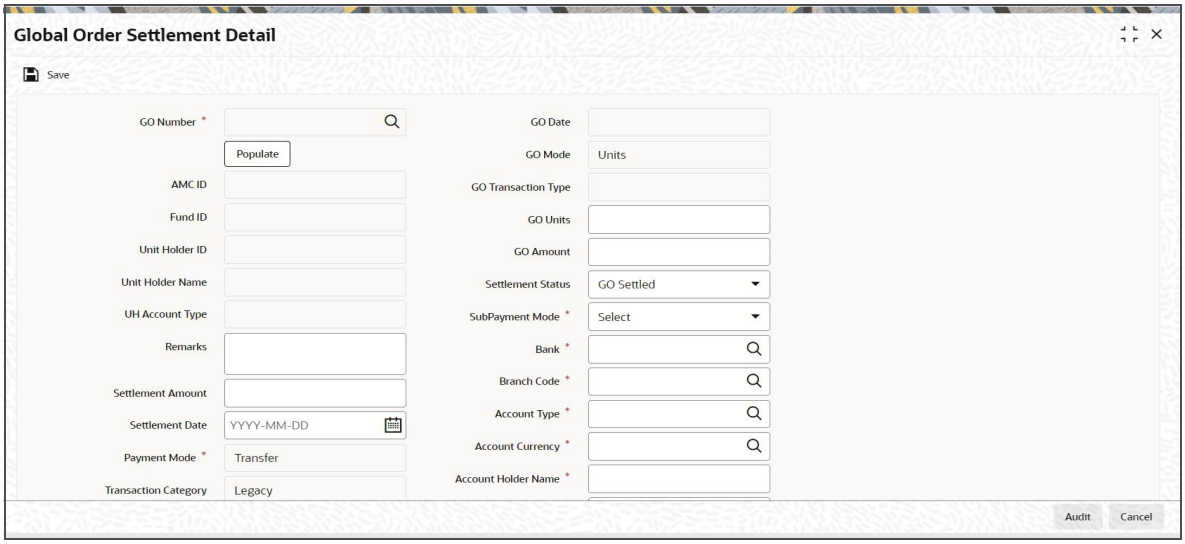
This section contains the following topic:

- Section 5.15.1, "Invoking Global Order Settlement Detail Screen"

5.15.1 Invoking Global Order Settlement Detail Screen

You can maintain the pending transactions for the settlement using ‘GO Settlement Detail’ screen.

To invoke this screen, type ‘UTDGOSTL’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button to perform the following operations:



Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the ‘GO Settlement Detail’ screen.

GO Number

Alphanumeric; 16 Characters; Mandatory

Specify the Global Order number.

If you click on ‘Populate’ button, the following fields are displayed:

AMC ID

Display

The system displays the AMC ID.

Fund ID

Display

The system displays the fund ID.

Unit Holder ID

Display

The system displays the unit holder ID.

Unit Holder Name

Display

The system displays the unit holder name.

UH Account Type

Display

The system displays the UH account type.

Remarks

Alphanumeric; 255 Characters; Mandatory

Specify remarks, if any.

Settlement Amount

Numeric; 30 Characters; Mandatory

Specify the settlement amount.

Settlement Date

Date Format; Optional

Specify the settlement date.

Payment Mode

Optional

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

- Cash
- Cheque
- Money Transfer

Transaction Category

Optional

Select the transaction category from the adjoining drop-down list. The available values are:

- Legacy
- Advised Business Only
- Execution Only

GO Date

Display

The system displays the Global Order date.

GO Mode

Display

The system displays the GO mode

GO Transaction Type

Display

The system displays the GO transaction type.

GO Units

Numeric; 27 Characters; Optional

Specify the GO units.

GO Amount

Numeric; 30 Characters; Optional

Specify the GO amount.

Settlement Status

Optional

Select the settlement status from the adjoining drop-down list. Following are the option available:

- GO Settled

Sub Payment Mode

Mandatory

Select sub payment mode from the adjoining drop-down list. Following are the options available:

- Money Transfer
- Telegraphic Transfer

- Wire Transfer

Bank

Alphanumeric; 12 Characters; Mandatory

Specify the bank code. This adjoining option list displays all valid bank code maintained in the system. You can choose the appropriate one.

Branch Code

Alphanumeric; 12 Characters; Mandatory

Specify the branch code. This adjoining option list displays all valid branch code maintained in the system. You can choose the appropriate one.

Account Type

Alphanumeric; 1 Characters; Mandatory

Specify the type of account. This adjoining option list displays all valid account type maintained in the system. You can choose the appropriate one.

Account Currency

Alphanumeric; 3 Characters; Mandatory

Specify the currency details. This adjoining option list displays all valid currency code maintained in the system. You can choose the appropriate one.

Account Holder Name

Alphanumeric; 100 Characters; Mandatory

Specify the account holder name.

Account Number

Alphanumeric; 34 Characters; Mandatory

Specify the account number.

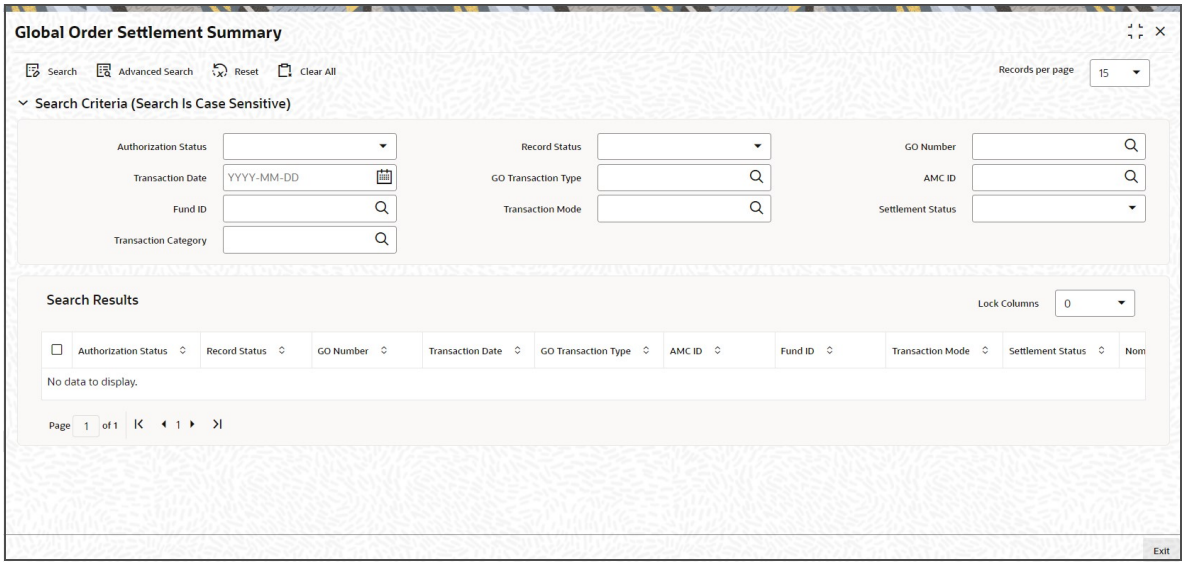
5.16 Global Order Settlement Summary

This section contains the following topics:

- Section 5.16.1, "Retrieving Global Order Settlement Record"
- Section 5.16.2, "Viewing Global Order Settlement Record"
- Section 5.16.3, "Editing Global Order Settlement Record"
- Section 5.16.4, "Deleting Global Order Settlement Record"
- Section 5.16.5, "Authorizing Global Order Settlement Record"
- Section 5.16.6, "Amending Global Order Settlement Record"
- Section 5.16.7, "Copying Global Order Settlement Record"
- Section 5.16.8, "Closing Global Order Settlement Record"

5.16.1 Retrieving Global Order Settlement Record

You can view Global Order Settlement details using ‘GO Settlement Summary’ screen. To invoke this screen, type ‘UTSGOSTL’ 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 Global Order Settlement Details as follows:

- Invoke the ‘GO Settlement Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - GO Number
  - Transaction Date
  - GO Transaction Type
  - AMC ID
  - Fund ID
  - Transaction Mode
  - Transaction Category
  - Settlement Status.
  - If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

After retrieving a record, you can perform the following actions in the Global Order Settlement Detail screen:

- View a Record
- Edit a Record
- Delete a Record
- Authorize a Record
- Amend an Authorized Record
- Close a Record
- Copy a Record

5.16.2 Viewing Global Order Settlement Record

To view a record that you have previously entered, you must retrieve the same in the 'GO Settlement Summary' screen, as follows:

- Invoke the 'GO Settlement Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The Fund ID in the 'Fund ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'GO Settlement Detail' screen is displayed in the view mode.

5.16.3 Editing Global Order Settlement Record

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

- Invoke the 'GO Settlement Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The Fund ID in the 'Fund ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'GO Settlement Detail' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'GO Settlement Detail' screen is closed and the changes made are reflected in the 'GO Settlement Summary' screen.

5.16.4 Deleting Global Order Settlement Record

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

- Invoke the 'GO Settlement Summary' screen from the Browser.

- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The fund ID in the ‘Fund ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The ‘GO Settlement Detail’ screen is displayed.
- 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.

Note

The maker of the record can only delete the unauthorized record.

5.16.5 Authorizing Global Order Settlement Record

Apart from the maker, someone else must authorize an unauthorized global order confirmation record deal in the system for it to be processed. To authorize a record:

- Invoke the ‘GO Reconciliation Summary’ screen from the Browser.
- ‘The status of the transaction in the ‘Authorized’ field. Choose the ‘Unauthorized’ status.
- Click ‘Search’ button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

5.16.6 Amending Global Order Settlement Record

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

- Invoke the ‘GO Settlement Summary’ screen from the Browser.
- Select the status of the transaction that you wish to retrieve for amendment. You can only amend only authorized records.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The ‘GO Settlement Detail’ screen is displayed in the amendment mode. Click the Unlock operation from the Action list to amend the record.

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

5.16.7 Copying Global Order Settlement Record

To create a new record with details similar to a previously created record, refer to the following steps:

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

  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The ‘Global Order Settlement Detail’ screen is displayed.
- Click Copy from the action list in the ‘Details’ screen, to create a new record with the same details.

5.16.8 Closing Global Order Settlement Record

To close an authorized record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the ‘AMC ID’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The ‘Global Order Settlement Detail’ screen is displayed.
- Click Close from the action list in the ‘Details’ screen.

You can re-open any closed record at a later point in time.

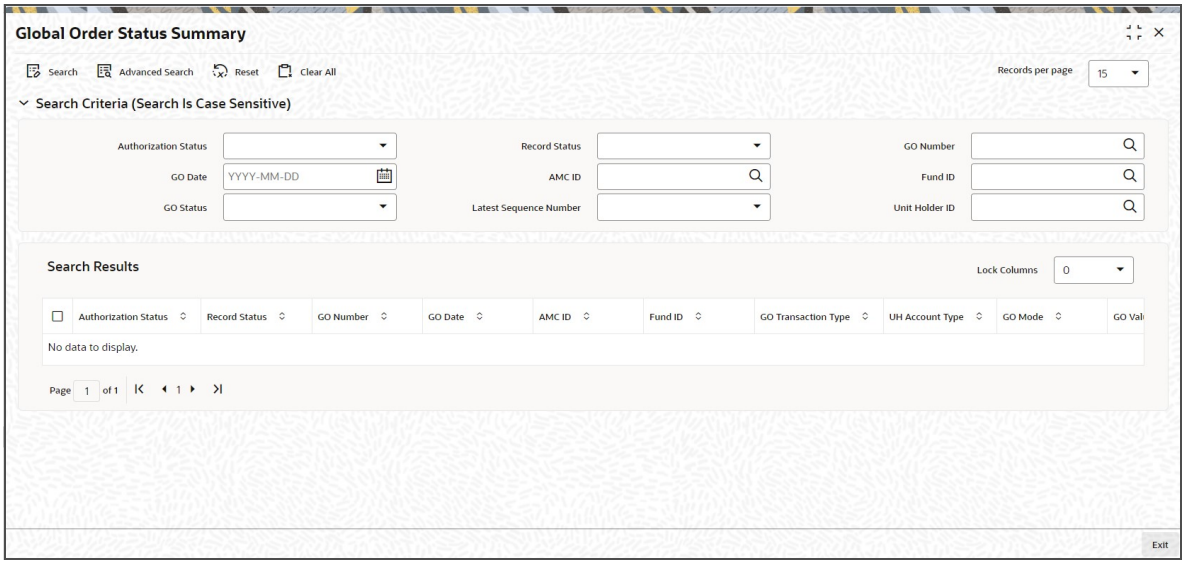
5.17 Global Order Status

This section contains the following topic:

- Section 5.17.1, "Retrieving Global Order Status Record"

5.17.1 Retrieving Global Order Status Record

You can view the status of a GO at different stages using ‘GO Status Summary’ screen. To invoke this screen, type ‘UTSGOENQ’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can retrieve previously entered Global Order Status Details as follows:

- Invoke the ‘GO Status Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - GO Number
  - GO Date
  - AMC ID
  - Fund ID
  - GO Status
  - Latest Sequence Number
  - Unit Holder ID
  - If you choose the blank space, then all the records are retrieved.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

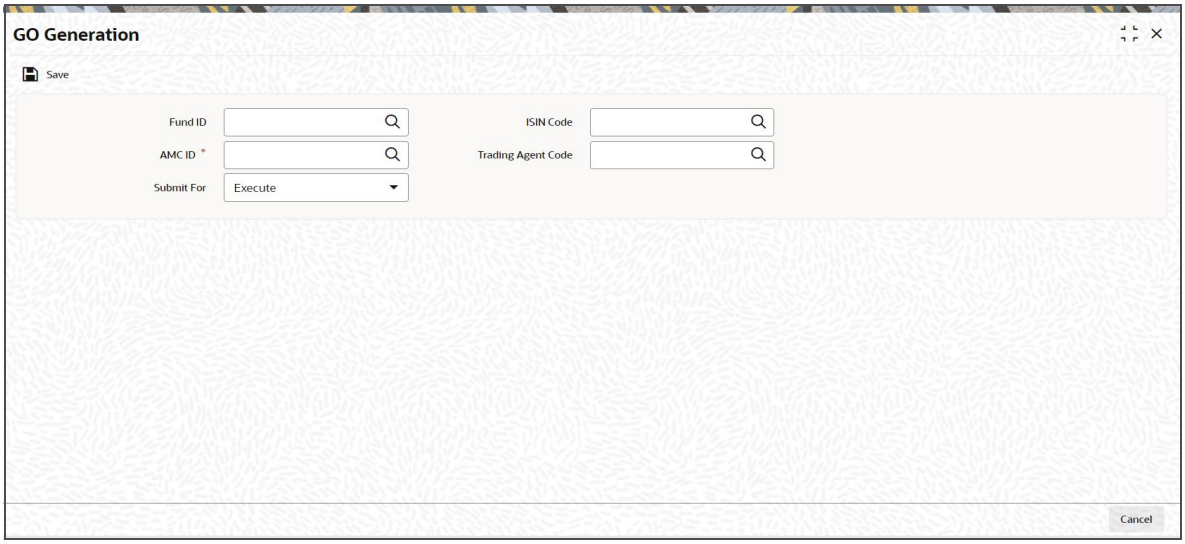
5.18 Global Order Generation

This section contains the following topics:

- Section 5.18.1, "Invoking GO Generation Screen"

5.18.1 Invoking GO Generation Screen

You can invoke ‘GO Generation’ screen by typing ‘UTDGENGO’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

ISIN Code

Alphanumeric; 25 Characters; Optional

The system displays the ISIN Code for the selected fund ID. However, you can amend this value.

If you have selected fund ID, then the system displays the ISIN code and vice versa.

AMC ID

Alphanumeric; 12 Characters; Mandatory

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

Trading Agent Code

Alphanumeric; 12 Characters; Optional

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

Submit For

Optional

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

- Process
- Execute

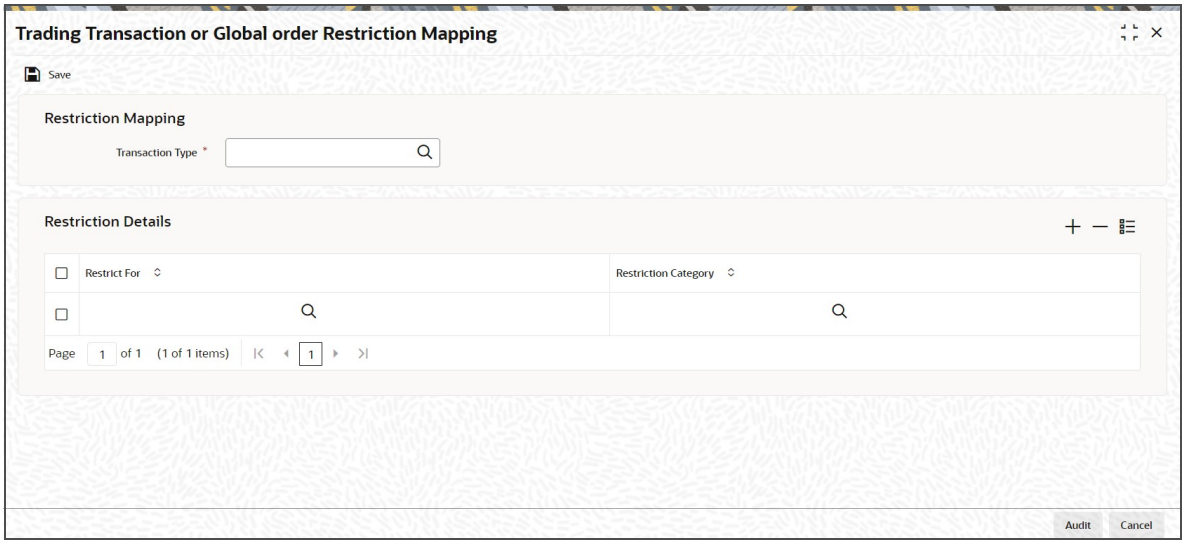
5.19 Trading Transaction or Global Order Restriction Mapping

This section contains the following topics:

- Section 5.19.1, "Invoking Trading Transaction or Global Order Restriction Mapping Screen"

5.19.1 Invoking Trading Transaction or Global Order Restriction Mapping Screen

You can maintain Global order restriction for various transaction types using 'Trading Transaction or Global order Restriction Mapping' screen. You can invoke this screen by typing 'UTDTRDRS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Restriction Mapping

Transaction Type

Alphanumeric; 2 Characters; Mandatory

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

Restriction Details

Restrict For

Alphanumeric; 2 Characters; Mandatory

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

Restriction Category

Alphanumeric; 2 Characters; Mandatory

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

5.20 Trading Transaction or Global Order Restriction Mapping Summary

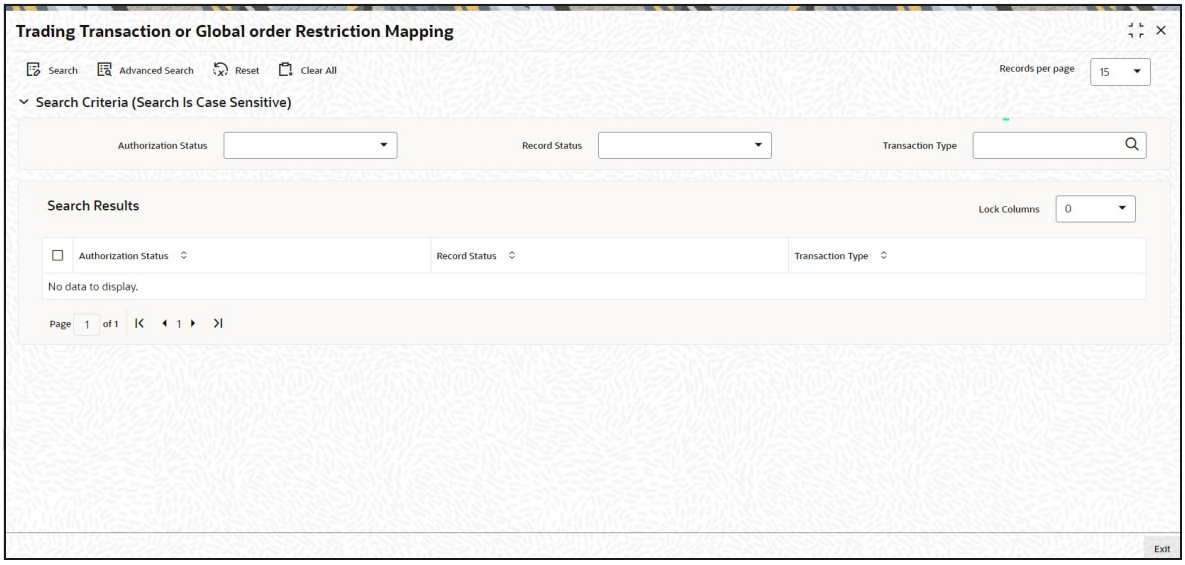
This section contains the following topics:

- Section 5.20.1, "Retrieving a Trading Transaction or Global Order Restriction Mapping Record"
- Section 5.20.2, "Editing Trading Transaction or Global Order Restriction Mapping Record"
- Section 5.20.3, "Viewing Trading Transaction or Global Order Restriction Mapping Record "
- Section 5.20.4, "Deleting Trading Transaction or Global Order Restriction Mapping Record"
- Section 5.20.5, "Authorizing Trading Transaction or Global Order Restriction Mapping Record "
- Section 5.20.6, "Amending Trading Transaction or Global Order Restriction Mapping Record "
- Section 5.20.7, "Authorizing Amended Trading Transaction or Global Order Restriction Mapping Record"

5.20.1 Retrieving a Trading Transaction or Global Order Restriction Mapping Record

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

You can invoke 'Trading Transaction or Global order Restriction Mapping' screen by typing 'UTSTRDRS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



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

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

Note

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

– Press F7
– Input the Transaction Type
– Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

For example:

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

- Search by A% :- System will fetch all the records whose Transaction Type starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7:- System will fetch all the records whose Transaction Type ends by numeric value’ 7’ . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Type contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

5.20.2 Editing Trading Transaction or Global Order Restriction Mapping Record

You can modify the details of Trading Transaction or Global order Restriction Mapping record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

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

Click Save to save your changes. The Trading Transaction or Global order Restriction Mapping Detail screen is closed and the changes made are reflected in the Trading Transaction or Global order Restriction Mapping Summary screen.

5.20.3 Viewing Trading Transaction or Global Order Restriction Mapping Record

To view a record that you have previously input, you must retrieve the same in the Trading Transaction or Global order Restriction Mapping Summary screen as follows:

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

5.20.4 Deleting Trading Transaction or Global Order Restriction Mapping Record

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

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

5.20.5 Authorizing Trading Transaction or Global Order Restriction Mapping Record

- An unauthorized Trading Transaction or Global order Restriction Mapping record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the Trading Transaction or Global order Restriction Mapping Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Trading Transaction or Global order Restriction Mapping Detail screen is displayed. Select Authorize operation from the Action List.

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

5.20.6 Amending Trading Transaction or Global Order Restriction Mapping Record

After a Trading Transaction or Global order Restriction Mapping record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

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

5.20.7 Authorizing Amended Trading Transaction or Global Order Restriction Mapping Record

An amended Trading Transaction or Global order Restriction Mapping record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

5.21 ISA Transfer

This section contains the following topics:

- Section 5.21.1, "Maintaining ISA Transfer"
- Section 5.21.2, "Invoking One Legged Transfer Screen"
- Section 5.21.3, "Validating ISA Transactions"

5.21.1 Maintaining ISA Transfer

You can maintain ISA trfansfer details using 'One Legged Transfer' screen. This screen supports the following transactions:

- Transfer out
- Transfer in
- In Specie Transfer out
- In Specie Transfer in

Transfer Out

This is a one legged transfer which is used to redeem holdings. On selecting the transfer out option, the system will auto calculate the number of units and will populate the Fund Grid.

Transfer out will be a Redemption transactions and it will go as per aging logic maintained at fund level.

The system will generate the underlying Transactions by units on authorisation of the transaction in the Transaction value field of the detail section. Under this One-legged Transfer, when all transactions are generated successfully, a unique reference number will be generated and this reference will be reference number for underlying transactions.

The system will generate the redemption transactions on authorisation of this one-legged transfer. While generating if one of the transactions fail due to any of the validations, all underlying transactions will be rolled back. For failed transaction, the system will display an error message.

The payment preference maintained at the time of Uh creation will be used as settlement mode. Transfer out can be used for ISA/non ISA accounts

Transfer In

This is a one legged amount based transfer. You can enter the transfer amount and fund details. On authorisation, the system will generate authorised subscription transactions at the fund Level. A new ref type (OI - One Legged Transfer In) will be available for such transfers.The settlement mode for such transactions will be cash.

The Current Year ISA Subscription Amount will be used to update the ISA Limits. The system will validate the ISA amounts against the existing limits if the Unitholder Account already exists.

If the ISA transfer in transaction exceeds the ISA allowance/ limit for the current tax year then on authorization of the transaction the system display an error message as “Exceeds the ISA allowance for the current tax year”.

The system will consider the current ISA Transfer in transactions at the time of ISA allowance/ limit computation for the tax year. The system will not allow backdated transfers. However, you can record date of transfer which can be back dated.

The system will use amount captured in the current year ISA subscription amount limit field to update utilised amount for the unitholder.

In Specie Transfer Out

An investor can Transfer out his ISA account to another ISA manager during the current ISA tax year. This will essentially be a one- legged unit based transaction. Following are the different options available:

- Any year ISA - The system will auto calculate number of units that can be transferred and will populate the fund Grid.
- Previous Year ISA full – The system will auto calculate number of units that can be transferred and will lock the fund grid
- Current year ISA- The system will auto calculate number of units that can be transferred and will lock the fund grid
- Previous year ISA partial – The system will auto calculate number of units that can be transferred. However, you can modify this.

On authorisation of the record, the system will generate redemption transactions at the Fund Level. In specie redemption transactions will have payment mode as ‘In Kind’

In specie Transfer Out will record these transfers.While saving, the system will automatically populate the Current Year ISA Subscription Amount and the Previous Year ISA amounts.

If any un-allotted transactions are available at the time of ISA Transfer out transactions, the system will display an error message as “Un-Allotted Transactions available. Please do the Transfer once all Units are Priced!”.

After an Any year ISA, the system will transfer the transactions,. If there is an investment in the ISA account then the system will display an error message as “ISA account transferred-New investments not allowed” while saving

Note

This will not apply for system generated transactions. This check will only be done for the Tax Year when the Full Transfer was done. Post that tax year this validation will not be applied.

If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session time out. This is applicable for both online and gateway users.

The system will display G1/G2 split of units (at fund level) under transfer. This will also be applicable to non ISA accounts.

In-specie Transfer-In

You can transfer your ISA account to another ISA manager during the current ISA tax year by either a complete ISA transfer or a Partial ISA transfer. This will essentially be a one- legged unit based transaction.

The system will allow you to select ISA manger and based on the ISA manager chosen, the system will validate the transfer in funds against the list of funds mapped to ISA manager.

If the fund does not exist in the list maintained at the Entity level then the system will display the an error message as “Fund not in Acceptance list for ISA manager”.

The validation will be based on the Fund ID and the New ISA manager captured at the time of in-specie Transfer in transaction. This will be unit based transfer, you will not be allowed to enter Amount.

On authorisation of the record, the system will generate an authorized Net Unit-based Subscription Transactions at the Fund Level. Inspecie Transfer In will be made available for these transactions.The settlement mode for these transactions will be ‘In Kind’.

The Current Year ISA Subscription Amount will be used to validate the ISA Limits.

If the ISA transfer in transaction exceeds the ISA allowance/ limit for the current tax year, then on save of the transaction the system displays an error message as “Exceeds the ISA allowance for the current tax year”

The system will consider the current ISA Transfer in transactions at the time of ISA allowance/ limit computation for the tax year.

You can record G1/G2 split of units under transfer at fund level. Backdated transfers will not be allowed. There will be no limit validation for previous year ISA transfer in. The previous year ISA transfer in date can be lesser than account opening date.

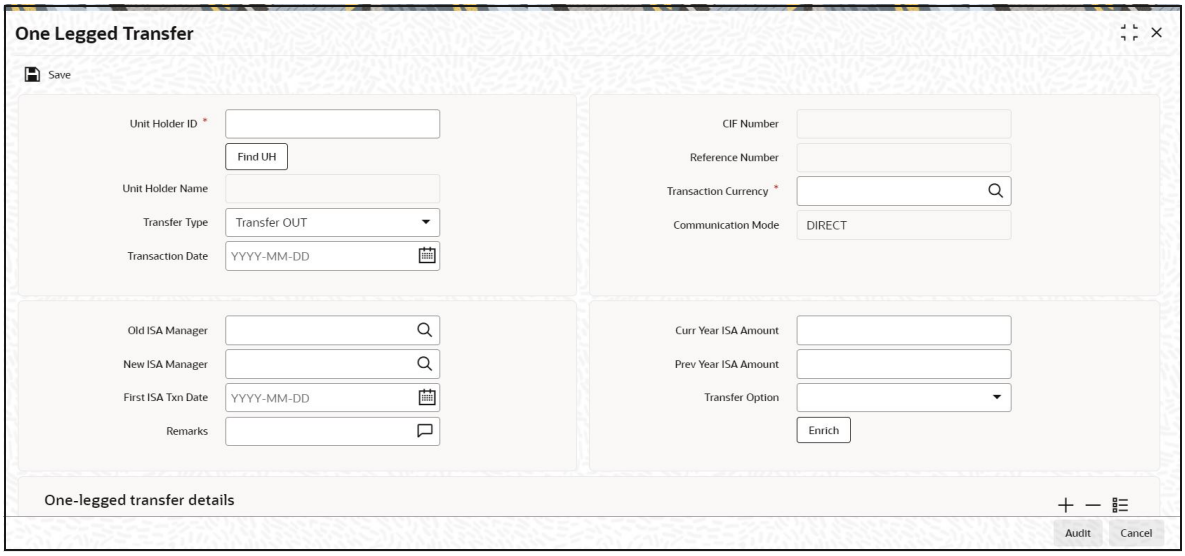
First ISA transaction date will also be recorded during transaction capture.

Note

System generated OLT transactions cannot be amended through transaction screens.

5.21.2 Invoking One Legged Transfer Screen

You can specify ISA transfer details using ‘One Legged Transfer’ screen. You can invoke this screen by typing ‘UTDOLT’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID.

You can also query unit holder ID by clicking ‘Find UH’ button

Unit Holder Name

Display

The system displays the unit holder name for the selected Unit Holder ID while saving.

CIF Number

Display

The system displays the customer ID.

Reference Number

Display

The system displays the reference name.

Transfer Type

Optional

Select the type of transfer from the adjoining drop-down list. Following are the options available:

- Transfer OUT
- Transfer IN
- In specie transfer out
- In specie transfer in

Transaction Date

Date Format; Mandatory

Specify the transaction date.

Transaction Currency

Alphanumeric; 3 Characters; Mandatory

Specify the transaction currency.

Communication Mode

Display

The system displays the mode of communication.

Old ISA Manager

Alphanumeric; 12 Characters; Optional

Specify old ISA Manager details. This adjoining option list displays all valid old ISA manager details maintained in the system. You can choose the appropriate one.

New ISA Manager

Alphanumeric; 12 Characters; Optional

Specify new ISA Manager details. This adjoining option list displays all valid new ISA manager details maintained in the system. You can choose the appropriate one.

First ISA Txn Date

Date Format; Optional

Specify first ISA transaction date.

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

Curr Year ISA Amount

Numeric; 18 Characters; Optional

Specify the current year ISA amount.

Prev Year ISA Amount

Numeric; 18 Characters; Optional

Specify the previous year ISA amount.

Transfer Option

Optional

Select the transfer option from the adjoining drop-down list. Following are the options available:

- Any Year ISA
- Prev Year ISA
- Current Year ISA
- ISA Partial

One-legged transfer details

Transaction Number

Display

The system displays the transaction number on authorization.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

Fund Name

Display

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

Units

Numeric; 27 Characters; Optional

Specify the in-specie transfer in units.

This field is enabled only for in-specie transfer in type of transaction.

G1 Units

Numeric; 27 Characters; Optional

Specify the in-specie transfer in G1 units.

This field is enabled only for in-specie transfer in type of transaction.

G2 Units

Numeric; 27 Characters; Optional

Specify the in-specie transfer in G2 units.

This field is enabled only for in-specie transfer in type of transaction.

Amount

Numeric; 18 Characters; Optional

Specify the transfer amount.

5.21.3 Validating ISA Transactions

Any 'IN' transaction captured for unitholder ID having account type as ISA will be validated for breach of overall limit within the date range maintained for the account type in 'Account Type Maintenance' screen.The validation will be based on transaction date. This validation is only for the mapped ref types.

If any backdated transactions are entered for previous year (less than from date), the system will display the warning message as "Entered transaction does not belong to current period- Do you wish to continue?".

Limit validations will be done for transactions entered for previous ISA year.

If any future dated transactions are entered for coming tax year (greater than To date), the system will display the warning message as "Entered transaction does not belong to current period- Do you wish to continue?".

Limit validations will be done for transactions entered for coming ISA year.

ISA validations will again be subject to appropriate ref type being mapped in the 'Account Type Maintenance' screen. If ref type is not mapped in 'Account Type Maintenance' screen, the transaction will not be validated for limit breach validation.

If an IN transaction is reversed or cancelled utilized amount will be reset.

If a transaction is breaching ISA limit maintained at account type level, then the system will display a warning message.

Gross amount in Fund base currency will be used to validate the amount limit breach. For user entered transaction, there will be online check if the transaction amount is breaching the limit. For unit based transactions, the system will use the latest available NAV to calculate the amount.

In case of cross currency transactions,,latest exchange rate maintained for default source will be used when account type currency is different from fund base currency

In case of standing instructions, there will be no validations during setup. During SI transaction generation, the system will validate for overall limit breach and if breaching will not generate the SI transaction, it will log in error table.

Apart from online check, there will be limit breach check at allocation level. Any transaction breaching the overall limit will not be allocated.

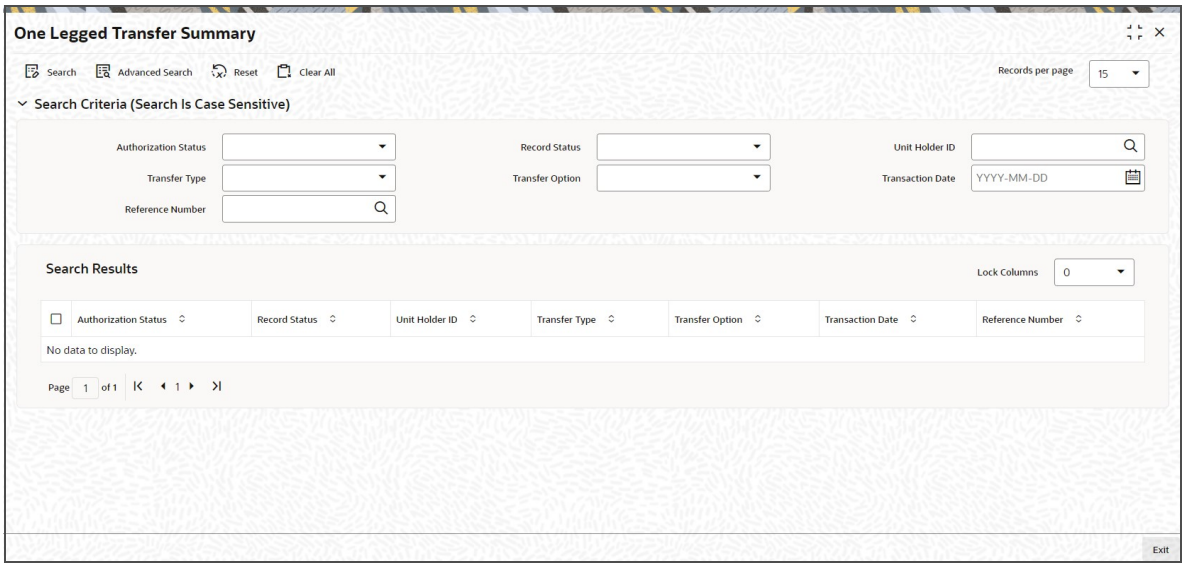
5.22 One Legged Transfer Summary

This section contains the following topics:

- Section 5.22.1, "Retrieving ISA Transfer Details"
- Section 5.22.2, "Editing ISA Transfer Details"
- Section 5.22.3, "Viewing ISA Transfer Details"
- Section 5.22.4, "Deleting ISA Transfer Details"
- Section 5.22.5, "Authorizing ISA Transfer Details"
- Section 5.22.6, "Amending ISA Transfer Details"

5.22.1 Retrieving ISA Transfer Details

You can view ISA transfer details using ‘One Legged Transfer - Summary’ screen. To invoke this screen, type ‘UTSOLT’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can retrieve previously entered ISA Transfer Details as follows:

- Invoke the ‘One Legged Transfer - Summary’ screen from the Browser.

- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - Unit Holder ID
  - Transfer Type
  - Transfer Option
  - Transaction Date
  - Reference Number
  - If you choose the blank space, then all the records are retrieved.

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

Note

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

- Press F7
- Input the Unit Holder ID
- Press F8

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

Example

You can search the record for Account Type by using the combination of % and alphanumeric value as follows:

- Search by A%: The system will fetch all the records whose Unit Holder ID starts from Alphabet ‘A’. For example, AGC17, AGVO6, AGC74 and so forth.
- Search by %7: The system will fetch all the records whose Unit Holder ID ends by numeric value’ 7’. For example, AGC17, GSD267, AGC77 and so forth.
- Search by %17%: The system will fetch all the records whose Unit Holder ID contains the numeric value 17. For example, GSD217, GSD172, AGC17 and so forth

5.22.2 Editing ISA Transfer Details

You can modify the ISA Transfer Details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the ‘One Legged Transfer - Summary’ screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

- Click ‘Search’ button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The ‘One Legged Transfer - Detail’ screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The ‘One Legged Transfer - Summary’ screen is closed and the changes made are reflected in the ‘One Legged Transfer - Summary’ screen.

5.22.3 Viewing ISA Transfer Details

To view a record that you have previously input, you must retrieve the same in the ‘One Legged Transfer - Summary’ screen as follows:

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

5.22.4 Deleting ISA Transfer Details

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

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

5.22.5 Authorizing ISA Transfer Details

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

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

When a checker authorizes a transaction, the system will create UT transactions and displays only the corresponding transaction overrides.

5.22.6 Amending ISA Transfer Details

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

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

5.23 Distribution Void Detail

This section contains the following topics:

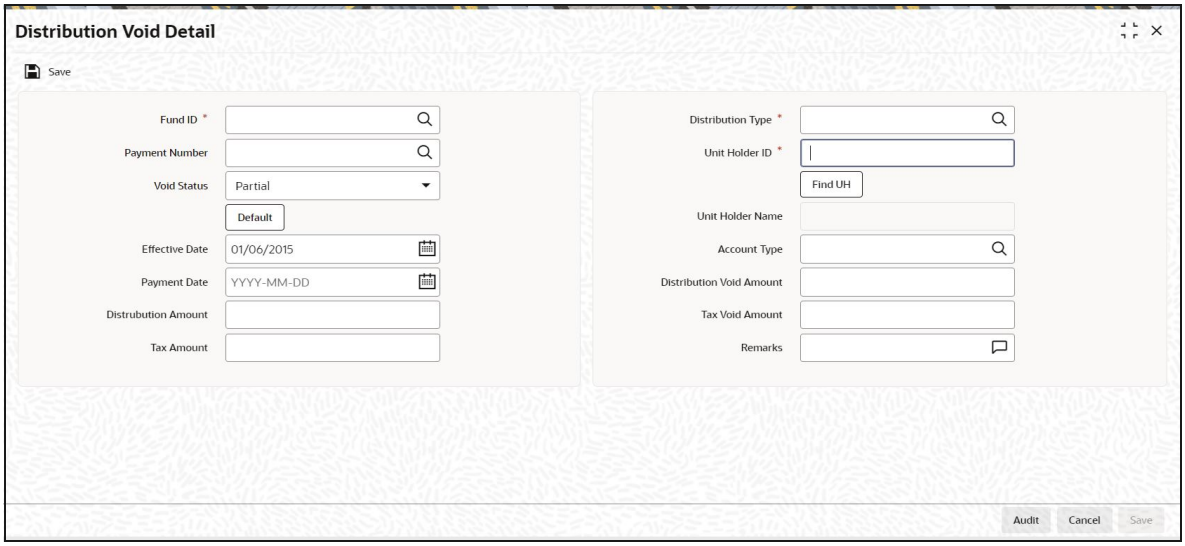
- Section 5.23.1, "Invoking Distribution Void Detail Screen"
- Section 5.23.2, "Validating ISA Void"

5.23.1 Invoking Distribution Void Detail Screen

You can do void processing at UH and transaction level. You can specify the unit holder ID or specific transaction number, and then that specific UH/transaction will be void in system with immediate effect (post authorization). You can capture void reason during void save.

The account can be voided for a given date range.

You can specify the void details by using 'Distribution Void Detail' screen. To invoke this screen, type 'UTDDVOID' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button to perform the following operations:



You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

Payment Number

Alphanumeric; 5 Characters; Mandatory

Specify the payment number. This adjoining option list displays all valid payment number maintained in the system. You can choose the appropriate one.

Void Status

Optional

Select the void status from the adjoining drop-down list. Following are the options available:

- Full
- Partial
- Un-Void

Distribution Type

Alphanumeric; 1 Character; Mandatory

Select the type of distribution. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can also click on 'Fund UH' button to select the valid unit holder ID.

Unit Holder Name

Display

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

Void Status

Optional

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

- Partial
- Full
- Un void

Effective Date

Date Format; Mandatory

Specify the application date.

Payment Date

Date Format; Optional

Specify payment date.

Distribution Amount

Numeric; 30 Characters; Optional

Specify the distribution amount.

Tax Amount

Numeric; 30 Characters; Optional

Specify the valid tax amount.

Account Type

Alphanumeric; 2 Characters; Optional

Select the type of account. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

Distribution Void Amount

Numeric; 30 Characters; Optional

Specify the distribution void amount.

This field is enabled only if you have selected 'Void Status' as 'Partial'.

Tax Void Amount

Numeric; 30 Characters; Optional

Specify the distribution void tax amount.

This field is enabled only if you have selected 'Void Status' as 'Partial'.

Remarks

Alphanumeric; 255 Characters; Mandatory

Specify remarks, if any.

5.23.2 Validating ISA Void

Distribution Void

You can maintain partial Voids and full amount void values at a unit holder distribution level using distribution void feature.

You can mark the distribution record as fully void or partially void by selecting Full/Partial option in 'Void Status' field.

If you select 'Partial void' option, then you can provide the Void Distribution amount and the void Tax amount. You can also amend this maintenance and change the status to Blank.

You can amend the distribution void amount and distribution void tax amount with effective date being the application date. The system will store the latest effective date record in the system as latest record which will be available for amending the void record.

The distribution void processing is only for reporting purpose and will not have any systemic impact on tax credit.

Tax Credit

You can process tax credit transactions by providing the details such as fund ID dividend payment number, account type. the system will default the tax credit date to the application date. Based on this, any tax deducted from the unitholder will be credited back to the unitholder.

In case, if the unitholder is marked as void or any transaction belonging to unitholder is marked as Void, then the tax credit will not happen the system will mark the record as error and log the details into a table.

Tax credit Reversal batch will trigger reversal of Tax credit reinvestments and Tax credit payments.

To reverse the Tax Credit Reinvestment transaction, you will have to select the Fund and Processing mode as reverse so that payment number are available for selection. On selection of payment number and entering remarks, you should run the reversal batch process.

Payment numbers which are gone through Tax Credit processing will only be available for reversal processing. If Tax Credit Reversal has been performed for a payment, such payment number will be available for Tax Credit processing again. However, such payment number will not be available for Tax Credit Reversal processing until such payment is go through Tax Credit processing subsequently.

On Reversal of Tax Credit, the system will place reversal entries for tax credits reinvested and internally track reversal of tax credit payments. You should reverse after the paydate with the system treating the reversal of reinvestment transactions and payments in the same way the distribution reversal process does.

On successful reversal processing, if there are dependent transactions like redemptions, switch out and transfer out linked to tax credit Reinvestments, then such transactions will not be reversed and these details will be logged.

In case the dividend is reversed before tax credit processing, then such dividends will not come for Tax Credit Processing. In case dividend is reversed after tax credit processing, you will have to reverse the tax credit separately.

If Dividend is amended, then revised dividends will come for Tax credit processing. In such case, revised Tax amount will come for credit processing for dividend payments and reinvestments. If you amend the dividend after tax credit, in such case, tax credit will to be reversed and reprocessed.

Dividend Reversals

If dividend is reversed after tax credit, the dividend reversal or dividend reprocess batch will not trigger the reversal of Tax Credit transactions, because Dividend reprocessing and Tax Credit batch is independent activities. You will have to manually trigger tax credit reversal batch.

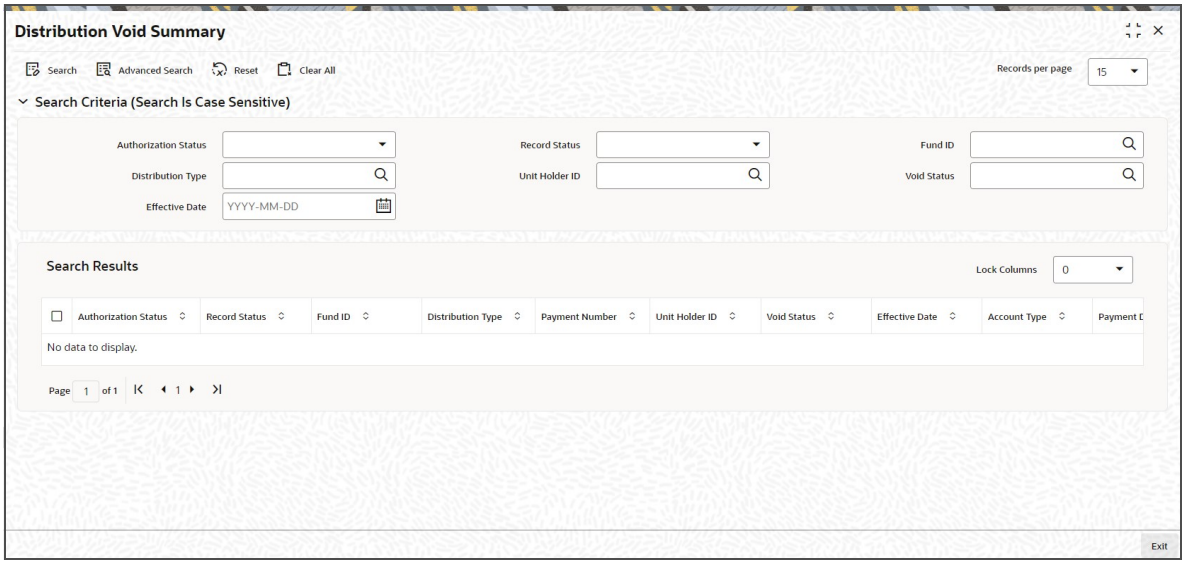
5.24 Distribution Void Summary

This section contains the following topics:

- Section 5.24.1, "Retrieving Void Details"
- Section 5.24.2, "Editing Void Details"
- Section 5.24.3, "Viewing Void Details"
- Section 5.24.4, "Deleting Void Details"
- Section 5.24.5, "Authorizing Void Details"
- Section 5.24.6, "Amending Void Details"

5.24.1 Retrieving Void Details

You can view void details using ‘Distribution Void Summary’ screen. To invoke this screen, type ‘UTSDVOID’ 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 void Details as follows:

- Invoke the ‘Distribution Void Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - Fund ID
  - Unit Holder ID
  - Effective Date
  - Distribution Type
  - Void Status
  - If you choose the blank space, then all the records are retrieved.

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

Note

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

- Press F7
- Input the Unit Holder ID
- Press F8

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

Example

You can search the record for Unit Holder ID by using the combination of % and alphanumeric value as follows:

- Search by A%: The system will fetch all the records whose Unit Holder ID starts from Alphabet ‘A’. For example, AGC17, AGVO6, AGC74 and so forth.
- Search by %7: The system will fetch all the records whose Unit Holder ID ends by numeric value’ 7’. For example, AGC17, GSD267, AGC77 and so forth.
- Search by %17%: The system will fetch all the records whose Unit Holder ID contains the numeric value 17. For example, GSD217, GSD172, AGC17 and so forth

5.24.2 Editing Void Details

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

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

5.24.3 Viewing Void Details

To view a record that you have previously input, you must retrieve the same in the ‘Distribution Void Summary’ screen as follows:

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

5.24.4 Deleting Void Details

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

- Invoke the ‘Distribution Void Summary’ screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.

- Click ‘Search’ button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The ‘Distribution Void Detail’ screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

5.24.5 Authorizing Void Details

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

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

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

5.24.6 Amending Void Details

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

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

Amend the necessary information and click on Save to save the changes.

5.25 Void Maintenance Detail

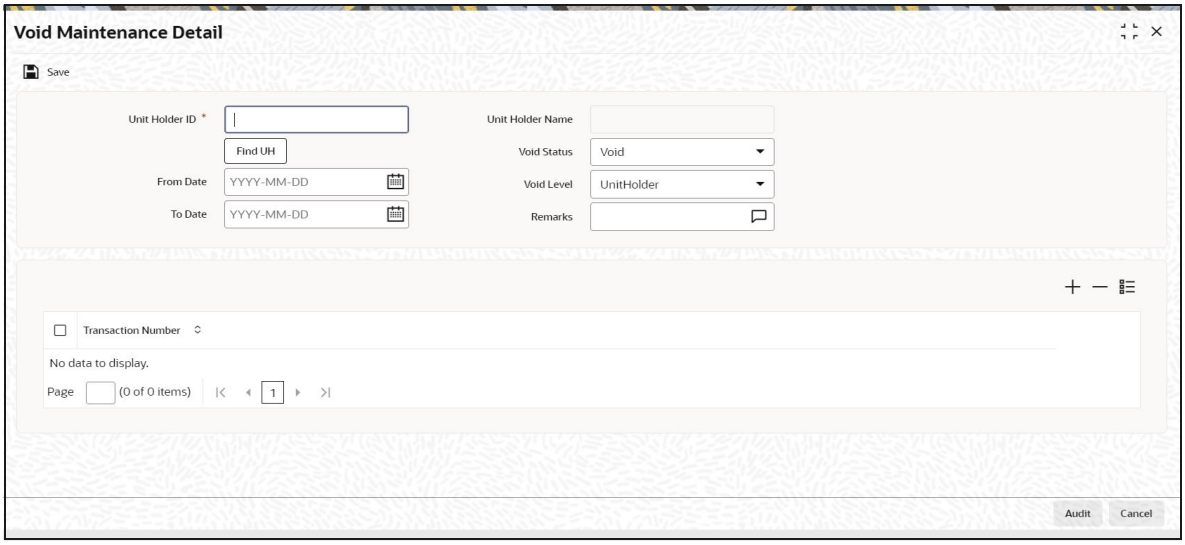
This section contains the following topics:

- Section 5.25.1, "Invoking Void Maintenance Detail Screen"

5.25.1 Invoking Void Maintenance Detail Screen

You can perform void processing at UH and transaction level using ‘Void Maintenance Detail’ screen. You can provide unitholder ID or specific transaction number and then specific UH/ transaction will be void in system with immediate effect (post authorization). You can capture void reason while saving a void. You can also void and account for a given range.

You can invoke the ‘Void Maintenance Detail’ screen by typing ‘UTDVOID’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can also query for unit holder ID by clicking ‘Find UH’ button.

Unit Holder Name

Display

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

From Date

Date Format; Mandatory

Select the date from when the void details needs to be maintained from the adjoining calendar.

To Date

Date Format

Select the date till when the void details needs to be maintained from the adjoining calendar.

Void Status

Optional

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

- Void
- Un Void

Void Level

Optional

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

- UnitHolder
- Transaction

Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

Transaction Number

Alphanumeric; 16 Characters; Optional

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

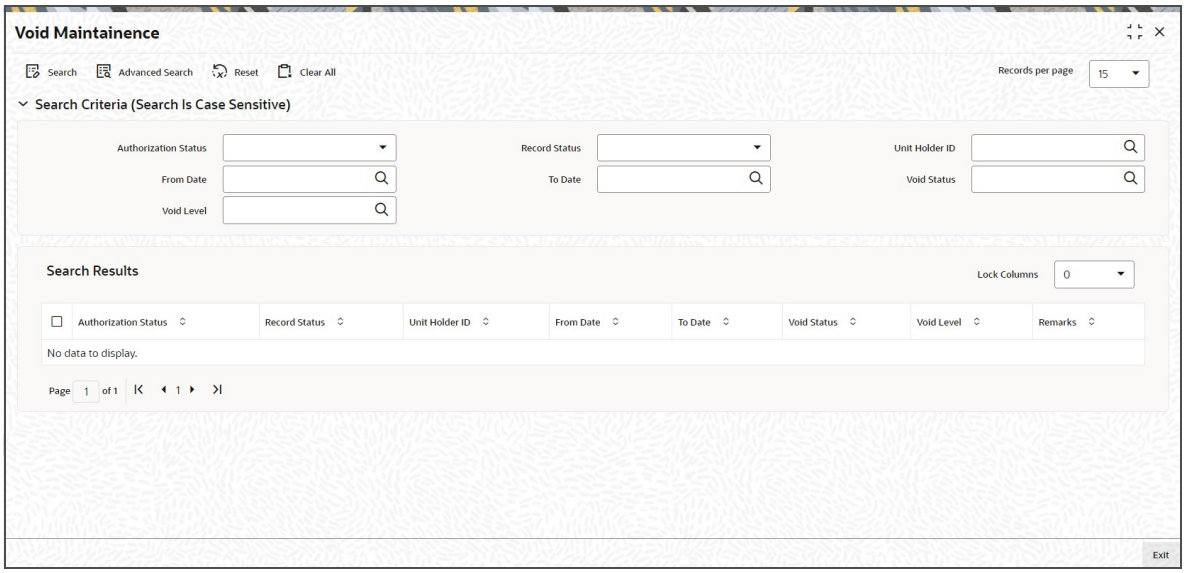
5.26 Void Maintenance Summary

This section contains the following topics:

- Section 5.26.1, "Retrieving Void Maintenance Details"
- Section 5.26.2, "Editing Void Maintenance Details"
- Section 5.26.3, "Viewing Void Maintenance Details"
- Section 5.26.4, "Deleting Void Maintenance Details"
- Section 5.26.5, "Authorizing Void Maintenance Details"
- Section 5.26.6, "Amending Void Maintenance Details"

5.26.1 Retrieving Void Maintenance Details

You can view void details using 'Void Maintenance' screen. To invoke this screen, type 'UTSVOID' 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 void Details as follows:

- Invoke the 'Void Maintenance' Summary screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.

- Unit Holder ID
- From Date
- To Date
- Void Status
- Void Level

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

Note

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

- Press F7
- Input the Unit Holder ID
- Press F8

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

Example

You can search the record for Unit Holder ID by using the combination of % and alphanumeric value as follows:

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

5.26.2 Editing Void Maintenance Details

You can modify the Void Maintenance Details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

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

5.26.3 Viewing Void Maintenance Details

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

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

5.26.4 Deleting Void Maintenance Details

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

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

5.26.5 Authorizing Void Maintenance Details

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

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

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

5.26.6 Amending Void Maintenance Details

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

- Invoke the 'Void Maintenance' Summary screen from the Browser.

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

Amend the necessary information and click on Save to save the changes.

5.27 Intra-day Checks for Transactions

This section contains the following topics:

- Section 5.27.1, "Invoking Intra-day Transaction Check Screen"
- Section 5.27.2, "Pre-EOD Check for Intra-day Transaction Validation"

5.27.1 Invoking Intra-day Transaction Check Screen

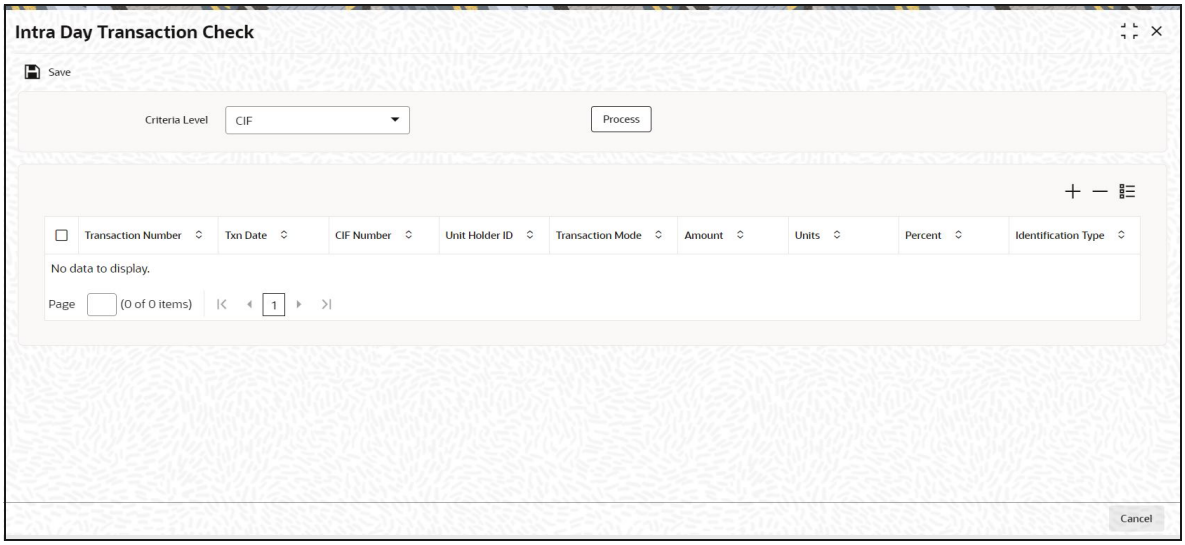
For a fund, limits on transaction volumes (minimum and maximum limits for both amount and units) are defined in the Transaction Processing Rules, for each transaction type. The limits so defined are validated whenever individual transactions are allocated in the system.

You may require the transaction limits for a fund to be checked for and enforced at any of the following levels of aggregation:

- For transactions across all unit holder accounts transacting in a fund
- For transactions across all accounts in a CIF which transacts in the fund
- For transactions across all identification types and identification numbers transacting in the fund

To specify the level at which the check must be performed, you can use the Intra-Day Transaction Check screen, which you can invoke from the Fund Manager menu.

To invoke this screen, type UTDIDYCK in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



In this screen, you specify the aggregation level at which the check must be performed, in the Criteria field. Click 'Process' button to apply the check. The system aggregates all the unallocated transactions into each fund at the level you have specified, and displays those transactions that violate the limits maintained in the Transaction Processing Rules for the fund.

Criteria Level

Optional

Select the level at which transactions must be aggregated for enforcement of the transaction limit check from the drop-down list. The system aggregates all unallocated transactions into each fund at the level you have specified, and displays those transactions that violate the limits maintained in the Transaction Processing Rules for the fund.

The drop-down list displays the following values:

- CIF - Across all accounts in a CIF which transacts in the fund
- Unit Holder - Across all unit holder accounts transacting in a fund
- Identification Number - Across all identification types and identification numbers transacting in a fund

Clicking 'Process' button, the system displays the following values:

- Transaction Number
- Transaction Date
- CIF Number
- Unit Holder ID
- Transaction Mode
- Amount
- Units
- Percent
- Identification Type
- Identification Number

5.27.2 Pre-EOD Check for Intra-day Transaction Validation

During the Pre-EOD processes, the system checks for the transactions that violate the minimum / maximum limits defined for the fund, aggregated at CIF level, and ensures that they are not put through.

Intra-day Check – Example

In the Transaction Processing Rules, the following minimum and maximum limits have been maintained:

Fund ID	Transaction Type	Minimum Amount	Maximum Amount	Minimum Units	Maximum Units
Royal Trust Growth Fund	Subscription	1,000	10,000,000	100	1,000,000

The details of unit holders transacting in the Royal Trust Growth Fund are as follows:

Unit Holder ID	CIF	Account Type	Identification Type	Identification Number

UH1	CIF1	CPFOA	NRIC	N0001
UH2	CIF1	CPFSA	NRIC	N0001
UH3	CIF1	Cash	Passport	A80899
UH4	CIF2	ASPFOA	NRIC	N0001

The following transactions are entered into the Royal Trust Growth Fund:

Transaction Number	Unit Holder	CIF	Transaction Type	Transaction Mode	Amount	Units
S1	UH1	CIF1	Subscription	Amount	10,000,000	
S2	UH2	CIF1	Subscription	Units		1,000,000
S3	UH3	CIF1	Subscription	Amount	900	
S4	UH4	CIF2	Subscription	Units		90

When the intra-day check is enforced, the following transactions violate the check:

At Unit Holder aggregation level

The transactions S3 and S4 are displayed in the Intra-Day Transaction Check screen, since the transaction volumes are below the minimum transaction amount and minimum transaction units for subscription maintained for the fund in the Transaction Processing Rules.

At CIF aggregation level

The transactions S1 and S3 are summed for CIF 1, and the sum (10,000,900) exceeds the maximum amount for subscription transactions for the Royal Trust Growth Fund. Therefore, S1 and S3 are displayed in the Intra-Day Transaction Check screen.

Also, the number of units for transaction S2 falls below the minimum units for subscription transactions for the Royal Trust Growth Fund. Therefore, S2 is displayed in the Intra-Day Transaction Check screen.

At Identification Number level

The transactions S2 and S4 are summed for NRIC – N0001, and the sum (10,000,090 units) exceeds the maximum units for subscription transactions for the Royal Trust Growth Fund. Therefore, S2 and S4 are displayed in the Intra-Day Transaction Check screen.

Also, the number of units for transaction S3 falls below the minimum amount for subscription transactions for the Royal Trust Growth Fund. Therefore, S3 is displayed in the Intra-Day Transaction Check screen.

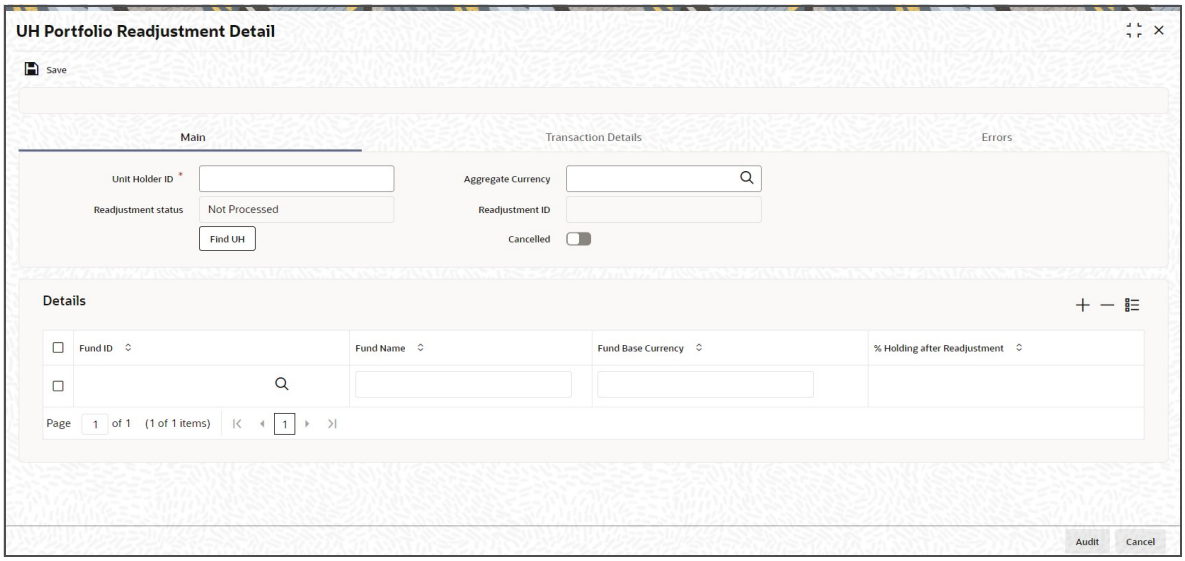
5.28 UH Portfolio Readjustment Details

This section contains the following topics:

- Section 5.28.1, "Readjusting Unit Holder Portfolio"
- Section 5.28.2, "Main Tab"
- Section 5.28.3, "Transaction Details Tab"
- Section 5.28.4, "Errors Tab"

5.28.1 Readjusting Unit Holder Portfolio

You can define percentage of the readjusted portfolio fund wise for a given Unit Holder using the ‘Readjustment of UH Portfolio’ screen. Based on this percentage defined, the system will readjust portfolio by means of switch/pseudo switch on the given funds of the unit holder. All the switch and pseudo switch transactions are unit based transactions. You can invoke this screen by typing ‘UTDUHPR’ in the field at the top right corner of the Application tool bar and click the adjoining arrow.



Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the ‘Readjustment of UH Portfolio’ screen.

5.28.2 Main Tab

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can also click ‘Find UH’ button to find the authorized unit holders. The system displays a list of authorized unit holders maintained in the system.

Aggregate Currency

Alphanumeric; 3 Characters; Optional

In case the readjustments are between the funds of different fund base currency (FBC), then you have to specify the aggregate currency. Specify the aggregate currency. You can also select the aggregate currency from the adjacent option list. The option list consists of all the valid and authorized currency codes maintained in the system. While processing the transaction, the system will convert the currencies of the current holdings of the selected funds into aggregate currency for the purpose of comparing and achieving the required portfolio.

The system triggers an error message if there are funds involving more than one FBC and if the aggregate currency is not specified. However, if all the funds defined in the screen are having same fund base currency, then the system defaults the aggregate currency with the same fund base currency. For instance, if all the funds defined are having FBC as ‘USD’, then on saving the details, the system will default aggregate currency as ‘USD’.

Note

The aggregate currency chosen should be the FBC of at least one of the funds selected.

Readjustment Status

Display

Based on the status of the readjustment, the status is displayed here. The following are the status available:

- Not Processed
- Transaction Generated
- Failure during transaction Generation

You can modify the details only if the readjustment status is ‘Not Processed”.

Note

For a given unit holder, there can be only one ‘Not Processed’ readjustment.

Readjustment ID

Display

On saving the details, the readjustment ID is generated. Later, you can use this number to query the details.

Cancelled

Optional

The system will not generate the transactions that are ‘authorized but are yet to be processed’. This option is enabled only during amending operation.

Details

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID. You can also select the fund ID from the option list provided. The option list displays the valid fund IDs maintained in the system. You should at least specify two funds for readjustments and for the given unit holder, at least one of the funds defined should have the settled unit balance.

Fund Name

Display

Based on the fund ID selected, the fund name is displayed.

Fund Base Currency

Display

Based on the fund ID selected, the fund base currency is displayed.

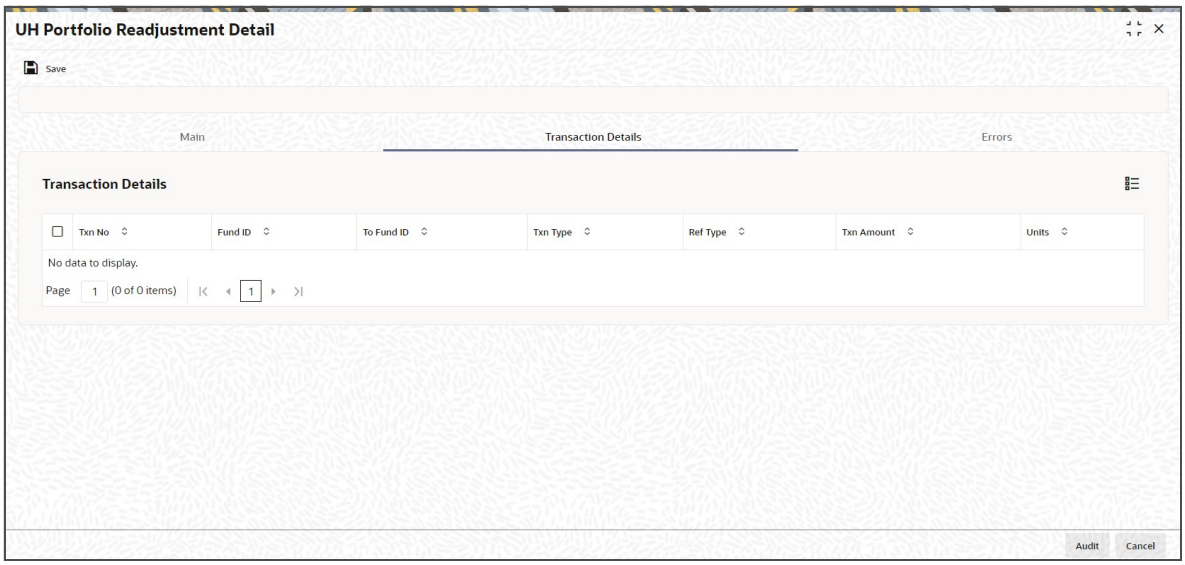
% Holding after Readjustment

Alphanumeric; 5 Characters; Mandatory

Define the percentage of the readjusted portfolio for the unit holder. After readjustment, this is the percentage of the total holdings of the settled units for the selected funds. The total percentage should added up to hundred percent.

5.28.3 Transaction Details Tab

Click ‘Transaction Details’ tab to view the generated transaction details.

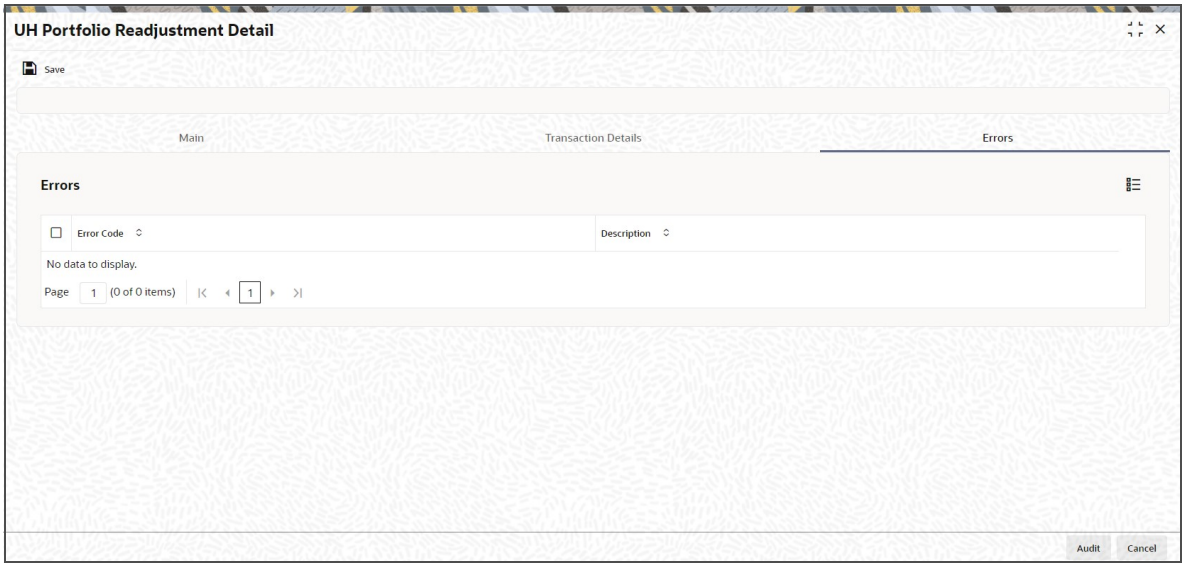


The following details are displayed:

- Transaction Number
- Fund ID
- To Fund ID
- Transaction Type
- Ref Type
- Transaction Amount
- Units

5.28.4 Errors Tab

During transaction generation, if one of the transactions fails, then the system will log an error as 'Transaction Processing Failed'. It will not generate the partial successful transactions. The failed reasons can be viewed under ‘Errors’ tab. Click ‘Errors’ tab to view the error details:



The system displays the following values:

- Error Code
- Description

Note

In case of pseudo switch, the transaction currency for the subscription transaction will be the fund base currency of the redemption transaction fund.

5.28.5 Processing Readjustment Portfolios

As part of EOD process, all the settled units as on date are considered for readjustments. The total current holdings are arrived using the latest NAV of the funds involved. The current holdings of each fund are compared with the required readjusted portfolio (both amounts are in aggregate currency). The transaction type to be used is based on the net inflows and outflows required to achieve the required readjustment. If a switch transaction is required among these funds, the system will generate normal switch or pseudo switch based on the funds involved belong to the same AMC or different AMC respectively. The readjustment request is rejected if there is any amount block on one of the fund where in units has to be switched out.

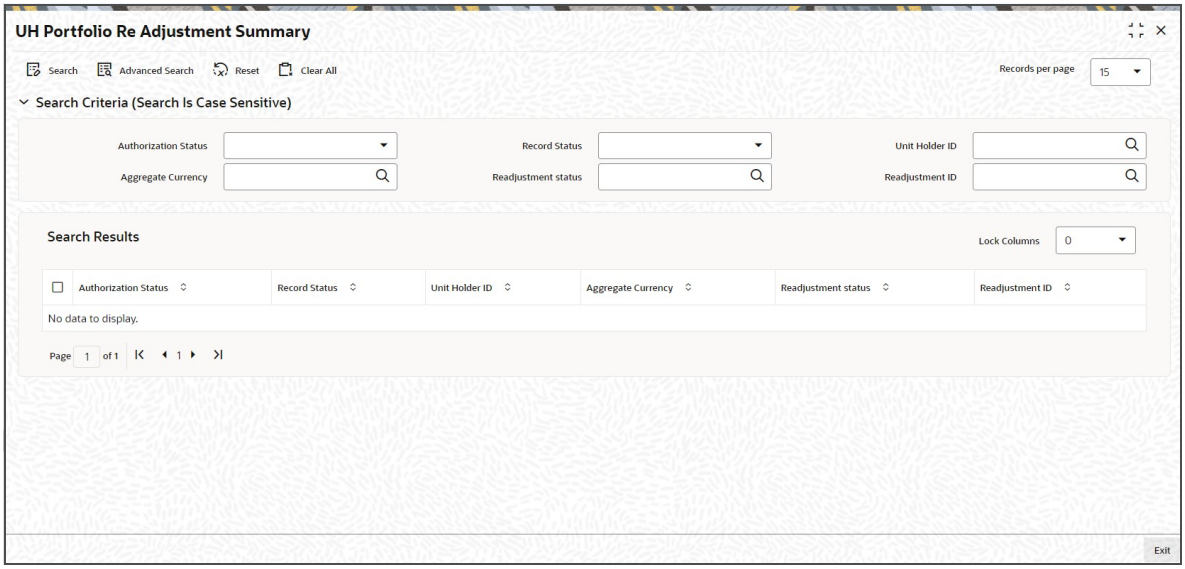
5.29 UH Portfolio Readjustment Summary

This section contains the following topics:

- Section 5.29.1, "Retrieving Readjustment Portfolio"
- Section 5.29.2, "Editing Readjustment Portfolio"
- Section 5.29.3, "Viewing Readjustment Portfolio "
- Section 5.29.4, "Deleting Readjustment Portfolio"
- Section 5.29.5, "Authorizing Readjustment Portfolio"
- Section 5.29.6, "Amending Readjustment Portfolio"

5.29.1 Retrieving Readjustment Portfolio

The portfolio readjustment details must be authorized by another user. You can invoke 'UH Portfolio Readjustment Summary' screen by typing 'x' in the field at the top right corner of the Application tool bar and click the adjoining arrow.



You can retrieve a previously entered broker deal as follows:

- Invoke the 'UH Portfolio Readjustment Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - Unit Holder ID
  - Readjustment status
  - Aggregate Currency
  - Readjustment ID
- 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 and Authorize operation by selecting from the Action list.

5.29.2 Editing Readjustment Portfolio

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

- Invoke the 'UH Portfolio Readjustment Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.

- The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
- The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- The readjustment ID in the ‘Re Adjustment ID’ field. If you choose the blank space, then all the records are retrieved.
- The Readjustment status in the ‘Re Adjustment Status’ field.

- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The ‘UH Portfolio Readjustment Detail’ screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The ‘UH Portfolio Readjustment Detail’ screen is closed and the changes made are reflected in the ‘UH Portfolio Readjustment Summary’ screen.

5.29.3 Viewing Readjustment Portfolio

To view a record that you have previously entered, you must retrieve the same in the ‘UH Portfolio Readjustment Summary’ screen, as follows:

- Invoke the ‘UH Portfolio Readjustment Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
  - The readjustment ID in the ‘Re Adjustment ID’ field. If you choose the blank space, then all the records are retrieved.
  - The Readjustment status in the ‘Re Adjustment Status’ field.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The ‘UH Portfolio Readjustment Detail’ screen is displayed in the view mode.

5.29.4 Deleting Readjustment Portfolio

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

- Invoke the ‘UH Portfolio Readjustment Summary’ screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the ‘Authorized’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the ‘Open’ field. If you choose the blank space, then all the records are retrieved.

- The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- The readjustment ID in the ‘Re Adjustment ID’ field. If you choose the blank space, then all the records are retrieved.
- The Readjustment status in the ‘Re Adjustment Status’ field.

- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The ‘UH Portfolio Readjustment Detail’ screen is displayed.
- 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.

Note

The maker of the record can only delete the unauthorized record.

5.29.5 Authorizing Readjustment Portfolio

Apart from the maker, someone else must authorize an unauthorized broker deal in the system for it to be processed. To authorize a record:

- Invoke the ‘UH Portfolio Readjustment Summary’ screen from the Browser.
- ‘The status of the transaction in the ‘Authorized’ field. Choose the ‘Unauthorized’ status.
- Click ‘Search’ button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

5.29.6 Amending Readjustment Portfolio

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

- Invoke the ‘UH Portfolio Readjustment Summary’ screen from the Browser.
- Select the status of the transaction that you wish to retrieve for amendment. You can only amend only authorized records.
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The ‘UH Portfolio Readjustment Detail’ screen is displayed in the amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

5.30 Help Desk Facility

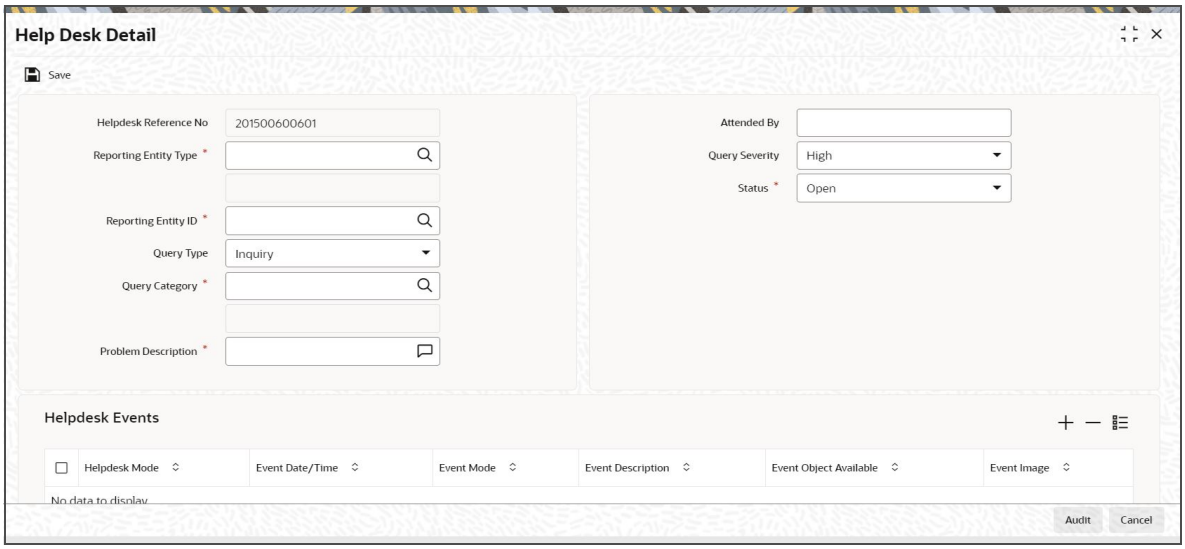
This section contains the following topics:

- Section 5.30.1, "Invoking Help Desk Detail Screen"
- Section 5.30.2, "Initiating and Processing Queries"

5.30.1 Invoking Help Desk Detail Screen

The FLEXCUBE Investor Services system provides the facility of querying and reporting between entities in the system.

To query about any other entity or report information (such as complaints) regarding any entity in the system, use the Help Desk Detail' screen. You can invoke this screen by typing 'UTDHLPDS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can use this screen to

- Initiate a query regarding any information requested by any entity that is defined in the system.
- Process or follow-up any such queries
- Edit, view or close any queries

5.30.2 Initiating and Processing Queries

To initiate (or process) a query, in the Help Desk (Detail) screen, specify the following in the Help Details section:

- The type of entity that is initiating the query, in the Reporting Entity Type field. Also select the ID of the reporting entity in the Reporting Entity ID field.
- The type of query, in the Query Type field. The query could be an inquiry, or an action. Select the appropriate option.
- The category of the query, in the Query Category field. Choose the required option from the drop down list.
- The degree of criticality of the query, in the Query Severity field.
- If you are following up a previously entered query, select the status of the query in the Status field.
- The description of the report, or query, in the Problem Description field.
- The name of the person who will attend the query, in the Attended By field.
- Also specify the following in the Helpdesk Events section:
- The mode of the query, or the query type, in the Helpdesk Mode field.
- The mode through which the query is being made, in the Event Mode field.
- The description of the query, in the Event Description field.
- Any image, such as a document or fax, regarding the query or report, in the Event Image field. Click the Scan button to specify this.
- Click the Save button to save your query.

Any follow up or processing of the query can likewise be entered in a similar manner, as described above.

To add a new row to the Helpdesk Events grid, choose the Add button.

Helpdesk Reference Number

Display

Every query you initiate in the system is assigned a unique reference number by the system. If you are entering a new query in this screen, this field is empty and locked, and when you specify all the information that is mandatory for initiating a query, the reference number is generated by the system when you Save the information.

If you have retrieved a query for viewing or processing, the reference number of the retrieved query is displayed here and it cannot be altered.

Attended by

Alphanumeric; 15 Characters; Optional

Specify the name of the person who is assigned to attend to the details of the query.

Reporting Entity Type

Alphanumeric; 1 Character; Mandatory

Specify the type of entity that is initiating the query. Choose from the drop down list.

Query Severity

Optional

Specify the criticality of the query, by selecting it from the drop-down list. The list displays the following values:

- High
- Moderate
- Low

Reporting Entity ID

Alphanumeric; 12 Characters; Mandatory

Specify the ID of the entity that is initiating the query.

Status

Mandatory

When you are initiating a new query, this field is locked and has a default value, “Open”, signifying that the query is yet to be processed. Subsequently, when you retrieve the record of a query in this screen, and edit the same, you can update the status of the query by making the appropriate selection in this field. A query can be open, closed or being followed up. Accordingly, choose the desired option from the drop-down list. The list displays the following values:

- Open
- Closed
- Follow Up
- Reject

Query Type

Optional

Specify the type of query that is being initiated, by selecting it from the drop-down list. The list displays the following values:

- Inquiry

- Complaint

Query Category

Alphanumeric; 6 Characters; Mandatory

Specify the subject of the query, by selecting it from the drop down list.

Problem Description

Alphanumeric; 255 Characters; Mandatory

Narrate the problem, if any, or the statement of the query, in a few words.

Helpdesk Events

You must specify the details of the modes in which any query is initiated or followed up, in this section.

Helpdesk Mode

Mandatory

For new queries, the mode specified here must be Inquiry. Select the help desk mode from the drop-down list. The list displays the following values:

- Action
- Inquiry

Event Date/Time

Display

The time at which the query/follow up action was received is displayed here.

Event Mode

Mandatory

Select the mode through which the query / follow up action was received. from the drop-down list. The list displays the following values:

- Person
- Telephone
- Fax
- Mail
- Others

Event Description

Alphanumeric; 255 Characters; Mandatory

Give a brief description, if any, about how the query / follow up action was received.

Event Object Available

Indicate from the drop-down list if the event object is available or not. The list displays the following values:

- Yes
- No

Event Image

If the details of the query / follow up action is contained in a document, specify the path to the same here. Click ‘Event Image’ button to upload the image.

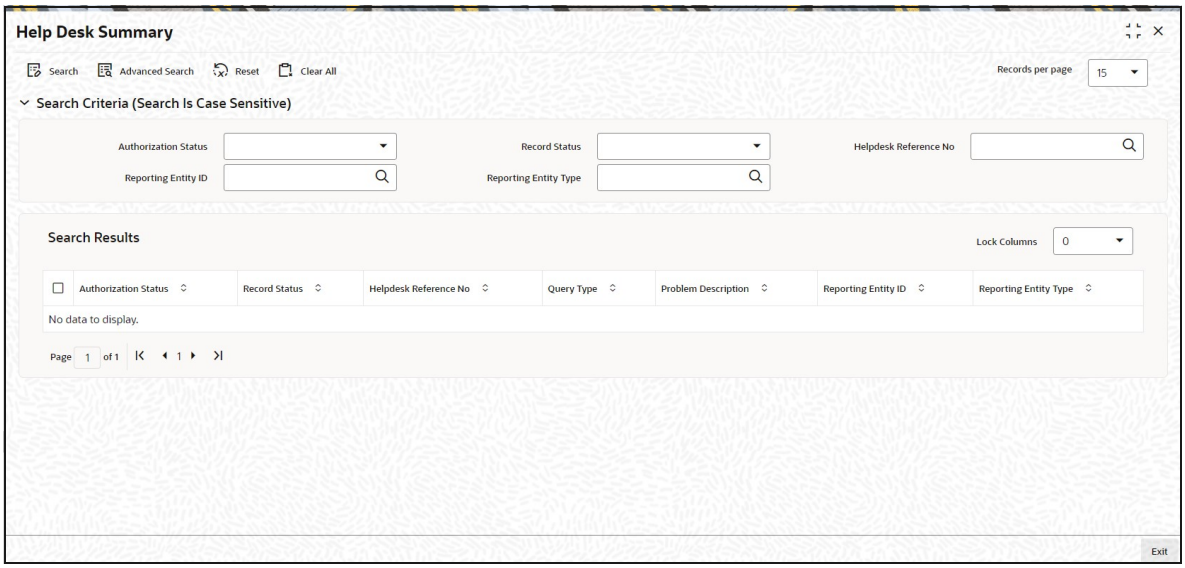
5.31 Help Desk Summary

This section contains the following topics:

- Section 5.31.1, "Retrieving a Query Record"
- Section 5.31.2, "Editing a Query Record"
- Section 5.31.3, "Viewing a Query Record"
- Section 5.31.4, "Deleting a Query Record"
- Section 5.31.5, "Authorizing Query Record"
- Section 5.31.6, "Amending a Query Record"
- Section 5.31.7, "Authorizing a Query Record"

5.31.1 Retrieving a Query Record

To view or edit a helpdesk query, use the 'Help Desk Summary' screen. You can invoke this screen by typing 'UTSHLPDS' 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 query record in the Help Desk Summary screen, as follows:

- In the browser, select the Help Desk Summary from the Transaction menu category of the Agency Branch module:
- The status of the transaction in the Authorized field. If you choose the "Blank Space" option, then all the transactions that involve the specified unit holder are retrieved.
- The status of the Transaction in the Open field. If you choose the "Blank Space" option, then all the transactions that involve the specified unit holder are retrieved.
- Helpdesk Reference Number
- Reporting Entity ID
- Reporting Entity Type

After Consolidation Transaction are entered into the system, you can perform any of the following operations:

- Edit or delete them, provided they are still unauthorized.
- Retrieve and view them.

- Have them authorized by another user.

5.31.2 Editing a Query Record

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

- In the main menu, invoke the Transaction menu. Select Help Desk, choose the Summary option. The Help Desk Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for modification. You can only modify records of transactions that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- To retrieve the adjustment transaction that is to be modified, specify any or all of the details of the transaction in the corresponding fields on the screen. All unauthorized transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the adjustment transaction type that you want to modify in the list of displayed transactions, in the lower portion of the screen
- The Help Desk Detail screen is opened by double clicking on the selected row, with the selected transaction displayed.
- To modify the record you can select the Unlock operation form the drop down Actions List
- You can modify the required records for an unauthorized transaction.
- Accordingly, modify the necessary information, and click the Save button to save your changes.
- The Help Desk Detail screen is closed and the changes made are reflected in the Help Desk Summary screen.

5.31.3 Viewing a Query Record

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

- From the main menu, invoke the Transaction menu. Select Help Desk, and choose the Summary option. The Help Desk Summary screen is opened.
- In the Authorization Status field, select the status of the Consolidation Transaction that you want to retrieve for viewing. You can view records of transactions that are:
- Unauthorized
- Authorized

To retrieve the Help Desk record that is to be viewed, specify any or all of the details of the transaction in the corresponding fields on the screen, and click

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

Select the Help Desk record that you want to view in the list of displayed transactions, in the lower portion of the screen.

The Help Desk Detail screen is opened by double clicking the selected record, with the selected record displayed in view mode.

5.31.4 Deleting a Query Record

You can delete only unauthorized Help Desk record in the system.

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

- From the main menu, invoke the Transaction Input menu. Select Help Desk and choose the Summary option. The Help Desk Summary screen is opened.
- In the Authorized field, select the status of the Help Desk that you want to retrieve for deletion. You can only delete records of transactions that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- To retrieve the Help Desk that is to be deleted, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search'. All Help Desk records with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the Help Desk that you want to delete in the list of displayed transactions, in the lower portion of the screen.
- The Help Desk Detail screen is opened by double clicking on the selected row in view mode, with the selected Help Desk record displayed.
- 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.

5.31.5 Authorizing Query Record

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

- Invoke the Help Desk Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the Unauthorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search'. All transactions with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the transaction that you wish to authorize. The Help Desk Detail screen is displayed. Select Authorize operation from Action.
- When the checker authorizes a transaction, details of validations, if any, that were overridden by the maker of the transaction during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the transaction.

5.31.6 Amending a Query Record

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

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

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

Double click the adjustment transaction that you want to amend. The Help Desk. Click the Unlock operation from the Action list to amend the transaction.

Amend the necessary information. Click 'OK' to save your changes. Only escalation details can be changed during an amend operation.

5.31.7 Authorizing a Query Record

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

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

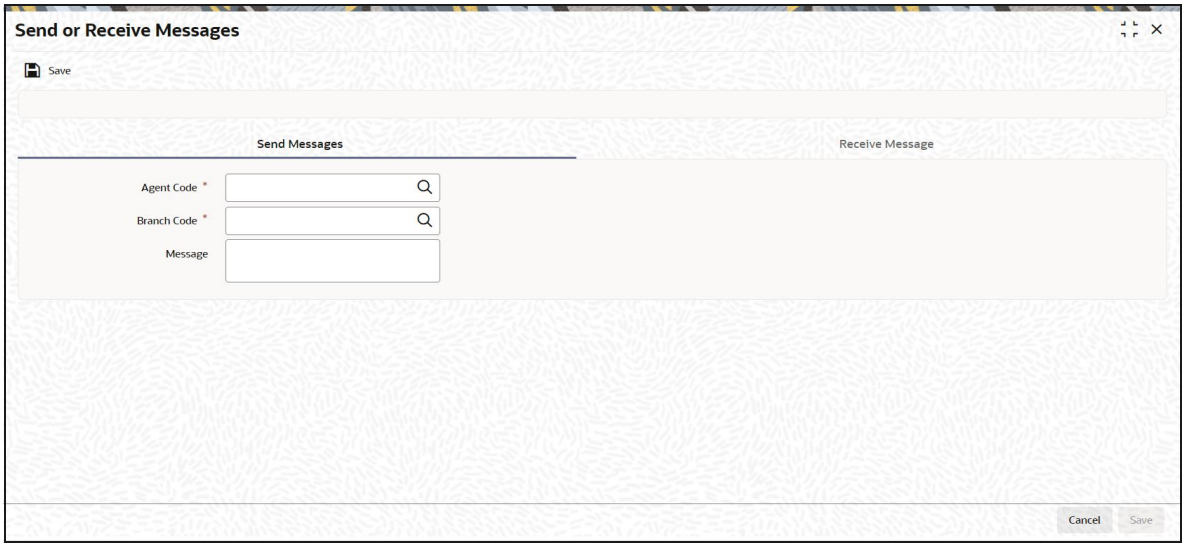
5.32 Sending and Receiving Messages

This section contains the following topics:

- Section 5.32.1, "Invoking Send/ Receive Messages Screen"
- Section 5.32.2, "Send Messages Tab"
- Section 5.32.3, "Receive Messages Tab"

5.32.1 Invoking Send/ Receive Messages Screen

Messages can be relayed to and fro between modules in the system. Use the ‘Send / Receive Messages’ screen to do this. You can invoke this screen by typing ‘UTDSEREM’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



5.32.2 Send Messages Tab

Agent Code

Alphanumeric; 12 Characters; Mandatory

Specify the Agent Code of the module to which you are sending the message

Branch Code

Alphanumeric; 12 Characters; Mandatory

Specify the branch Code of the module to which you are sending the message,

Message

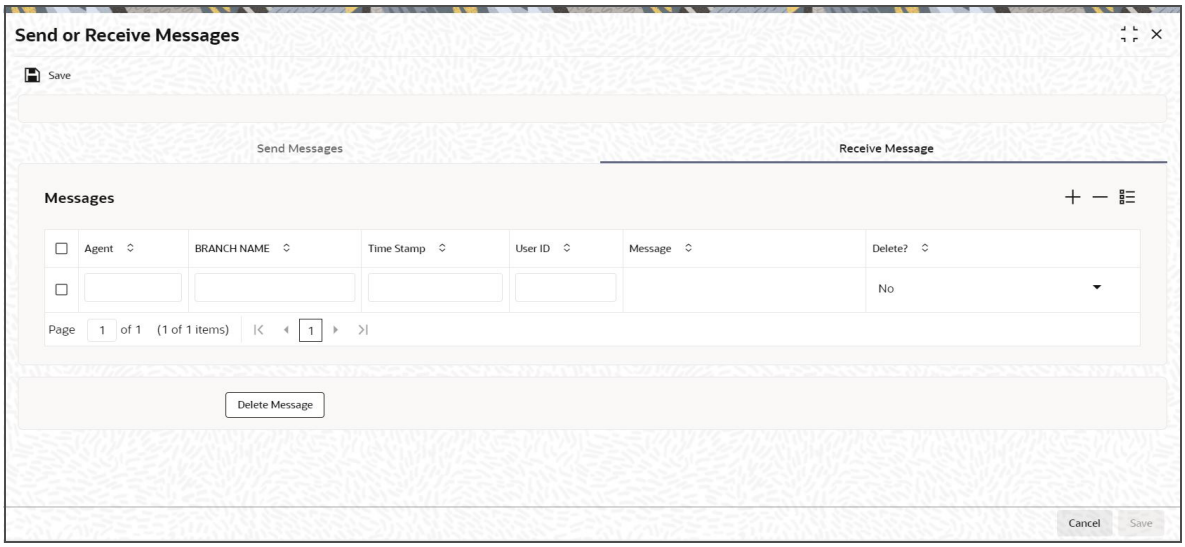
Alphanumeric; 255 Characters; Optional

Enter the message that has to be sent.

To send a message, specify the Agent and Branch Code of the module to which you are sending the message, and key in the text of the message in the Message field box. Then click the Send button.

To receive a message, specify the Agent and Branch Code of the module from which you are receiving the message, and click the Receive button. The text of the incoming message is displayed in the Message field box.

5.32.3 Receive Messages Tab



Agent

Display

This displays the entity from which the message has come. For outgoing messages, it will display the current entity code.

BRANCH NAME

Display

This displays the bank name to which the agent belongs.

Time Stamp

Display

This displays the time when the message had come.

User ID

Display

This displays the User ID of the person from whom the message has come from.

Message

Alphanumeric; 255 Characters; Optional

The text of the message that has been received is displayed here.

Delete?

Optional

Click on Delete Message button to delete the message.

Click ‘Delete Message’ to delete the messages.

5.33 RTA Transfer Details

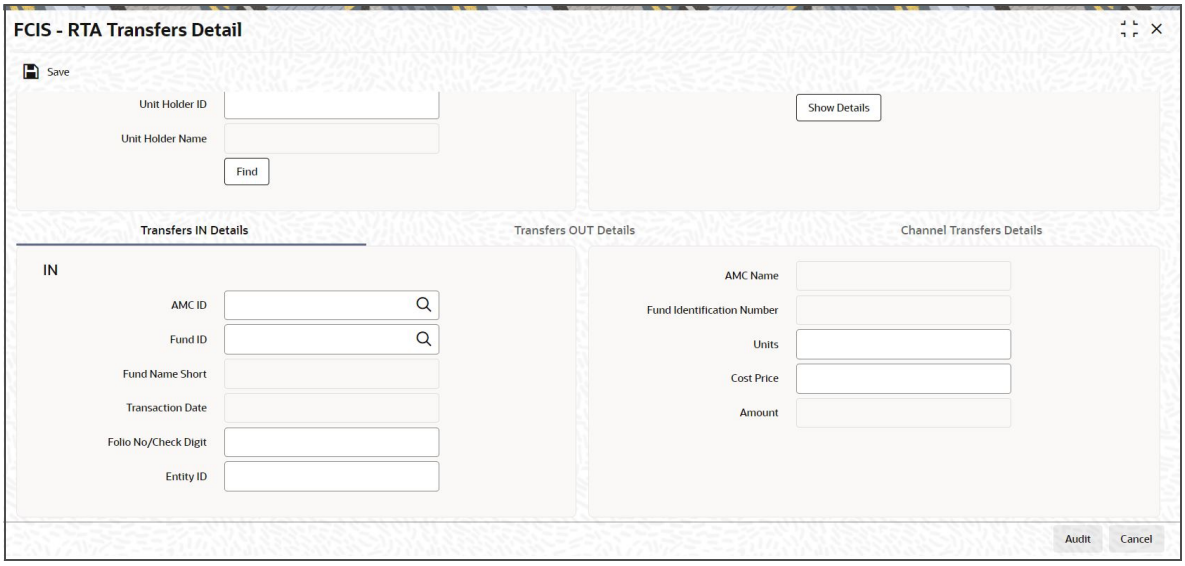
This section contains the following topics:

- Section 5.33.1, "Invoking RTA Transfer Details"
- Section 5.33.2, "Transfers IN Details Tab"
- Section 5.33.3, "Transfer Out Details Tab"
- Section 5.33.4, "Channel Transfers Details Tab"

5.33.1 Invoking RTA Transfer Details

The RTA Transfers Detail In and Out screen captures the details that are present in the RTA incoming interface related data store. In the case of a transfer out transaction, the transaction is generated and needs to be confirmed by the bank. To invoke this screen, click on the main menu item Maintenance and then click on Details under the sub-menu item RTA Transfer Detail.

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



The following details can be captured here:

RTA Transfer Detail

Reference Number

Alphanumeric; 16 Characters; Mandatory

Specify a reference number for the account. This will be deemed as a unique alphanumeric identifier for the account. It could be the serial number that is given on the application form through which the investor has invested in the AMC. It could also be any alphanumeric value given by the investor, to identify the account.

Transaction Type

Mandatory

Specify the type of transfer, the options being

- Transfer In
- Transfer OUT
- Channel Transfer

CIF

Alphanumeric; 20 Characters; Mandatory

Specify the CIF number of the customer for whom you are creating a transferring the units.

RTA/Channel

Alphanumeric; 12 Characters; Mandatory

Select the RTA from the drop down list.

Unitholder ID

Alphanumeric; 12 Characters; Mandatory

It may be defaulted based on the selection from Unit holders for CIF; else you need to specify the unit holder ID here.

You can query for unit holder ID by clicking ‘Find’ button.

Unit Holder Name

Display

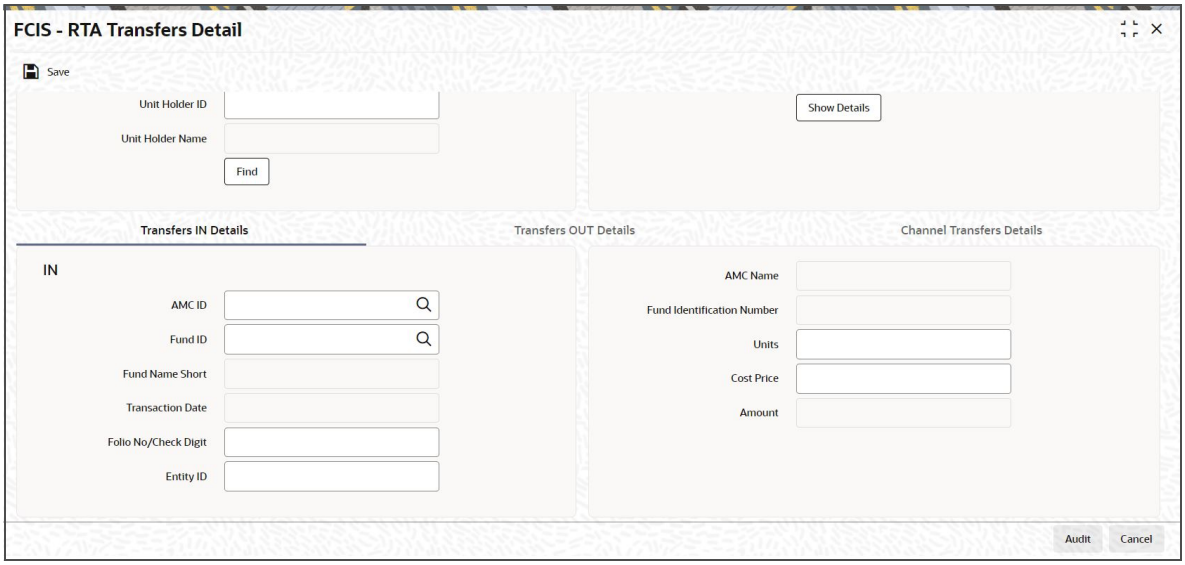
The system displays the name of the selected unit holder ID.

Name

Alphanumeric; 255Characters; Mandatory

Specify the name of the RTA/Channel here.

5.33.2 Transfers IN Details Tab



AMC ID

Alphanumeric; 12 Characters; Optional

Select the code of the AMC in whose funds the investor wishes to invest, from the list provided. You capture this information for the purpose of identifying the AMC to which the unit holder belongs, and in whose database the unit holder account will reside.

AMC Name

Display

The system displays the name of the selected AMC ID.

Fund ID

Alphanumeric; 6 Characters; Optional

Select the fund ID into which the unit holder wishes to invest.

Fund Identification Number

Display

The system displays the fund identification number.

Fund Name Short

Display

The system displays the short name of the fund.

Transaction Date

Display

The default date here would be the application date; however you will be able to edit it.

Folio No/Check Digit

Alphanumeric; 20 Characters; Optional

Specify the folio for the AMC if the unit holder does not have prior records of transactions with the AMC specified, else is it defaulted depending on the unit holder ID and the AMC ID.

Entity ID

Alphanumeric; 20 Characters; Optional

Specify the entity ID.

Units

Numeric; 27 Characters; Optional

Specify the number of units the unit holder wishes to buy.

Cost Price

Numeric; 17 Characters; Optional

Specify the cost of each unit.

Amount

Numeric, Mandatory

This is arrived at by multiplying the number of units and the cost price of each.

Note

Conditions required to be fulfilled for validations for transfer in transactions

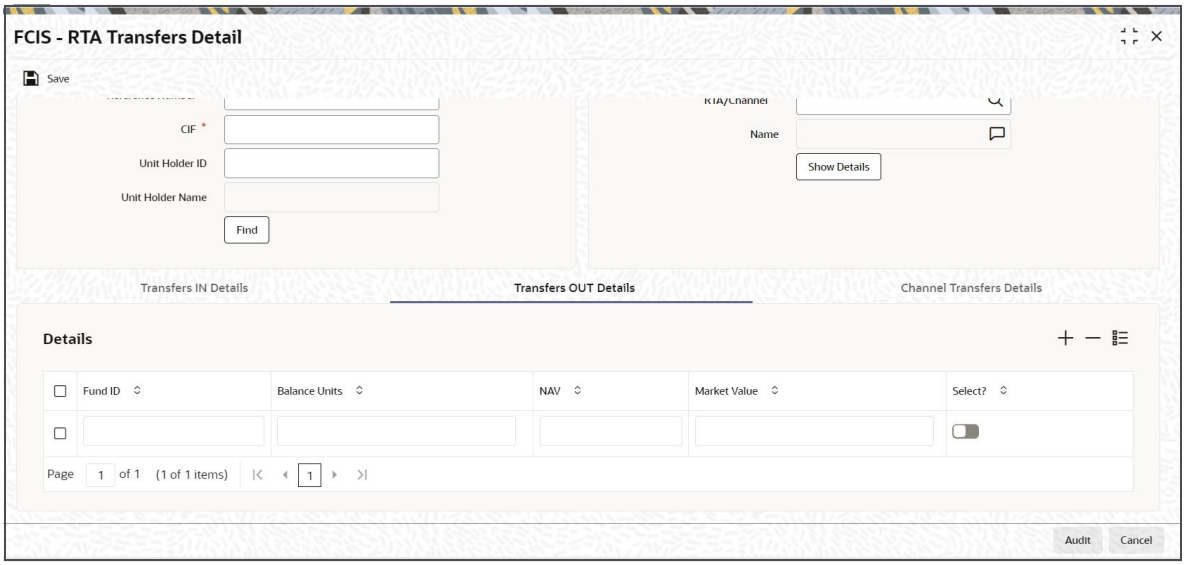
- Transfer in is not allowed in case the unit holder does not have folio for the given AMC and transaction is subsequent.
- Back dated and future dated transactions are not allowed

– If cross branching is 'No', unit holder should belong to the logged in branch

Registrar should be mapped to the fund selected.

5.33.3 Transfer Out Details Tab

Click on the Transfer Out tab to invoke the following screen:



Fund ID

Display

The fund in which the transaction was put through is displayed here

Balance Units

Display

The unit balance of your holding is displayed here.

NAV

Display

Display the current NAV of your holdings.

Market Value

Display

This displays the market value of all your holdings which is derived at by multiplying the Balance Units with the current NAV.

Select?

Optional

The box needs to be checked against the fields which are to be processed.

Note

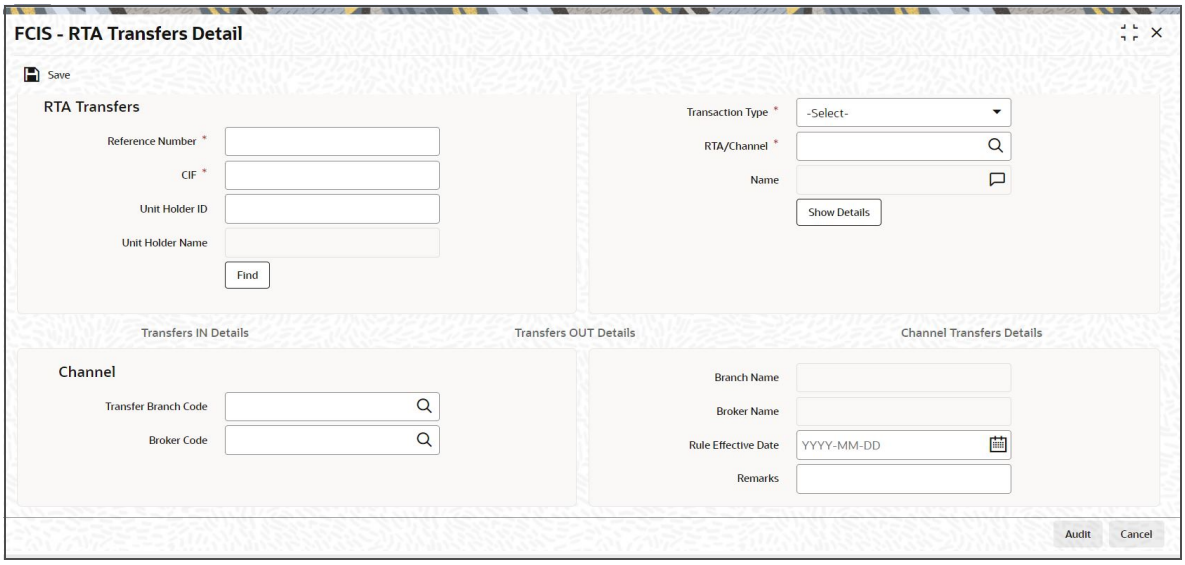
Conditions required to be fulfilled for validations for transfer out transactions

– Fund price needs to be available
– Sufficient balance is required in the unit holders fund

– Transfer out transaction amount should be a multiple of step amount as defined in Fund Rule.

5.33.4 Channel Transfers Details Tab

Click on the Channel Transfers Details tab to invoke the following screen:



FCIS provides the facility to transfer an investor along with all the transactions done prior to the transfer to the new channel. The following transfers will be allowed under Channel Transfer:

- Channel to Channel
- Channel to Non channel

Channel transfers cannot be triggered from non channel agency branches.

Transfer Branch Code

Alphanumeric; 12 Characters; Optional

Specify the branch of the agent to whom the investor is being transferred.

Branch Name

Display

Upon selection of the branch code, the associated branch name gets populated.

Broker Code

Alphanumeric; 12 Characters; Optional

Select the code of the broker to whom the investor is being transferred.

Broker Name

Display

Upon selection of the broker code, the associated broker name gets populated.

Rule Effective Date

Date Format; Optional

Specify the date from when the unitholder transfer that is currently being set up should become effective.

Remarks

Alphanumeric; 255 Characters; Optional

Descriptive text about the transfer can be entered here.

On authorizing the transfer, system will check for the following:

- Any unauthorized transaction exists with previous channel for the specified rule effective date
- Any authorized transaction to be allocated on or greater than the specified rule effective date
- Any allotted transaction to be cleared or settled on or greater than the specified rule effective date
- Any blocked or pledged transaction

If any of the above mentioned checks fail, system will not allow you to save and authorize the transfer. System will also verify if any balance is available in any of the funds involved in the transfer. If not, system will not allow you to save or authorize the transfer. Channel Transfer will be effective on confirmation of the Authorised channel transfer through the RTA Summary screen.

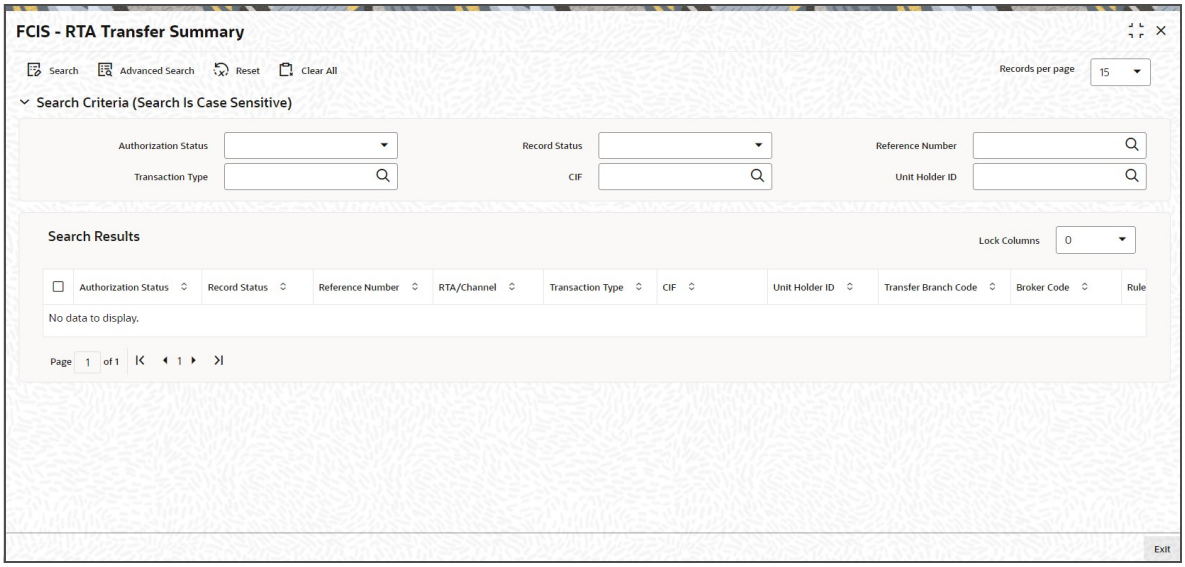
5.34 RTA Transfer Summary

This section contains the following topics:

- Section 5.34.1, "Retrieving RTA Transfer Details"
- Section 5.34.2, "Editing RTA Transfer Details"
- Section 5.34.3, "Viewing RTA Transfer Details"
- Section 5.34.4, "Deleting RTA Transfer Details"
- Section 5.34.5, "Authorizing RTA Transfer Details"
- Section 5.34.6, "Amending RTA Transfer Details"

5.34.1 Retrieving RTA Transfer Details

After you have all the mandatory RTA Transfer (in and out) details you can views the details of the RTA Transfers using the ‘FCIS - RTA Transfers Summary’ screen. You can invoke this screen by typing ‘UTSRTAIO’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The RTA transfer details maintained must be authorized by another user. You can use the 'FCIS - RTA Transfer Summary' screen to perform the following operations:

You can retrieve a previously entered RTA transfer details as follows:

Invoke the 'FCIS - RTA Transfer Summary' screen from the Browser.

Specify any or all of the following details in the screen:

- The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the 'Record Status' field. If you choose the blank space, then all the records are retrieved.
- Reference Number
- CIF
- Transaction Type
- Unit Holder ID

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

5.34.2 Editing RTA Transfer Details

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

Invoke the 'FCIS - RTA Transfer Summary' screen from the Browser.

1. Specify any or all of the following details in the screen:
   - The status of the transaction in the 'Authorization Status' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
   - The status of the records in the 'Record Status' field. If you choose the blank space, then all the records are retrieved.

- The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- The transaction type in the ‘Transaction Type’ field. If you choose the blank space, then all the records are retrieved
- The reference number in the ‘Reference Number’ field
- The customer information number in the 'CIF Number' field

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

Double click the record that you want to modify in the list of displayed records. The ‘FCIS RTA Transfer Details’ screen is displayed.

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

Click Save to save your changes. The ‘FCIS - RTA Transfer Details’ screen is closed and the changes made are reflected in the ‘FCIS - RTA Transfer Summary’ screen.

5.34.3 Viewing RTA Transfer Details

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

Invoke the ‘FCIS - RTA Transfer Summary’ screen from the Browser.

Specify any or all of the following details in the screen:

- The status of the transaction in the ‘Authorization Status’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the ‘Record Status’ field. If you choose the blank space, then all the records are retrieved.
- The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- The transaction type in the ‘Transaction Type’ field. If you choose the blank space, then all the records are retrieved
- The reference number in the ‘Reference Number’ field
- The customer information number in the 'CIF Number' field

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

Double click the record that you want to modify in the list of displayed records. The ‘FCIS - RTA Transfer Details’ screen is displayed.

5.34.4 Deleting RTA Transfer Details

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

Invoke the ‘FCIS - RTA Transfer Summary’ screen from the Browser.

1. Specify any or all of the following details in the screen:

- The status of the transaction in the ‘Authorization Status’ field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the ‘Record Status’ field. If you choose the blank space, then all the records are retrieved.
- The unit holder ID in the ‘Unit Holder ID’ field. If you choose the blank space, then all the records are retrieved.
- The transaction type in the ‘Transaction Type’ field. If you choose the blank space, then all the records are retrieved
- The reference number in the ‘Reference Number’ field
- The customer information number in the 'CIF Number' field

2. Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
3. Double click the record that you want to modify in the list of displayed records. The ‘FCIS RTA Transfer Details’ screen is displayed.
4. 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.

Note: The maker of the record can only delete the unauthorized record.

5.34.5 Authorizing RTA Transfer Details

Apart from the maker, someone else must authorize an unauthorized RTA transfer details in the system for it to be processed. To authorize a record:

Invoke the ‘FCIS - RTA Transfer Summary’ screen from the Browser.

The status of the transaction in the ‘Authorization Status’ field. Choose the ‘Unauthorized’ status.

Click ‘Search’ button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

Select the Authorization operation from the Action list to authorize the selected record.

5.34.6 Amending RTA Transfer Details

The RTA transfer details can be modified using the Unlock operation from Action list. To make changes to a record:

Invoke the ‘FCIS - RTA Transfer Summary’ screen from the Browser.

Select the status of the transaction that you wish to retrieve for amendment. You can only amend only unauthorized records.

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

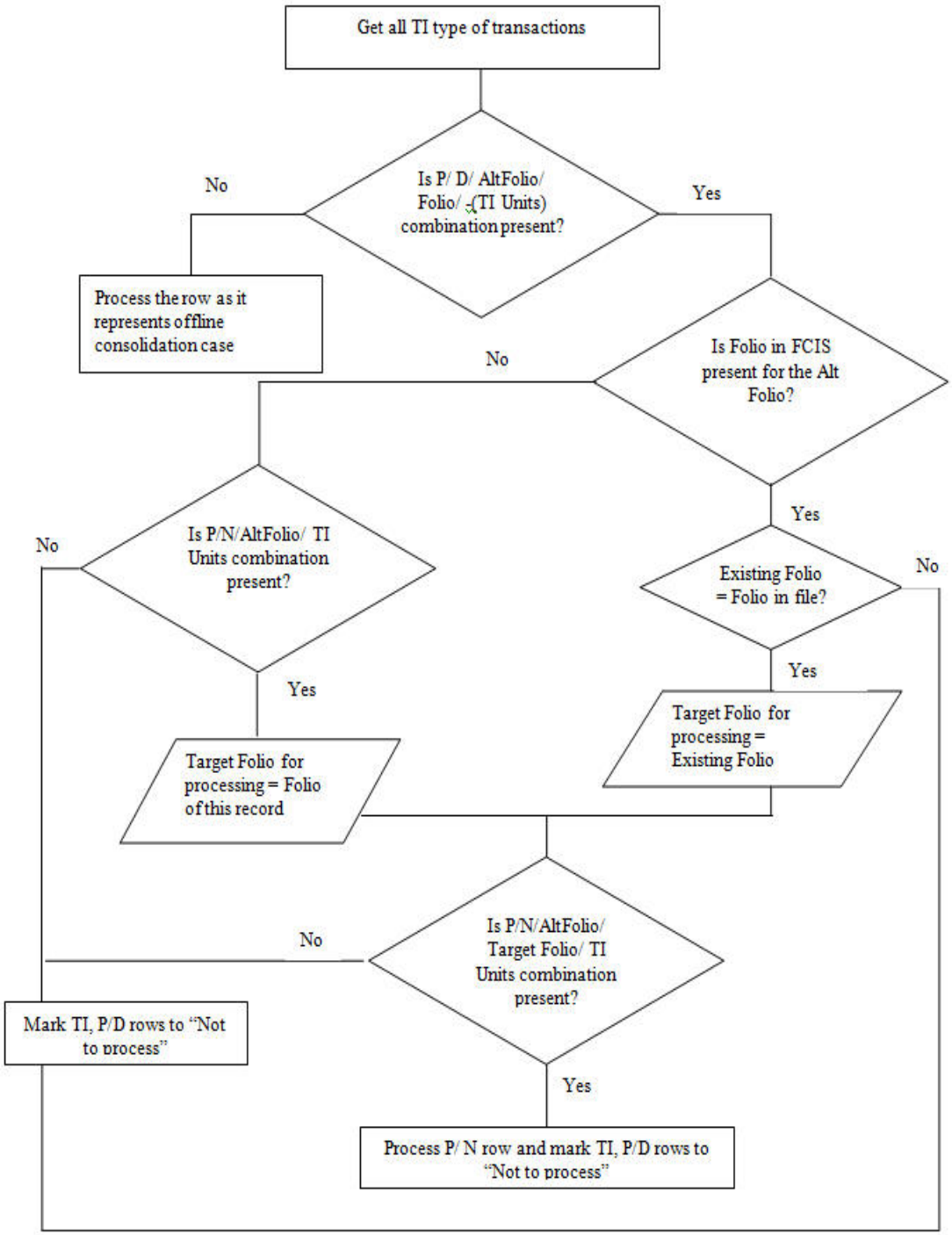
Double click the record that you want to amend. The ‘FCIS - RTA Transfer Details’ screen is displayed in the amendment mode. Click the Unlock operation from the Action list to amend the record.

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

5.35 Consolidation of Portfolios

The flow chart below explains how the RTA interface would handle transfer and consolidation of portfolios.

Transfer with Consolidation Logic:



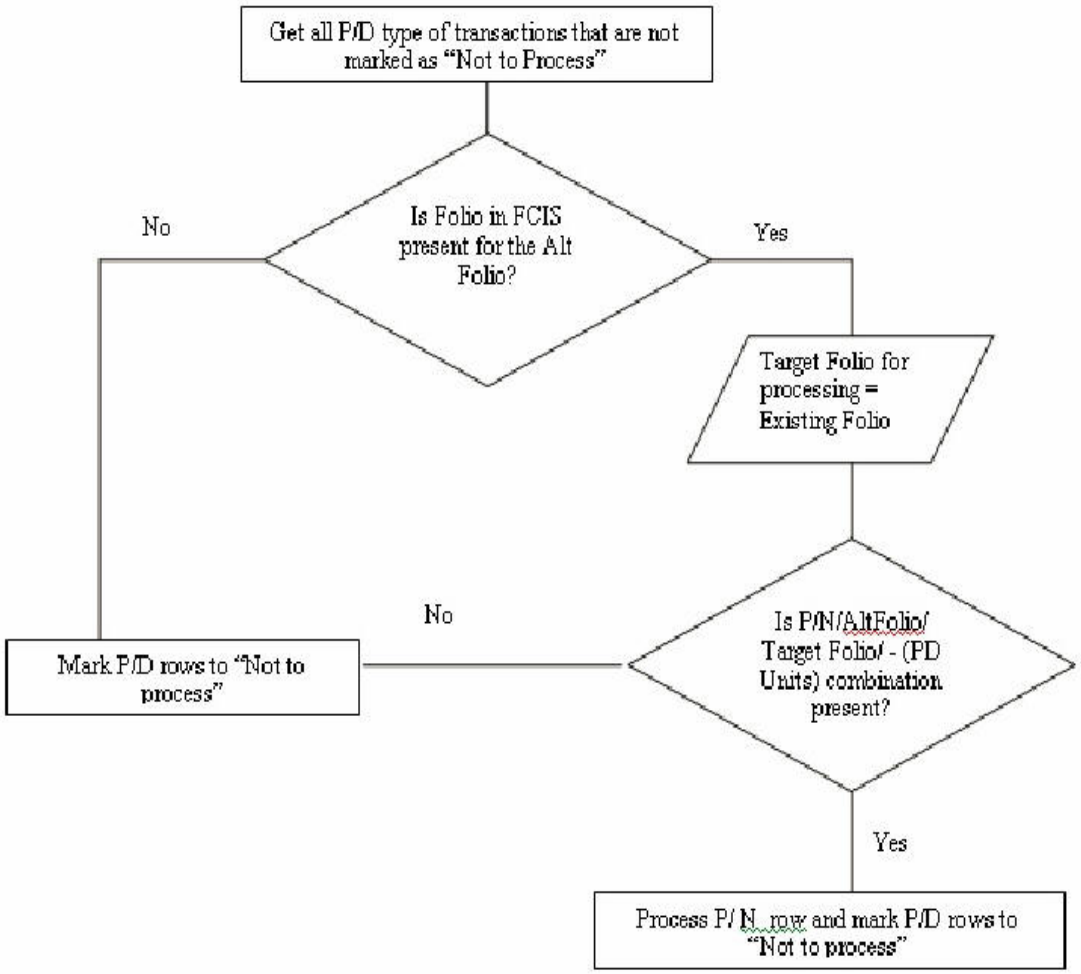
Only Consolidation:

This is a case where the unit holder has invested in an IPO fund of an AMC and later subscribed into another fund of the same AMC. The folio number is allocated to the user after subscription confirmation, the RTA however allocates a new folio for the IPO subscription. In this case a consolidation of folio is required.

Note

No Transfer In type of record would be available in this case as it is just a consolidation of the folio numbers.

The flow chart below illustrates the above logic



5.36 Batch Update of Transaction Date

This section contains the following topic:

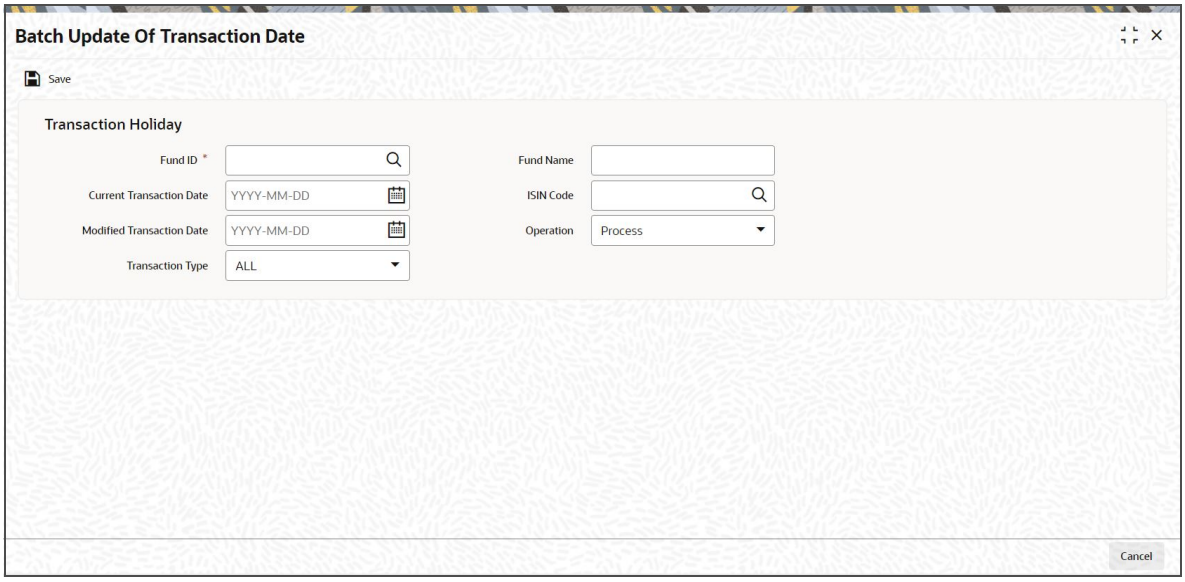
- Section 5.36.1, "Invoking Batch Update of Transaction Date Screen"

5.36.1 Invoking Batch Update of Transaction Date Screen

A pre EOD check is done to if there are any future dated transactions for which the transaction date falls on a holiday. If so, you will not be allowed to proceed with the EOD process.

Use the 'Batch Update Of Transaction Date' screen to modify the Transaction date for different transactions for the fund.

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



Fund ID

Alphanumeric; 6 Characters; Mandatory

Enter the fund id for which the transaction date needs to be modified.

Fund Name

Display

The system displays the name of the selected fund ID.

Current transaction date

Date, Mandatory

Enter the transaction date that falls on a Holiday

Modified Transaction Date

Date; Mandatory

Enter the new transaction date to which the transactions is to be updated. This transaction date is defaulted to the next working day of the current transaction date. You are allowed to modify this date.

The system will freshly calculate the price date for these transactions in case for specific fund price dates.

Transaction type

Optional

Select the transaction type from the drop-down list for which the modification will be allowed.The list displays the following values:

- ALL
- IPO Subscription
- Subscription
- Redemption
- Switch
- Transfer

The default option will be “All”.

ISIN Code

Alphanumeric; 12 Characters; Optional

Select the ISIN Code of the fund in which the transaction was put through, from the options provided. If you specify the ISIN Code of a fund, the ID of the fund is displayed in the Fund field.

Operation

Optional

Select the operation for which the update has been enabled from the drop-down list. The list displays the following values:

- Process
- Execute

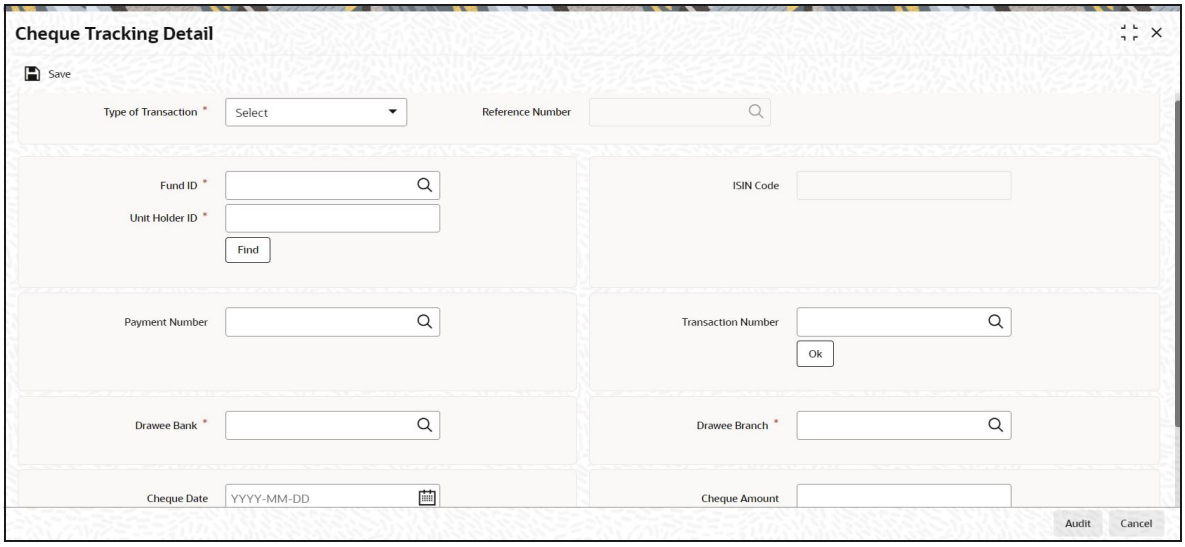
5.37 Tracking Cheques

This section contains the following topic:

- Section 5.37.1, "Invoking Cheque Tracking Detail Screen"

5.37.1 Invoking Cheque Tracking Detail Screen

To invoke this screen, type UTDCHQTR in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Type of Transaction

Mandatory

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

- Dividend
- Redemption
- Bonus
- Entity Commission

Reference Number

Display

The system displays the reference number.

Fund ID

Alphanumeric; 6 Characters; Mandatory

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

ISIN Code

Display

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

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can also query for unit holder ID by clicking ‘Find’ button.

Payment Number

Alphanumeric; 5 Characters; Optional

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

Transaction Number

Alphanumeric; 16 Characters; Optional

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

Drawee Bank

Alphanumeric, 12 Characters; Mandatory

Specify the name of the bank where the cheque is drawn.

Drawee Branch

Alphanumeric, 12 Characters; Mandatory

Specify the branch of the selected bank where the cheque is drawn.

Cheque Date

Date Format; Mandatory

Specify the date on which the cheque is drawn.

Cheque Amount

Numeric; 30 Characters; Optional

Specify the amount for which the cheque is drawn.

Cheque Number

Alphanumeric, 16 Characters; Mandatory

Specify the number of the cheque.

Cheque Currency

Alphanumeric, 3 Characters; Optional

Specify the date on which the cheque is drawn.

Cheque Status

Mandatory

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

- Active
- Cleared
- Duplicate
- Bounced
- Stopped
- Cancelled
- Lost
- Invalid
- Reinvest

MICR Code

Alphanumeric; 50 Characters; Mandatory

Enter the MICR code of the cheque.

5.37.1.1 Reinvestment Processing for Expired Cheques

The following Unit holder - Fund dividend payment records will be considered for processing reinvestments:

- The option 'Auto Reinvestment for Unclaimed cheque' is checked
- Partial or complete Unit holder dividend payment has been done by dividend Cheques.
- Dividend Payment Status is *A – ACTIVE*
- Cheque Date and the Cheque Expiry Period is less than or equal to application date.
- The option 'Auto Reinvestment for Unclaimed cheque with Zero Balance' is checked Or the option 'Auto Reinvestment for Unclaimed cheque with Zero Balance' is unchecked and Unit holder has a balance in the underlying fund.

If all the above mentioned conditions are satisfied, system initiates a reinvestment transaction for the unit holder – Fund combination.

- If Cheque expiry date is a holiday then system picks up this record on the next business day for reinvestment processing.
- Transaction date for this reinvestment transaction will be defaulted with the application date.
- The transaction will be identified with the sub type U – Unclaimed Dividend Reinvestment.
- System will update the check status in ConsolidatedChequeTbl as R – Reinvestment for Unclaimed Cheque once the reinvestment is processed.
- System will not process reinvestments for unclaimed unit holder – dividend payments, where Fund has been closed on or before the check expiry date.

5.38 Cheque Tracking Summary Screen

This section contains the following topics:

- Section 5.38.1, "Retrieving a Cheque Tracking Record"
- Section 5.38.2, "Editing Cheque Tracking Record"
- Section 5.38.3, "Viewing Cheque Tracking Record "

- Section 5.38.4, "Deleting Cheque Tracking Record"
- Section 5.38.5, "Authorizing Cheque Tracking Record "
- Section 5.38.6, "Amending Cheque Tracking Record "
- Section 5.38.7, "Authorizing Amended Cheque Tracking Record"

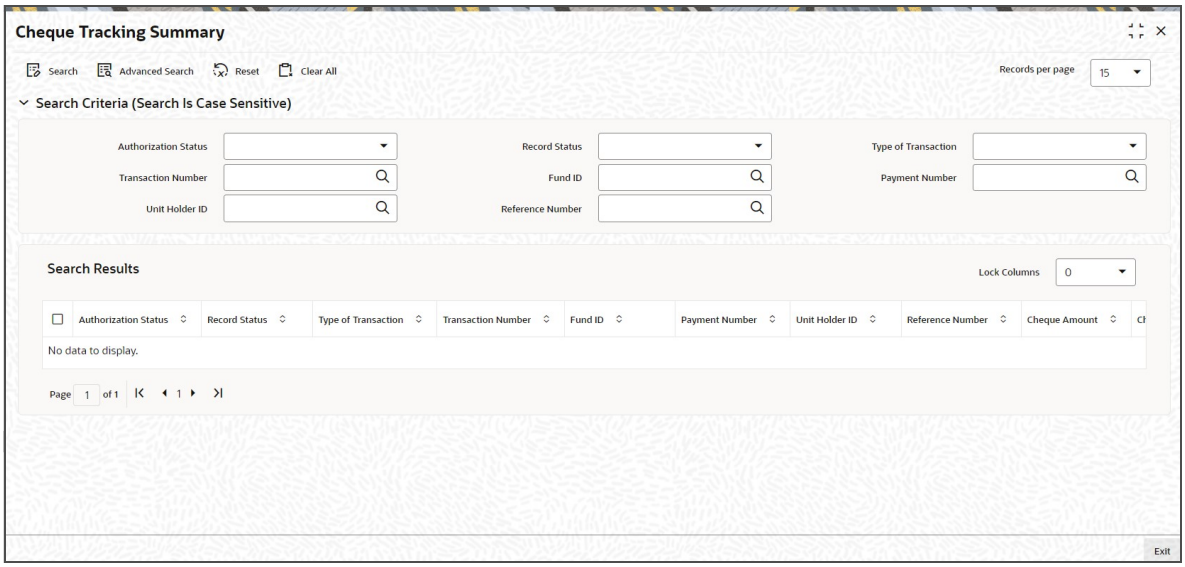
5.38.1 Retrieving a Cheque Tracking Record

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

You can track the status of checks issued for dividend payments as well as redemption, incentive payments and entity commission payments in the system.

You can also view details of cheques uploaded into the system for payment tracking purposes. A dividend cheque will be considered as expired if the system date is greater than the cheque date or the sum cheque reissue date and expiry period as specified in PARAMS maintenance. Cheque status tracking is allowed for only those type of transaction maintained in PARAMS maintenance

Use the 'Cheque Tracking Summary' screen to do this. You can invoke this screen by typing 'UTSCHQTR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the 'Blank Space' option, then all records are retrieved
- Type of Transaction
- Fund ID
- Unit Holder ID
- Transaction Number
- Payment Number
- Reference Number

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

Note

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

- Press F7
- Input the Transaction Number
- Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

For example:

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

- Search by A% :- System will fetch all the records whose Transaction Number starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7:- System will fetch all the records whose Transaction Number ends by numeric value’ 7’ . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Transaction Number contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

5.38.2 Editing Cheque Tracking Record

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

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

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

5.38.3 Viewing Cheque Tracking Record

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

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

5.38.4 Deleting Cheque Tracking Record

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

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

5.38.5 Authorizing Cheque Tracking Record

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

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

5.38.6 Amending Cheque Tracking Record

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

- Invoke the Cheque Tracking Summary screen from the Browser.

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

5.38.7 Authorizing Amended Cheque Tracking Record

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

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

In the ‘Amend’ mode, system will display all Cheque Dividend Payments, which are not cleared along with details like Cheque number and Cheque Date. If you want to re-issue a cheque, check the option ‘Duplicate’. In such cases, you need to specify the new cheque number, cheque date and status of the previous cheque must be specified. For dividend cheques, date can not be less than the dividend payment date. Once a status of Cheque record is marked as ‘CLEARED’ or ‘REINVESTMENT’, you cannot amend this record.

In the ‘Edit’ mode, you can edit the existing check number and check date only if the record selected for edit is unauthorized. Once a status of Cheque record is marked as ‘CLEARED’ or ‘REINVESTMENT’, you cannot edit this record.

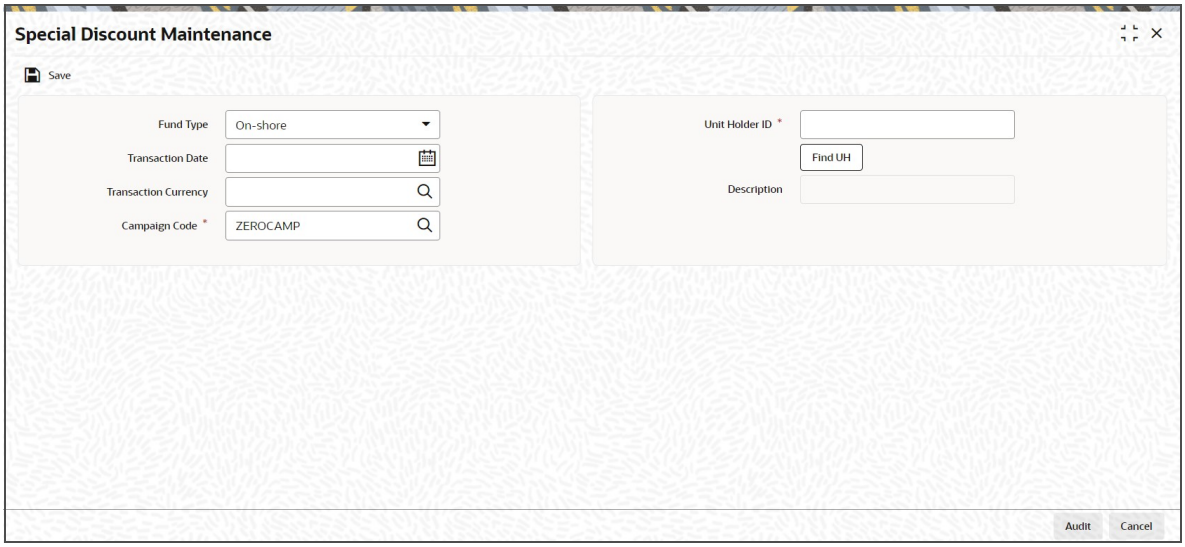
5.39 Special Discount Maintenance

This section contains the following topic:

- Section 5.39.1, "Invoking Special Discount Maintenance"

5.39.1 Invoking Special Discount Maintenance

You can track special discount such as Birthday/ Gift Coupons benefits using ‘Special Discount Maintenance’ screen. You can invoke this screen by typing ‘UTDSPMNT’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Fund Type

Optional

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

- On-shore Fund
- Off-shore Fund

By default, On-Shore Fund option will be selected.

Unit Holder ID

Alphanumeric; 16 Characters; Mandatory

Specify the unit holder ID for whom the gift benefit is to be availed.

Click ‘Find UH’ button to invoke ‘Unitholder Find Options’ screen. You can fetch unit holder ID using this screen.

Transaction Date

Date Format; Mandatory

Select the transaction date on which special discount is to be availed for the unit holder for all funds from the adjoining calendar.

Transaction Currency

Alphanumeric; 3 Characters; Optional

Specify the transaction currency based on the gift benefit to be processed. Alternatively, you can select transaction currency from the option list. The list displays 2 valid transaction currency code, namely, BC and NBC.

The system will validate the transaction currency in case of Off-Shore fund.

Description

Display

The system displays the description for the selected transaction currency.

Campaign Code

Alphanumeric; 12 Characters; Mandatory

Specify the campaign code of the birthday benefit. Alternatively, you can select campaign code from the option list. The list displays all the valid campaign code maintained in the system through Campaign Code Maintenance Screen (UTDCMPMN) along with 'ZEROCAMP' Param value under 'SPLDISCNTOFFER' Param code.

By default, ZEROCAMP will be selected.

The system will maintain the following parameter for SPLDISCNTOFFER param code:

PARAM CODE	PARAM DESCRIPTION	MAINTAINABLE	RESTRICTION LENGTH
SPLDISCNTOFFER	Special Discount Offer	0	15

PARAMCODE	PARAMVALUE	PARAMTEXT
SPLDISCNTOFFER	ZEROCAMP	Special Discount for Birthday

For the given combination of unit holder ID, transaction date, fund type, transaction currency for the given calendar year, i.e. from 01-Jan to 31-Dec of each calendar year, you cannot capture records more than the values maintained in parameters shown as follows. If you maintain more than one record, the system will display an error message as 'Record not allowed for same combination for more than the maintained limit".

PARAMCODE	PARAM DESCRIPTION	MAINTAINABLE	RESTRICTION LENGTH
SPECIALDISCOUNT	Special Dis-count Limits	0	15

PARAM CODE	PARAM VALUE	PARAM TEXT
SPECIALDISCOUNT	ONSHRCNT	1
SPECIALDISCOUNT	OFFSHRBASECCYCNT	1
SPECIALDISCOUNT	OFFSHRNONBASECCYCNT	1

You cannot modify or close the record once it is saved and authorized.

Once authorized, the system will count the record based on fund type, unit holder ID, and transaction currency in case of Off-shore fund for a calendar year for successful utilization of the Special Discount (Birthday/ gift) coupon benefit.

The calendar year will be based on the year of the transaction date, i.e. if transaction date is 30-Jan-2017 then calendar year will be from 01-Jan-2017 to 31-Dec-2017.

For On-shore fund, transaction currency will not be applicable to avail birthday benefit. Also, the number of maintenance should not exceed the Param Value maintained for

‘ONSHORECNT’ Param Text under ‘SPECIALDISCOUNT’ Param Code as maintained in the system for a calendar year.

For Off-shore fund, you can maintain special discount for a unit holder either at installed entity’s base currency or any currency other than installed entity’s base currency. Also, the number of maintenance should not exceed the Param Value maintained for OFFSHRBASECCYCNT, OFFSHRNONBASECCYCNT Param Text respectively under the SPECIALDISCOUNT Param Code as maintained in the system for a calendar year.

Example

Calendar Year 01-Jan-2016 to 31-Dec-2016					
Fund Type	**Unit Holder ID**	**Transaction Date**	**Transaction Currency**	**Campaign Code**	**Remarks**
On-Shore	358	10-Jan-16	NULL	ZERO-CAM-PAIGN	Successfully saved
On-Shore	358	12-Jan-16	NULL	ZERO-CAM-PAIGN	System will display an error message. As benefit is already been availed on 12-Jan-2016 (ONSHO-RECNT)
On-Shore	393	15-Jan-16	NULL	ZERO-CAM-PAIGN	Successfully saved
On-Shore	393	25-Jan-16	NULL	ZERO-CAM-PAIGN	System will display an error message. As benefit is already been availed on 15-Jan-2016 (ONSHO-RECNT)
Off-Shore	619	10-Jan-16	NULL	ZERO-CAM-PAIGN	System will display an error message, since for Off-shore fund, Transaction currency is mandatory
Off-Shore	619	10-Jan-16	Entity BASE-CURRENCY	ZERO-CAM-PAIGN	Successfully saved
Off-Shore	619	10-Jan-16	Entity NON-BASECUR-REBCY	ZERO-CAM-PAIGN	Successfully saved

Calendar Year 01-Jan-2016 to 31-Dec-2016					
Fund Type	**Unit Holder ID**	**Transaction Date**	**Transaction Currency**	**Campaign Code**	**Remarks**
Off-Shore	619	25-Jan-16	Entity NON-BASECUR-REBCY	ZERO-CAM-PAIGN	System will will display an error mes-sage. As ben-efit is already been availed on 10-Jan-2016 (OFF-SHRNONBA-SECCYCNT)

Special Discount Maintenance (Birthday Benefit) is applicable only on the date of transaction date has captured in the maintenance.

If campaign code is ZEROCAMPAIGN, then the system will override the load amount with 0 for all transactions captured on the transaction date for the unit holder ID, Fund Type, Transaction currency as maintained in Special Discount Maintenance.

Only loads where the investors pay to fund manager (U-M) should be overridden with Zero, irrespective of return value amount based return or percentage based.

Pseudo Switch In-leg transaction will also be waived off if the Pseudo Switch Out-leg transaction date is same as the date maintained for Special Discount Maintenance.

Any transaction captured (current date, backdated or future date) within the calendar year for the unit holder ID, transaction date, transaction currency as maintained in Special Discount Maintenance, on load override the return value will be defaulted with Zero. Also on transaction allocation, for the unit holder ID, transaction date, transaction currency as maintained in Special Discount Maintenance, load will be overridden with 0.

If Special Discount benefits are maintained for a day, then campaign, unit holder deal will not be maintained in the system. Special Discount Benefit will not be counted as part of campaign.

A BOD Batch will be executed on first working day of every year, to Close all open Special Discount Maintenance for the previous calendar Year. Any backdated transaction for the previous calendar year post closure of Special Discount Maintenance will have to be operationally handled.

If you need a load value other than Zero to be applied for all transactions as part of Special Discount then follow the below mentioned steps:

- Step 1: Maintain equivalent load to all the loads that are mapped to the funds for which Special Discount benefit to be availed.
- Step 2: Ensure that the new load has the return value as per the Special Discount policy.
- Step 3: Maintain new Campaign code for the Funds
- Step 4: Map all the loads that are mapped to the Funds with overridden load ID as mentioned in the Step 1 and 2.
- Step 5: Attach this newly maintained Campaign code in the Campaign Code field of Special Discount Maintenance.

- Step 6: During allocation/ load original loads return value will be overridden with the return values of the Overridden Load ID.

Example

Load Maintenance

Load ID	Load Description	Return Value
7009	Inflow Load	2%
7010	Outflow Load	3%
8009	Discount Load for 7009	0.10%
8010	Discount Load for 7010	0.40%

Campaign Code: USDFDCNT (User Defined Birthday Discount)

Load ID	Campaign Load ID
7009	8009
7010	8010

Fund Load Mapping

Fund ID	Transaction Type	RefType	Load ID
AFUND1	2	2	7009
AFUND1	3	3	7010

Special Discount Maintenance

Fund Type	On-shore
Unitholder ID	378
Transaction Date	26-Nov-16
Campaign Code	USDFDCNT

Fund Type	On-shore
Unitholder ID	412
Transaction Date	26-Nov-16
Campaign Code	ZEROCAMPAIGN

Transaction – Load details

Transaction Number	Fund ID	Unitholder ID	Date	Load Applied
SUB01	AFUND1	378	25-Nov-16	2%
SUB02	AFUND1	378	26-Nov-16	0.10%
RED01	AFUND1	378	26-Nov-16	0.40%
SUB04	AFUND1	412	26-Nov-16	0%
RED02	AFUND1	412	26-Nov-16	0%

5.40 Special Discount Summary

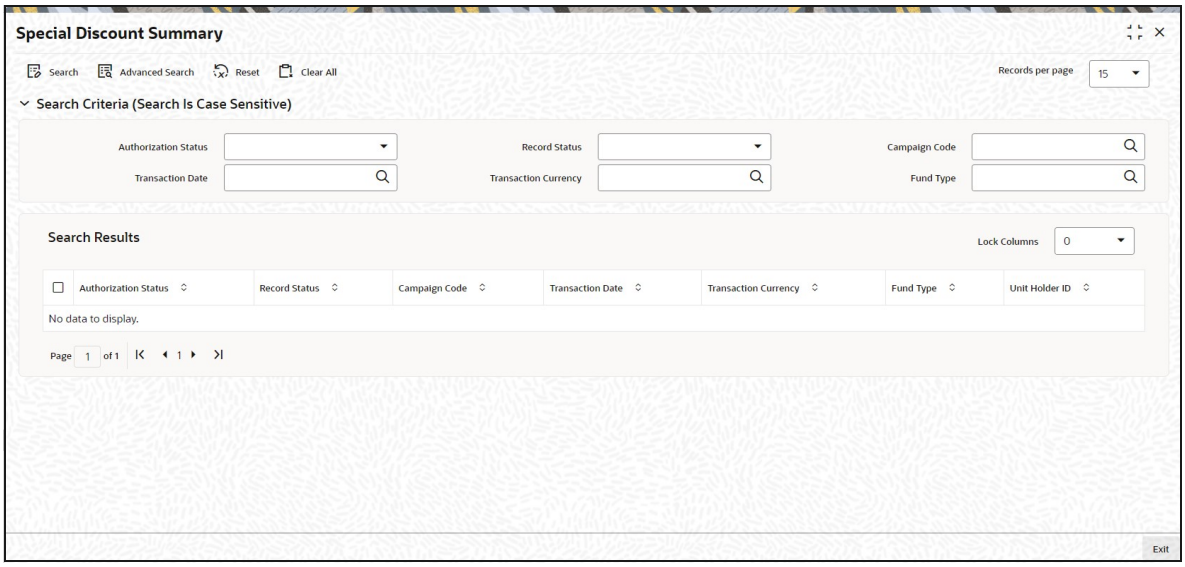
This section contains the following topics:

- Section 5.40.1, "Retrieving a Record in Special Discount Summary Screen"
- Section 5.40.2, "Viewing Special Discount Record "
- Section 5.40.3, "Authorizing Special Discount Record "

5.40.1 Retrieving a Record in Special Discount Summary Screen

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

You can invoke the 'Special Discount Summary' screen by typing 'UTSSPMNT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



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

- Transaction Currency
- Fund Type

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

Note

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

- Press F7
- Input the Campaign Code
- Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

5.40.2 Viewing Special Discount Record

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

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

5.40.3 Authorizing Special Discount Record

- An unauthorized Special Discount record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the Special Discount Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Special Discount Detail screen is displayed. Select Authorize operation from the Action List.

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

5.41 Disable Auto Switch

This section contains the following topics:

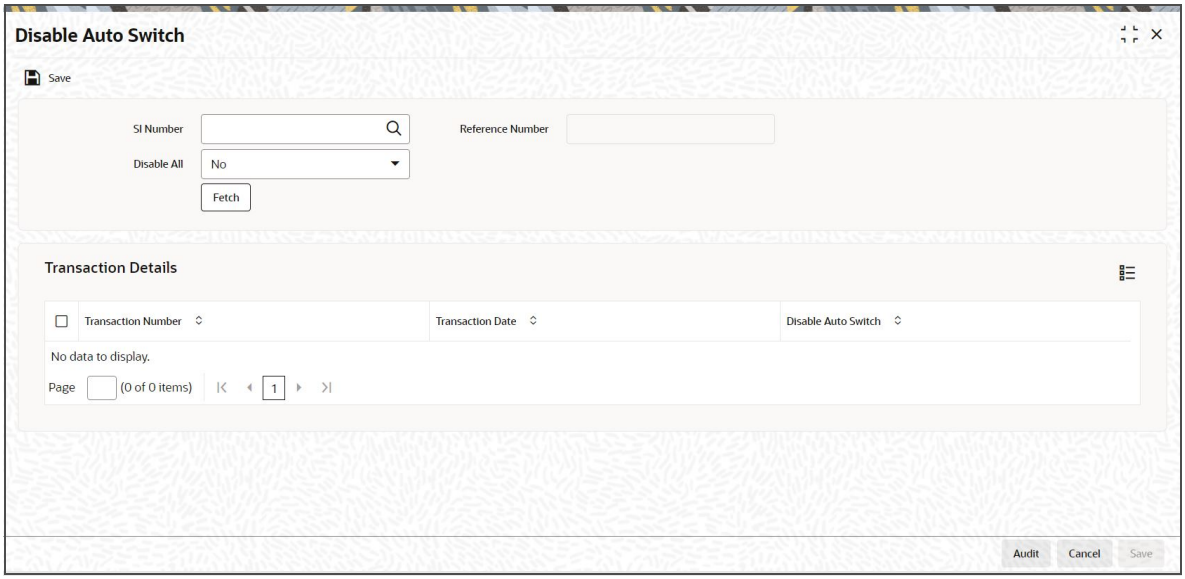
- Section 5.41.1, "Invoking Disable Auto Switch Screen"
- Section 5.41.2, "BOD Batch"
- Section 5.41.3, "Processing Transactions Logic"
- Section 5.41.4, "Recomputing NAV"
- Section 5.41.5, "EAR Marking"
- Section 5.41.6, "Validations"

5.41.1 Invoking Disable Auto Switch Screen

You can view all subscription transactions as part of pseudo switch to target fund for which yield computation will be performed. The system will fetch the data based on the SI number entered.

You can disable a transaction from considering for yield computation. Once disabled, the transaction will not appear in this screen when fetched again. Also you cannot enable a transaction once it is disabled.

You can disable a transaction using ‘Disable Auto Switch’ screen. You can invoke this screen by typing ‘UTDAUSWB’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

SI Number

Alphanumeric; 16 Characters; Mandatory

Specify the SI number of the transactions to be disabled. Alternatively, you can select the SI number from the option list. The list displays all valid SI number maintained in the system.

Reference Number

Display

The system displays the reference number to maintain data for disabling transactions.

Disable All

Optional

Select if the transaction has to disable or not from the drop-down list. The list displays the following values:

- Yes
- No

Click 'Fetch' button to view the transaction details.

Transaction Details

Transaction Number

Display

The system displays the transaction number.

Transaction Date

Display

The system displays the transaction date.

Auto Switch Status

Optional

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

- Disable - Select this option to disable the transactions for yield computation

5.41.2 BOD Batch

For investment via automated switching mandate with specified yield, the system will process auto switch generation using a BOD batch process. This batch will compute the yield percentage and trigger auto switch back transaction if yield is met.

Yield Computation

Program Name: SPComputeYield

EOD batch process will pick all active switch back standing instruction which are eligible for yield computation.

The system uses the following formula to calculate yield:

$$\frac{[(\text{No of Units} * \text{Current NAV Price}) - (\text{Cost of each switch transaction})]}{(\text{Cost of each switch transaction})} \times 100\%$$

For determining if yield % is achieved, the system will execute the job at the beginning of each business (T) day by comparing the cost against the latest price available as on T. If price of T-1 is available, then system will execute the comparison and generation of transactions for funds with NAV prices available for the same business day (T).

For instance, for on-shore (local assets) funds, NAV prices will be available on T-1, say on 27 Jun EOD (8 pm). The system will compare the cost against 27 Jun NAV price or the latest

available NAV price on 28 Jun BOD. The system will trigger the transaction for the transaction date 28th Jun.

The cost in Target fund should be the net amount (i.e. switch-in amount less switch-in fee) and captured at each switch order (F1) and is checked against daily market value to monitor the yield movements against the pre-defined yield.

If the expected yield percentage is reached system to generate the switch back transactions on the same business day.

If Target fund has reached the target yield and system day is a fund holiday day for Target fund, system will not generate switch back from Target fund to Source fund. The system will continue to compute the yield from the next business day.

Yield % computation will be computed on fund working day for each F1 transaction and continue to happen till yield % is reached or F2 is terminated.

Even if switch (F1) is terminated, the system will continue to compute yield % till the auto switch back is generated for every F1 transaction or F2 is terminated

Auto Switch Back

Program Name: SPAutoSwitch

The switch back transaction will be always unit based. Auto termination is not applicable for switch back transaction generation (F2).

You can terminate Auto switch back (F2) by updating Enable Auto Switch field as No in SI Maintenance screen to stop generating the switch back transactions. This will only disable switch back of transactions generated after SI amendment date.

In order to disable any generated transaction from switching back, you meed to disable F1 transaction from ‘Disable Auto Switch’ (UTDAUSWB) screen.

Reinvested units in Target fund are classified as lump sum subscription (user-triggered non-short trade units). These reinvested units will not be included in the yield comparison and will not be switched back to Source fund.

The system will consider only redeemable units in target fund for switch back to source fund. Those units in target fund which has been blocked by user for whatever reason should not be switched back to source funds even if the yield is met.

If Source fund does not accept subscriptions and switch-in, switch-out from Source fund to Target fund (F1) should still be allowed. But switch-back from Target fund to Source fund (F2) should not be allowed.

If Target fund does not accept subscriptions and switch-in, switch-out from Source fund to Target fund (F1) should not be allowed. But switch-back from Target fund to Source fund (F2) should be allowed.

You can reverse switch from source to target, provided the units are available in target fund and switch-in is not linked to any outflow. The reversal will be carried out separately for in leg and out leg.

The switch in date of the target yield switch (F2) can be different from switch out date. Same for F1 switch.

The switch back transaction (F2) once generated will be executed even though the yield is below the target yield on date of execution.

You can generate switch in transaction on allocation of switch out leg or settlement of switch out leg or a defined dealing cycle (taking into account lag maintenance) depending on the parameterization. Switch-in transaction date will be derived based on the pseudo switch lag maintenance in UTDSWLAG.

Short trade does not apply to the switch-in units in both Source fund and Target fund. No short trade penalty will be levied if the units are redeemed within the short trade period.

Any failure of F1 or F2 transaction generation will be logged in a database table with reason for failure.

Note

In BOD new package pkgfmggenps_wrapper will be invoked for Pseudo Switch In leg generation. A new parameter PSCHUNKSIZE is been added with default value 1 business can modify to any valid values.

5.41.3 Processing Transactions Logic

In case of expiry of the risk profile of unit holder, the system will execute standing instruction for switch into target fund (To fund) whose risk rating is low. In case of High or Medium risk rated fund the standing instruction into such funds will fail.

If the risk profile of unit holder is expired, then the system will execute standing instruction for switch-from target ('to fund') to source fund ('from fund') whose risk rating is low. In case of High or Medium risk rated source funds the auto-switch will fail.

Pseudo switch transactions generated as part of SI will have a new ref type in system as '44'

If SI from source to target fund fails consecutively for defined count in 'SI Auto-Termination Consecutive Counter', the system will automatically terminate the switch SI mandates. The auto switch back will remain valid and system will continue to check the yield until the transaction is disabled for yield check from 'Disable Auto Switch' (UTDAUSWB) screen.

You can maintain SI Auto-Termination Consecutive Counter at fund/transaction type level or SI level only.

The system displays the total number of consecutive failures till date in 'Number of Consecutive Failure' field in 'SI Maintenance' (UTDSIN) screen. The system will also log any failures in auto switch back transaction with reason for failure.

In case of a partial redemption on any switch transactions of Target fund, the residual units remain to be covered in the scheme for comparison and will be switched back to Source fund when the yield is reached.

You can reverse switch from 'Source to target' and vice-versa based on the availability of units. For instance, if the units in the target fund are either blocked or redeemed and there are no free units available, then the system will not allow the reversal from source to target/ target to source.

For Pseudo switch, you can reverse from transaction screen for Switch (UTDTXN04).

The reversal will be carried out separately for in leg and out leg. You can reverse switch from source to target.The system will not validate the availability of units in target fund Switch in reversal provided the switch in is not linked to any outflow.

The switch in date of the target yield switch (F2) can be different from switch out date.

In case of fund merge/ liquidation/ split/ reverse split/ transfer in the Source fund and / or Target fund, the system can terminate the affected funds in the scheme

Fees are NLTP.

In case of cross currency transactions, the system will use the latest FX rate maintained in UTDEXCRM (Exchange Rate Maintenance) for arriving at the amount.

In case of non daily priced funds, the switch out and switch in funds will follow respective calendars and maintenances setup and transactions will be generated accordingly

Changing any parameter (manually or by system defaulting) related to SI can result in an SI generation or auto switch back failure. For instance, Investor risk level or fund risk level will be validated as part of SI maintenance. Assume that you reduce the investor risk level to low after SI maintenance, In this case, during SI generation when system again validates the investor risk level and fund risk level, it will not fall in the eligible criteria and transaction generation will fail.

5.41.4 Recomputing NAV

The system will recompute the yield from the NAV effected period if NAV used for yield computation is corrected. If the revised NAV does not meet the yield, then

- If switch back transaction has not been allocated, it will be reversed by system
- If the transaction has been allocated, it will be reversed subject to availability of units in source fund.
- NAV correction should not regenerate the switch back transaction based on corrected NAV, only reversal will happen.
- Reversals will be logged in a data source for tracking purpose.
- Auto switch back will be enabled.

The system will re-compute the yield based on the revised NAV and compare with the revised NAV and if the revised NAV meets the yield, F2 will not be generated and should be handled operationally by capturing through Switch transaction screen (UTDTXN04). Such transactions will not be subject to short trade,

Example

Txn No:	Fund	Transaction Date	NAV	Units
PSWI01	EQF1	8-Jan-16	10	1000
PSWI02	EQF1	8-Feb-16	11	1000
PSWI03	EQF1	8-Mar-16	12	1000

Assume the yield % maintained is 30%. On 25-Mar-2016 NAV has reached 13 and yield is met for PSWI01 and a switch back transaction is generated on 26-Mar-2016

If a NAV correction happened for 25-Mar-2016 NAV on 28-Mar-2016;

Case 1: If NAV is corrected to 12.5, recomputed yield will not meet the yield % maintained;

The system will reverse the transaction generated on 26-Mar-2016, if source fund has units available.

The reversed units will be considered for yield computation from 29-Mar-2016.

Case 2: If NAV is corrected to 13.5, recomputed yield will still meet yield % maintained. So no action to be taken as the switch back transaction was already generated on 26-Mar-2016.

Assume the yield % maintained is 30%. On 25-Mar-2016 NAV has reached 12.5, since yield is not met for any inflow no switch back transaction is generated on 26-Mar-2016.

If a NAV correction happened for 25-Mar-2016 on 28-Mar-2016, system will not be re-computing the yield based on new NAV value.

5.41.5 EAR Marking

Holdings in the fund will be earmarked when 'Source to Fund' or 'Target to Source' switch is generated as follows:

Whenever an outflow transaction is captured, the system will check the unit balance including unallocated units from any other outflow transaction of the same fund. If the unit balance thus calculated is less than the transaction value, the transaction generation will fail for 'Insufficient Unit Balance'.

In case of an unallotted unit based or percentage based transactions, the system will identify unallocated units from the transaction details.

In case of an unalloted amount based transaction, system will compute the unalloted units as follows:

Unallotted units = Amount / (Latest Available NAV * (1- Fluctuation %)

Note

Fluctuation % is a system level param value that can be maintained in Parameter Maintenance Screen (UTDPARAM) considering the maximum load and maximum fluctuation in price that can happen. The systme will maintain the param code as 'FLUCTUATIONPERCENT'.

When yield is met for a specific lot of transaction (x units), system will check if the unit balance calculated as mentioned above and will generate the switch back for "x" units or calculated UH balance, whichever is less.

Example

Scenario 1

Balance check for unit based unallocated transaction

EQF1 (Target Fund)			
Date	**Transaction**	**Units**	**Comments**
1-Oct-16	Pseudo Switch In	100	
5-Oct-16	Redemption.	30	This redemption to be allocated on 07-Oct-2016
	30 units in this transaction will be ear marked.		
6-Oct-17	Pseudo Switch Out	70	Yield is met, switch back generated for (100-30) units

Scenario 2

Balance check for amount based unallocated transaction

EQF1 (Target Fund)			
Date	**Transaction**	**Units**	**Comments**
1-Oct-16	Pseudo Switch In	100	
5-Oct-16	Redemption for TWD 300 using latest NAV as 10. Hence 30 units would be ear marked.	30	This redemption to be allocated on 07-Oct-2016
6-Oct-17	Pseudo Switch Out	70	Yield is met, switch back generated for (100-30) units

During actual allocation of Redemption transaction in above examples, if the allocated units are;

Greater than calculated units (30 units), auto switch back or redemption will fail for insufficient balance error based on which transaction is allocated first.

Less than calculated units (30 units), the particular lot will have residual units which will not be considered for yield computation and will not be switched back.

Scenario 3

Balance check for unit based unallocated transaction

EQF1 (Target Fund)				
Txn types	**Date**	**Transaction**	**Units**	**Comments**
SWI1	1-Oct-16	Pseudo Switch In	100	
SUB1	2-Oct-16	Subscription	50	
RED1	5-Oct-16	Redemption	30	This redemption to be allocated on 07-Oct-2016 and aged against SWI1
SWO1	6-Oct-17	Pseudo Switch Out	70	Yield is met, switch back generated for (100-30) units

Scenario 4

EQF1 (Target Fund)				
Txn Type	**Date**	**Transaction**	**Units**	**Comments**
SWI1	1-Oct-16	Pseudo Switch In	100	
SUB1	5-Oct-16	Subscription	50	Allotted
RED1	6-Oct-16	Redemption	20	Allotted
RED2	7-Oct-16	Redemption	30	Unallotted
SWO1	10-Oct-16	Pseudo Switch Out	50	Remaining units from SWI1
RED3	15-Oct-16	Redemption	50	

In this scenario SWO1 may fail during allocation depending on the order of allocation of SWO1 and RED3.

Scenario 5

Txn Type	**Txn Date**	**Transaction**	**Units**	**Comments**
SUB1	10-Nov-16	Lump sum	500	
SWI1	15-Nov-16	RIS - Switch-in	100	
RED1	17-Nov-16	Redemption	120	Unallotted
SWO1	20-Nov-16	Auto-switch	100	

Case 1:

Ageing Sequence	
RSP	1
Lump sum	2
RIS	3

Auto-switch will be successful.

Case 2:

Ageing Sequence	
RIS	1
Lumpsum	2
RSP	3

Auto-switch may fail, because redemption may age out from RIS

Fund Suspension

If either source fund or target fund is suspended, neither ‘source to target switch’ nor ‘target to source switch’ will happen.

Transaction Suspension

Source Fund \ Target Fund	Switch-in suspended	Switch-out Suspended
Switch-in suspended	F1 & F2 will not happen	F1 will happen
		F2 will not happen
Switch-out Suspended	F1 will not happen	F1 & F2 will not happen
	F2 will happen	

5.41.6 Validations

- The limit check for switch into source funds will follow the fund rule maintenance (Transaction Limit maintained in Transaction Processing Rule). The system will check if the inflow limit validations is maintained at the fund rules
- Events such as insufficient units, minimum holdings check failure and investor risk level check failure will trigger failure on switch-out of Source fund. These failures will increment the Number of consecutive failures count.
- The system will check for the unit holder risk rating with target fund during execution of F1 (Source to Target switch) and with source fund during execution of F2 (Target to Source) of standing instructions (SI’s).
- The system will check for the expiry date of the unit holder risk profile.
- The system will perform the standard checks on the switch-out leg (for instance, minimum redemption, minimum holding, etc) and switch-in leg (for instance minimum subscription, etc) for F1(Source to Target switch).

5.42 Disable Auto Switch Summary Screen

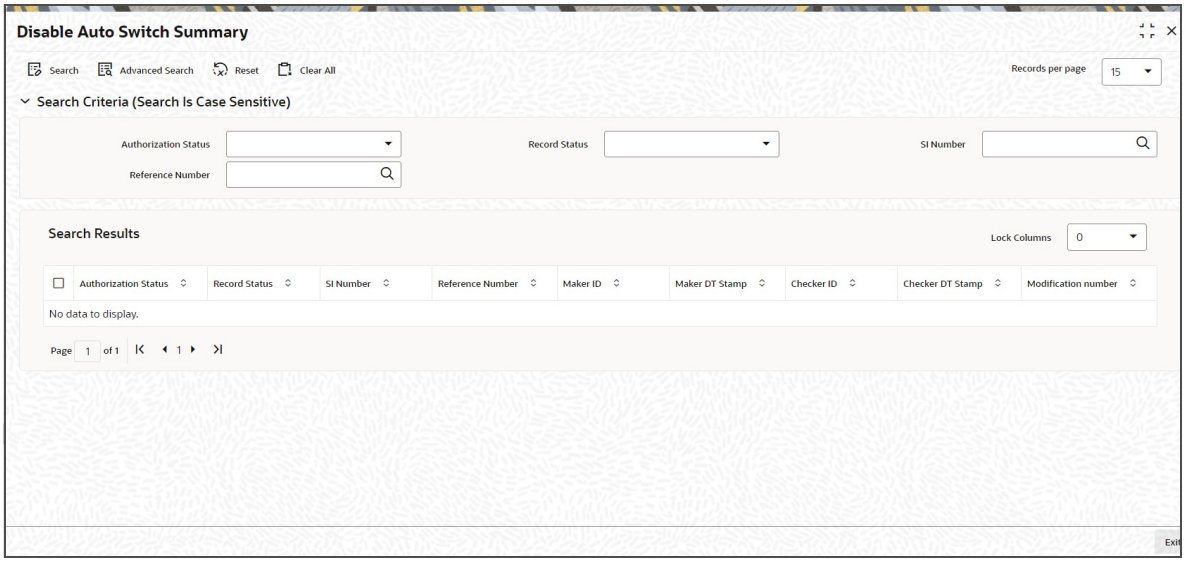
This section contains the following topics:

- Section 5.42.1, "Retrieving a Record in Disable Auto Switch Summary Screen"
- Section 5.42.2, "Editing Disable Auto Switch Record"
- Section 5.42.3, "Viewing Disable Auto Switch Record "
- Section 5.42.4, "Deleting Disable Auto Switch Record"
- Section 5.42.5, "Authorizing Disable Auto Switch Record "

5.42.1 Retrieving a Record in Disable Auto Switch Summary Screen

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

You can invoke the ‘Disable Auto Switch Summary’ screen by typing ‘UTSAUSWB’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



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

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

Note

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

- Press F7
- Input the SI Number
- Press F8

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

Note

The status field in the Records pane of the summary screen displays the bulk operation results.

5.42.2 Editing Disable Auto Switch Record

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

- Invoke the Disable Auto Switch Summary screen from the Browser.

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

Click Save to save your changes. The Disable Auto Switch Detail screen is closed and the changes made are reflected in the Disable Auto Switch Summary screen.

5.42.3 Viewing Disable Auto Switch Record

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

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

5.42.4 Deleting Disable Auto Switch Record

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

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

5.42.5 Authorizing Disable Auto Switch Record

- An unauthorized disabled Auto Switch record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the Disable Auto Switch Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.

- Click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Disable Auto Switch Detail screen is displayed. Select Authorize operation from the Action List.

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

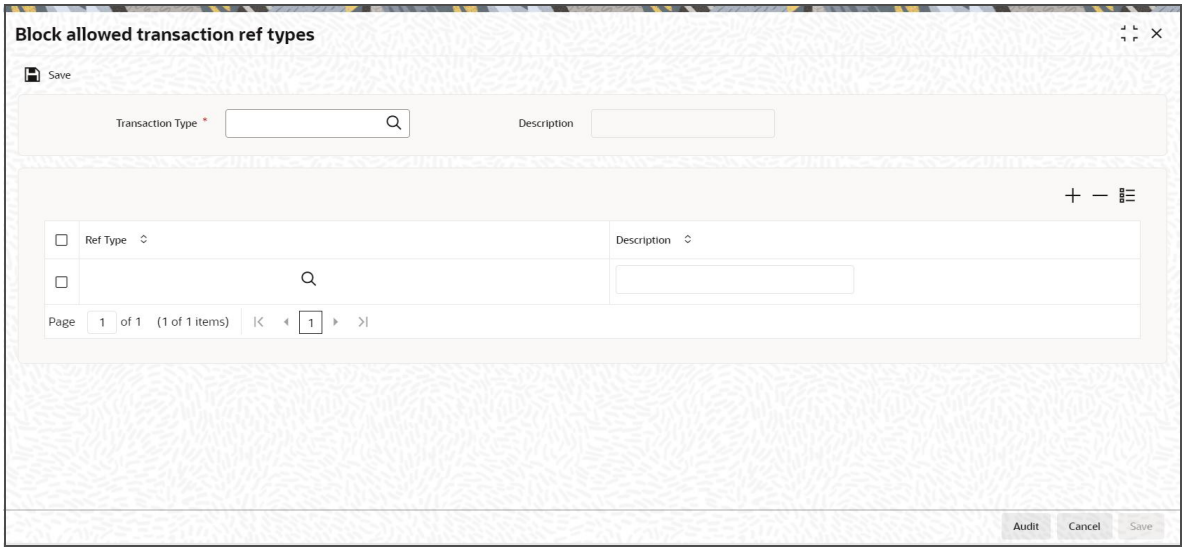
5.43 Block Allowed Transaction Ref Types

This section contains the following topics:

- Section 5.43.1, "Invoking Block Allowed Transaction Ref Types"

5.43.1 Invoking Block Allowed Transaction Ref Types

You can configure the Ref types pertaining to IPO subscription and subscription transaction types for amount block reference types in FCIS system using ‘Block Allowed Transaction Ref Types’ screen. You can invoke this screen by typing ‘UTDREFMA’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Select ‘New’ from the Actions menu in the Application tool bar or click new icon to enter the details.



You can specify the following details:

Transaction Type

Alphanumeric; 2 Characters; Mandatory

Select the transaction type for which system is sending block request. Alternatively, you can select type of transaction from the option list. The list displays all valid transaction type maintained in the system.

Description

Display

The system displays the description for the selected transaction type.

Ref Type

Alphanumeric; 2 Characters; Mandatory

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

Description

Display

The system displays the description for the selected ref type.

5.44 Block Allowed Transaction Ref Types Summary

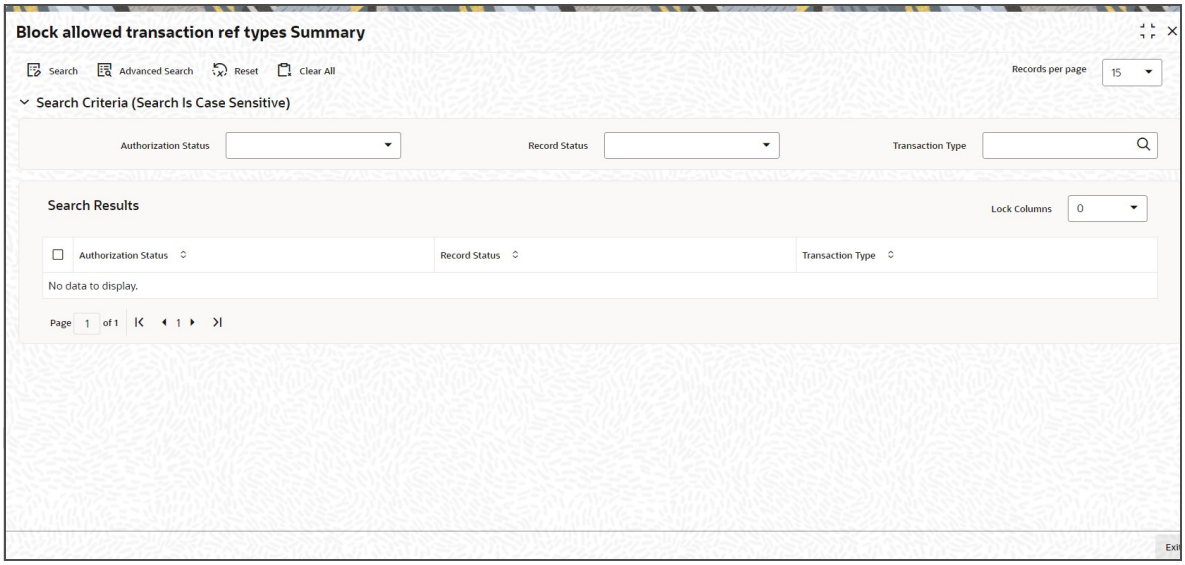
This section contains the following topic:

- Section 5.44.1, "Retrieving a Record in Block Allowed Transaction Ref Types Summary Screen"
- Section 5.44.2, "Editing Block Allowed Transaction Ref Type Record"
- Section 5.44.3, "Viewing Block Allowed Transaction Ref Type Record"
- Section 5.44.4, "Deleting Block Allowed Transaction Ref Type Record"
- Section 5.44.5, "Authorizing Block Allowed Transaction Ref Type Record"
- Section 5.44.6, "Amending Block Allowed Transaction Ref Type Record"
- Section 5.44.7, "Authorizing Amended Block Allowed Transaction Ref Type Record"

5.44.1 Retrieving a Record in Block Allowed Transaction Ref Types Summary Screen

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

Invoke the 'Block Allowed Transaction Ref Types Summary' screen by typing 'UTSREFMA' in the field at the top right corner of the Application tool bar. Click on the adjoining arrow button and specify any or all of the following details in the corresponding details.



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

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

Note

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

- Press F7
- Input the Transaction Type
- Press F8

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

5.44.2 Editing Block Allowed Transaction Ref Type Record

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

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

Click Save to save your changes. The Block Allowed Transaction Ref Types screen is closed and the changes made are reflected in the Block Allowed Transaction Ref Types Summary screen.

5.44.3 Viewing Block Allowed Transaction Ref Type Record

To view a record that you have previously input, you must retrieve the same in the Block Allowed Transaction Ref Types Summary screen as follows:

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

5.44.4 Deleting Block Allowed Transaction Ref Type Record

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

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

5.44.5 Authorizing Block Allowed Transaction Ref Type Record

- An unauthorized Block Allowed Transaction Ref Types record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the Block Allowed Transaction Ref Types Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Block Allowed Transaction Ref Types screen is displayed. Select Authorize operation from the Action List.

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

5.44.6 Amending Block Allowed Transaction Ref Type Record

After a Block Allowed Transaction Ref Types record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

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

5.44.7 Authorizing Amended Block Allowed Transaction Ref Type Record

An amended Block Allowed Transaction Ref Types record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

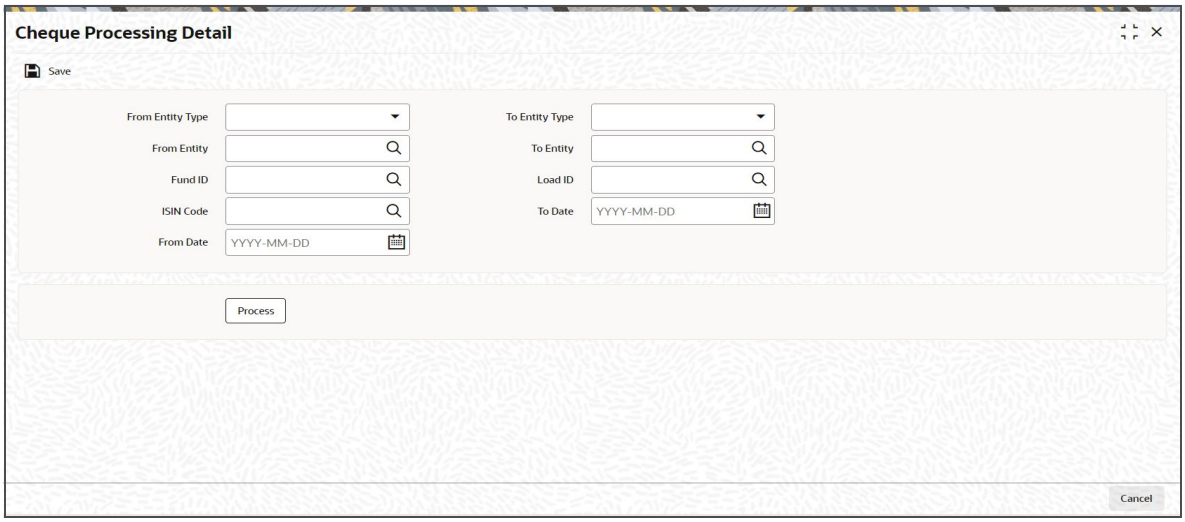
5.45 Cheque Processing Detail Screen

This section contains the following topic:

- Section 5.45.1, "Invoking Cheque Processing Detail Screen"

5.45.1 Invoking Cheque Processing Detail Screen

You can process cheques using ‘Cheque Processing Detail’ screen. You can invoke this screen by typing ‘UTDCHEQP’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

From Entity Type

Optional

Select the entity type from which the cheque processing is initiating from the drop-down list. The list displays the following values:

- AMC
- Distributor
- Fund

To Entity Type

Optional

Select the entity type to which the cheque amount is being played from the drop-down list. The list displays the following values:

- Agent
- AMC
- Branch
- Distributor
- Registrar
- Trustee

From Entity

Alphanumeric; 12 Characters; Optional

Specify the entity from which the cheque processing is initiating. Alternatively, you can select 'From Entity ID' from the option list. The list displays valid From Entity ID maintained in the system.

To Entity

Alphanumeric; 12 Characters; Optional

Specify the entity to which the cheque amount is being payed. Alternatively, you can select 'To Entity ID' from the option list. The list displays valid To Entity ID maintained in the system.

Fund ID

Alphanumeric; 12 Characters; Optional

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

ISIN Code

Alphanumeric; 25 Characters; Optional

The system displays the ISIN code if you have specified the fund ID. Else, specify the ISIN code. Alternatively, you can select ISIN code from the option list. The list displays valid ISIN code maintained in the system.

The system displays the ISIN code if you have specified the fund ID and vice versa.

Load ID

Numeric; 5 Characters; Optional

Specify the load ID for the cheque processing. Alternatively, you can select Load ID from the option list. The list displays valid Load ID maintained in the system.

From Date

Date Format; Optional

Select the date from which the cheques are to be processed from the adjoining calendar.

To Date

Date Format; Optional

Select the date to which the cheques are to be processed from the adjoining calendar.

You can initiate the cheque processing activity by clicking 'Process' button.

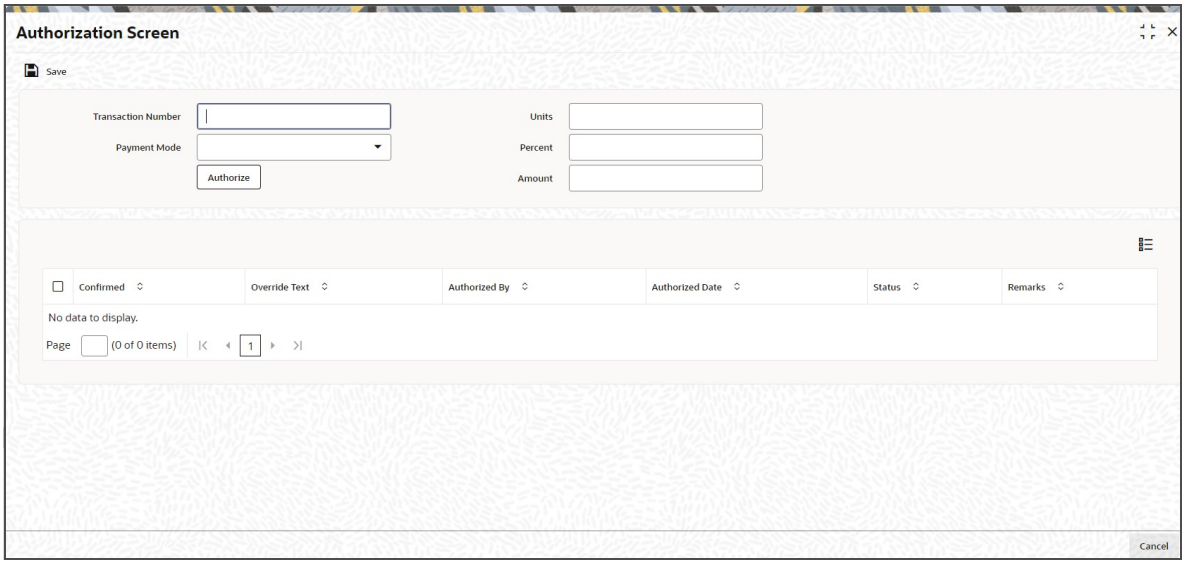
5.46 Authorization Screen

This section contains the following topic:

- Section 5.46.1, "Invoking Authorization Screen"

5.46.1 Invoking Authorization Screen

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



Click ‘New’ and specify unauthorized transaction number. The system displays the transaction details which can be authorized.

You can specify the following details:

Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number to be queried and worked upon.

Payment Mode

Optional

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

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

Units

Numeric; 27 Characters; Optional

Specify the units applied.

Percent

Numeric; 9 Characters; Optional

Specify the units applied.

Amount

Numeric; 18 Characters; Optional

Specify the units applied.

Click ‘Authorize’ button to authorize the transaction. The system displays the following values:

- Confirmed
- Override Text
- Authorized By
- Authorized Date
- Status
- Remarks

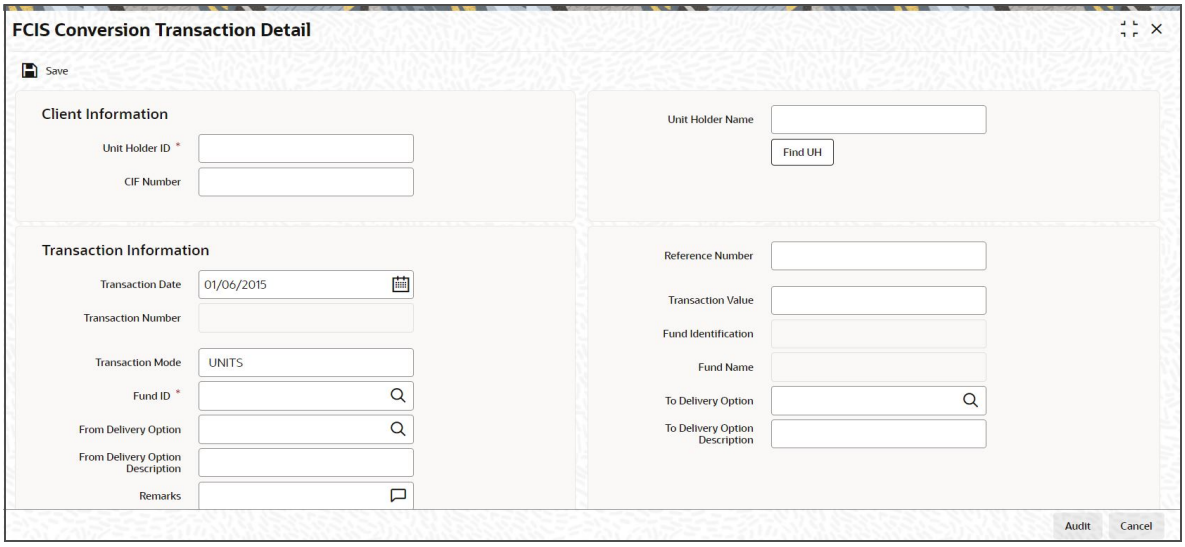
5.47 FCIS Conversion Transaction Detail

This section contains the following topic:

- Section 5.47.1, "Invoking FCIS Conversion Transaction Detail Screen"
- Section 5.47.2, "From Delivery Details Tab"
- Section 5.47.3, "To Delivery Details Tab"

5.47.1 Invoking FCIS Conversion Transaction Detail Screen

You can invoke ‘FCIS Conversion Transaction Detail’ screen by typing ‘UTDCNVTX’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Client Information

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID.

You can query for unit holder ID by clicking ‘Find UH’ button.

Unit Holder Name

Display

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

CIF Number

Display

The system displays the CIF number for the selected unit holder ID.

Transaction Information

Transaction Date

Date Format; Mandatory

The system displays the transaction date. However, you can amend the transaction date from the adjoining calendar.

Transaction Number

Display

The system displays the transaction number.

Reference Number

Alphanumeric; 16 Characters; Optional

Specify the reference number.

Transaction Value

Numeric; 27 Characters; Mandatory

Specify the value of the transaction.

Transaction Mode

Mandatory

Select the mode in which the transaction value will be reckoned from the drop-down list. The list displays the following values:

- Amount
- Percent
- Units

Note

Transaction Mode will be enabled for only Pseudo switch transactions.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Fund Identification

Display

The system displays the Fund Identification Number for the selected fund ID.

Fund Name

Display

The system displays the name of the selected fund ID.

From Delivery Option

Alphanumeric; 1 Character; Optional

Specify From delivery option. Alternatively, you can select From Delivery Option code from the option list. The list displays all valid From Delivery Option maintained in the system.

From Delivery Option Description

Display

The system displays the name of the selected From Delivery Option code.

To Delivery Option

Alphanumeric; 1 Character; Optional

Specify To delivery option. Alternatively, you can select From Delivery Option code from the option list. The list displays all valid From Delivery Option maintained in the system.

From Delivery Option Description

Display

The system displays the name of the selected From Delivery Option code.

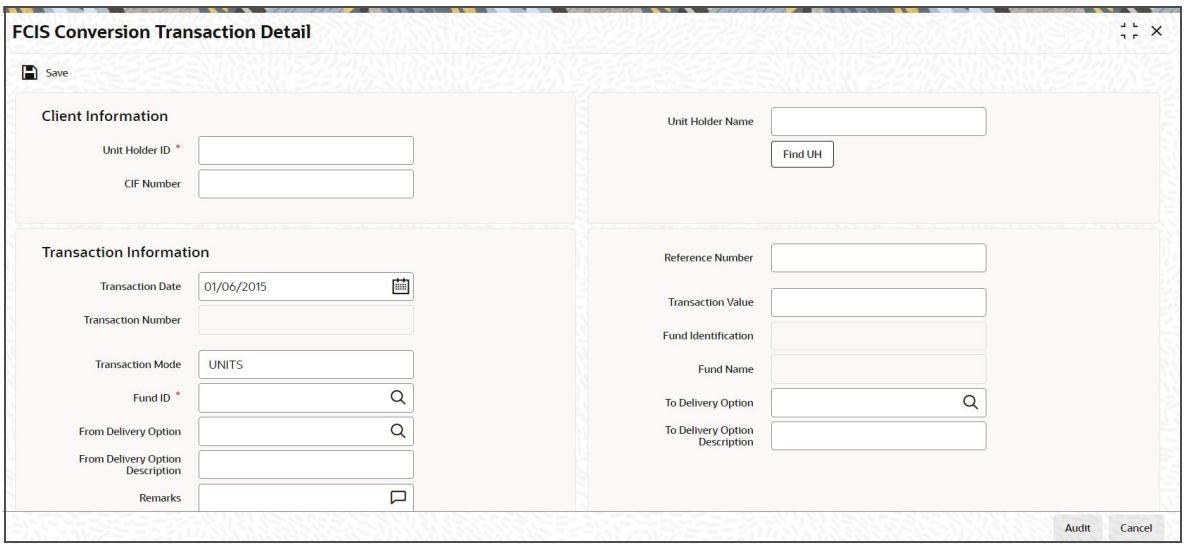
Remarks

Alphanumeric; 255 Characters; Optional

Specify remarks, if any.

5.47.2 From Delivery Details Tab

Click ‘From Delivery Details’ tab in ‘FCIS Conversion Transaction Detail’ screen to specify te delivery details.



You can specify the following details:

Delivery Type

Display

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

- Self
- Third Party

Custodian Agent/ Custodian Bank

Alphanumeric; 12 Characters; Optional

Specify the custodian agent or custodian bank details.

Account Number

Alphanumeric; ~~20~~34 Characters; Optional

Specify the account number.

Account Name

Alphanumeric; 140 Characters; Optional

Specify the name of the account holder.

Address Type

Alphanumeric; 2 Characters; Optional

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

Address Line 1-4

Alphanumeric; 105 Characters; Optional

Specify the address details of the customer.

Zip Code

Alphanumeric; 10 Characters; Optional

Specify zip code details.

Country

Alphanumeric; 3 Characters; Optional

Specify the country code.

BIC Code

Alphanumeric; 12 Characters; Optional

Specify the BIC code.

Certificate Denomination

Certificate Denominations

Alphanumeric; 200 Characters; Optional

Specify the certificate denomination details.

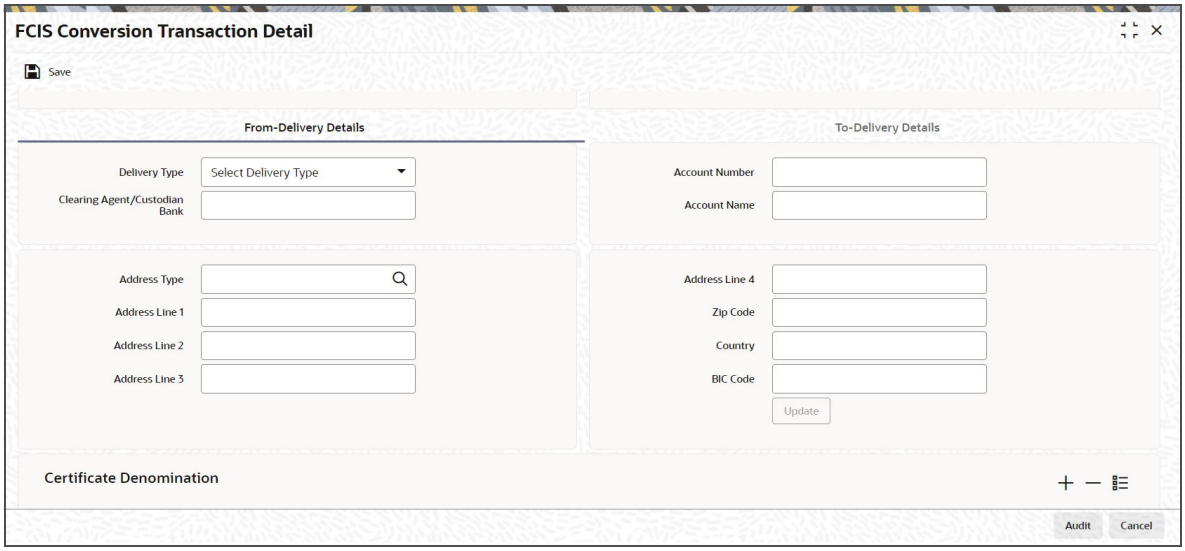
Certificate Description

Alphanumeric; 34 Characters; Optional

Specify the maximum certificate denomination details.

5.47.3 To Delivery Details Tab

Click ‘From Delivery Details’ tab in ‘FCIS Conversion Transaction Detail’ screen to specify te delivery details.



You can specify the following details:

Delivery Type

Display

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

- Self
- Third Party

Custodian Agent/ Custodian Bank

Alphanumeric; 12 Characters; Optional

Specify the custodian agent or custodian bank details.

Account Number

Alphanumeric; 34 Characters; Optional

Specify the account number.

Account Name

Alphanumeric; 140 Characters; Optional

Specify the name of the account holder.

Address Type

Alphanumeric; 2 Characters; Optional

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

Address Line 1-4

Alphanumeric; 105 Characters; Optional

Specify the address details of the customer.

Zip Code

Alphanumeric; 10 Characters; Optional

Specify zip code details.

Country

Alphanumeric; 3 Characters; Optional

Specify the country code.

BIC Code

Alphanumeric; 12 Characters; Optional

Specify the BIC code.

Certificate Denomination

Certificate Denominations

Alphanumeric; 200 Characters; Optional

Specify the certificate denomination details.

Certificate Description

Alphanumeric; 34 Characters; Optional

Specify the maximum certificate denomination details.

5.48 FCIS Conversion Transaction Summary

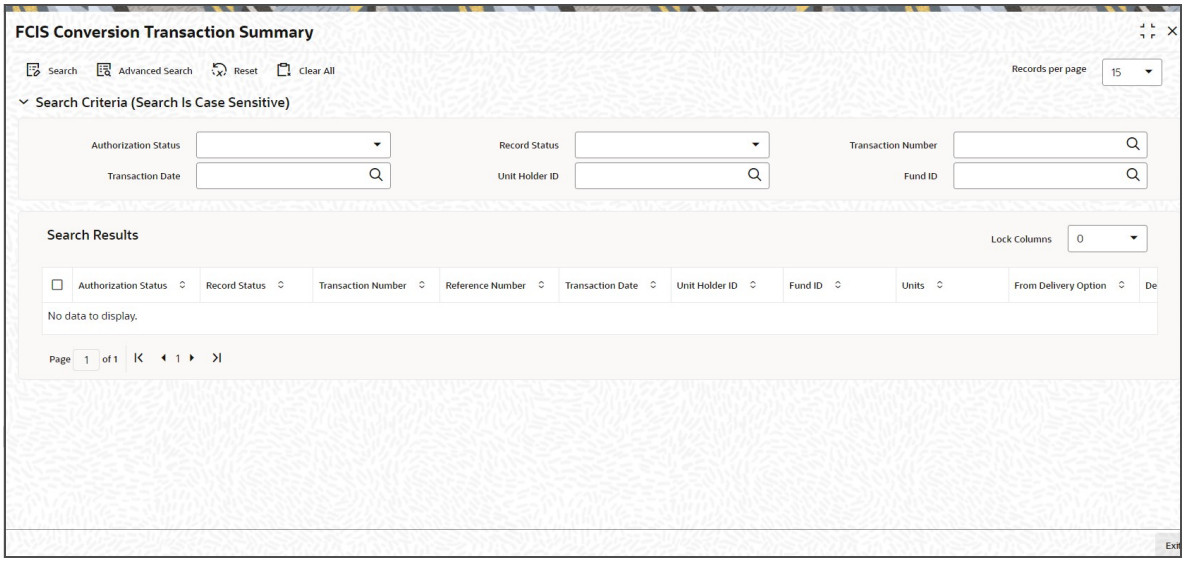
This section contains the following topics:

- Section 5.48.1, "Retrieving Conversion Transaction Record in Summary Screen"
- Section 5.48.2, "Viewing Conversion Transaction Record"
- Section 5.48.3, "Deleting Conversion Transaction Record"
- Section 5.48.4, "Authorizing Conversion Transaction Record"
- Section 5.48.5, "Amending Conversion Transaction Record"
- Section 5.48.6, "Authorizing Amended Conversion Transaction Record"

5.48.1 Retrieving Conversion Transaction Record in Summary Screen

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

Invoke the 'FCIS Conversion Transaction Summary' screen by typing 'UTSCNVTX' 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 FCIS Conversion Transaction Summary screen, as follows:

- Specify any or all of the following details in FCIS Conversion Transaction Summary 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 unit holder 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 unit holder are retrieved.
- Transaction Number
- Transaction Date
- Unit Holder ID
- Fund ID

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

Note

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

- Press F7
- Input Unit Holder ID
- Press F8

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

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

5.48.2 Viewing Conversion Transaction Record

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

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

5.48.3 Deleting Conversion Transaction Record

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

- Invoke the FCIS Conversion Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details and click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The FCIS Conversion Transaction Detail screen is displayed.

- 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.

5.48.4 Authorizing Conversion Transaction Record

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

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

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

5.48.5 Amending Conversion Transaction Record

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

- Invoke the FCIS Conversion Transaction Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend only authorized records.
- Specify any or all of the details of the Conversion Transaction in the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The FCIS Conversion Transaction Detail screen is displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

5.48.6 Authorizing Amended Conversion Transaction Record

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

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

5.49 Redemption Limit Check Detail

This section contains the following topics:

- Section 5.49.1, "Invoking Redemption Limit Check Detail Screen"

5.49.1 Invoking Redemption Limit Check Detail Screen

You can invoke the 'Redemption Limit Check Detail' screen by typing 'UTDREDLC' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Mandatory

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

Fund Name

Display

The system displays the name of the selected fund ID.

Limit Percentage

Alphanumeric; 3 Characters; Mandatory

Specify the limit percentage details.

Check the required check boxes in the following list and click ‘Process’ button:

- IPO Subscription
- Include Subscription Amendment/Reversal Transactions
- Include Redemption Transactions
- Include Switch-In Amendment/Reversal Transactions where the above Fund is the Switch-To-Fund
- Include Switch-Out Transactions

Reporting Limit

Once the report is processed the system displays the following values:

- Fund ID
- Fund Name
- Unit Holder ID
- Transaction Number
- Units Allotted
- Projected Units
- Outstanding Units

- Limit Percentage
- Units Allowed to be Allotted
- Limit Exceeded
- Limit Exceeded By
- Limit Exceeded By %

However, you can amend these values.

6. Adjustment and Amount Block Transactions

The system provides a facility to capture transactions for which a specific price, other than the prevalent transaction base price at the time of entry, is applicable. These transactions are typically representative of holdings of an investor in any external agency of any kind, which need to be reflected in the system. They are known as adjustment transactions.

Typically, for such transactions, no processing is done in the system with respect to computation of charges or fund prices. All these computations are done externally and the information is only captured as data in the FC-IS system.

This chapter contains the following section:

- Section 6.1, "Adjustment Redemption Transaction Detail Screen"
- Section 6.2, "Adjustment Redemption Transaction Summary"
- Section 6.3, "Adjustment Subscription Transaction Detail"
- Section 6.4, "Adjustment Subscription Transaction Summary"
- Section 6.5, "Block Transactions by Amounts"
- Section 6.6, "Unblock Transactions by Amounts"
- Section 6.7, "Redeeming Units for Unblocked Amounts"
- Section 6.8, "Amount Block Log Details"

6.1 Adjustment Redemption Transaction Detail Screen

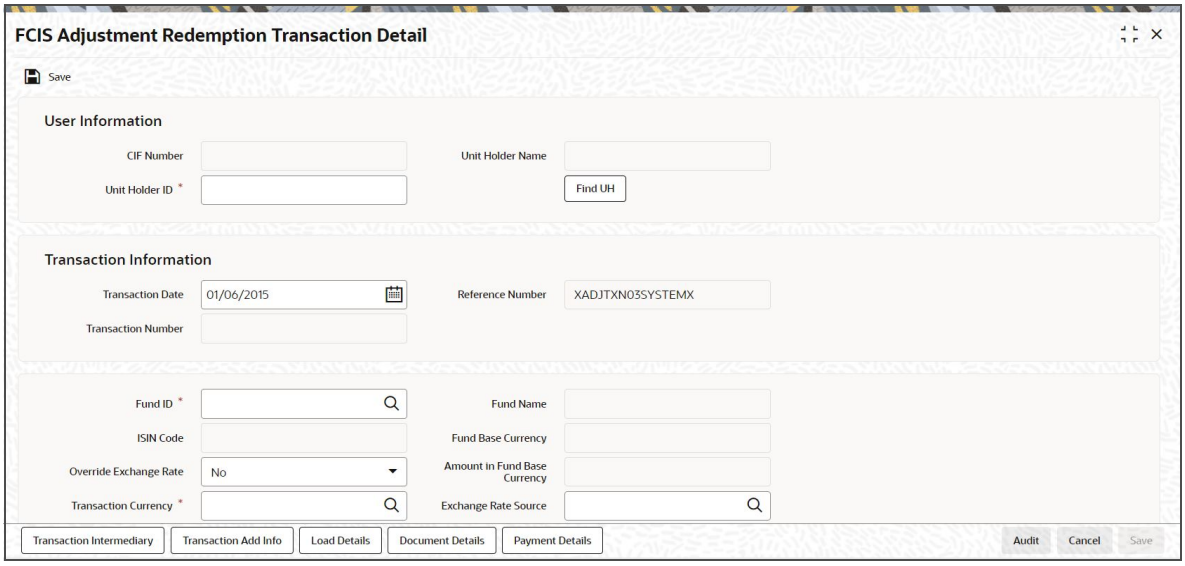
This section contains the following topics:

- Section 6.1.1, "Invoking Adjustment Redemption Transaction Detail Screens"
- Section 6.1.2, "Transaction Intermediary Button"
- Section 6.1.3, "Transaction Add Info Button"
- Section 6.1.4, "Load Details Button"
- Section 6.1.5, "Document Details Button"
- Section 6.1.6, "Payment Details Button"

6.1.1 Invoking Adjustment Redemption Transaction Detail Screens

You can capture new adjustment transactions through the Adjustment Subscription (for subscriptions into the fund) and the Adjustment Redemption screens (for redemption from the fund). You can invoke the ‘FCIS Adjustment Redemption Transaction Detail’ screen by typing ‘UTDADJ03’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the Adjustment transactions. Click on new record button, to enter details of a new record.



User Information

In this section, specify the details of the CIF customer or the investor that has requested for the transaction.

CIF Number

Display

The system displays the CIF number.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder for whom the transaction request is being entered.

You can also query for unit holder ID by clicking ‘Find UH’ button.

Unit Holder Name

Display

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

Transaction Information

Transaction Date

Date Format; Optional

Specify the date on which the adjustment transaction is accepted in the system. By default, the application date is displayed here.

If backdating is allowed for the fund, then the user can enter a date that is between the application date and the backdating limit specified for the Fund in the Transaction Processing Rules setup for this transaction type. Further, if the back dating period is specified for the fund, then this limit will override the limit specified for the fund.

Transaction Number

Display

The system displays the transaction number.

Reference Number

Display

For all adjustment transactions, the system affixes the following alphanumeric value as the reference number:

XADJTXN02SYSTEMX (For subscription adjustment transactions)

XADJTXN03SYSTEMX (For redemption adjustment transactions)

The reference number will be used to identify the adjustment transaction uniquely in the system.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Select the name of the fund in which the specified unit holder wishes to subscribe, from the list provided. The drop-down list is populated based on the unit holder specified, in the following manner:

The nationality of the specified unit holder is reckoned from the information provided in the unit holder's account profile. Only those funds that contain the country of domicile of the unit holder in their Fund Residency list are populated here.

Only funds that belong to the AMC of the specified unit holder are populated here.

Fund Name

Display

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

ISIN Code

Display

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

Fund Base Currency

Display

The base currency of the specified fund is displayed here.

Override Exchange Rate?

Optional

Select 'Yes', from the drop-down list if you want to override the computed exchange rate. Else select 'No'.

Amount in Fund Base Currency

Display

The system displays the amount in fund base currency.

Transaction Currency

Alphanumeric; 3 Characters; Mandatory

Select the currency in which the payments for the adjustment transaction will be made or accepted. The drop down list contains currencies that are valid as transaction currencies for the fund, from the Fund Transaction Currency list.

If the specified unit holder's currency is a valid transaction currency for the fund, it is displayed here by default. If not, the Fund Base Currency is displayed here by default. In either case, the unit holder can alter the currency and specify any currency from the list.

Currency Name

Display only

Once you have specified the Transaction currency applicable for the adjustment transaction, the name of the currency is displayed in this field.

Exchange Rate Source

Alphanumeric; 6 Characters; Optional

Select the exchange rate source from which the exchange rates are to be derived for the adjustment transaction. The default source for the AMC is displayed here, from the Defaults Maintenance.

Exchange Rate Applied

Numeric; 21 Characters; Optional

Specify the exchange rate applied.

To compute the exchange rate that will be applied for the adjustment transaction, click 'Calculate' button. The system computes the exchange rate and displays it in the Exchange Rate Applied field.

Remarks

Alphanumeric; 255 Characters; Optional

Enter any text explaining or relating to the adjustment transaction.

Adjustment Price

Numeric; 9 Characters; Mandatory

Specify the adjustment price.

Units

Numeric, 27 Characters; Mandatory

Specify the number of units applied for by the unit holder in the adjustment transaction.

Amount

Numeric, 18 Characters; Mandatory

When you specify the units applied and the adjustment price, the system computes the adjustment transaction amount and displays it in this field.

Age Out Preference

Alphanumeric; 1 Character; Optional

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

Age out Preference Description

Display

The system displays the description for the selected age out preference code.

Amount in Fund Base Currency

Display Only

When you specify an amount as the transaction value, the system computes the equivalent of the same in the base currency of the selected fund and displays it here.

Adjustment Type

Alphanumeric; 1 Character; Optional

Specify the mode in which the units have resulted (or the origin of the units).

Adjustment Type Description

Display

The system displays the description for the selected adjustment type code.

Payment Mode

Alphanumeric; 1 Character; Optional

Select the mode in which the payment must be made or received, from the drop down list. If the adjustment transaction currency is EURO, then the mode chosen cannot be Cash.

If the mode of payment chosen here is cash, all the bank details fields and the check or credit card related fields will be disabled.

Payment Mode Description

Display

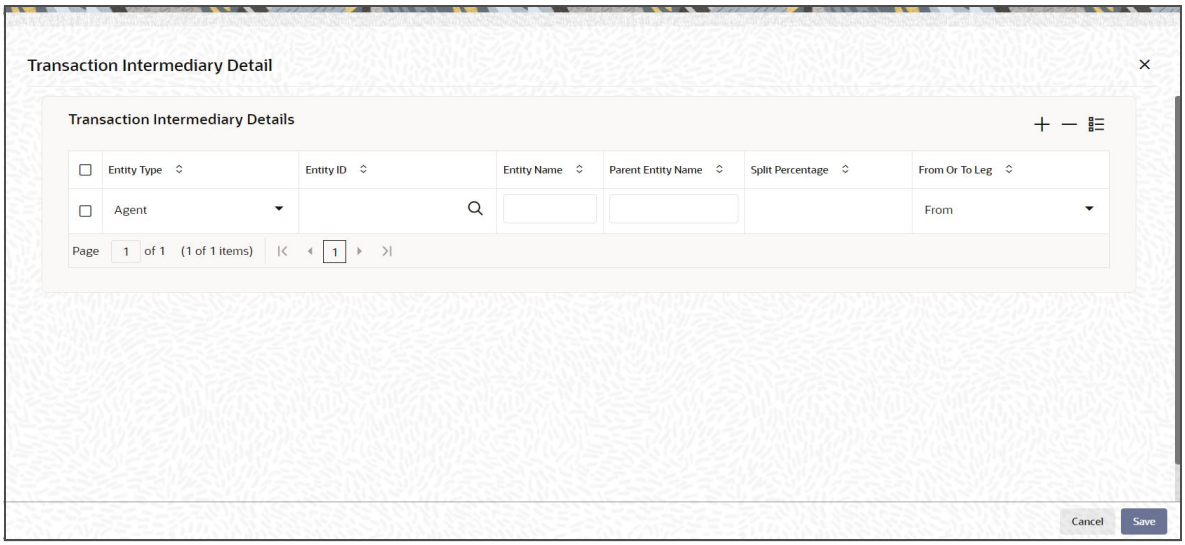
The system displays the description for the selected payment mode.

6.1.2 Transaction Intermediary Button

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

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

Click ‘Transaction Intermediary’ button in ‘FCIS Adjustment Redemption Transaction Detail’ screen. The ‘Transaction Intermediary Detail’ screen is displayed as follows:



You can specify the following details:

Entity Type

Mandatory

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

- Agent
- Branch Code

- IFA
- Account Officer
- Broker

Entity ID

Alphanumeric; 12 Characters; Mandatory

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

Entity Name

Display

The system displays the name of the selected entity ID.

Parent Entity Name

Display

The system displays the name of the parent entity.

Split Percentage

Numeric; 5 Characters; Optional

Specify the split percentage.

From Or To Leg

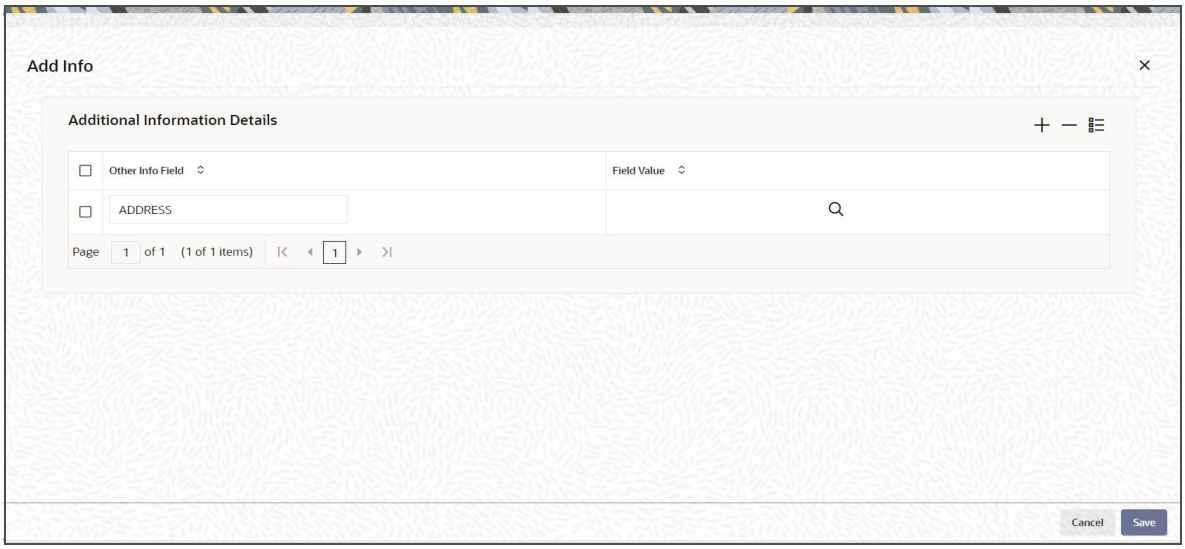
Mandatory

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

- From Leg
- To Leg

6.1.3 Transaction Add Info Button

Click ‘Transaction Add Info’ button in ‘FCIS Adjustment Redemption Transaction Detail’ screen. The ‘Add Info’ screen is displayed as follows:



You can specify the following details:

Additional Information Details

Other Info Field

Display

The system displays the other information.

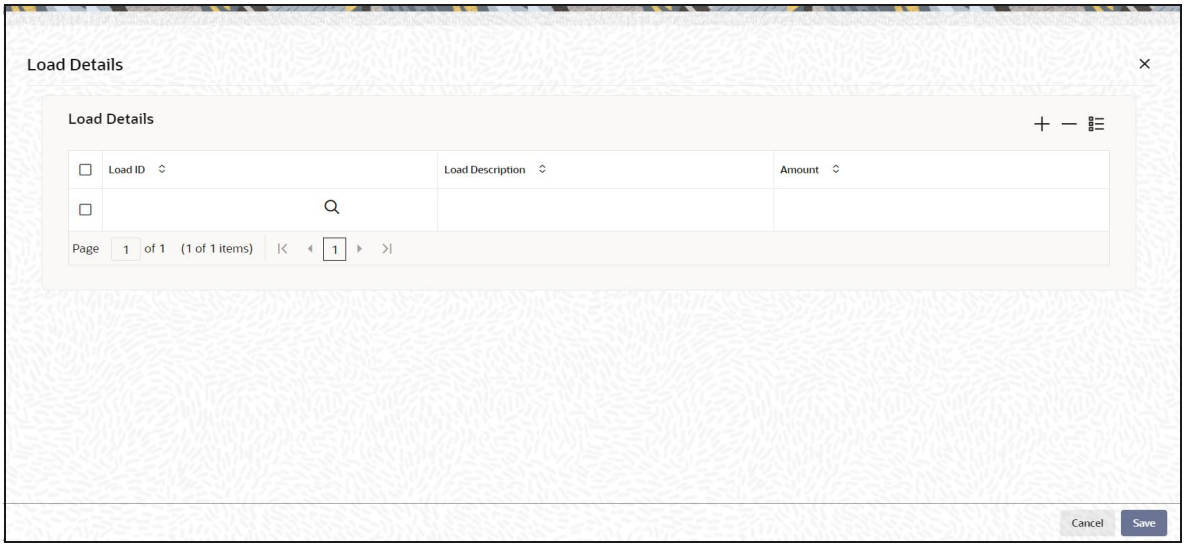
Field Value

Alphanumeric; 60 Characters; Optional

Specify the field value.

6.1.4 Load Details Button

Click ‘Load Details’ button in ‘FCIS Adjustment Redemption Transaction Detail‘ screen. The ‘Load Details’ screen is displayed as follows:



Load ID

Numeric; 5 Characters; Mandatory

Specify the load ID.

Load Description

Alphanumeric, 60 Characters; Mandatory

Select the load that is applicable for the adjustment transaction. When you specify the fund in the Fund field, all loads mapped to the selected fund with processing frequency that is different from transaction time loads and allocation time loads (i.e., with processing frequency as ‘F’), are populated in this field.

Amount

Numeric; 30 Characters; Mandatory

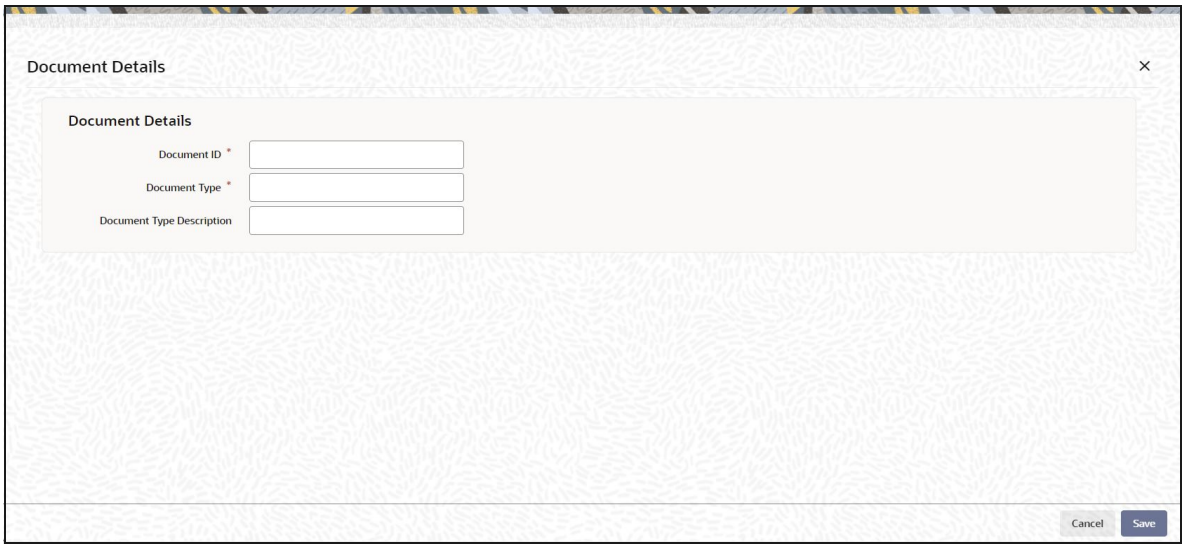
Specify the load amount applicable for the selected load description, for the adjustment transaction. If you do not enter a load amount in this field, the system reckons the load to have a zero value. The load amounts that you specify here will not be processed at the time when the adjustment transaction record is inserted into the allocation tables .

6.1.5 Document Details Button

Document Management System or DMS is used to scan and store documents like Account Opening form, Transaction form, Identity Proof etc. In this section, you can specify the

document type for the unit holder. The document types can be maintained in the System Parameters Maintenance screen.

Click ‘Document Details’ button in ‘FCIS Adjustment Redemption Transaction Detail‘ screen. The ‘Document Details’ screen is displayed as follows:



You can specify the following details:

Document Details

Document ID

Alphanumeric; 25 Characters; Mandatory

Specify the document ID.

Document Type

Alphanumeric; 4 Characters; Mandatory

Specify the document type.

Document Type Description

Alphanumeric; 60 Characters; Mandatory

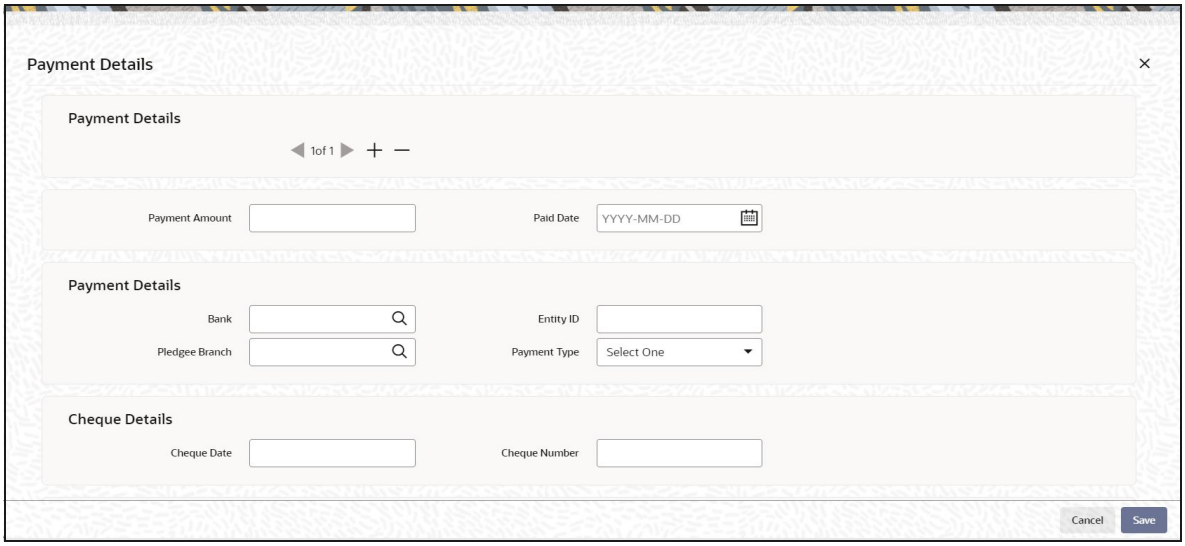
Specify the document type description.

Note

The Document Details Section will be enabled only if your installation is integrated with DMS.

6.1.6 Payment Details Button

Click ‘Payment Details’ button in ‘FCIS Adjustment Redemption Transaction Detail‘ screen. The ‘Payment Details’ screen is displayed as follows:



Payment Details

Capture the following details if the mode of payment chosen is check, credit card or demand draft:

Payment Amount

Numeric; 30 Characters; Optional

Specify the payment amount.

Paid Date

Date Format; Optional

Select the paid date from the adjoining calendar.

Payment Details

Payment Bank

Alphanumeric; 12 Characters; Optional

Specify the name of the bank where the payment instrument is drawn, if the mode of payment is Check, Credit Card or Demand Draft. Alternatively, you can select bank code from the option list. The list displays all valid bank code maintained in the system.

Payment Branch

Alphanumeric; 20 Characters; Optional

Specify the branch of the selected bank where the payment is drawn, if the mode of payment is Check or Demand Draft. Alternatively, you can select payment branch code from the option list. The list displays all valid payment branch code maintained in the system.

Entity ID

Alphanumeric; 12 Characters; Optional

Specify the entity ID.

Payment Type

Optional

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

- Self
- Third Party

- Broker

Cheque Details

Cheque Date

Date Format; Optional

Specify the date on which the cheque is drawn.

Cheque Number

Alphanumeric; 16 Characters; Optional

Specify the cheque number.

Card Details

Credit Card Ref No

Alphanumeric; 16 Characters; Optional

Specify the credit card reference number.

Account Details

Account Currency

Alphanumeric; 3 Characters; Optional

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

Account Holder Name

Alphanumeric; 100 Characters; Optional

Specify the name of the account holder.

Account Number

Alphanumeric; 34 Characters; Optional

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

Note

Based on the account number selected, the system displays the account currency, account holder name, account type, and IBAN details.

Account Type

Alphanumeric; 1 Character; optional

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

IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

Third Party Details

Third Party Address

Alphanumeric; 255 Characters; Optional

Specify the third party address details.

Third Party Reference

Alphanumeric; 255 Characters; Optional

Specify the third party reference details.

Third Party US State

Alphanumeric; 1 Character; Optional

Specify the third party US state code.

Third Party Zip Code

Alphanumeric; 255 Characters; Optional

Specify the third party zip code.

6.2 Adjustment Redemption Transaction Summary

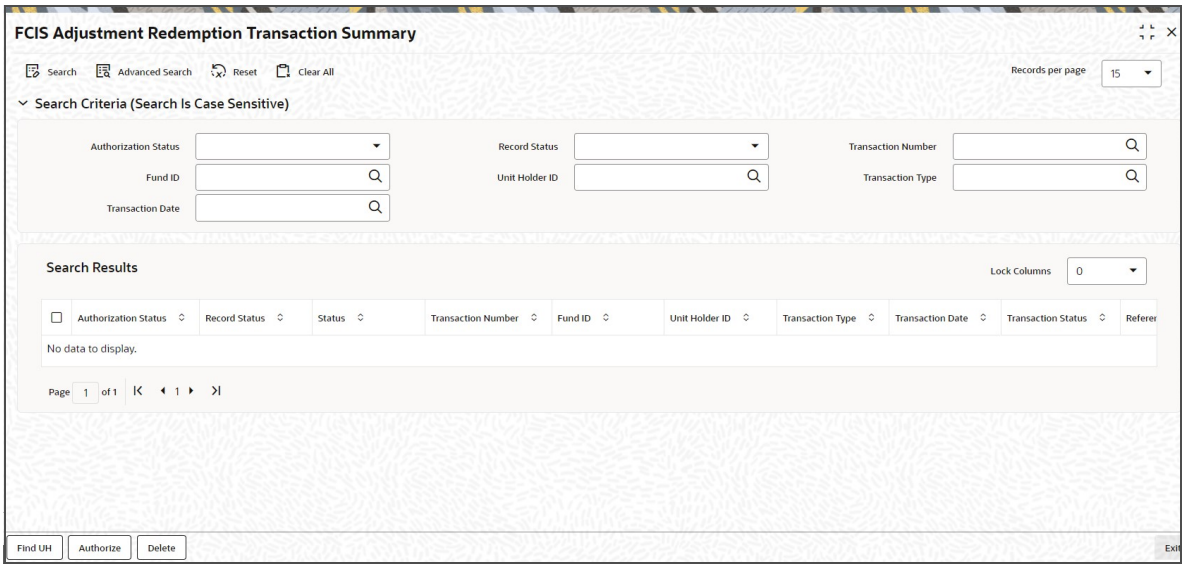
This section contains the following topics:

- Section 6.2.1, "Retrieving a Record in Adjustment Redemption Transaction Summary Screen"
- Section 6.2.2, "Editing Adjustment Redemption Transaction Record"
- Section 6.2.3, "Viewing Adjustment Redemption Transaction Record "
- Section 6.2.4, "Deleting Adjustment Redemption Transaction Record"
- Section 6.2.5, "Authorizing Adjustment Redemption Transaction Record "
- Section 6.2.6, "Amending Adjustment Redemption Transaction Record "
- Section 6.2.7, "Authorizing Amended Adjustment Redemption Transaction Record "

6.2.1 Retrieving a Record in Adjustment Redemption Transaction Summary Screen

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

Invoke the ‘Adjustment Redemption Transaction Summary’ screen by typing ‘UTSADJ03’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



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

- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Unit Holder ID
- Transaction Type
- Fund ID
- Transaction Date

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

Note

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

- Press F7
- Input the Transaction Type
- Press F8

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

6.2.2 Editing Adjustment Redemption Transaction Record

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

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

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

6.2.3 Viewing Adjustment Redemption Transaction Record

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

- Invoke the Adjustment Redemption Transaction Summary screen from the Browser.

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

6.2.4 Deleting Adjustment Redemption Transaction Record

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

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

6.2.5 Authorizing Adjustment Redemption Transaction Record

- An unauthorized Adjustment Redemption Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the Adjustment Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Adjustment Redemption Transaction Detail screen is displayed. Select Authorize operation from the Action List.

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

6.2.6 Amending Adjustment Redemption Transaction Record

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

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

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

6.2.7 Authorizing Amended Adjustment Redemption Transaction Record

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

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

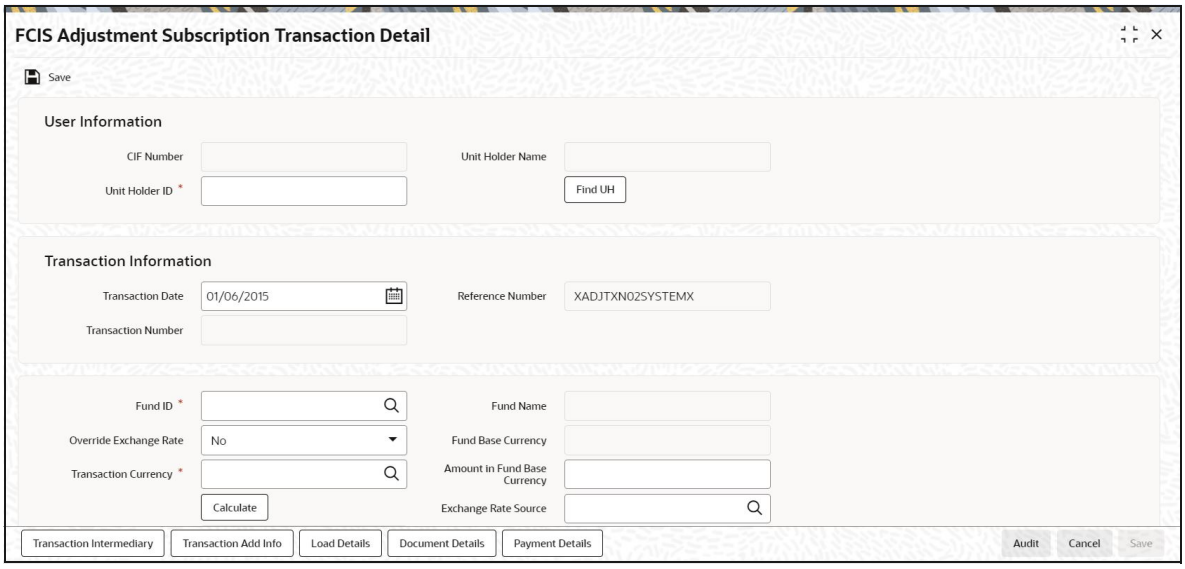
6.3 Adjustment Subscription Transaction Detail

This section contains the following topics:

- Section 6.3.1, "Invoking Adjustment Subscription Transaction Detail Screen"

6.3.1 Invoking Adjustment Subscription Transaction Detail Screen

You can invoke the 'FCIS Adjustment Subscription Transaction Detail' screen by typing 'UTDADJ02' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Units Classification

Alphanumeric; 3 Characters; Optional

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

For further details on the screen, please refer 'Invoking Adjustment Redemption Transaction Detail Screens' section in this user manual.

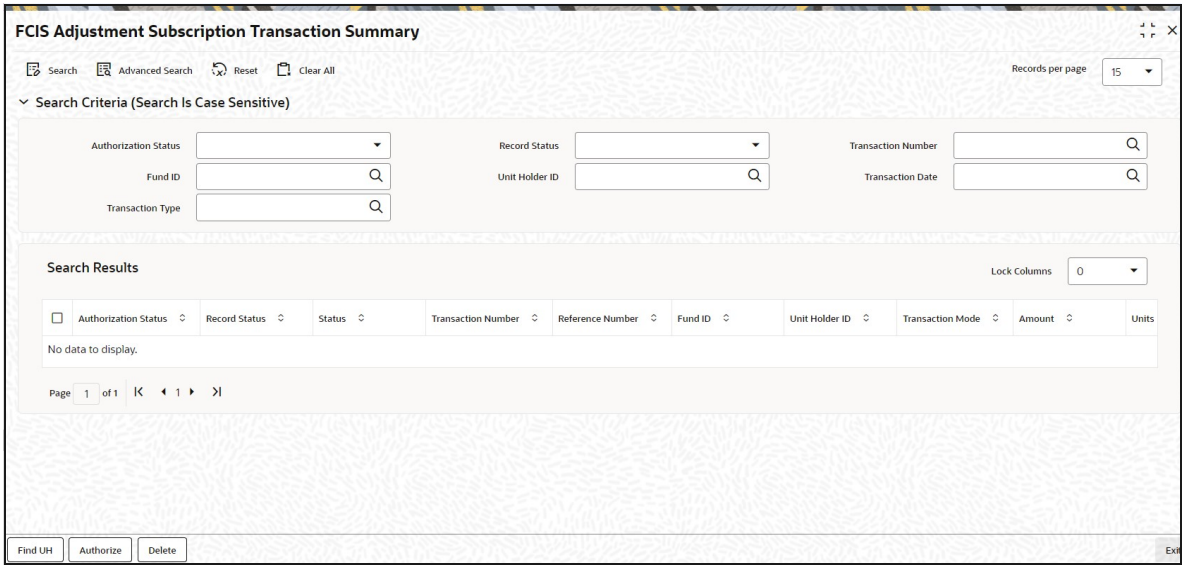
6.4 Adjustment Subscription Transaction Summary

This section contains the following topics:

- Section 6.4.1, "Invoking Adjustment Subscription Transaction Summary Screen"
- Section 6.4.2, "Retrieving Transaction in Transaction Summary Screens"
- Section 6.4.3, "Editing Adjustment Transaction"
- Section 6.4.4, "Viewing Adjustment Transaction"
- Section 6.4.5, "Deleting Adjustment Transaction"
- Section 6.4.6, "Authorizing Adjustment Transactions"
- Section 6.4.7, "Amending Adjustment Transaction"

6.4.1 Invoking Adjustment Subscription Transaction Summary Screen

The adjustment screen also provides you with ability to perform actions on previously stored or incomplete transactions. You can perform the actions of editing, viewing, authorizing, the details of a transaction. You can also authorize a previously saved adjustment transaction and apply a modification to an authorized transaction. The summary screens can be accessed by logging into the Agency Branch module of the browser. You can invoke the 'FCIS Adjustment Subscription Transaction Summary' screen by typing 'UTSADJ02' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



6.4.2 Retrieving Transaction in Transaction Summary Screens

You can perform all these operations through the Adjustment Transaction Summary screens. You can retrieve a previously entered adjustment transaction in the Summary screen, as follows:

In the browser, select the Adjustment Subscription Summary or the Adjustment Redemption Summary options, from the Transaction menu category of the Agency Branch module. Specify any or all of the following parameters:

- The status of the transaction in the Authorization Status field. If you choose the "Blank Space" option, then all the transactions are retrieved.
- The status of the Transaction in the Record Status field. If you choose the "Blank Space" option, then all the transactions are retrieved.

- Transaction Number
- Unit Holder ID
- Transaction Date
- Fund ID
- Transaction Type

After adjustment transactions are entered into the system, you can perform any of the following operations:

- Edit or delete them, provided they are still unauthorized.
- Retrieve and view them.
- Have them authorized by another user.

6.4.3 Editing Adjustment Transaction

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

- In the main menu, invoke the Transaction menu. Select Adjustment transaction type, choose the Summary option. The Transaction Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for modification. You can only modify records of transactions that are unauthorized. Accordingly, choose the unauthorized option from the drop down list.
- To retrieve the adjustment transaction that is to be modified, specify any or all of the details of the transaction in the corresponding fields on the screen. All unauthorized transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the adjustment transaction type that you want to modify in the list of displayed transactions, in the lower portion of the screen
- The Adjustment Transaction Detail screen is opened by double clicking on the selected row, with the selected transaction displayed.
- To modify the record you can select the Unlock operation form the drop down Actions List

You can modify the required details for an unauthorized transaction:

- The date.
- The reference number
- The unit holder (including the To Client Information in the case of transfer transactions)

Accordingly, modify the necessary information, and click the Save button to save your changes.

The Transaction Detail screen is closed and the changes made are reflected in the Transaction Summary screen.

6.4.4 Viewing Adjustment Transaction

To view a transaction that you have previously entered, you must retrieve the same in the ‘Adjustment Transaction Summary’ screen, as follows:

- From the main menu, invoke the Transaction menu. Select adjustment transaction type, and choose the Summary option. The Adjustment Transaction Summary screen is opened.

- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for viewing. You can view records of transactions that are:
  - Unauthorized
  - Authorized
  - Allotted
  - Un-allotted
  - Amended after allocation
  - Amended before allocation
  - Rejected
- You can also view all transactions that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- To retrieve the adjustment transaction that is to be viewed, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the adjustment transaction that you want to view in the list of displayed transactions, in the lower portion of the screen
- The Transaction Detail screen is opened by double clicking the selected transaction, with the selected transaction displayed in view mode

6.4.5 Deleting Adjustment Transaction

You can delete only unauthorized adjustment transactions in the system.

To delete an adjustment transaction that you have previously entered, you must retrieve the same in the 'Transaction Summary' screen, as follows:

- From the main menu, invoke the Transaction Input menu. Select Adjustment transaction type and choose the Summary option. The Transaction Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for deletion. You can only delete records of transactions that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- To retrieve the adjustment transaction that is to be deleted, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All adjustment transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the transaction that you want to delete in the list of displayed transactions, in the lower portion of the screen.
- The Adjustment Transaction Detail screen is opened by double clicking on the selected row in view mode, with the selected transaction displayed
- 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.

6.4.6 Authorizing Adjustment Transactions

When you authorize an adjustment transaction, it not only acquires the Authorized record status, but it also becomes an "allotted" transaction. The number of units applied is allotted, with no processing for the load amounts.

For instance, if an adjustment subscription transaction is entered for a unit holder in a fund as follows:

Units applied: 1000

Adjustment price: 20 USD

Transaction amount: 20000 USD

Load amounts: 15

When you authorize this transaction, it is allocated immediately as follows:

Units allocated: 1000

Units confirmed: 1000

Load amounts: 15.

No processing is done for the load amounts, and the prevalent transaction base price at the time of allocation is not used. The adjustment price is used.

- To authorize an adjustment transaction, you must first retrieve the same in the Summary screen. You can retrieve a previously entered transaction in the Summary screen, as follows:
  - In the Operation field, select the Authorize option from the drop-down list. If you choose the “Blank Space” option, then all the adjustment transactions that involve the specified unit holder are retrieved.
  - In the Status field, select the status of the transaction that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list. If you choose the “Blank Space” option, then all the adjustment transactions that involve the specified unit holder are retrieved.
  - If you are a Fund Manager Component user, and you are authorizing transactions that have been amended, then only two options are available in this field – Amended before Allocation and Amended After Allocation. Choose the required option.
- To retrieve the transaction that is to be authorized, specify any or all of the details of the transaction in the corresponding fields on the screen, and click ‘Search’ button. All transactions with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- To authorize any single transaction that has been retrieved Click the Authorize option from the action list Records button to complete the authorization.
- To mark all retrieved records for authorization, click the Mark All for Authorize link. Then click the Authorize Marked Records button to complete the authorization.

6.4.7 Amending Adjustment Transaction

After a transaction is authorized, it cannot be modified using the Edit operation. To make changes to a transaction after authorization, you must invoke the Unlock operation, which is termed as the Amend operation.

You can amend an authorized transaction by:

- From the main menu select Agency Branch, invoke the Transaction menu. From Adjustment Transaction, choose the Summary option. The Adjustment Transaction Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for amendment. You can only amend records of transactions that are authorized. Accordingly, choose any of the following options from the drop down list:
  - Authorized
  - Allotted

– Un-allotted.

- To retrieve the transaction that is to be amended, specify any or all of the details of the adjustment transaction in the corresponding fields on the screen. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the transaction that you want to amend in the list of displayed transactions, in the lower portion of the screen, and double click the selected row. The adjustment transaction Screen is opened. Then click on the Unlock button in the Action List.
- The Adjustment Transaction Detail screen is opened in amendment mode, with the selected transaction displayed.
- You can amend the required details for a transaction provided the units in respect of the transaction have not been allocated:
- Accordingly, amend the necessary information. If required, you can specify the appropriate rejection code, if any, for the amendment, in the Reversal Code field. You can also specify any appropriate amendment remarks in the Remarks field.
- Click the Save button to save your changes.

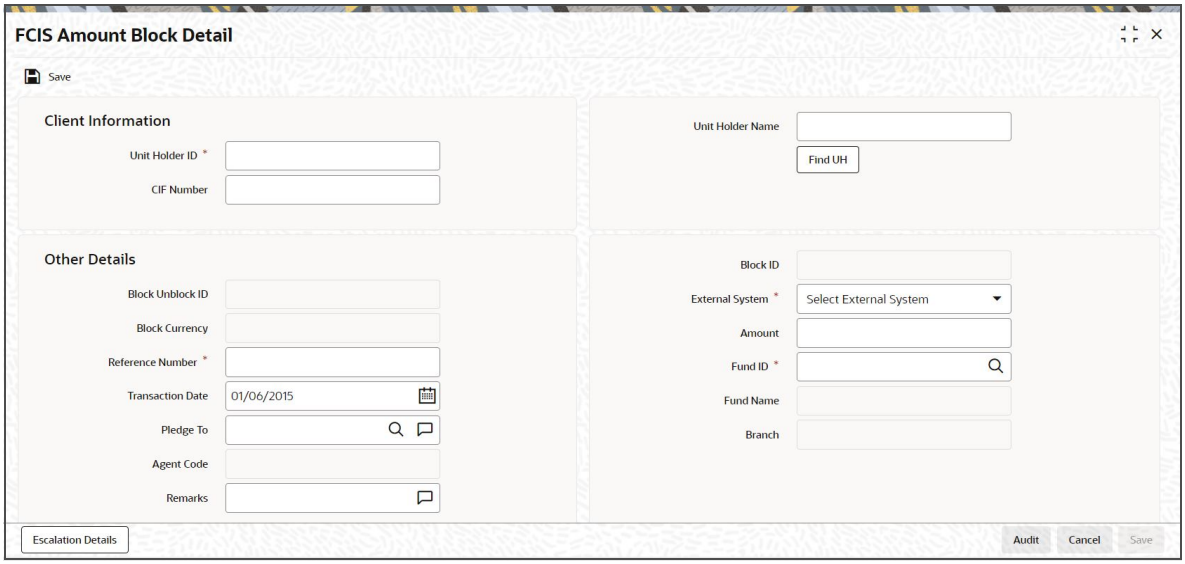
6.5 Block Transactions by Amounts

This section contains the following topics:

- Section 6.5.1, "Invoking Amount Block Detail Screen"
- Section 6.5.2, "Escalation Details Button"

6.5.1 Invoking Amount Block Detail Screen

You can invoke the 'FCIS Amount Block Detail' screen by typing 'UTDAMT06' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Client Information

In this section, specify the details of the CIF customer or the investor that has requested for the amount block or unblock transaction.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

If the transaction is being entered for a unit holder that is not under a CIF Number, specify the same in this field.

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

If you have selected a unit holder using the Find link, the number of the selected unit holder is displayed here.

If you have specified a CIF Number and selected a unit holder for the CIF, then the selected unit holder number is displayed here. It cannot be changed.

The unit holder specified here must belong to the same agency branch from where the adjustment transaction is being entered, if cross branching is not allowed for the agency branch.

Unit Holder Name

Display

The system displays the name of the unit holder.

CIF Number

Alphanumeric; 20 Characters; Optional

If the unit holder that has requested for the transaction is attached to a CIF Customer, specify the number of the CIF customer in this field. The system retrieves the name of the CIF customer and displays it alongside this field.

If the unit holder ID is specified, then the system displays the CIF number and vice versa.

Other Details

Block Unblock ID

Display

Each amount block transaction that you enter is also given what is called a Block / Unblock ID, which is used to track any future amount unblock transactions that would be requested against this amount block transaction. At the time of transaction entry of an amount block transaction, it is the same as the Block ID, and is generated using the same logic as the Block ID.

For a single Block ID, multiple unblock transactions can be entered and processed.

At the time of entering an amount unblock transaction, the Block ID will be available for selection in the drop-down (Block ID) after selecting the external system and after the saving of Unblock Transaction, the Unblock ID is generated by the system.

Block ID

Display

This is a unique number automatically assigned to each amount block transaction by the system. It is internally generated upon successful entry of the transaction and after all validations have been made. Therefore, when you enter a new amount block transaction, this field is disabled.

The transaction number generated by the system is in the format TT-YYYY-JJJ-NNNNNNN

Where,

TT-Transaction type (“11” for amount block transactions, “12” for amount unblock transactions)

YYYY-Year of processing

JJJ- Julian date

NNNNNNN-Running sequence number for the day

If an agency branch goes offline during transaction entry, the validations cannot be made and the transaction number cannot be generated. In such a case, the reference number is the identification for the transaction till the system goes online and the validations can be made.

Note

For a single Block ID, multiple unblock transactions can be entered and processed. When you are entering an amount unblock transaction, the Block ID field is enabled and you can select the Block ID against which the unblock transaction is being entered, from the drop down list.

Block Currency

Display

The system displays the currency of the amount that is allocated for the amount block.

External System

Mandatory

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

- Online
- FCC

The option list should be parameterized in the system parameters under 'Amount Block External System Code '.

Reference Number

Alphanumeric; 16 Characters; Mandatory

Specify a unique reference number that will be used to identify the amount block transaction in the system. Typically, this number is the number of the application that is used to enter this transaction. It will be the initial identification for the transaction, before the actual Block ID is generated by the system.

If the reference number is designated to be a system-generated number in the Defaults Maintenance, the system will internally generate and display this number when the transaction screen is opened, and this field is disabled.

Amount

Numeric; 30 Characters; Mandatory

Specify the amount to be blocked against this amount block or unblock transaction. For amount block transactions, this is the amount that will be blocked across all the combination of fund and unit holder, in which the investor retains holdings. For amount unblock transactions, this is the amount that will be unblocked against the selected Block ID.

Transaction Date

Date Format; Mandatory

This is the date on which you enter the amount block transaction into the system. It is reckoned to be the application date, which is displayed here.

For amount unblock transactions, you can specify either the application date or a future date.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Select the fund for which the amount needs to be blocked from the list which displays all the funds for which amount blocking is allowed.

This field is only applicable for amount unblock transactions and is not visible in the case of amount block transactions.

Specify the fund from which units must be redeemed (if any) for the selected unit holder when you initiate the amount unblock transaction. You will be allowed to specify only one fund here.

You must specify a fund in which the unit holder will possess holdings to the extent of the unblocked amount, after the unblock transaction has been allocated.

If you do not specify any fund in this field, then no redemption will take place in any fund, against the unblocked amount.

Refer to the section 'Redeeming Units for Unblocked Amounts' that is found later in this chapter, for a full discussion of the redemption process.

Fund Name

Display

The system displays the fund name.

Pledged To

Alphanumeric; 255 Characters; Optional

Specify the entity that the blocked amount is pledged to (i.e., the pledgor). This pledgor entity that you specify here must be the same for all amount block transactions that you enter for the unit holder that you have entered in the Unit Holder field. This means that for all amount block transactions entered into by a single unit holder, the pledgor entity specified must be the same.

On the first occasion that you enter an amount block transaction for a unit holder, the pledgor that you specify will be taken as the pledgor for the subsequent amount block transactions for the same unit holder, and will be displayed by default in this field.

When you are entering an amount unblock transaction, the pledgor details that you specified for the selected Block ID are displayed here, and cannot be changed.

Agent Code

Display

The code of the Agent where the transaction is accepted is displayed here.

Branch

Display

The name of the Agency Branch where the transaction is accepted is displayed here.

Remarks

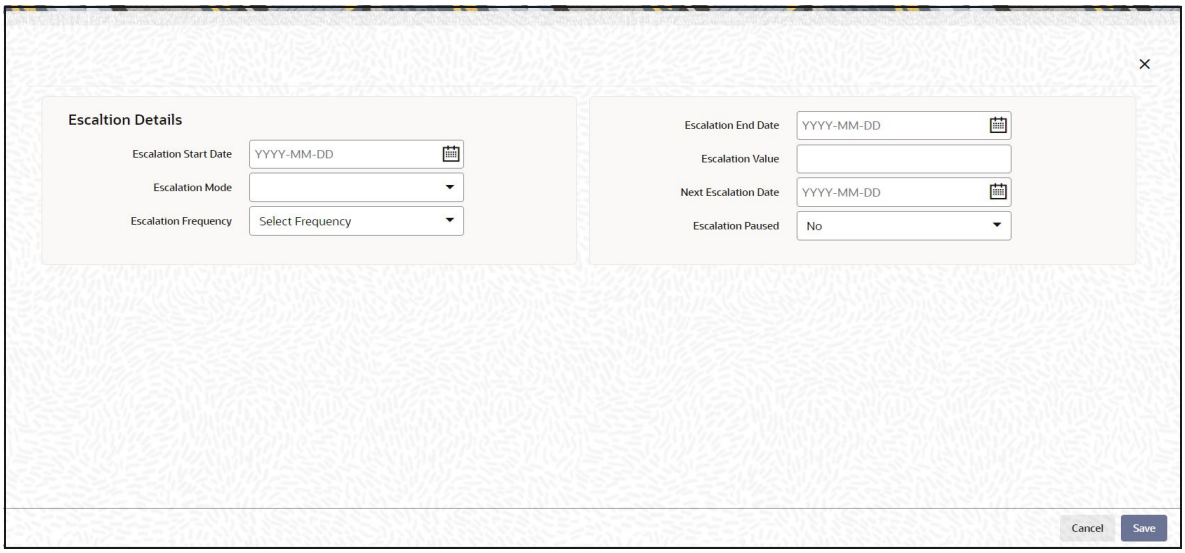
Alphanumeric; 255 Characters; Optional

Specify if there are any remarks.

You can view the 'Escalation Detail Section' provided the client country parameter "SICREDSPECIFIC" is set to False for the installation in your bank.

6.5.2 Escalation Details Button

Sometimes an investor may instruct the AMC to increase the blocked or unblocked amounts at pre-defined intervals. Such increase patterns are termed as escalation details.



In this section, you can maintain the pattern of escalation for the amount block or unblock transaction.

> **Note**
>
> This section is an optional section, but if you make an entry in any field here, then all the other fields will be mandatory and you must then make your specifications in all the fields.

Escalation Start Date

Date Format; Optional

Specify the date on which the first increase or first escalation must occur. Beginning from this date, the blocked (or unblocked) amount will be increased as specified, at intervals determined by the pre-defined frequency that you specify in the Escalation Frequency field.

Escalation End Date

Date Format; Optional

Specify the date on which the last increase or escalation must occur.

The start date and end date taken together signify a period during which escalation of the blocked (or unblocked) amount will occur at the frequency that you define in the Escalation Frequency field.

Escalation Mode

Optional

Select whether the increase is an amount-based escalation or percentage escalation the drop-down list. The list displays the following values:

- Amount
- Percentage

Escalation Value

Numeric; 30 Characters; Optional

Enter the value by which the blocked (or unblocked) amount must be increased. At each instance when the escalation comes into effect, the blocked amount will be increased by this value.

Escalation Frequency

Optional

Select the frequency at which the escalation must occur from the drop down list. The list displays the following values:

- Daily
- Weekly
- Bi-Weekly
- Monthly
- Quarterly
- Half-Yearly
- Yearly

Next Escalation Date

Date Format; Optional

Specify the date on which the next escalation will take place. For records retrieved in the Amend mode, this date may be altered in the amend session.

Escalation Paused

Optional

If you want the escalation to be halted for a while or a hiatus to occur, then select 'Yes' from the drop-down list. Else select 'No'.

For further details, please refer 'Invoking Amount Unblock Detail Screen' section in this User Manual.

6.6 Unblock Transactions by Amounts

This section contains the following topics:

- Section 6.6.1, "Invoking Amount Unblock Detail Screen"
- Section 6.6.2, "Escalation Details Button"

6.6.1 Invoking Amount Unblock Detail Screen

The FC-IS system provides the facility of accepting and processing block or unblock transactions that involve amounts across funds. It means that a specific amount portion of the investor's holdings across funds can be blocked in the system.

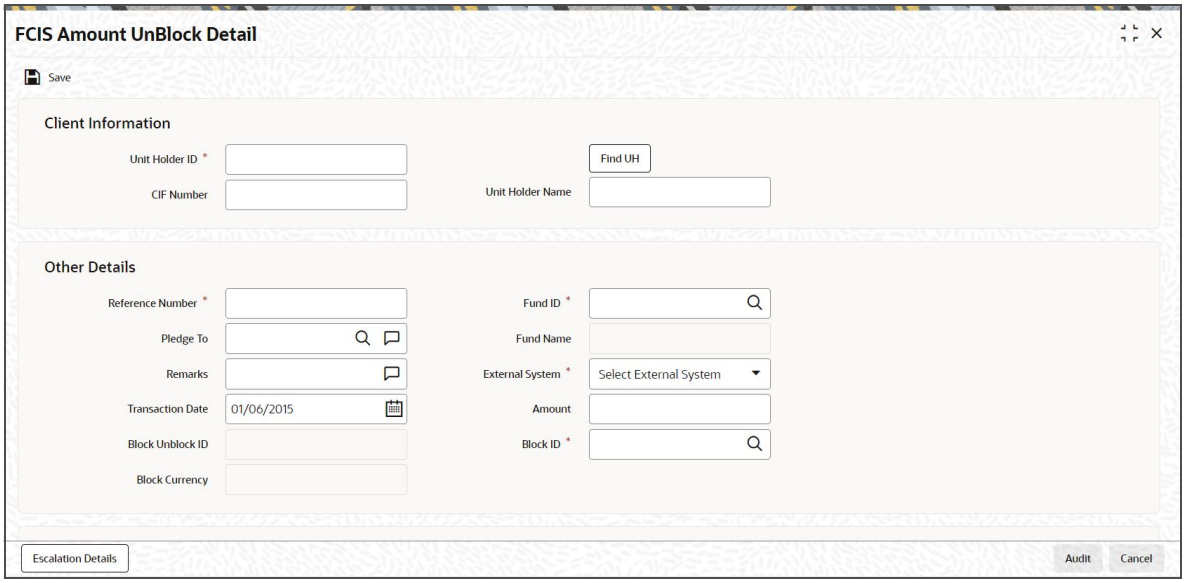
You can also increase (i.e., escalate) the blocked amounts at a given frequency. Also, upon specific instructions from the investor, you can also reduce the blocked amounts for the purpose of unblocking. The unblocking could also be facilitated at any point of time and escalated at a designated frequency.

Note

For any investor, you can enter multiple transactions of the amount block type.

To enter and process such block transactions that involve blocking or unblocking of amounts across funds, use the ‘FCIS Amount Block Detail’ or ‘FCIS Amount UnBlock Detail’ screen. You can invoke the ‘FCIS Amount UnBlock Detail’ screen by typing ‘UTDAMT07’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the amount block and unblock transactions.



To enter an amount block or unblock transaction in the Detail screen,

- Specify the CIF to which the unit holder for whom the transaction is being entered belongs. Then select the unit holder account.
- If you are unblocking against a previously blocked amount transaction, specify the date of the unblocking transaction.
- Specify a unique reference number for the transaction.
- If you are entering a block transaction, specify the pledgor, if any, to whom the amount is pledged.
- Specify the amount to be blocked or unblocked for the transaction.
- If you are unblocking against a previously blocked amount transaction, specify the fund from which the units may be redeemed.
- Specify any relevant details of escalation for the amounts, as well as any payment details (for the redemption of units due to unblocking)
- Click ‘Ok’ button to save the transaction.

Client Information

In this section, specify the details of the CIF customer or the investor that has requested for the amount block or unblock transaction.

Note

- To retrieve a CIF customer number or a unit holder number, click ’Find UH’ button.
- To enter a transaction for an investor that is attached to a CIF customer, first specify the number of the CIF customer in the CIF Number field, and then specify the identity number of the required unit holder in the Unit Holders ID field.

– To enter a transaction for an investor that is not attached to a CIF customer, specify the number of the required unit holder in the Unit Holder field.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Select the unit holder for whom the transaction request is being entered. You can query for unit holder ID by selecting 'Find UH' button.

Unit Holder Name

Display

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

CIF Number

Alphanumeric, 20 Characters; Optional

If the unit holder that has requested for the transaction is attached to a CIF Customer, specify the number of the CIF customer in this field. The system retrieves the name of the CIF customer and displays it alongside this field.

If you specify the unit holder ID details, then the system displays the CIF number and vice versa.

Other Details

Reference Number

Alphanumeric; 16 Characters; Mandatory

Specify a unique reference number that will be used to identify the amount block transaction in the system. Typically, this number is the number of the application that is used to enter this transaction.

It will be the initial identification for the transaction, before the actual Block ID is generated by the system.

If the reference number is designated to be a system-generated number in the Defaults Maintenance, the system will internally generate and display this number when the transaction screen is opened, and this field is disabled.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Select the fund for which the amount needs to be blocked from the list which displays all the funds for which amount blocking is allowed.

Fund Name

Display

The system displays the fund name.

Pledged To

Alphanumeric; 255 Characters; Optional

Specify the entity that the blocked amount is pledged to (i.e., the pledgor). This pledgor entity that you specify here must be the same for all amount block transactions that you enter for the unit holder that you have entered in the Unit Holder field. This means that for all amount block transactions entered into by a single unit holder, the pledgor entity specified must be the same.

On the first occasion that you enter an amount block transaction for a unit holder, the pledgor that you specify will be taken as the pledgor for the subsequent amount block transactions for the same unit holder, and will be displayed by default in this field.

When you are entering an amount unblock transaction, the pledgor details that you specified for the selected Block ID are displayed here, and cannot be changed.

Remarks

Alphanumeric; 255 Characters; Optional

Specify the remarks, if any.

External System

Mandatory

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

- Online
- FCC

The option list should be parameterized in the system parameters under 'Amount Block External System Code '.

Transaction Date

Date Format; Mandatory

This is the date on which you enter the amount block transaction into the system. It is reckoned to be the application date, which is displayed here.

For amount unblock transactions, you can specify either the application date or a future date.

Block Unblock ID

Display

Each amount block transaction that you enter is also given what is called a Block / Unblock ID, which is used to track any future amount unblock transactions that would be requested against this amount block transaction. At the time of transaction entry of an amount block transaction, it is the same as the Block ID, and is generated using the same logic as the Block ID.

For a single Block ID, multiple unblock transactions can be entered and processed.

At the time of entering an amount unblock transaction, the Block ID will be available for selection in the drop-down (Block ID) after selecting the external system and after the saving of Unblock Transaction, the Unblock ID is generated by the system.

Amount

Numeric; 30 Characters; Mandatory

Specify the amount to be blocked against this amount block or unblock transaction. For amount block transactions, this is the amount that will be blocked across all the combination of fund and unit holder, in which the investor retains holdings. For amount unblock transactions, this is the amount that will be unblocked against the selected Block ID.

Block Currency

Display

The currency of the amount that is allocated for the amount block

Block ID

Alphanumeric; 16 Characters; Mandatory

This is a unique number automatically assigned to each amount block transaction by the system. It is internally generated upon successful entry of the transaction and after all validations have been made. Therefore, when you enter a new amount block transaction, this field is disabled.

The transaction number generated by the system is in the format TT-YYYY-JJJ-NNNNNNN

Where,

TT-Transaction type (“11” for amount block transactions, “12” for amount unblock transactions)

YYYY-Year of processing

JJJ- Julian date

NNNNNNN-Running sequence number for the day

If an agency branch goes offline during transaction entry, the validations cannot be made and the transaction number cannot be generated. In such a case, the reference number is the identification for the transaction till the system goes online and the validations can be made.

Note

For a single Block ID, multiple unblock transactions can be entered and processed. When you are entering an amount unblock transaction, the Block ID field is enabled and you can select the Block ID against which the unblock transaction is being entered, from the drop down list.

Types

Mode of Payment

Optional

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

- Money Transfer
- Cheque

Payment Type

Optional

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

- Self
- Third Party

Sub Payment Mode

Alphanumeric; 2 Characters; Optional

Specify the sub payment mode.

Payment Mode Description

Display

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

Bank Details

Account Type

Display

The system displays the account type.

Account Number

Display

The system displays the account number.

Branch Code

Display

The system displays the branch code.

Account Currency

Display

The system displays the account currency.

Bank

Alphanumeric; 12 Characters; Optional

Specify the bank details.

Account Holder Name

Alphanumeric; 100 Characters; Optional

Specify the account holder name.

IBAN

Alphanumeric; 40 Characters; Optional

Specify the IBAN details.

Third Party Details

Third Party Reference

Alphanumeric; 255 Characters; Optional

Specify the third party reference details.

US State/ Non-US State

Alphanumeric; 20 Characters; Optional

Specify the US/ non-US state details.

Address

Alphanumeric; 255 Characters; Optional

Specify the address details.

City

Alphanumeric; 20 Characters; Optional

Specify the city details.

ZIP Code

Alphanumeric; 10 Characters; Optional

Specify the ZIP code.

US State

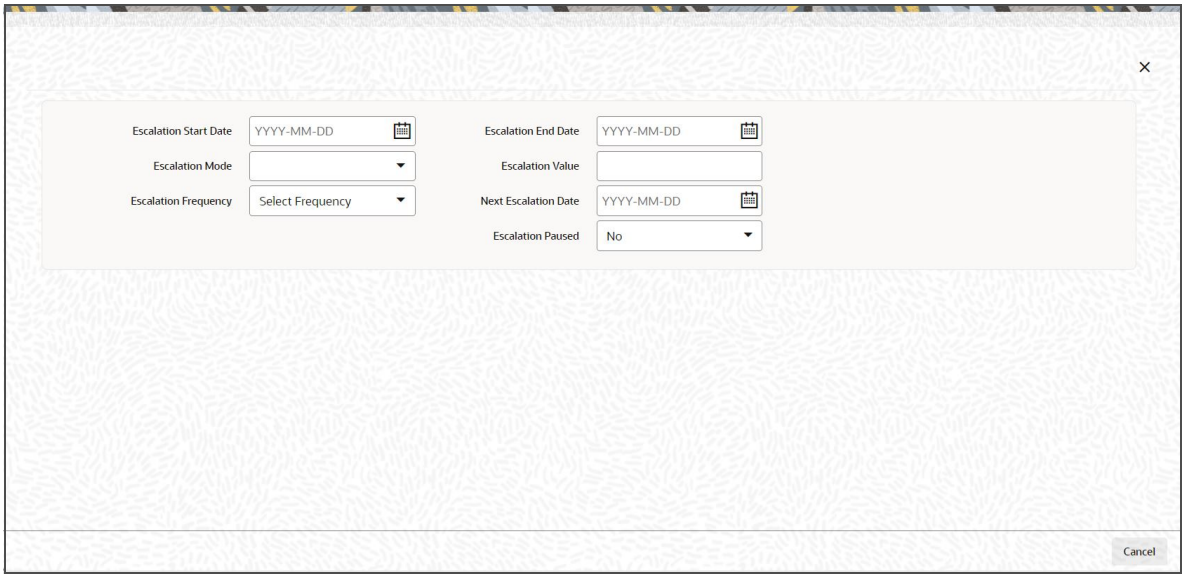
Display

The system displays the US state details.

You can view the ‘Escalation Detail Section’ provided the client country parameter “SICREDSPECIFIC” is set to False for the installation in your bank.

6.6.2 Escalation Details Button

Sometimes an investor may instruct the AMC to increase the blocked or unblocked amounts at pre-defined intervals. Such increase patterns are termed as escalation details.



In this section, you can maintain the pattern of escalation for the amount block or unblock transaction.

Note

This section is an optional section, but if you make an entry in any field here, then all the other fields will be mandatory and you must then make your specifications in all the fields.

Escalation Start Date

Date Format; Optional

Specify the date on which the first increase or first escalation must occur. Beginning from this date, the blocked (or unblocked) amount will be increased as specified, at intervals determined by the pre-defined frequency that you specify in the Escalation Frequency field.

Escalation End Date

Date Format; Optional

Specify the date on which the last increase or escalation must occur.

The start date and end date taken together signify a period during which escalation of the blocked (or unblocked) amount will occur at the frequency that you define in the Escalation Frequency field.

Escalation Mode

Optional

Select whether the increase is an amount-based escalation or percentage escalation from the drop-down list. The list displays the following values:

- Amount
- Percentage

Escalation Value

Numeric; 30 Characters; Optional

Enter the value by which the blocked (or unblocked) amount must be increased. At each instance when the escalation comes into effect, the blocked amount will be increased by this value.

Escalation Frequency

Optional

Select the frequency at which the escalation must occur from the drop-down list. The list displays the following values:

- Daily
- Weekly
- Bi-Weekly
- Monthly
- Quarterly
- Half-Yearly
- Yearly

Next Escalation Date

Date Format; Optional

This is the date on which the next escalation will take place. It is updated by the system based on the escalation start date and the escalation frequency in the case of a new amount block or unblock transaction. For records retrieved in the Amend mode, this date may be altered in the amend session.

Escalation Paused

Optional

If you want the escalation to be halted for a while or a hiatus to occur, then select 'Yes' from the drop-down list. Else select 'No'.

6.7 Redeeming Units for Unblocked Amounts

This section contains the following topics:

- Section 6.7.1, "Processing Redemption Transactions against Unblocked Amounts"
- Section 6.7.2, "Retrieving Amount Block/ Unblock Summary Screens"
- Section 6.7.3, "Editing Amount Block/ Unblock Transaction"
- Section 6.7.4, "Viewing Amount Block/ Unblock Transaction"
- Section 6.7.5, "Deleting Amount Block/ Unblock Transaction"
- Section 6.7.6, "Authorizing Amount Block/ Unblock Transactions"
- Section 6.7.7, "Amending Amount Block / Unblock Transactions"
- Section 6.7.8, "Authorizing Amended Amount Block/ Unblock Transactions"

6.7.1 Processing Redemption Transactions against Unblocked Amounts

FC-IS provides the facility of redeeming the resulting units for a unit holder when an unblock amount transaction is put through against a Block ID.

When you enter an unblock transaction for a unit holder against a Block ID, you can also specify the fund from which the units may be redeemed when the unblock transaction is authorized and allocated.

Note

In an amount unblock transaction, the amount unblocked could be unblocked against a Block ID, across all the funds in which the amount was blocked. The redemption against this unblock amount can only be initiated in a single specified fund.

To enable the redemption of units in this way,

When you enter the unblock transaction in the Adjustment Unblock Amount Transaction screen against a Block ID, specify the fund in which the redemption must occur for the unit holder.

Specify the details of payment for the redemption transaction, in the Payment Details section.

When the amount unblock transaction is authorized on the date of entry, a redemption transaction for the unblocked amount is initiated in the system for the specified unit holder, in the specified fund. The date of this redemption transaction is the date of authorization of the amount unblock transaction.

Note

If the amount unblock transaction is a future-dated transaction, the redemption transaction would be initiated by a Beginning of Day (BOD) process on the transaction date. The date for the redemption transaction would then be the transaction date of the amount unblock transaction.

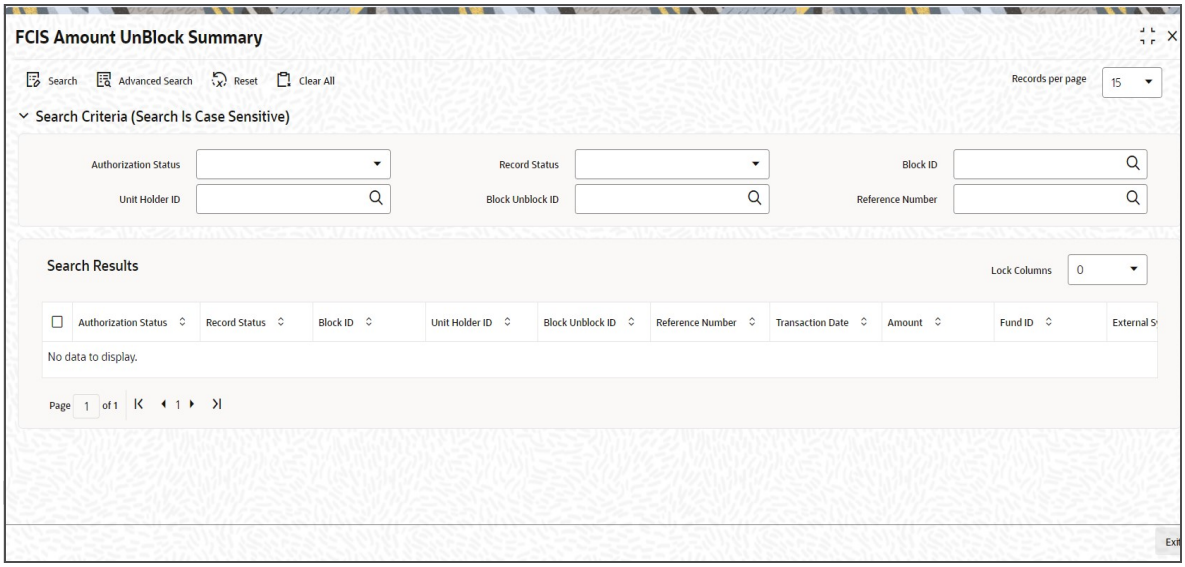
The redemption transaction is allocated by the End of Day (EOD) process on the redemption transaction date. The NAV considered for the allocation is the prevalent NAV on the redemption transaction date.

When an unblock escalation occurs, a redemption transaction is inserted for the unblocked amount by the BOD process on the date of escalation, and allocated by the EOD process on the date of escalation. The NAV considered for the allocation is the prevalent NAV on the date of escalation.

6.7.2 Retrieving Amount Block/ Unblock Summary Screens

You can perform all these operations through the Amount Block/Unblock Transaction Summary screens.

Invoke the Amount Block or Unblock Summary screen by typing ‘UTSAMT06 or UTSAMT07’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.



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

- In the browser, select the Amount Block Summary or the Amount Unblock Summary options, from the Transaction menu category of the Agency Branch module:
  - The status of the block/unblock transaction in the Authorized field. If you choose the “Blank Space” option, then all the transactions that involve the specified unit holder are retrieved.
  - The status of the block/unblock Transaction in the Open field. If you choose the “Blank Space” option, then all the transactions that involve the specified unit holder are retrieved.
  - Block ID
  - Block Unblock ID
  - Unit Holder ID
  - Reference Number
- Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

Note

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

- Press F7
- Input the unit holder ID
- Press F8

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

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

Example

You can search the record for unit holder ID by using the combination of % and alphanumeric value as follows:-

- Search by A%: System will fetch all the records whose unit holder ID starts from Alphabet ‘A’. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose unit holder ID ends by numeric value’ 7’. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%:- System will fetch all the records whose unit holder ID contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.

6.7.3 Editing Amount Block/ Unblock Transaction

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

- Invoke the Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed transactions. The Amount Block/ Unblock screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click ‘Ok’ button to save your changes. Amount Block/ Unblock Detail screen is closed and the changes made are reflected in the Amount Block/ Unblock Summary screen.

6.7.4 Viewing Amount Block/ Unblock Transaction

To view an amount Block/Unblock transaction that you have previously entered, you must retrieve the same in the Amount Block/Unblock Transaction Summary screen, as follows:

- From the main menu, invoke the Transaction menu. Select Amount Block/ Unblock transaction type, and choose the Summary option. The Amount Block/Unblock Transaction Summary screen is opened.
- In the Authorization Status field, select the status of the block/unblock transaction that you want to retrieve for viewing. You can view records of transactions that are:
  - Unauthorized
  - Authorized
- To retrieve the block/unblock transaction that is to be viewed, specify any or all of the details of the transaction in the corresponding fields on the screen, and click ‘Search’ button. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the block/unblock transaction that you want to view in the list of displayed transactions, in the lower portion of the screen.
- The Amount Block/Unblock Transaction Detail screen is opened by double clicking the selected transaction, with the selected transaction displayed in view mode

6.7.5 Deleting Amount Block/ Unblock Transaction

You can delete only unauthorized Block/Unblock transactions in the system.

To delete an amount block/unblock transaction that you have previously entered, you must retrieve the same in the Transaction Summary screen, as follows:

- From the main menu, invoke the Transaction Input menu. Select Block transaction type and choose the Summary option. The Block Amount Transaction Summary screen is opened.
- In the Authorization Status field, select the status of the Block transaction that you want to retrieve for deletion. You can only delete records of transactions that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- To retrieve the Block transaction that is to be deleted, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All Block transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the Amount Block transaction that you want to delete in the list of displayed transactions, in the lower portion of the screen.
- The Block Transaction Detail screen is opened by double clicking on the selected row in view mode, with the selected amount block/unblock transaction displayed
- 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.

6.7.6 Authorizing Amount Block/ Unblock Transactions

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

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

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

6.7.7 Amending Amount Block / Unblock Transactions

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

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

6.7.8 Authorizing Amended Amount Block/ Unblock Transactions

An amended Amount Block/ Unblock transactions record must be authorized for the amendment to be made effective in the system. The authorization of amended records can only be done from Fund Manager Module and Agency branch Module.

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

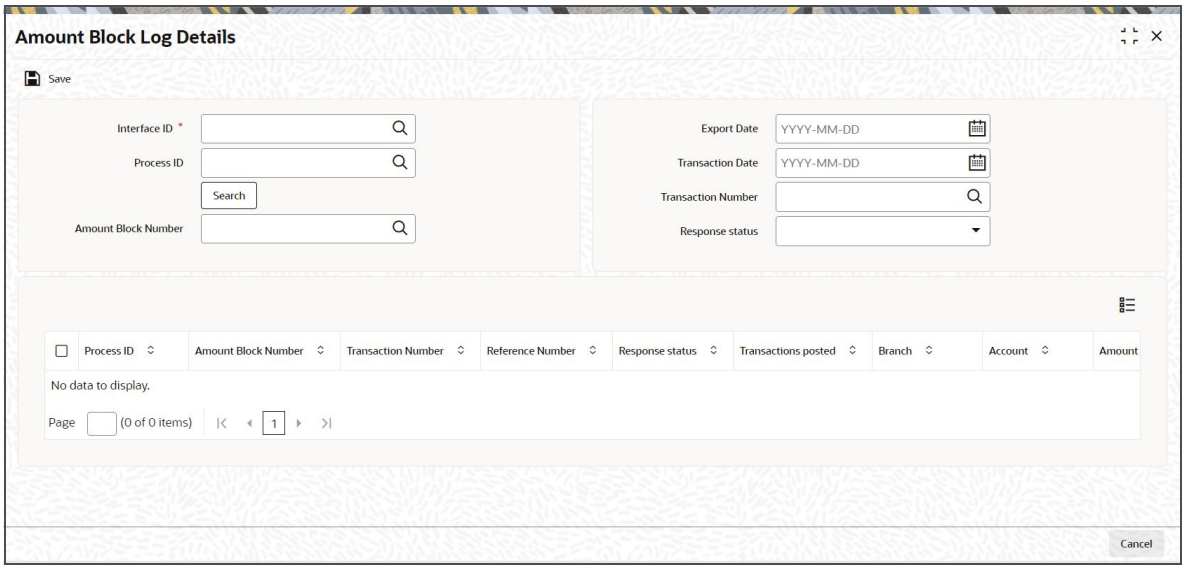
6.8 Amount Block Log Details

This section contains the following topic:

Section 6.8.1, "Invoking Amount Block Log Details Screen"

6.8.1 Invoking Amount Block Log Details Screen

You can log amount block details using ‘Amount Block Log Details’ screen. You can invoke this screen by typing ‘UTDAMLOG’ in the field at the top right corner of the Application tool bar.



You can specify the following details:

Interface ID

Alphanumeric, 16 Characters; Mandatory

Specify the interface ID. Alternatively, you can select interface ID from the option list. The list displays only the ‘Import From External System to Amount Block’ interface.

Process ID

Alphanumeric, 50 Characters; Optional

Specify the Process ID. Alternatively, you can select process ID from the option list. The list displays all process IDs for which import for amount block is done.

Export Date

Date Format; Mandatory

Select date of export from the adjoining calendar.

Transaction Date

Date Format; Optional

Select date of transaction from the adjoining calendar.

Transaction Number

Alphanumeric; 16 Characters; Optional

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

Amount Block Number

Alphanumeric; 35 Characters; Optional

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

Response Status

Alphanumeric; Optional

Specify the response status.

After specifying the necessary details, click ‘Search’ button. The system displays the following values:

- Process ID
- Amount Block Number
- Transaction Number
- Reference Number
- Response status
- Transactions posted
- Branch
- Account
- Amount
- Export Date
- Error Code
- Error Description
- Remarks

7. Function ID Glossary

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UTDADJ02 6-14
UTDADJ03 6-1
UTDAMLOG 6-36
UTDAMT06 6-19
UTDAMT07 6-25
UTDAUSWB 5-127
UTDAUTCO 4-325
UTDBUTD 5-110
UTDCHEQP 5-142
UTDCHQTR 5-112
UTDCNRED 4-163
UTDCNTXN 4-112
UTDCNVTX 5-145
UTDDVOID 5-71
UTDERRED 4-167
UTDFIN 2-1
UTDGENGO 5-56
UTDGOCNF 5-33
UTDGOMNT 5-27
UTDGORCN 5-40
UTDGOSTL 5-48
UTDHLPDS 5-92
UTDIDYCK 5-82
UTDOLT 5-65
UTDPYCLR 5-12
UTDREDLC 5-152
UTDREFMA 5-138
UTDRSPM 2-51
UTDRTAIO 5-100
UTDSEREM 5-98
UTDSILAG 2-42
UTDSIN 2-1
UTDSPMNT 5-118
UTDTRA01 4-10
UTDTRA02 4-71
UTDTRA03 4-118
UTDTRA04 4-168
UTDTRA05 4-220
UTDTRA06 4-248
UTDTRA07 4-265
UTDTRA08 4-280
UTDTRA09 4-294
UTDTRA10 4-308
UTDTRDRS 5-58
UTDTXN01 4-10
UTDTXN02 4-71
UTDTXN03 4-118
UTDTXN04 4-168
UTDTXN05 4-220
UTDTXN06 4-248
UTDTXN07 4-265
UTDTXN08 4-280
UTDTXN09 4-294
UTDTXN10 4-308
UTDTXNAU 5-143
UTDTXNB 4-56
UTDTXNCU 2-57
UTDTXNEE 5-6, 5-10
UTDTXNLO 5-17
UTDTXNLT 4-213
UTDUHBAL 5-3
UTDUHDEL 2-50
UTDUHPR 5-85
UTDVOID 5-78
UTSADJ02 6-15
UTSADJ03 6-11
UTSAMT06 6-32
UTSAMT07 6-32
UTSAUSWB 5-135
UTSCHQTR 5-115
UTSCNTXN 4-115
UTSCNVTX 5-150
UTSFIN 2-38
UTSGOCNF 5-37
UTSGOENQ 5-55
UTSGOMNT 5-30
UTSGORCN 5-45
UTSGOSTL 5-51
UTSHLPDS 5-95
UTSOLT 5-68
UTSREFMA 5-139
UTSRSPM 2-54
UTSRTAIO 5-105
UTSSILAG 2-44
UTSSIN 2-38
UTSSPMNT 5-125
UTSTRA01 4-52
UTSTRA02 4-108
UTSTRA03 4-160
UTSTRDRS 5-59
UTSTXN01 4-52

UTSTXN02 4-108
UTSTXN03 4-160
UTSTXN04 4-210

UTSTXN05 4-245
UTSTXN06 4-261
UTSTXN07 4-276
UTSTXN08 4-290
UTSTXN09 4-304
UTSTXN10 4-318
UTSTXNB 4-68
UTSTXNLO 5-24
UTSUHDEL 2-47
UTSVOID 5-74, 5-79