Oracle® FLEXCUBE Investor Servicing
Core Maintenance

Release 14.7.6.0.0

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Contents

Preface

1   Country Preference

2   Create Entity

3   Segment

4   Source Currency Pair

5   Time Zone

6   Branch Preferences

Preface

Oracle FLEXCUBE Investor Servicing is a comprehensive mutual funds automation software from Oracle® Financial Servicing Software Ltd.©.

You can use the system to achieve optimum automation of all your mutual fund investor servicing processes, as it provides guidelines for specific tasks, descriptions of various features and processes, and general information.

This topic contains the following sub-topics:

- Purpose
- Audience
- Documentation Accessibility
- Critical Patches
- Diversity and Inclusion
- Conventions
- Screenshot Disclaimer
- Acronyms and Abbreviations

Purpose

This manual is designed to help acquaint you with the installation of **Oracle FLEXCUBE Investor Servicing** application.

Audience

This manual is intended for the following User/User Roles:

Table 1   Users and Roles

Users	Roles
Implementation team	Implementation of Oracle FLEXCUBE Investor Servicing
Presales team	Install Oracle FLEXCUBE Investor Servicing for demo purpose
Bank personnel	Who installs Oracle FLEXCUBE Investor Servicing

Documentation Accessibility

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

Access to Oracle Support

Oracle customer access to and use of Oracle support services will be pursuant to the terms and conditions specified in their Oracle order for the applicable services.

Critical Patches

Oracle advises customers to get all their security vulnerability information from the Oracle Critical Patch Update Advisory, which is available at Critical Patches, Security Alerts and Bulletins. All critical patches should be applied in a timely manner to ensure effective security, as strongly recommended by Oracle Software Security Assurance.

Diversity and Inclusion

Oracle is fully committed to diversity and inclusion. Oracle respects and values having a diverse workforce that increases thought leadership and innovation. As part of our initiative to build a more inclusive culture that positively impacts our employees, customers, and partners, we are working to remove insensitive terms from our products and documentation. We are also mindful of the necessity to maintain compatibility with our customers' existing technologies and the need to ensure continuity of service as Oracle's offerings and industry standards evolve. Because of these technical constraints, our effort to remove insensitive terms is ongoing and will take time and external cooperation.

Conventions

The following text conventions are used in this document:

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.
italic	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
`monospace`	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

Screenshot Disclaimer

Personal information used in the interface or documents is dummy and does not exist in the real world. It is only for reference purposes.

Acronyms and Abbreviations

The list of the acronyms and abbreviations used are as follows:

Table 2   Acronyms and Abbreviations

Abbreviation	Description
FCIS	Oracle FLEXCUBE Investor Servicing
OEM	Oracle Enterprise Manager

Table 2   (Cont.) Acronyms and Abbreviations

Abbreviation	Description
EMS	Electronic Messaging Service
EJB	Enterprise Java Bean
MDB	Message Driven Beans

1

Country Preference

This topic provides information on Country Preference.

This topic contains the following sub-topics:

- Create Country Preference
  This topic provides the instructions to create Country Preference.

- View Country Preference Screen
  This topic provides the systematic instructions to perform the basic operations on the selected records.

1.1 Create Country Preference

This topic provides the instructions to create Country Preference.

Oracle FLEXCUBE Investor Servicing provides the facility to associate certain attributes for countries maintained in the system.

You can define the reputation risk of a country, the EUSD option associated with it and assign alpha codes in the Country Preference Maintenance screen.

1. Access the **Create Country Preference** screen by typing **Create Country Preference** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **Create Country Preference** within **Country Preference**.

   The **Create Country Preference** screen is displayed.

   Figure 1-1   Create Country Preference

2. On the **Create Country Preference** screen, specify the fields.

   For more information on fields, refer to the field description table.

Table 1-1   Create Country Preference - Field Description

Field	Description
Country Code	*Alphanumeric; 3 Characters; Mandatory* Select the country for which you wish to define country preferences.
CRRT Risk Level	*Optional* Select the CRRT, the Country Reputation Risk Table associated with the country from the drop-down list. The reputation risk level may either be **High** or **Low**. **High** implies that it is a high-risk country while **Low** indicates cautionary risk country. While creating a unit holder, if the unit holder domicile country is listed in the CRRT list, then system throws up an error depending on the country risk level.
EUSD Options	*Optional* You need to associate a **(European Union Savings Directive (EUSD)** option with each country. Based upon unit holder's country of domicile, the corresponding EUSD option of that country will get defaulted during unit holder creation. The list displays the following values: • **With Holding Tax** • **Exchange of Information** By default, no option will be selected. If no option is selected the system will consider that the EUSD is not applicable, and the system will not track the average cost as required for EUSD. If any of the option is selected, then the system will consider that the EUSD is applicable. The EUSD option at transaction level will be defaulted from the unit holder's EUSD Option. You can also modify the EUSD option at transaction level. The transaction level option will be taken as the EUSD option. The following EUSD Options would be available at transaction level. • **With Holding Tax (WHT)** - EUSD tax is computed and deducted • **Exchange of Information (EOI)** - EUSD tax is computed but not deducted • **Tax Certificate (TCE)** - EUSD tax is computed but not deducted For all the above three options, the system will calculate the EUSD tax. However, if you select With Holding Tax, the system will deduct it from the settlement amount.
Alpha Country Code	*Alphanumeric; 2 Characters; Optional* Mention the country code in ISO alpha-2 format.

1.2 View Country Preference Screen

This topic provides the systematic instructions to perform the basic operations on the selected records.

Once the country preferences are configured, another user must authorize them for the settings to take effect in the system. Country preferences for unauthorized records will not be applied within the system.

Retrieve Country Preference Details

1. Access the **View Country Preference** screen by typing **View Country Preference** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **View Country Preference** within **Country Preference**.

The **View Country Preference** screen is displayed.

Figure 1-2   View Country Preference

> **Note:**
>
> The appearance and layout of the screen may change. In the screenshot above, the Search Filter appears in the right corner, but it could be updated to display the results at top instead.

2. On **View Country Preference** screen, specify any or all of the following details in the corresponding fields:

   • **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.

   • **Record status**

   • **The Country Code**

   • **EUSD Options**

   • **CRRT Risk Level**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the screen.

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

   Search by Z%: System will fetch all the records whose country code starts from Alphabet Z.

• Edit Country Preference Details
  This topic provides the systematic instructions to edit View Country Preference record.

• View Country Preference Details
  This topic provides the systematic instructions to view Country Preference Details record.

- Delete Country Preference Details
  This topic provides the systematic instructions to delete View Country Preference Details record.

- Authorize Country Preference Details
  This topic provides the systematic instructions to authorize View Country Preference Details.

- Amend Country Preference Details
  This topic provides the systematic instructions to amend View Country Preference Details record.

- Copy Attributes
  This topic provides the systematic instructions to copy View Country Preference Details record.

1.2.1 Edit Country Preference Details

This topic provides the systematic instructions to edit View Country Preference record.

Modify the details of country preference that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **View Country Preference** screen from the Browser.

2. 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.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

4. Click **Search** button.

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

5. Click the three-dot icon and select **Unlock** operation to modify the record.

   The **Create Country Preference** screen is displayed.

6. Modify the necessary information.

7. Click **Save** to save your changes.

   The **Create Country Preference** screen is closed and the changes made are reflected in the **View Country Preference** screen.

1.2.2 View Country Preference Details

This topic provides the systematic instructions to view Country Preference Details record.

View a record that you have previously input by retrieving the same in the **View Country Preference** screen. Perform this operation as follows:

1. Start the **View Country Preference** screen from the Browser.

2. 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.

3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Click the three-dot icon and click **View**.

   The **View Country Preference** screen is displayed in view mode.

1.2.3 Delete Country Preference Details

This topic provides the systematic instructions to delete View Country Preference Details record.

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

1. Start the **View Country Preference** screen from the Browser.

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

3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Click the three-dot icon and select **Delete** operation.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

1.2.4 Authorize Country Preference Details

This topic provides the systematic instructions to authorize View Country Preference Details.

Authorize an unauthorized View Country Preference details in the system for it to be processed as follows:

1. Start the **View Country Preference** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.

3. Specify any or all of the details and click **Search** button.

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

4. Click the three-dot icon and select **Authorize** operation.

   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.

   The dialog window appears to authorize record.

1.2.5 Amend Country Preference Details

This topic provides the systematic instructions to amend View Country Preference Details record.

Modify the details of an authorized record using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **View Country Preference** screen from the Browser.

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

3. 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.

4. Click the three-dot icon and select **Unlock** button.

   The **Create Country Preference** screen is displayed.

5. Amend the necessary information and click **Save and Close** to save the changes.

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

1.2.6 Copy Attributes

This topic provides the systematic instructions to copy View Country Preference Details record.

To create a new record that you have previously created. Perform this operation as follows:

1. Start the **View Country Preference** screen from the Browser.

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

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

4. Click **Search**.

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

5. Click the three-dot icon and select **Copy** operation of the record which attributes you want to copy.

   The **Create Country Preference** screen is displayed in Amendment mode with few/all attributes were copied except key attributes.

6. Amend the necessary information. Click the **Save** button to save the changes.

2
Create Entity

This topic provides detailed information on the Create Entity.

This topic contains the following sub-topics:

- Setting up Entities
  This topic provides information on Setting up Entities.

- Process Create Entity
  This topic provides the instructions to process Create Entity.

- Basic Information Segment
  This topic provides detailed information on the Basic Information Segment.

- Address Detail
  This topic provides information on Address Details tab of **Create Entity** screen.

- Bank Details
  This topic explains the Bank Details segment of **Create Entity** screen..

- CPF Account Types
  This topic provides information on CPF Account Types tab of **Create Entity** screen.

- Default Broker Details
  This topic explains the Default Broker Details of **Create Entity** screen.

- Related Parties Segment
  This topic explains the Related Parties tab of **Create Entity** screen.

- View Entity Summary Screen
  This topic provides the systematic instructions to perform the basic operations on the selected records.

2.1 Setting up Entities

This topic provides information on Setting up Entities.

Each business entity that the AMC/Distributor interacts with in the course of managing investment can be profiled in the OBIS system with a unique profile.

You can use the Create Entity screen to set up the following entities in the system:

- 1 - Cash management Account

- 2 - Individual Savings Account (ISA) Manager

- 3 - Related Parties

- 4 - Standing Instruction

- 6 - Third Party

- A - Agent

- C - Bulk Client

- D - Distributor

- E - Participating Employer

- G - Legal Entity

- H - Bank Branch

- I - Independent Financial Advisors (IFA)

- J - Fund Manager

- K - Bank

- L - Clearing Agent

- M - AMC

- N - Agency Branch

- O - Account Officer

- P - Service Provider

- Q - Check Vendor

- R - Registrar

- S - Custodian

- T - Trustee

- V - Accounting and Valuation Agent

- W - Underwriter

- X - Paying Agent

- Y - Product Administrator

2.2 Process Create Entity

This topic provides the instructions to process Create Entity.

1. Access the **Create Entity** screen by typing **Create Entity** in the **Menu Item Search** option or navigating manually from **Menu** option.

2. Navigate to the **Menu**, select **Investor Servicing** and click **Create Entity** within **Entity**.

2.3 Basic Information Segment

This topic provides detailed information on the Basic Information Segment.

This topic contains the following sub-topics:

- General Information
  This topic explains the General Information section in the Basic Information tab of **Create Entity** screen.

- Basic Information
  This topic explains the Basic Information section in the Basic Information tab of **Create Entity** screen.

- Other Information
  This topic explains the Other Information section in the Basic Information tab of **Create Entity** screen.
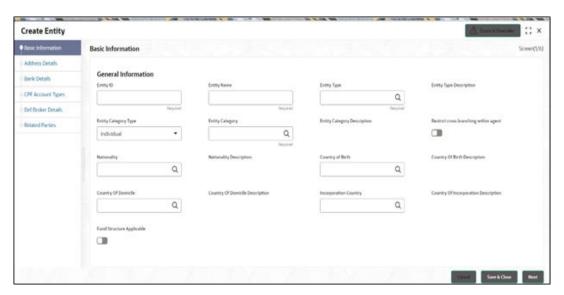
2.3.1 General Information

This topic explains the General Information section in the Basic Information tab of **Create Entity** screen.

1. On **Create Entity** screen, click **Basic Information** tab to enter the general information details.

   The **General Information** details are displayed.

   Figure 2-1   General Information

2. On the **General Information** tab, specify the fields.

   For more information on fields, refer to the field description table.

   Table 2-1   General Information - Field Description

Field	Description
Entity ID	*Alphanumeric; 12 Characters; Mandatory*
	The Entity ID is a unique Identification for an entity in the system. Any detail regarding an entity is obtained by using the entity ID for reference. The ID you specify here must be unique and not already in use for any other entity in the system.
Entity Name	*Alphanumeric; 60 Characters; Mandatory*
	Specify the name (or description) of the entity being set up in the system.

Table 2-1   (Cont.) General Information - Field Description

Field	Description
Entity Type	*Alphanumeric; 1 Characters; Mandatory* Specify the type of entity being set up. This could be any of the following: • 1 - Cash management Account • 2 - Individual Savings Account (ISA) Manager • 3 - Related Parties • 4 - Standing Instruction • 6 - Third Party • A - Agent • C - Bulk Client • D - Distributor • E - Participating Employer • G - Legal Entity • H - Bank Branch • I - Independent Financial Advisors (IFA) • J - Fund Manager • K - Bank • L - Clearing Agent • M - AMC • N - Agency Branch • O - Account Officer • P - Service Provider • Q - Check Vendor • R - Registrar • S - Custodian • T - Trustee • V - Accounting and Valuation Agent • W - Underwriter • X - Paying Agent • Y - Product Administrator
Entity Type Description	*Display* The system displays description for the specified entity type here based on the details maintained in the system.
Entity Category Type	*Optional* Select type of entity category from the drop-down list. The list displays the following values: • **Individual** • **Corporate** **Note**: AMC entity supports only corporate category.
Entity Category	*Alphanumeric; 2 Characters; Optional* Specify whether the entity being maintained belongs to the Individual or Corporate categories. This specification is optional; if specified, you must also select the appropriate category in the Entity Category field.
Entity Category Description	*Display* The system displays the description for the selected entity category.

Table 2-1   (Cont.) General Information - Field Description

| Field	Description
Restrict cross branching within agent	*Optional* Select Yes Cross Branching is allowed at this branch. By enabling this, the agency branch will be allowed to view details, perform transactions pertaining to the unit holders created by the other agency branches in the system. If this field is not clicked, the agency branch will be able to view details and transact for the unit holders created in this specific agency branch only.
Nationality	*Alphanumeric; 3 Characters; Optional* Select the nationality from the adjoining option list. Applicable when Entity Category Type is Individual.
Nationality Description	*Display* The system displays the description of the selected nationality code.
Country of Birth	*Alphanumeric; 3 Characters; Optional* Select the country of birth from the adjoining option list. Applicable when Entity Category Type is Individual.
Country Of Birth Description	*Display* The system displays the description of the selected country of birth code.
Country of Domicile	*Alphanumeric; 3 Characters; Optional* Select the country of domicile from the adjoining option list. Applicable when Entity Category Type is Individual.
Country Of Domicile Description	*Display* The system displays the description of the selected country of domicile code.
Incorporation Country	*Alphanumeric; 3 Characters; Optional* Select the Incorporation country from the adjoining option list. Applicable when Entity Category Type is Corporate.
Country Of Incorporation Description	*Display* The system displays the description of the selected country of incorporation code.
Fund Structure Applicable	*Optional* Select if fund structure is applicable or not from the adjoining drop-down list. Following are the options available: • **Yes** • **No** This feature is application only for AMC (M). If AMC has Fund Structure applicable, then it can be used in Legal Entity as parent entity. **Note**: • **Error & Overrides** option is available at top right corner of screen. This will help user to identify list of errors and override details. • **Next** button will help to move to next Segment. • **Back** button will help to move back to previous Segment. • **Cancel** button will help to cancel the current activity and close the Entity screen.
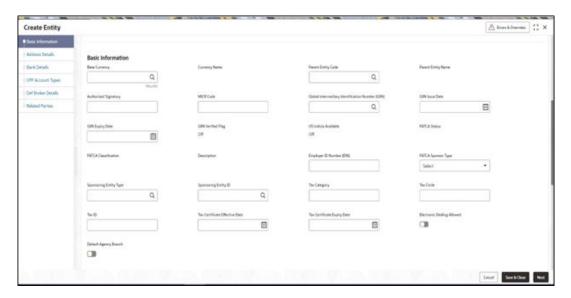
2.3.2 Basic Information

This topic explains the Basic Information section in the Basic Information tab of **Create Entity** screen.

1. On **Create Entity** screen, click **Basic Information** tab to enter the basic information details.

   The **Basic Information** details are displayed.

   Figure 2-2   Basic Information

2. On the **Basic Information** tab, specify the fields.

   For more information on fields, refer to the field description table.

   Table 2-2   Basic Information - Field Description.

Field	Description
Base Currency	*Alphanumeric; 3 Characters; Mandatory* Select the base currency of the entity, from the drop-down list. This is the currency in which the entity normally transacts.
Currency Name	*Display* The system displays the name of the currency for the selected base currency.
Parent Entity Code	*Alphanumeric; 12 Characters; Optional* Specify the parent entity code. The adjoining option list displays all valid parent entity code maintained in the system. You can choose the appropriate one. This is applicable only for specific entity types like Agency Branches and Bank Branches.
Parent Entity Name	*Display* The system displays the name for the selected parent entity code.
Authorized Signatory	*Alphanumeric; 70 Characters; Optional* Enter the name of the Authorized Signatory at the office of the AMC/ Distributor/Service Provider.

Table 2-2   (Cont.) Basic Information - Field Description.

Field	Description
MICR Code	*Alphanumeric; 12 Characters; Optional* Specify MICR code of the specified Bank here. This code is applicable for both Bank and Bank Branch entity.
Global Intermediary Identification Number (GIIN)	*Alphanumeric; 19 Characters; Optional* You can select or specify the GIIN from the adjoining option list. Sample format - XXXXXX.XXXXX.XX.XXX **Note**: Last 3 Characters are numeric.
GIIN Issue Date	*Date Format; Optional* Specify the GIIN issue date. The GIIN issue date cannot be greater than the application date.
GIIN Expiry Date	*Date Format; Optional* Specify the GIIN expiry date. The GIIN expiry date cannot be lesser than the GIIN issue date.
GIIN Verified Flag	*Display* System displays the GIIN verified flag based on the GIIN. If you specify the GIIN then, GIIN verified flag gets displayed as **No**. If you select the GIIN from LOV then, GIIN verified Flag gets displayed as **Yes**.
US Indicia Available	*Display* The system defaults US Indicia Available as **Yes** or **No** depending on any of the following: • The nationality is US • The country of birth is US • The country of domicile is US • The country of incorporation is US • The country of correspondence or alternate address is US • The country code of the telephone number is 01 • The country code of the bank branch address is US
FATCA Status	*Display* The system displays the FATCA Status based on the FATCA maintenance.
FATCA Classification	*Display* The system displays the FATCA classification type.
Description	*Display* The system displays the description for the selected FATCA classification.
Employer ID Number	*Alphanumeric; 50 Characters; Optional* Specify the employer ID number.
FATCA Sponsor Type	*Optional* Select the FATCA sponsor type from the adjoining drop-down list. The values are: • **Sponsoring Entity** • **Sponsored** If you select **Sponsoring Entity**, you need to specify the sponsoring entity type and sponsoring entity ID. If you select **Sponsored**, you need not to specify the sponsoring entity type and sponsoring entity ID.
Sponsoring Entity Type	*Alphanumeric; 1 Characters; Optional* Specify the sponsoring entity type. You can also select the valid entity type from the adjoining option list.

Table 2-2   (Cont.) Basic Information - Field Description.

| Field	Description
Sponsoring Entity ID	*Alphanumeric; 12 Characters; Optional* Specify the sponsoring entity for the FATCA entity type. You can also select the valid entity ID from the adjoining option list.
Tax Category	*Alphanumeric; 10 Characters; Optional* Specify the tax category.
Tax Circle	*Alphanumeric; 15 Characters; Optional* Specify the tax circle country details.
Tax ID	*Alphanumeric; 50 Characters; Optional* Specify the tax identification.
Tax Certificate Effective Date	*Date Format; Optional* Specify the date from which the tax certificate is effective.
Tax Certificate Expiry Date	*Date Format; Optional* Specify the expiry date of the tax certificate.
Electronic Dealing Allowed	*Optional* Check this box to enable specific AMC / Legal Entity for electronic dealing trades. This field will be available for the entity types AMC / Legal Entity.
Default Agency Branch	*Optional* Check this box to default the agency branch against an Agent. **Note**: Only one default Agency branch can be selected for an Agent
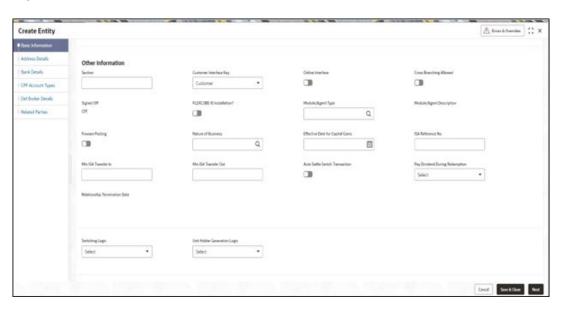
2.3.3 Other Information

This topic explains the Other Information section in the Basic Information tab of **Create Entity** screen.

1. On **Create Entity** screen, click **Basic Information** tab to enter the other information details.

   The **Other Information** details are displayed.

Figure 2-3   Other Information

2. On the **Other Information** tab, specify the fields.

For more information on fields, refer to the field description table.

Table 2-3   Other Information - Field Description.

Field	Description
Section	*Alphanumeric; 40 Characters; Mandatory* Specify any descriptive text about or qualification for the AMC being maintained.
Customer Interface Key	*Optional* This facility is to be used if customer information from an installation of Oracle FLEXCUBE Universal Banking (FCUB) is to be imported into the Oracle FLEXCUBE Investor Servicing (FC-IS) system using the bulk interface facility, for the creation of unit holder accounts. The customer interface key determines the level at which unit holder account creation must take place in the FC-IS system, for a given Customer Information File (CIF) in Oracle FLEXCUBE Universal Banking (FCUB) – either at CIF level or at a customer account level. Accordingly, you can indicate either of the following two options: • For each CIF, a corresponding unit holder may be created in the FC-IS system. For this option, choose CIF from the drop-down list in this field. • For each CASA (Customer Access System Account) account in a CIF, a corresponding unit holder may be created in the FC-IS system. For this option, choose Account from the drop-down list in this field. The FC-IS system will create corresponding unit holder accounts when the customer information is imported from Oracle FLEXCUBE Universal Banking (FCUB), according to option you exercise in this field. **Note**: If you select either FCR (FLEXCUBE Retail) or FCC (FLEXCUBE Corporate) as the Bulk Client Type, then you must specify the Customer Interface Key as mandatory information.
Online Interface	*Optional* Select **Yes** to utilize the created Bulk Client as online interface from the adjoining drop-down list, if you have maintained **Entity Type** as **Bulk Client**. This field is not applicable for other entity types.
Cross Branching Allowed	*Optional* Select **Yes** if you want to allow cross branching for the specified entity ID from the adjoining drop-down list. If you need to disallow cross branching, then select **No** from the adjoining drop-down list. This field is applicable only for Agency Branch entity type. It indicates whether Cross Branching is allowed or not in given agency branch. If you select **Yes**, Cross branching is True for a agency branch, Unit holders that are created in other agency branches are allowed to view and transact in this agency branch. Otherwise this agency branch is allowed to view and transact only for the unit holders that are created in the own agency branch. **Note**: In Global Transfer Agency Setup, this field is not amendable for Agency Branch Entity Type.
Signed Off?	*Display* This indicates whether the given Agency Branch has signed off for the day. This is not used at setup time but used only for EOD purposes. By default, when you set up an Agency Branch, the record is set up with the status **signed on**, which means this field has a **Off** value.

Table 2-3   (Cont.) Other Information - Field Description.

Field	Description
FLEXCUBE-IS Installed	*Optional* Select **Yes** from the drop-down list to check if Oracle FLEXCUBE Investor Servicing is installed at the Agency Branch.
Module/Agent Type	*Alphanumeric; 3 Characters; Optional* Select the type of the Module that is being set up. LOV values are populated based for Agent and Agency Branch Entity type. For Agent, following values are populated in LOV • 0 - NON BANK • 1 - BANK • 2 - SUB AGENT For Agency Branch, following values are populated in LOV: • **ABR - AGENCY BRANCH** • **ASB - BROKER BRANCH** • **ASU - UNITHOLDER BRANCH**
Module/Agent Description	*Alphanumeric; 60 Characters; Optional* The system displays description for the specified agent type.
Finware Posting	*Optional* Choose **Yes** if you wish to allow FINWARE posting.
Nature of Business	*Alphanumeric; 1 Characters; Optional* Specify the business avenues supported by the Entity. This option is only available for entities where the entity type is AMC/Distributor. For other Entity Types, User will receive warning message stating **Nature of Business** will not be saved. • **B - Both** • **L - Life Products** • **U - Unit Trust**
Effective Date for Capital Gains Calculations	*Date Format, Mandatory* Specify the date on which capital gains calculations must begin, for the AMC/Distributor. This feature is only available if your installation has specifically requested for it. It is mandatory for you to specify the effective date if EUSD average cost is to be computed.
ISA Reference Number	*Alphanumeric;5 Characters;Optional* Specify ISA reference number.
Min ISA Transfer In	*Numeric;30 Characters(18 Precisions and 12 Decimals);Optional* Specify the minimum ISA that is validated during the transfer in. **Note**: Maximum decimal value is derived based on decimal set up of **Base Currency** in Currency maintenance.
Min ISA Transfer Out	*Numeric;30 Characters(18 Precisions and 12 Decimals);Optional* Specify the minimum ISA that is validated during the transfer out. **Note**: Maximum decimal value is derived based on decimal set up of 'Base Currency' in Currency maintenance.

Table 2-3   (Cont.) Other Information - Field Description.

Field	Description
Auto Settle Switch Transaction	*Optional* Select if switch in transactions needs to be auto settled or not from the adjoining drop-down list. Following are the options available: • **Yes** • **No** This field is enabled only for AMC entity type. While saving, If **Fund Structure Applicable** and **Auto Settle Switch Transaction** fields are selected as **Yes** for other Entity types (apart from AMC), then the system will display the warning message as Selected field (fund structure applicable/Auto settle switch transaction) not applicable for the entity type.
Pay Dividend During Redemption	*Optional* Select pay dividend during redemption status from the drop-down list. The list displays the following values: • **100% Only** • **ALL**
Relationship Termination Date	*Display* The system displays the relationship termination date. This is applicable only for AMC type.
Switching Logic	*Optional* Select the type of logic to be enforced by the AMC in accepting switch transactions from the drop-down list. The list displays the following values: • Switch transactions restricted to fund family: In this case, switch transactions will be accepted only if the From and To funds are part of the same fund family. Cross-fund family switching is not allowed. • Switch transactions within AMC: In this case, switch transactions are accepted across fund families so long as both families belong to the same AMC. • No Restrictions For distributor installations, the switching logic will not be applicable.

Table 2-3   (Cont.) Other Information - Field Description.

Field	Description
Unit Holder Generation Logic	*Optional* Click on the drop-down menu and choose any one of the options available as follows: • AGT&BRN&SERIAL • SERIAL&AMC/DIST&CHK • SERIAL&AGT&CHK • No Logic • Reference Number • AJFGeneration Logic • Ctry(1)&Busi(1)&FMG/DIST&A-Z(1)&NUM(5) stands • InstallationId(4)&(A-Z)(1)&Num(7) This option enables multiple AMC branches to opt for different unit holder ID generation logic. Therefore, the UH Generation Logic field will be a valid value from UH generation table for a specific AMC, service provider, or a distributor. • The first option is, AGT&BRN&SERIAL&CHK stands for the Agent Code, Branch Code, Serial Number and Check Digit. • The second option is, SERIAL&AMC&CHK stands for the Serial Number, AMC ID (or Distributor ID) and Check Digit. • The third option is, SERIAL&AGT&CHK stands for the Serial Number, Agent Code and Check Digit. • The fourth option is, LEADINGZERO&SERIAL stands for Leading Six Zeros and a running Serial Number. • The fifth option is, Unit Holder ID is assigned with User entered Unit Holder Reference Number. • The sixth option is, AJF Generation Logic • The seventh option is, Ctry(1)&Busi(1)&FMG/DIST(4)&A-Z(1)&NUM(5) stands for Country Code, Business Type, AMC ID (or Distributor ID), a running Serial character and running Serial Number. **Note**: The above option is applicable only for service provider installations. • The eight option is, <Installed Entity ID/ 4 characters segment code> + Sequence Type + Running Serial No
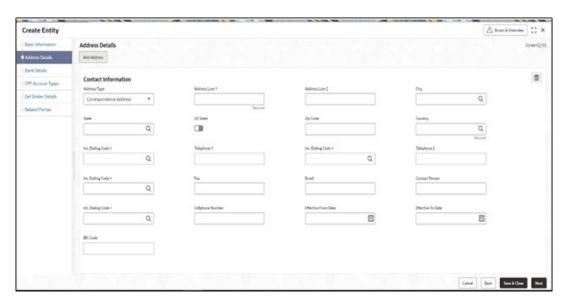
2.4 Address Detail

This topic provides information on Address Details tab of **Create Entity** screen.

As part of contact information, you can capture correspondence address, alternate address and SWIFT address.

1. On the **Create Entity** screen, click **Address Detail** tab to enter the following details.

   The **Address Details** are displayed.

Figure 2-4   Address Details

2. On the **Address Detail** tab, specify the fields.

    For more information on fields, refer to the field description table.

Table 2-4   Address Detail - Field Description

Field	Description
Address Type	*Mandatory*
	Select the type of address from the drop-down list. The list displays the following values:
	• **Correspondence Address**
	• **Alternate Address**
	• **Swift Address**
Address Lines 1	*Alphanumeric; 105 Characters; Mandatory*
	Enter the address of the entity being set up in the system.
Address Lines 2	*Alphanumeric; 105 Characters; Optional*
	Enter the address of the entity being set up in the system.
City	*Alphanumeric; 80 Characters; Optional*
	Enter the city where the entity is located. You can select the city from the drop down list provided. The available options depend on the values defined at the params maintenance. If the city is not available in the list, you can specify the city in the field provided alongside.
State	*Alphanumeric; 80 Characters; Optional*
	Enter the state where the city is located. You can select the state from the drop-down list provided. The available options depend on the values defined at the params maintenance. If the state is not available in the list, you can specify the city in the field provided alongside.
US State	*Optional*
	Select **Yes** option from drop-down list to indicate that the specified state is a United state (US) .
Zip Code	*Alphanumeric; 10 Characters; Optional*
	Enter the Zip Code of the Address of the entity being set up.

Table 2-4   (Cont.) Address Detail - Field Description

Field	Description
Country	*Alphanumeric; 3 Characters; Optional* Select the country in which the entity is based, from the drop-down list. If the **Address Type** is SWIFT Address, enter the country of the SWIFT address for the entity.
Int. Dialing Code +	*Alphanumeric; 10 Characters; Optional* Specify the international dialing code.
Telephone 1	*Alphanumeric; 60 Characters; Optional* Enter the telephone number of the entity who is being set up in the system.
Int. Dialing Code +	*Alphanumeric; 10 Characters; Optional* Specify the international dialing code.
Telephone 2	*Alphanumeric; 60 Characters; Optional* Enter the telephone number of the entity who is being set up in the system.
Fax Number	*Alphanumeric; 120 Characters; Optional* Enter the fax number of the entity who is being set up in the system.
Email	*Alphanumeric; 255 Characters; Optional* Specify the Email address of the entity being set up.
Contact Person	*Alphanumeric; 70 Characters; Optional* Enter the name of the contact person at the entity's offices.
Int. Dialing Code +	*Alphanumeric; 10 Characters; Optional* Specify the international dialing code.
Cell Phone Number	*Alphanumeric; 60 Characters; Optional* Specify the cell phone number of the entity being set up.
Effective From Date	*Date Format; Optional* This is applicable if the **Address Type** is **Alternate Address**. Specify the date that marks the beginning of the period for which the specified alternate address is in effect.
Effective To Date	*Date Format; Optional* This is applicable if the **Address Type** is **Alternate Address**. Specify the date that marks the end of the period for which the specified alternate address is in effect.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the **Bank Identifier Code (BIC)** of the entity.

2.5 Bank Details

This topic explains the Bank Details segment of **Create Entity** screen..

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

Bank details can be captured for all entities other than Bank Branches, and are optional for all entities except AMCs and Distributors. For Banks, you can capture the details of Correspondent Banks as part of the bank details.
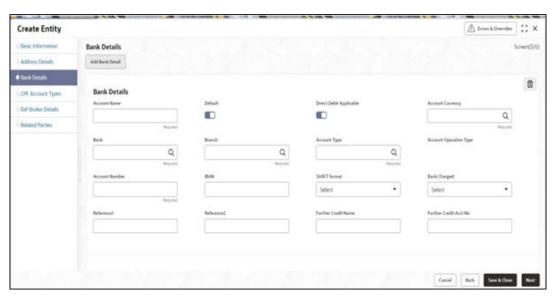
Commission payments for an entity are made to the default settlement account designated in the **Income Distribution Setup (IDS)** record maintained for the entity. If no IDS have been maintained, the default bank account designated in the entity details record is considered as the default settlement account.

You can capture the following details for each entity bank account:

- Bank and branch in which the account resides

- Account number

- Account name and the owner of the account

- Account currency

- Whether direct debits are allowed for the account

- Whether the account is the default account for the entity

1. On **Create Entity** screen, click **Bank Details** tab to enter the following details.

   The **Bank Details** are displayed.

   Figure 2-5   Bank Details

2. On the **Bank Details** tab, specify the fields.

   For more information on fields, refer to the field description table.

   Table 2-5   Bank Details - Field Description.

Field	Description
Account Name	*Alphanumeric; 100 Characters; Mandatory* Specify the name in which the entity holds the specified bank account.

Table 2-5   (Cont.) Bank Details - Field Description.

Field	Description
Default	*Optional* Select **Yes** from drop-down list to identify the bank account that is to be reckoned as the default bank account for the entity in the system, for the selected currency
Direct Debit Applicable	*Optional* You can use this field to indicate whether direct debits may be raised in respect of the bank account you are defining for the entity. Select **Yes** to indicate that direct debits are allowed; leave it unchecked to indicate that they are not.
Account Currency	*Alphanumeric; 3 Characters; Optional* From the list, select the currency that the specified bank account uses. You can maintain any number of accounts in each currency; however, you must designate one default bank account for each currency.
Bank	*Alphanumeric; 12 Characters; Optional* From the list, select the name of the bank in which the account is held.
Branch	*Alphanumeric; 60 Characters; Optional* From the list, select the name of the branch of the bank in which the account is held.
Account Type	*Alphanumeric; 1 Characters; Optional* From the list, select the nature of the account held by the entity. The list provides all account types that have been set up in the Account Type Maintenance records.
Account Operation Type	*Display* The system displays the description of account operation type.
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the number of the account held by the entity in the selected bank.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the **International Bank Account Number (IBAN)** of the account holder.
Swift Format	*Optional* Indicate one of the following swift formats from the drop-down list: • MT103 • MT102
Bank Charged	*Optional* Indicate one of the following from the drop-down list:
Reference 1	*Alphanumeric;35 Characters; Optional* Enter the first reference
Reference2	*Alphanumeric;35 Characters; Optional* Specify the second reference.
Further Credit Name	*Alphanumeric;35 Characters; Optional* Specify the further credit name.
Further Credit Acct No	*Alphanumeric;35 Characters; Optional* Specify the further credit account number.

• Beneficiary Details
  This topic explains the Beneficiary Details of Bank Details tab.

• Intermediary Details
  This topic explains the Intermediary Details of Bank Details tab.
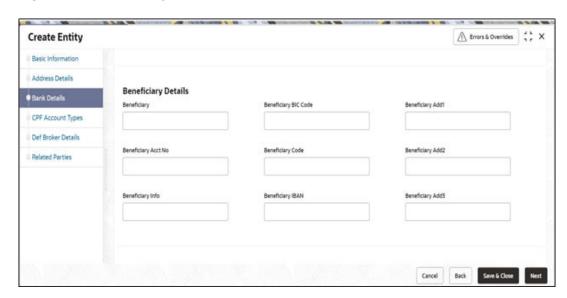
2.5.1 Beneficiary Details

This topic explains the Beneficiary Details of Bank Details tab.

1. On **Create Entity** screen, click **Bank Details** tab to enter the beneficiary details.

   The **Beneficiary Details** are displayed.

   Figure 2-6   Beneficiary Details

2. On the **Bank Details** tab, specify the fields.

   For more information on fields, refer to the field description table.

   Table 2-6   Beneficiary Details - Field Description.

Field	Description
Beneficiary	*Alphanumeric; 35 Characters; Mandatory* Enter the beneficiary Details.
Beneficiary BIC Code	*Alphanumeric;24 Characters; Optional* Specify the BIC code of the beneficiary.
Beneficiary Acct No	*Alphanumeric;34 Characters; Optional* Specify the account number of the beneficiary.
Beneficiary Info	*Alphanumeric;100 Characters; Optional* Specify the information about the beneficiary.
Beneficiary Code	*Alphanumeric;24 Characters; Optional* Specify the code of the beneficiary.
Beneficiary IBAN	*Alphanumeric;40 Characters; Optional* Specify the beneficiary IBAN.
Beneficiary Add1	*Alphanumeric;105 Characters; Optional* Specify the first line of beneficiary address.
Beneficiary Add2	*Alphanumeric;105 Characters; Optional* Specify the second line of beneficiary address.

Table 2-6   (Cont.) Beneficiary Details - Field Description.
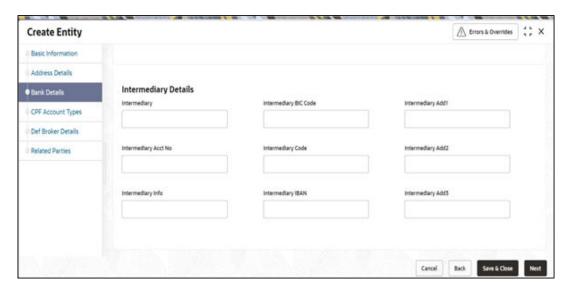
Field	Description
Beneficiary Add3	*Alphanumeric;105 Characters; Optional* Specify the third line of beneficiary address.

2.5.2 Intermediary Details

This topic explains the Intermediary Details of Bank Details tab.

1. On **Create Entity** screen, click **Bank Details** tab to enter the intermediary details.

   The **Intermediary Details** are displayed.

Figure 2-7   Intermediary Details

2. On the **Intermediary Details** tab, specify the fields.

   For more information on fields, refer to the field description table.

Table 2-7   Intermediary Details - Field Description.

Field	Description
Intermediary	*Alphanumeric; 35 Characters; Mandatory* Specify the intermediary details.
Intermediary Acct No	*Alphanumeric;34 Characters; Optional* Specify the account number of the intermediary.
Intermediary Info	*Alphanumeric;100 Characters; Optional* Specify the information about the intermediary.
Intermediary BIC Code	*Alphanumeric;24 Characters; Optional* Specify the BIC Code of the intermediary.
Intermediary Code	*Alphanumeric;24 Characters; Optional* Specify the code of the intermediary.
Intermediary IBAN	*Alphanumeric;40 Characters; Optional* Specify the intermediary IBAN

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Table 2-7   (Cont.) Intermediary Details - Field Description.

Field	Description
Intermediary Add 1	*Alphanumeric;105 Characters; Optional* Specify the first line of beneficiary intermediary.
Intermediary Add 2	*Alphanumeric;105 Characters; Optional* Specify the second line of beneficiary intermediary.
Intermediary Add 3	*Alphanumeric;105 Characters; Optional* Specify the third line of beneficiary intermediary.

2.6 CPF Account Types

This topic provides information on CPF Account Types tab of **Create Entity** screen.

1. On **Create Entity** screen, click **CPF Account Types** tab to enter the CPF account types.

   The **CPF Account Types** screen is displayed.

Figure 2-8   CPF Account Types

2. Click **Add** icon in the **CPF Account Types** screen to maintain **Central Provident Fund (CPF)** account types.
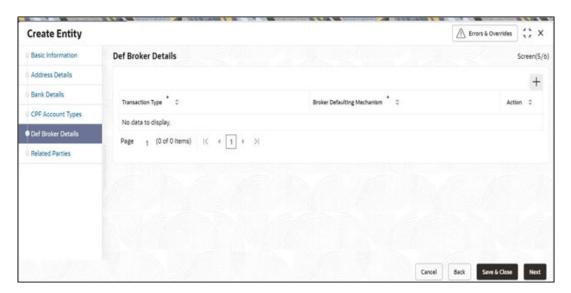
2.7 Default Broker Details

This topic explains the Default Broker Details of **Create Entity** screen.

1. On **Create Entity** screen, click **Default Broker Details** tab to maintain the following Default Broker details.

   The **Default Broker Details** screen is displayed.

Figure 2-9   Default Broker Details

2. On the **Default Broker Details** screen, click **Add** icon to specify the fields.

For more information on fields, refer to the field description table.

Table 2-8   Default Broker Details - Field Description.
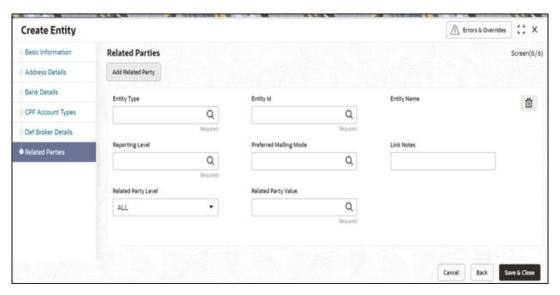
Field	Description
Transaction Type	*Alphanumeric;20 Characters; Mandatory* Indicate the type of transaction for which you are specifying the broker details defaulting preferences. You can specify the defaulting preferences for IPO Subscription, Subscription, Redemption, Switch, Transfer and Reinvestment type of transaction.
Broker Defaulting Mechanism	*Alphanumeric; 3 Characters; Optional* Specify the defaulting preferences for broker details for the AMC. The following options are available in the list: • No Defaulting – Broker details will not be defaulted to DIRECT. • Last Transaction Broker – If the user does not have any transaction in that fund, then system looks for the immediate last transaction (based on the authorized time stored with he system). If the user has not done any transaction, system will default the default intermediary of the unit holder. While defaulting, if one of the Brokers is disabled, system will default from the unit holder. If the broker is disabled at the unit holder level as well then system will default to DIRECT. • Split Percentage – This is applicable only Reinvestment type of transactions. System tracks the holdings per broker. During re-investment generation, system will use these brokers as the reinvestment transaction's intermediaries with the appropriate ratio. • While defaulting, if one of the Brokers is disabled, system will default from the unit holder. If the broker is disabled at the unit holder level as well then system will default to DIRECT. • Default Broker – Broker maintained at the unit holder will be defaulted. If the broker is disabled at the unit holder level as well then system will default to DIRECT. **Note**: You can view the **Defaulting of Broker Details Section** provided the client country Parameter **TXNBROKERS** is set to **True** for the installation in your bank.

2.8 Related Parties Segment

This topic explains the Related Parties tab of **Create Entity** screen.

1. On **Create Entity** screen, click **Related Parties** tab to enter the Related Parties details.

   The **Related Parties** screen is displayed.

   Figure 2-10   Related Parties

2. On the **Related Parties Segment** tab, click **Add Related Party** button to maintain the Related Party details.

   For more information on fields, refer to the field description table.

   Table 2-9   Related Parties Segment - Field Description.

Field	Description
Entity Type	*Alphanumeric;2 Characters; Mandatory* Select the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity type maintained in the system. The system will allow you to add a related Party only for the Agent Entity Type.
Entity ID	*Alphanumeric;12 Characters; Mandatory* Select the entity ID from the option list. These entities are based on the Entity Type chosen.
Entity Name	*Display* The entity name gets displayed on selection of entity ID.

Table 2-9   (Cont.) Related Parties Segment - Field Description.

Field	Description
Reporting Level	*Alphanumeric;1 Character; Mandatory* Select the reporting level from the list. The following are the reporting levels: • A: All Reports • C: Contract notes and trade acknowledgement • V: Valuations and statements • N: No Reporting By default, the system defaults Reporting Level as **ALL**.
Preferred Mailing Mode	*Alphanumeric;1 Character; Optional* Select the preferred mailing mode from the list. The following are the preferred mailing modes: • Mail • E-Mail • Fax • SWIFT
Link Notes	*Alphanumeric;255 Characters; Optional* The link notes store free format text which is used to explain the reason for linking the entity with the unit holder. **Note**: Related Parties are captured for informational purpose only and no processing impact is associated.
Related Party Level	*Mandatory* Select the related party level from the adjoining drop-down list. Following are the options available: • **All** • **Fund** • **Fund Family** • **Legal Entity** • **AMC**
Related Party Value	*Alphanumeric;12 Characters; Mandatory* Specify the related party value. The adjoining option list displays all valid related party values maintained in the system. You can choose the appropriate one. If you select **All** in **Related Party Level** field, then you need to select 'All' from the adjoining option list in **Related Party Value** field as well. The system will not allow any more records to be added if ALL has been selected in the **Related Party Level** field for a particular entity ID and entity type combination.

2.9 View Entity Summary Screen

This topic provides the systematic instructions to perform the basic operations on the selected records.

Once the Entity are configured, another user must authorize them for the settings to take effect in the system. Entity for unauthorized records will not be applied within the system.
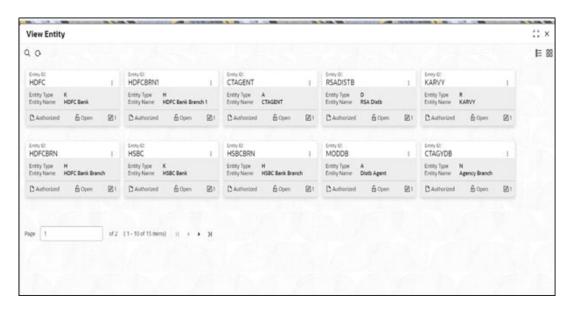
Retrieve Entity in View Entity Details

1. Access the **View Entity** screen by typing **View Entity** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **View Entity** within **Entity**.

   The **View Entity** screen with Grid View is displayed.

Figure 2-11   View Entity_Grid View

> **Note:**
>
> The appearance and layout of the screen may change. In the screenshot above, the Search Filter appears in the right corner, but it could be updated to display the results at top instead.

2. In order to change to List view, click **List View** icon.

   The **View Entity** screen with List View is displayed.

Figure 2-12   View Entity_Grid View

3. On **View Entity** screen, specify any or all of the following details in the corresponding fields:

- **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.

  - **Record status**

  - **Entity ID**

  - **Entity Type**

  - **Entity Name**

4. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the screen.

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

   - Search by D%: System will fetch all the records whose Entity ID starts from Alphabet 'D'. For example, Direct

   - Search by %7: System will fetch all the records whose entity ID Type ends by numeric value' 7'. For example, AGENT7.

   - Search by %17%: System will fetch all the records whose Entity ID contains the numeric value 17. For example, AGENT17.

- Edit Entity
  This topic provides the systematic instructions to edit Entity record.

- View Entity
  This topic provides the systematic instructions to view Entity record.

- Delete Entity
  This topic provides the systematic instructions to delete Entity record.

- Authorize Entity
  This topic provides the systematic instructions to authorize Entity record.

- Amend Entity
  This topic provides the systematic instructions to amend Entity record.

- Authorize Amended Entity
  This topic provides the systematic instructions to authorize amended Entity record.

2.9.1 Edit Entity

This topic provides the systematic instructions to edit Entity record.

Modify the details of Entity Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **View Entity** screen from the Browser.

2. 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.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

4. Click **Search** button.

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

5. Click the three-dot icon and select **Unlock** operation to modify the record.

   The **Create Entity** screen is displayed.

6. Modify the necessary information.

7. Click **Save** to save your changes.

   The **Create Entity** screen is closed and the changes made are reflected in the **View Entity** screen.

2.9.2 View Entity

This topic provides the systematic instructions to view Entity record.

View a record that you have previously input by retrieving the same in the **View Entity** screen. Perform this operation as follows:

1. Start the **View Entity** screen from the Browser.

2. 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.

3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Click the three-dot icon and click **View**.

   The **View Entity** screen is displayed in view mode.

2.9.3 Delete Entity

This topic provides the systematic instructions to delete Entity record.

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

1. Start the **View Entity** screen from the Browser.

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

3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Click the three-dot icon and select **Delete** operation.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

2.9.4 Authorize Entity

This topic provides the systematic instructions to authorize Entity record.

Authorize an unauthorized Entity Record in the system for it to be processed as follows:

1. Start the **View Entity** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.

3. Specify any or all of the details and click **Search** button.

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

4. Click the three-dot icon and select **Authorize** operation.

   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.

   The dialog window appears to authorize record.

2.9.5 Amend Entity

This topic provides the systematic instructions to amend Entity record.

Modify the details of an authorized record using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **View Entity** screen from the Browser.

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

3. 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.

4. Click the three-dot icon and select **Unlock** button.

   The **Create Entity** screen is displayed.

5. Amend the necessary information and click **Save and Close** to save the changes.

2.9.6 Authorize Amended Entity

This topic provides the systematic instructions to authorize amended Entity record.

- Authorize an amended Entity record for the amendment to be made effective in the system.

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

3

Segment

This topic provides detailed information on the Segment.

This topic contains the following sub-topics:

- Maintain System Segment Information
  This topic provides information on maintaining System Segment Information.

- View Segment Screen
  This topic provides the systematic instructions to perform the basic operations on the selected records.

3.1 Maintain System Segment Information

This topic provides information on maintaining System Segment Information.

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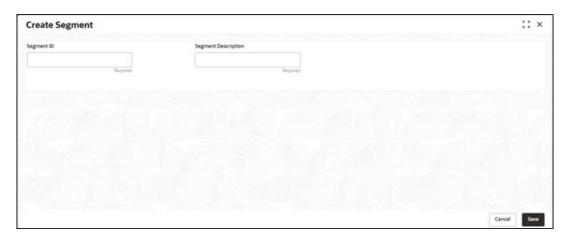
This screen supports **New**, **Edit**, **Delete**, **Authorize**, **Copy**, **Amend** and **Close** operations. A Segment can be closed unless it is mapped to any Agency Branch or Unit holder or Fund.

1. Access the **Create Segment** screen by typing **Create Segment** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **Create Segment** within **Segment**.

   The **Create Segment** screen is displayed.

   Figure 3-1   Create Segment

2. On the **Create Segment** screen, specify the fields.

   For more information on fields, refer to the field description table.

Table 3-1   Create Segment - Field Description

Field	Description
Segment ID	Alphanumeric; 12 Characters; Mandatory; Non-Amendable Enter the segment ID.
Segment Description	*Alphanumeric; 255 Characters; Optional; Amendable* Enter the segment Description.

3.2 View Segment Screen

This topic provides the systematic instructions to perform the basic operations on the selected records.

Once the View Segment are configured, another user must authorize them for the settings to take effect in the system. View Segment for unauthorized records will not be applied within the system.

Retrieve Records in View Segment

1. Access the **View Segment** screen by typing **View Segment** in the **Menu Item Search** option or navigating manually from **Menu** option.

    Navigate to the **Menu**, select **Investor Servicing** and click **View Segment** within **Segment**.

    The **View Segment** screen is displayed.

Figure 3-2   View Segment

2. On **View Segment** screen, specify any or all of the following details in the corresponding fields:

    *   **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.

    *   **Record status**

    *   **Segment ID**

    *   **Segment Description**

3. Click **Search** button to view the records.

All the records with the specified details are retrieved and displayed in the screen.

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

- Edit View Segment Record
  This topic provides the systematic instructions to edit View Segment record.

- View Segment Record
  This topic provides the systematic instructions to View Segment record.

- Delete View Segment Record
  This topic provides the systematic instructions to delete View Segment record.

- Authorize View Segment Record
  This topic provides the systematic instructions to authorize View Segment record.

- Amend View Segment Record
  This topic provides the systematic instructions to amend View Segment record.

3.2.1 Edit View Segment Record

This topic provides the systematic instructions to edit View Segment record.

Modify the details of View Segment parameters that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **View Segment** screen from the Browser.

2. 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.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

4. Click **Search** button.

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

5. Click the three-dot icon and select **Unlock** operation to modify the record.

The **Create Segment** screen is displayed.

6. Modify the necessary information.

7. Click **Save** to save your changes.

The **Create Segment** screen is closed and the changes made are reflected in the **View Segment** screen.

3.2.2 View Segment Record

This topic provides the systematic instructions to View Segment record.

View a record that you have previously input by retrieving the same in the **View Segment** screen. Perform this operation as follows:

1. Start the **View Segment** screen from the Browser.

2. 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.

3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Click the three-dot icon and click **View**.

The **View Segment** screen is displayed in view mode.

3.2.3 Delete View Segment Record

This topic provides the systematic instructions to delete View Segment record.

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

1. Start the **View Segment** screen from the Browser.

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

3. Specify any or all of the details and click **Search** button.

All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Click the three-dot icon and select **Delete** operation.

The system prompts you to confirm the deletion and the record is physically deleted from the system database.

3.2.4 Authorize View Segment Record

This topic provides the systematic instructions to authorize View Segment record.

Authorize an unauthorized View Segment record in the system for it to be processed as follows:

1. Start the **View Segment** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.

3. Specify any or all of the details and click **Search** button.

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

4. Click the three-dot icon and select **Authorize** operation.

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.

The dialog window appears to authorize record.

3.2.5 Amend View Segment Record

This topic provides the systematic instructions to amend View Segment record.

Modify the details of an authorized record using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **View Segment** screen from the Browser.

2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. 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.

4. Click the three-dot icon and select **Unlock** button.

   The **Create Segment** screen is displayed.

5. Amend the necessary information and click **Save and Close** to save the changes.

4

Source Currency Pair

This topic provides detailed information on the Source Currency Pair.

This topic contains the following sub-topics:

- Create Source Currency Pair
  This topic provides the instructions to create Source Currency Pair.

- View Source Currency Pair
  This topic provides the systematic instructions to perform the basic operations on the selected records.

4.1 Create Source Currency Pair

This topic provides the instructions to create Source Currency Pair.

All sources that will be used to derive prevailing exchange rates between any two currencies must be identified in the system, with a unique identification and a profile.

You can maintain these sources through the **Create Source Currency Pair** screen.

The profile for each source will consist of the following details:

- The unique ID and the name of the source.

- The reference currency associated with this source, against which exchange rates for all other currencies will be derived.

- The default fluctuation percentage that is admissible for this source. Exchange Rates derived from this source can be overridden only within this percentage range.

- Units of quotation for the source reference currency, which will be used for the direct rates

1. Access the **Create Source Currency Pair** screen by typing **View Source Currency Pair** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **Create Source Currency Pair** within **Source Currency Pair**.

   The **Create Source Currency Pair** screen is displayed.

Figure 4-1   Create Source Currency Pair

2. On the **Create Source Currency Pair** screen, specify the fields.

    For more information on fields, refer to the field description table.

Table 4-1   Create Source Currency Pair - Field Description

Field	Description
Source ID	*Alphanumeric; 60 Characters; Mandatory* Specify the name of the Source that is to be maintained.
Source Reference Currency	*Alphanumeric;3 Characters; Optional* Select the currency that is to be designated as the reference currency for this source. This is the currency in which the rates are to be maintained for the other currencies. An In Currency can be designated as the Reference Currency for a Source only if the validity period (transition period) for the currency has not commenced. At that point when the validity period commences, exchange rates can no longer be captured for this Source. The Reference Currency is defaulted once you select the Source.
Default Fluctuation Allowed (%)	*Numeric; 5 Characters; Mandatory* Specify the default percentage by which the exchange rates can be overridden or within which they can be allowed to fluctuate.
Quotation Units for Reference Currency	*Alphanumeric; 27 Characters; Mandatory* Specify the units of quotation that must be used for direct rates for the reference currency.

*   Pair Currency Details Section
    This topic explains the Pair Currency Details section of the **Create Source Currency Pair** screen.

4.1.1 Pair Currency Details Section

This topic explains the Pair Currency Details section of the **Create Source Currency Pair** screen.

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

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

2. On the **Pair Currency Details Section** screen, specify the fields.

For more information on fields, refer to the field description table.

Table 4-2   Pair Currency Details Section - Field Description

Field	Description
Pair Currency	*Alphanumeric; 3 Characters; Mandatory* Select the currency that must be set up as a pair currency for the source, from the drop-down list. An In Currency can be designated as a Pair Currency for a particular reference currency only if the validity period (transition period) for the currency has not commenced. At that point when the validity period commences, no exchange rates can be maintained for this currency. The Pair Currency is already set up for the source; you have to only select the pair currency for which exchange rate needs to be maintained.
Quotation Mode	*Mandatory* Select the mode of quotation that will be used to derive the exchange rate for this currency pair from the drop-down list. It could be a direct or an indirect quote.
Fluctuation Allowed	*Numeric; 5 Characters; Mandatory* Specify the default percentage by which the exchange rates can be overridden or within which they can be allowed to fluctuate for this currency pair. This is defaulted to the value specified in the Source Maintenance record for this source, but it can be altered at this stage.
Quotation Units	*Numeric; 5 Characters; Mandatory* Specify the units of quotation that must be used in direct rates for this currency pair. This is defaulted to the units specified in the Source Maintenance record for this source. If the mode of quotation specified for the pair is direct, then the default value cannot be altered. If the mode is indirect, then the default value may be altered.
Currency Disabled?	*Mandatory* Select **Yes** option if currency is disabled from the drop-down list. Else select **No**. If this is **Yes**, then the Source-Pair combination will not be considered for selecting ModeOfQuotation, QuotationUnits, Fluctuation Allowed while generating Transactions, while enriching exchange rates.

4.2 View Source Currency Pair

This topic provides the systematic instructions to perform the basic operations on the selected records.

Once the Source Currency Pair are configured, another user must authorize them for the settings to take effect in the system.Source Currency Pair for unauthorized records will not be applied within the system.

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

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

- It has been specified as the default source for the AMC in the Defaults Maintenance.

- Exchange Rates have been captured for the source

- The currency combination selected for amendment is in use as a fund base currency - transaction currency combination for any one fund in the system.

- The currency combination selected for deletion is being used to arrive at a derived rate between two currencies that do not form part of a currency pair for a source.

Retrieve View Source Currency Pair Records

1. Access the **View Source Currency Pair** screen by typing **View Source Currency Pair** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **View Source Currency Pair** within **Source Currency Pair**.

   The **View Source Currency Pair** screen is displayed.

Figure 4-2   View Source Currency Pair

2. On **View Source Currency Pair** screen, specify any or all of the following details in the corresponding fields:

   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.

   - **Record status**

   - **Source ID**

   - **Source Name**

   - **Source Reference Currency**

   - **Quotation Units for Reference Currency**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the screen.

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

   R%: The system will fetch all the records whose Source ID starts from Alphabet R. For example, Reuters.

   - Edit Source Currency Pair Details
     This topic provides the systematic instructions to edit Source Currency Pair record.

   - View Source Currency Pair Details
     This topic provides the systematic instructions to view Source Currency Pair record.

   - Delete Source Currency Pair Detail
     This topic provides the systematic instructions to delete Source Currency Pair record.

   - Authorize Source Currency Pair Detail
     This topic provides the systematic instructions to authorize Source Currency Pair record.

   - Amend Source Currency Pair Details
     This topic provides the systematic instructions to amend Source Currency Pair record.

   - Copy Attributes
     This topic provides the systematic instructions to copy View Source Currency Pair record.

4.2.1 Edit Source Currency Pair Details

This topic provides the systematic instructions to edit Source Currency Pair record.

Modify the details of Source Currency Pair record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **View Source Currency Pair** screen from the Browser.

2. 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.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

4. Click **Search** button.

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

5. Click the three-dot icon and select **Unlock** operation to modify the record.

   The **Create Source Currency Pair** screen is displayed.

6. Modify the necessary information.

7. Click **Save** to save your changes.

   The **Create Source Currency Pair** screen is closed and the changes made are reflected in the **View Source Currency Pair** screen.

4.2.2 View Source Currency Pair Details

This topic provides the systematic instructions to view Source Currency Pair record.

View a record that you have previously input by retrieving the same in the **View Source Currency Pair** screen. Perform this operation as follows:

1. Start the **View Source Currency Pair** screen from the Browser.

2. 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.

3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Click the three-dot icon and click **View**.

   The **View Source Currency Pair** screen is displayed in view mode.

4.2.3 Delete Source Currency Pair Detail

This topic provides the systematic instructions to delete Source Currency Pair record.

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

1. Start the **View Source Currency Pair** screen from the Browser.

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

3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Click the three-dot icon and select **Delete** operation.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.2.4 Authorize Source Currency Pair Detail

This topic provides the systematic instructions to authorize Source Currency Pair record.

Authorize an unauthorized Source Currency Pair record in the system for it to be processed as follows:

1. Start the **View Source Currency Pair** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.

3. Specify any or all of the details and click **Search** button.

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

4. Click the three-dot icon and select **Authorize** operation.

   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.

   The dialog window appears to authorize record.

4.2.5 Amend Source Currency Pair Details

This topic provides the systematic instructions to amend Source Currency Pair record.

Modify the details of an authorized record using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **View Source Currency Pair** screen from the Browser.

2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. 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.

4. Click the three-dot icon and select **Unlock** button.

   The **Create Source Currency Pair** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.

6. Amend the necessary information and click **Save and Close** to save the changes.

4.2.6 Copy Attributes

This topic provides the systematic instructions to copy View Source Currency Pair record.

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

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new source currency pair record with the same attributes of an existing record.

2. Retrieve the record whose attributes the new indexation should inherit.

   You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.

3. Click **Copy**.

   Indicate the ID for the new indexation. You can, however, change the details of the new record.

5

Time Zone

This topic provides detailed information on the Time Zone.

This topic contains the following sub-topics:

- Maintaining Time Zone
  This topic explains the Information of Maintaining Time Zone.

- View Time Zone Screen
  This topic provides the systematic instructions to perform the basic operations on the selected records.

5.1 Maintaining Time Zone

This topic explains the Information of Maintaining Time Zone.
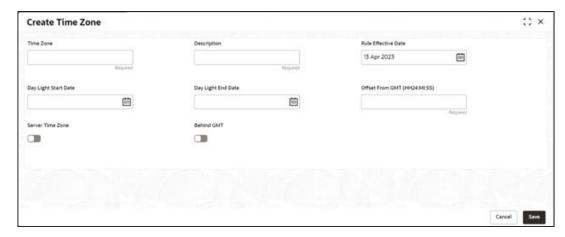
Oracle FLEXCUBE Investor Servicing (FCIS) enables you to capture time zones for a particular module. This feature is particularly applicable if you are using **Oracle FLEXCUBE Investor Servicing** for your Financial Services across the globe.

1. Access the **Create Time Zone** screen by typing **Create Time Zone** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **Create Time Zone** within **Time Zone**.

   The **Create Time Zone** details are displayed.

Figure 5-1   Create Time Zone

2. On the **Create Time Zone** tab, specify the fields.

   For more information on fields, refer to the field description table.

Table 5-1   Create Time Zone - Field Description.

Field	Description
Time Zone	*Alphanumeric; 12 Characters; Mandatory* Enter the Time Zone. This can be captured for a particular entity.
Description	*Alphanumeric; 255 Characters; Mandatory* Enter a brief description of the Time Zone specified.
Rule Effective Date	*Date Format; Mandatory* Enter the date from when the Time Zone has to be considered for any particular entity.
Daylight Start Date	*Date Format; Optional* Specify the date from when the Daylight-Saving Time or Summertime starts.
Daylight End Date	*Date Format; Optional* Specify the date from when the Daylight-Saving Time or Summertime ends.
Offset From GMT (HH24: MI: SS)	*Numeric; 24 Characters; Mandatory* Enter the time difference between the Time Zone and Greenwich Meridian Time.
Server Time Zone	*Optional* Make the slider to ON state, to specify if the time zone code is where the server would be located.
Behind GMT	*Optional* Make the slider to ON state, to denote that the Time Zone being maintained is behind GMT.

5.2 View Time Zone Screen

This topic provides the systematic instructions to perform the basic operations on the selected records.

Once the Source Currency Pair are configured, another user must authorize them for the settings to take effect in the system.Source Currency Pair for unauthorized records will not be applied within the system.

Retrieve View Time Zone Records

1. Access the **View Time Zone** screen by typing **View Time Zone** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **View Time Zone** within **Investor Servicing** and click **View Time Zone**.

   The **View Time Zone** screen is displayed.

Figure 5-2   View Time Zone

2. On **View Time Zone** screen, specify any or all of the following details in the corresponding fields:

   • **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.

   • **Record status**

   • **Time Zone**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the screen.

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

• Edit Time Zone Maintenance Details
  This topic provides the systematic instructions to edit Time Zone Maintenance record.

• View Time Zone Maintenance Details
  This topic provides the systematic instructions to view Time Zone Maintenance record.

• Delete Time Zone Maintenance Details
  This topic provides the systematic instructions to delete Time Zone Maintenance record.

• Authorize Time Zone Maintenance Details
  This topic provides the systematic instructions to authorize Time Zone Maintenance record.

• Amend Time Zone Maintenance Details
  This topic provides the systematic instructions to amend Time Zone Maintenance record.

• Copy Attributes
  This topic provides the systematic instructions to copy Time Zone Maintenance record.

5.2.1 Edit Time Zone Maintenance Details

This topic provides the systematic instructions to edit Time Zone Maintenance record.

Modify the details of View Time Zone that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **View Time Zone** screen from the Browser.

2. 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.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

4. Click **Search** button.

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

5. Click the three-dot icon and select **Unlock** operation to modify the record.

   The **Create Time Zone** screen is displayed.

6. Modify the necessary information.

7. Click **Save** to save your changes.

   The **Create Time Zone** screen is closed and the changes made are reflected in the **View Time Zone** screen.

5.2.2 View Time Zone Maintenance Details

This topic provides the systematic instructions to view Time Zone Maintenance record.

View a record that you have previously input by retrieving the same in the **View Time Zone** screen. Perform this operation as follows:

1. Start the **View Time Zone** screen from the Browser.

2. 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.

3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Click the three-dot icon and click **View**.

   The **View Time Zone** screen is displayed in view mode.

5.2.3 Delete Time Zone Maintenance Details

This topic provides the systematic instructions to delete Time Zone Maintenance record.

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

1. Start the **View Time Zone** screen from the Browser.

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

3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Click the three-dot icon and select **Delete** operation.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

5.2.4 Authorize Time Zone Maintenance Details

This topic provides the systematic instructions to authorize Time Zone Maintenance record.

Authorize an unauthorized Time Zone Details in the system for it to be processed as follows:

1. Start the **View Time Zone** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.

3. Specify any or all of the details and click **Search** button.

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

4. Click the three-dot icon and select **Authorize** operation.

   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.

   The dialog window appears to authorize record.

5.2.5 Amend Time Zone Maintenance Details

This topic provides the systematic instructions to amend Time Zone Maintenance record.

Modify the details of an authorized record using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **View Time Zone** screen from the Browser.

2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. 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.

4. Click the three-dot icon and select **Unlock** button.

   The **Create Time Zone** screen is displayed.

5. Amend the necessary information and click **Save** to save the changes.

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

5.2.6 Copy Attributes

This topic provides the systematic instructions to copy Time Zone Maintenance record.

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

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new View Time Zone record with the same attributes of an existing record.

2. Retrieve the record whose attributes the new indexation should inherit.

   You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.

3. Click **Copy**.

   Indicate the ID for the new indexation. You can, however, change the details of the new record.

6

Branch Preferences

This topic provides detailed information on the Branch Preferences.

This topic contains the following sub-topics:

- Create Branch Preferences
  This topic provides the instructions to create Branch Preferences.

- View Branch Preferences Screen
  This topic provides the systematic instructions to perform the basic operations on the selected records.

6.1 Create Branch Preferences

This topic provides the instructions to create Branch Preferences.

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

- Fund Manager

- Agency Branch

In case of a Pension house, user should create Pension Module, In a network scenario, the following situations are also possible:

- A single AMC/Distributor with a single installation may have two or more "instances" of Agency Branch

- A multi-AMC/Distributor situation where a number of AMCs/Distributors are networked, and each AMC/Distributor has one or more Agency Branch.

Each instance of the installation, in a multi-networked situation, is referred to a Branch. At the time of installation, the installation process sets up the Fund Manager in the system. Subsequently, the system admin User must set up the corresponding Fund Manager, Agency Branch and/or Pension as applicable.
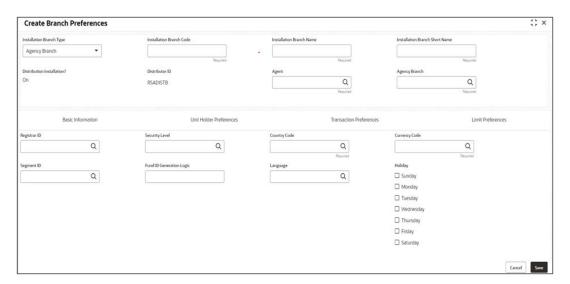
Subsequently, if any new agency branch branches need to be created, the Aystem Admin User can create them using the **Create Branch Preferences** screen.

1. Access the **Create Branch Preferences** screen by typing **Create Branch Preferences** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **Create Branch Preferences** within **Branch Preferences**.

   The **Create Branch Preferences** screen is displayed.

Figure 6-1   Create Branch Preferences

2. On the **Create Branch Preferences** screen, specify the fields.

   For more information on fields, refer to the field description table.

Table 6-1   Create Branch Preferences - Field Description

Field	Description
Installation Branch Type	*Alphanumeric; 3Characters; Mandatory* Specify the branch type. You can select branch type from the dropdown list. The list displays all valid branch types maintained in the system.
Installation Branch Code	*Alphanumeric; 3 Characters; Mandatory* Specify the branch code. This must be unique, and if any duplicates are detected by the system, a warning message is displayed.
Installation Branch Name	*Alphanumeric; 60 Characters; Mandatory* Specify the branch name.
Installation Branch Short Name	*Alphanumeric; 15 Characters; Mandatory* Specify the branch short name for the installation branch name entered.
Distribution Installation?	Select if distribution installation is required or not from the On/Off Switch. The list displays the following values: • **On - Required** • **Off - Not Required**
AMC ID /Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Select the AMC/Distributor ID from the List of Values. If the Distribution Installation switch is On, then Distributor ID needs to be selected from List of Values. Alternatively, if the Distribution Installation switch is Off, then AMC ID needs to be selected from List of Values.
Agent	*Alphanumeric;12 Characters; Mandatory* Select the agent from the List of Values.
Agency Branch	*Alphanumeric; 12 Characters; Mandatory* Select the agency branch code from the List of Values.

- Basic Information Tab
  This topic explains the Basic Information tab of **Create Branch Preferences** screen.

  - Unit Holder Preferences Tab
    This topic explains the Unit Holder Preferences Tab of **Create Branch Preferences** screen.

  - Transaction Preferences Tab
    This topic explains the Transaction Preferences tab of **Create Branch Preferences** screen.

  - Limit Preferences Tab
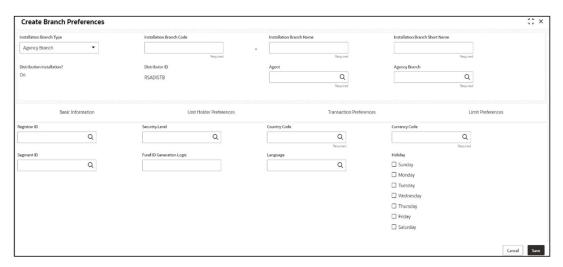   This topic explains the Limit Preferences tab of **Create Branch Preferences** screen.

6.1.1 Basic Information Tab

This topic explains the Basic Information tab of **Create Branch Preferences** screen.

1. On **Create Branch Preferences** screen, click **Basic Information** tab to enter the following details.

   The **Basic Information** details are displayed.

   Figure 6-2   Basic Information

2. On the **Basic Information** tab, specify the fields.

   For more information on fields, refer to the field description table.

   Table 6-2   Basic Information - Field Description.

Field	Description
Registrar ID	*Alphanumeric; 12 Characters; Optional* Select the Registrar ID from the List of Values.
Security Level	*Alphanumeric; 2 Characters; Optional* Select the security level form the List of Values. The value signifies the level of security where in 1 is the highest security level and 9 being the lowest
Country Code	*Alphanumeric; 3 Characters; Mandatory* Select the Country Code from the List of Values.

Table 6-2   (Cont.) Basic Information - Field Description.

Field	Description
Currency Code	*Alphanumeric; 3 Characters; Mandatory* Select the Currency Code from the List of Values.
Segment ID	*Alphanumeric; 12 Characters; Optional* Select the Segment from the List of Values.
Fund ID Generation Logic	*Alphanumeric; 3 Characters; Optional* Indicate the pattern using which the Fund ID needs to be generated, where the first two characters represent the ISO Country Code (except for any jurisdiction with distributor schemas where the 2nd character will designate whether it is "R"egistrar-world or "D"istributor-world) and the following four characters are auto generated numerals. It should end with "NN".
Default Language	*Alphanumeric; 12 Characters; Mandatory* Select the Default Language from the List of Values.
Holiday	Select the appropriate check box adjacent to holiday date. The options are as follows: Sunday. • **Monday** • **Tuesday** • **Wednesday** • **Thursday** • **Friday** • **Saturday**
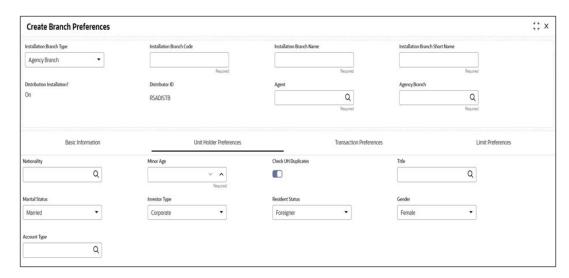
6.1.2 Unit Holder Preferences Tab

This topic explains the Unit Holder Preferences Tab of **Create Branch Preferences** screen.

1. On **Create Branch Preferences** screen, click **Unit Holder Preferences** tab to enter the following details.

   The **Unit Holder Preferences** details are displayed.

   Figure 6-3   Unit Holder Preferences

2. On the **Unit Holder Preferences** tab, specify the fields.

   For more information on fields, refer to the field description table.

Table 6-3   Unit Holder Preferences - Field Description.

| Field	Description
Nationality	*Alphanumeric; 3 Characters; Optional* Enter the default Country of the unit holder.
Minor Age	*Numeric;22 Characters; Mandatory* Enter the default age limit for the Minors.
Check UH Duplicates	Indicates whether to check for unit holder Duplicates. Select if UH Duplicates is required or not from the on/Off Switch. The list displays the following values: • **On - Yes** • **Off - No**
Title	*Alphanumeric; 15 Characters; Optional* Enter the **Title** to default during unit holder Data Entry. You can make a blank specification so that a blank entry may be accepted as a title by the system.
Marital Status	*Optional* Select the **Marital Status** from the drop-down list to default during unit holder data entry. It gets populated from Param code **MARITALSTATUS** of Param Maintenance and is currently non-maintainable. The list displays the following values: • **Divorced** • **Married** • **Not Available** • **Single** • **Widowed**
Investor Type	*Optional* Enter the default **Investor Type**, whether **Individual** or **Corporate** from the drop-down list, during unit holder data entry. It gets populated from Param code **INVESTORTYPE** of Param Maintenance and is currently non-maintainable.
Resident Status	*Optional* Enter **Resident** or **Non-Resident** as the **Resident Status** to default during unit holder data entry. It gets populated from Param code **RESIDENTSTATUS** of Param Maintenance and is currently non-maintainable.
Gender	*Optional* Select **Male**, **Female** or **Not Available** from drop-down list as the Gender to default during unit holder Data Entry. It gets populated from Param code **SEX** of Param Maintenance and is currently non-maintainable.
Account Type	*Alphanumeric;1 Character; Optional* Enter **Current**, **Savings** or **Fixed** as the Payment Mode to default during Transaction data entry. It gets populated from Param code **ACCOUNTTYPE** of Param Maintenance and is currently non-maintainable.
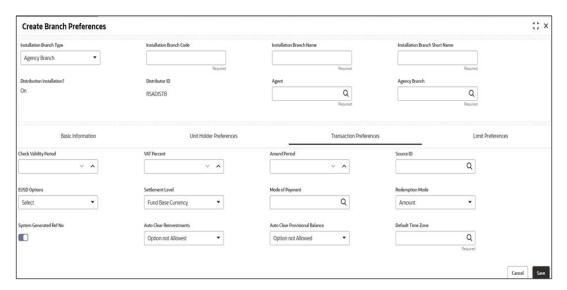
6.1.3 Transaction Preferences Tab

This topic explains the Transaction Preferences tab of **Create Branch Preferences** screen.

1. On **Create Branch Preferences** screen, click **Transaction Preferences** tab to enter the following details.

   The **Transaction Preferences** details are displayed.

   Figure 6-4   Transaction Preferences

2. On the **Transaction Preferences** tab, specify the fields.

   For more information on fields, refer to the field description table.

   Table 6-4   Transaction Preferences - Field Description.

Field	Description
Check Validity Period	*Numeric; 22 Characters; Optional* Enter the number of months for which a Check is valid, by default during transactions.
VAT Percent	*Numeric; 5 Characters; Optional* Displays the default value for Value Added Tax (VAT) Percentage.
Amend Period	*Numeric; 22 Characters; Optional* Enter the default Amendment period for the Fund Rule/Transactions.
Source ID	*Alphanumeric; 6 Characters; Optional* From the list, select the default exchange rate source for the AMC.
EUSD Options	*Optional* Select the default EUSD (European Union Savings Directive) option for the segment. The options available are: • **WithHoldingTax (WHT)**: EUSD tax is computed and deducted • **Exchangeof Information (EOI):** EUSD tax is computed but not deducted • **TaxExemption Certificate (TEC):** EUSD tax is computed but not deducted By default, the option is left unchecked. If you do not indicate any EUSD option, then EUSD option will not be applicable for the segment. **Note**: This functionality is applicable only for the Fund Manager branch.

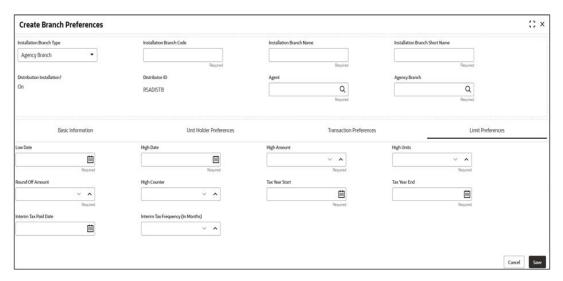**Table 6-4   (Cont.) Transaction Preferences - Field Description.**

Field	Description
Settlement Level	*Optional* Indicate whether the payment amount must be compared with the fund base currency amount or the transaction currency amount from the drop-down list while processing transaction settlements.
Mode of Payment	*Alphanumeric; 1 Characters; Optional* Enter **Cash**, **Check** or **Transfer** as the Payment Mode to default during Transaction data entry.
Redemption Mode	*Optional* Enter **Amount** or **Units** as the **Redemption Mode** to default during transaction acceptance
System General Reference Number	*Mandatory* Select if **System Generated Reference Number** is required or not from the On/Off Switch. • **On** - The Reference Number for all the transactions will also be generated by the system. • **Off** - The Reference Number must be specified at the time of entering the transaction.
Auto Clear Reinvestments	*1 Character Maximum, Alphanumeric, Mandatory* Indicate whether 100% outflow transactions include freeze held and reinvestment units. You can specify any of the following options: • **Option not allowed**:Freeze held/reinvestment units should not be considered while processing 100% outflow transactions. • **Allowed– Default checked:** Freeze held/reinvestment units should be considered while processing 100% outflow transactions by default. • **Allowed– Default unchecked:** Freeze held/reinvestment units will not be considered while processing 100% outflow transactions by default. However, you can check this option while performing transactions.
Auto Clear Provisional Balance	*Mandatory* Indicate whether 100% outflow transactions include provisionally allotted units. You can specify any of the following options: • **Option not allowed:** Provisionally allotted units should not be considered while processing 100% outflow transactions. • **Allowed– Default checked**:Provisionally allotted units should be considered while processing 100% outflow transactions by default. • **Allowed– Default unchecked**:Provisionally allotted units will not be considered while processing 100% outflow transactions by default. However, you can check this option while performing transactions.
Default Time Zone	*Alphanumeric; 12 Characters; Mandatory; Non-amendable* Select the default time zone from the values available. All time zones user maintained through the **Time Zone Maintenance** screen are displayed in the option list.

6.1.4 Limit Preferences Tab

This topic explains the Limit Preferences tab of **Create Branch Preferences** screen.

1. On **Create Branch Preferences** screen, click **Limit Preferences** tab to view the following details.

The **Limit Preferences** details are displayed.

Figure 6-5   Limit Preferences

2. On the **Limit Preferences** tab, specify the fields.

    For more information on fields, refer to the field description table.

Table 6-5   Limit Preferences - Field Description.

Field	Description
Low Date	*Date Format; Mandatory* Enter the default Low date value for the system.
High Date	*Date Format; Mandatory* Enter the default High Date Value for the system.
High Amount	*Numeric; 30 Characters; Mandatory* Enter the default high amount value.
High Units	*Numeric; 27 Characters; Mandatory* Enter the default high unit value.
Round Off Amount	*Numeric; 43 Characters; Mandatory* Enter the default value for round off amount.
High Counter	*Numeric; 22 Characters; Optional* Enter the default high counter value.
Tax Year Start	*Date Format, Mandatory* Specify the start date from which the tax payment should be considered.
Tax Year End	*Date Format, Mandatory* Specify the date till which the tax payment should be considered.
Interim Tax Paid Date	*Date Format; Optional* Specify the tax payment date here. This is only applicable for non-pensions funds. **Note**: It is mandatory to specify the interim tax for funds where IOF/ IRRF is applicable.

Table 6-5   (Cont.) Limit Preferences - Field Description.

Field	Description
Interim Tax Frequency	*Numeric; 2 Characters; Optional* Specify the tax payment frequency here. This is only applicable for non-pensions funds **Note**: It is mandatory to specify the interim tax frequency for funds where IOF/IRRF is applicable. Click **Save** icon to save your user profile record. The system confirms the saving of the record.

6.2 View Branch Preferences Screen

This topic provides the systematic instructions to perform the basic operations on the selected records.

Once the View Branch Preferences are configured, another user must authorize them for the settings to take effect in the system. View Branch Preferences for unauthorized records will not be applied within the system.

Retrieve View Branch Preferences Records

1. Access the **View Branch Preferences** screen by typing **View Branch Preferences** in the **Menu Item Search** option or navigating manually from **Menu** option.

   Navigate to the **Menu**, select **Investor Servicing** and click **View Branch Preferences** within **Branch Preferences**.

   The **View Branch Preferences** screen with Grid View is displayed.

Figure 6-6   View Branch Preferences_Grid View

2. In order to change to List View, click **List View** icon.

   The **View Branch Preferences** screen with List View is displayed.

Figure 6-7   View Branch Preferences_List View

3. On **View Branch Preferences** screen, specify any or all of the following details in the corresponding fields:

   • **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.

   • **Record status**

   • **The Installation Branch Type**

   • **Installation Branch Code**

4. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the screen.

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

   • Search by K%: System will fetch all the records whose Branch Code starts from Alphabet 'K'. For example, KHO/KAB.

   • Search by %B: System will fetch all the records whose Branch Code ends with Alphabet 'B'. For example, KAB.

   • Search by %H%: System will fetch all the records whose Branch Code contains the Alphabet H. For example, KHO.

• Edit Branch Preferences
  This topic provides the systematic instructions to edit Branch Preferences record.

• View Branch Preferences
  This topic provides the systematic instructions to view Branch Preferences record.

• Delete Branch Preferences
  This topic provides the systematic instructions to delete Branch Preferences record.

• Authorize Branch Preferences
  This topic provides the systematic instructions to authorize Branch Preferences record.

• Amend Branch Preferences
  This topic provides the systematic instructions to amend Branch Preferences record.

6.2.1 Edit Branch Preferences

This topic provides the systematic instructions to edit Branch Preferences record.

Modify the details of View Branch Preferences that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **View Branch Preferences** screen from the Browser.

2. 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.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

4. Click **Search** button.

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

5. Click the three-dot icon and select **Unlock** operation to modify the record.

   The **Create Branch Preferences** is displayed.

6. Modify the necessary information.

7. Click **Save** to save your changes.

   The **Create Branch Preferences** screen is closed and the changes made are reflected in the **View Branch Preferences** screen.

6.2.2 View Branch Preferences

This topic provides the systematic instructions to view Branch Preferences record.

View a record that you have previously input by retrieving the same in the **View Branch Preferences** screen. Perform this operation as follows:

1. Start the **View Branch Preferences** screen from the Browser.

2. 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.

3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Click the three-dot icon and click **View**.

   The **View Branch Preferences** screen is displayed in view mode.

6.2.3 Delete Branch Preferences

This topic provides the systematic instructions to delete Branch Preferences record.

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

1. Start the **View Branch Preferences** screen from the Browser.

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

3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Click the three-dot icon and select **Delete** operation.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

6.2.4 Authorize Branch Preferences

This topic provides the systematic instructions to authorize Branch Preferences record.

Authorize an unauthorized Entity Record in the system for it to be processed as follows:

1. Start the **View Branch Preferences** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.

3. Specify any or all of the details and click **Search** button.

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

4. Click the three-dot icon and select **Authorize** operation.

   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.

   The dialog window appears to authorize record.

6.2.5 Amend Branch Preferences

This topic provides the systematic instructions to amend Branch Preferences record.

Modify the details of an authorized record using the **Unlock** operation. To make changes to a record after authorization:

1. Start the **View Branch Preferences** screen from the Browser.

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

3. 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.

4. Click the three-dot icon and select **Unlock** button.

The **Create Branch Preferences** screen is displayed.

5. Amend the necessary information and click **Save and Close** to save the changes.

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