

Oracle® FLEXCUBE Investor Servicing Components User Guide



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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:

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Purpose

You are intended to become familiar with the **Oracle Flexcube Investor Servicing** application through this guide. This guide offers responses to particular features and procedures that are necessary for the module to operate effectively.

Audience

This user guide is intended for the Fund Administrator users and System operators in the AMC.

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 customers that have purchased support have access to electronic support through My Oracle Support. For information, visit <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=info> or visit <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=trs> if you are hearing impaired.

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.
<i>italic</i>	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
<code>monospace</code>	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 Acronyms and Abbreviations

Abbreviation	Description
CIF	Customer Information File
EOD	End of Day
EPU	Earnings per unit
FCIS	Oracle FLEXCUBE Investor Servicing

Table (Cont.) Acronyms and Abbreviations

Abbreviation	Description
FMG	The Fund Manager component of the system
FPADMIN	Oracle FLEXCUBE Administrator
GTA	Global Transfer Agency
ID	Identification
IHPP	Inflation Hedged Pension Plan
IPO	Initial Public Offering
LEP	Life and Endowment Products
LOI	Letter of Intent
NAV	Net Asset Value
REG	The Registrar component of the system
ROA	Rights of Accumulation
ROI	Return on Investment
SI	Standing Instructions
SMS	Security Management System
URL	Uniform Resource Locator
VAT	Value Added Tax
WAUC	Weighted Average Unit Cost

Symbols and Icons

This guide may refer to all or some of the following symbols and icons:

Table Symbols and Icons

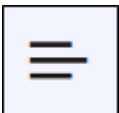

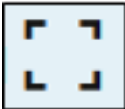




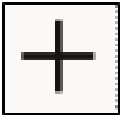


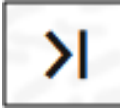


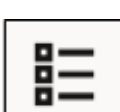


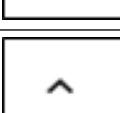
Symbol/Icon	Function
	Lists all records maintained
	Minimize
	Maximize
	Close
	Perform Search

Table (Cont.) Symbols and Icons

Symbol/Icon	Function
	Open a list
	Select a Date
	Add a new row to enter details in a record.
	Delete a row, which is already added.
	Navigate to the first record
	Navigate to the last record
	Navigate to the previous record
	Navigate to the next record
	View a single record
	Sort the values in ascending or descending order
	Sort the values in ascending
	Sort the values in ascending

Basic Actions

Following are the basic actions of the screens that an user may require to perform on new or existing records in a screen.

Table Basic Actions

Action	Description
New	Used to add a new record. When the user click New , the system displays a new record enabling to specify the required data. Note: The fields, which are marked with an asterisk, are mandatory.
Copy	Used to copy the details of a record.
Close	Used to close a record. This action is available only when a record is created.
Unlock	Used to update the details of an existing record. System displays an existing record in editable mode.
Print	Used to print a record. This action is available only when a record is created.
Enter Query	Used to give details of a saved record in a detail screen. When the user click Enter Query , the system displays a saved record enabling to specify only the required or primary data.
Execute Query	User need to perform this after entering query. Click Execute Query after specifying the details of the record to be fetched, the system retrieves all the information of that particular record.
Audit	Used to view the maker details, checker details and report status.
Cancel	Used to cancel the performed action.
Save	Used to save the details entered or selected in the screen.
Refresh	Used to refresh the details selected in the screen.
Reset	Used to reset the fields to enter a new criteria.
Clear All	Used to clear all the data entered for search criteria.
Details	Used to navigate to Detail screen.
Search	Used to search either the details of a particular record or a list of records by querying particular field.
Advanced Search	Used to search details more precisely.
Approve	Used to approve the initiated report. This button is displayed, once the user click Authorize .
Authorize	Used to authorize the report created. A maker of the screen is not allowed to authorize the report. Only a checker can authorize a report, created by a maker.
Confirm	Used to confirm the performed action.
OK	Used to confirm the details in the screen.
Reject	Used to reject the report created. A maker of the screen is not allowed to authorize the report. Only a checker can reject a report, created by a maker.

Table (Cont.) Basic Actions

Action	Description
View	Used to view the report details in a particular modification stage. This button is displayed, once the user click Authorize .

Getting Help

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

Prerequisite

Specify **User ID** and **Password**, and log in to **Home Screen**.

1

Distributor Installations

This topic provides information on distributor installations.

Investors that invest in a fund floated by an AMC may do so through a distributor organization, in which the investors have unit holder accounts. The distributor may market funds floated by different AMCs.

In such a case, the unit holders, brokers and other entities would have accounts in the distributor organization, through which they invest in funds floated by an AMC for which the distributor organization markets funds.

Oracle FLEXCUBE Investor Servicing provides the facility of setting up a distributor installation, where the entities such as unit holders, brokers and so on, would be associated with the distributor and not the AMC of the fund in which they have invested.

This topic has the following sub-topic:

- [Set Up Distributor Installations](#)
This topic provides instructions to set up a distributor installation.

1.1 Set Up Distributor Installations

This topic provides instructions to set up a distributor installation.

Features of Distributor Installations

For distributor installations, the distributor is specified as the default institution at the time of installation. The distributor is set up as entity in the system, and the entity record can be viewed through the **Entity Maintenance** screen. The system defaults and system parameters are maintained for the distributor.

No new distributor entities can be maintained, except the distributor entity created at the time of installation.

In the **Entity Maintenance** screen, the distributor record can be edited, but not deleted, and no new distributor records can be set up.



Note:

A distributor type of installation is not available unless you have specifically requested for it.

The following are the features of Distributor Installations:

Table 1-1 Features of Distributor Installations

Features	Descriptions
Mapping Entities to Distributor	When unit holder accounts or broker records are set up for new investors /brokers, they can be mapped to the distributor entity. The logic of generation of ID's for unit holders will include the distributor ID and not an AMC.
Investor Account Preferences	When Income Distribution Setup options, standing instructions, deals, letters of intent, non-tax limits are set up for a unit holder account, they will be applicable to investments entered into at the distributor organization to which the account is mapped.
Transactions for Unit Holders	Since unit holders could subscribe to funds floated by different AMC's at a distributor installation, transactions are accepted for unit holders into funds that are mapped to different AMC's.
Switching Logic	The restrictions for switch transactions (switches between different AMC's) are not applicable in a distributor installation.
Funds at a Distributor Installation	Funds floated by different AMC's can be set up at the distributor installation. As mentioned earlier, restrictions to switching between funds of different AMC's will not be applicable.