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Transaction 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:

- Purpose
- Audience
- Documentation Accessibility
- Critical Patches
- Diversity and Inclusion
- Conventions
- Screenshot Disclaimer
- Abbreviations and Acronyms
- Symbols and Icons
- Basic Actions
- Getting Help
- Prerequisite

Purpose

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

Audience

This Fund Manager User Manual 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 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.

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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.

Abbreviations and Acronyms

The following acronyms and abbreviations are adhered to in this user manual:

Table Abbreviations and Acronyms

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

Table (Cont.) Abbreviations and Acronyms

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

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

Table (Cont.) Symbols and Icons

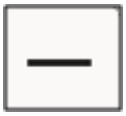
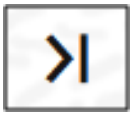
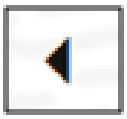
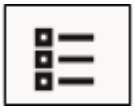
Symbol/Icon	Function
	Maximize
	Close
	Perform Search
	Open a list
	Select a Date
	Add a new row to enter details in a record.
	Delete a row, which is already added.
	Navigate to the first record
	Navigate to the last record
	Navigate to the previous record
	Navigate to the next record
	View a single record

Table (Cont.) Symbols and Icons

Symbol/Icon	Function
	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.

Table (Cont.) Basic Actions

Action	Description
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.
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

Maintain Standing Instructions

This topic explains the maintenance of standing instructions for an investor account.

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

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

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

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

This topic contains the following sub-topics:

- Process FCIS Standing Instructions Detail
  This topic provides the systematic instructions to enter a standing instruction for an investor into the system.
- FCIS Standing Instructions Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process SI Lag Maintenance
  This topic provides the systematic instructions to maintain SI Cut off days, NAV Lag and Yield Lag at AMC level.
- SI Lag Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Unitholder Deal Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Plan Maintenance Detail
  This topic provides the systematic instructions to create templates for standing instructions.
- Plan Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Transaction Category Updation
  This topic provides the systematic instructions to update **Transaction Category**.

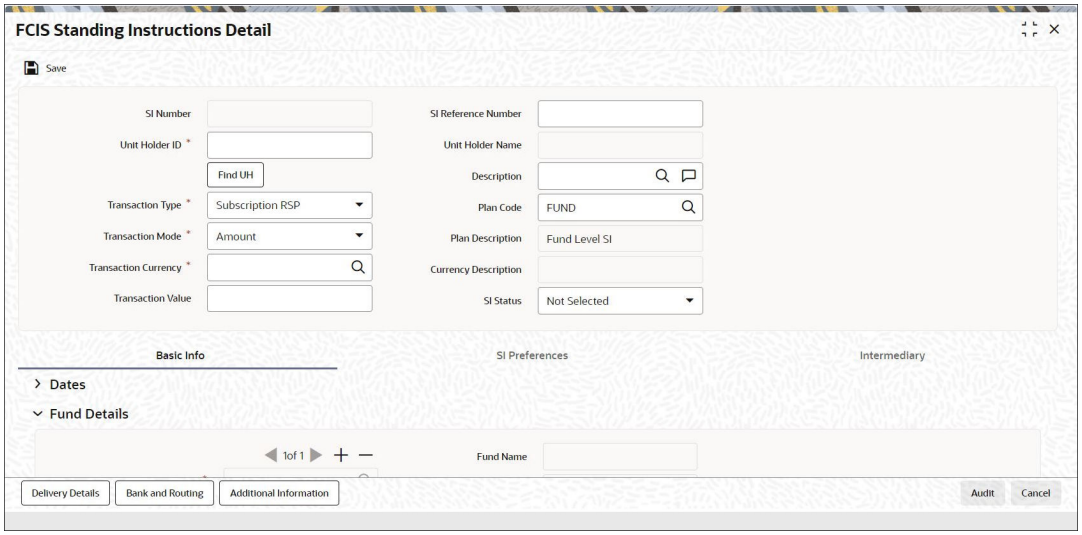
1.1 Process FCIS Standing Instructions Detail

This topic provides the systematic instructions to enter a standing instruction for an investor into the system.

1. On **Home** screen, type **UTDSIN/UTDFIN** in the text box, and click **Next**.

   The **FCIS Standing Instructions Detail** screen is displayed.

Figure 1-1 FCIS Standing Instructions Detail



2. On **FCIS Standing Instructions Detail** screen, click **New** to enter the details.

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

Table 1-1 FCIS Standing Instructions Detail - Field Description

Field	Description
SI Number	*Display* The system displays the **SI number**.
SI Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the **SI reference number.** If you do not specify the SI reference number, then the system will default the SI number as SI reference number.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder for whom the standing instruction request is being entered. When you specify the CIF Number, all the unit holders that fall under the CIF are displayed in this field. You can make your choice from this list. You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. Click **Find UH** button to search for unit holder ID.

Table 1-1 (Cont.) FCIS Standing Instructions Detail - Field Description

Field	Description
Unit holder Name	*Display* The system displays the name of the **unit holder** for the selected unit holder ID.
Description	*Alphanumeric; 50 Characters; Optional* Specify the SI description. Alternatively, you can select description from the option list.

Table 1-1 (Cont.) FCIS Standing Instructions Detail - Field Description

Field	Description
Transaction Type	*Mandatory* Select the type of transaction from the drop-down list. The list displays the following values: • **Subscription RSP** • **Subscription DRSP** • **Redemption** • **Normal Switch** • **Pseudo Switch** • **Phase In Switch** • **Transfer** **Note:** If you have chosen Plan Level as the SI level then the transaction type is defaulted as **Subscription**. You will not be allowed to change this. The **Phase In** field is enabled only if the **Transaction Type** field is set to **Switch**. Select **Yes**, if you want the system to allow Multiple Fund Transfer, i.e. moving fund amount from many funds to another. The **Phase In** switch feature is generally used by the Investment Frontiers. You would not be able to capture the ratio from these funds as these would be phased out in same number of occurrences. For example, if Fund1 is phased in to Fund3 and Fund4 with Phase occurrence of 5, say, after 2 occurrences, the investor cannot phase in to Fund 5 and Fund 6, as the process will be duplicated. **Note:** The following points need to be considered: • If a particular date a phase-in has been scheduled is a holiday the transaction will be generated on the next working day. • If the **From** and the **To** funds belong to two different AMC's the switch will be considered a normal switch and not a pseudo switch. • Many to Many Funds feature will not be supported for the following: • Pensions • Unit Trust Standing Instructions **Example**; An investor John wants to invest amount 3000 on Funds, say FUND1 and FUND2. He has set **Phase In Occurrences** to 5, and frequency as Monthly, i.e., the fund will be divided into 5 units on monthly basis. **To Fund Ratio** has been set to 50%, i.e., FUND1 is equally divided into FUND 3 and FUND4. Similarly, FUND 2 is also equally divided into FUND3 and FUND4. Refer to Table 1-2 table for details. Unit balances can be set for every month manually, refer to Table 1-3 table for details. For the first month, the phase occurrence value is 5. The unit for the first month for FUND1 is 1000/5 = 200 and for FUND2 is 2000/5 = 400. Similarly, for second month, the unit for FUND1 is 850/4 = 212.5 and for FUND2 is 1700/4 = 425 and so on. The unit details for 5 phase occurrences are as shown in the Table 1-4 table. Since the 'To Fund Ratio' is set to 50%, the units obtained in the above table are equally divided into FUND3 and FUND4. The Unit Transaction details are as shown in the Table 1-5 table.

Table 1-1 (Cont.) FCIS Standing Instructions Detail - Field Description

Field	Description
	Selecting the **Phase In Type** to **Holdings**, the system will switch out the fund holdings within the specified number of occurrences to the selected fund.
Transaction Mode	*Mandatory* Select the mode in which the transaction value is to be reckoned, for transactions generated in respect of processing of the standing instruction from the drop-down list. The list displays the following values: • **Amount** • **Units** • **Percentage** **Note:** If you have chosen Plan Level as the SI level then the transaction mode is defaulted as **Amount**. You will not be allowed to change this.
Plan Code	*Alphanumeric; 6 Characters; Optional* Select the plan for which the standing instruction will be applicable. Any transactions resulting from the standing instruction will be put through in the funds maintained in the plan. When you specify the plan, the description of the plan is displayed alongside. **Note:** This field will be displayed only if the SI level is **Plan Level**.
Plan Description	*Display* The system displays the description for the selected plan code.
Transaction Currency	*Alphanumeric, 3 Characters; Mandatory* Specify the transaction currency. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency codes maintained in the system In case, the unit holder does not have an account for the transaction currency, you can choose the multi-currency account in SI Bank Details screen – if the mode of payment is **Transfer** and payment type is **Self**.
Currency Description	*Display* The system displays the currency name of the specified SI Transaction Currency based on the details maintained at **Currency Maintenance** level.
Transaction Value	*Numeric; 22 Characters; Mandatory* Specify the transaction value.
SI Status	*Optional* Select the SI status from the drop-down list. the list displays the following values • **Active**: This means that the instruction is still being processed, and transactions have been put through. • **Paused**: This means that the authorized instruction record exists in the database, but no processing is taking place in respect of the same. • **Cancelled**: This means that the instruction has been annulled and no processing is scheduled to take place in respect of the same. • **Not Started** • **Not Selected**

Table 1-2 Funds and Details

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

Table 1-3 Funds and Units

Month	Fund	Units
First	FUND1	1000
First	FUND2	2000
Second	FUND1	850
Second	FUND2	1700
Third	FUND1	630
Third	FUND2	1260
Fourth	FUND1	450
Fourth	FUND2	850
Fifth	FUND1	250
Fifth	FUND2	500

Table 1-4 Policy SI Details and Fund Split Details

Policy SI Details	Policy SI Details	Policy SI Details	Policy SI Details	Fund Split Details	Fund Split Details	Fund Split Details
Ref No	Month	Mode	Value	Fund	Units	Remaining Occurrences
Ref 1	1	Units	0	FUND1	200	5
Ref 1	1	Units	-	FUND2	400	-
Ref 2	2	Units	0	FUND1	212.5	4
Ref 2	2	Units	-	FUND2	425	-
Ref 3	3	Units	0	FUND1	210	3
Ref 3	3	Units	-	FUND2	420	-
Ref 4	4	Units	0	FUND1	225	2
Ref 4	4	Units	-	FUND2	425	-
Ref 5	5	Units	0	FUND1	250	1
Ref 5	5	Units	-	FUND2	500	-

Table 1-5 Funds Reference Numbers and Units

Ref No	Month	From Fund	To Fund	Units
SW1	1	FUND1	FUND3	100
SW2	1	FUND1	FUND4	100
SW3	1	FUND2	FUND3	200
SW4	1	FUND2	FUND4	200
SW5	2	FUND1	FUND3	106.25
SW6	2	FUND1	FUND4	106.25

Table 1-5 (Cont.) Funds Reference Numbers and Units

Ref No	Month	From Fund	To Fund	Units
SW7	2	FUND2	FUND3	212.5
SW8	2	FUND2	FUND4	212.5
SW9	3	FUND1	FUND3	105
SW10	3	FUND1	FUND4	105
SW11	3	FUND2	FUND3	210
SW12	3	FUND2	FUND4	210
SW13	4	FUND1	FUND3	112.5
SW14	4	FUND1	FUND4	112.5
SW15	4	FUND2	FUND3	212.5
SW16	4	FUND2	FUND4	212.5
SW17	5	FUND1	FUND3	125
SW18	5	FUND1	FUND4	125
SW19	5	FUND2	FUND3	250
SW20	5	FUND2	FUND4	250

- Basic Info
  This topic explains the basic information tab of **FCIS Standing Instructions Detail**.
- FCIS Standing Instructions Detail - SI Preferences
  This topic explains the SI preferences tab of **FCIS Standing Instructions Detail**.
- FCIS Standing Instructions Detail - Intermediary
  This topic explains the Intermediary tab of **FCIS Standing Instructions Detail**.
- FCIS Standing Instructions Detail - Delivery Details
  This topic explains the Delivery details of **FCIS Standing Instructions Detail**.
- FCIS Standing Instructions Detail - Bank and Routing Details
  This topic explains the Bank and Routing details of **FCIS Standing Instructions Detail**.
- FCIS Standing Instructions Detail - Additional Information
  This topic explains the Additional Information button of **FCIS Standing Instructions Detail**.
- Validate SI Maintenance
  This topic provides the instructions to validate SI maintenance.
- Yield date derivation – Fund level SI
  This topic provides information about yield date derivation – fund level SI.

1.1.1 Basic Info

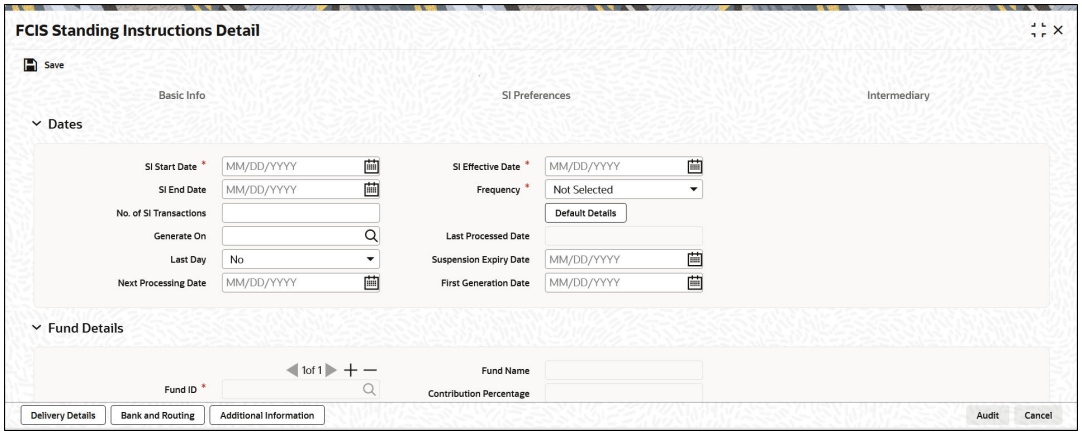
This topic explains the basic information tab of **FCIS Standing Instructions Detail**.

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

1. On the **FCIS Standing Instructions Detail** screen, click on **Basic Information** tab to enter the details.

   The **Basic Information** details are displayed.

Figure 1-2 FCIS Standing Instruction Detail - Basic Information



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

For more information on fields, refer to the field description below,

Table 1-6 Basic Information - Field Description

Fields	Description
Dates	In this section, specify the period during which the standing instruction is to be processed for the unit holder, as well as the frequency at which it must be processed.
SI Start Date	*Date Format; Mandatory* Specify the date on and following which the standing instruction must be processed, at the defined frequency. You can select the date using the system provided calendar. **Note:** The SI Start Date should not be beyond 27th of every month. Else the system will display an error message as `SI Generation date will differ if SI start date is greater than 27.`
SI End Date	*Date Format; Optional* Specify the date until which the standing instructions must be processed, at the defined frequency. You can select the date using the system provided calendar.
No. of SI Transactions	*Numeric; 22 Characters; Optional* Specify the number of SI transactions for Monthly, Quarterly, Half yearly and Yearly frequencies.
Generate On	*Alphanumeric; 100 Characters; Optional* Specified the transaction generated date.

Table 1-6 (Cont.) Basic Information - Field Description

Fields	Description
Last Day	*Optional* Select the last day from the drop-down list. The list displays the following values: • **Yes** • **No** If you select **Yes** option, the system will consider holiday rule as Prior irrespective of the Fund level maintenance. If you select **No** option, the system will derive next SI generation date based on the SI start date's Day. For instance, if SI Start Date is 28-Jan-2016 and frequency is monthly, SI generation date will be always 28th of every month as long as it is not a holiday. If the SI generation date is a holiday, the system will generate the SI either on next working date or previous working date based on system calendar and holiday rule set up at Fund Rules. If holiday rule is not maintained, system will generate SI on next working date based on system calendar. For example, refer the Table 1-7, and Table 1-8 tables. Subsequent lump sum subscriptions/ regular RSP / switch-in to Source fund can be utilized for switching from Source fund into Target fund. For example, refer the Table 1-9, Table 1-10, and Table 1-11 tables.
Next Processing Date	*Date Format; Optional* Select the next processing date from the adjoining calendar. In case of SI amend, the system will validate this field against the cut off days maintained. Changing Next Processing Date is not allowed if Next Processing Date is less than or equal to Business Date + Cut off Days. If you do not set **COMPUTESINPD** client country, then you can amend the next processing date. You should manually specify **Next Processing Date (NPD)** in case of future dated rule effective date where rule effective date is greater than Next Processing Date of amended rule. If you set **COMPUTESINPD** client country, the system computes the **Next Processing Date (NPD)** while saving. If you amend an SI with a future dated **Rule Effective Date (RED)**, and if the Rule Effective Date is greater than the Next Processing Date of Amended SI, then the system will auto compute the NPD for the new rule as the next nearest date after the Rule Effective Date without changing the generation day of month (in case of monthly). However, you cannot change generation day for an SI in this case. If you manually try to change the Next Processing Date, when this client country is set, then the system displays an error message as `Next Processing Date cannot be changed by user.` **Note:** In case of upload and gateway, **Next Processing Date** must be kept blank in the upload file and request xml respectively.

Table 1-6 (Cont.) Basic Information - Field Description

Fields	Description
SI Effective Date	*Date Format; Mandatory* Select the SI effective date from the adjoining calendar. If the SI effective date is greater than the current date then the next processing date is mandatory. **Note:** The SI Effective date should not be during the cut-off period. For instance, if SI start date is 8th November, and the current system date is 8th November, then the Next process date should be 8th December. If you try to amend the SI with SI effective date as 4th December, then the system displays an error message as The SI Effective date should not be during the cut-off period.
Frequency	*Mandatory* From the drop-down list, select the frequency at which the standing instruction must be processed, within the period defined between the start and end dates. The options available are as follows: • **Monthly** • **Quarterly** • **Half-Yearly** • **Yearly** • **Weekly** • **Bi-Weekly** • **Daily** **Note:** If the SI Cut-Off Day function is applicable for this installation, it will be effective only if the frequency specified in this field is **monthly** or higher. Click the **Default Details** button to view the following details: • Details of transactions that could result when the standing instruction is processed • Details of any brokers identified for the transactions • Details of the instructions given for the transactions • Details of any escalation for the standing instruction • Details of any payment made for the processing of standing instructions.
Last Processed Date	*Display* The system displays the date when this standing instruction was last processed. For a new standing instruction, this field will be blank.
Suspension Expiry Date	*Date Format; Optional* Select the suspension expiry date from the adjoining calendar. This field will be applicable only if you select **SI Status** field as **Pause**. The system will automatically update SI status as **Active** when the **Suspension Expiry Date** maintained is lesser than business date. This will be achieved as part of a BOD job. If this field is not maintained, you need to amend SI status manually to make it active or cancel.
First Generation Date	*Date Format; Optional* Enter a date on which the system should generate a transaction apart from generating on the Standard Instruction start date. This date should be lesser than the Standard Instruction start date and Greater than or equal to the application date. The date specified here cannot be edited or amended once you save the transaction.

Table 1-6 (Cont.) Basic Information - Field Description

Fields	Description
Fund Details	The section displays the following fields.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Select the fund in which any transactions resulting from the standing instruction must be put through. When you specify the fund, the ISIN Code of the fund is displayed in the **ISIN Code** field along with the fund name. **Note:** This field will be displayed only if the SI level is **Fund Level**.
Fund Name	*Display* The system displays the fund name for the selected fund ID.
Transaction Value	*Numeric; 22 Characters; Optional* Specify the transaction value.
Low Contribution Amount	*Numeric; 18 Characters; Optional* Specify the SI amount to be used for transaction generation if yield calculated is greater than or equal to positive yield % maintained This field is applicable only if you have selected **SI Level** option as **Fund**. The low contribution amount should be less than SI Amount.
Positive Yield %	*Numeric; 5 Characters; Optional* Specify the positive yield percentage to be maintained for DRSP. This field is applicable only if you have selected **SI Level** option as **Fund**. The Positive Yield % value should be greater than negative yield % maintained.
From Issued Balances	*Optional* Select **Yes** from the drop-down list, if you need to process transactions from issued balances. The drop-down list displays the following values: • **Yes** • **No** • **Both**
Single Certificate?	Mandatory only if you have chosen the **Yes** option in the **Certificate Required** field. Select the denomination of certificates, whether single or multiple, that will be involved in the transaction, if certificates have been requested. • For IPO and subscription, specify whether the unit holder has requested a single certificate or multiple certificates. • For redemption, switch and transfer, specify whether a single certificate or multiple certificates are being redeemed, switched or transferred. For transfer transactions, specify whether the transferee unit holder has requested single or multiple certificates. If you choose **No** option in this field, then the certificates involved in the transaction will be reckoned in denominations governed by the maximum and minimum certificate denominations specified for the fund in the Shares Characteristics rule.

Table 1-6 (Cont.) Basic Information - Field Description

Fields	Description
KIID Compliant	Select if the standing instruction is KIID compliant or not from the drop-down list. Following are the options available: • **Yes** • **No** If SI is maintained for a single fund, then for the UH and Fund selected, the system will default **Yes/No** value based on UH level mapping. In case the fund is selected is a non UCITS fund or if there is SI maintained for multiple funds at SI Fund Info tab, then this field will be blank. In case there is no UH mapping for the UCITS fund selected, the system will default the value to `No`. While saving this record, then the system will display an error message as `The Unit holder has not received the KIID`. If the field is set to **Yes**, then the UH will receive the KIID. These entries where the KIID compliant is made as `Yes` during maintenance will be available as part of **UCITS-KIID Received SI Report**.
Contribution Percentage	*Numeric; 5 Characters; Optional* Indicate the percentage of holdings of the transaction that is to be generated in respect of the instruction.
High Contribution Amount	Numeric; 22 Characters; Optional Specify the SI amount to be used for transaction generation if yield calculated is less than or equal to negative yield % maintained. This field is applicable only if you have selected **SI Level** option as **Fund**. The high contribution amount should be greater than SI Amount.

Table 1-6 (Cont.) Basic Information - Field Description

Fields	Description
Negative Yield %	Numeric; 5 Characters; Optional Specify the negative yield percentage to be maintained for DRSP. This field is applicable only if you have selected **SI Level** option as **Fund**. The Negative Yield % value should be less than negative yield % maintained. Negative yield % cannot be greater than positive yield%. The system will not allow amendment of SI between cut-off date and next processing date. You can specify the following fields only if you have selected **SI Type** as **DRSP** and **Transaction Type** as **Subscription**: • **High Contribution Amount** • **Low Contribution Amount** • **Positive Yield %** • **Negative Yield %** Investors can define a yield for each fund and based on: • If computed result is greater than or equal to positive yield, the RSP amount for the month will be the Low Contribution Amount defined, else the RSP amount will be base contribution amount specified. • If computed result is less than or equal to negative yield, the RSP amount for the month will be the High Contribution Amount specified, else the RSP amount will be base contribution amount specified. • If stop account is issued for an investor account, the system will not compute the yield % and system will always use the base contribution amount. • DRSP transactions will have a new ref type `45` to enable ageing sequence and separate load mapping. Switching between RSP and DRSP is as follows: • DRSP can be switched to RSP and vice versa by amending the SI maintenance and mark the SI Type as Normal/ Dynamic. • The system will stop yield computation if you change SI Type from Dynamic to Normal. If stop account is issued for the investor post yield computation, the system will stop the yield computation from subsequent cycle only. • The amendment to switch RSP to DRSP or vice-versa can be done for the next SI generation date only (Next processing date), if the allowed amendment period is breached. This will be derived based on cut-off day's field at system level. **Note:** The system will perform the sales suitability (risk rating) check at the point of RSP/ DRSP set up and amendment (i.e. fund and amount). Sales suitability check will not be performed during SI generation of RSP/DRSP transactions if **invriskcheck** client country code is disabled.
Certificate Required?	Optional For funds that have the certificate option as specified in the Shares Characteristics rules, specify whether the selected unit holder has requested certificates for the standing instruction transaction. If yes, then choose the `Yes` option in this field, and specify the number of certificates requested in the **Number of Certificate**s field.

Table 1-6 (Cont.) Basic Information - Field Description

Fields	Description
Price Basis	Alphanumeric; 10 Characters; Mandatory The default price basis defined in the Distributor Price Basis Setup, if any, for the fund, transaction type, distributor and investment account type involved in the standing instruction, is displayed in this field. If no price basis has been maintained in the Distributor Price Basis Setup, the default price basis specified for the fund and transaction type for the instruction, from the fund rules, is displayed here.
Minimum Holding Check Required?	Optional You can use this field to indicate whether the system must perform the minimum holdings validation when the subscription transactions in respect of the standing instruction are generated. If this option is selected for a standing instruction, the system validates that the current holdings of the investor either equal or exceed the minimum holdings value specified in the Limit for Standing Instructions defined for the fund, when the subscription transactions in respect of the standing instruction are generated. This specification can be maintained only if the Minimum Holdings check has been indicated as applicable for the fund for which the standing instructions are being entered.
Contra Leg Fund/ Unitholder	The section displays the following fields.
Switch To Fund ID	Alphanumeric; 6 Characters; Optional Specify the switch to fund ID. Alternatively, you can select switch to fund ID from the option list. The list displays all valid switch to fund ID maintained in the system. **Note:** In GTA setup, For Normal Switch and Phase In Switch Case: • In AGY without cross branching, **Fund ID** and **Switch to Fund ID** fields can have funds selected only within same segment. • In AGY with cross branching, **Fund ID** and **Switch to Fund ID** fields can have funds selected across segments. For Pseudo Switch Case: • In AGY without cross branching, **Fund ID**, **Switch to Fund ID** and **Switch Back Fund ID** fields can have funds selected only within same segment. • In AGY with cross branching, **Fund ID**, **Switch to Fund ID** and **Switch Back Fund ID** fields can have funds selected across segments.
Switch To Fund Name	Display The system displays the switch to fund name for the selected switch to fund ID
To UnitHolder ID	Alphanumeric; 12 Characters; Optional Specify the To unit holder ID. Alternatively, you can select To unit holder ID from the option list. The list displays all valid To unit holder ID maintained in the system. Click the **Find To UH** button to query To unit holder ID.

Table 1-6 (Cont.) Basic Information - Field Description

Fields	Description
To Unit Holder Name	Display The system displays To unit holder name for the selected To unit holder ID. **Note:** If client country **UHFUNDRESTRICT** is turned on, the System will validate Unit Holder and the Fund should belong to the same AMC. Additionally, • In case of SI Switch, Unit Holder and the To Fund should belong to the same AMC. • In case of SI Transfer, To Unit Holder and the Fund should belong to the same AMC.

Example on Holiday Rule Maintained at Fund Rules as **After**

Assume 08-Mar-2016 is a holiday

Table 1-7 Holiday Rule Maintained at Fund Rules as "After"

SI Generation Date	Actual Generation date
8-Jan-16	8-Jan-16
8-Feb-16	8-Feb-16
8-Mar-16	9-Mar-16

Example on Holiday Rule Maintained at Fund Rules as **Prior**

Assume 08-Mar-2016 is a holiday

Table 1-8 Holiday Rule Maintained at Fund Rules as "Prior"

SI Generation Date	Actual Generation date
8-Jan-16	8-Jan-16
8-Feb-16	8-Feb-16
8-Mar-16	7-Mar-16

SI Generation Date based on Last Day

For instance, if SI Start Date is 28-Jan-2017 and frequency is monthly, The SI generation date will be as explained in the table:

Table 1-9 SI Generation Date and Amount, and Last Day as Y

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

Table 1-10 SI Generation Date and Amount. and Last Day as N

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

Table 1-11 SI Generation Date and Amount, and Last Day as Y/N

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

1.1.2 FCIS Standing Instructions Detail - SI Preferences

This topic explains the SI preferences tab of **FCIS Standing Instructions Detail**.

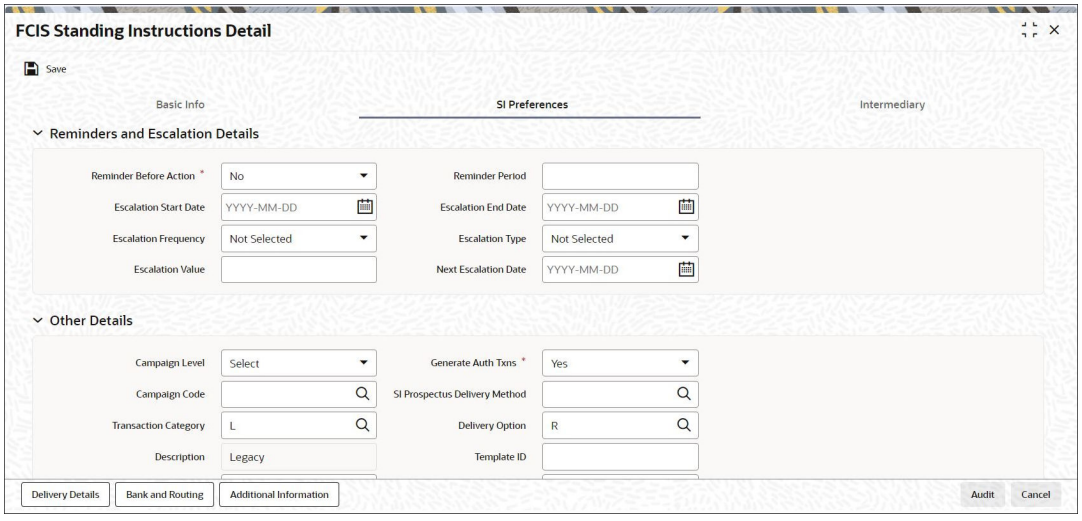
Unit holders may need to have the values of transactions generated for a standing instruction to be escalated at a pre-defined frequency. This is known as escalation.

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

1. On the **FCIS Standing Instructions Detail** screen, click on **SI Preferences** tab to enter the details.

   The **SI Preferences** details are displayed.

Figure 1-3 FCIS Standing Instructions Detail - SI Preferences



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

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

Table 1-12 SI Preferences - Field Description

Fields	Description
Reminders and Escalation Details	The section displays the following fields.
Reminder Before Action?	*Mandatory* Select if the reminder before action is required or not from the drop-down list. the list displays the following values: • **Yes** • **No** If you select the option as **Yes**, then the Unit Holder will be intimidated before SI generation.
Reminder Period	*Numeric; 3 Characters; Optional* Specify a value in days to specify the requirement of reminder before the processing of the standing instruction.
Escalation Start Date	*Date Format; Optional* Specify the date on which the escalation of the instruction will begin. This date has to be later than the SI Start date, but earlier than the SI End Date.
Escalation End Date	*Date Format; Optional* Specify the date on which the escalation of the instruction will cease. This date has to be later than the SI Escalation Start Date, but earlier than the SI End Date
Escalation Frequency	*Optional* Select the frequency at which the escalation is to take place. You can select the desired frequency format from the drop-down list. The list displays the following values: • **Monthly** • **Quarterly** • **Half-Yearly** • **Yearly** • **Weekly** • **Bi-Weekly** • **Daily** The escalation frequency must always be greater than or equal to the standing instruction frequency.
Escalation Type	*Optional* Select whether the escalation is an amount/units-based escalation or a percentage escalation. Select the desired type from the drop-down list. The list displays the following values: • **Amount/Units** • **Percentage**
Escalation Value	*Numeric; 18 Characters; Optional* Enter the value by which the standing instruction transaction value must be escalated.

Table 1-12 (Cont.) SI Preferences - Field Description

Fields	Description
Next Escalation Date	*Date Format; Optional* This is the date on which the next escalation will take place. It is updated by the system based on the standing instructions start date and the escalation frequency in the case of a new record. For records retrieved in the Amend mode, this date may be altered in the amend session. If this date is overridden manually, then next escalation will take place on the date amended by the user. If **Next Escalation Date** is updated, then this field given priority over **Escalation Start Date**. **Note:** If escalation is requested, then you must specify all the details in this section as mandatory information, to enable the system to process the escalation.
Other Details	The section displays the following fields.
Campaign Level	*Optional* Select the **campaign level** from the drop-down list. The list displays the following values: • **Campaign Code** • **Campaign Group** By default, campaign code will be selected.
Campaign Code	*Alphanumeric; 6 Characters; Optional* Specify the **Campaign Code** to show the result based on Campaign Level selected. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the campaign maintenance. If campaign Level is **Campaign Code**, then the system will tag the campaign while saving the transaction. You can link the campaign to the subscription and switch transaction type of standing instruction. Specify the campaign to be mapped. You can also select the campaign code from the option list.
Transaction Category	*Alphanumeric; 1 Character; Optional* Specify the type of transaction. Alternatively, you can select **transaction category** from the option list. The list displays all valid transaction category code maintained in the system.
Description	*Display* The system displays the description for the selected transaction category.
Enable Auto Switch	*Optional* Select if auto switch to be enabled or not from the drop-down list. The list displays the following values: • **Yes** • **No** If you select **Yes** option, you need to maintain the Auto switch mode sub screens maintained, else the system will display an error message.
Switch Back Fund ID	*Alphanumeric; 16 Characters; Optional* Specify the fund ID for which the switch back should happen when yield is met. Alternatively, you can select switch back fund ID from the option list. The list displays all valid switch back fund ID maintained in the system.

Table 1-12 (Cont.) SI Preferences - Field Description

Fields	Description
Gross or Net	*Optional* Specify whether the transaction is a **Gross**or **Net** transaction. **Note:** If you have chosen Plan Level as the SI level then this field defaulted as Gross. You will not be allowed to change this.
Generate Auth Txns	*Mandatory* Select the option **Yes** or **No** from drop-down list to indicate whether authorized/unauthorized transactions generates when the standing instruction is processed This specification is applicable and enabled only for scrip-less funds, and for funds in which the Aging Policy is based on Transaction Receipts (from the Transaction Processing Rules for the fund).This option is not applicable for certificate-option funds in which the unit holder has requested for certificates.
SI Prospectus Delivery Method	*Alphanumeric; 2 Characters' Optional* Specify the SI Prospectus Delivery Method. Alternatively, you can select SI prospectus delivery code from the option list. The list displays all valid SI prospectus delivery code maintained in the system. **Note:** You can maintain this delivery method based on Param Code **SIPROSPECTUSDELIVERYMTHD**.
Delivery Option	*Alphanumeric; 1 Character; Optional* Specify the Delivery Option. Alternatively, you can select delivery option from the option list. the list displays valid delivery option maintained in the system.
Template ID	*Alphanumeric; 6 Characters; Optional* Specify the Template ID. Alternatively, you can select template ID maintained in the system. The list displays all valid template ID maintained in the system.
Yield Percentage	*Numeric; 22 Characters; Mandatory* Specify the yield percentage mentioned by the investor and at which units in target fund achieve the yield will be switched back to source fund. The system uses percentage (1-99) to validate the returns and switch back to source fund. This field is mandatory if you select **Enable Auto Switch** field as **Yes**.
Counter Details	The section displays the following fields.

Table 1-12 (Cont.) SI Preferences - Field Description

Fields	Description
SI Auto-Termination Cumulative Counter	*Alphanumeric; 3 Characters; Optional* Specify the maximum number of times the SI payment rejections are allowed before the auto termination. If you have not maintained any value, then on saving/modifying the SI transaction, the system defaults the value maintained at the **Plan Maintenance** screen, if the SI level is **Plan**. Similarly, if the SI level is **Fund**, then the system defaults the value maintained in the **Transaction Processing Rule – Detail** screen. However, the value available here is considered for auto termination of the standing instruction. If you set this counter to zero, then the SI is cancelled on the very first rejection of the payment and the SI status maintained as **Cancel**. If there is no value maintained, then the SI will not be automatically terminated if the payment is rejected. **Note:** After automatically terminating the SI, the system will set the description for the SI to `Cancelled due to exceeding cumulative payment rejections.`
SI Auto-Termination Consecutive Counter	*Numeric; 3 Characters; Optional* Specify the maximum number of times consecutive SI payment rejections are allowed before the SI is automatically terminated. If you have not maintained any value, then on saving/ modifying the SI transaction, the system defaults the value maintained at the **Plan Maintenance** screen, if the SI level is **Plan**. Similarly, if the SI level is **Fund**, then the system defaults the value maintained in the **Transaction Processing Rule – Detail** screen. However, the value available here is considered for auto termination of the standing instruction. If you set this counter to zero, then the SI is cancelled on the very first rejection of the payment. If there is no value maintained, then the SI will not be automatically terminated if the payment is rejected. **Note:** After automatically terminating the SI, the system will set the description for the SI to `Cancelled due to exceeding consecutive payment rejections.`
No. Of Cumulative Failures	*Display* The system displays the number of cumulative failures.
No. Of Consecutive Failures	*Display* The system displays the number of consecutive failures.
No. of SI Transaction Generated	*Display* The system displays the number of SI transactions generated for the fund/plan. If this value is found to be equal to the limit set for the fund (in **Fixed No of SI Installments** field in the Transaction Processing Rules) and the SI Level is **Fund**, then the SI will be cancelled. Similarly, where the SI Level is **Plan**, an SI will be cancelled if the number of SI transactions generated is found to be equal to the Fixed no of SI installments for any of the funds under that plan. In both cases, after cancelling the SI, the system will update the SI Status to **Cancel** and the SI Description field to `Cancelled due to exceeding number of maximum transactions allowed.`

1.1.3 FCIS Standing Instructions Detail - Intermediary

This topic explains the Intermediary tab of **FCIS Standing Instructions Detail**.

Specify any brokers that are to be deemed as applicable for the transactions generated for the standing instruction in this section.

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

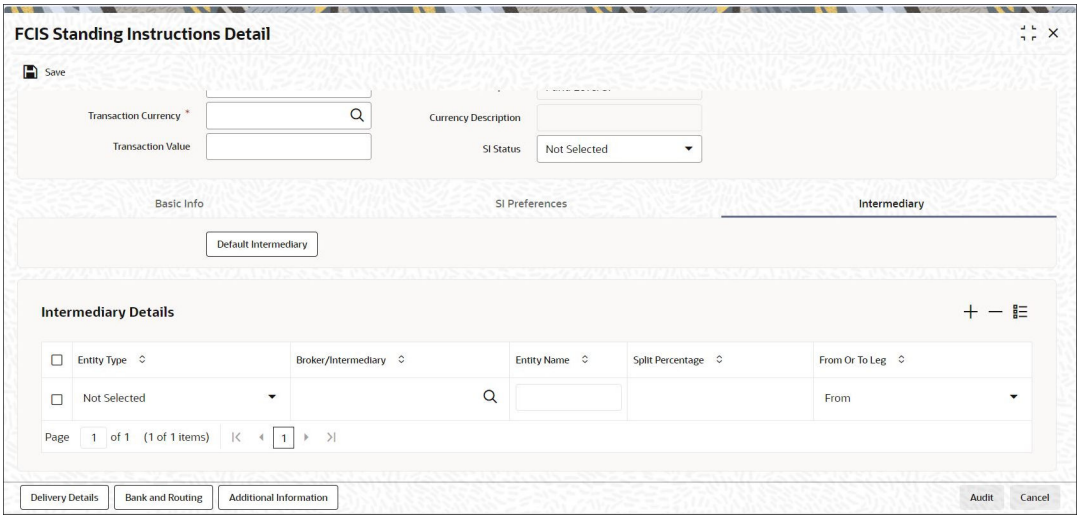
The split percentages that you specify for all brokers you choose for the transactions must sum up exactly to one hundred percent.

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

1. On the **FCIS Standing Instructions Detail** screen, click on **Intermediary** tab to enter the details.

   The **Intermediary** details are displayed.

Figure 1-4 FCIS Standing Instructions Detail - Intermediary Tab



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

   For more information on fields, refer to the field description below,

Table 1-13 Intermediary - Field Description

Fields	Description
Entity Type	*Mandatory* Select the Entity Type from the drop-down list. The list displays the following values: • **Broker** • **Agent** • **IFA** • **Account Officer** • **Agency Branch**
Broker/Intermediary	*Alphanumeric; 12 Characters; Mandatory* You can also select the broker preferred by the investor from the list, and the corresponding information regarding the Intermediary and Parent Broker Name will automatically be populated in the adjoining fields on selection of the Broker Name.
Entity Name	*Display* The system displays the entity name for the selected entity type.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of the commission derived for the standing instruction transaction that is to be accrued to the broker. The split percentages that you specify for all brokers you choose for the transactions must sum up exactly to one hundred percent.
From Or To Leg	*Mandatory* Select the **From** or **To Leg** from the drop-down list. Click **Default Intermediary** button to default the intermediary details.

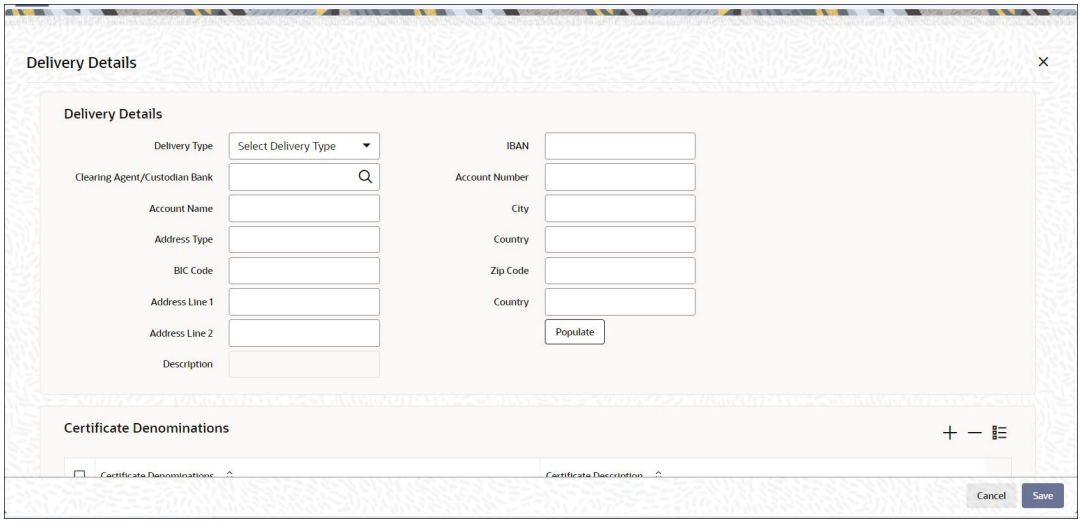
1.1.4 FCIS Standing Instructions Detail - Delivery Details

This topic explains the Delivery details of **FCIS Standing Instructions Detail**.

1. On the **FCIS Standing Instructions Detail** screen, click on **Delivery Details** button to enter the details.

   The **Delivery Details** screen is displayed.

Figure 1-5 FCIS Standing Instructions Detail - Delivery Details



2. On **Delivery Details** screen, specify the fields.

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

Table 1-14 Delivery Details - Field Description

Fields	Description
Delivery Type	*Optional* Indicate the type of delivery from the drop-down list. The list displays the following values: • **Self** • **Third Party**
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN number.
Clearing Agent/ Custodian Bank	*Alphanumeric; 12 Characters; Optional* Specify the clearing agent or custodian bank. The adjoining option list displays the valid clearing agent /custodian bank list. You can choose the appropriate one.
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
Account Name	*Alphanumeric; 140 Characters; Optional* Specify the account name.
Address Type	*Alphanumeric; 2 Characters; Optional* Specify the address type.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the BIC code.
Address Line1, 2	*Alphanumeric; 105 Characters; Optional* Specify the address information in the two lines available.
Description	*Display* The system displays the description of the specified country
City	*Alphanumeric; 80 Characters; Optional* Indicate the name of the city.
Country	*Alphanumeric; 80 Characters; Optional* Indicate the name of the country.
Zip Code	*Alphanumeric; 10 Characters; Optional* Specify the zip code.
Certificate Denominations	The section displays the following fields.
Certificate Denominations	*Alphanumeric; 200 Characters; Optional* Specify the certificate denominations.
Certificate Description	*Alphanumeric; 34 Characters; Optional* Specify a description of the certificate.

1.1.5 FCIS Standing Instructions Detail - Bank and Routing Details

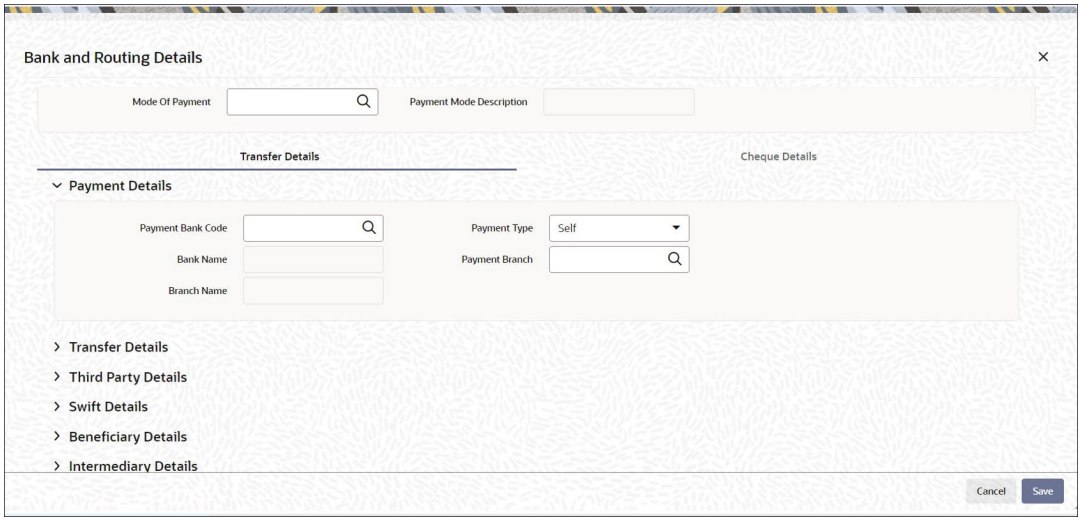
This topic explains the Bank and Routing details of **FCIS Standing Instructions Detail**.

The details of the payments made for the standing instruction transactions can be captured here. This information is only applicable for IPO, Subscription and Redemption transaction types.

1. On the **FCIS Standing Instructions Detail** screen, click on **Bank and Routing** button to enter the details.

The **Bank and Routing Details** screen is displayed.

Figure 1-6 Bank and Routing Details_Transfer Details



2. On **Bank and Routing Details** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 1-15 Bank and Routing Details - Field Description

Fields	Description
Mode of Payment	*Alphanumeric; 2 Characters; Optional* You can select it as cheque or money transfer.
Payment Mode Description	*Display* The system displays the description for the selected mode of payment.

- Transfer Details Tab
  This topic explains the Transfer Details tab in the **Bank and Routing Details** screen.
- Cheque Details Tab
  This topic explains the Cheque Details tab in the **Bank and Routing Details** screen.

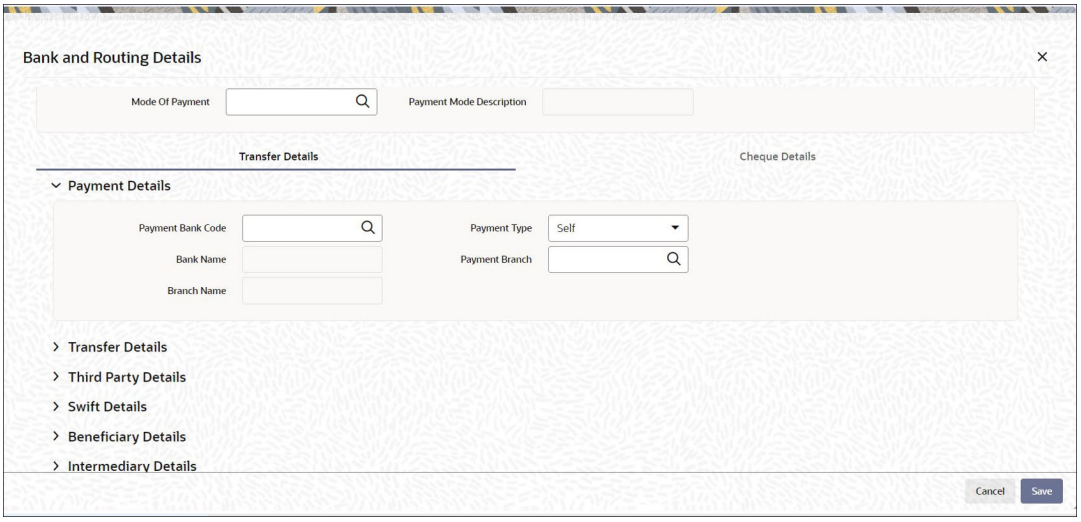
1.1.5.1 Transfer Details Tab

This topic explains the Transfer Details tab in the **Bank and Routing Details** screen.

1. Click **Transfer Details** tab in the **Bank and Routing Details** screen.

   The **Transfer** details are displayed.

Figure 1-7 Bank and Routing Details_Transfer Details



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

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

Table 1-16 Transfer Details - Field Description

Fields	Description
Payment Details	The section displays the following fields.
Payment Details	The **payment details** include the following: • The mode through which the payment is made, either check or transfer • The type of payment, that is, whether the payment is being made by the unit holder that has requested the transaction or by an external third party. • The details of the bank and branch of the bank for the payment • The details of any payment instruments such as checks, the number and date. • In the case of payment by account transfer, the details of the bank account to which / from which the payment is being made from: – The maintained accounts in the **Transfer Details** option list in case of payment through transfer – The accounts in the **Payment Bank Account** option list in case of payment through cheque **Note:** The system fetches bank accounts based on the payment currency and Mode of Payment (specified in SI bank Details). If the payment currency account is not maintained, you can choose the multi-currency account available.
Payment Bank Code	*Alphanumeric; 12 Characters; Optional* Specify the **Payment Bank Code** of the Unit Holder.

Table 1-16 (Cont.) Transfer Details - Field Description

Fields	Description
Payment Type	*Optional* Select payment type made by the unit holder who has requested for the transaction or by an external third party from the drop-down list. the list displays the following values: • **Self** - Select this option if the payment is being made by the unit holder. • **Third Party** - Select this option if the payment is being made by an external party other than the unit holder.
Bank Name	*Display* The system displays the bank name of the specified payment bank based on the details maintained at **Entity Maintenance** level.
Payment Branch	*Alphanumeric; 12 Characters; Optional* The system displays the branch code of the bank selected.
Branch Name	*Display Only* The system displays the branch name of the specified payment branch based on the details maintained at **Entity Maintenance** level.
Transfer Details	The section displays the following fields.
Account Type	*Alphanumeric; 1 Character; Optional* When you select the bank account of the unit holder that is being used to make the payment, the type of the transfer account is displayed here.
Account Holder Name	*Alphanumeric; 60 Characters; Optional* When you select the bank account of the unit holder that is being used to make the payment, the name of the holder of the transfer account is displayed here.
Account Number	*Alphanumeric; 34 Characters; Optional* When you select the bank account of the unit holder that is being used to make the payment, the account number of the transfer account is displayed here.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the **International Bank Account Number (IBAN)** of the account holder.
Third Party Details	The section displays the following fields.
Third Party Details	When you select the **Mode of Payment** as **Third Party**, you will be able to capture the details pertaining to third party. The following are the fields in the **Third Party Details** section.
Third Party Reference	*Alphanumeric; 60 Characters; Optional* Specify the third party reference details.
Third Party Address Line 1-4	*Alphanumeric; 105 Characters; Optional* Specify the third party address details.
Third Party Zip Code	*Alphanumeric; 10 Characters; Optional* Specify the third party zip code details.
Third Party US State	*Alphanumeric; 1 Character; Optional* Specify the third party US state code.
Third Party Details	*Alphanumeric; 255 Characters; Optional* Specify the third party details.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the BIC code.

Table 1-16 (Cont.) Transfer Details - Field Description

Fields	Description
Country	*Alphanumeric; 3 Characters; Optional* Specify the country code.
Swift Details	The section displays the following fields.
Swift Format	*Optional* At the time of transaction input, the routing details specified here are picked up for the combination of fund, transaction type and transaction currency. Select the swift format from the drop-down list. The list displays the following values: • **MT103** • **MT202**
Bank Charged	*Optional* Indicate whether the bank charges must be levied upon the beneficiary, the remitter or must be shared between the two. The options available in the drop-down list are as follows: • **Shared** • **Remit** • **Beneficiary**
Beneficiary Details	The section displays the following fields.
Beneficiary	*Alphanumeric; 35 Characters; Optional* Specify beneficiary details.
Beneficiary Add 1, 2, 3	*Alphanumeric; 105 Characters; Optional* Enter beneficiary address. There are three lines available for this information.
Beneficiary IBAN	*Alphanumeric; 35 Characters; Optional* Enter the IBAN account number of the beneficiary.
Beneficiary BIC Code	*Alphanumeric; 24 Characters; Optional* Enter the BIC code of the beneficiary.
Beneficiary ACC No	*Alphanumeric; 34 Characters; Optional* Enter the account number of the beneficiary.
Beneficiary Code	*Alphanumeric; 24 Characters; Optional* Enter the code of the beneficiary.
Beneficiary Info	*Alphanumeric; 100 Characters; Optional* Enter more information about the beneficiary.
Intermediary Details	The section displays the following fields.
Intermediary	*Alphanumeric; 35 Characters; Optional* Specify Intermediary details.
Intermediary Add 1, 2, 3	*Alphanumeric; 105 Characters; Optional* Enter Intermediary address. There are three lines available for this information.
Intermediary IBAN	*Alphanumeric; 40 Characters; Optional* Enter the IBAN account number of the intermediary.
Intermediary BIC Code	*Alphanumeric; 24 Characters; Optional* Enter the BIC code of the Intermediary.
Intermediary ACC No	*Alphanumeric; 34 Characters; Optional* Enter the account number of the Intermediary.
Intermediary Code	*Alphanumeric; 24 Characters; Optional* Enter the code of the Intermediary.

Table 1-16 (Cont.) Transfer Details - Field Description

Fields	Description
Intermediary Info	*Alphanumeric; 100 Characters; Optional* Enter more information about the Intermediary.
Further Credit details	The section displays the following fields.
Further Credit Name	*Alphanumeric; 35 Characters; Optional* Specify the further credit name.
Further Credit Acc No	*Alphanumeric; 35 Characters; Optional* Specify the further credit account number.
Reference	The section displays the following fields.
Reference1	*Alphanumeric; 35 Characters; Optional* Provide the first reference.
Reference2	*Alphanumeric; 35 Characters; Optional* Provide the second reference.

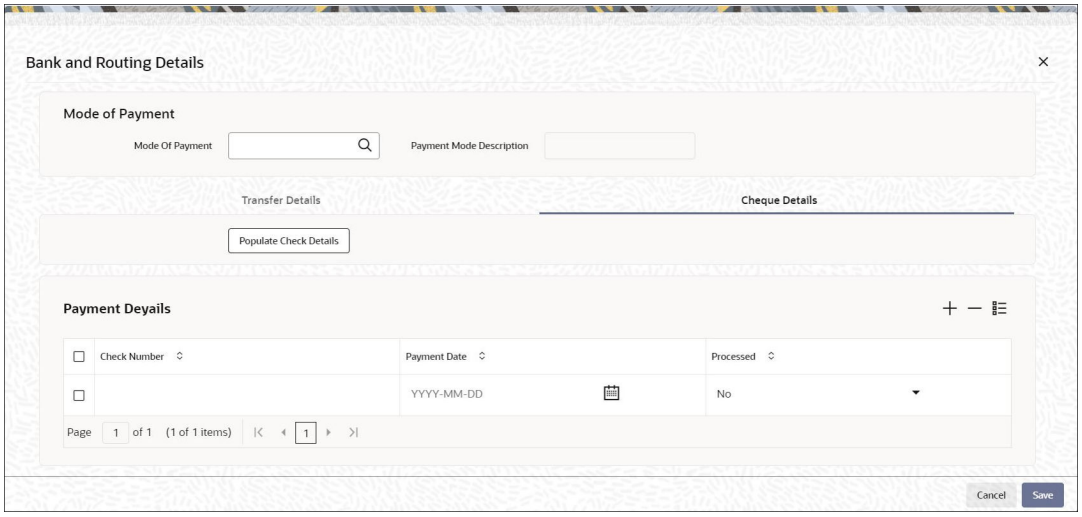
1.1.5.2 Cheque Details Tab

This topic explains the Cheque Details tab in the **Bank and Routing Details** screen.

1. Click **Cheque Details** tab in the **Bank and Routing Details** screen.

   The **Cheque** details are displayed.

Figure 1-8 FCIS Standing Instructions Detail - Bank and Routing Details_Cheque Details



2. On **Cheque Details** screen, specify the fields.

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

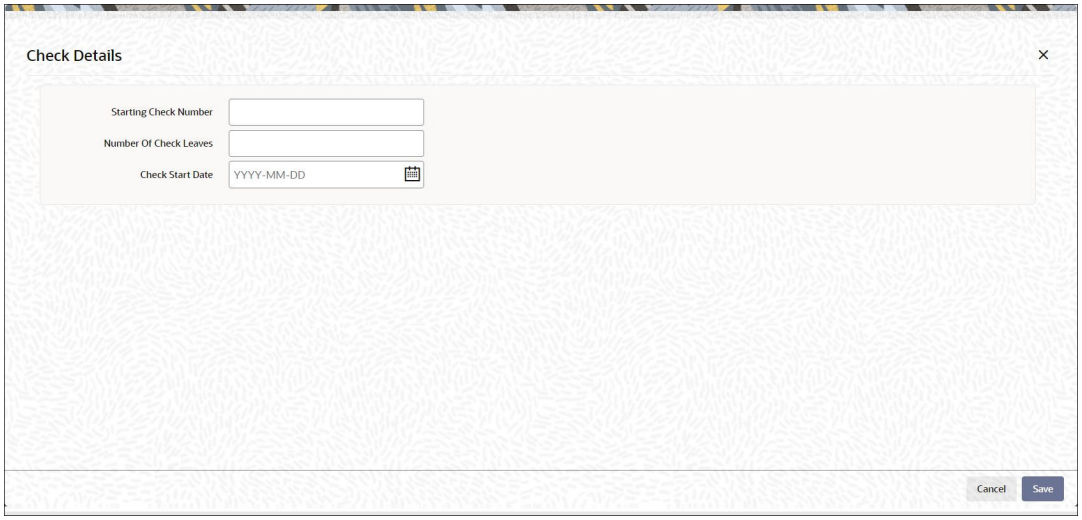
Table 1-17 Cheque Details - Field Description

Fields	Description
Check Number	*Alphanumeric; 16 Characters; Optional* Specify the check book number.
Payment Date	*Date Format; Optional* Specify the payment date.
Processed	*Optional* Select if the transaction is processed or not. The list displays the following values: • **Yes** • **No**

3. Click the **Populate Check Details** button to specify the following cheque details.

   The **Check Details** screen is displayed.

Figure 1-9 FCIS Standing Instructions Detail - Bank and Routing Details_Populate Cheque Details



4. On **Check Details** screen, specify the fields.

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

Table 1-18 Check Details - Field Description

Fields	Description
Starting Check Number	*Numeric; 10 Characters; Optional* Specify the starting cheque number.
Number of Check Leaves	*Numeric; 10 Characters; Optional* Specify the number of check leaves.
Check Start Date	*Date Format; Optional* Specify the cheque start date.

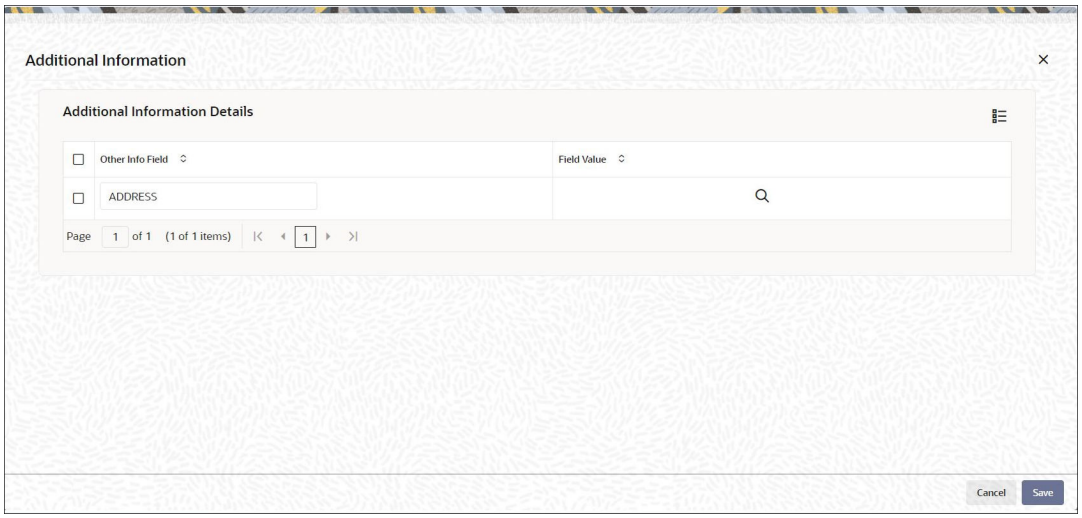
1.1.6 FCIS Standing Instructions Detail - Additional Information

This topic explains the Additional Information button of **FCIS Standing Instructions Detail**.

1. On the **FCIS Standing Instructions Detail** screen, click the **Additional Information** button to enter the details.

   The **Additional Information** screen is displayed.

Figure 1-10 FCIS Standing Instructions Detail - Additional Information



2. View the **Additional Information** details.

   The screen displays the following details:

   - **Other Info Field**
   - **Field Value**

1.1.7 Validate SI Maintenance

This topic provides the instructions to validate SI maintenance.

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

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

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

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

Cut-off based SI Maintenance

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

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

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

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

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

If amended during the cut off period, effective date must be greater than next processing date. Cut-off days will always be system calendars days and lag is applicable for both RSP and DRSP creation and amendment.

If the cut-off dates falls on Taiwan holidays, the cut-off dates will move to previous business day. **For instance**, cut-off days is **5**, RSP date is 8th say, 8March, the cut-off date will be last day of previous month, i.e., 28February. If 28 February is not a Taiwan business day, the cut-off date should be moved to 27 February or previous business day.

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

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

Example

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

Table 1-19 SI cut-off day for RSP/ DRSP

Case#	SI Start date	Existing SI	Business day	Effective Date	Next processing date	Operation	Remarks
1	28-Nov-21	No	20-Nov-16	20-Nov-16	Blank	New SI creation	SI will be created successfully
2	28-Nov-16	No	23-Nov-16	NA	Blank	New SI creation	SI creation will not be allowed as SI start date is within the disallowed period. If SI start date is 28Dec, the SI creation should be allowed
3	28-Jan-16	Yes	20-Nov-21	20-Nov-16	28-Nov-16	SI Amendment (post authorization)	SI amendment will be allowed

Table 1-19 (Cont.) SI cut-off day for RSP/ DRSP

Case#	SI Start date	Existing SI	Business day	Effective Date	Next processing date	Operation	Remarks
4	28-Jan-21	Yes	22-Nov-16	Effective date can be any date after 28-Nov2016	28-Nov-16	SI Amendment (post authorization)	SI amendment will be allowed only with effective date greater than Next Processing Date (28-Nov-2016) as Next processing date is within the dis-allowed period
5	28-Jan-16	Yes	10-Nov-16	10-Nov-16	12/8/ 2016 (this should be change to 08th Dec after post authorization)	SI Amendment (to change the RSP date from 28th to 8th (post authorization)	SI amendment will be allowed
6	28-Jan-16	Yes	11-Nov-21	11-Nov-16	11/28/ 2016 (this should be change to 28th Nov after post authorization)	SI Amendment (to change the RSP date from 8 to 28th (post authorization)	SI amendment will be allowed.
7	2/8/2016 (Another RSP plan)	Yes	11-Nov-21	11-Nov-16	11/28/ 2016 (this should be change to 28th Nov after post authorization)	SI Amendment (to change the RSP date from 8 to 28th (post authorization)	SI amendment will be allowed

You can amend SI maintenance as follows:

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

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

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

Table 1-20 SI Amendable fields

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

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

Cut-off date will be derived as follows:

Cut-off date = Next Processing Date – CUTOFFDAYS

Example

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

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

Table 1-21 SI amendment between last processed date and cut-off date

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

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

Table 1-22 Amendment of SI for next cycle

Amendment from	Amendment to
Any Date	21-Dec-16

1.1.8 Yield date derivation – Fund level SI

This topic provides information about yield date derivation – fund level SI.

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

where,

T- SI date

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

If **SICUTOFFDAYS** is lesser than **YIELDLAG**, then post yield computation, then you can amend the amount, hence the validation. The SI Effective date should be less than or equal to Yield Computation Date, otherwise the system will not pick SI for yield computation and hence the upcoming SI generation will fail.

N – NAV lag – Actual calendar. The system will calculate the lag from RSP date. Param Code for NAV Lag is **NAVLAG**. The NAV date derived from NAV lag maintained must be always greater or equal to Yield computation date derived from Yield lag. You need to operationally control this validation..

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

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

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

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

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

Example on System Holiday in Feb

Table 1-23 System Holiday in Feb

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

Example on Fund Holiday in Feb

Table 1-24 Fund Holiday in Feb

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

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

Yield Lag - Y is set as 4

NAV Lag - N is set as 7

Table 1-25 Yield Computation Date (SI Date - Y) System Calendar

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

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

Yield date derivation – SI – Plan level

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

Plan level SI with 2 offshore funds

Table 1-26 Fund Details

Fund ID	Fund Type	Holidays
BONFND	Bond Fund	23,24
EQYFND	Equity fund	20,21,24

Yield Lag - Y is set as 4

NAV Lag - N is set as 7

Fund Holiday in Feb - BONFND

Table 1-27 Fund Holiday in Feb - BONFND

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

Fund Holiday in Feb - EQYFND

Table 1-28 Fund Holiday in Feb - EQYFND

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

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

Table 1-29 NAV Lag Maintenance

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

Example for RSP on 8th and 28th

Table 1-30 Lag Details

Lag Name	Value	For RSP Date 8th	For RSP Date 28th	Remarks
SICUTFFDATE	8	31-Jan-17	20-Feb-17	Follows actual calendar
YIELDLAG	3	2-Feb-17	22-Feb-17	Follows system calendar
NAVLAG	7	1-Jan-17	21-Feb-17	Follows actual calendar and derive the NAV date. If the derived date is a holiday system will use fund calendar and derive the available price prior to derived date

Calendar details below: Holiday calendar for Jan

Table 1-31 Holiday Calendar for Jan

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

Holiday Calendar for Feb

Table 1-32 Holiday Calendar for Feb

Sun	Mon	Tue	Wed	Thu	Fri	Sat
-	-	-	1	2	3	**4**

Table 1-32 (Cont.) Holiday Calendar for Feb

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

Reference in Holiday Calender Table for Fund and System Holiday Type

Table 1-33 Fund Holiday and System Holiday

Reference in Holiday Calender Table	Holiday Type
Bold	Fund Holiday
italics	System Holiday

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

1.2 FCIS Standing Instructions Summary

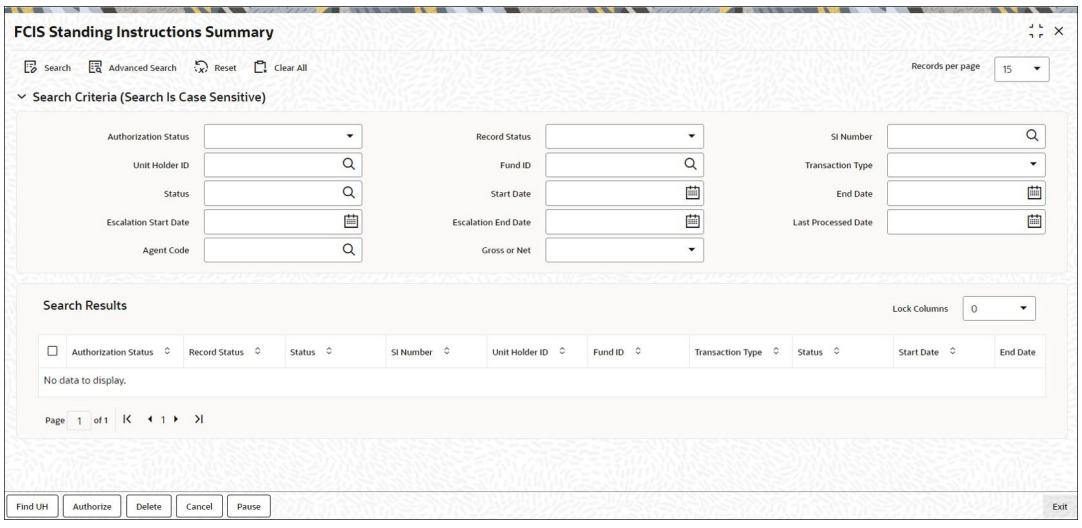
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve FCIS Standing Instructions

1. On **Home** screen, type **UTSSIN/ UTSFIN** in the text box and click **Next**.

   The **FCIS Standing Instructions Summary** screen is displayed.

Figure 1-11 FCIS Standing Instructions Summary



2. On **FCIS Standing Instructions Summary** 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**
- **SI Number**
- **Unit Holder ID**
- **Fund ID**
- **Transaction Type**
- **Status**
- **Start Date**
- **End Date**
- **Escalation Start Date**
- **Escalation End Date**
- **Last Processed Date**
- **Agent Code**
- **Gross or Net.**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

- Edit FCIS Standing Instructions
  This topic provides the systematic instructions to edit **FCIS Standing Instructions**.
- View FCIS Standing Instructions
  This topic provides the systematic instructions to view **FCIS Standing Instructions**.
- Delete FCIS Standing Instructions
  This topic provides the systematic instructions to delete **FCIS Standing Instructions**.
- Authorize FCIS Standing Instructions
  This topic provides the systematic instructions to authorize **FCIS Standing Instructions**.
- Amend FCIS Standing Instructions
  This topic provides the systematic instructions to amend **FCIS Standing Instructions**.

- Authorize Amended FCIS Standing Instructions
  This topic provides the systematic instructions to authorize amended **FCIS Standing Instructions**.

1.2.1 Edit FCIS Standing Instructions

This topic provides the systematic instructions to edit **FCIS Standing Instructions**.

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

1. Start the **FCIS Standing Instructions Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Standing Instructions Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Standing Instructions Detail** screen is closed and the changes made are reflected in the **FCIS Standing Instructions Summary** screen.

1.2.2 View FCIS Standing Instructions

This topic provides the systematic instructions to view **FCIS Standing Instructions**.

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

1. Start the **FCIS Standing Instructions Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Standing Instructions Detail** screen is displayed.

1.2.3 Delete FCIS Standing Instructions

This topic provides the systematic instructions to delete **FCIS Standing Instructions**.

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

1. Start the **FCIS Standing Instructions Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Standing Instructions Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

1.2.4 Authorize FCIS Standing Instructions

This topic provides the systematic instructions to authorize **FCIS Standing Instructions**.

An unauthorized FCIS Standing Instructions must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Standing Instructions Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Standing Instructions Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

1.2.5 Amend FCIS Standing Instructions

This topic provides the systematic instructions to amend **FCIS Standing Instructions**.

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

1. Start the **FCIS Standing Instructions Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Standing Instructions Detail** screen is displayed.

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

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

- Changes during Amendment
  This topic gives instructions on changes that can be made in standing instruction details.

1.2.5.1 Changes during Amendment

This topic gives instructions on changes that can be made in standing instruction details.

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

Table 1-34 Amending Standing Instruction

Details	Standing Instruction
Escalation Details	The escalation details such as **SI Escalation Frequency**, **Next Escalation Date**, **Escalation Type** and **Escalation Value** may be amended.
Transfer bank details for account transfer payments	The transfer bank account details can be altered only for those standing instructions for which the **Mode of Payment** is **Transfer**.
Payment mode and check details	The **Mode of Payment** can be amended from **Transfer** to **Check** or vice versa during amendment of a standing instruction. The check details cannot be altered if the checks are still unprocessed.
Broker details	The broker may be altered during amendment.
Unit Holder Bank Details	You can change the bank details of an active standing instruction. If the modified bank are attached to any active **Income Distribution Setup (IDS)**, Standing Instruction Setup or Policy SI (Premiums or Annuities), the system displays a warning message.

Table 1-34 (Cont.) Amending Standing Instruction

Details	Standing Instruction
Cancelling / pausing / reactivating a Standing Instruction	After a standing instruction is authorized, it could be: • **Active**: This means that the instruction is still being processed, and transactions have been put through. • **Paused**: The authorized instruction record exists in the database, but no processing is taking place in respect of the same • **Cancelled**: The instruction has been annulled and no processing is scheduled to take place in respect of the same During amendment of an authorized standing instruction in this screen, you can change the status of the record. You can • **Pause** an active instruction, by changing the status from Active to Paused in the Instruction Status field. In such a case, all future processing in respect of the instruction will be held back and not put through, till further notice • **Cancel** an active instruction, by changing the status from Active to Cancelled in the Instruction Status field. In such a case, the instruction is deemed as annulled, and future processing and scheduling for the same is stopped indefinitely. Once you cancel an active instruction, you cannot make it active again. • **Reactivate** a paused instruction, by changing the status from Paused to Active in the Instruction Status field. When you do so, processing for the instruction will begin again.

1.2.6 Authorize Amended FCIS Standing Instructions

This topic provides the systematic instructions to authorize amended **FCIS Standing Instructions**.

1. An amended FCIS Standing Instructions must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

1.3 Process SI Lag Maintenance

This topic provides the systematic instructions to maintain SI Cut off days, NAV Lag and Yield Lag at AMC level.

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

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

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

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

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

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

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

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

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

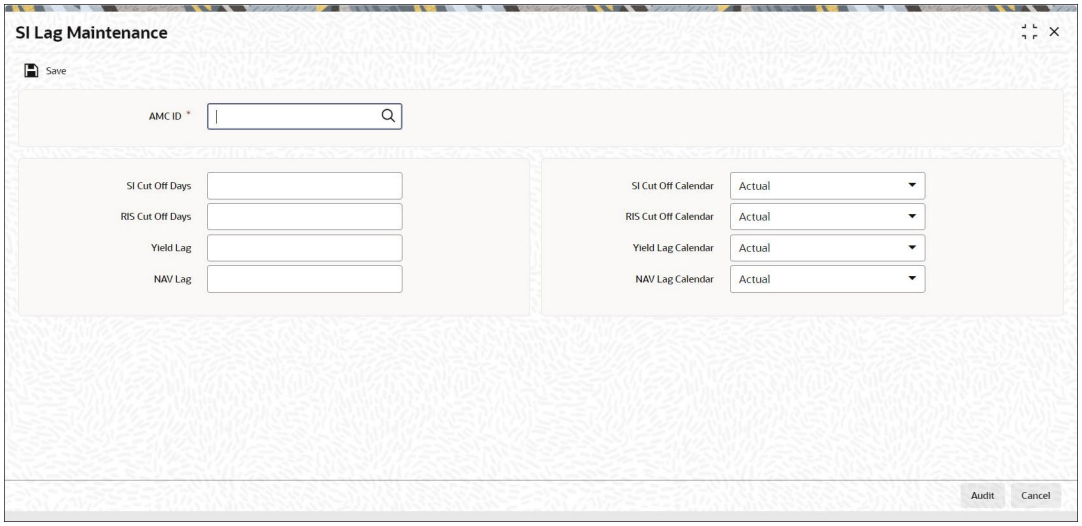
The system will calculate the NAV Date for yield computation for each fund based on the fund calendar and NAV Lag maintained.

> **Note:**
>
> The **SI Lag Maintenance** is applicable only for Fund Manager.

1. On **Home** screen, type **UTDSILAG** in the text box and click **Next**.

   The **SI Lag Maintenance** screen is displayed.

Figure 1-12 SI Lag Maintenance



2. On **SI Lag Maintenance** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 1-35 SI Lag Maintenance - Field Description

Fields	Description
AMC ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC ID of the AMC for which Lag needs to be maintained.
SI Cut Off Days	*Numeric; 2 Characters; Mandatory* Specify the SI Cut off days to be maintained for SIs other than RIS.
SI Cut Off Calendar	*Optional* Select the calendar associated with **SI Cut Off Days** field from the drop-down list. The list displays the following values: • **Actual** • **System** • **Fund**
RIS Cut Off Days	*Numeric; 2 Characters; Mandatory* Specify the Cut off days to be maintained for RIS.
RIS Cut Off Calendar	*Optional* Select the calendar associated with **RIS Cut Off Days** field from the drop-down list. The list displays the following values: • **Actual** • **System** • **Fund**
Yield Lag	*Numeric; 2 Characters; Mandatory* Specify the yield lag to be maintained for DRSP.
Yield Lag Calendar	Optional Select the calendar associated with Yield Lag field from the drop-down list. The list displays the following values: • **Actual** • **System** • **Fund**
NAV Lag	Numeric; 2 Characters; Mandatory Specify the NAV lag to be maintained for DRSP.
NAV Lag Calendar	Mandatory Select the calendar associated with NAV Lag field from the drop-down list. The list displays the following values: • **Actual** • **System** • **Fund** During Amend operation, the system will not validate any business impact for the new value captured, as the system does not restrict or maintain any particular date for SI maintenance. The following example needs to be operationally controlled: **Example** SI generation date is 8th Feb. The SI cut off lag is maintained as 3 days (system calendar). You can amend the cut off lag At AMC level to 2 days upto 3rd Feb. The system will not allow you to amend SI cut off lag to 4 days at AMC level on 3rd Feb.

1.4 SI Lag Summary

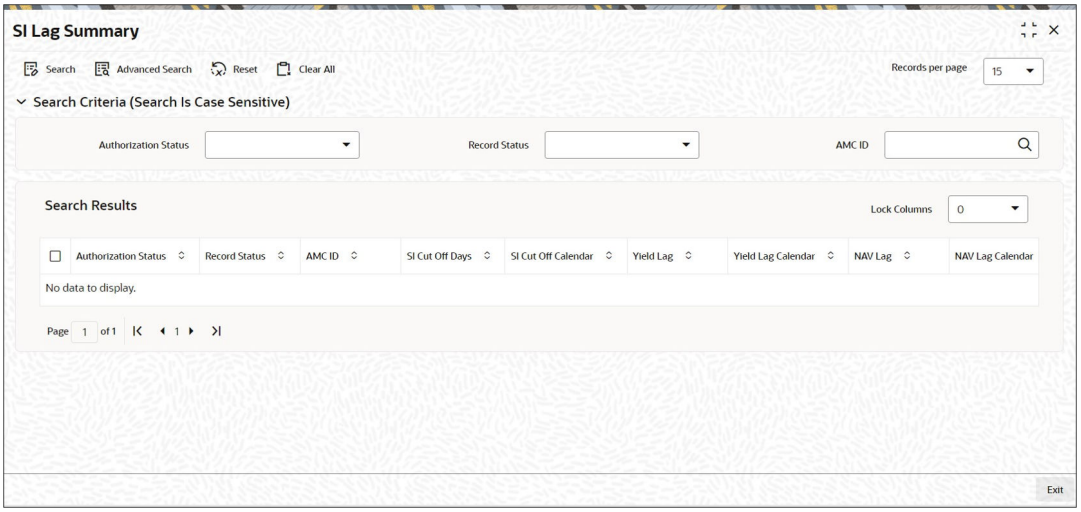
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve SI Lag Record

1. On **Home** screen, type **UTSSILAG** in the text box and click **Next**.

   The **SI Lag Summary** screen is displayed.

Figure 1-13 SI Lag Summary



2. On **SI Lag Summary** 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**
   - **AMC ID**
3. Click **Search** button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- Edit SI Lag Record
  This topic provides the systematic instructions to edit **SI Lag Record**.
- View SI Lag Record
  This topic provides the systematic instructions to view **SI Lag Records**.
- Delete SI Lag Record
  This topic provides the systematic instructions to edit **SI Lag Record**.
- Authorize SI Lag Record
  This topic provides the systematic instructions to authorize **SI Lag Record**.
- Amend SI Lag Record
  This topic provides the systematic instructions to amend **SI Lag Record**.
- Authorize Amended SI Lag Record
  This topic provides the systematic instructions to authorize amended **FCIS Standing Instructions**.

1.4.1 Edit SI Lag Record

This topic provides the systematic instructions to edit **SI Lag Record**.

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

1. Start the **SI Lag Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **SI Lag Maintenance** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **SI Lag Maintenance Detail** screen is closed and the changes made are reflected in the **SI Lag Summary** screen.

1.4.2 View SI Lag Record

This topic provides the systematic instructions to view **SI Lag Records**.

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

1. Start the **SI Lag Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **SI Lag Maintenance Detail** screen is displayed.

1.4.3 Delete SI Lag Record

This topic provides the systematic instructions to edit **SI Lag Record**.

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

1. Start the **SI Lag Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **SI Lag Maintenance** screen is displayed.
5. Select **Delete** operation from the Action list.

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

1.4.4 Authorize SI Lag Record

This topic provides the systematic instructions to authorize **SI Lag Record**.

An unauthorized SI Lag Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **SI Lag Summary** screen from the Browser.
2. Select the status of the record that user 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. Double-click the record that you wish to authorize.

   The **SI Lag Maintenance** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

1.4.5 Amend SI Lag Record

This topic provides the systematic instructions to amend **SI Lag Record**.

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

1. Start the **SI Lag Summary** 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. Double-click the record that you wish to amend.

   The **SI Lag Maintenance** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

1.4.6 Authorize Amended SI Lag Record

This topic provides the systematic instructions to authorize amended **FCIS Standing Instructions**.

1. An amended SI Lag Record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

1.5 Unitholder Deal Summary

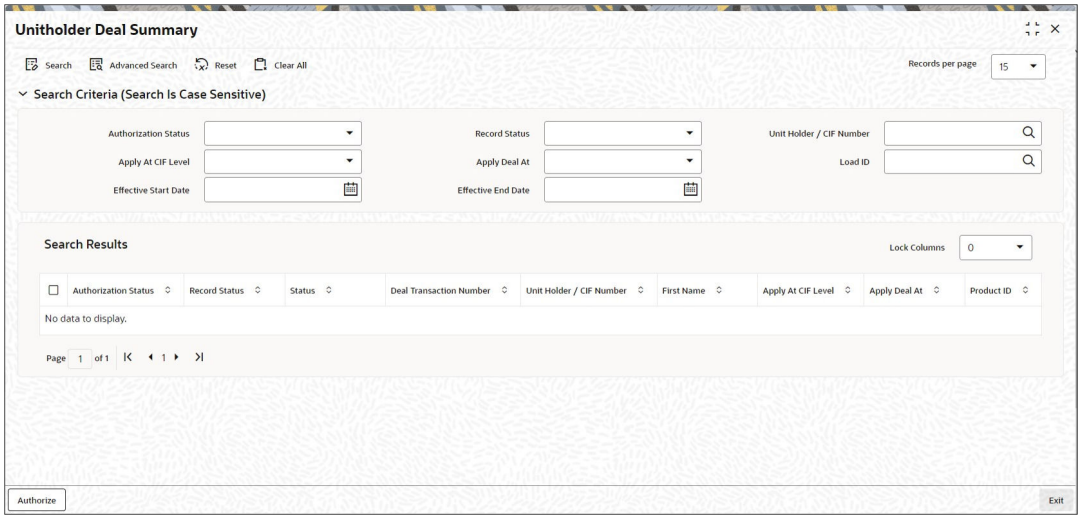
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Deals for Investors

1. On **Home** screen, type **UTSUHDEL** in the text box and click **Next**.

   The **Unitholder Deal Summary** screen is displayed.

Figure 1-14 Unitholder Deal Summary



2. On **Unitholder Deal Summary** 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**
   - **Unit Holder / CIF Number**
   - **Apply At CIF Level**
   - **Apply Deal At**
   - **Load ID**
   - **Effective Start Date**
   - **Effective End Date**
3. Click **Search** button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

- Edit Deals for Investors
  This topic provides the systematic instructions to **Edit Deals for Investors**.

- View Deals for Investors
  This topic provides the systematic instructions to **View Deals for Investors**.
- Delete Deals for Investors
  This topic provides the systematic instructions to **Delete Deals for Investors**.
- Authorize Deals for Investors
  This topic provides the systematic instructions to **Authorize Deals for Investors**.
- Amend Deals for Investors
  This topic provides the systematic instructions to amend **SI Lag Record**.
- Authorize Amended Deals for Investors
  This topic provides the systematic instructions to authorize amended **Deals for Investors**.
- Process Back Data Propagation for SI Transactions
  This topic provides information about processing back data propagation for **SI Transactions Details**.

1.5.1 Edit Deals for Investors

This topic provides the systematic instructions to **Edit Deals for Investors**.

Modify the Deals for Investors that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Unitholder Deal Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Unitholder Deal Maintenance Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Unitholder Deal Maintenance Detail** screen is closed and the changes made are reflected in the **Unitholder Deal Summary** screen.

1.5.2 View Deals for Investors

This topic provides the systematic instructions to **View Deals for Investors**.

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

1. Start the **Unitholder Deal Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Unitholder Deal Maintenance Detail** screen is displayed.

1.5.3 Delete Deals for Investors

This topic provides the systematic instructions to **Delete Deals for Investors**.

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

1. Start the **Unitholder Deal Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **SI Lag Maintenance** screen is displayed.
5. Select **Delete** operation from the Action list.

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

1.5.4 Authorize Deals for Investors

This topic provides the systematic instructions to **Authorize Deals for Investors**.

An unauthorized Deals for Investors must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **Unitholder Deal Summary** 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. Double-click the record that you wish to authorize.

   The **Unitholder Deal Maintenance Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

1.5.5 Amend Deals for Investors

This topic provides the systematic instructions to amend **SI Lag Record**.

After a Deal for Investors is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **Unitholder Deal Summary** 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. Double-click the record that you wish to amend.

   The **Unitholder Deal Maintenance Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

1.5.6 Authorize Amended Deals for Investors

This topic provides the systematic instructions to authorize amended **Deals for Investors**.

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

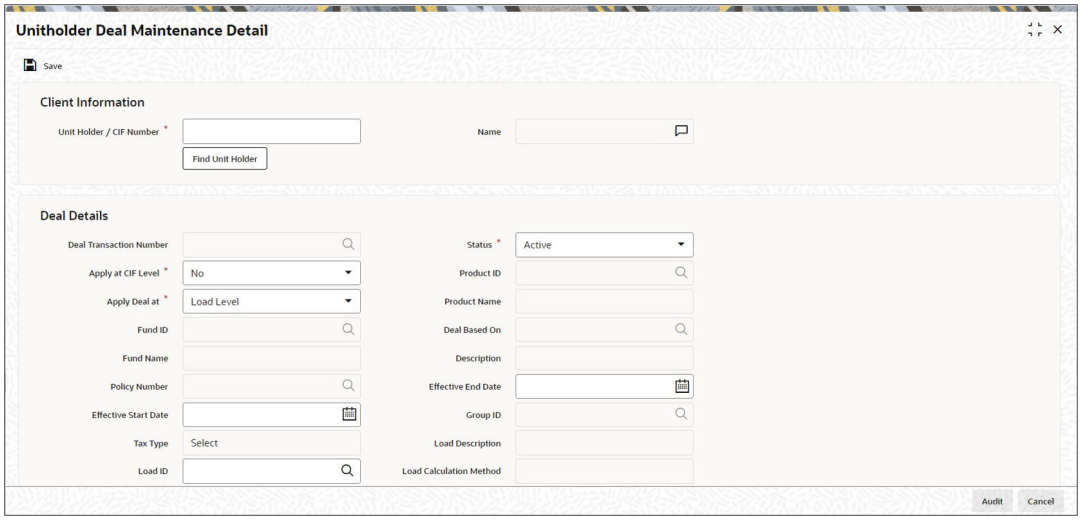
   The subsequent process of authorization is the same as that for normal transactions.
2. When you retrieve a deal record for the purpose of amendment in this screen, it is displayed in the **Unitholder Deal Maintenance Detail** screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

   > **Note:**
   >
   > When you make changes to any authorized record in the system database through the amendment operation, the record with the amended information is saved as an unauthorized record in the system. For your amendment changes to be effective, the amended record must be subsequently authorized. When it is authorized, it is saved in the system database as an authorized record with the amendment information, and is effective.
3. Cancel an existing negotiated deal by changing the status to cancel. When you authorize this change, the deal set up is nullified.
4. You can process the **Unitholder Deal Maintenance Detail** screen by typing **UTDUHDEL** in the text box and click **Next**.

   The Unit holder deal records matching the search criterion specified is displayed in row lists in the lower grid portion of the screen. From this results list, choose the unit holder deal that you want to view by double clicking on a record.

5. The **Unitholder Deal Maintenance Detail** screen is processed in View mode as shown below, where you can view the details of the record.

Figure 1-15 Unitholder Deal Maintenance Detail



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

1.5.7 Process Back Data Propagation for SI Transactions

This topic provides information about processing back data propagation for **SI Transactions Details**.

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

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

1.6 Process Plan Maintenance Detail

This topic provides the systematic instructions to create templates for standing instructions.

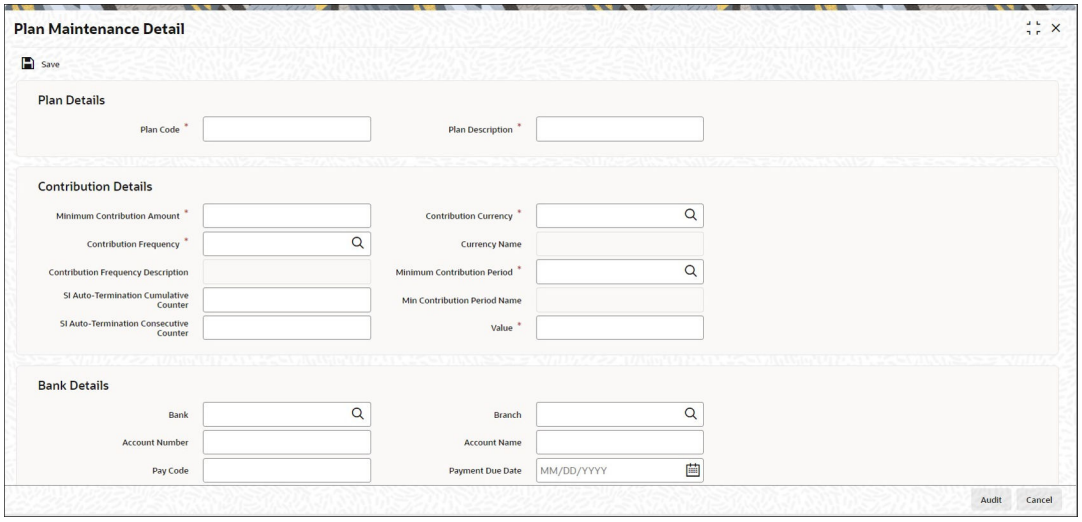
Templates are particularly useful when you are entering standing instructions for multiple funds with the same characteristics for a unit holder, wherein options and rules are applicable to all funds belonging to the investor.

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

1. On **Home** screen, type **UTDRSPM** in the text box and click **Next**.

   The **Plan Maintenance Detail** screen is displayed.

Figure 1-16 Plan Maintenance Detail



2. On **Plan Maintenance Detail** screen, specify the fields.

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

Table 1-36 Plan Maintenance Detail - Field Description

Field	Description
Plan Code	*Alphanumeric; 6 Characters; Mandatory* Provide a unique identification for the new template you are creating, in this field.
Plan Description	*Alphanumeric; 60 Characters, Mandatory* Enter descriptive text, a short phrase that qualifies the plan.
Contribution Details	In this section, specify the period during which the standing instruction is to be processed for the unit holder, the minimum contribution amount, as well as the frequency at which it must be processed.
Minimum Contribution Amount	*Numeric; 30 Characters; Mandatory* Indicate the minimum value of the transaction amount that is to be generated in respect of the instruction.
Contribution Frequency	*Alphanumeric; 5 Characters; Mandatory* From the option list, select the frequency at which the standing instruction must be processed. The value specified here will be defaulted to all the underlying standing instructions.
Contribution Frequency Description	*Display* The system displays the description for the selected contribution frequency.
SI Auto-Termination Cumulative Counter	*Alphanumeric; 3 Characters; Optional* Specify the maximum number of times the SI payment rejections are allowed before the auto termination.
SI Auto Termination Consecutive Counter	*Numeric; 3 Characters; Optional* Specify the maximum number of times consecutive SI payment rejections should be allowed before the SI is automatically terminated.

Table 1-36 (Cont.) Plan Maintenance Detail - Field Description

Field	Description
Contribution Currency	*Alphanumeric; 3 Characters; Mandatory* From the list, select the currency in which the transactions generated in respect of the standing instruction will be processed.
Currency Name	*Display* The system displays the currency name.
Minimum Contribution Period	*Alphanumeric; 5 Characters; Mandatory* From the list, select the unit in which minimum period between the Start Date and End Date of the standing instructions is to be reckoned.
Min Contribution Period Name	*Display* The system displays the minimum contribution period name for the selected period.
Value	*Numeric; 5 Characters; Mandatory* Specify the value of the minimum contribution period between the Start Date and End Date of the standing instructions. **Note:** Minimum Contribution Period and Value should be proportionate to Contribution Frequency. For example, if the Contribution Frequency is Months then the Minimum Contribution Period and value should be above a month's time.
Bank Details	In this section, you specify details of any bank accounts operated for the savings plan.
Bank	*Alphanumeric; 12 Characters; Optional* From the list, select the name of the bank in which the account is held.
Bank Name	*Display* The system displays the name of the bank.
Branch	*Alphanumeric; 12 Characters; Optional* From the list, select the name of the branch of the bank in which the account is held.
Branch Name	*Display* The system displays the branch name.
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the number of the account for the plan in the selected bank.
Account Name	*Alphanumeric; 140 Characters; Optional* Specify the name in which the account is maintained for the plan.
Pay Code	*Alphanumeric; 25 Characters; Optional* Enter the pay code of the bank in which the account is held.
Payment Due Date	*Date Format; Optional* Specify the date on which the payment is due. The payment date cannot be back dated.
Auto Pay Credit	*Alphanumeric; 20 Characters; Optional* Specify the auto pay credit number for the savings plan.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the **(International Bank Account Number (IBAN)**of the account holder.

1.7 Plan Maintenance Summary

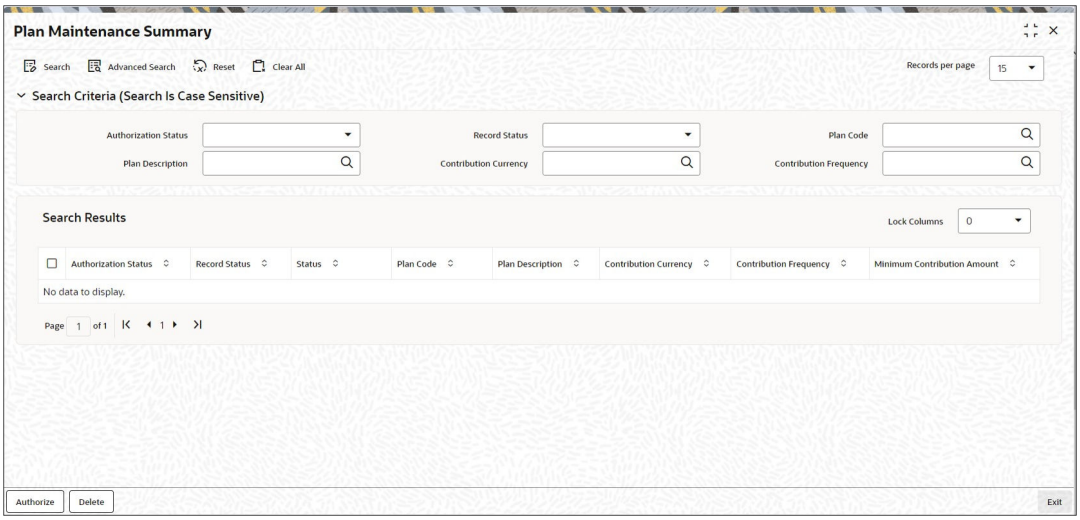
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Savings Plan

1. On **Home** screen, type **UTSSILAG** in the text box and click **Next**.

   The **Plan Maintenance Summary** screen is displayed.

Figure 1-17 Plan Maintenance Summary



2. On **Plan Maintenance Summary** 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**
   - **Plan Code**
   - **Plan Description**
   - **Contribution Currency**
   - **Contribution Frequency**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- Edit Savings Plan
  This topic provides the systematic instructions to **Edit Savings Plan**.
- View Savings Plan
  This topic provides the systematic instructions to **View Savings Plan**.
- Delete Savings Plan
  This topic provides the systematic instructions to **Delete Savings Plan**.
- Authorize Savings Plan
  This topic provides the systematic instructions to authorize **Deals for Investors**.
- Amend Savings Plan
  This topic provides the systematic instructions to amend **SI Lag Record**.
- Authorize Amended Savings Plan
  This topic provides the systematic instructions to authorize amended **Savings Plan**.

1.7.1 Edit Savings Plan

This topic provides the systematic instructions to **Edit Savings Plan**.

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

1. Start the **Plan Maintenance Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Plan Maintenance Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **Plan Maintenance Detail** screen is closed and the changes made are reflected in the **Plan Maintenance Summary** screen.

1.7.2 View Savings Plan

This topic provides the systematic instructions to **View Savings Plan**.

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

1. Start the **Plan Maintenance Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Plan Maintenance Detail** screen is displayed.

1.7.3 Delete Savings Plan

This topic provides the systematic instructions to **Delete Savings Plan**.

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

1. Start the **Plan Maintenance Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Plan Maintenance Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

1.7.4 Authorize Savings Plan

This topic provides the systematic instructions to authorize **Deals for Investors**.

An unauthorized Savings Plan must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **Plan Maintenance Summary** 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. Double-click the record that you wish to authorize.

   The **Plan Maintenance Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

1.7.5 Amend Savings Plan

This topic provides the systematic instructions to amend **SI Lag Record**.

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

1. Start the **Plan Maintenance Summary** 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. Double-click the record that you wish to amend.

   The **Plan Maintenance Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

1.7.6 Authorize Amended Savings Plan

This topic provides the systematic instructions to authorize amended **Savings Plan**.

1. An amended Savings Plan must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

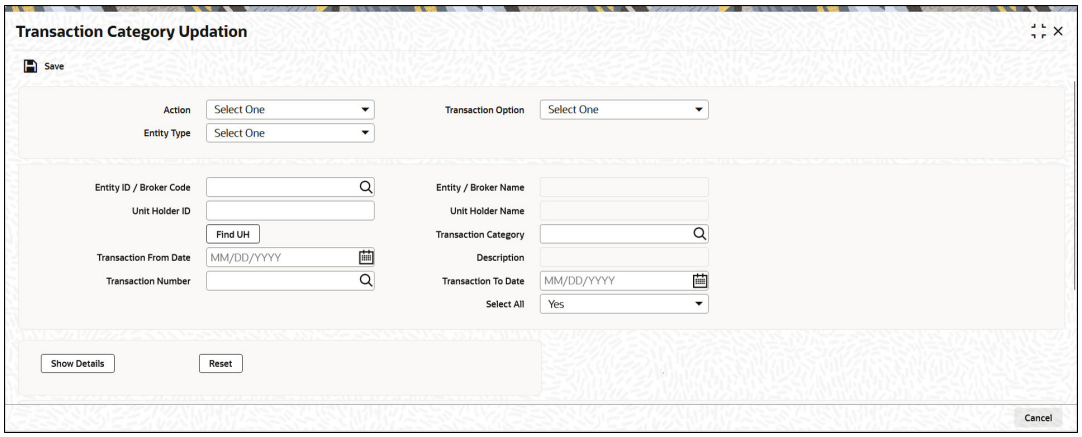
1.8 Process Transaction Category Updation

This topic provides the systematic instructions to update **Transaction Category**.

1. On **Home** screen, type **UTDTXNCU** in the text box and click **Next**.

   The **Transaction Category Updation** screen is displayed.

Figure 1-18 Transaction Category Updation



2. On **Transaction Category Updation** screen, specify the fields.

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

Table 1-37 Transaction Category Updation - Field Description

Field	Description
Action	*Optional* Select the transaction action from the drop-down list. The list displays the following values: • **Category Change** • **Authorize** • **View** • **Delete**
Entity Type	*Optional* Select the entity type from the drop-down list. The list displays the following values: • **Agent** • **Branch Code** • **IFA** • **Account Officer** • **Broker**
Transaction Option	*Optional* Select the transaction option from the drop-down list. the list displays the following values: • **UT** • **LEP**

Table 1-37 (Cont.) Transaction Category Updation - Field Description

Field	Description
Entity ID / Broker Code	*Alphanumeric; 9 Characters; Optional* Specify the entity ID or the broker code. Alternatively, you can select entity ID or broker code from the option list. The list displays all valid entity ID or broker code maintained in the system.
Entity / Broker Name	*Display* The system displays the entity or the broker name for the selected entity ID or broker code.
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the unit holder ID. You can search for unit holder ID by clicking the **Find UH** button in the screen.
Unit Holder Name	*Display* The system displays the unit holder name for the selected unit holder ID.
Transaction Category	*Alphanumeric; 1 Characters; Optional* Select the transaction category from the option list. The list displays the following values: • **Legacy** • **Advised Business** • **Execution Only** For MIFID fund transactions, the system will update the **Transaction Category** field to **Advised Business** and **Execution Only**. The effective date for category updation will be current system date. If the transaction category is updated for a transaction, effective date will be from the category updation date
Description	*Display* The system displays the description of the selected transaction category.
Transaction From Date	*Date Format; Optional* Select the transaction from date from the adjoining calendar.
Transaction To Date	*Date Format; Optional* Select the transaction to date from the adjoining calendar.
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number. Alternatively, you can select transaction number from the option list. The list displays all valid transaction number maintained in the system.
Select All	*Optional* Select if all the transactions has to be selected or not from the drop-down list. The list displays the following values: • **Yes** • **No**

3. Click the **Show Details** button after specifying the necessary details.

   The following details are displayed:

   - **Product ID**
   - **Policy Number**
   - **Fund ID**
   - **Transaction Number**

- **Transaction Date**
- **Unit Holder ID**
- **Unit Holder Name**
- **Transaction Type**
- **Ref Type**
- **Transaction Category**
- **Date**
- **New Transaction Category**
- **Remarks**
- **Select**
- **Authorization Status**
- **Maker ID**
- **Maker DT Stamp**
- **Checker ID**
- **Checker DT Stamp**

4. Click the **Reset** button to reset the details.

2
IRA Plans

This topic explains the processes involved in the creation of retirement plans in retirement investment products for investors.

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

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

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

This topic contains the following sub-topic:

- Unit Holders and Unit Holder Accounts
  This topic provides information on unit holders and **Unit Holder Accounts Details**.

2.1 Unit Holders and Unit Holder Accounts

This topic provides information on unit holders and **Unit Holder Accounts Details**.

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

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

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

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

3

Processing Transaction Requests

This topic is intended for the Teller users and contains guidelines for the initiation and processing of investor transactions.

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

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

This topic enables you to understand how transaction requests are accepted and processed in the FCIS system. It consists of the following sections:

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

Explanation of the Transaction Requests in FCIS System

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

- For an exhaustive list of all mandatory information that you need to capture in the transaction screens, refer the section *Mandatory Information for all transaction types*.

This topic contains the following sub-topics:

- Types of Transaction Requests
  This topic provides information on types of transaction requests in detail.
- Flow of Events of Transaction Processing
  This topic provides information on flow of events of transaction processing.
- Transaction Processing Procedures
  This topic provides information about transaction processing procedures details.
- IPO Subscription Detail
- FCIS IPO Subscription Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Bulk Transactions
  This topic provides the systematic instructions to enter a transfer transaction request into the system.
- FCIS Bulk Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Subscription Transaction Detail
  This topic provides the systematic instructions to enter a transfer transaction request into the system.
- FCIS Subscription Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Cancel Transaction Detail
  This topic provides the systematic instructions to enter a transfer transaction request into the system.
- FCIS Cancel Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Redemption Transaction Detail
  This topic provides information on Redemption Transaction Detail.
- FCIS Redemption Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Redemption Confirmation
- Process Early Redemption Detail
  This topic provides the systematic instructions to maintain early redemption details.
- Transaction Switch Detail
  This topic provides the systematic instructions to enter a transfer transaction request into the system.
- FCIS Transaction Switch Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

- Process Light Weight Transaction Detail
  This topic provides the systematic instructions to process **FCIS Light Weight Transaction Detail** screen.
- Transfer Detail
  This topic provides information on **FCIS Transfer** screen.
- FCIS Transfer Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Block Transaction Detail
  This topic provides information on block transaction details.
- FCIS Block Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Unblock Transaction Detail
  This topic provides the instructions to start unblock transaction detail Screen details.
- FCIS Unblock Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Consolidation Transaction Detail
  This topic provides the systematic instructions to enter a transfer transaction request into the system.
- FCIS Consolidation Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Split Transaction Detail
  This topic explains the Split Transaction Detail screen.
- FCIS Split Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Reissue Transaction Detail
  This topic provides the instructions to process Reissue Transactions Detail Screen details.
- FCIS Reissue Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Defaulting of Price Date in Transaction Screens
  This topic provides information on Defaulting of Price Date in Transaction Screens details.
- Completing Transaction
  This topic provides information on Completing Transaction details.
- Process Back Data Propagation for Transactions
  This topic provides information on processing back data propagation for transactions details.
- Process Auto Completion
  This topic provides the instructions to process Auto Completion Screen details.

3.1 Types of Transaction Requests

This topic provides information on types of transaction requests in detail.

For more information on Types of Transaction Requests, refer the below table.

Table 3-1 Types of Transaction Requests

Field	Description
IPO Subscription and Subscription	When an investor chooses to invest capital into a fund, the investment is typically made by '**buying**' units in the fund. This is also known as **subscribing** into the fund. The investor can subscribe to a fund either during its **Initial Public Offering (IPO) Period**, or later. If the subscription is made during the IPO Period, the resulting transaction is an IPO subscription transaction, and the unit price for these transactions is fixed, generally the par value of the units, and not dependent on the prevalent net asset value for the fund. If the investor's subscription is made after the initial IPO Period, the resulting transaction is known plainly as a subscription transaction, and the unit price for these transactions will vary on a fixed frequency basis, depending upon the prevalent net asset value of the fund.
Redemption	When an investor decides to pull investment out of a fund (or disinvest in a fund), the units held by the investor are sold back to the fund (**redeemed**) at the prevalent Net Asset Value on the date of sale. This kind of a transaction is known as a redemption transaction. An investor can redeem all the holdings (complete redemption) or part of the holdings (partial redemption) While **redeeming** or selling back units to the fund, the investor recovers the value of the holdings in the fund at that given point in time. It also means that the fund buys back its units from the investor. An investor can redeem a specified number of units, or a specified amount, or a specified percentage of the holdings in any fund. The fund may also prompt the investor to partially redeem the holdings under the following circumstances: • The minimum registered capital has fallen below the minimum limit defined for the fund in the fund rules. In such a case, the redemption transaction is not allocated at all. • The fund investor category limit falling down to the minimum limit defined for the fund in the fund rules. Partial redemption may also occur due to other prevailing circumstances. The AMC can set a limit on the total volume of redemption transactions that would be accepted for a fund on a given business day. The limit could be specified in terms of a percentage or an amount. Redemption transactions that are requested which result in exceeding the limit set for the fund will not be accepted, in such a case. In the system, if the investor's balance reduces to zero as an account of a redemption transaction, the investor's account will be marked as pending closure.

Table 3-1 (Cont.) Types of Transaction Requests

Field	Description
Redemption through check writing	An investor may also request for the check writing facility, for usage of holdings in any of the funds. In such a case, a checkbook is issued to the investor for each fund. The investor may issue checks for payments, to any third party. When these checks are presented at the specified bank, they are sent to the appropriate clearing house. The bank then sends a file to the AMC, containing used check information from the clearing house. When the AMC receives details of used checks from the bank, a redemption transaction is initiated in the investor's account, and units are redeemed in the fund for which the checkbook was issued, to the extent of amount used on each check. No payment details are required for such redemption transactions.
Switch	An investor may choose to **switch** the investment in one fund, to another fund, for any reason. This would mean redeeming the investment in one fund and investing this redeemed capital in the other desired fund. This kind of exchange or switch is called a switch transaction. In the system, a switch transaction is processed as two separate transactions, the first involving a redemption from the first fund, and the second involving a subscription to the second fund. The switching facility in the system provides for switching either between funds in the same fund family, or between any two funds of the AMC. Switching within the same fund is defined as **Bed and Breakfast switch** (the **Switch from** fund and the **Switch to** fund in a switch transaction is same).
Transfer	An investor may choose to transfer ownership of holdings in any fund to another investor. This kind of a transfer of ownership is called a transfer transaction. A transfer transaction is different from a switch transaction in the sense that in a transfer transaction, the fund remains the same whereas the unit holder changes.
Block / Unblock	Typically, when lien is noted in respect of an investor's holdings in a fund either in part or entirely, the concerned units are said to be **blocked**. These blocked units are subsequently (and temporarily) unavailable to the investor for further transacting. Blocking of units could also occur due to any reason other than lien noting. The process of blocking units is called a block transaction. To release the blocked units for further transacting, the investor must '**unblock**' these units, or the lien must be lifted. This is known as an unblock transaction.

Table 3-1 (Cont.) Types of Transaction Requests

Field	Description
Split / Consolidation / Reissue	In certain funds, the investors receive certificates that are representative of their holdings (investment units) in the fund. These funds are called scrip-based funds. In certain funds, the investors are given units for their investment in the fund, without certificates. These funds are called scrip-less funds. In certain funds, the investor is given the option of requesting for certificates. If the investor chooses to receive certificates, then the fund furnishes the same. If not, then no certificates are issued. Such funds are termed as certificate-option funds. In scrip-based funds and certificate option funds where certificates have been requested for, an investor may choose to: • Split a single certificate into certificates of smaller denominations, resulting in a split transaction. • Merge many certificates of smaller denominations into a single certificate of their total denomination, resulting in a consolidation transaction. • Seek a **reissue** of certificates for reasons of losing a certificate or mutilation of certification etc, resulting in a reissue transaction. In such an event, the reissued certificates are printed with a 'Duplicate' tag on them.

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

3.2 Flow of Events of Transaction Processing

This topic provides information on flow of events of transaction processing.

For more information on Stages of Transaction Processing, refer the below table.

Table 3-2 Stages of Transaction Processing

Stage	Description
Unauthorized Stage	The transaction is first initiated into the system database when it is entered into the Transaction Detail screen for the required transaction type. In this screen, it is saved as an unauthorized transaction, which means that it is not reflected in the system's financial data stores as yet. The transaction is given a unique identification called the **Transaction Number**. During this unauthorized phase of the transaction, you can edit the details of the transaction as many times as is deemed necessary, using the Edit operation through the Transaction Summary screen. The transaction number is not changed when you edit a transaction. An unauthorized transaction can only be edited by the user who initiated it into the system. Due to various reasons, the supervisor can also reject transactions. Any such rejected transaction can also be edited.

Table 3-2 (Cont.) Stages of Transaction Processing

Stage	Description
Authorized Stage	When the transaction is authorized, the value of the transaction will be reflected in the system database. The user who enters the transaction in the system cannot authorize it. A user other than the one that entered the transaction can perform authorization. When a transaction is authorized, the authorizer must re-enter the transaction amount or number of units, which was specified for the transaction during transaction entry. When this is successfully done, the transaction can be authorized. The events that take place when you authorize a transaction can be understood from the Table 3-3 table.
Amendment Stage	After authorization, changes to a transaction request can only be made through an amendment. You can no longer **edit** the transaction through the Transaction Summary screen. You must choose the Amend menu option. Therefore, amendments are operations that you can perform only on authorized transaction records. The amendment facility is not available for the Unblock type of transactions. You can amend an authorized transaction: • Before the units in respect of the transaction have been allocated. • After the allocation of units in respect of the same • Within the default amendment period specified in the Defaults Maintenance Subsequently, the amended transaction must be authorized again for it to be effective. The authorization of an amended transaction can be done only from the Fund Manager module. **Note:** Once a transaction is amended and the amendment has been subsequently authorized, it cannot be amended again.
Allocation of Transactions	Once a transaction is authorized, the units in respect of it must be allocated to the concerned unit holder. The unit holder's balance holdings in the system database must reflect the changes due to the acquisition or the sale of units due to the transaction. The allocation processes in the system perform this function. To understand how allocation is performed, refer the topic *Allocation* in *Fund Manager* User Manual. Allocation can be performed in any (or all) of the following three ways: For information on fields in the Allocation of Transactions, refer the Table 3-4 table.

Table 3-3 Flow of events of Authorized Stage

Online Allocation facility	Mode of Payment	Check / Credit Card / Transfer allocations on par with cash	Upon Authorization	Allocation of Units
Available	Cash	-	Confirmed units allocated	Confirmed units allocated upon authorization

Table 3-3 (Cont.) Flow of events of Authorized Stage

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

Table 3-4 Allocation of Transactions

Field	Description
Online Allocation	The allocation is performed at the time the transaction is authorized, i.e., simultaneously with authorization. This is true for amended transactions for which the amendment is authorized, too. The online allocation is only possible if it is designated as available in the Transaction Processing Rules for the fund.
Allocation by the End of Day processes	All transactions that have been entered and authorized on a given business day will be automatically allocated by the End of Day processes that are performed at the installation for that business day.
Allocation through the Menu	You can also manually trigger the allocation for a transaction through the corresponding menu item in the End of Day menu category in the Fund Manager component. You can use this facility to perform allocation for transactions involving payment instruments, on the clearing date. **Note:** If the application is offline, you can capture the transaction through web service only if there is an entry for that function ID entry in **GWTMS_ AVAIL OPERATIONS** table.

3.3 Transaction Processing Procedures

This topic provides information about transaction processing procedures details.

Requesting Transaction

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

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

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

> **Note:**
>
> You can accept redemption, transfer and unblock transaction requests from unit holders whose account is pending closure in the system.
>
> - The funds in which the transaction is requested must be authorized funds that are effective in the system as on the date of the transaction.
> - The date and time on which you enter the transaction request into the system must be within the Start and End Dates (and Start and End Times) specified for the requested transaction type, in the Transaction Processing Rules.

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

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

For a detailed description of these rules, refer the topic *Setting up Fund Rules*, in the *Fund Setup* user guide.

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

You define these interfaces using the `Interface Definition` facility in the system. You can use the **Online Execution of Interfaces** menu option to execute these interfaces.

This option would execute each of the following interfaces that you have defined:

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

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

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

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

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

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

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

For information on setting up KYC lists, refer the topic *Maintaining Reference Information* in *Reference Information* User guide.

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

3.4 IPO Subscription Detail

This topic contains the following sub-topics:

- Process FCIS IPO Subscription Detail
  This topic provides the systematic instructions to enter an IPO Subscription request into the system.
- UH and Fund Tab
  This topic explains the UH and Fund tab of FCIS IPO Subscription Detail.
- Transaction Tab
  This topic explains the Transaction tab of FCIS IPO Subscription Detail.
- Other Tab
  This topic explains the other tab of **FCIS IPO Subscription Detail**.
- Intermediary Tab
  This topic explains the Intermediary tab of **FCIS IPO Subscription Detail**.
- Load Override Tab
  This topic explains the Load Override tab of **FCIS IPO Subscription Detail**.
- KYC and Document Tab
  This topic explains the KYC and Document tab of **FCIS IPO Subscription Detail**.
- Add Info Tab
  This topic explains the Add Info tab of **FCIS IPO Subscription Detail**.
- Fee Payment Tab
  This topic explains the Fee Payment tab of **FCIS IPO Subscription Detail**.
- Certificate Tab
  This topic explains the Add Info tab of **FCIS IPO Subscription Detail**.
- Limit Order Tab
  This topic explains the Limit Order tab of **FCIS IPO Subscription Detail**.
- Settlement Details Button
  This topic explains the Settlement Details button of **FCIS IPO Subscription Detail**.
- Receipt Detail Button
  This topic provides the information on receipt details button in **FCIS IPO Subscription Detail Screen**.
- Project Allocation Details Button
  This topic provides information about project allocation details button in FCIS IPO subscription detail screen.

- Allocation Details Button
  This topic explains the Allocation Details button of **FCIS IPO Subscription Detail**.
- Save Transaction
  This topic provides instructions to save transaction details in **FCIS IPO Subscription Detail Screen**.
- Transaction Processing Logic for Currency of Expression Funds
  This topic provides information about transaction processing logic for currency of expression funds details.

3.4.1 Process FCIS IPO Subscription Detail

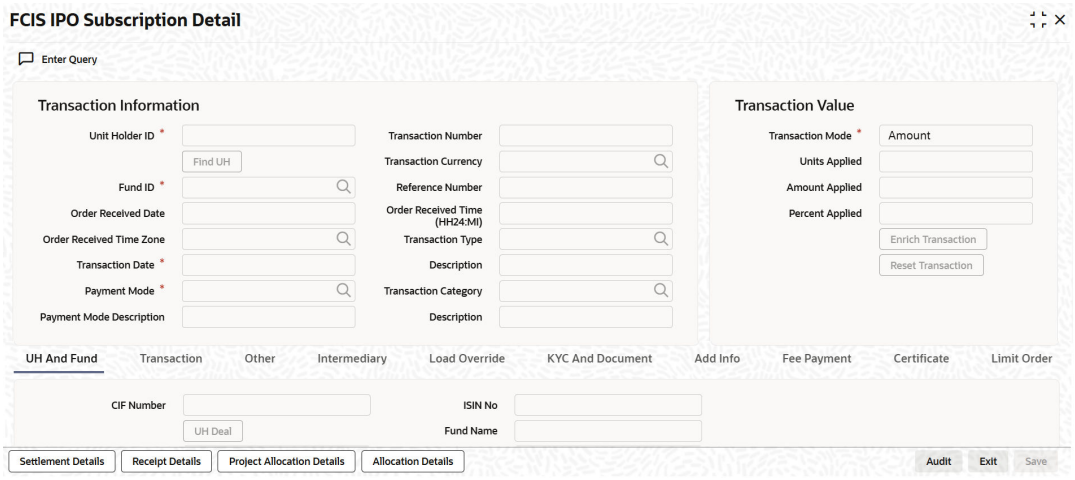
This topic provides the systematic instructions to enter an IPO Subscription request into the system.

1. On **Home** screen, type **UTDTXN01/UTDTRA01** in the text box and click **Next**.

   The **FCIS IPO Subscription Detail** screen is displayed.

> **Note:**
>
> Only Query option is available for **FCIS IPO Subscription Detail** screen.

Figure 3-1 FCIS IPO Subscription Detail



2. On **FCIS IPO Subscription Detail** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-5 FCIS IPO Subscription Detail - Field Description

Fields	Description
Transaction Information	The section displays the following fields.

Table 3-5 (Cont.) FCIS IPO Subscription Detail - Field Description

Fields	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system. You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. When you specify the unit holder, a. The IPO funds in which the specified unit holder can transact are displayed in the Fund ID list of values. b. The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date. If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules. **Note:** When you change the unit holder, time zone will get reset accordingly with a warning message **I-TZDEFAULT** Click **Find UH** button to open **Unit Holder Find Options** screen. You can get the Unit holder details by entering the required values in that screen.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Order Received Date	*Date Format; Optional* Specify the order received date **Note:** Order Received Date will not be defaulted for system generated transactions.

Table 3-5 (Cont.) FCIS IPO Subscription Detail - Field Description

Fields	Description
Order Received Time Zone	*Optional* Specify the order received Time Zone. Alternatively, you can select it from the option list. The list displays all Time Zones maintained in the system. • System should allow the user to map service location in the Service Location Maintenance screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured. • If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone. • If the Default Time Zone value is null, then the system will display an error message. • Order Received Time zone will not be defaulted for system generated transactions.
Transaction Date	*Date Format; Mandatory* Specify the transaction date.
Payment Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the mode of payment. Alternatively, you can select payment mode from the option list. The list displays all valid mode of payment maintained in the system.
Payment Mode Description	*Display* The system displays the description for the mode of payment selected.
Transaction Number	*Display* The system displays the transaction number.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.
Order Received Time (HH24:MI)	*Time Format; Optional* Specify the order received time. **Note:** Order Received Time will not be defaulted for system generated transactions.
Transaction Type	*Alphanumeric; 1 Character; Optional* Select the transaction type. In case for a particular transaction type restriction is **Not Applicable**, then the system will display an error message as **STOPACCOUNT** is issued for **Transaction Type** to this Unit Holder.
Description	*Display* The system displays the description for the selected Transaction type.

Table 3-5 (Cont.) FCIS IPO Subscription Detail - Field Description

Fields	Description
Transaction Category	*Alphanumeric; 1 Character; Optional* Specify the type of transaction. Alternatively, you can select transaction category from the option list. The list displays all valid transaction category code maintained in the system. If the transactions captured are for MIFID funds/ products, the transaction category **Advised and execution only** will be applicable (if fund/ product is MIFID regulated). For MIFID funds/ 4-13 products related transactions; the defaulting of transaction category to legacy will not be applicable, only if MIFID fund/ Product is selected as **Yes** at fund and product level. In the transaction screen, the transaction category will be based on **RDRTXNCATEGORY** PARAM maintenance. For products if the risk level for a product is defined and risk profile for a UH is maintained during LEP transactions (plan initial investment, premiums, plan switch, plan top up) the system will perform the risk checks for LEP transactions, considering the product level risk and UH risk profile along with risk expiry date. If **MIFID fund/ product** is selected as **Yes**, the transaction applicable are IPO subscriptions, subscription, switch, Standing instructions and transfer In, plan initial investment, premiums, plan switch, plan top up. For MIFID funds; **Transaction Category** at the transaction level will be classified as either **Advised Business** or **Execution Only Business**. The SI transactions (subscriptions and switches, includes premiums and recurring switches) escalations will be categorized as **Advised Business** or **Execution Only Business**. If you amend the SI, the system displays the warning message as **Transaction category amended for the SI**. The next SI will reflect the changed category. If you change the **Transaction Category** for a MIFID transaction during edit or amend operation, then the system displays the warning message as 'Default Transaction Category has been overridden. Do you want to continue?' **Note:** If the MIFID applicable value is NO for an UH (irrespective of UH is MIFID classified or not), the system displays a warning message. This is applicable for IPO Subscriptions, Subscription, Switch, Standing Instructions and Transfer transactions.
Description	*Display* The system displays the description for the selected transaction category. This field is enabled after you click **Enrich** button.
Transaction Value	The section displays the following fields.
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Amount** • **Units** • **Percent**
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You can specify the details in this field only if you have selected 'Transaction Mode' field as Units. Else, while clicking 'Enrich Transaction' button, the system will display an error message.

Table 3-5 (Cont.) FCIS IPO Subscription Detail - Field Description

Fields	Description
Amount Applied	*Numeric; 27 Characters; Optional* Specify the amount applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as `Amount`. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Percent Applied	*Numeric; 27 Characters; Optional* Specify the percent applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as `Percent`. Else, while clicking **Enrich Transaction** button, the system will display an error message.

3. Click **Enrich Transaction** button after entering all details in **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in **UH and Fund** section.

4. Click **Enrich Transaction** button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

   On click of **Enrich Transaction** button all the header fields will be disabled.

5. Click **Reset Transaction** to reset the entire transaction during transaction input, modification and amendment.

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

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

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

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

   - **Order Received Date**
   - **Order Received Time**
   - **Transaction Date**
   - **Fund ID**
   - **Transaction Currency**
   - **Unitholder ID**
   - **Reference Number**
   - **Transaction Mode**
   - **Amount Applied**
   - **Units Applied**

- **Percentage Applied**
- **Payment Mode**
- **Transaction Type**
- **To Fund ID**
- **To Unitholder ID**
- **Subscription Fund ID**

9. For any change/ modification or amendment in the above primary fields in transaction screens, the system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.
10. During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.
11. The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.
12. The system will default the Settlement date/due date, Price date, dealing date on enrich/ save of the transaction only if the previous calendar year is maintained in the system.

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

Deriving the order received date and time

The system will validate the Fund cut off based on the Order received time and not the actual time the Transaction is captured in the system. The transaction date will be derived by the system based on these two fields.

13. For instance, if the Fund Cut off is 14.00 hrs at a Fund level and the transaction is captured at 15.00 hrs in the system with the Order Received time as 13.00 then the system should validate the time maintained at Order Received time and not the time the transaction is actually captured. This will be considered as the same day transaction.
14. If all the below mentioned transactions are captured on 15-Oct-2012 at 16:00 hrs then the transaction dates will be derived as detailed below. In case the transaction date is amended then the system has to consider the amended transaction date. Post authorization of the transaction, you cannot amend order received date and time.

Table 3-6 Deriving the order received date and time

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

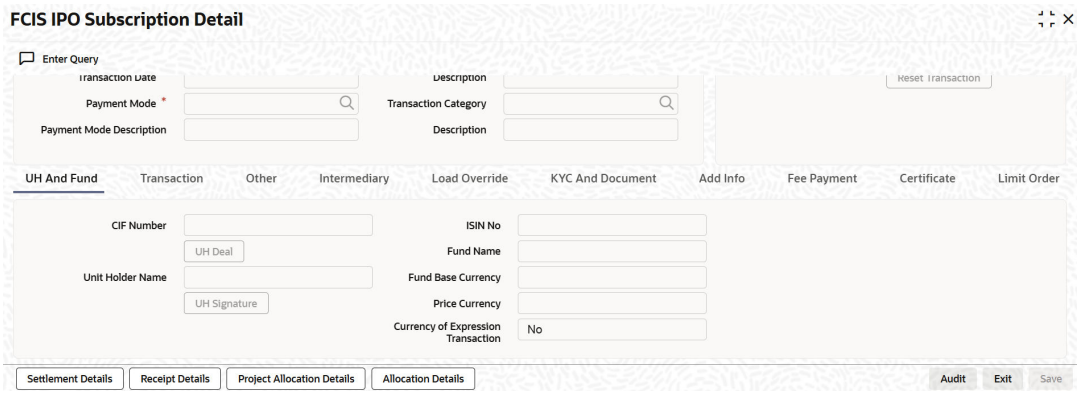
3.4.2 UH and Fund Tab

This topic explains the UH and Fund tab of FCIS IPO Subscription Detail.

1. On the **FCIS IPO Subscription Detail** screen, click on **UH and Fund** tab to enter the details.

   The **UH and Fund** details are displayed.

Figure 3-2 FCIS IPO Subscription Detail - UH and Fund



2. On **UH and Fund** tab, view the following values.

   The system displays the following values:

   - **CIF Number**
   - **Unit Holder Name**
   - **ISIN Number**
   - **Fund Name**
   - **Fund Base Currency**
   - **Price Currency**
   - **Currency of Expression Transaction**

3. Click **UH Signature** button to upload the image.
4. Click **UH Deal** button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the **Find Options** screen.

   The system will display the records that match the search criteria you have specified.

5. Choose the unit holder deal that you want to view by clicking on the **View** button alongside the record. The **Unitholder Deal Maintenance Detail** screen is invoked in **View** mode, where you can view the details of the record.

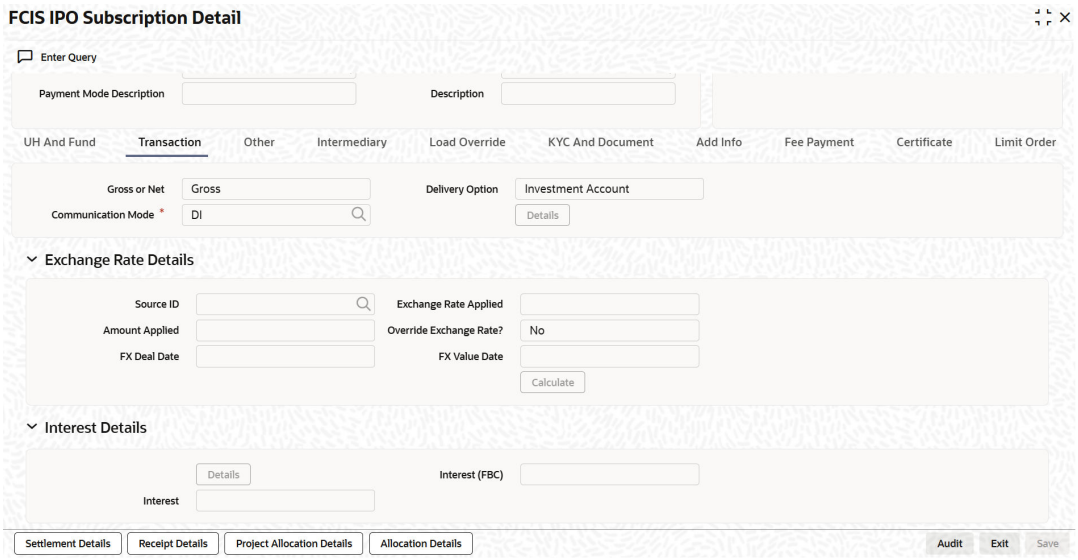
3.4.3 Transaction Tab

This topic explains the Transaction tab of FCIS IPO Subscription Detail.

1. On the **FCIS IPO Subscription Detail** screen, click on **Transaction** tab to enter the details.

   The **Transaction** details are displayed.

Figure 3-3 FCIS IPO Subscription Detail - Transaction



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

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

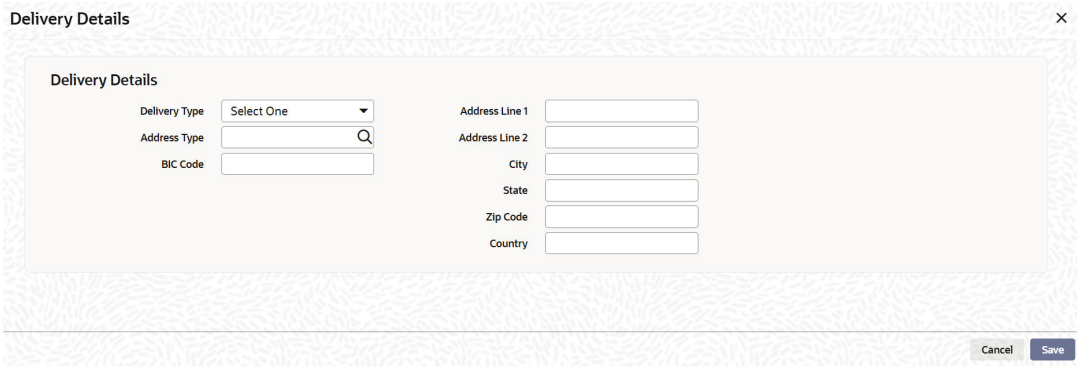
Table 3-7 Transaction - Field Description

Field	Description
Gross or Net	*Optional* Select the net value exclusive of the loads from the drop-down list. The list displays the following values: • **Gross** • **Net**
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode through which the transaction request was communicated.. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.
Delivery Option	*Optional* Select the delivery option from the drop-down list. The list displays the following values: • **Investment Account** • **Clearing Account - Against Payment** • **Clearing Account - Free of Payment** • **Delivery to Custodian** • **Physical Delivery** • **PUEV**

3. Click **Details** button in the **Transaction** tab.

   The **Delivery Details** screen is displayed.

Figure 3-4 FCIS IPO Subscription Detail - Transaction - Delivery Details



4. On **Delivery Details**, specify the fields.

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

Table 3-8 Delivery Details - Field Description

Field	Description
Delivery Type	*Optional* Select the type of delivery from the drop-down list. The list displays the following values: • **Self** • **Third Party**
Address Type	*Alphanumeric; 2 Characters; Optional* Specify the type of address. Alternatively, you can select address type ID from the option list. The list displays all valid address maintained in the system.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the BIC code
Address Line 1-2	*Alphanumeric; 105 Characters; Optional* Specify the residing address of the customer.
City	*Alphanumeric; 80 Characters; Optional* Specify the residing city code
State	*Alphanumeric; 80 Characters; Optional* Specify the name of the residing state.
Zip Code	*Alphanumeric; 10 Characters; Optional* Specify the zip code of the residing area.
Country	*Alphanumeric; 3 Characters; Optional* Specify the residing country code.

5. On **Exchange Rate Details** section in the **Transaction** tab, specify the fields.

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

Table 3-9 Exchange Rate Details - Field Description

Field	Description
Source ID	*Alphanumeric; 6 Characters; Mandatory* Specify the source ID. Alternatively, you can select source ID from the option list. The list displays all valid source ID maintained in the system. **Note:** Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Amount Applied	*Display* The system displays the amount applied details.
FX Deal Date	*Date Format; Optional* Specify the FX deal date.
Exchange Rate Applied	*Display* The system displays the exchange rate applied details.
Override Exchange Rate?	*Optional* Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values: • **Yes** • **No**
FX Value Date	*Date Format; Optional* Specify the FX value date.

6. On **Interest Details** section in the **Transaction** tab, specify the fields.

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

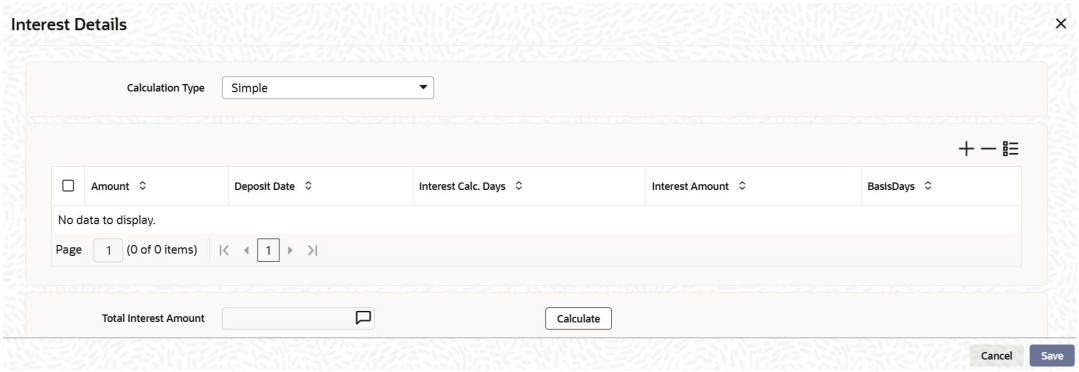
Table 3-10 Interest Details - Field Description

Field	Description
Interest	*Alphanumeric; 30 Characters; Optional* Specify the interest details.
Interest (FBC)	*Display* The system displays the fund base currency interest details.

7. Click **Details** button in **Interest Details** section of the **Transaction** tab.

   The **Interest Details** screen is displayed.

Figure 3-5 FCIS IPO Subscription Detail - Transaction - Interest Details



8. On **Delivery Details** of **Interest Details**, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-11 Delivery Details - Field Description

Field	Description
Calculation Type	*Optional* Select the calculation type from the drop-down list. The list displays the following values: • **Simple** • **Compound**
Amount	*Alphanumeric; 18 Characters; Optional* Specify the amount details.
Deposit Date	*Date Format; Optional* Specify the deposited date.
Interest Calc. Days	*Display* The system displays the calculated interest days
Interest Amount	*Display* The system displays the interest amount.
Basis Days	*Optional* Select the basis days from the drop-down list. The list displays the following values: • **360** • **365**
Total Interest Amount	*Display* The system displays the total interest amount details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

9. Click **Calculate** button after specifying all the necessary details to calculate the interest details.

   The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

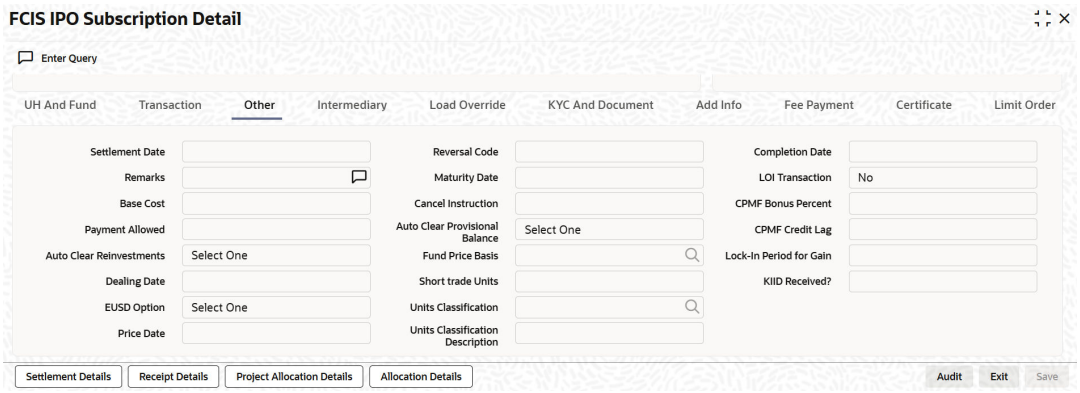
3.4.4 Other Tab

This topic explains the other tab of **FCIS IPO Subscription Detail**.

1. On the **FCIS IPO Subscription Detail** screen, click on **Other** tab to enter the details.

   The **Other** details are displayed.

Figure 3-6 FCIS IPO Subscription Detail - Other



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

   For more information on fields, refer to the field description below,

Table 3-12 Other Tab - Field Description

Field	Description
Settlement Date	*Date Format; Optional* Specify the settlement date.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Base Cost	*Numeric; 6 Characters; Optional* Specify the base cost details.
Payment Allowed	*Optional* Select if payment allowed is or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Auto Clear Reinvestments	*Optional* Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Dealing Date	*Date Format; Optional* Specify the dealing date. The system displays the dealing date derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance. Refer the topic *Other Fund Activities* in the *Fund Manager* User Manual for more details on maintaining alternate trade cycles for a fund.

Table 3-12 (Cont.) Other Tab - Field Description

Field	Description
EUSD Option	*Optional* Select the EUSD option from the drop-down list. The list displays the following values; • **With Holding Tax** • **Exchange of Information** • **Tax Exemption Certificate**
Price Date	*Date Format; Optional* The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the topic *Defaulting of Price Dates in the Transaction* screens. You can modify this field. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.
Reversal Code	*Display* The system displays the reversal code. This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.
Maturity Date	*Date Format; Optional* If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility. **Note:** In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

Table 3-12 (Cont.) Other Tab - Field Description

Field	Description
Cancel Instruction	*Optional* Select the cancel instruction from the drop-down list. The list displays the value as **Standing Instructions**. You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the **Standing Instruction** option in this field to indicate cancellation of standing instructions. If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the **Cancel Instruction** option automatically set. If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day. **Note:** Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to **Standing Instruction**, would re-instate the standing instructions.
Auto Clear Provisional Balance	*Optional* Select **Yes** option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is **Percent** and the transaction value is **100**.
Fund Price Basis	*Alphanumeric; 6 Characters; Optional* Specify the fund price basis details. Alternatively, you can select fund price basis details from the option list. The list displays all valid fund price basis maintained in the system.
Short trade Units	*Numeric; 27 Characters; Optional* Specify the short trade units.
Units Classification	*Alphanumeric; 1 Character; Optional* Specify the units classification in which the units have to be linked. Alternatively, you can select units classification from the option list. The list displays all valid units maintained in the system. This field is applicable only for onshore funds with **USERMNTFIFO** ageing logic. The system will validate the same during save of the transactions.

Table 3-12 (Cont.) Other Tab - Field Description

Field	Description
Units Classification Description	*Display* The system displays the description for the selected unit classification code. The system generated inflow transactions like standing instructions and dividend reinvestments will be tagged as FEL units. The system generated outflow transactions like Periodic Fee Redemption, Auto Redemption will be tagged with **Age out Preference** as blank and it will follow the Fund Rule ageing Logic as **USERMNTFIFO** during ageing process. The system will tag Swift inflow transactions with unit classification as FEL and outflow transactions will be tagged with **Age out Preference** as blank and will follow the Fund Rule ageing logic. The system will tag block transaction with **Age out Preference** as blank and it will follow the Fund Rule Ageing Logic **USERMNTFIFO** during ageing process.
Completion Date	*Date Format; Optional* The date on which the transaction is completed.
LOI Transaction	*Optional* Select the status of LOI transaction from the drop-down list. The list displays the following values: • **Yes** • **No** If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction. This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.
CPMF Bonus Percent	*Numeric; 30 Characters; Optional* Specify the percentage of CPMF bonus. By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is **Fixed**, Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section **Maintaining Fund CPMF Preferences** in the Fund Manager module.
CPMF Credit Lag	*Numeric; 4 Characters; Optional* Indicate the lag for the CPMF bonus to be credited.
Lock-In Period for Gain	*Numeric; 4 Characters; Optional* The default lock-in period for the funds where IOF/IRRF are applicable is defaulted here. This can however be modified. **Note:** Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

Table 3-12 (Cont.) Other Tab - Field Description

Field	Description
KIID Received?	*Optional* Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values: • **Yes** • **No** The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the **UCITS Fund** at the Fund level is **Yes** and the UH mapping to the Fund in the **UH KIID Compliance** tab is **NO** then at the transaction level, the system will default the **KIID Complaint** to **No**. If the KIID Received is set to **No**, the system display an error message while saving the transaction as **The Unit holder has not received the KIID**. If the flag is set to **YES** there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level. If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund. The business user can change the KIID Compliant flag at the transaction from **No** to **Yes** and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same. In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to **No** and then you need to manually override it.

3.4.5 Intermediary Tab

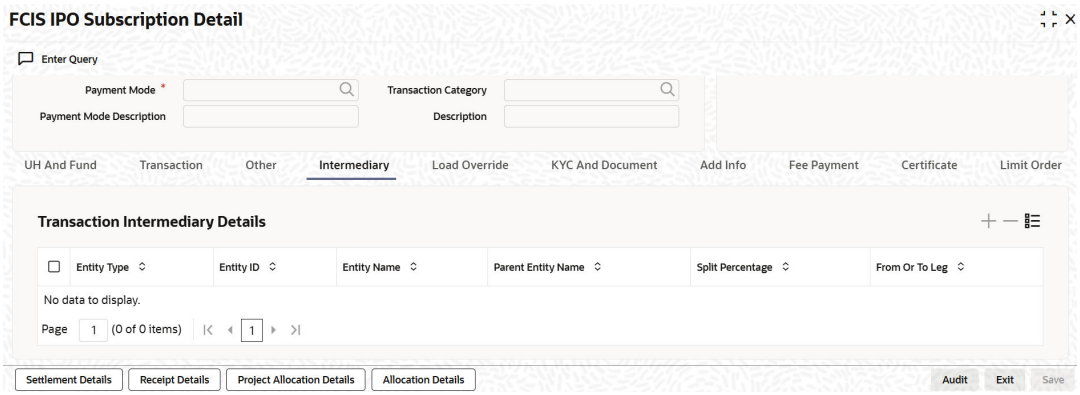
This topic explains the Intermediary tab of **FCIS IPO Subscription Detail**.

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

1. On the **FCIS IPO Subscription Detail** screen, click on **Intermediary** tab to enter the details.

   The **Intermediary** details are displayed.

Figure 3-7 FCIS IPO Subscription Detail



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

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

Table 3-13 Intermediary - Field Description

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the **entity type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Optional* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Display* When you select the broker code, the name of the broker is displayed.
Parent Entity Name	*Display* When you select the broker code, the name of the parent broker for the selected broker is displayed.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Optional* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

3.4.6 Load Override Tab

This topic explains the Load Override tab of **FCIS IPO Subscription Detail**.

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

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

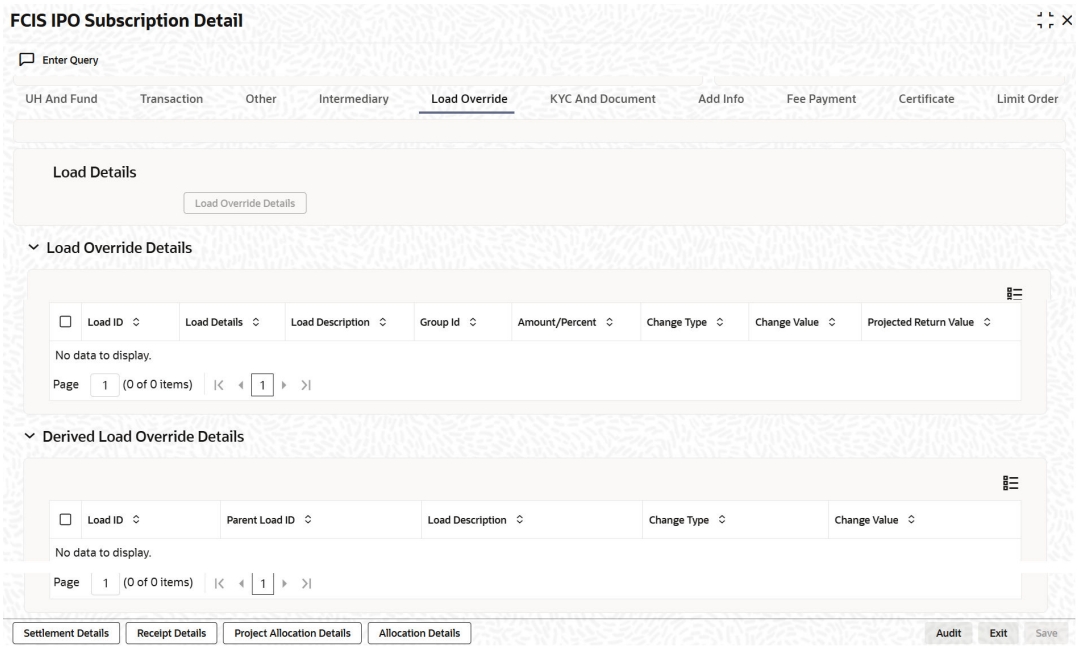
If you click **Load Override Details** button, the system defaults the load details.

If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

1. On the **FCIS IPO Subscription Detail** screen, click on **Load Override** tab to enter the details.

   The **Load Override** details are displayed.

Figure 3-8 FCIS IPO Subscription Detail - Load Override



2. On **Load Override** tab, specify the fields.

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

Table 3-14 Load Override - Field Description

Fields	Description
Load ID	*Display* The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link. If a derived load has been mapped, it is also displayed here and can be overridden.
Load Details	*Display* The system displays the load details.
Group ID	*Display* The system displays the group ID.

Table 3-14 (Cont.) Load Override - Field Description

Fields	Description
Amount Percent	*Display* The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types, • amount-based loads, and • percentage-based loads.
Change Value	*Display* The system displays the change value details.
Change type	*Display* The system displays the change type. When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways: • Discount (reducing the load return value in all the slabs) • Increase (increasing the load return value in all slabs) • Return Value (assigning an altered return value that will be applicable to all the loads)
Project Return Value	*Display* The system populates the return value from the load setup. If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed. If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed. You can view the applicable loads and projected return values by clicking **Enrich Transaction** in the transaction screen. The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO. In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.
Derived Load Override Details	The system displays the following values: • **Load ID** • **Parent Load ID** • **Load Description** • **Change Type** • **Change Value**

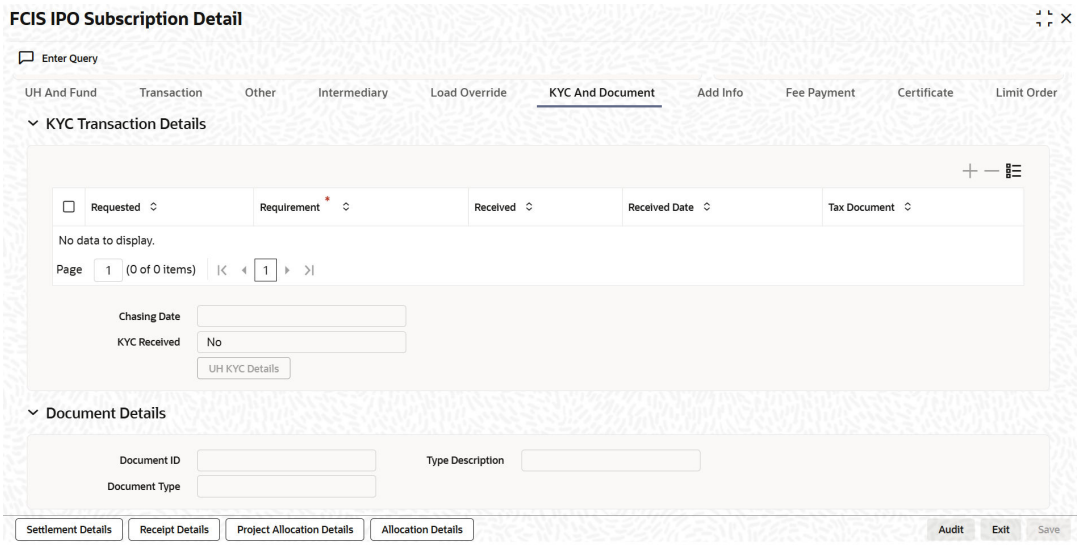
3.4.7 KYC and Document Tab

This topic explains the KYC and Document tab of **FCIS IPO Subscription Detail**.

1. On the **FCIS IPO Subscription Detail** screen, click on **KYC and Document** tab to enter the details.

   The **KYC and Document** details are displayed.

Figure 3-9 FCIS IPO Subscription Detail - KYC and Document



2. On **KYC and Document** tab, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-15 KYC and Document - Field Description

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are **requested**.
Requirement	*Alphanumeric; 255 Characters; Mandatory* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Optional* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.
KYC Received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Document Details	The section displays the following fields.
Document ID	*Alphanumeric; 25 Characters; Optional* Specify the document ID.

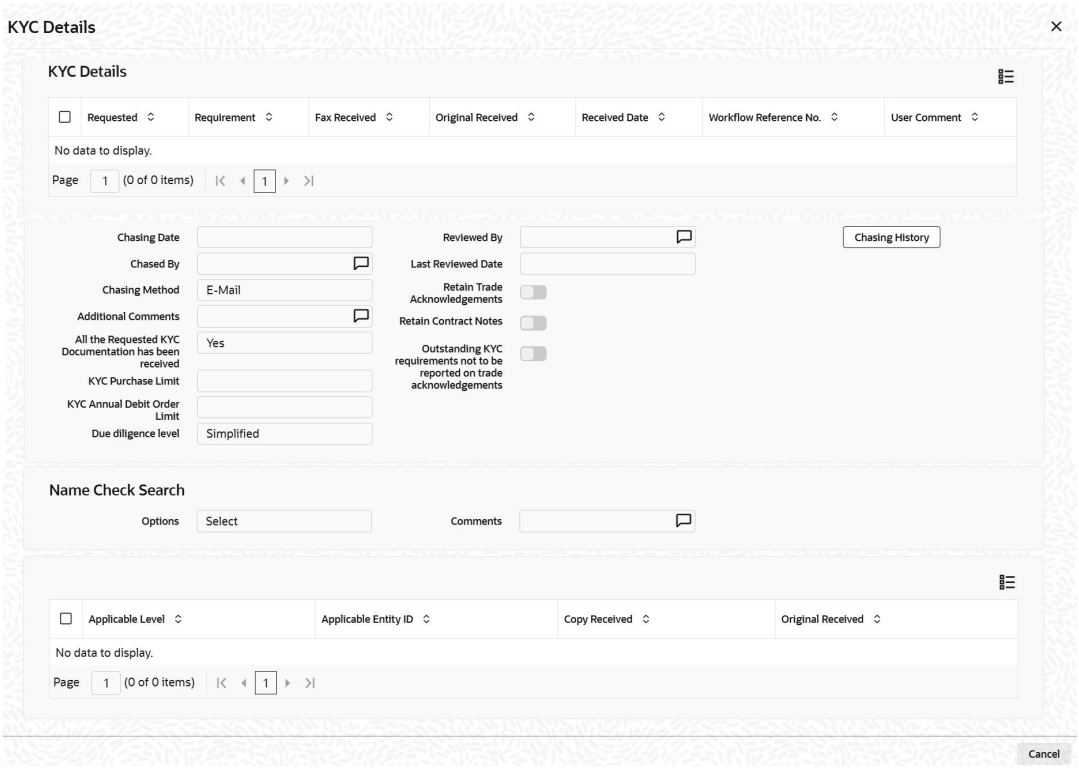
Table 3-15 (Cont.) KYC and Document - Field Description

Fields	Description
Document Type	*Alphanumeric; 4 Characters; Optional* Specify the document type.
Type Description	*Alphanumeric; 255 Characters; Optional* Specify the description for the type of document. If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax ID, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC. The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements. **Note:** If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

3. Click on **UH KYC Details**. The system displays all the KYC details available for the UH.

   The **KYC Details** screen is displayed.

Figure 3-10 KYC Details



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

If any KYC document is received then it can be marked at transaction KYC detail as **Received**. However, you should update the UH maintenance screen for the KYC documents received.

If the KYC received at transaction level is **Yes** with some KYC documents and all KYC received at UH level is **No**, then the system will display a warning message as `Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete` during save of the transaction.

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

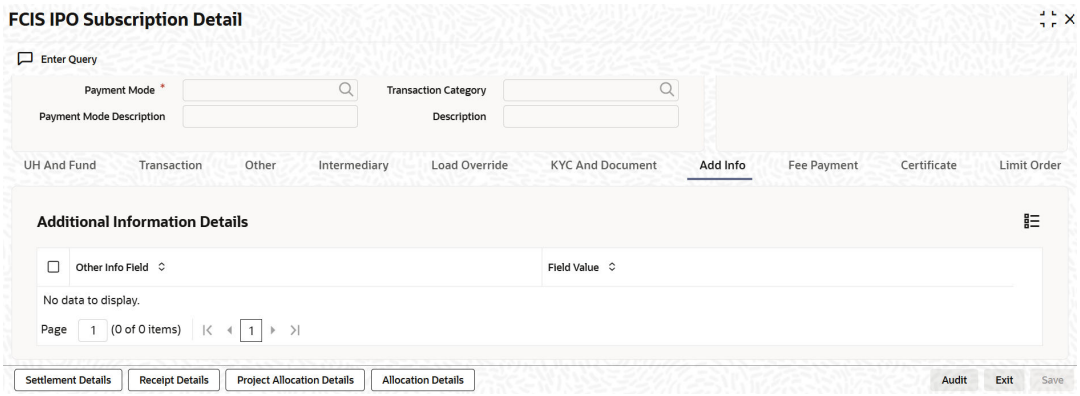
3.4.8 Add Info Tab

This topic explains the Add Info tab of **FCIS IPO Subscription Detail**.

1. On the **FCIS IPO Subscription Detail** screen, click on **Add Info** tab to enter the details.

   The **Additional Information** details are displayed.

Figure 3-11 FCIS IPO Subscription Detail - Add Info



2. On **Add Info** tab, specify the fields.

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

Table 3-16 Add Info - Field Description

Fields	Description
Other Info Field	*Display* The system displays the additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.
Field Value	*Alphanumeric; 60 Characters; Optional* Specify the field value.

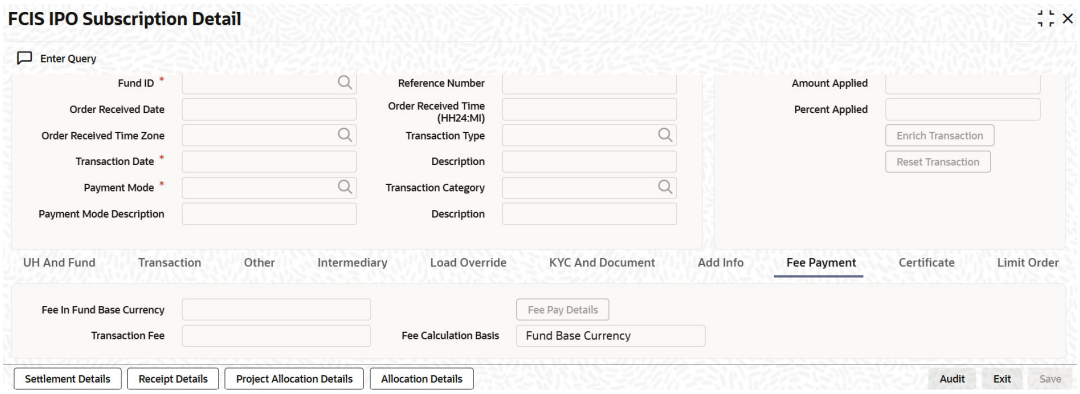
3.4.9 Fee Payment Tab

This topic explains the Fee Payment tab of **FCIS IPO Subscription Detail**.

1. On the **FCIS IPO Subscription Detail** screen, click on **Fee Payment** tab to enter the details.

   The **Fee Payment** details are displayed.

Figure 3-12 FCIS IPO Subscription Detail - Fee Payment



2. On **Fee Payment** tab, specify the fields.

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

Table 3-17 Fee Payment - Field Description

Fields	Description
Fee in Fund Base Currency	*Numeric; 30 Characters; Optional* Specify the **fee in fund base currency** details.
Transaction Fee	*Numeric; 30 Characters; Optional* Specify the **transaction fee.** If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.
Fee Calculation Basis	*Optional* Select the fee calculation basis from the drop-down list. The list displays the following values: • **Fund Base Currency** • **Transaction Currency** Click **Fee Pay Details** button to specify fee payment details.
Transaction Fee	*Numeric; 30 Characters; Optional* Specify the transaction fee.
Payment Mode	*Optional* Select the payment mode from the drop-down list. The list displays the following values: • **Cheque** • **Transfer** • **Draft** • **Card**
Bank	*Alphanumeric; 12 Characters; Optional* Specify the bank details.
Branch	*Alphanumeric; 20 Characters; Optional* Specify the branch code.
Cheque Number	*Alphanumeric; 16 Characters; Optional* Specify the cheque number.
Cheque Date	*Date Format; Optional* Specify the cheque date.

Table 3-17 (Cont.) Fee Payment - Field Description

Fields	Description
Transfer Branch	*Alphanumeric; 12 Characters; Optional* Specify the transfer branch details. Alternatively, you can select the transfer branch details from the option list. The list displays all valid branch code maintained in the system.
Account Type	*Optional* Select the type of account from the drop-down list. The list displays the following values: • **Current Account** • **Fixed Account** • **Loan Account** • **Mortgage Account** • **Overdraft Account** • **PF Account** • **Recurring Account** • **Savings Account** • **Sweeping Account**
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
Clearing Date	*Date Format; Optional* Specify the clearing date.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the name of the account holder.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.

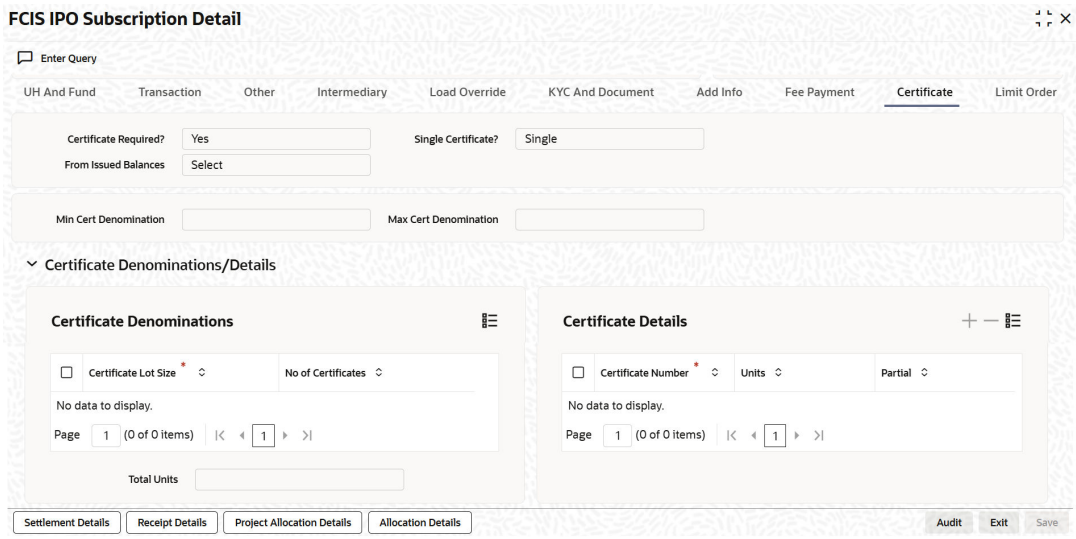
3.4.10 Certificate Tab

This topic explains the Add Info tab of **FCIS IPO Subscription Detail**.

1. On the **FCIS IPO Subscription Detail** screen, click on **Certificate** tab to enter the details.

   The **Additional Information** details are displayed.

Figure 3-13 FCIS IPO Subscription Detail - Fee Payment



2. On **Certificate** tab, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-18 Certificate - Field Description

Fields	Description
Certificate Required?	*Optional* Select if certificate required or not from the drop-down list. The list displays the following values: • **Yes** • **No** If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose **Yes** in the Certificate Required field.
Single Certificate?	*Optional* Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here. If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both**
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the minimum certificate denomination details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the maximum certificate denomination details.

Table 3-18 (Cont.) Certificate - Field Description

Fields	Description
Certificate Denominations/ Details	The section displays the following sub-sections.
Certificate Denominations	The section displays the following fields.
Certificate Lot Size	*Display* The system displays the certificate lot size details.
No of Certificates	*Display* The system displays the number of certificates.
Certificate Details	The section displays the following fields.
Certificate Number	*Numeric; 10 Characters; Optional* Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.
Units	*Numeric; 27 Characters; Optional* Specify the units details.
Partial	*Optional* Check this box if partial details to be selected.

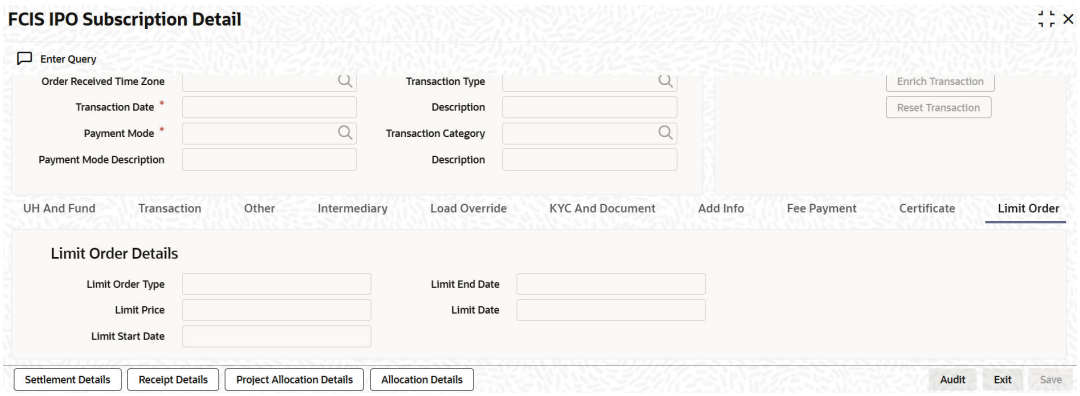
3.4.11 Limit Order Tab

This topic explains the Limit Order tab of **FCIS IPO Subscription Detail**.

1. On the **FCIS IPO Subscription Detail** screen, click on **Limit Order** tab to enter the details.

   The **Limit Order** details are displayed.

Figure 3-14 FCIS IPO Subscription Detail - Limit Order



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

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

Table 3-19 Limit Order - Field Description

Field	Description
Limit Order Details	Select the **Limit Order for Subscription** (buy) option in the Type of Transaction field. The Limit Order section is enabled.

Table 3-19 (Cont.) Limit Order - Field Description

Field	Description
Limit Order Type	*Optional* Select **Price Based** in the Limit Order Type field. The list displays the following values: • **Price-Based** • **Date Based**
Limit Price	*Numeric; 9 Characters; Optional* Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).
Limit Start and End Date	*Date Format; Optional* Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.
Limit Date	*Date Format; Optional* To set up a date-based limit order, specify the following details in the Limit Order section: • Select **Date Based** in the Limit Order Type field. • Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

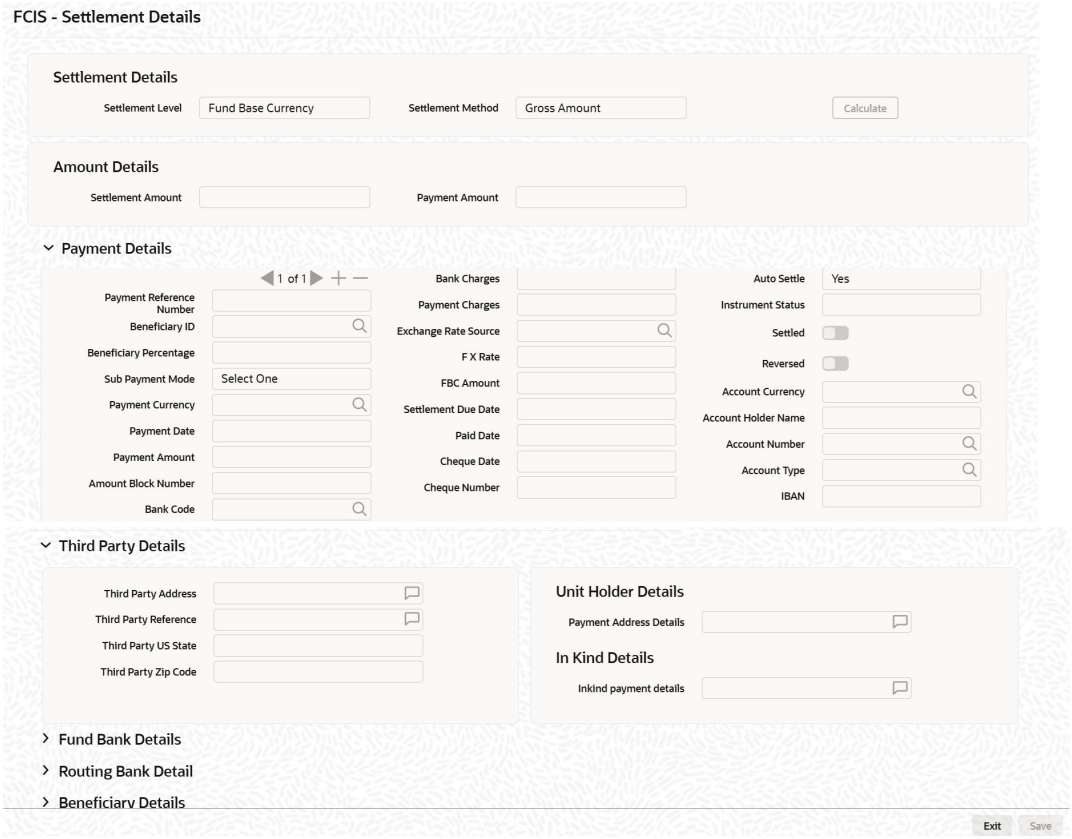
3.4.12 Settlement Details Button

This topic explains the Settlement Details button of **FCIS IPO Subscription Detail**.

1. On the **FCIS IPO Subscription Detail** screen, click the **Settlement Details** button to enter the details.

   The **FCIS - Settlement Details** details are displayed.

Figure 3-15 FCIS - Settlement Details



2. On **FCIS - Settlement Details**, specify the fields.

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

Table 3-20 FCIS - Settlement Details - Field Description

Field	Description
Settlement Level	*Optional* Select the **settlement level** from the drop-down list. The list displays the following values: • **Fund Base Currency** • **Transaction Base Currency**
Settlement Method	*Optional* Select the settlement method from the drop-down list. The list displays the following values: • **Gross Amount** • **Net of Agent Fees** • **Net of All Fees** • **Net of FM Fees**
Amount Details	The section displays the following fields.
Amount Details	The system displays the following values by clicking **Calculate** button.
Settlement Amount	*Display* The system displays the settlement amount.

Table 3-20 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Payment Amount	*Display* The system displays the payment amount.
Payment Details	The section displays the following fields.
Payment Reference Number	*Alphanumeric; 50 Characters; Optional* Specify the payment reference number.
Beneficiary ID	*Alphanumeric; 50 Characters; Optional* Specify the beneficiary ID.
Beneficiary Percentage	*Numeric; 5 Characters; Optional* Specify the beneficiary percentage.
Sub Payment Mode	*Optional* Select the mode of payment. The following options are available: • **Demand Draft** • **Pay Order** • **Against Payment** • **In Kind Payment** • **CMA Cheque** • **Broker Cheque** • **Cashier Cheque** • **Foreign Cheque** • **Government Cheque** • **Other Institution Cheque** • **Local Cheque** • **Out Of Town Cheque** • **Payroll Deduction Cheque** • **Reserve Bank Cheque** • **Debit Card** • **Credit Card** • **Advice** • **CMA Transfer** • **Direct Debit** • **Money Transfer** • **Telegraphic Transfer** • **Wire Transfer** • **Cash**
Payment Currency	*Alphanumeric; 3 Characters; Optional* Specify the payment currency. You can also select the currency from the adjoining option list. The list consists of valid and authorised currencies maintained in the system.
Payment Date	*Date Format; Optional* Specify the payment date.
Payment Amount	*Numeric; 18 Characters; Optional* The payment amount is displayed.
Amount Block Number	*Display* The system displays the amount block number.
Bank Code	*Alphanumeric; 3 Characters; Optional* Specify the bank code. Alternatively, you can select bank code from the adjoining option list. The list displays all valid bank code maintained in the system.

Table 3-20 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Branch Code	*Alphanumeric; 20 Characters; Optional* Specify the branch code. Alternatively, you can select branch code from the adjoining option list. The list displays all valid branch code maintained in the system.
Entity ID	*Alphanumeric; 12 Characters; Optional* Specify the entity ID.
Payment Type	*Optional* Select the type of payment from the drop-down list. The list displays the following values: • **Self** • **Third Party** • **Broker** • **Retained** • **Advanced Payment** • **Absorbed/Paid Back** • **Garnishee**
Bank Charges	*Numeric; 12 Characters; Optional* Specify the bank charges.
Payment Charges	*Numeric; 12 Characters; Optional* Specify the payment charges.
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the source of exchange rate. You can also select the source of exchange rate from the adjoining option list. This exchange rate source is used to convert aggregate currency to transaction currency and vice versa.
FX Rate	*Numeric; 15 Characters; Optional* Specify the foreign exchange rate.
FBC Amount	*Display* The system displays the fund base currency amount.
Settlement Due Date	*Date Format; Optional* Select the due date of the transaction from the adjoining calendar.
Paid Date	*Date Format; Optional* Select the paid date of the transaction from the adjoining calendar.
Cheque Date	*Date Format; Optional* Select the cheque date from the adjoining calendar.
Check Number	*Alphanumeric; 16 Characters; Optional* Specify the check number.
Auto Settle	*Optional* Select **Yes** option from drop-down list if you require auto settlement. Else select **No**.
Instrument Status	*Display* The status of the instrument is displayed.
Settled	*Optional* Check this option if the transaction is settled.
Reversed	*Optional* Check this option if the transaction is reversed.

Table 3-20 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Account Currency	*Alphanumeric; 3 Characters; Optional* Specify the account currency code. Alternatively, you can select account currency from the option list. The list displays all valid account currency code maintained in the system.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the account holder name.
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number. Alternatively, you can select account number from the option list. The list displays all valid account number maintained in the system.
Account Type	*Alphanumeric; 1 Character; Optional* Specify the type of account. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.
Third Party Details	The section displays the following fields.
Third Party Address	*Alphanumeric; 255 Characters; Optional* Specify the third party address.
Third Party Reference	*Alphanumeric; 255 Characters; Optional* Specify the third party reference details.
Third Party US State	*Alphanumeric; 1 Character; Optional* Specify the third party US state name.
Third Party Zip Code	*Alphanumeric; 10 Characters; Optional* Specify the third party zip code.
Unit Holder Details	The section displays the following fields.
Payment Address Details	Specify the unit holder's address details.
In Kind Details	The section displays the following fields.
Inkind Payment Details	Specify the inkind payment details.
Fund Bank Details	The system displays the following details: • **ISIN Code** • **Fund Base Currency** • **Bank** • **Bank Branch** • **Description** • **Account Number** • **Account Name** • **Direct Debit** • **Close Account**
SWIFT Format	*Optional* Select the SWIFT format from the drop-down list. The list displays the following values: • **MT103** • **MT202**

Table 3-20 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Bank Charged	*Optional* Select the bank charged details from the drop-down list. The list displays the following values: • **Beneficiary** • **Remitter** • **Share**
Beneficiary Details	The section displays the following fields.
Beneficiary	*Alphanumeric; 35 Characters; Optional* Specify the beneficiary name.
Beneficiary Add 1-3	*Alphanumeric; 105 Characters; Optional* Specify the beneficiary address. There are three lines available for the same.
Beneficiary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC code of the beneficiary.
Beneficiary Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number of the beneficiary.
Beneficiary Code	*Alphanumeric; 24 Characters; Optional* Specify the code of the beneficiary.
Beneficiary Info	*Alphanumeric; 100 Characters; Optional* Enter more information about the beneficiary.
Beneficiary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the beneficiary IBAN details.
Intermediary Details	The section displays the following fields.
Intermediary	*Alphanumeric; 35 Characters; Optional* Specify the intermediary detail.
Beneficiary Add 1-3	*Alphanumeric; 105 Characters; Optional* Specify the intermediary address. There are three lines available for the same.
Intermediary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC code of the Intermediary.
Intermediary Accountt Number	*Alphanumeric; 34 Characters; Optional* Specify the account number of the Intermediary.
Intermediary Code	*Alphanumeric; 24 Characters; Optional* Specify the code of the Intermediary.
Intermediary Info	*Alphanumeric; 100 Characters; Optional* Enter more information about the Intermediary.
Intermediary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the intermediary IBAN details.
Further Credit Details	The section displays the following fields.
Further Credit Name	*Alphanumeric; 40 Characters; Optional* Specify the further credit name.
Further Credit Accountt Number	*Alphanumeric; 34 Characters; Optional* Specify the further credit account number.
Reference1	*Alphanumeric; 35 Characters; Optional* Specify reference details.

Table 3-20 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Reference2	*Alphanumeric; 35 Characters; Optional* Specify reference details.

- Process Multi Transactions
  This topic provides information on processing Multi Transactions.

3.4.12.1 Process Multi Transactions

This topic provides information on processing Multi Transactions.

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

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

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note:

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

3.4.13 Receipt Detail Button

This topic provides the information on receipt details button in **FCIS IPO Subscription Detail Screen**.

Receipt details does not support IPO subscription transaction.

3.4.14 Project Allocation Details Button

This topic provides information about project allocation details button in FCIS IPO subscription detail screen.

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

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

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

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

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

The following project allocation details are displayed:

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

The following Load Details are displayed during the allocation:

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

The following Performance Fee Details are displayed during the allocation:

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

Click the **Close** button after you have viewed the projected allocation details to close the screen.

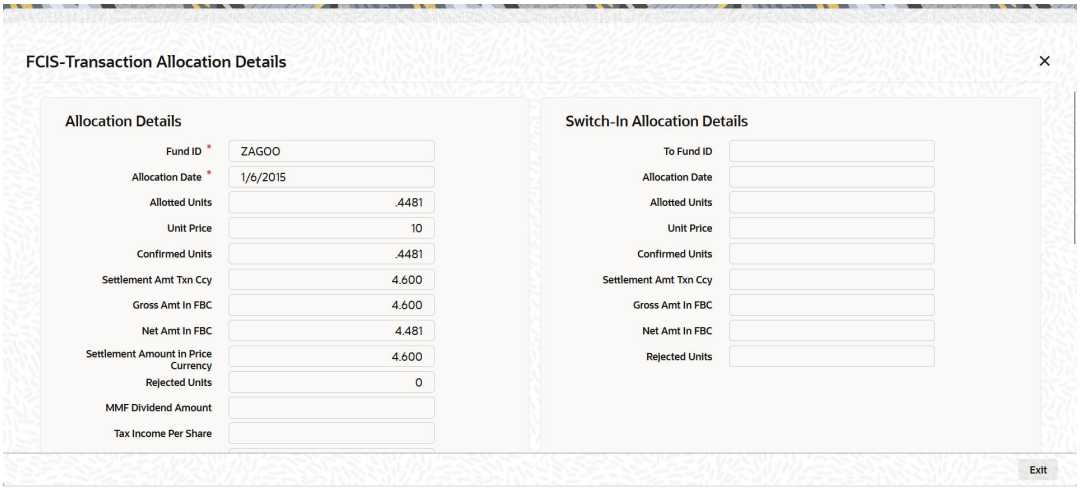
3.4.15 Allocation Details Button

This topic explains the Allocation Details button of **FCIS IPO Subscription Detail**.

1. Click the **Allocation Details** button to enter the details.

   The **FCIS-Transaction Allocation Details** screen is displayed.

Figure 3-16 FCIS - Transaction Allocation Details



2. On **Allocation Details**, specify the fields.

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

Table 3-21 Allocation Details - Field Description

Field	Description
Allocation Details	The following allocation details are displayed: • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**
Switch-In Allocation Details	The following Switch-in allocation details are displayed: • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**

Table 3-21 (Cont.) Allocation Details - Field Description

Field	Description
Load Details	The following load details are displayed during the allocation: • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**
Performance Fee Details	The following performance fee details are displayed during the allocation: • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**
Transaction Component Details	The following transaction component details are displayed during the allocation: • **Offer Price** • **Share Capital** • **Fund Capital** • **Switch In Bid Price** • **To Fund Capital** • **Bid Price** • **Income** • **Share Premium** • **Switch In Offer Price**
CGT Deduction Details	The following CGT deduction details are displayed during the allocation: • **Unit Holder/Joint Unit Holder ID** • **Unit Holder/Joint Unit Holder Name** • **Tax Amount**

3.4.16 Save Transaction

This topic provides instructions to save transaction details in **FCIS IPO Subscription Detail Screen**.

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

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

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

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

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

In the **Load Override** section, you may need to override an allocation frequency charge or load.

There are three options available for such overrides:

- Discount
- Increase
- Return Value

Discount will reduce the slab value by the specified percent/amount for all slabs.

Increase will increase the slab value by the specified percent/amount for all slabs.

Return Value will change the return value for all the slabs to the specified percent/amount.

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

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

You can now save the transaction.

> **Note:**
>
> In case of 100% outflows redemption/switch/transfers, if blocked/provisional units are present for the Unitholder and fund combination, then the system will display the warning message as `Blocked/provisional Units available for this Fund and Unit holder`, However, you can override this message and save the transaction.
> If any unalloted 100% outflow transaction exists across dates, i.e. across transaction types captured for same UH fund combination, then the system will display the warning message.
>
> If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session time out. This is applicable for both online and gateway users.

3.4.17 Transaction Processing Logic for Currency of Expression Funds

This topic provides information about transaction processing logic for currency of expression funds details.

The system defaults the **UH Currency of Expression (UHCOE)** in the **Transaction Currency** field, if available, during transaction capture based on UH and fund combination.

If there is no **UH Currency of Expression (UHCOE)** maintained in **UTDUHCOE**, then FBC will be defaulted in the **Transaction Currency** field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (**UTDUHCOE**). The defaulted currency of expression in the UHCOE maintenance will be as system user.

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

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

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

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

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

- FX Logic
  This topic provides the information about the FX Logic details.
- Process Unit Holder Currency of Expression
  This topic provides information about processing unit holder currency of expression details.

- Process Fund Price Maintenance
  This topic provides information about processing fund price maintenance details.
- NAV Correction Impact for Fund Price Currencies
  This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.
- Currency of Expression Logic Applied During Transactions
  This topic provides the information about currency of expression logic applied during transactions.
- System Logic to Derive the Price Currency
  This topic provides information about system logic to derive the price currency details.
- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.
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- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

3.4.17.1 FX Logic

This topic provides the information about the FX Logic details.

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

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

the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

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

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

> **Note:**
>
> The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

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

3.4.17.2 Process Unit Holder Currency of Expression

This topic provides information about processing unit holder currency of expression details.

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

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

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

3.4.17.3 Process Fund Price Maintenance

This topic provides information about processing fund price maintenance details.

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

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

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

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

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

3.4.17.4 NAV Correction Impact for Fund Price Currencies

This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.

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

3.4.17.5 Currency of Expression Logic Applied During Transactions

This topic provides the information about currency of expression logic applied during transactions.

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

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

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

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder's currency of

expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

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

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

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

UHCOE = FPC and TBC ≠ UHCOE

> **Note:**
>
> The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UHCOE will be defaulted as Transaction currency.

3.4.17.6 System Logic to Derive the Price Currency

This topic provides information about system logic to derive the price currency details.

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

3.4.17.7 Switch Logic for Currency of Expression

This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

3.5 FCIS IPO Subscription Summary

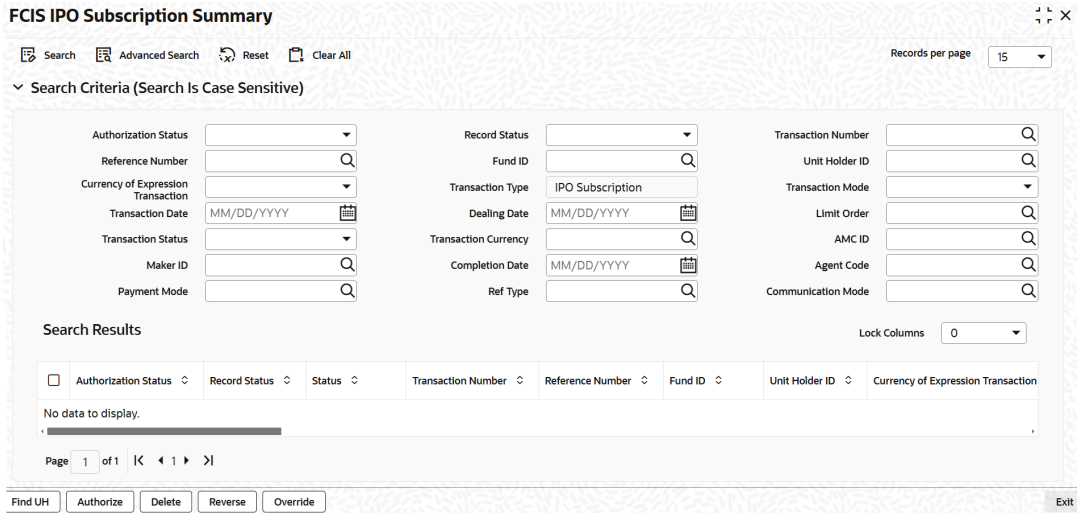
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve FCIS IPO Subscription Record

1. On **Home** screen, type **UTSTXN01/UTSTRA01** in the text box and click **Next**.

   The **FCIS IPO Subscription Summary** screen is displayed.

Figure 3-17 FCIS IPO Subscription Summary



2. On **FCIS IPO Subscription Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Currency of Expression Transaction**
   - **Transaction Mode**
   - **Dealing Date**
   - **Transaction Status**
   - **AMC ID**
   - **Completion Date**
   - **Payment Mode**

- **Communication Mode**
- **Reference Number**
- **Unit Holder ID**
- **Transaction Type**
- **Transaction Date**
- **Limit Order**
- **Transaction Currency**
- **Maker ID**
- **Agent Code**
- **Ref Type**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- Edit FCIS IPO Subscription Record
  This topic provides the systematic instructions to edit FCIS IPO Subscription record.
- View FCIS IPO Subscription Record
  This topic provides the systematic instructions to view FCIS IPO Subscription record.
- Delete FCIS IPO Subscription Record
  This topic provides the systematic instructions to Delete FCIS IPO Subscription record.
- Authorize FCIS IPO Subscription Record
  This topic provides the systematic instructions to authorize FCIS IPO Subscription record.
- Amend FCIS IPO Subscription Record
  This topic provides the systematic instructions to amend FCIS IPO Subscription record.

- Authorize Amended FCIS IPO Subscription Record
  This topic provides the systematic instructions to authorize amended FCIS IPO Subscription record.

3.5.1 Edit FCIS IPO Subscription Record

This topic provides the systematic instructions to edit FCIS IPO Subscription record.

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

1. Start the **FCIS IPO Subscription Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS IPO Subscription Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS IPO Subscription Detail** screen is closed and the changes made are reflected in the **FCIS IPO Subscription Summary** screen.

3.5.2 View FCIS IPO Subscription Record

This topic provides the systematic instructions to view FCIS IPO Subscription record.

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

1. Start the **FCIS IPO Subscription Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS IPO Subscription Detail** screen is displayed.

3.5.3 Delete FCIS IPO Subscription Record

This topic provides the systematic instructions to Delete FCIS IPO Subscription record.

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

1. Start the **FCIS IPO Subscription Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS IPO Subscription Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.5.4 Authorize FCIS IPO Subscription Record

This topic provides the systematic instructions to authorize FCIS IPO Subscription record.

An unauthorized FCIS IPO Subscription Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS IPO Subscription Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS IPO Subscription Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.5.5 Amend FCIS IPO Subscription Record

This topic provides the systematic instructions to amend FCIS IPO Subscription record.

After a FCIS IPO Subscription Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS IPO Subscription Summary** 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. Double-click the record that you wish to amend.

   The **FCIS IPO Subscription Detail** screen is displayed.

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

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

3.5.6 Authorize Amended FCIS IPO Subscription Record

This topic provides the systematic instructions to authorize amended FCIS IPO Subscription record.

1. An amended FCIS IPO Subscription Record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

3.6 Bulk Transactions

This topic provides the systematic instructions to enter a transfer transaction request into the system.

This topic contains the following sub-topics:

- Process FCIS Bulk Transaction Detail
  This topic provides the instructions to process **FCIS Bulk Transaction Detail** Screen.
- Settlement Details
  This topic explains the Settlement Details button of **FCIS Bulk Transaction Detail**.
- Processing Dilution Levy
  This topic provides information about processing dilution levy details.
- View Balance
  This topic explains the view balance button of **FCIS Bulk Transaction Detail**.

3.6.1 Process FCIS Bulk Transaction Detail

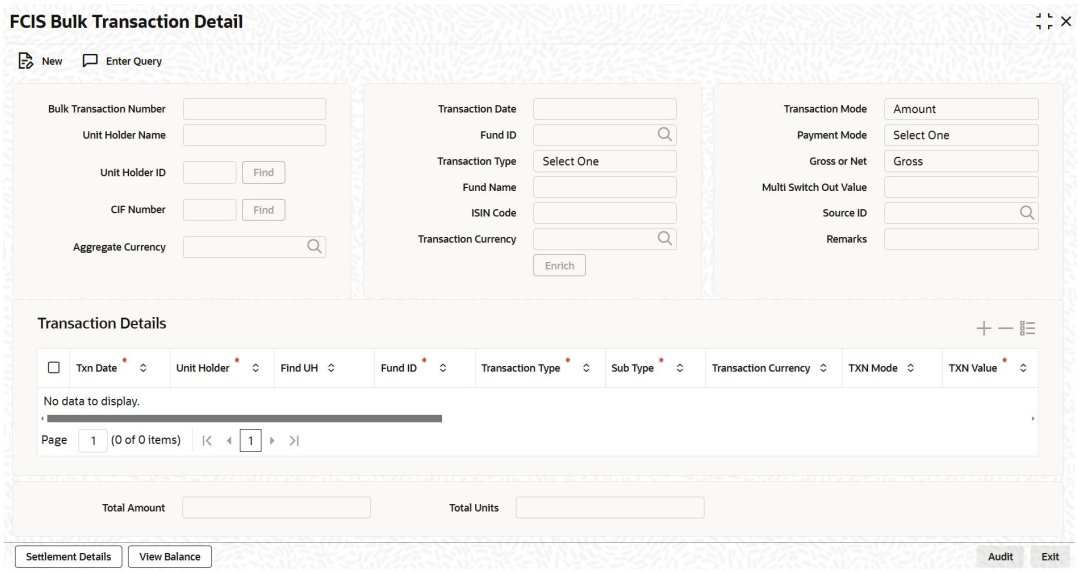
This topic provides the instructions to process **FCIS Bulk Transaction Detail** Screen.

You may need to enter multiple transactions in multiple funds for a unit holder.

1. On **Home** screen, type **UTDTXNB** in the text box and click **Next**.

   The **FCIS Bulk Transaction Detail** screen is displayed.

Figure 3-18 FCIS Bulk Transaction Detail



2. On **FCIS Bulk Transaction Detail** screen, specify the fields.

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

Table 3-22 FCIS Bulk Transaction Detail

Field	Description
Bulk Transaction Number	*Display* When you save the multiple transactions that you have entered in this screen, a bulk transaction number is generated by the system for each set of multiple transactions entered. You can use the bulk transaction number to retrieve the transactions, in the **FCIS Bulk Transactions Summary** screen.
Unit Holder Name	*Display* The name of the unit holder is displayed.
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the unit holder ID. You can also click the **Find** button to list the unit holder IDs maintained in the system. Select the required ID. Specify the unit holder ID. You can also click the **Find** button to list the unit holder IDs maintained in the system. Select the required ID.
CIF Number	*Alphanumeric; 20 Characters; Optional* Specify the CIF number of the unit holder for whom you wish to enter multiple transactions. You can also click the **Find** button to list the CIF number maintained in the system. Select the required ID.

Table 3-22 (Cont.) FCIS Bulk Transaction Detail

Field	Description
Aggregate Currency	*Alphanumeric; 3 Characters; Optional* Specify the aggregate currency. You can also select the currency from the option list provided. The list consists of valid and authorised currencies maintained in the system. Aggregate currency is used in case of multiple transactions with multiple currencies. This currency is used as an intermediate currency to do settlement between outflow and inflow transactions. If the fund base currency is same for all the funds involved in the transaction, then the system defaults the aggregate currency as the fund base currency. However, if the currency is different, then the system prompts to enter the aggregate currency on save.
Transaction Date	*Date Format; Optional* The transaction date is defaulted. However, you can modify the same.
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the transaction Fund ID.
Transaction Type	*Optional* Select the type of transaction from the drop-down list. The options available are: • **IPO Subscription** • **Subscription** • **Redemption** • **Switch** • **Transfer** • **Multi Transaction** • **Multi Switch** For a unit holder, you can capture multiple redemptions, for which multiple settlements and subscriptions are captured through one wrapper reference number. This wrapper reference will be the reference number for all the subscription and redemption transactions. If you select the **Multi Transaction** option, then the system will link all the transactions to one reference number. For instance, you can capture multiple transactions as follows: Outflows, • Redeem 1000 units from F1 as R1 • Redeem 5000 USD from F2 as R2 • Redeem 50% from F3 as R3 Inflows, • Invest 30% into F4 as S1 • Invest 1000 USD to F5 as S2 • Invest remaining into F6 as S3 All these transactions will be linked to one wrapper reference number.
Fund Name	*Display* The name of the fund is displayed.
ISIN Code	*Display* The system displays the ISIN code.
Transaction Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the transaction currency. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

Table 3-22 (Cont.) FCIS Bulk Transaction Detail

Field	Description
Transaction Mode	*Optional* Select the mode of transaction. The options available are: • **Amount** • **Units** • **Percent**
Payment Mode	*Optional* Select the mode of payment from the drop-down list. The following are the options available: • **Cash** • **Cheque** • **Money Transfer** • **Multi Payment** • **Direct Debit**
Gross or Net	*Optional* Select if the bulk transaction is gross or net mode for pseudo switch out leg for multi switch transactions from the drop-down list. The list displays the following values: • **Gross** • **Net**
Multi Switch Out Value	*Numeric; 22 Characters; Mandatory* Specify the multi switch out value for the pseudo switch out leg for multi switch transactions. If selected, the system will treat the transaction captured as part of multiple switch transactions and it will link them with same reference number (wrapper number). This multi switch transaction will be a pseudo switch transaction. The system will switch out from one fund (pseudo switch out) to multiple switch into different funds (pseudo switch-in) Multi switch transaction will allow one pseudo switch out (PS03) transaction captured against multiple inflows pseudo switch in (PS02) in bulk transaction screen. Internally it will create one-out leg transaction for each in-leg transaction. If switch out fund and switch in fund are different then it will be saved as pseudo switch and if switch out fund and switch in fund are same then it will be saved as bed and breakfast switch.
Source ID	*Alphanumeric; 12 Characters; Optional* Select the source through which the transactions are routed.
Remarks	*Alphanumeric; 255 Characters; Optional* You can specify any remarks for the transactions.

Transaction Details

You can enter information that is specific to each individual transaction that you wish to enter.

To add a new transaction, click the **Add** (+) button. To delete a transaction that you have entered, select the transaction row and click the **Delete** (-) button.

The default details that you have specified above are displayed for each transaction. However, you can change the following details:

Table 3-23 FCIS Bulk Transaction Detail - Transaction Details

Field	Description
Transaction Date	*Date Format; Mandatory* The system displays the transaction date. However you can amend the same.
Unit Holder	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder details. You can query for unit holder ID by clicking on **Fund UH** button.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* The system displays the fund ID. However you can amend the same.
Transaction Type	*Mandatory* Select the type of transaction from the drop-down list. The list displays the following values: • **IPO Subscription** • **Subscription** • **Redemption** • **Switch** • **Transfer** • **Multi Transaction** • **Multi Switch**
Sub Type	*Alphanumeric; 1 Character; Mandatory* Specify the sub type. Alternatively, you can select the sub type from the option list. The list displays all valid sub types maintained in the system. For Transfer Switch transaction, you need to select Switch in Transaction type and Transfer Switch in Subtype from the list displayed, • **Normal Switch** • **Bed and Breakfast Switch** • **Cash Management Account Switch** • **RIS** • **Pseudo Switch** • **Transfer Switch**
Transaction Currency	*Alphanumeric; 3 Characters; Optional* The system displays the transaction currency. However, you can amend this value.
TXN Mode	*Optional* Select the mode of transaction from the drop-down list. The list displays the following values: • **Amount** • **Units** • **Present** • **Residual**
TXN Value	*Numeric; 22 Characters; Mandatory* Specify the transaction value.
Payment Mode	*Alphanumeric; 2 Characters; Optional* Specify the mode of payment. Alternatively, you can select payment mode from the option list. The list displays all valid mode of payment maintained in the system.
Gross or Net	*Optional* Select Gross or Net option from the drop-down list.

Table 3-23 (Cont.) FCIS Bulk Transaction Detail - Transaction Details

Field	Description
To Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify To unit holder ID. You can query for To Unit holder ID by clicking 'Find UH' button.
To Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the To Fund ID. Alternatively, you can select To Fund ID from the option list. The list displays all valid To Fund ID maintained in the system.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number.
Txn Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number. Click the **Detail** button to get the transaction details. Click the **Clear** button to clear all the transaction details. Click the **Log** button to view the transaction error details. The **Log** field will log the overrides (warning messages) and error messages. You can view overrides/ error post authorization of the bulk transaction. On launching the sub screen; system will display the following: • **Transaction Number** • **Error/Override** • **Code** • **Description**
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number.
Error/Override	*Alphanumeric; 50 Characters; Optional* Specify the error or override details.
Code	*Alphanumeric; 20 Characters; Optional* Specify the code.
Description	*Alphanumeric; 255 Characters; Optional* Specify the error description.
Operate?	*Optional* Select the operate status from the drop-down list. The list displays the follwoing values: • **Edit** • **Delete**
Units Classification	*Alphanumeric; 1 Character; Optional* Specify the unit classification details.
Age out Preference	*Alphanumeric; 1 Character; Optional* Specify the age out preference details.
Status	*Alphanumeric; 4000 Characters; Optional* Specify the status of transaction.
Total Amount	*Numeric; 22 Characters; Optional* Specify the total amount.
Total Units	*Numeric; 22 Characters; Optional* Specify the total units.

Note:

- For multi transactions, only redemption and subscription transactions are allowed
- For multi transaction, the transaction date and the unit holder ID are defaulted from the header and you cannot modify the same.
- For subscription transactions, you can select the following transaction modes:
  - **Amount**
  - **Units**
  - **Percentage**
  - **Residual**
- For redemption transactions, **Residual** transaction mode is not applicable
- You have to maintain different fund IDs for multiple transactions

The unit holder will be same for all the outflows and inflow transactions. If there is a different unit holder, the system will validate when the transaction is saved.

- Multi Switch Transaction
  This topic provides information on Multi Switch Transaction.
- Multi Transaction Capture Flow
  This topic provides the information about the multi transaction capture flow details in the Transaction screen.
- Process Multi Transactions
  This topic provides information on processing Multi Transactions.

3.6.1.1 Multi Switch Transaction

This topic provides information on Multi Switch Transaction.

Whenever a multi switch transaction is captured, the system will check the unit balance including unallocated units from any other outflow transaction of the same fund. If the unit balance thus calculated is less than the transaction value, the transaction generation will fail for **Insufficient Unit Balance**. For unallotted unit based or percentage based transactions, the system will identify the unallocated units from the transaction details.

For Amount based transaction, the system will compute the units balance as follows:

```
Unallotted units= Amount/ Latest Available NAV * (1 - Fluctuation %)
```

Note: Fluctuation % is a system level param value that can be maintained in Parameter Maintenance Screen (UTDPARAM) considering the maximum load and maximum fluctuation in price that can happen. PARAM Code to be maintained is **FLUCTUATIONPERCENT**.

Example

For Example:

Table 3-24 Opening Balance

Opening Balance	**120**
Buffer %	5%
NAV	11.23778

Table 3-25 TX N Details

TXN	Txn Mode	Txn Value	Units redeemed	Settlement Amount	Outstanding	Txn Status	Remarks
RED1	Units	75	75	842.8335	45	Success	No un-allotted Transactions during RED1 capture hence available units will be 120
RED2	Units	50	NA	NA	NA	Failed	Un-allotted units - 75 pending, hence system will consider the available units as 45 (120-75)
RED3	Amount	100	9.3669	105.2632	35.6331	Success	System will use buffer % to arrive at units for amount based outflow transactions

The system will run **Multi Switch** batch to generate pseudo switch in-leg. The system will split the pseudo out-leg and link to each pseudo in-leg (For instance, multiple switch out from 1 fund to 3 funds. There should be 3 out-leg link to 3 in-leg).If there is residual balance of units, it should be generated at the point of the allotment of pseudo switch out-leg.

Pseudo switch-in generation will be part of BOD sequence. The same can be scheduled as part of Mini-EOD, based on business requirement.

3.6.1.2 Multi Transaction Capture Flow

This topic provides the information about the multi transaction capture flow details in the Transaction screen.

PS Out-leg Capture

In the header section the system will capture PS-Out leg details:

Table 3-26 PS Out-leg Capture

Field	Description
UH ID	Investor ID
Fund ID	Switch-out fund ID
Net/Gross	Gross/Net
Transaction mode	Out leg mode
Multi switch out value	Switch-out value
Transaction Currency	Should be switch-out fund base currency

PS In-leg Capture

The system captures PS In-leg details as part of the multi record on click of add rows icon.

Table 3-27 PS In-leg Capture

Field	Description
Transaction Date	Defaulted from header
UH ID	Defaulted from header
Fund ID	Defaulted from header
Transaction Type	Should be switch
Transaction Sub Type	Should be Pseudo switch
Transaction Currency	Transaction currency
Transaction Mode	Only for Amount/Units
Transaction Value	Value to be switched
Gross/Net	Gross/Net
To Fund ID	Switch-in fund ID

On saving, the system generates multi switch wrapper reference number. the reference number will be same as wrapper reference number.

> **Note:**
>
> Transaction number will be showing as key string till authorization.

On authorization, the system will update the transaction reference number generated as key string to the actual switch out transaction number. The reference number will be same as wrapper reference number.

> **Note:**
>
> Error and overrides will be logged for the PS out transactions.

3.6.1.3 Process Multi Transactions

This topic provides information on processing Multi Transactions.

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

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

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note:

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

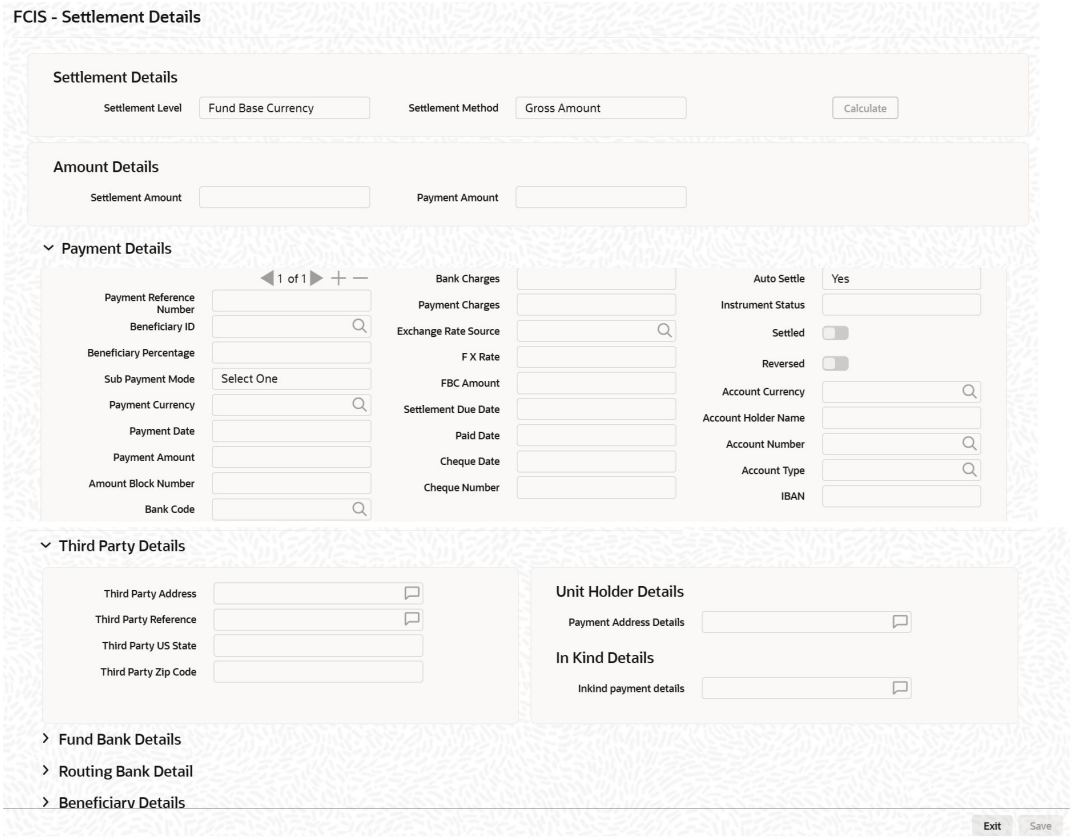
3.6.2 Settlement Details

This topic explains the Settlement Details button of **FCIS Bulk Transaction Detail**.

1. On the **FCIS Bulk Transaction Detail** screen, click the **Settlement Details** button to enter the details.

   The **FCIS - Settlement Details** screen is displayed.

Figure 3-19 FCIS - Settlement Details



2. On **FCIS - Settlement Details** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-28 FCIS - Settlement Details - Field Description

Field	Description
Settlement Level	*Optional* Select the **Settlement Level** from the drop-down list. The list displays the following values: • **Fund Base Currency** • **Transaction Base Currency**
Settlement Method	*Optional* Select the settlement method from the drop-down list. The list displays the following values: • **Gross Amount** • **Net of Agent Fees** • **Net of All Fees** • **Net of FM Fees**
Amount Details	The section displays the following fields.
Amount Details	The system displays the following values by clicking the **Calculate** button.
Settlement Amount	*Display* The system displays the settlement amount.

Table 3-28 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Payment Amount	*Display* The system displays the payment amount.
Payment Details	The section displays the following fields.
Payment Reference Number	*Alphanumeric; 50 Characters; Optional* Specify the payment reference number.
Beneficiary ID	*Alphanumeric; 50 Characters; Optional* Specify the beneficiary ID.
Beneficiary Percentage	*Numeric; 5 Characters; Optional* Specify the beneficiary percentage.
Sub Payment Mode	*Optional* Select the mode of payment. The following options are available: • **Demand Draft** • **Pay Order** • **Against Payment** • **In Kind Payment** • **CMA Cheque** • **Broker Cheque** • **Cashier Cheque** • **Foreign Cheque** • **Government Cheque** • **Other Institution Cheque** • **Local Cheque** • **Out Of Town Cheque** • **Payroll Deduction Cheque** • **Reserve Bank Cheque** • **Debit Card** • **Credit Card** • **Advice** • **CMA Transfer** • **Direct Debit** • **Money Transfer** • **Telegraphic Transfer** • **Wire Transfer** • **Cash**
Payment Currency	*Alphanumeric; 3 Characters; Optional* Specify the payment currency. You can also select the currency from the adjoining option list. The list consists of valid and authorised currencies maintained in the system.
Payment Date	*Date Format; Optional* Specify the payment date.
Payment Amount	*Numeric; 18 Characters; Optional* The payment amount is displayed.
Amount Block Number	*Display* The system displays the amount block number.
Bank Code	*Alphanumeric; 3 Characters; Optional* Specify the bank code. Alternatively, you can select bank code from the adjoining option list. The list displays all valid bank code maintained in the system.

Table 3-28 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Branch Code	*Alphanumeric; 20 Characters; Optional* Specify the branch code. Alternatively, you can select branch code from the adjoining option list. The list displays all valid branch code maintained in the system.
Entity ID	*Alphanumeric; 12 Characters; Optional* Specify the entity ID.
Payment Type	*Optional* Select the type of payment from the drop-down list. The list displays the following values: • **Self** • **Third Party** • **Broker** • **Retained** • **Advanced Payment** • **Absorbed/Paid Back** • **Garnishee**
Bank Charges	*Numeric; 12 Characters; Optional* Specify the bank charges.
Payment Charges	*Numeric; 12 Characters; Optional* Specify the payment charges.
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the source of exchange rate. You can also select the source of exchange rate from the adjoining option list. This exchange rate source is used to convert aggregate currency to transaction currency and vice versa.
FX Rate	*Numeric; 15 Characters; Optional* Specify the foreign exchange rate.
FBC Amount	*Display* The system displays the fund base currency amount.
Settlement Due Date	*Date Format; Optional* Select the due date of the transaction from the adjoining calendar.
Paid Date	*Date Format; Optional* Select the paid date of the transaction from the adjoining calendar.
Cheque Date	*Date Format; Optional* Select the cheque date from the adjoining calendar.
Check Number	*Alphanumeric; 16 Characters; Optional* Specify the check number.
Auto Settle	*Optional* Select **Yes** option from drop-down list if you require auto settlement. Else select **No**.
Instrument Status	*Display* The status of the instrument is displayed.
Settled	*Optional* Check this option if the transaction is settled.
Reversed	*Optional* Check this option if the transaction is reversed.

Table 3-28 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Account Currency	*Alphanumeric; 3 Characters; Optional* Specify the account currency code. Alternatively, you can select account currency from the option list. The list displays all valid account currency code maintained in the system.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the account holder name.
Account Number	*Alphanumeric; 20 Characters; Optional* Specify the account number. Alternatively, you can select account number from the option list. The list displays all valid account number maintained in the system.
Account Type	*Alphanumeric; 1 Character; Optional* Specify the type of account. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.
Third Party Details	The section displays the following fields.
Third Party Address	*Alphanumeric; 255 Characters; Optional* Specify the third party address.
Third Party Reference	*Alphanumeric; 255 Characters; Optional* Specify the third party reference details.
Third Party US State	*Alphanumeric; 1 Character; Optional* Specify the third party US state name.
Third Party Zip Code	*Alphanumeric; 10 Characters; Optional* Specify the third party zip code.
Unit Holder Details	The section displays the following fields.
Payment Address Details	Specify the unit holder's address details.
In Kind Details	The section displays the following fields.
Inkind payment details	Specify the inkind payment details.
Fund Bank Details	The system displays the following details: • **ISIN Code** • **Fund Base Currency** • **Bank** • **Bank Branch** • **Description** • **Account Number** • **Account Name** • **Direct Debit** • **Close Account**
SWIFT format	*Optional* Select the SWIFT format from the drop-down list. The list displays the following values: • **MT103** • **MT202**

Table 3-28 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Bank Charged	*Optional* Select the bank charged details from the drop-down list. The list displays the following values: • **Beneficiary** • **Remitter** • **Share**
Beneficiary Details	The section displays the following fields.
Beneficiary	*Alphanumeric; 35 Characters; Optional* Specify the beneficiary name.
Beneficiary Add 1-3	*Alphanumeric; 105 Characters; Optional* Specify the beneficiary address. There are three lines available for the same.
Beneficiary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC code of the beneficiary.
Beneficiary Acct No	*Alphanumeric; 34 Characters; Optional* Specify the account number of the beneficiary.
Beneficiary Code	*Alphanumeric; 24 Characters; Optional* Specify the code of the beneficiary.
Beneficiary Info	*Alphanumeric; 100 Characters; Optional* Enter more information about the beneficiary.
Beneficiary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the beneficiary IBAN details.
Intermediary Details	The section displays the following fields.
Intermediary	*Alphanumeric; 35 Characters; Optional* Specify the intermediary detail.
Beneficiary Add 1-3	*Alphanumeric; 105 Characters; Optional* Specify the intermediary address. There are three lines available for the same.
Intermediary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC code of the Intermediary.
Intermediary Acct No	*Alphanumeric; 34 Characters; Optional* Specify the account number of the Intermediary.
Intermediary Code	*Alphanumeric; 24 Characters; Optional* Specify the code of the Intermediary.
Intermediary Info	*Alphanumeric; 100 Characters; Optional* Enter more information about the Intermediary.
Intermediary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the intermediary IBAN details.
Further Credit Details	The section displays the following fields.
Further Credit Name	*Alphanumeric; 40 Characters; Optional* Specify the further credit name.
Further Credit Acct No	*Alphanumeric; 34 Characters; Optional* Specify the further credit account number.
Reference1	*Alphanumeric; 35 Characters; Optional* Specify reference details.

Table 3-28 (Cont.) FCIS - Settlement Details - Field Description

Field	Description
Reference2	*Alphanumeric; 35 Characters; Optional* Specify reference details.

3.6.3 Processing Dilution Levy

This topic provides information about processing dilution levy details.

The Inflow breach factor for IN transactions and Outflow breach factor for OUT transactions are considered for arriving at the fund inflow/outflow dilution levy breach limit `(Fund Corpus * Inflow / Outflow Breach Factor < Net Amount in FBC)` for the day. For validating the dilution limit breach, a project allocation is done with the available price for the transaction and thereby the net amount of that transaction is calculated.

Dilution levy is validated against the gross transaction amount. If gross transaction amount is is greater than the dilution levy breach limit, then a warning message is displayed by the system as follows:

The transaction exceeds the dilution levy breach limit .

Dilution levy value can be overridden. The overridden value is considered only if the transaction is breaching the dilution levy limit amount. If a transaction is saved and if there are overrides while saving such a transaction, then the following warning message is displayed by the system.

Transactions are saved with overrides.

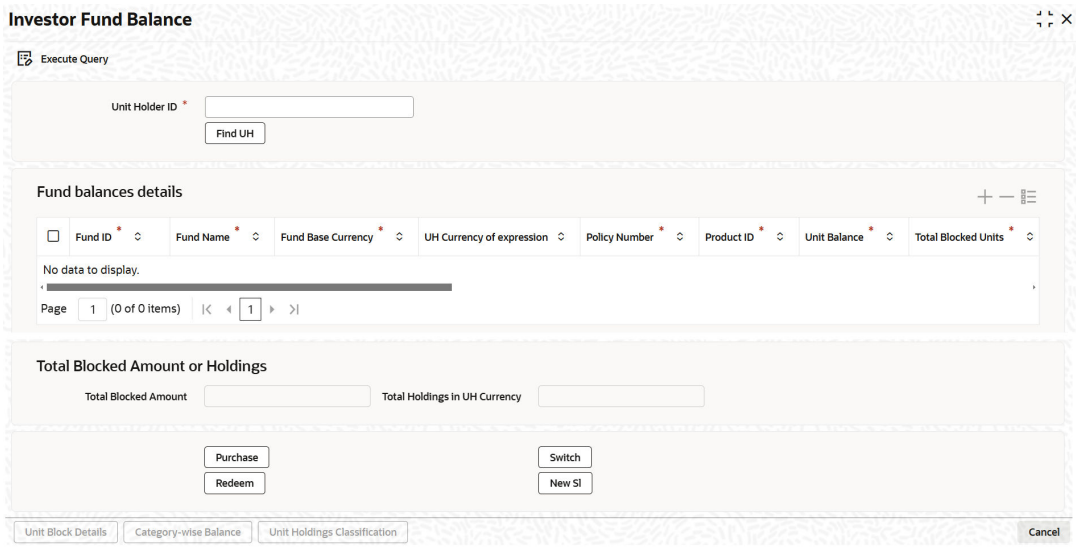
3.6.4 View Balance

This topic explains the view balance button of **FCIS Bulk Transaction Detail**.

1. On **FCIS Bulk Transaction Detail** screen, click the **View Balance** button to view the available fund balance details of a unit holder.

   The **Investor Fund Balance** screen is displayed in view mode displaying the unit holder fund balance details.

Figure 3-20 Investor Fund Balance



2. On **Investor Fund Balance** screen, you can view the fund balance details.

   For further details, refer to *View Balance Button* in **FCIS Redemption Transaction Detail** topic of this User Manual.

3.7 FCIS Bulk Transaction Summary

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

The following operations can be performed for multiple transactions using **FCIS Multiple Transaction** screen:

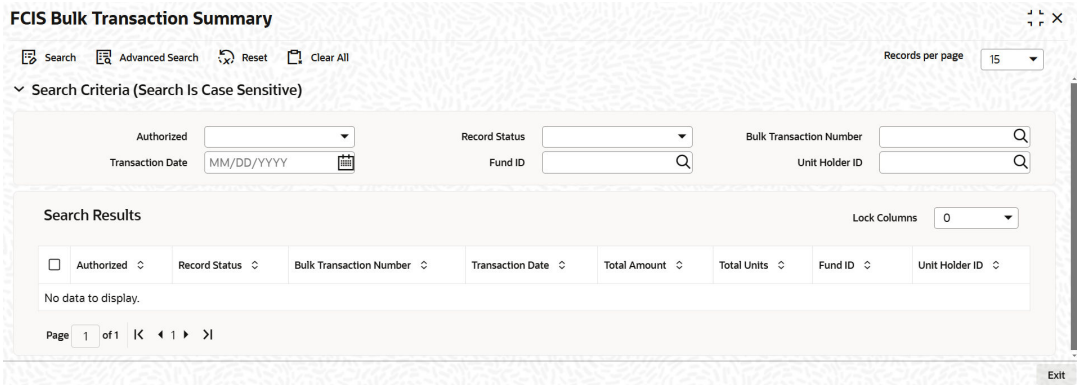
- **New** - You can capture outflows and inflows transactions in this screen. This will then be grouped under one transaction.
- **Modify** - You can modify the unauthorized multi transactions. Click **Unlock** option in the action menu and amend the individual transaction by editing each transaction using edit option available in the **Transaction Details** section in the **FCIS Bulk Transaction Detail** screen.
- **Delete** - To delete a particular transaction, unlock the unauthorized record and select the 'Delete' option available in the **Transaction Details** section in the **FCIS Bulk Transaction Detail** screen.
- **Authorize** - Authorizing the multi transaction results in authorizing all the linked transactions along with it.

Retrieve FCIS Bulk Transaction Record

1. On **Home** screen, type **UTSTXNB** in the field at the top right corner and click **Next**.

   The **FCIS Bulk Transaction Summary** screen is displayed.

Figure 3-21 FCIS Bulk Transaction Summary



2. On **FCIS Bulk Transaction Summary** 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**
   - **Bulk Transaction Number**
   - **Transaction Date**
   - **Fund ID**
   - **Unit Holder ID**
3. Click **Search** button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

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

- Search by A percentage:- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
- Search by percentage 7:- System will fetch all the records whose Fund ID ends by numeric value’ 7’ . For example: AGC17, GSD267, AGC77 etc.
- Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

- Edit FCIS Bulk Transaction Record
  This topic provides the systematic instructions to edit FCIS Bulk Transaction record.
- View FCIS Bulk Transaction Record
  This topic provides the systematic instructions to view FCIS Bulk Transaction record.
- Delete FCIS Bulk Transaction Record
  This topic provides the systematic instructions to delete FCIS Bulk Transaction record.
- Authorize FCIS Bulk Transaction Record
  This topic provides the systematic instructions to authorize FCIS Bulk Transaction record.
- Amend FCIS Bulk Transaction Record
  This topic provides the systematic instructions to amend FCIS Bulk Transaction record.
- Authorize Amended FCIS Bulk Transaction Record
  This topic provides the systematic instructions to authorize amended FCIS Bulk Transaction record.

3.7.1 Edit FCIS Bulk Transaction Record

This topic provides the systematic instructions to edit FCIS Bulk Transaction record.

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

1. Start the **FCIS Bulk Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Transaction Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Transaction Summary** screen.

3.7.2 View FCIS Bulk Transaction Record

This topic provides the systematic instructions to view FCIS Bulk Transaction record.

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

1. Start the **FCIS Bulk Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Transaction Detail** screen is displayed.

3.7.3 Delete FCIS Bulk Transaction Record

This topic provides the systematic instructions to delete FCIS Bulk Transaction record.

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

1. Start the **FCIS Bulk Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Transaction Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.7.4 Authorize FCIS Bulk Transaction Record

This topic provides the systematic instructions to authorize FCIS Bulk Transaction record.

An unauthorized FCIS Bulk Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Bulk Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Bulk Transaction Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

3.7.5 Amend FCIS Bulk Transaction Record

This topic provides the systematic instructions to amend FCIS Bulk Transaction record.

After a FCIS Bulk Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Bulk Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Bulk Transaction Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.7.6 Authorize Amended FCIS Bulk Transaction Record

This topic provides the systematic instructions to authorize amended FCIS Bulk Transaction record.

1. An amended FCIS Bulk Transaction Record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

3.8 Subscription Transaction Detail

This topic provides the systematic instructions to enter a transfer transaction request into the system.

This topic contains the following sub-topics:

- Process FCIS Subscription Transaction Detail
  This topic provides the systematic instructions to enter an transaction request into the system.
- UH and Fund Tab
  This topic explains the UH and Fund tab of **FCIS Subscription Transaction Detail** screen.

- Transaction Tab
  This topic explains the Transaction tab of **FCIS Subscription Transaction Detail**.
- Other Tab
  This topic explains the other tab of FCIS Subscription Transaction Detail.
- Intermediary Tab
  This topic explains the Intermediary tab of **FCIS Subscription Transaction Detail**.
- Load Override Tab
  This topic explains the Load Override tab of **FCIS Subscription Transaction Detail**.
- KYC and Document Tab
  This topic explains the KYC and Document tab of **FCIS Subscription Transaction Detail**.
- Add Info Tab
  This topic provides the detailed information about the add info tab in **FCIS subscription Transaction detail** screen.
- Fee Payment Tab
  This topic provides the detailed information about the fee payment tab in **FCIS subscription Transaction** detail screen.
- Certificate Tab
  This topic provides the detailed information about the certificate tab in **FCIS Subscription Transaction Detail** screen.
- Limit Order Tab
  This topic provides the information about the limit order tab in **FCIS Subscription Transaction Detail** screen.
- Settlement Details Button
  This topic explains settlement details button in **FCIS Subscription Transaction Details** screen.
- Receipt Detail Button
  This topic provides the information on receipt details button in FCIS Subscription Transaction Detail screen.
- Project Allocation Details Button
  This topic provides the information about the project allocation details button in FCIS Subscription Transaction Detail screen.
- FCIS - Transaction Allocation Details
  This topic provides the instructions to start **FCIS Subscription Transaction Detail** screen using allocation details button
- Save the Transaction
  This topic provides information on saving transaction details in **FCIS Subscription Transaction Detail** screen.
- Transaction Processing Logic for Currency of Expression Funds
  This topic provides information about transaction processing logic for currency of expression funds details.

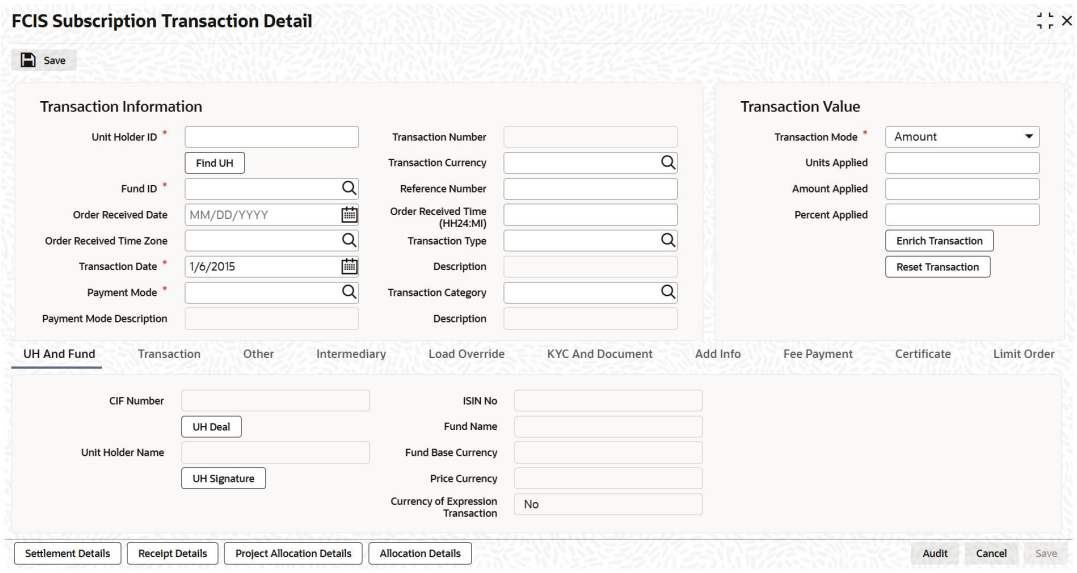
3.8.1 Process FCIS Subscription Transaction Detail

This topic provides the systematic instructions to enter an transaction request into the system.

1. On **Home** screen, type **UTDTXN02/ UTDTRA02** in the text box and click **Next**.

   The **FCIS Subscription Transaction Detail** screen is displayed.

Figure 3-22 FCIS Subscription Transaction Detail



2. On **FCIS Subscription Transaction Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description below,

Table 3-29 FCIS Subscription Transaction Detail - Field Description

Fields	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system. Provided the client country parameter is set to **HSBCSPECIFIC** for your bank, the validation for settlement date being greater than or equal to the transaction date will not be carried out. **Note:** When you change the unit holder, time zone will get reset accordingly with a warning message **I-TZDEFAULT**. Click the **Find UH** button to open **Unit Holder Find Options** screen. You can get the Unit holder details by entering the required values in that screen.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Order Received Date	*Date Format; Optional* Specify the order received date. **Note:** Order Received Date will not be defaulted for system generated transactions.

Table 3-29 (Cont.) FCIS Subscription Transaction Detail - Field Description

Fields	Description
Order Received Time Zone	*Optional* Specify the order received Time Zone. Alternatively, you can select it from the option list. The list displays all Time Zones maintained in the system. **Note:** • System should allow the user to map service location in the **Service Location Maintenance Detail** screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured. • If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone. • If the Default Time Zone value is null, then the system will display an error message. • Order Received Time zone will not be defaulted for system generated transactions.
Transaction Date	*Date Format; Mandatory* Specify the transaction date. Refer to the topic Derive Transaction Date to derive the transaction date based on the order received date, order received time zone and order received time and its explanation with examples.
Payment Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the mode of payment. Alternatively, you can select the mode of payment from the option list.
Payment Mode Description	*Display* The system displays the description for the mode of payment selected.
Transaction Number	*Display* The system displays the transaction number.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the **Reference Number** field is locked and the number will be generated by the system when you save the transaction.
Order Received Time (HH24:MI)	*Time Format; Optional* Specify the order received time. **Note:** Order Received Time will not be defaulted for system generated transactions.
Transaction Type	*Alphanumeric; 1 Character; Optional* Select the transaction type. In case for a particular transaction type restriction is **Not Applicable**, then the system will display an error message as `STOPACCOUNT is issued for Transaction Type to this Unit Holder.`

Table 3-29 (Cont.) FCIS Subscription Transaction Detail - Field Description

Fields	Description
Description	*Display* The system displays the description for the selected Transaction type.
Transaction Category	*Alphanumeric; 1 Character; Optional* Specify the type of transaction. Alternatively, you can select transaction category from the option list. The list displays all valid transaction category code maintained in the system.
Description	*Display* The system displays the description for the selected transaction category. This field is enabled after you click the **Enrich** button.
Transaction Value	The section displays the following fields.
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Amount** • **Units** • **Percent**
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Amount Applied	*Numeric; 27 Characters; Optional* Specify the amount applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as **Amount**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Percent Applied	*Numeric; 27 Characters; Optional* The system displays the percent applied details. Specify the percent applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as **Percent**. Else, while clicking **Enrich Transaction** button, the system will display an error message.

3. Click the **Enrich Transaction** button after entering all details in the **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in the **UH and Fund** section.

4. Click the **Enrich Transaction** button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

   On click of **Enrich Transaction** button, all the header fields will be disabled.

5. Click the **Reset Transaction** to reset the entire transaction during transaction input, modification and amendment.

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

6. You need to click the **Reset Transaction** button for any modification/amendment in any of the primary field including Fund ID or Transaction Date.

   Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

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

- Derive Transaction Date
  This topic provides the instructions to derive the **Transaction Date**.
- Modification and Amendment of the transaction
  This topic provides information on modification and amendment of the transaction.

3.8.1.1 Derive Transaction Date

This topic provides the instructions to derive the **Transaction Date**.

Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order received time breaches the fund cutoff, then transaction date arrives to next business date.

It is better understood by the below example:

Table 3-30 Example on Fund details

Fund Details	Case 1	Case 2	Case 3
Fund ID	FNSGP1	-	-
Fund Time Zone	SGT	-	-
Fund Cut Off	17:30	-	-
Module Default Time Zone	HKT	-	-
Time Zone	UKT	HKT	SGT
GMT+	00:00:00	08:00:00	08:00:00

Table 3-31 Example on Order Received details before and after Cut Off time

Order Received within Cut off time	Order Received within Cut off time	Order Received Post Cut off time	Order Received Post Cut off time
Fund ID	FNSGP1	Fund ID	FNSGP1
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15

Table 3-32 Examples on Transaction Date Derivation

Transaction Details	Transaction Date Derivation
Notice Period	5 days
Trade Cut Off Applicable	No
Calendar basis	Actual
Transaction Type	02

Table 3-33 Example of Transaction Date Derivation based on Captured Transaction Date

Capture Transaction Date	Application Date	Cut Off	Transaction Date/ Override Transaction Date	ORD	ORT	Derived Transaction Date
Pre-Settle Trade	07-Jan- 2015	12:00	07-Jan- 2015	07-Jan-2015	15:00	12-Jan- 2015
Future Date	07-Jan- 2015	12:00	09-Jan- 2015	07-Jan-2015	15:00	09-Jan- 2015
Back Date	07-Jan- 2015	12:00	06-Jan- 2015	07-Jan-2015	15:00	06-Jan- 2015
Application Date	07-Jan- 2015	12:00	07-Jan- 2015	-	-	07-Jan- 2015

Note:

- For the Pre-settled trade, system will arrive at the transaction date as Order Received Date + Notice period for the transaction.
- If ORT is after fund cut-off then, cut-off will be ignored and system will simply take ORD + NOTICE PERIOD to arrive at transaction date.
- If transaction date is overridden, system will derive the new settlement due date based on new price date.
- If derived transaction date is holiday, then next working date will be considered as transaction date.
- System generated transaction will not be considered for deriving transaction date and settlement due date for pre-settled funds.

3.8.1.2 Modification and Amendment of the transaction

This topic provides information on modification and amendment of the transaction.

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

- Order Received Date
- Order Received Time
- Transaction date

- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

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

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

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

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

System generated transactions like Dividend, Corporate Actions, NAV corrections, Standing Instruction etc., will not consider notice period and due lag maintained for pre-settled funds.

Dates for transaction pertaining to pre-settle trade fund received via external system such as upload, GW, RS and SWIFT will be as provided in the upload file/request received. Based on the transaction date, price date and settlement due date will be driven.

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

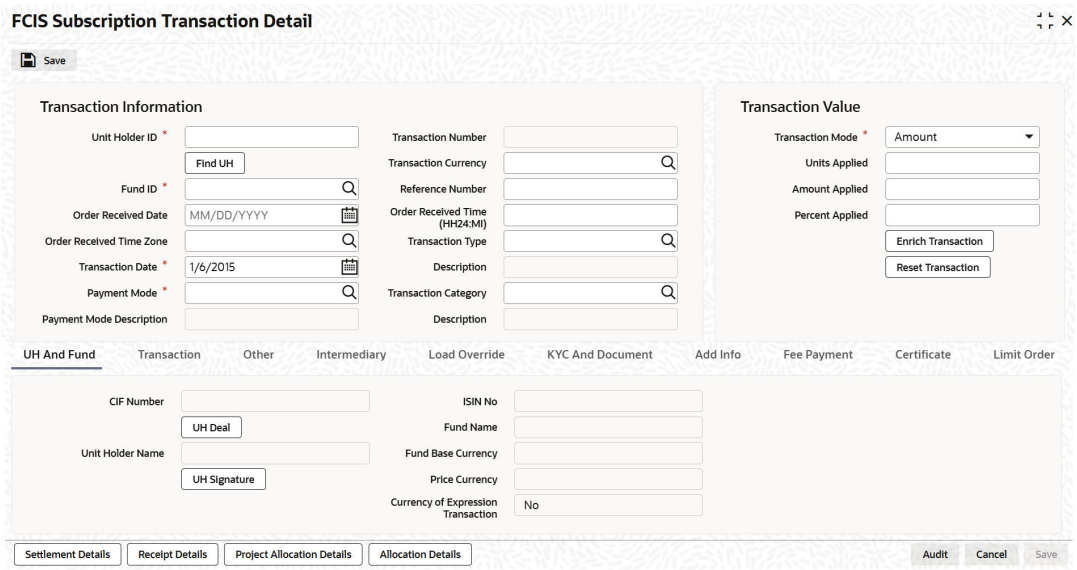
3.8.2 UH and Fund Tab

This topic explains the UH and Fund tab of **FCIS Subscription Transaction Detail** screen.

1. On the **FCIS Subscription Transaction Detail** screen, click **UH and Fund** tab to enter the details.

   The **UH and Fund** details are displayed.

Figure 3-23 FCIS Subscription Transaction Detail - UH And Fund



2. On **UH and Fund**, view the following values.

   The system displays the following values:

   - CIF Number
   - Unit Holder Name
   - ISIN No
   - Fund Name
   - Fund Base Currency
   - Price Currency
   - Currency of Expression Transaction

3. Click the **UH Signature** button to upload the image.
4. Click the **UH Deal** button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the **Find Options** screen.

   The system will display the records that match the search criteria you have specified.

5. By Clicking the **Enrich transaction** button information is defaulted in the **UH and Fund** section.
6. If the selected investor is eligible for tax-exemption, select the tax product in which the investor wishes to purchase units in the **Product ID** field.

   When you select the product, you are indicating to the system that this transaction will affect the used up amount of the nontaxable limit set up for the selected unit holder in the Non-Tax Limits Setup options.

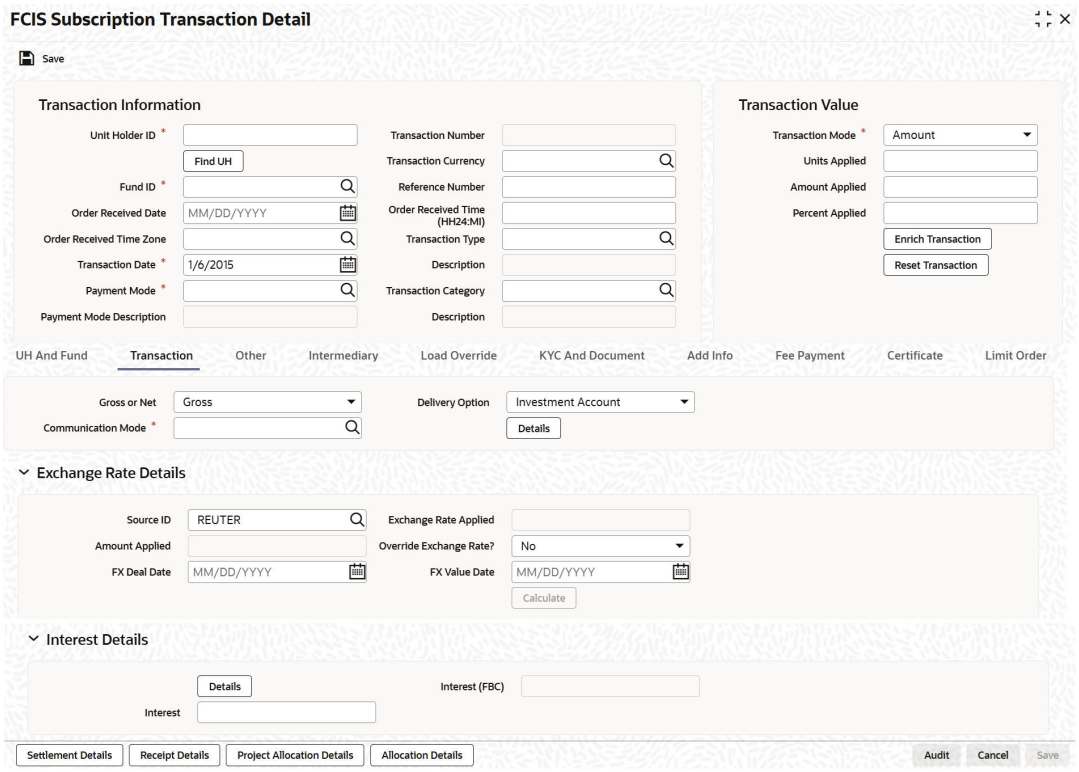
3.8.3 Transaction Tab

This topic explains the Transaction tab of **FCIS Subscription Transaction Detail**.

1. On the **FCIS Subscription Transaction Detail** screen, click on **Transaction** tab to enter the details.

   The **Transaction** details are displayed.

Figure 3-24 FCIS Subscription Transaction Detail - Transaction



2. On **Transaction** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-34 Transaction - Field Description

Field	Description
Gross or Net	*Optional* Select the net value exclusive of the loads from the drop-down list. The list displays the following values: • **Gross** • **Net**
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode through which the transaction request was communicated.. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

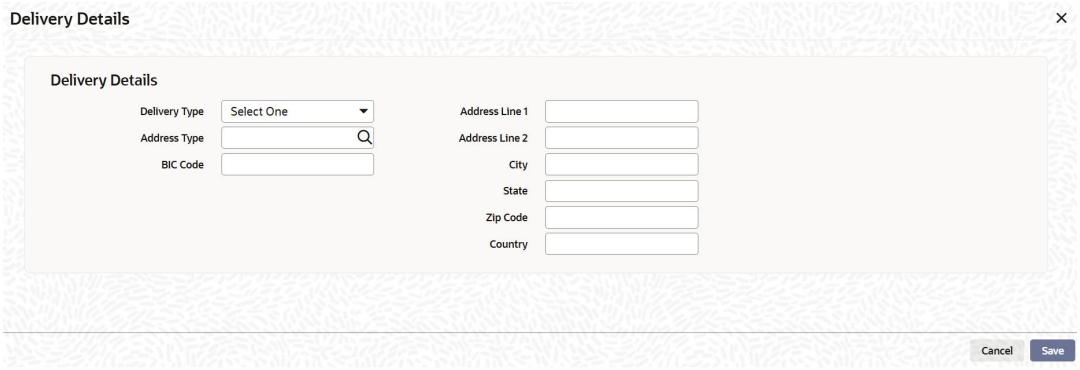
Table 3-34 (Cont.) Transaction - Field Description

Field	Description
Delivery Option	*Optional* Select the delivery option from the drop-down list. The list displays the following values: • **Investment Account** • **Clearing Account - Against Payment** • **Clearing Account - Free of Payment** • **Delivery to Custodian** • **Physical Delivery** • **PUEV**

3. Click **Details** button in the **Transaction** tab.

   The **Delivery Details** screen is displayed.

Figure 3-25 Transaction - Delivery Details



4. On **Delivery Details**, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-35 Delivery Details - Field Description

Field	Description
Delivery Type	*Optional* Select the type of delivery from the drop-down list. Following are the options available: • **Self** • **Third Party**
Address Type	*Alphanumeric; 2 Characters; Optional* Specify the type of address. Alternatively, you can select address type ID from the option list. The list displays all valid address maintained in the system.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the BIC code
Address Line 1-2	*Alphanumeric; 105 Characters; Optional* Specify the residing address of the customer.
City	*Alphanumeric; 80 Characters; Optional* Specify the residing city code

Table 3-35 (Cont.) Delivery Details - Field Description

Field	Description
State	*Alphanumeric; 80 Characters; Optional* Specify the name of the residing state.
Zip Code	*Alphanumeric; 10 Characters; Optional* Specify the zip code of the residing area.
Country	*Alphanumeric; 3 Characters; Optional* Specify the residing country code.

5. On **Exchange Rate Details** section in the **Transaction** tab, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-36 Exchange Rate Details - Field Description

Field	Description
Source ID	*Alphanumeric; 6 Characters; Mandatory* Specify the source ID. Alternatively, you can select source ID from the option list. The list displays all valid source ID maintained in the system. **Note:** Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Amount Applied	*Display* The system displays the amount applied details.
FX Deal Date	*Date Format; Optional* Specify the FX deal date.
Exchange Rate Applied	*Display* The system displays the exchange rate applied details.
Override Exchange Rate?	*Optional* Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values; • **Yes** • **No**
FX Value Date	*Date Format; Optional* Specify the FX value date.

6. On **Interest Details** section in the **Transaction** tab, specify the fields.

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

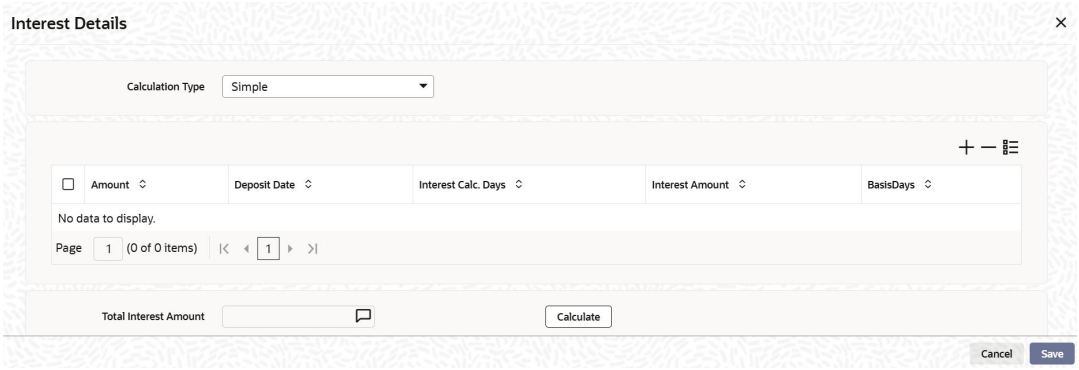
Table 3-37 Interest Details - Field Description

Field	Description
Interest	*Alphanumeric; 30 Characters; Optional* Specify the interest details.
Interest (FBC)	*Display* The system displays the fund base currency interest details.

7. Click the **Details** button in **Interest Details** section of the **Transaction** tab.

   The **Interest Details** screen is displayed.

Figure 3-26 Transaction - Interest Details



8. On **Interest Details** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-38 Delivery Details - Field Description

Field	Description
Calculation Type	*Optional* Select the calculation type from the drop-down list. The list displays the following values: • **Simple** • **Compound**
Amount	*Alphanumeric; 18 Characters; Optional* Specify the amount details.
Deposit Date	*Date Format; Optional* Specify the deposited date.
Interest Calc. Days	*Display* The system displays the calculated interest days
Interest Amount	*Display* The system displays the interest amount.
Basis Days	*Optional* Select the basis days from the drop-down list. The list displays the following values: • **360** • **365**
Total Interest Amount	*Display* The system displays the total interest amount details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the **Amount in Fund Base Currency** field. The applied exchange rate is also displayed in the **Override Exchange Rate** field.

9. Click the **Calculate** button after specifying all the necessary details to calculate the interest details.

   The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the **Amount in Fund Base Currency** field. The applied exchange rate is also displayed in the **Override Exchange Rate** field.

- Dilution Levy Processing
  This topic provides information on Dilution Levy processing.

3.8.3.1 Dilution Levy Processing

This topic provides information on Dilution Levy processing.

To arrive at the dilution levy breach limit the outflow breach factor is considered. (Fund Corpus * Outflow Breach Factor < Net Amount in FBC). Dilution Levy limit breach is validated against the gross transaction amount. If the gross transaction amount exceeds the dilution levy breach limit, then a warning message is displayed by the system. The dilution levy breach limit amount can be overridden at the transaction level. The overridden value is considered only if the transaction attracts dilution levy.

An EOD batch computes the aggregated net transaction amount at unit holder, fund and transaction type level. This batch is schedules before the allocation process. If the gross aggregated amount for Unit Holder, Fund and Transaction type combination is identified breaching, then a dilution levy fee is applied on all transactions of that fund, Unit Holder, and transaction type combination.

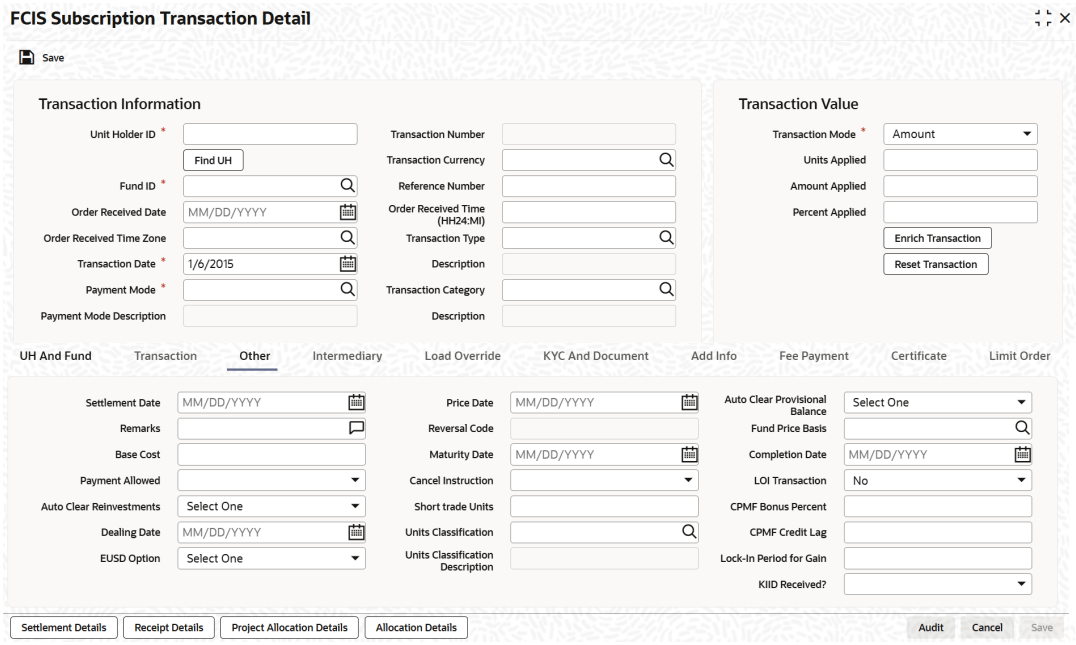
3.8.4 Other Tab

This topic explains the other tab of FCIS Subscription Transaction Detail.

1. On the **FCIS Subscription Transaction Detail** screen, click **Other** tab to enter the details.

   The **Other** details are displayed.

Figure 3-27 FCIS Subscription Transaction Detail - Other



2. On **Other** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-39 Other Tab - Field Description

Field	Description
Settlement Date	*Date Format; Optional* Specify the settlement date.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Base Cost	*Numeric; 6 Characters; Optional* Specify the base cost details.
Payment Allowed	*Optional* Select if payment allowed is or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Auto Clear Reinvestments	*Optional* Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Dealing Date	*Date Format; Optional* Specify the dealing date. The system displays the dealing date derived based on the dealing date maintained for the fund in the specific **Fund Price Date Setup** screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance. Refer the topic *Other Fund Activities* in the *Fund Manager* User Manual for more details on maintaining alternate trade cycles for a fund.
EUSD Option	*Optional* Select the EUSD option from the drop-down list. The list displays the following values; • **With Holding Tax** • **Exchange of Information** • **Tax Exemption Certificate**
Price Date	*Date Format; Optional* The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the topic *Defaulting of Price Dates in the Transaction* screens. You can modify this field. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

Table 3-39 (Cont.) Other Tab - Field Description

Field	Description
Reversal Code	*Display* The system displays the reversal code. This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.
Maturity Date	*Date Format; Optional* If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility. **Note:** In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.
Cancel Instruction	*Optional* Select the cancel instruction from the drop-down list. The list displays the following values: • **Standing Instructions** You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the **Standing Instruction** option in this field to indicate cancellation of standing instructions. If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the **Cancel Instruction** option automatically set. If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day. **Note:** Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to **Standing Instruction**, would re-instate the standing instructions.
Auto Clear Provisional Balance	*Optional* Select **Yes** option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is **Percent** and the transaction value is **100**.
Fund Price Basis	*Alphanumeric; 6 Characters; Optional* Specify the fund price basis details. Alternatively, you can select fund price basis details from the option list. The list displays all valid fund price basis maintained in the system.
Short trade Units	*Numeric; 27 Characters; Optional* Specify the short trade units.

Table 3-39 (Cont.) Other Tab - Field Description

Field	Description
Units Classification	*Alphanumeric; 1 Character; Optional* Specify the units classification in which the units have to be linked. Alternatively, you can select units classification from the option list. The list displays all valid units maintained in the system. This field is applicable only for onshore funds with **USERMNTFIFO** ageing logic. The system will validate the same during save of the transactions.
Units Classification Description	*Display* The system displays the description for the selected unit classification code.
Completion Date	*Date Format; Optional* The date on which the transaction is completed.
LOI Transaction	*Optional* Select the status of LOI transaction from the drop-down list. The list displays the following values: • **Yes** • **No** If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction. This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.
CPMF Bonus Percent	*Numeric; 30 Characters; Optional* Specify the percentage of CPMF bonus. By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is **Fixed**, Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section **Maintaining Fund CPMF Preferences** in the Fund Manager module.
CPMF Credit Lag	*Numeric; 4 Characters; Optional* Indicate the lag for the CPMF bonus to be credited.
Lock-In Period for Gain	*Numeric; 4 Characters; Optional* The default lock-in period for the funds where IOF/IRRF are applicable is defaulted here. This can however be modified. **Note:** Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

Table 3-39 (Cont.) Other Tab - Field Description

Field	Description
KIID Received?	*Optional* Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values: • **Yes** • **No** The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the **UCITS Fund** at the Fund level is **Yes** and the UH mapping to the Fund in the **UH KIID Compliance** tab is **NO** then at the transaction level, the system will default the **KIID Complaint** to **No**. If the KIID Received is set to **No**, the system display an error message while saving the transaction as `The Unit holder has not received the KIID`. If the flag is set to **YES** there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level. If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to blank. You cannot change this option to either a **Yes** or **No** at the transactions level if it is not a UCITS Fund. The business user can change the KIID Compliant flag at the transaction from **No** to **Yes** and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same. In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to **No** and then you need to manually override it.

3.8.5 Intermediary Tab

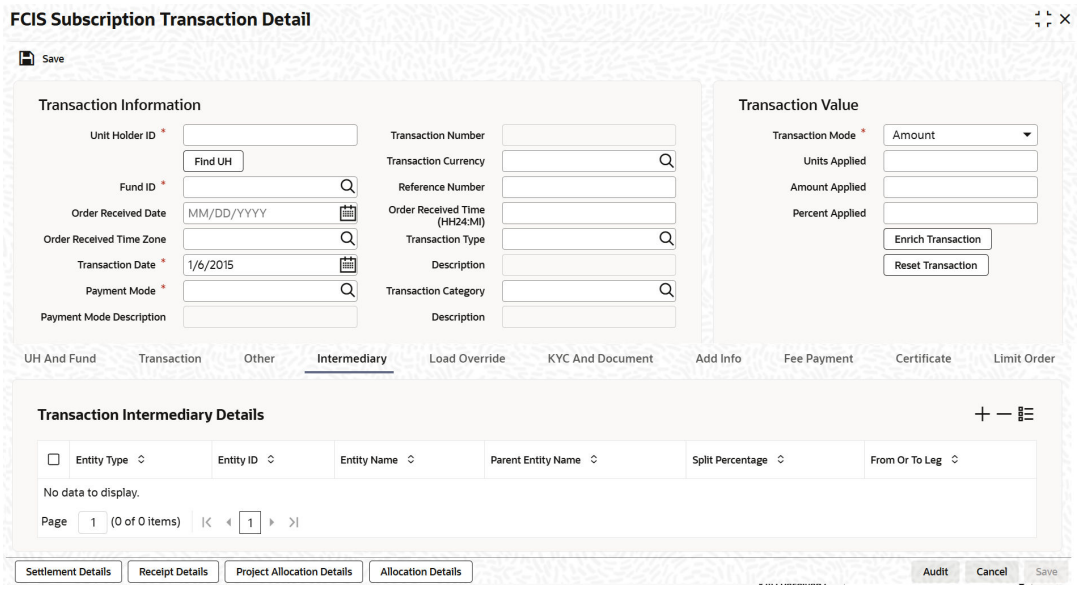
This topic explains the Intermediary tab of **FCIS Subscription Transaction Detail**.

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

1. On the **FCIS Subscription Transaction Detail** screen, click on **Intermediary** tab to enter the details.

   The **Intermediary** details are displayed.

Figure 3-28 FCIS Subscription Transaction Detail - Intermediary



2. On **Intermediary Tab**, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-40 Intermediary - Field Description

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the entity type that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Optional* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Display* When you select the broker code, the name of the broker is displayed.
Parent Entity Name	*Display* When you select the broker code, the name of the parent broker for the selected broker is displayed.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Optional* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

3.8.6 Load Override Tab

This topic explains the Load Override tab of **FCIS Subscription Transaction Detail**.

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

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

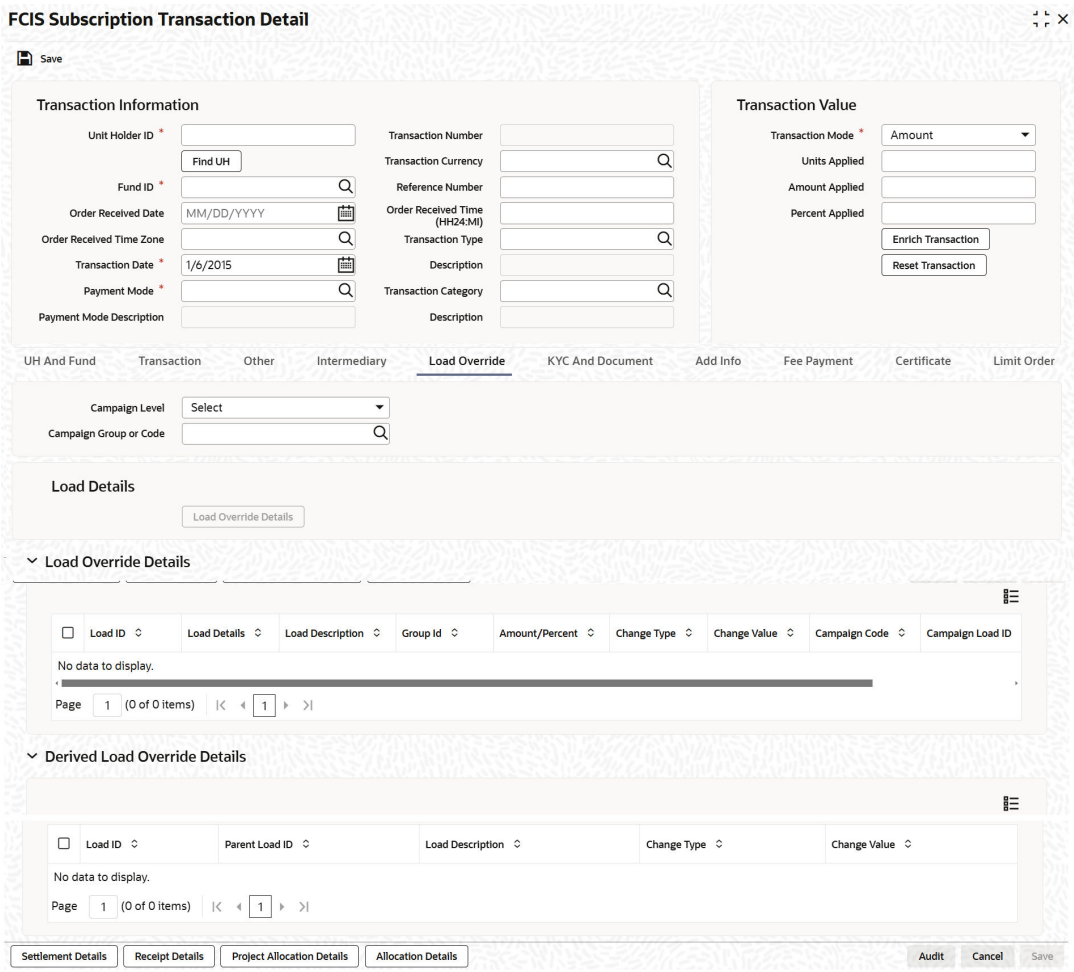
If you click **Load Override Details** button, the system defaults the load details.

If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

1. On the **FCIS Subscription Transaction Detail** screen, click on **Load Override** tab to enter the details.

   The **Load Override** details are displayed.

Figure 3-29 FCIS Subscription Transaction Detail - Load Override



2. On **Load Override** screen, specify the fields.

   For more information on fields, refer to the below field description.Table 3-14

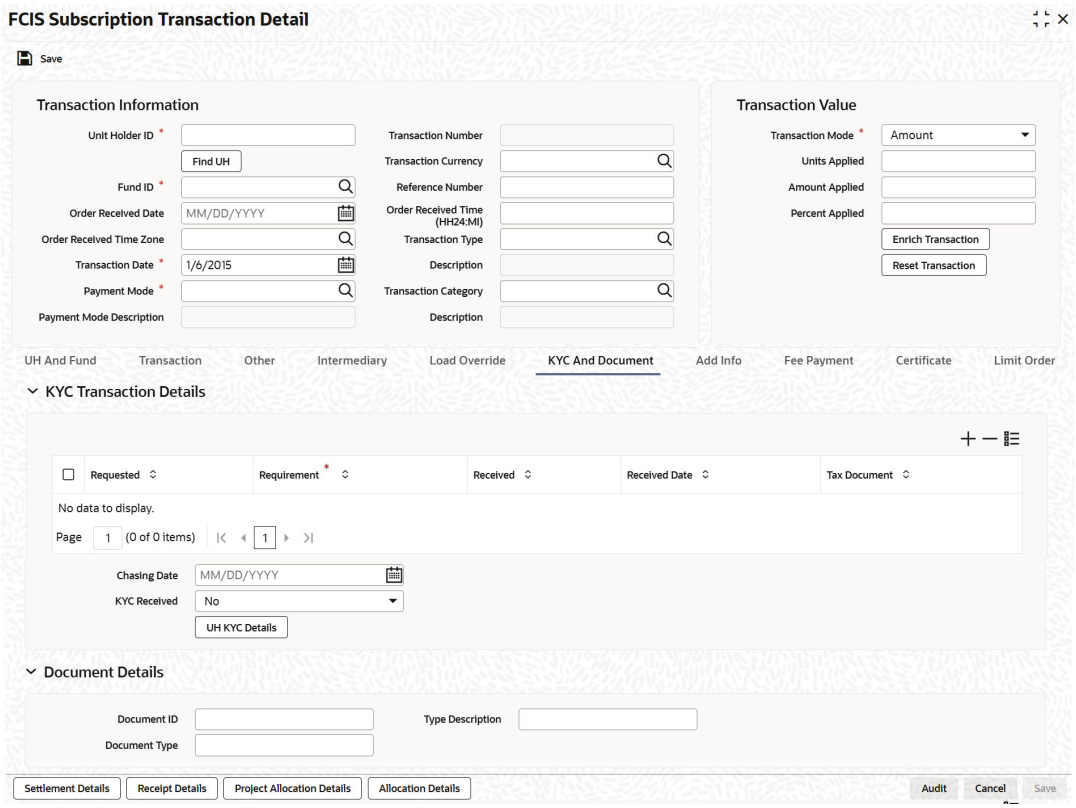
3.8.7 KYC and Document Tab

This topic explains the KYC and Document tab of **FCIS Subscription Transaction Detail**.

1. On the **FCIS Subscription Transaction Detail** screen, click on **KYC and Document** tab to enter the details.

   The **KYC and Document** details are displayed.

Figure 3-30 FCIS Subscription Transaction Detail - KYC and Document



2. On **KYC and Document** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-41 KYC and Document - Field Description

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are **requested**.
Requirement	*Alphanumeric; 255 Characters; Mandatory* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.

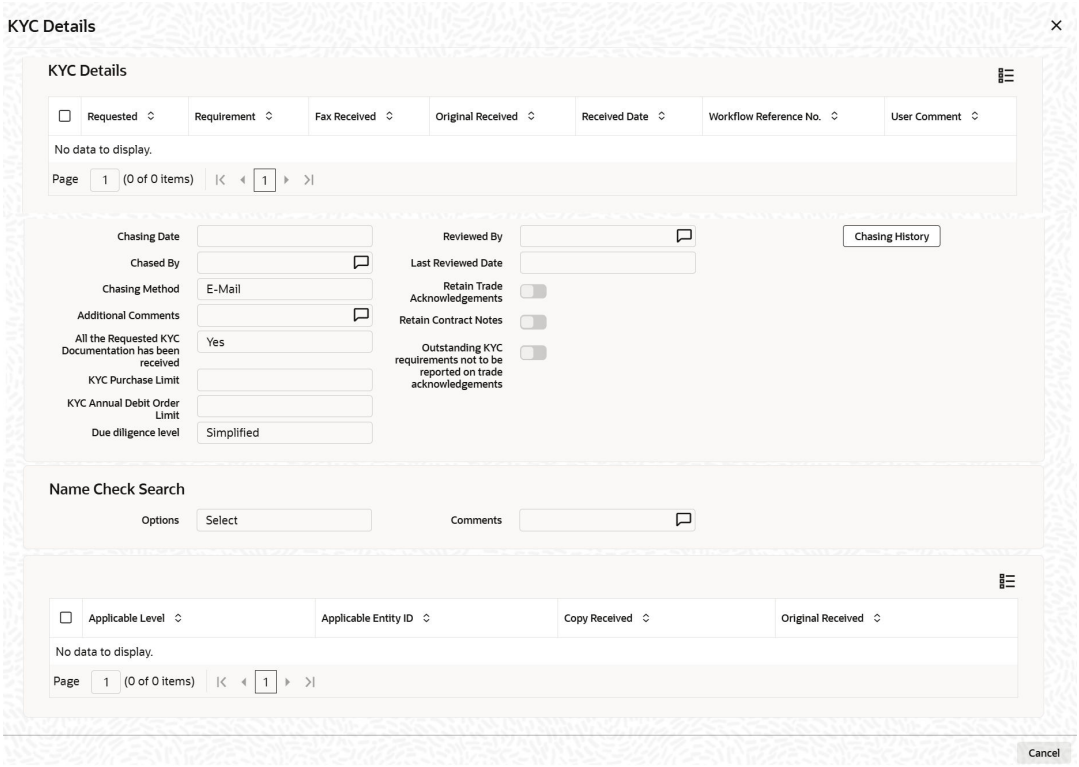
Table 3-41 (Cont.) KYC and Document - Field Description

Fields	Description
Tax Document	*Optional* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.
KYC Received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Document Details	The section displays the following fields.
Document ID	*Alphanumeric; 25 Characters; Optional* Specify the document ID.
Document Type	*Alphanumeric; 4 Characters; Optional* Specify the document type.
Type Description	*Alphanumeric; 255 Characters; Optional* Specify the description for the type of document. If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax ID, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC. The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements. **Note:** If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

3. Click on **UH KYC Details**. The system displays all the KYC details available for the UH.

   The **KYC Details** screen is displayed.

Figure 3-31 KYC Details



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

If any KYC document is received then it can be marked at transaction KYC detail as **Received**. However, you should update the UH maintenance screen for the KYC documents received.

If the KYC received at transaction level is **Yes** with some KYC documents and all KYC received at UH level is **No**, then the system will display a warning message as `Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete` during save of the transaction.

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

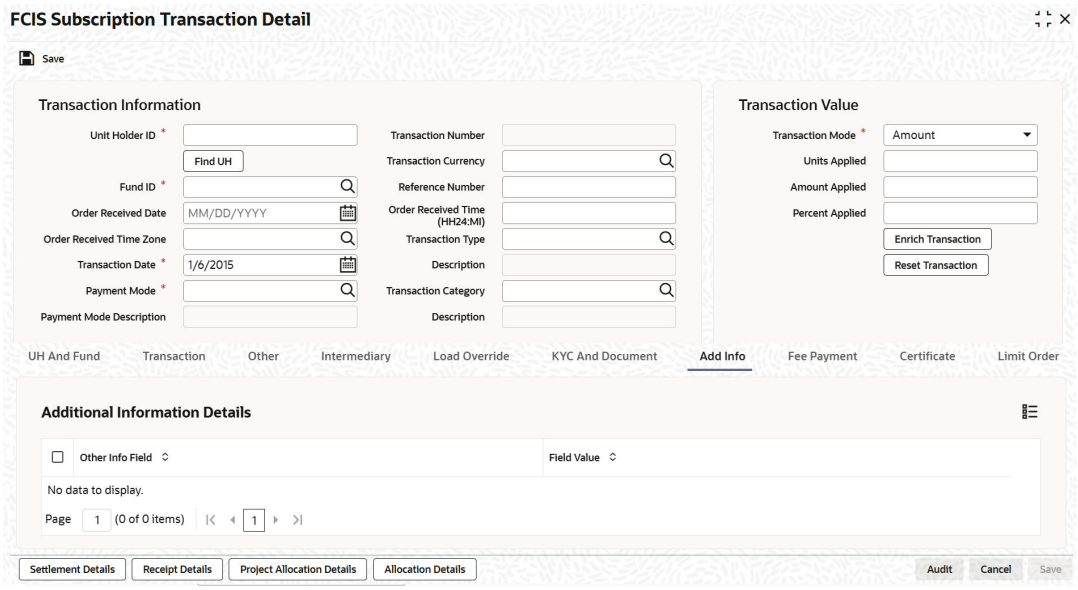
3.8.8 Add Info Tab

This topic provides the detailed information about the add info tab in **FCIS subscription Transaction detail** screen.

1. Click on **Add Info** tab in the **FCIS Subscription Transaction Detail** screen.

   The **Add Info** screen is displayed.

Figure 3-32 FCIS Subscription Transaction Detail - Add Info



2. On **Add Info** screen, specify the fields.

   For more information on fields, refer the below table.

Table 3-42 FCIS Subscription Transaction Detail - Add Info Tab

Fields	Description
Other Info Field	*Display* You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.
Field Value	*Alphanumeric; 60 Characters; Optional* The system displays the field value.

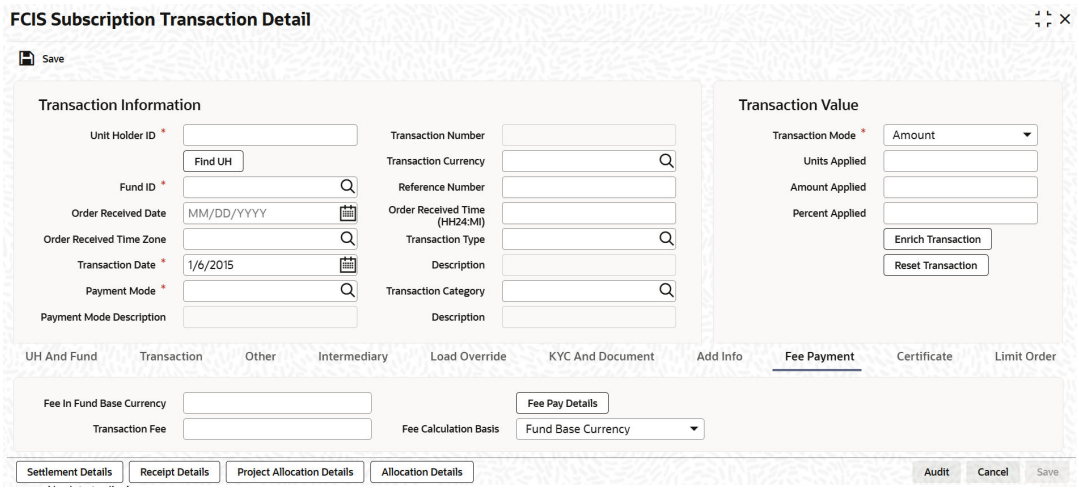
3.8.9 Fee Payment Tab

This topic provides the detailed information about the fee payment tab in **FCIS subscription Transaction** detail screen.

1. Click on **Fee Payment** tab in the **FCIS Subscription Transaction Detail** screen.

   The **Fee Payment** screen is displayed.

Figure 3-33 FCIS Subscription Transaction Detail - Fee Payment



2. On **Fee Payment** screen, specify the fields.

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

   For more information on fields in the screen, refer the below table.

Table 3-43 FCIS Subscription Transaction Detail - Fee Payment Tab

Fields	Description
Fee in Fund Base Currency	*Numeric; 30 Characters; Optional* Specify the **fee in fund base currency** details.
Transaction Fee	*Numeric; 30 Characters; Optional* Specify the transaction fee. If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.
Fee Calculation Basis	*Optional* Select the fee calculation basis from the drop-down list. The list displays the following values: • **Fund Base Currency** • **Transaction Currency** Click **Fee Pay Details** button to specify fee payment details.
Transaction Fee	*Numeric; 30 Characters; Optional* Specify the transaction fee.
Payment Mode	*Optional* Select the payment mode from the drop-down list. The list displays the following values: • **Cheque** • **Transfer** • **Draft** • **Card**
Bank	*Alphanumeric; 12 Characters; Optional* Specify the bank details.
Branch	*Alphanumeric; 20 Characters; Optional* Specify the branch code.

Table 3-43 (Cont.) FCIS Subscription Transaction Detail - Fee Payment Tab

Fields	Description
Cheque Number	*Alphanumeric; 16 Characters; Optional* Specify the cheque number.
Cheque Date	*Date Format; Optional* Specify the cheque date.
Transfer Branch	*Alphanumeric; 12 Characters; Optional* Specify the transfer branch details. Alternatively, you can select the transfer branch details from the option list. The list displays all valid branch code maintained in the system.
Account Type	*Optional* Select the type of account from the drop-down list. The list displays the following values: • **Current Account** • **Fixed Account** • **Loan Account** • **Mortgage Account** • **Overdraft Account** • **PF Account** • **Recurring Account** • **Savings Account** • **Sweeping Account**
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
Clearing Date	*Date Format; Optional* Specify the clearing date.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the name of the account holder.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.

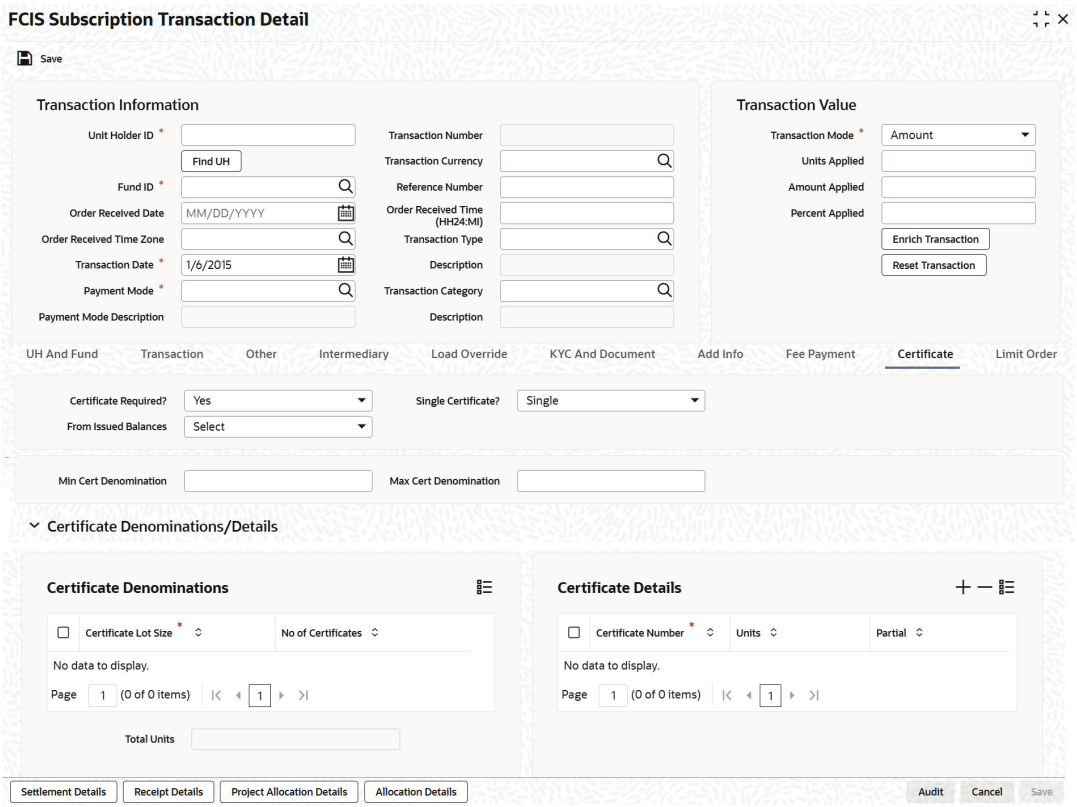
3.8.10 Certificate Tab

This topic provides the detailed information about the certificate tab in **FCIS Subscription Transaction Detail** screen.

1. Click on the **Certificate** in the **FCIS Subscription Transaction Detail** screen.

   The **Certificate** screen is displayed.

Figure 3-34 FCIS Subscription Transaction Detail - Certificate



2. On **Certificate** screen, specify the fields.

   For more information on fields in the screen, refer the below table.

Table 3-44 FCIS Subscription Transaction Detail - Certificate Tab

Fields	Description
Certificate Required?	*Optional* Select if certificate required or not from the drop-down list. The list displays the following values: • **Yes** • **No** If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose **Yes** in the Certificate Required field.
Single Certificate?	*Optional* Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here. If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.

Table 3-44 (Cont.) FCIS Subscription Transaction Detail - Certificate Tab

Fields	Description
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both**
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **minimum certificate denomination** details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **maximum certificate denomination** details.

Table 3-45 FCIS Subscription Transaction Detail - Certificate Denominations

Fields	Description
Certificate Lot Size	*Display* The system displays the **certificate lot size** details.
No of Certificates	*Display* The system displays the **number of certificates**.

Table 3-46 FCIS Subscription Transaction Detail - Certificate Details

Fields	Description
Certificate Number	*Numeric; 10 Characters; Optional* Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.
Units	*Numeric; 27 Characters; Optional* Specify the units details.
Partial	*Optional* Check this box if partial details to be selected.

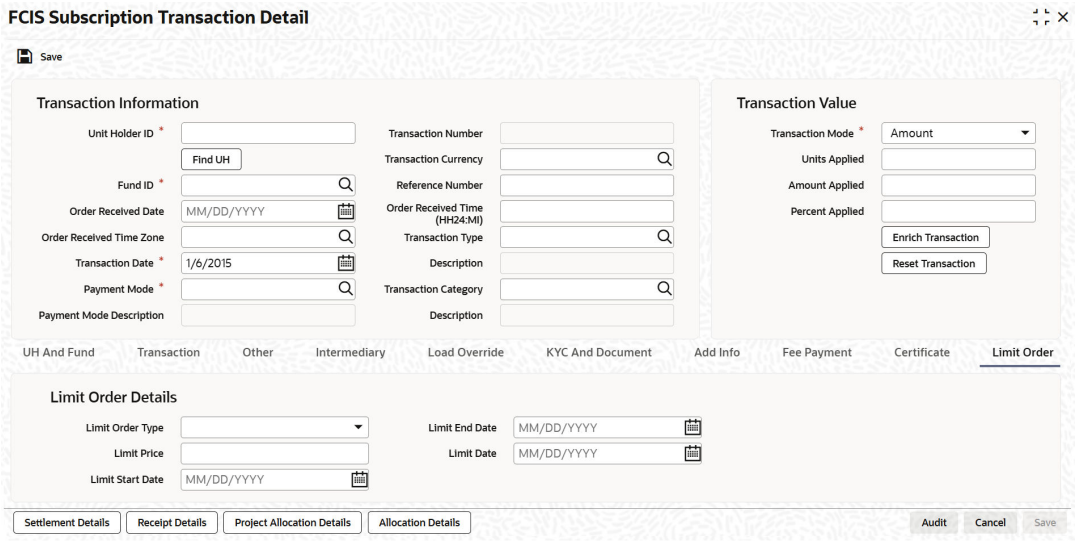
3.8.11 Limit Order Tab

This topic provides the information about the limit order tab in **FCIS Subscription Transaction Detail** screen.

1. Click on **Limit Order** tab in the **FCIS Subscription Transaction Detail** screen.

   The **Limit Order** screen is displayed.

Figure 3-35 FCIS Subscription Transaction Detail - Limit Order



2. On **Limit Order** screen, specify the fields.

   For more information on fields in the screen, refer the below table.

Table 3-47 FCIS Subscription Transaction Detail - Limit Order Tab

Field	Description
Limit Order Details	Select the **Limit Order for Subscription** (buy) option in the Type of Transaction field. The Limit Order section is enabled.
Limit Order Type	*Optional* Select **Price Based** in the Limit Order Type field. The options available in the drop-down are as follows: • **Price-Based** • **Date Based**
Limit Price	*Numeric; 9 Characters; Optional* Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).
Limit Start and End Date	*Date Format; Optional* Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.
Limit Date	*Date Format; Optional* To set up a date-based limit order, specify the following details in the Limit Order section: • Select **Date Based** in the Limit Order Type field. • Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

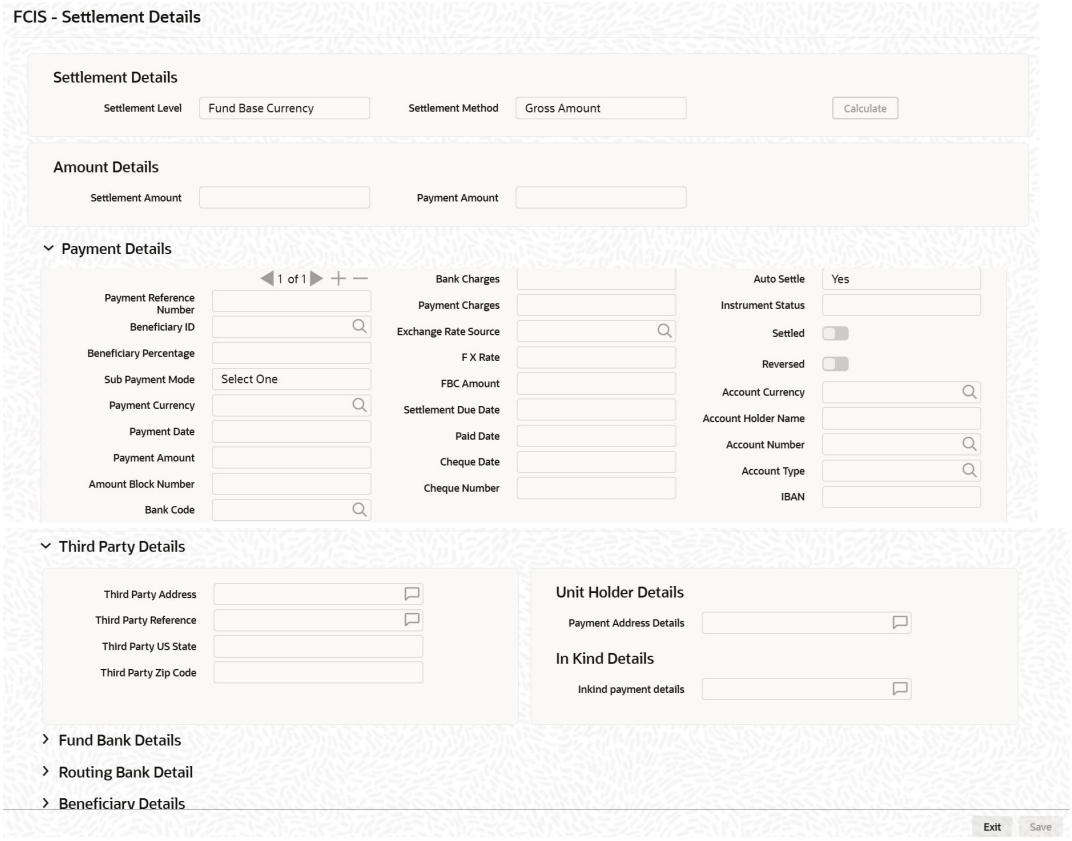
3.8.12 Settlement Details Button

This topic explains settlement details button in **FCIS Subscription Transaction Details** screen.

1. Click the **Settlement Details** button in the **FCIS Subscription Transaction Detail** screen.

The **Settlement Details** screen is displayed.

Figure 3-36 FCIS Subscription Transaction Detail - Settlement Details



2. On **Settlement Details** screen, specify the fields.

   For further details on fields, refer to the topic *Settlement Details Button* in *Process FCIS IPO Subscription Detail* screen.

- Process Multi Transactions
  This topic provides information about processing multi transactions details.

3.8.12.1 Process Multi Transactions

This topic provides information about processing multi transactions details.

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

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

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note:

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the **FCIS Bulk Transaction** screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
- On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.
- System will allow user to settle a particular trade from payment tab of subscription.
- If trade is settled from the subscription screen (UTDTXN02) after the settlement date, system will display a warning message ‘Trade is Settled After Settlement Due Date’.
- If trade is cleared from the clearing screen post settlement date, system will not display warning message.
- If Settlement Due Date is given in any format of process that is upload/front-end/ gateway/REST/SWIFT will be considered as user overridden settlement Due Date.
- For Pre-Settled Trade Funds, System will derive the settlement due date as Price Date minus due lag and in case settlement due date falls on a holiday, system will be move to next payment currency working day and rule AFTER will be applied.

Error Messages for Settlement Details

Table 3-48 Error Messages for Settlement Details

Validation	Type	Error code	Error Message
When user tries to settle a transaction after settlement due date, system will raise an error	W	W-SETTLEMENTDUEDATE	Trade is Settled after Settlement Due Date

3.8.13 Receipt Detail Button

This topic provides the information on receipt details button in FCIS Subscription Transaction Detail screen.

Receipt details does not support subscription transaction.

3.8.14 Project Allocation Details Button

This topic provides the information about the project allocation details button in FCIS Subscription Transaction Detail screen.

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

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

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

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

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

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

- The Net amount in fund base currency
- The Settlement Amount in Price Currency
- The Linked units
- The Unit Balance

The following Load Details are displayed during the allocation:

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

The following Performance Fee Details are displayed during the allocation:

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

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

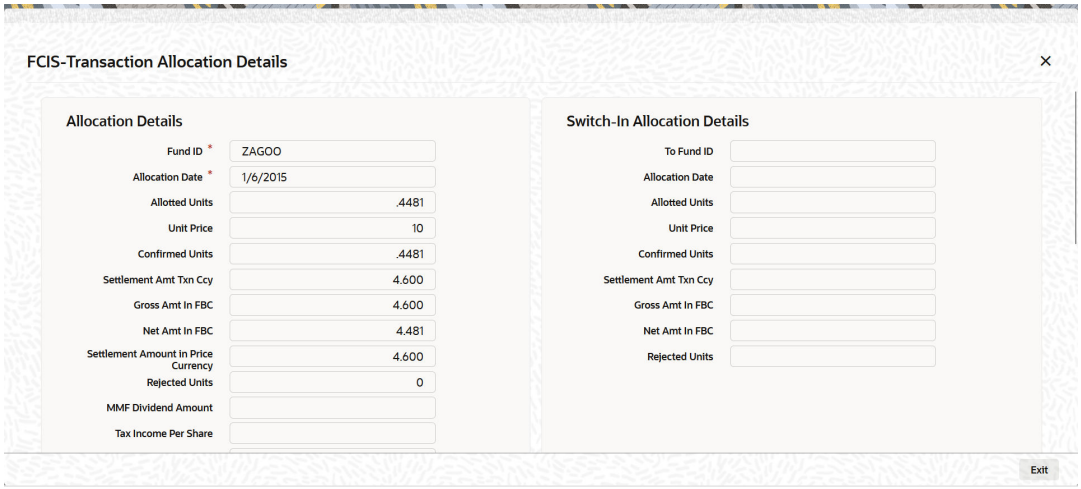
3.8.15 FCIS - Transaction Allocation Details

This topic provides the instructions to start **FCIS Subscription Transaction Detail** screen using allocation details button

1. Click on **Allocation Details** button to enter the details.

   The **FCIS - Transaction Allocation Details** screen is displayed.

Figure 3-37 FCIS - Transaction Allocation Details



2. On **Allocation Details**, specify the fields.

For more information on fields in the screen, refer the below table.

Table 3-49 FCIS Transaction Allocation Details

Field	Description
Allocation Details	The following **Allocation details** are displayed: • Fund ID • Allocation Date • Allotted Units • Unit Price • Confirmed Units • Settlement Amount Transaction Currency • Gross Amount in FBC • Net Amount in FBC • Settlement Amount in Price Currency • Rejected Units • MMF Dividend Amount • Tax Income Per Share • EUSD Gain
Switch-In Allocation Details	The following **Switch-in allocation details** are displayed: • To Fund ID • Allocation Date • Allotted Units • Unit Price • Confirmed Units • Settlement Amount Transaction Currency • Gross Amount in FBC • Net Amount in FBC • Rejected Units
Load Details	The following **Load Details** are displayed during the allocation: • Fund ID • Load ID • Load Description • From Entity Type • To Entity Type • From Entity • To Entity • Load Amount • Load Amount in Fee Currency
Performance Fee Details	The following **Performance Fee Details** are displayed during the allocation: • Link Transaction Number • In Out Flag • Element Identification • Element Description • Value

Table 3-49 (Cont.) FCIS Transaction Allocation Details

Field	Description
Transaction Component Details	The following **Transaction Component Details** are displayed during the allocation: • Offer Price • Share Capital • Fund Capital • Switch In Bid Price • To Fund Capital • Bid Price • Income • Share Premium • Switch In Offer Price
CGT Deduction Details	The following CGT Deduction Details are displayed during the allocation: • Unit Holder/ Joint Unit Holder ID • Unit Holder/ Joint Unit Holder Name • Tax Amount

3.8.16 Save the Transaction

This topic provides information on saving transaction details in **FCIS Subscription Transaction Detail** screen.

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

The system will validate the following if CPMF is applicable for the fund involved in the transaction:

- Transaction amount should be greater than the minimum amount for CPMF
- Mode of payment is Money transfer
- The subscription is Gross-Amount based
- Only one bank account is maintained in the payment details.
- The account type of the transfer account is an eligible account type
- In case **Credit on Outflow** is **No**, and if there is any redemption linked to this subscription before credit date (barring any interim taxation), crediting will not happen.
- CPMF percentage and Lag cannot be modified for System generated authorized transactions.
- In Subscription screen, If Lag basis is **Trigger based**, Lag will be defaulted to **-1** and cannot be changed. If Lag basis is **Transaction date**, lag will be 0.

> **Note:**
>
> If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.
>
> If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session time out. This is applicable for both online and gateway users.

- View Balance Holdings of a Unit Holder
  This topic provides information about viewing balance holdings of a unit holder screen.

3.8.16.1 View Balance Holdings of a Unit Holder

This topic provides information about viewing balance holdings of a unit holder screen.

You can view the available fund balance details of a unit holder. For this, click the **View Balance** button in the **FCIS Subscription Transaction Detail** screen. The **Investor Fund Balance Summary** screen is displayed in view mode displaying the unit holder fund balance details.

3.8.17 Transaction Processing Logic for Currency of Expression Funds

This topic provides information about transaction processing logic for currency of expression funds details.

The system defaults the **UH Currency of Expression (UHCOE)** in the **Transaction Currency** field, if available, during transaction capture based on UH and fund combination.

If there is no **UH Currency of Expression (UHCOE)** maintained in **UTDUHCOE**, then FBC will be defaulted in the **Transaction Currency** field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (**UTDUHCOE**). The defaulted currency of expression in the UHCOE maintenance will be as system user.

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

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

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

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

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

- FX Logic
  This topic provides the information about the FX Logic details.
- Process Unit Holder Currency of Expression
  This topic provides information about processing unit holder currency of expression details.
- Process Fund Price Maintenance
  This topic provides information about processing fund price maintenance details.
- NAV Correction Impact for Fund Price Currencies
  This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.
- Currency of Expression Logic Applied During Transactions
  This topic provides the information about currency of expression logic applied during transactions.
- System Logic to Derive the Price Currency
  This topic provides information about system logic to derive the price currency details.
- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.
- FX Logic
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- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

3.8.17.1 FX Logic

This topic provides the information about the FX Logic details.

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

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

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

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

> **Note:**
>
> The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

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

3.8.17.2 Process Unit Holder Currency of Expression

This topic provides information about processing unit holder currency of expression details.

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

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

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

3.8.17.3 Process Fund Price Maintenance

This topic provides information about processing fund price maintenance details.

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

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

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

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

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

3.8.17.4 NAV Correction Impact for Fund Price Currencies

This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.

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

3.8.17.5 Currency of Expression Logic Applied During Transactions

This topic provides the information about currency of expression logic applied during transactions.

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

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the

fund base currency will be defaulted as the unit holder's currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

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

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

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

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

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

UHCOE = FPC and TBC ≠ UHCOE

> **Note:**
>
> The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UHCOE will be defaulted as Transaction currency.

3.8.17.6 System Logic to Derive the Price Currency

This topic provides information about system logic to derive the price currency details.

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between

Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

3.8.17.7 Switch Logic for Currency of Expression

This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

3.9 FCIS Subscription Transaction Summary

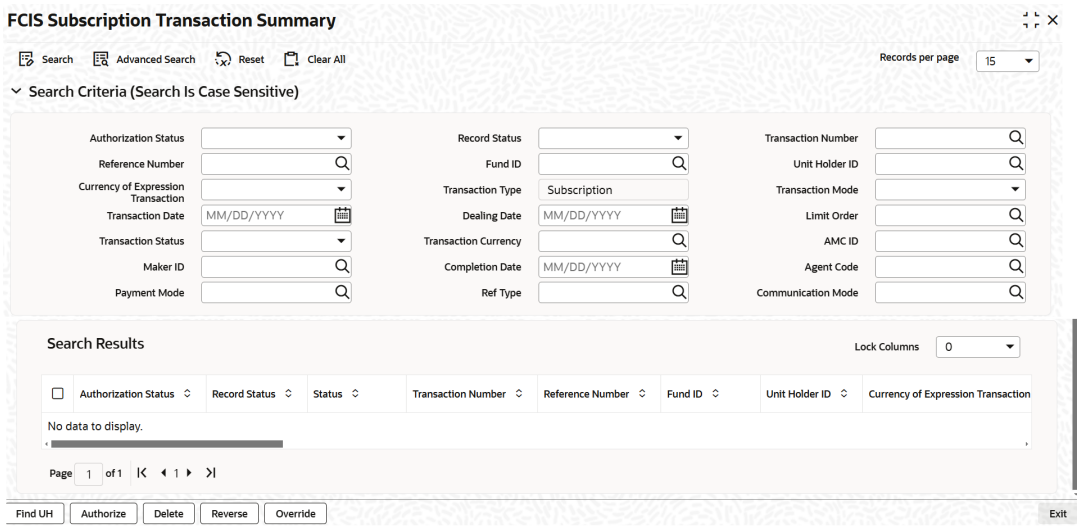
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve FCIS Subscription Transaction Record

1. On **Home** screen, type **UTSTXN02/UTSTRA02** in the text box and click **Next**.

   The **FCIS Subscription Transaction Summary** screen is displayed.

Figure 3-38 FCIS Subscription Transaction Summary



2. On **FCIS Subscription Transaction Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Currency of Expression Transaction**

- **Transaction Mode**
- **Dealing Date**
- **Transaction Status**
- **AMC ID**
- **Completion Date**
- **Payment Mode**
- **Communication Mode**
- **Reference Number**
- **Unit Holder ID**
- **Transaction Type**
- **Transaction Date**
- **Limit Order**
- **Transaction Currency**
- **Maker ID**
- **Agent Code**
- **Ref Type**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

   You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:

   - Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- Edit FCIS Subscription Transaction Record
  This topic provides the systematic instructions to edit FCIS Subscription Transaction record.
- View FCIS Subscription Transaction Record
  This topic provides the systematic instructions to view FCIS Subscription Transaction record.
- Delete FCIS Subscription Transaction Record
  This topic provides the systematic instructions to delete FCIS Subscription Transaction record.
- Authorize FCIS Subscription Transaction Record
  This topic provides the systematic instructions to authorize FCIS Subscription Transaction record.
- Amend FCIS Subscription Transaction Record
  This topic provides the systematic instructions to amend FCIS Subscription Transaction record.
- Authorize Amended FCIS Subscription Transaction Record
  This topic provides the systematic instructions to authorize amended FCIS Subscription Transaction record.

3.9.1 Edit FCIS Subscription Transaction Record

This topic provides the systematic instructions to edit FCIS Subscription Transaction record.

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

1. Start the **FCIS Subscription Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Subscription Transaction Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

The **FCIS Subscription Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Subscription Transaction Summary** screen.

3.9.2 View FCIS Subscription Transaction Record

This topic provides the systematic instructions to view FCIS Subscription Transaction record.

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

1. Start the **FCIS Subscription Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Subscription Transaction Detail** screen is displayed.

3.9.3 Delete FCIS Subscription Transaction Record

This topic provides the systematic instructions to delete FCIS Subscription Transaction record.

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

1. Start the **FCIS Subscription Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Subscription Transaction Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.9.4 Authorize FCIS Subscription Transaction Record

This topic provides the systematic instructions to authorize FCIS Subscription Transaction record.

An unauthorized FCIS Subscription Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Subscription Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Subscription Transaction Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.9.5 Amend FCIS Subscription Transaction Record

This topic provides the systematic instructions to amend FCIS Subscription Transaction record.

After a FCIS Subscription Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Subscription Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Subscription Transaction Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.9.6 Authorize Amended FCIS Subscription Transaction Record

This topic provides the systematic instructions to authorize amended FCIS Subscription Transaction record.

1. An amended FCIS Subscription Transaction Record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

3.10 Cancel Transaction Detail

This topic provides the systematic instructions to enter a transfer transaction request into the system.

This topic contains the following sub-topics:

- Process FCIS Cancel Transaction Detail
  This topic provides the systematic instructions to enter a cancellation request.

3.10.1 Process FCIS Cancel Transaction Detail

This topic provides the systematic instructions to enter a cancellation request.

An initial purchase (subscription) transaction entered into by an investor can be cancelled at the investor's request, through a Cancel operation, provided the cancellation period specified for the fund has not elapsed.

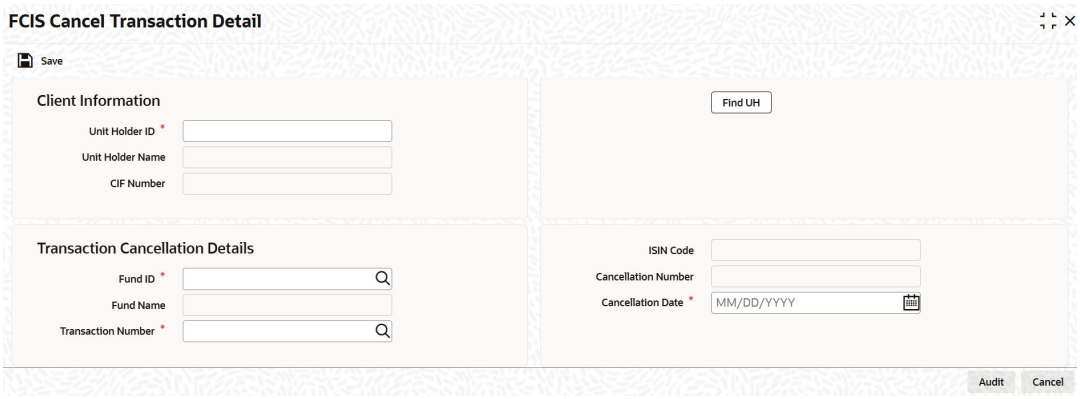
When a cancellation is processed, a redemption transaction that annuls the original subscription transaction is generated. Upon successful processing of the cancel operation, the subscription amount refunded.

Cancellation is possible only for subscription transactions.

1. On **Home** screen, type **UTDCNTXN** in the text box and click **Next**.

   The **FCIS Cancel Transaction Detail** screen is displayed.

Figure 3-39 FCIS Cancel Transaction Detail



2. On **FCIS Cancel Transaction Detail** screen, click **New** to enter the details.

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

Table 3-50 FCIS Cancel Transaction Detail - Field Description

Field	Description
Client Information	The section displays the following fields.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested for a cancellation. You can query for unit holder ID by clicking **Find UH** button.
Unit Holder Name	*Display* The system displays the name of the selected unit holder ID.
CIF Number	*Display* The system displays the CIF number for the selected unit holder ID.
Transaction Cancellation Details	The section displays the following fields.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund in which the subscription was entered, for which a cancellation is being sought.

Table 3-50 (Cont.) FCIS Cancel Transaction Detail - Field Description

Field	Description
Fund Name	*Display* The system displays the name of the fund for the selected fund ID.
ISIN Code	*Display* The system displays the ISIN code for the selected fund ID.
Transaction Number	*Alphanumeric; 16 Characters; Mandatory* Specify the transaction number of the subscription transaction being cancelled.
Cancellation Number	*Display* The system displays the cancellation number.
Cancellation Date	*Date Format; Mandatory* Select the cancellation date from the adjoining calendar. The cancellation date, which is deemed to be the current date. It must fall within the cancellation period for the fund. The system checks to see that the transaction being cancelled is an initial purchase, and that the unit holder has no holdings in the fund at the time of cancellation; also, that the cancellation date is within the cancellation period for the fund. If any of these checks fail, an override is sought.

- Processing Cancellations
  This topic provides information about processing cancellations in the **FCIS Cancel Transaction Detail** screen.

3.10.1.1 Processing Cancellations

This topic provides information about processing cancellations in the **FCIS Cancel Transaction Detail** screen.

Cancellations are processed as follows:

- The cancellation is processed based on the fund-level cancellation parameters, as follows:
  - The price basis for the cancellation depends on the **Cancellation Price Basis** defined in the fund rules.
  - The fund load mapping for cancellation would have been set up similar to the loads applicable for the initial subscription, with entity types reversed.
- Upon authorization, the cancellation creates an underlying redemption transaction with transaction date as the cancellation date and units equal to the original allotted units of the subscription transaction.
- Upon authorization of the cancellation, the original subscription cannot be amended or reversed. Also, the original subscription cannot be reversed or aged against any other redemption.
- The cancellation transaction is a sub type of redemption transaction.
- The Administration fee for cancellation is captured as a transaction time fee.
- If the original transaction has already been redeemed out, the System records an error.
- If the original transaction has not been settled (that is, there are provisional units), there is no payout due to the generated redemption, which is generated as confirmed and paid.
- The load amount for the redemption is the sum of loads due to refund of the original load amounts.

- Allocation of the cancellation age out the original units allotted. The settlement amount after this allocation is the market value of cancellation.
- Market value of cancellation is taken to be:

Units allotted * NAV / Bid / Offer price + Front end load on original purchase

- The cancellation amount (settlement amount) due to the transaction is determined as shown below:

Table 3-51 Case details

Case	Description
Market Value more than or equal to original investment amount	Market value less than original investment amount Consideration of original Subscription price as cancellation price during allocation
Cancellation amount is equal to the orignal investment amount In case of a price increase, the difference between the cancellation amount and original investment amount is accounted to the fund.	Cancellation amount is equal to the Market Value. In this case, the difference between the cancellation amount and the original investment amount is **Due to Fund Manager**.

3.11 FCIS Cancel Transaction Summary

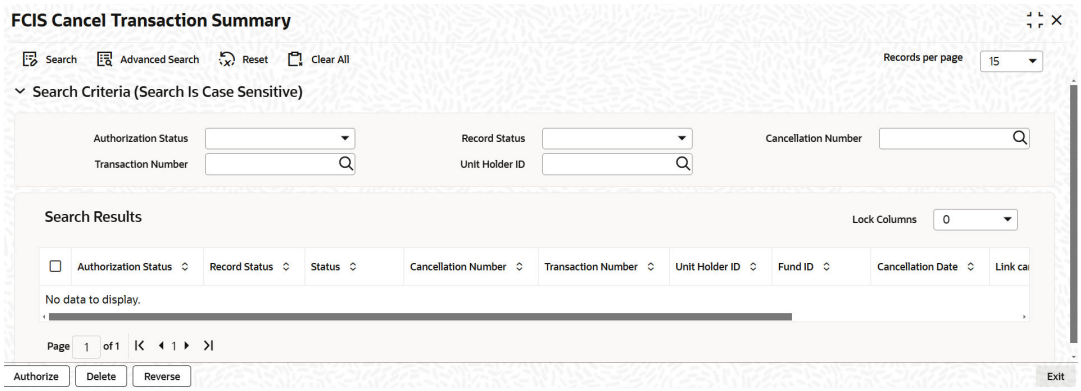
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve FCIS Cancel Transaction Record

1. On **Home** screen, type **UTSCNTXN** in the text box and click **Next**.

   The **FCIS Cancel Transaction Summary** screen is displayed.

Figure 3-40 FCIS Cancel Transaction Summary



2. On **FCIS Cancel Transaction Summary** 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**

- **Transaction Number**
- **Cancellation Number**
- **Unit Holder ID**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

- Edit FCIS Cancel Transaction Record
  This topic provides the systematic instructions to edit FCIS Cancel Transaction record.
- View FCIS Cancel Transaction Record
  This topic provides the systematic instructions to view FCIS Cancel Transaction record.
- Delete FCIS Cancel Transaction Record
  This topic provides the systematic instructions to delete FCIS Cancel Transaction record.
- Authorize FCIS Cancel Transaction Record
  This topic provides the systematic instructions to authorize FCIS Cancel Transaction record.
- Amend FCIS Cancel Transaction Record
  This topic provides the systematic instructions to amend FCIS Cancel Transaction record.
- Authorize Amended FCIS Cancel Transaction Record
  This topic provides the systematic instructions to authorize amended FCIS Cancel Transaction record.

3.11.1 Edit FCIS Cancel Transaction Record

This topic provides the systematic instructions to edit FCIS Cancel Transaction record.

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

1. Start the **FCIS Cancel Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Cancel Transaction Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **FCIS Cancel Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Cancel Transaction Summary** screen.

3.11.2 View FCIS Cancel Transaction Record

This topic provides the systematic instructions to view FCIS Cancel Transaction record.

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

1. Start the **FCIS Cancel Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Cancel Transaction Detail** screen is displayed.

3.11.3 Delete FCIS Cancel Transaction Record

This topic provides the systematic instructions to delete FCIS Cancel Transaction record.

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

1. Start the **FCIS Cancel Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Cancel Transaction Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

3.11.4 Authorize FCIS Cancel Transaction Record

This topic provides the systematic instructions to authorize FCIS Cancel Transaction record.

An unauthorized FCIS Cancel Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Cancel Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Cancel Transaction Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.11.5 Amend FCIS Cancel Transaction Record

This topic provides the systematic instructions to amend FCIS Cancel Transaction record.

After a FCIS Cancel Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Cancel Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Cancel Transaction Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.11.6 Authorize Amended FCIS Cancel Transaction Record

This topic provides the systematic instructions to authorize amended FCIS Cancel Transaction record.

1. An amended FCIS Cancel Transaction Record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

3.12 Redemption Transaction Detail

This topic provides information on Redemption Transaction Detail.

This topic contains the following sub-topics:

- Process FCIS Redemption Transaction Detail Screen
  This topic provides the systematic instructions to to enter a transfer transaction request into the system.
- UH and Fund Tab
  This task topic provides information about the UH and fund tab details in **FCIS Redemption Transaction Detail** screen.
- Transaction Tab
  This task topic provides detailed information about the transaction tab in **FCIS Redemption Transaction** details.
- Other Tab
  This task topic provides information about other tab details of **FCIS Redemption Transaction Detail** screen.
- Intermediary Tab
  This task topic provides detailed information about intermediary tab in **FCIS redemption Transaction detail** screen.
- Load Override Tab
  This topic provides detailed information about load override tab in **FCIS Redemption Transaction Detail** screen.
- KYC and Document
  This topic provides detailed information about KYC and document tab in **FCIS Redemption Transaction Detail** screen.
- FCIS Redemption Transaction Detail - Add Info Tab
  This task topic provides detailed information about add info tab in **FCIS Redemption Transaction Detail** screen.
- Fee Payment Tab
  This topic provides detailed information about fee payment tab in **FCIS Redemption Transaction Detail** screen.
- Certificate Tab
  This topic provides detailed information about certificate tab in **FCIS Redemption Transaction Detail** screen.
- Limit Order Tab
  This topic provides detailed information about limit order tab in **FCIS Redemption Transaction Detail** screen.
- Settlement Details Button
  This topic provides the systematic instructions to process the **Settlement Details** screen.
- FCIS Redemption Transaction Detail - Receipt Detail Button
  This task topic provides information about receipt detail button in **FCIS redemption Transaction Detail** screen.
- FCIS Redemption Transaction - Project Allocation Details Button
  This topic provides information about project allocation details button in **FCIS Redemption Transaction** screen.

- FCIS - Transaction Allocation Details
  This task topic provides information about allocation details button in **FCIS Redemption Transaction Details** screen.
- View Balance Button
  This topic provides information about to view the fund balance in the transaction screen.
- Save Transaction
  This topic provides instructions to save transaction details in **FCIS Redemption Transaction Detail**.
- Transaction Processing Logic for Currency of Expression Funds
  This topic provides information about transaction processing logic for currency of expression funds details.

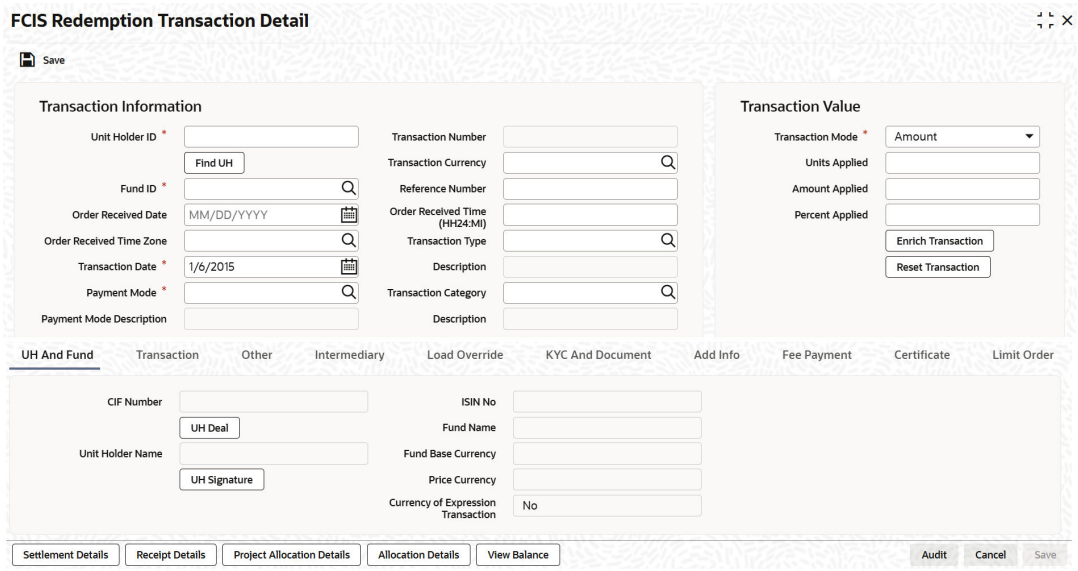
3.12.1 Process FCIS Redemption Transaction Detail Screen

This topic provides the systematic instructions to to enter a transfer transaction request into the system.

1. On **Home** screen, type **UTDTXN03/ UTDTRA03** in the text box and click **Next**.

   The **FCIS Redemption Transaction Detail** screen is displayed.

Figure 3-41 FCIS Redemption Transaction Detail



2. On **FCIS Redemption Transaction Detail** screen, Click **New** to enter the details.

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

Table 3-52 FCIS Redemption Transaction Detail - Transaction Information

Fields	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system. You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules. **Note:** When you change the unit holder, time zone will get reset accordingly with a warning message **I-TZDEFAULT**. Click **Find UH** button to open **Unit Holder Find Options** screen. You can get the Unit holder details by entering the required values in that screen.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Order Received Date	*Date Format; Optional* Specify the order received date. **Note:** Order Received Date will not be defaulted for system generated transactions.
Order Received Time Zone	*Optional* Specify the order received Time Zone. Alternatively, you can select it from the option list. The list displays all Time Zones maintained in the system. **Note:** • System should allow the user to map service location in the Service Location Maintenance screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured. • If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone. • If the Default Time Zone value is null, then the system will display an error message. • Order Received Time zone will not be defaulted for system generated transactions.
Transaction Date	*Date Format; Mandatory* Specify the transaction date. Refer to the topic Derive Transaction Date to derive the transaction date based on the order received date, order received time zone and order received time and its explanation with examples.
Payment Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the mode of payment.

Table 3-52 (Cont.) FCIS Redemption Transaction Detail - Transaction Information

Fields	Description
Payment Mode Description	*Display* The system displays the description for the mode of payment selected.
Transaction Number	*Display* The system displays the transaction number.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.
Order Received Time (HH24:MI)	*Time Format; Optional* Specify the order received time. **Note:** Order Received Time will not be defaulted for system generated transactions.
Transaction Type	*Alphanumeric; 1 Character; Optional* Select the transaction type. In case for a particular transaction type restriction is **Not Applicable**, then the system will display an error message as `STOPACCOUNT is issued for Transaction Type to this Unit Holder.`
Description	*Display* The system displays the description for the selected Transaction type.
Transaction Category	*Alphanumeric; 1 Character; Optional* Specify the type of transaction. Alternatively, you can select transaction category from the option list. The list displays all valid transaction category code maintained in the system.
Description	*Display* The system displays the description for the selected transaction category.

Table 3-53 FCIS Redemption Transaction Detail - Transaction Value

Fields	Description
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Amount** • **Units** • **Percent**

Table 3-53 (Cont.) FCIS Redemption Transaction Detail - Transaction Value

Fields	Description
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Amount Applied	*Numeric; 27 Characters; Optional* Specify the amount applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Amount**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Percent Applied	*Numeric; 27 Characters; Optional* Specify the percent applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Percent**. Else, while clicking **Enrich Transaction** button, the system will display an error message.

3. Click the **Enrich Transaction** button after entering all details in the **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in the **UH and Fund** section.

4. Click the **Enrich Transaction** button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

   On click of **Enrich Transaction** button, all the header fields will be disabled.

5. Click the **Reset Transaction** to reset the entire transaction during transaction input, modification and amendment.

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

6. You need to click the **Reset Transaction** button for any modification/amendment in any of the primary field including Fund ID or Transaction Date.

   Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

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

- Derive Transaction Date
  This topic provides the instructions to derive the **Transaction Date**.
- Modification and Amendment of the transaction
  This topic provides information on modification and amendment of the transaction.
- Derive the Order Received Date and Time
  This topic provides the instructions to derive the Order Received Date and Time.

3.12.1.1 Derive Transaction Date

This topic provides the instructions to derive the **Transaction Date**.

Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order received time breaches the fund cutoff, then transaction date arrives to next business date.

It is better understood by the below example:

Table 3-54 Example on Fund details

Fund Details	Case 1	Case 2	Case 3
Fund ID	FNSGP1	-	-
Fund Time Zone	SGT	-	-
Fund Cut Off	17:30	-	-
Module Default Time Zone	HKT	-	-
Time Zone	UKT	HKT	SGT
GMT+	00:00:00	08:00:00	08:00:00

Table 3-55 Example on Order Received details before and after Cut Off time

Order Received within Cut off time	Order Received within Cut off time	Order Received Post Cut off time	Order Received Post Cut off time
Fund ID	FNSGP1	Fund ID	FNSGP1
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15

Table 3-56 Examples on Transaction Date Derivation

Transaction Details	Transaction Date Derivation
Notice Period	5 days
Trade Cut Off Applicable	No
Calendar basis	Actual
Transaction Type	02

Table 3-57 Example of Transaction Date Derivation based on Captured Transaction Date

Capture Transaction Date	Application Date	Cut Off	Transaction Date/ Override Transaction Date	ORD	ORT	Derived Transaction Date
Pre-Settle Trade	07-Jan- 2015	12:00	07-Jan- 2015	07-Jan-2015	15:00	12-Jan- 2015

Table 3-57 (Cont.) Example of Transaction Date Derivation based on Captured Transaction Date

Capture Transaction Date	Application Date	Cut Off	Transaction Date/ Override Transaction Date	ORD	ORT	Derived Transaction Date
Future Date	07-Jan- 2015	12:00	09-Jan- 2015	07-Jan-2015	15:00	09-Jan- 2015
Back Date	07-Jan- 2015	12:00	06-Jan- 2015	07-Jan-2015	15:00	06-Jan- 2015
Application Date	07-Jan- 2015	12:00	07-Jan- 2015	-	-	07-Jan- 2015

Note:

- For the Pre-settled trade, system will arrive at the transaction date as Order Received Date + Notice period for the transaction.
- If ORT is after fund cut-off then, cut-off will be ignored and system will simply take ORD + NOTICE PERIOD to arrive at transaction date.
- If transaction date is overridden, system will derive the new settlement due date based on new price date.
- If derived transaction date is holiday, then next working date will be considered as transaction date.
- System generated transaction will not be considered for deriving transaction date and settlement due date for pre-settled funds.

3.12.1.2 Modification and Amendment of the transaction

This topic provides information on modification and amendment of the transaction.

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

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied

- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

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

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

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

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

System generated transactions like Dividend, Corporate Actions, NAV corrections, Standing Instruction etc., will not consider notice period and due lag maintained for pre-settled funds.

Dates for transaction pertaining to pre-settle trade fund received via external system such as upload, GW, RS and SWIFT will be as provided in the upload file/request received. Based on the transaction date, price date and settlement due date will be driven.

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

3.12.1.3 Derive the Order Received Date and Time

This topic provides the instructions to derive the Order Received Date and Time.

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

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

Table 3-58 Fund cut off details

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

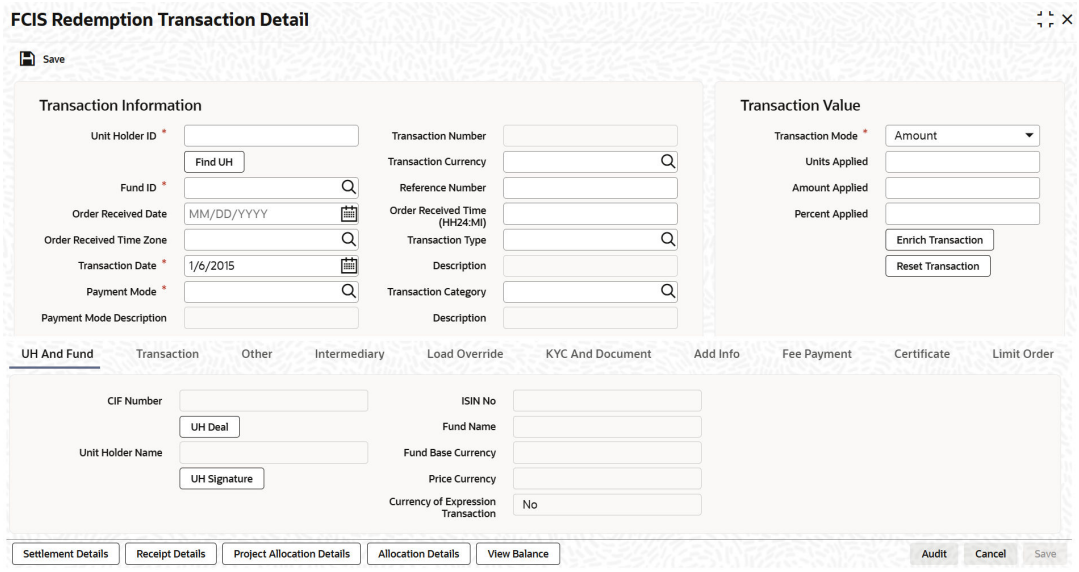
3.12.2 UH and Fund Tab

This task topic provides information about the UH and fund tab details in **FCIS Redemption Transaction Detail** screen.

1. Click **UH and Fund** in **FCIS Redemption Transaction Detail** screen.

   The **UH and Fund** screen is displayed.

Figure 3-42 FCIS Redemption Transaction Detail



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

   By Clicking on Enrich transaction button information is defaulted in the UH and fund section. If the selected investor is eligible for tax-exemption, select the tax product in which the investor wishes to purchase units, in the Product ID field. When you select the product, you are indicating to the system that this transaction will affect the used up amount of the nontaxable limit set up for the selected unit holder in the Non-Tax Limits Setup options.

   The system displays the following values:

   - **ISIN No**
   - **Fund Name**

- **Fund Base Currency**
- **Price Currency**
- **Currency of Expression Transaction**

3.12.3 Transaction Tab

This task topic provides detailed information about the transaction tab in **FCIS Redemption Transaction** details.

1. Click on **Transaction** tab in the **Redemption Transaction** screen.

   The **Transaction** screen is displayed.
   For more information on fields in the screen, refer the below table.

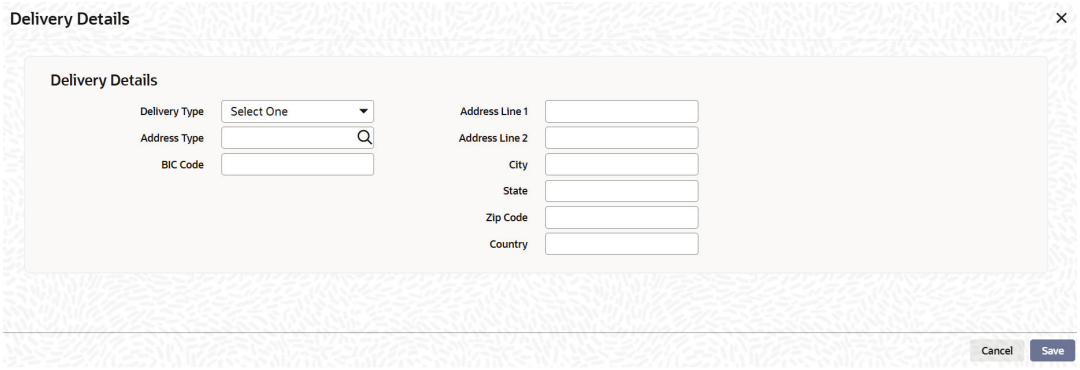
Table 3-59 FCIS Redemption Transaction Detail - Transaction Tab

Field	Description
Gross or Net	*Optional* Select the net value exclusive of the loads from the drop-down list. The list displays the following values: • Gross • Net
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.
Delivery Option	*Optional* Select the delivery option from the drop-down list. The list displays the following values: • **Investment Account** • **Clearing Account - Against Payment** • **Clearing Account - Free of Payment** • **Delivery to Custodian** • **Physical Delivery** • **PUEV**

2. Click **Details**.

   The **Delivery Details** window is displayed.

Figure 3-43 Transaction - Delivery Details



For more information on fields in the screen, refer the below table.

Table 3-60 Delivery Details

Field	Description
Delivery Type	*Optional* Select the type of delivery from the drop-down list. Following are the options available: • **Self** • **Third Party**
Address Type	*Alphanumeric; 2 Characters; Optional* Specify the type of address. Alternatively, you can select address type ID from the option list. The list displays all valid address maintained in the system.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the BIC code
Address Line 1-2	*Alphanumeric; 105 Characters; Optional* Specify the residing address of the customer.
City	*Alphanumeric; 80 Characters; Optional* Specify the residing city code
State	*Alphanumeric; 80 Characters; Optional* Specify the name of the residing state.
Zip Code	*Alphanumeric; 10 Characters; Optional* Specify the zip code of the residing area.
Country	*Alphanumeric; 3 Characters; Optional* Specify the residing country code.

Table 3-61 Exchange Rate Details

Field	Description
Source ID	*Alphanumeric; 6 Characters; Mandatory* Specify the source ID. Alternatively, you can select source ID from the option list. The list displays all valid source ID maintained in the system. **Note:** Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Amount Applied	*Display* The system displays the amount applied details.
FX Deal Date	*Date Format; Optional* Specify the FX deal date.
Exchange Rate Applied	*Display* The system displays the exchange rate applied details.
Override Exchange Rate?	*Optional* Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values; • **Yes** • **No**
FX Value Date	*Date Format; Optional* Specify the FX value date.

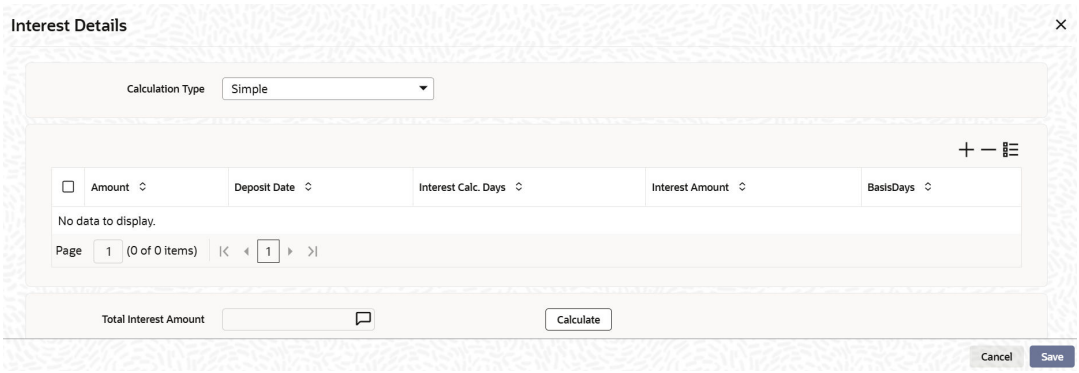
Table 3-62 Interest Details

Field	Description
Interest	*Alphanumeric; 30 Characters; Optional* Specify the interest details.
Interest (FBC)	*Display* The system displays the fund base currency interest details.

3. Click **Details**.

   The **Interest Details** window is displayed.

Figure 3-44 Transaction - Interest Details



For further details on this screen, refer **Transaction Tab** sub section in IPO Subscription Detail section of this user manual.

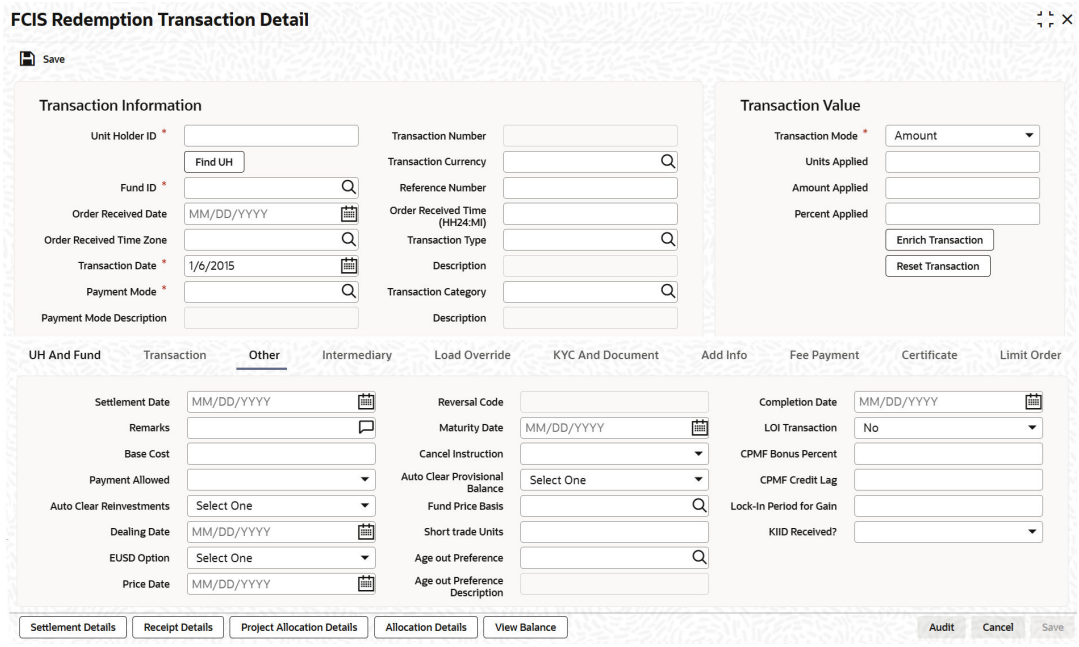
3.12.4 Other Tab

This task topic provides information about other tab details of **FCIS Redemption Transaction Detail** screen.

- Click on **Other** tab in the **FCIS Redemption Transaction Detail** screen.

  The **Other** screen is displayed.

Figure 3-45 FCIS Redemption Transaction Detail - Other



For more information on fields in the screen, refer the below table.

Table 3-63 FCIS Redemption Transaction Detail - Other Tab

Field	Description
Settlement Date	*Date Format; Optional* Specify the settlement date.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Base Cost	*Numeric; 6 Characters; Optional* Specify the base cost details.
Payment Allowed	*Optional* Select if payment allowed is or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Auto Clear Reinvestments	*Optional* Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values: • **Yes** • **No**

Table 3-63 (Cont.) FCIS Redemption Transaction Detail - Other Tab

Field	Description
Dealing Date	*Date Format; Optional* Specify the dealing date. By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance. Refer the chapter **Other Fund Activities** in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund
EUSD Option	*Optional* Select the EUSD option from the drop-down list. The list displays the following values; • **With Holding Tax** • **Exchange of Information** • **Tax Exemption Certificate**
Price Date	*Date Format; Optional* The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section **Defaulting of Price Dates in the Transaction** Screens in this chapter. You can modify this field. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.
Reversal Code	*Display* The system displays the reversal code. This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.
Maturity Date	*Date Format; Optional* If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility. **Note:** In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

Table 3-63 (Cont.) FCIS Redemption Transaction Detail - Other Tab

Field	Description
Cancel Instruction	*Optional* Select the cancel instruction from the drop-down list. The list displays the following values: • Standing Instructions You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the **Standing Instruction** option in this field to indicate cancellation of standing instructions. If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the **Cancel Instruction** option automatically set. If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day. **Note:** Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to **Standing Instruction**, would re-instate the standing instructions.
Auto Clear Provisional Balance	*Optional* Select **Yes** option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is **Percent** and the transaction value is **100**.
Fund Price Basis	*Alphanumeric; 6 Characters; Optional* Specify the fund price basis details. Alternatively, you can select fund price basis details from the option list. The list displays all valid fund price basis maintained in the system.
Short Trade Units	*Numeric; 27 Characters; Optional* Specify short trade units. If the unit holder is nominee account, only then system will allow you to capture the short trade units. Applicable short trade units will be taken for applying penalty. If short trade units is not entered, then the transaction allocation will follow the normal allocation process.

Table 3-63 (Cont.) FCIS Redemption Transaction Detail - Other Tab

Field	Description
Age out Preference	*Alphanumeric; 1 Character; Optional* Specify the age out preference from which we need to preferably redeem the units during outflow and is applicable for Redemption, Switch and Transfer screens. Alternatively, you can select age out preference from the option list. The list displays all valid age out preference code maintained in the system. While saving a Redemption, Switch or Transfer based on **Age out preference** value, the system will check for available balance in particular classification like CDSC or FEL. In case of insufficient unit balance, the system will display an error message. The system will consider unalloted transaction for unit balance check. • In case of an unallotted unit based or percentage based transactions, the unallocated units will be directly identified from the transaction details. • In case of un unalloted amount based transaction, the system will compute the unallotted units as follows: Unallotted units = Amount/ (Latest Available NAV * (1 - Fluctuation %) Fluctuation % is a system level param value that can be maintained in **Parameter Maintenance** screen (UTDPARAM) considering the maximum fluctuation in price that can happen. The system maintains the Param Code as **FLUCTUATIONPERCENT**. If you have not specified **Age out Preference** value for the transaction, then system will save the field as blank and will follow the fund level ageing logic. During actual ageing if there is no sufficient units in respective classification, the system will redeem from available classification based on fund level ageing policy. Based on the **Age out preference** selection, the system will age out the transactions during outflow. If there is no sufficient balance in the respective buckets, then system will age out the transactions from other buckets based on fund rule ageing logic.
Age out Preference Description	*Display* The system displays the description for the selected age out preference.
Completion Date	*Date Format; Optional* The date on which the transaction is completed.
LOI Transaction	*Optional* Select the status of LOI transaction from the drop-down list. The list displays the following values: • **Yes** • **No** If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction. This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed. This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

Table 3-63 (Cont.) FCIS Redemption Transaction Detail - Other Tab

Field	Description
CPMF Bonus Percent	*Numeric; 30 Characters; Optional* Specify the percentage of CPMF bonus. By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is **Fixed**, Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section **Maintaining Fund CPMF Preferences** in the Fund Manager module.
CPMF Credit Lag	*Numeric; 4 Characters; Optional* Indicate the lag for the CPMF bonus to be credited.
Lock-in Period for Gain Days	*Numeric, 4 Characters; Optional* The default lock-in period for the funds where IOF/IRRF are applicable is defaulted here. This can however be modified. **Note:** Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.
KIID Received?	*Optional* Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values: • **Yes** • **No** The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the **UCITS Fund** at the Fund level is **Yes** and the UH mapping to the Fund in the **UH KIID Compliance** tab is **NO** then at the transaction level, the system will default the **KIID Complaint** to **No**. If the KIID Received is set to **No**, the system display an error message while saving the transaction as **The Unit holder has not received the KIID**. If the flag is set to **YES** there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level. If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund. The business user can change the KIID Compliant flag at the transaction from **No** to **Yes** and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same. In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

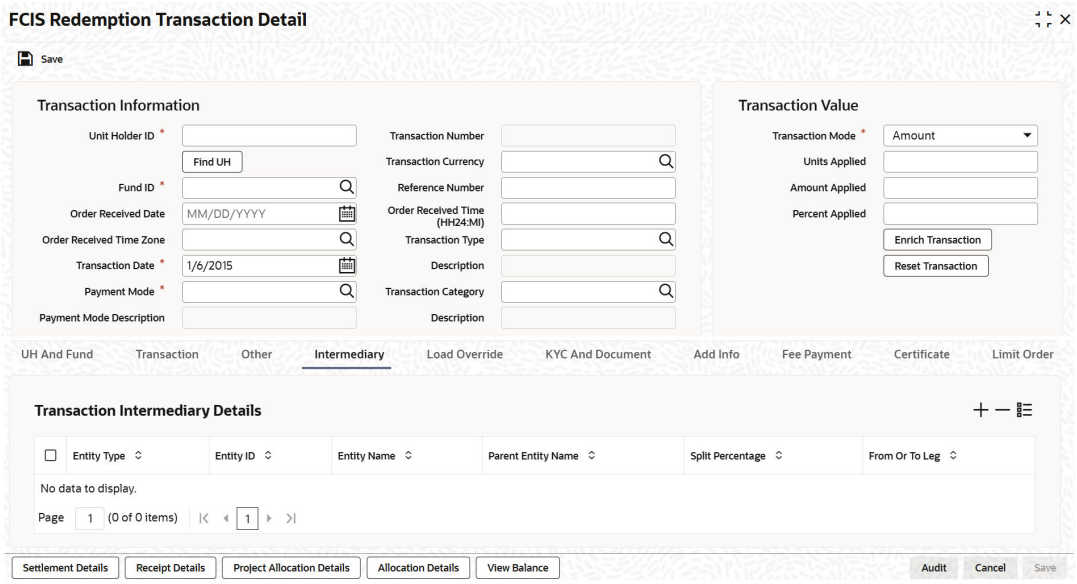
3.12.5 Intermediary Tab

This task topic provides detailed information about intermediary tab in **FCIS redemption Transaction detail** screen.

1. Click on **FCIS Redemption Transaction Detail** screen, click on **Intermediary** tab to enter the details.

The **Intermediary** screen is displayed.

Figure 3-46 FCIS Redemption Transaction Detail - Intermediary



2. On **Add Info** tab, specify the fields.

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

Table 3-64 FCIS Redemption Transaction Detail - Intermediary Tab

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the **entity type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Optional* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Display* When you select the broker code, the name of the broker is displayed.
Parent Entity Name	*Display* When you select the broker code, the name of the parent broker for the selected broker is displayed.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Optional* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

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

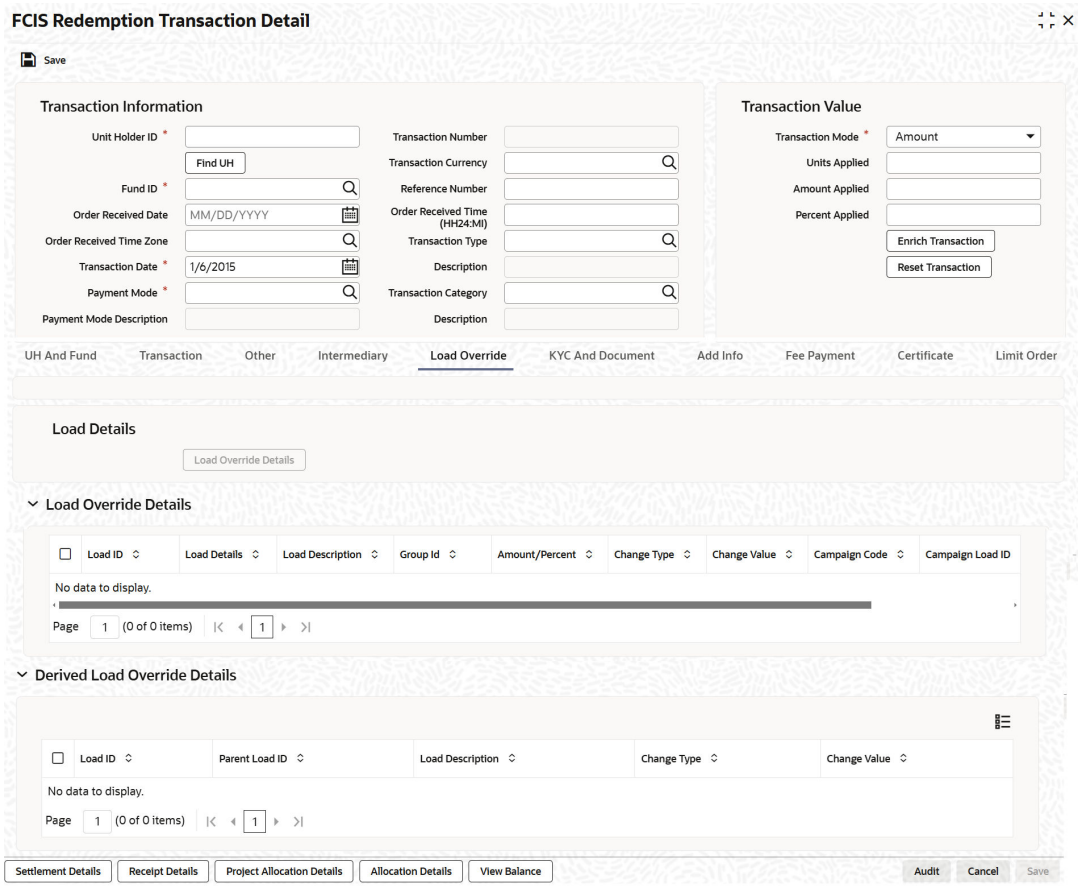
3.12.6 Load Override Tab

This topic provides detailed information about load override tab in **FCIS Redemption Transaction Detail** screen.

1. Click on **FCIS Redemption Transaction Detail** screen, click on **Load Override** tab to enter the details.

   The **Load Override** screen is displayed.

Figure 3-47 FCIS Redemption Transaction Detail - Load Override



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

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

2. On **Load Override** tab, specify the fields.

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

Table 3-65 FCIS Redemption Transaction Detail - Load Override Tab

Fields	Description
Load ID	*Display* The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link. If a derived load has been mapped, it is also displayed here and can be overridden.
Load Details	*Display* The system displays the load details.
Load Description	*Display* The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.
Group ID	*Display* The system displays the group ID.
Amount Percent	*Display* The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The **type** of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads. This value will be validated against the minimum, maximum and step values specified for redemption transactions in the Transaction Processing Rules for the fund. It is also validated against the amount / units limit values maintained for both the communication mode selected for the transaction, and the investor category of the selected unit holder. A warning, which can be overridden, is displayed if the value is not within the limits. If the client country option **NETUNALLOTEDAMT** is set to true for your bank, then the system will match the units to be redeemed with the unit holder's current balance minus the unallotted redemptions (if any). If the transaction value exceeds the balance available, the system will throw up an error message. It will not save the transaction. If the transaction is being put through as a result of a check issued by an investor with the check writing facility, in a fund for which the check writing facility is allowed, the transaction amount that you specify here must fall within the minimum and maximum limits specified for the fund, for check redemption transactions. For transactions by gross amount, a transaction value that exceeds the Minimum Amount for Tax ID that has been specified in the fund rules, the system validates the availability of the PAN Number in the unit holder account profile. If the PAN Number has not been specified in the profile, you must enter a transaction value that does not exceed the Minimum Amount for Tax ID value, or make a change to the unit holder account and specify the PAN Number, and then attempt to input the transaction. If specified in the General Operating Rules for the fund, the End of Day processes perform the minimum holdings validation, by picking up all allocated transactions during the business day and grouping according to CIF-level or unit holder-level, as indicated in the General Operating Rules. During this, the system validates whether the current holdings balance of the investor either equals or exceeds the minimum holdings balance specified in the General Operating Rules.

Table 3-65 (Cont.) FCIS Redemption Transaction Detail - Load Override Tab

Fields	Description
Change type	*Display* When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways: • Discount (reducing the load return value in all the slabs) • Increase (increasing the load return value in all slabs) • Return Value (assigning an altered return value that will be applicable to all the loads)
Change Value	*Display* The system displays the change value details.
Campaign Code	*Display* The system displays the campaign code.
Campaign Load ID	*Display* The system displays the campaign load ID details.
Project Return Value	*Display* The system populates the return value from the load setup. If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed. If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed. You can view the applicable loads and projected return values by clicking **Enrich Transaction** in the transaction screen. The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation. **Note:** For Period based slab load, projected return value will display the return value of the first sequence. However for the detailed slab details, user can use the load details button.

Derived Load Override Details

The system displays the following values:

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

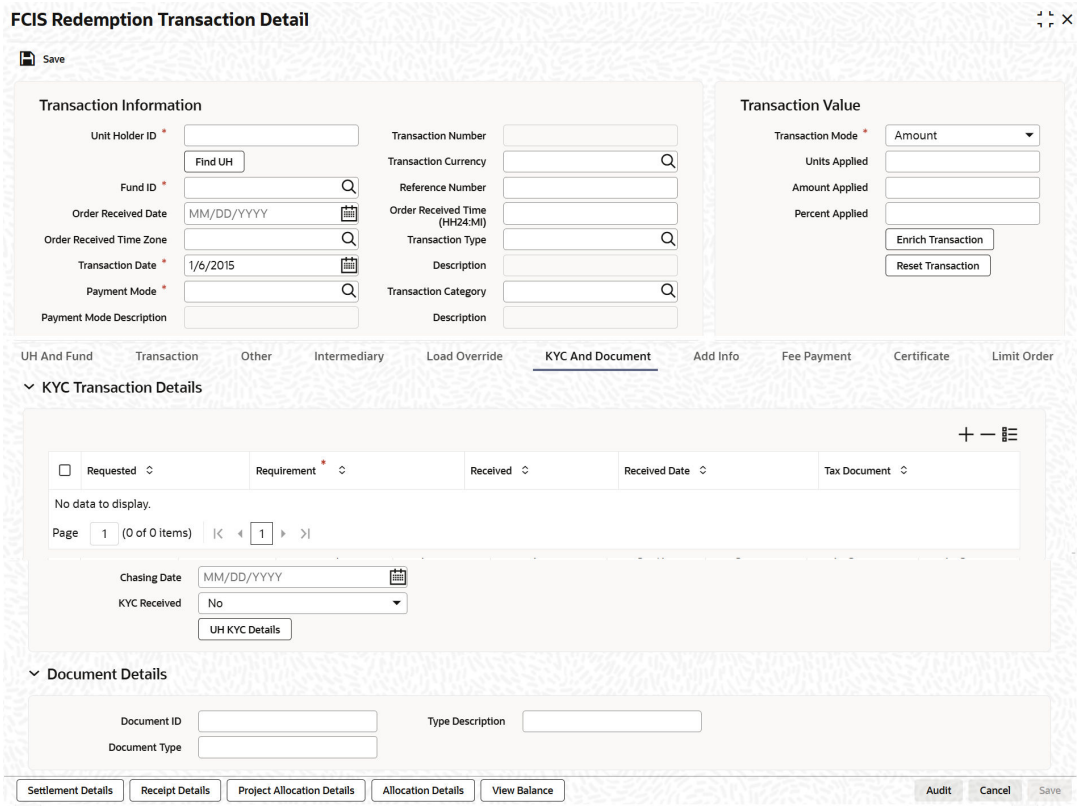
3.12.7 KYC and Document

This topic provides detailed information about KYC and document tab in **FCIS Redemption Transaction Detail** screen.

1. Click on **KYC and Document** tab in the **FCIS Redemption Transaction Detail** screen.

   The **KYC and Document** is displayed.

Figure 3-48 FCIS Redemption Transaction Detail - KYC and Document



For more information on fields in the screen, refer the below table.

Table 3-66 KYC Transaction Details

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are **requested**.
Requirement	*Alphanumeric; 255 Characters; Mandatory* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Optional* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

Table 3-66 (Cont.) KYC Transaction Details

Fields	Description
KYC Received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**

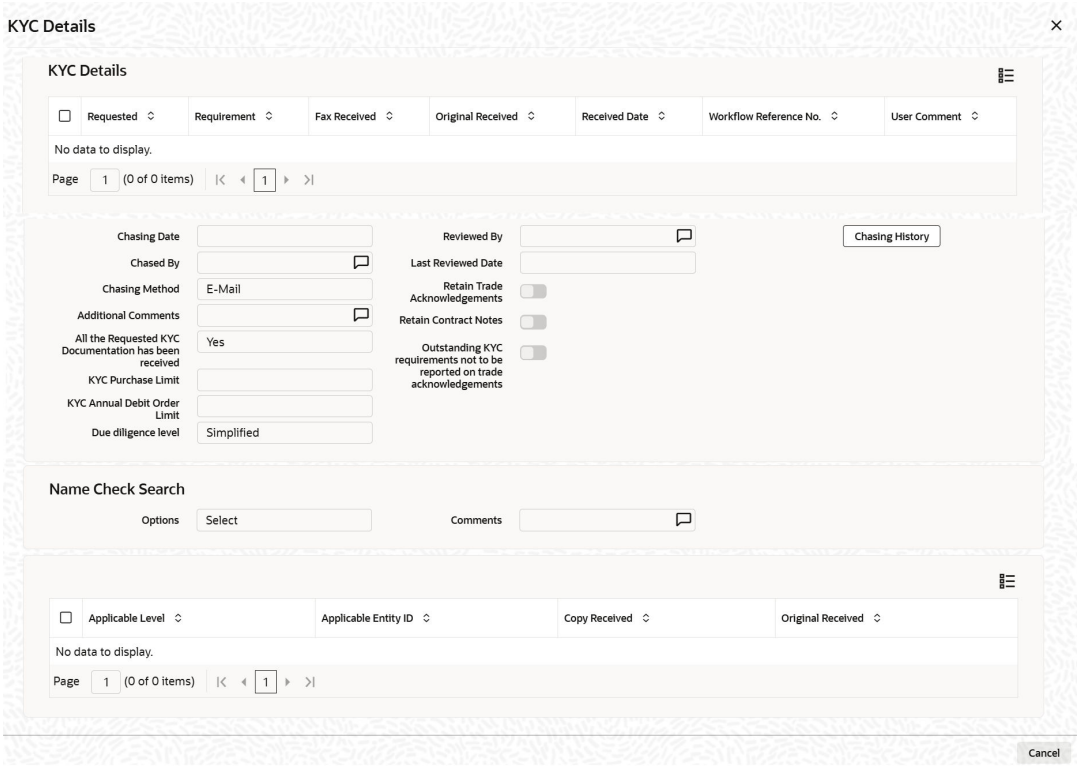
Table 3-67 Document Details

Fields	Description
Document ID	*Alphanumeric; 25 Characters; Optional* Specify the **document ID**.
Document Type	*Alphanumeric; 4 Characters; Optional* Specify the **document type**.
Type Description	*Alphanumeric; 255 Characters; Optional* Specify the description for the type of document. If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax Id, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC. The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements. **Note:** If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

2. Click on **UH KYC Details**.

   The **KYC details** screen is displayed.

Figure 3-49 KYC Details



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

Clicking on **UH KYC Details** button, the system displays all the KYC details available for the UH. If any KYC document is received then it can be marked at transaction KYC detail as **Received**. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is **Yes** with some KYC documents and all KYC received at UH level is **No**, then the system will display a warning message as **Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete** during save of the transaction.

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

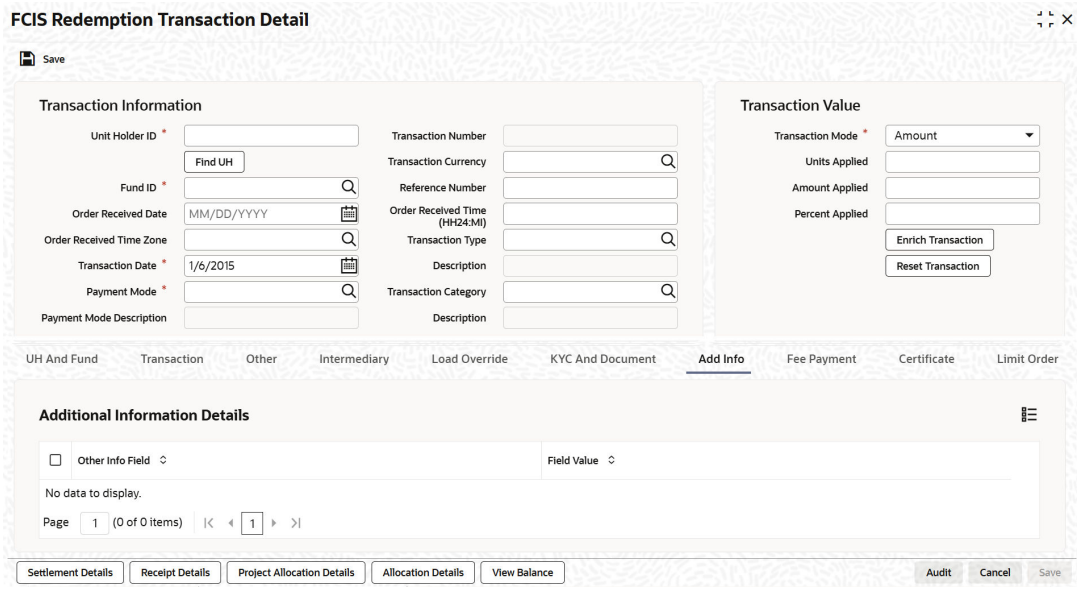
3.12.8 FCIS Redemption Transaction Detail - Add Info Tab

This task topic provides detailed information about add info tab in **FCIS Redemption Transaction Detail** screen.

1. Click on **FCIS Redemption Transaction Detail** screen, click on **Add Info** tab to enter the details.

   The **Add Info** screen is displayed.

Figure 3-50 FCIS Redemption Transaction Detail - Add Info



2. On **Add Info** tab, specify the fields.

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

Table 3-68 FCIS Redemption Transaction Detail - Add Info Tab

Fields	Description
Other Info Field	*Display* The system displays the additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.
Field Value	*Alphanumeric; 60 Characters; Optional* The system displays the field value.

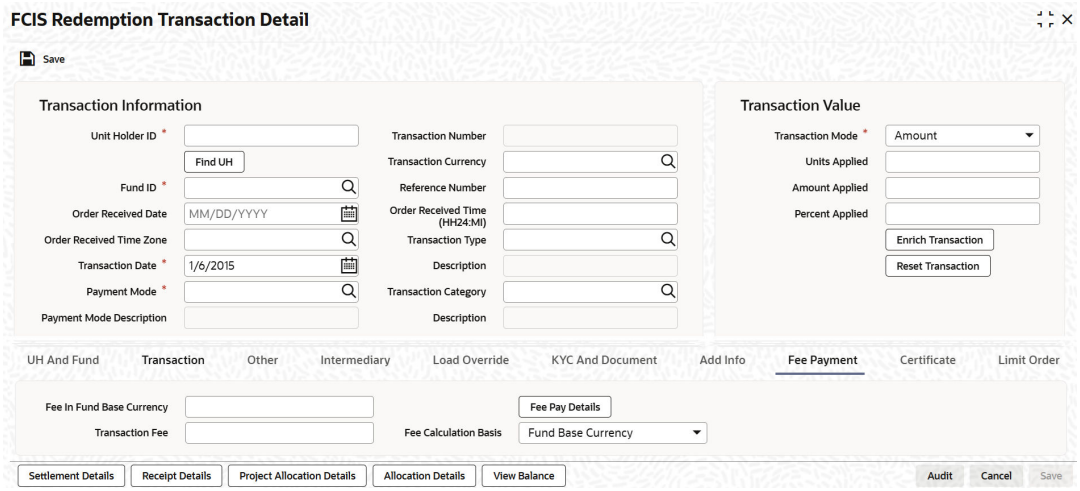
3.12.9 Fee Payment Tab

This topic provides detailed information about fee payment tab in **FCIS Redemption Transaction Detail** screen.

1. Click on **FCIS Redemption Transaction Detail** screen, click on **Fee Payment** tab to enter the details.

   The **Fee Payment** screen is displayed.

Figure 3-51 FCIS Redemption Transaction Detail - Fee Payment



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

2. On **Fee Payment** tab, specify the fields.

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

Table 3-69 FCIS Redemption Transaction Detail - Fee Payment Tab

Fields	Description
Fee in Fund Base Currency	*Numeric; 30 Characters; Optional* Specify the **fee in fund base currency** details.
Transaction Fee	*Numeric; 30 Characters; Optional* Specify the **transaction fee.** If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.
Fee Calculation Basis	*Optional* Select the **fee calculation basis** from the drop-down list. The list displays the following values: • **Fund Base Currency** • **Transaction Currency** Click **Fee Pay Details** button to specify fee payment details
Transaction Fee	*Numeric; 30 Characters; Optional* Specify the **transaction fee.**
Payment Mode	*Optional* Select the **payment mode** from the drop-down list. The list displays the following values: • **Cheque** • **Transfer** • **Draft** • **Card**
Bank	*Alphanumeric; 12 Characters; Optional* Specify the **bank** details.

Table 3-69 (Cont.) FCIS Redemption Transaction Detail - Fee Payment Tab

Fields	Description
Branch	*Alphanumeric; 20 Characters; Optional* Specify the **branch** code.
Cheque Number	*Alphanumeric; 16 Characters; Optional* Specify the **cheque number.**
Cheque Date	*Date Format; Optional* Specify the **cheque date**.
Transfer Branch	*Alphanumeric; 12 Characters; Optional* Specify the **transfer branch** details. Alternatively, you can select the transfer branch details from the option list. The list displays all valid branch code maintained in the system.
Account Type	*Optional* Select the type of account from the drop-down list. The list displays the following values: • **Current Account** • **Fixed Account** • **Loan Account** • **Mortgage Account** • **Overdraft Account** • **PF Account** • **Recurring Account** • **Savings Account** • **Sweeping Account**
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
Clearing Date	*Date Format; Optional* Specify the clearing date.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the name of the account holder.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.

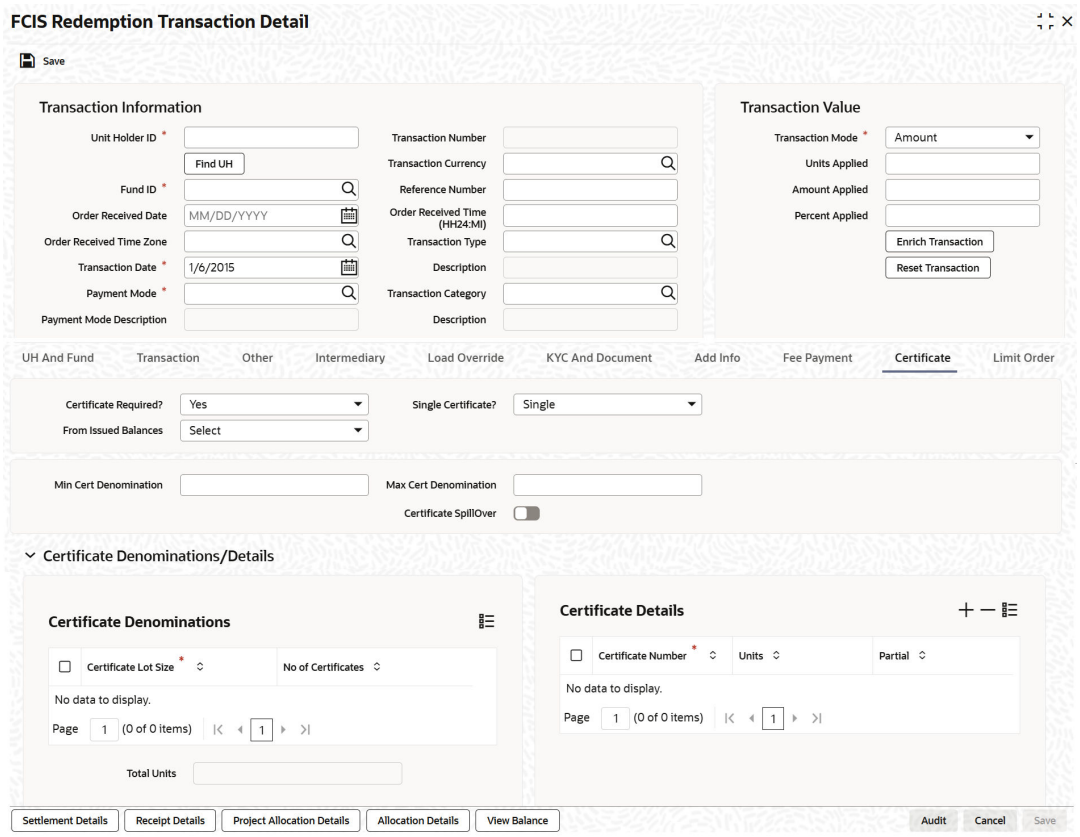
3.12.10 Certificate Tab

This topic provides detailed information about certificate tab in **FCIS Redemption Transaction Detail** screen.

- Click on the **Certificate** in the **FCIS Redemption Transaction Detail** screen.

  The **Certificate** screen is displayed.

Figure 3-52 FCIS Redemption Transaction Detail - Certificate



For more information on fields in the screen, refer the below table.

Table 3-70 FCIS Redemption Transaction Detail - Certificate Tab

Fields	Description
Certificate Required?	*Optional* Select if certificate required or not from the drop-down list. The list displays the following values: • **Yes** • **No** If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose **Yes** in the Certificate Required field.
Single Certificate?	*Optional* Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here. If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.

Table 3-70 (Cont.) FCIS Redemption Transaction Detail - Certificate Tab

Fields	Description
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both**
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **minimum certificate denomination** details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **maximum certificate denomination** details.
Certificate Spillover	*Optional* Check this box if **certificate spillover** is required.

Table 3-71 FCIS Redemption Transaction Detail - Certificate Denominations

Fields	Description
Certificate Lot Size	*Display* The system displays the **certificate lot size** details.
No of Certificates	*Display* The system displays the **number of certificates**.

Table 3-72 FCIS Redemption Transaction Detail - Certificate Details

Fields	Description
Certificate Number	*Numeric; 10 Characters; Optional* Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.
Units	*Numeric; 27 Characters; Optional* Specify the units details.
Partial	*Optional* Check this box if partial details to be selected.

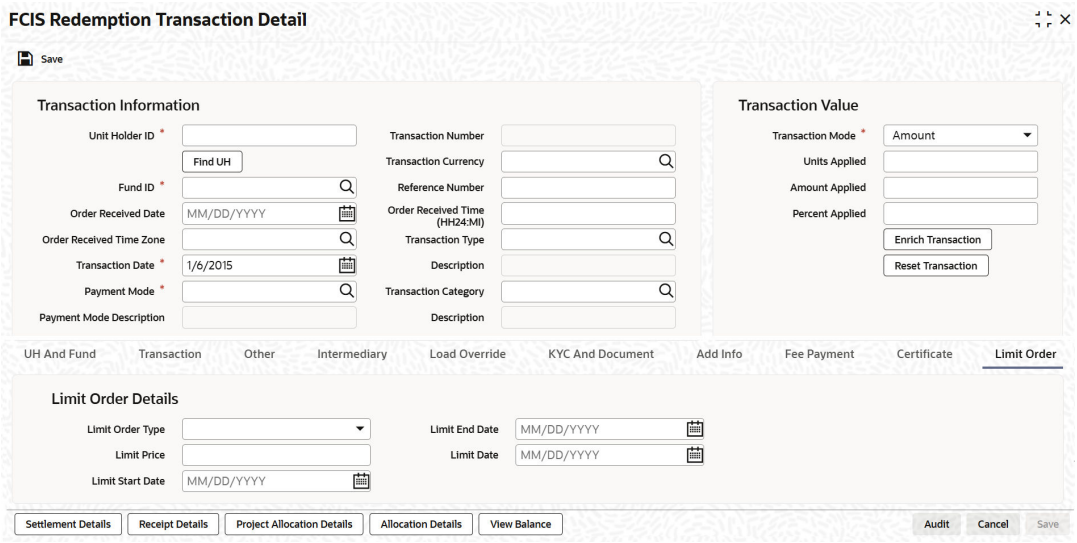
3.12.11 Limit Order Tab

This topic provides detailed information about limit order tab in **FCIS Redemption Transaction Detail** screen.

1. Click on **Limit Order** tab in the **FCIS Redemption Transaction Detail** screen.

   The **Limit Order** screen is displayed.

Figure 3-53 FCIS Redemption Transaction Detail - Limit Order



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

   For more information on fields in the screen, refer the below table.

Table 3-73 FCIS Redemption Transaction Detail - Limit Order Tab

Field	Description
Limit Order Type	*Optional* Select **Price Based** in the Limit Order Type field. The options available in the drop-down are as follows: • **Price-Based** • **Date Based**
Limit Price	*Numeric; 9 Characters; Optional* Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).
Limit Start and End Date	*Date Format; Optional* Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.
Limit Date	*Date Format; Optional* To set up a date-based limit order, specify the following details in the Limit Order section: • Select **Date Based** in the Limit Order Type field. • Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

3.12.12 Settlement Details Button

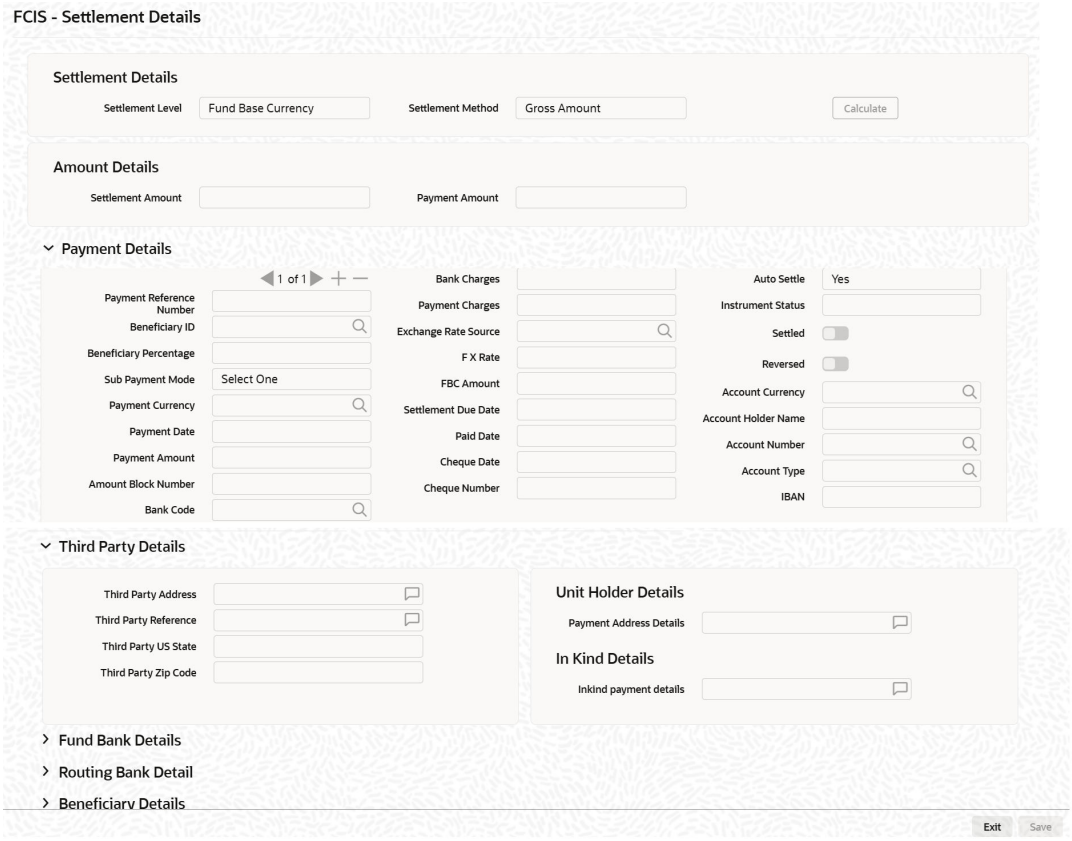
This topic provides the systematic instructions to process the **Settlement Details** screen.

1. On the **FCIS Redemption Transaction Detail** screen, click the **Settlement Details** button to process the settlement details screen.

   You can maintain settlement details only for the multi transactions here.

The **Settlement Details** screen is displayed.

Figure 3-54 FCIS Redemption Transaction Detail - Settlement Details



2. On **Settlement Details** screen, specify the fields.

   For further details on fields, refer to the topic *Settlement Details Button* in *Process FCIS IPO Subscription Detail* screen.

3. For Error Messages for Settlement Details, refer to the error code and message table.

Table 3-74 Error Codes and Messages for Settlement Details

S.No	Validation	Type	Error Code	Error Message
1	When user tries to settle a transaction after settlement due date, system will raise an error.	W	W-SETTLEMENTDUEDATE	Trade is Settled after Settlement Due Date.

- Process Multi Transactions
  This topic provides information about processing multi transactions details.

3.12.12.1 Process Multi Transactions

This topic provides information about processing multi transactions details.

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

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

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note:

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the **FCIS Bulk Transaction** screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
- On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.
- System will allow user to settle a particular trade from payment tab of subscription.
- If trade is settled from the subscription screen (UTDTXN02) after the settlement date, system will display a warning message ‘Trade is Settled After Settlement Due Date’.
- If trade is cleared from the clearing screen post settlement date, system will not display warning message.
- If Settlement Due Date is given in any format of process that is upload/front-end/ gateway/REST/SWIFT will be considered as user overridden settlement Due Date.
- For Pre-Settled Trade Funds, System will derive the settlement due date as Price Date minus due lag and in case settlement due date falls on a holiday, system will be move to next payment currency working day and rule AFTER will be applied.

Error Messages for Settlement Details

Table 3-75 Error Messages for Settlement Details

Validation	Type	Error code	Error Message
When user tries to settle a transaction after settlement due date, system will raise an error	W	W-SETTLEMENTDUEDATE	Trade is Settled after Settlement Due Date

3.12.13 FCIS Redemption Transaction Detail - Receipt Detail Button

This task topic provides information about receipt detail button in **FCIS redemption Transaction Detail** screen.

1. Click on **Receipt Detail** button to invoke **Receipt Details** screen.

   The **Receipt Details** screen is displayed.
   You can specify the following details:

2. For information on fields in the **Receipt Details** screen, refer the below table.

Table 3-76 Receipt Details

Field	Description
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specifies the transaction number linked to the outflow transaction.
Units	*Numeric; 22 Characters; Optional* Specify the units details.
Total Units	*Display* The system displays the total number of units by clicking **Get Units** button.

3.12.14 FCIS Redemption Transaction - Project Allocation Details Button

This topic provides information about project allocation details button in **FCIS Redemption Transaction** screen.

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

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

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

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

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

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

The following Load Details are displayed during the allocation:

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

The following Performance Fee Details are displayed during the allocation:

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

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

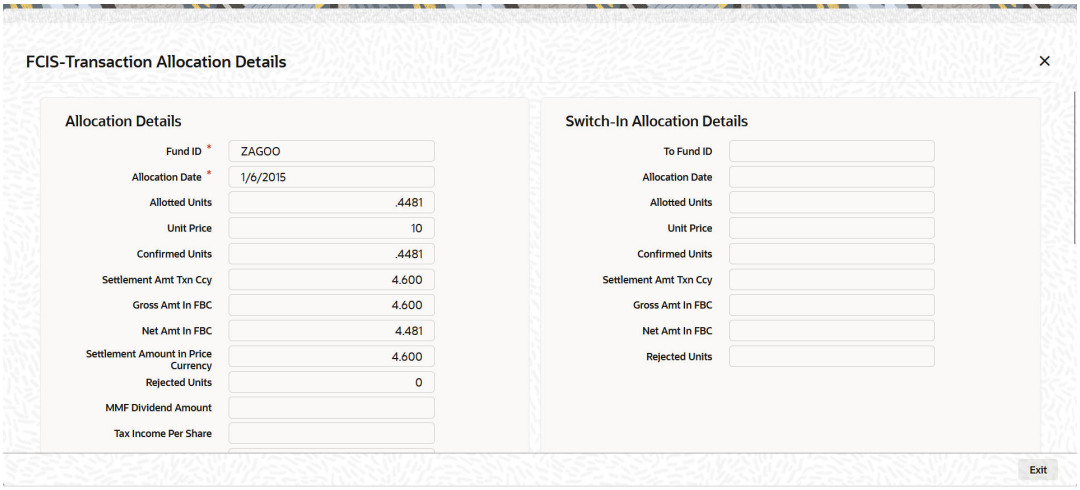
3.12.15 FCIS - Transaction Allocation Details

This task topic provides information about allocation details button in **FCIS Redemption Transaction Details** screen.

1. Click on **Allocation Details** button to enter the details.

   The **FCIS - Transaction Allocation Details** screen is displayed.

Figure 3-55 FCIS - Transaction Allocation Details



2. On **Allocation Details**, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-77 Allocation Details - Field Description

Field	Description
Allocation Details	The following allocation details are displayed: • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**
Switch-In Allocation Details	The following Switch-in allocation details are displayed: • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**

Table 3-77 (Cont.) Allocation Details - Field Description

Field	Description
Load Details	The following load details are displayed during the allocation: • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**
Performance Fee Details	The following performance fee details are displayed during the allocation: • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**
Transaction Component Details	The following transaction component details are displayed during the allocation: • **Offer Price** • **Share Capital** • **Fund Capital** • **Switch In Bid Price** • **To Fund Capital** • **Bid Price** • **Income** • **Share Premium** • **Switch In Offer Price**
CGT Deduction Details	The following CGT deduction details are displayed during the allocation: • **Unit Holder/Joint Unit Holder ID** • **Unit Holder/Joint Unit Holder Name** • **Tax Amount**

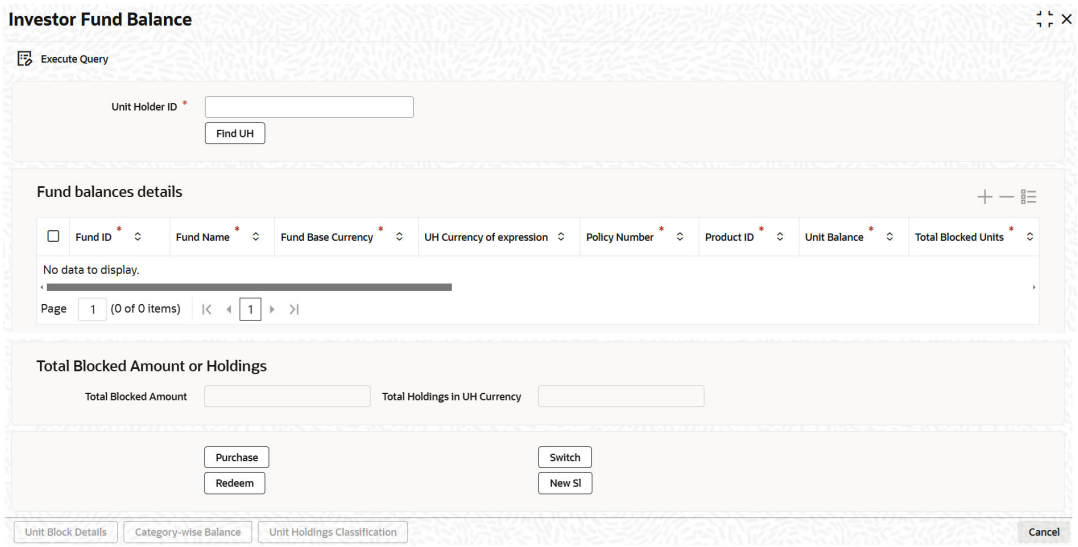
3.12.16 View Balance Button

This topic provides information about to view the fund balance in the transaction screen.

1. Click the **View Balance** button to view the fund balance details.

   The **Investor Fund Balance** screen is displayed.

Figure 3-56 Investor Fund Balance



2. On **Investor Fund Balance** screen, click **New** to enter the details.

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

Table 3-78 Investor Fund Balance

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder ID. Alternatively, you can select unit holder ID form the option list or click **Find UH** to search the unit holder ID.

3. Click the **Execute Query** button to view the following fund balance details.

   The following details are displayed.

   - Fund ID
   - Fund Name
   - Fund Base Currency
   - UH Currency of Expression
   - Policy Number
   - Product ID
   - Unit Balance
   - Total Blocked Units
   - FBC redeemable
   - FBC Holding
   - UHBC Redeemable
   - Average Cost
   - Provisional Units
   - UHBC Holding
   - Balance in Currency of Expression

- UH Preferred Currency
- Balance in UH Preferred Currency
- G1 Units
- G2 Units

4. You can view the total blocked amount or holdings in the **Total Blocked Amount or Holdings** section

   The system also displays the **Total Blocked Amount** and **Total Holdings in UH Currency**.

5. Click the **Purchase** button.

   The **FCIS Subscription Transaction Detail** screen is displayed. After specifying the necessary details, save the transaction to purchase the same.

6. Click the **Redeem** button.

   The **FCIS Redemption Transaction Detail** screen is displayed. After specifying the necessary details, save the transaction to redeem the same.

7. Click the **Switch** button.

   The **FCIS Transaction Switch Detail** screen is displayed. After specifying the necessary details, save the transaction to switch the same.

8. Click the **New SI** button

   The **FCIS Standing Instructions Detail** screen is displayed. After specifying the necessary details, save the standing instruction.

- Unit Block Details Button
  This topic explains the Unit Block Details Button in the **Investor Fund Balance** screen.
- Category-wise Balance Button
  This topic explains the Category-wise Balance Button in the **Investor Fund Balance** screen.
- Unit Holdings Classification Button
  This topic explains the Unit Holdings Classification Button in the **Investor Fund Balance** screen.

3.12.16.1 Unit Block Details Button

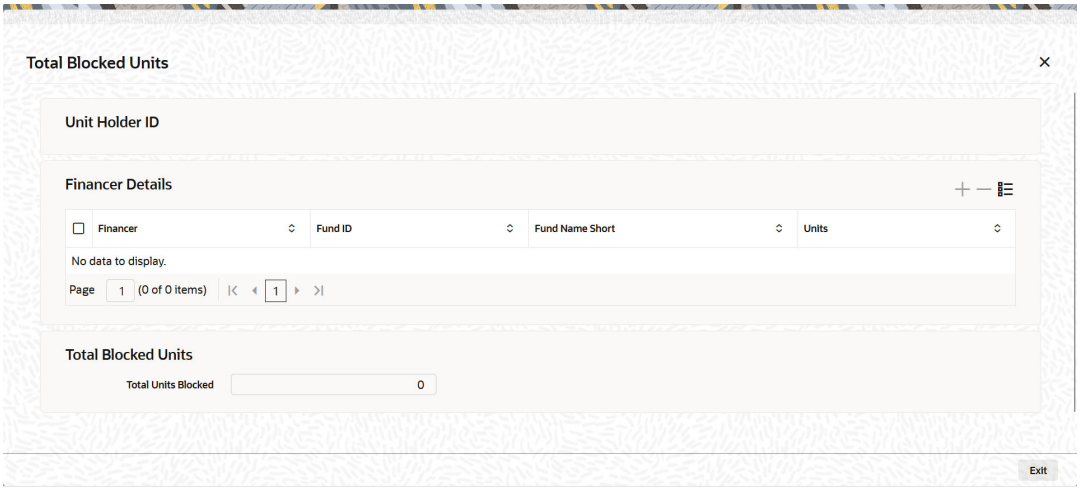
This topic explains the Unit Block Details Button in the **Investor Fund Balance** screen.

1. Click the **Unit Block Details** button in the **Investor Fund Balance** screen to view the financier and fund-wise blocked units and total number of blocked units.

   > **Note:**
   >
   > You will be able to open the subscription /redemption/switch/SI screens from the Client Enquiry Fund Balances screen provided you have the SMS rights to open and transact in those screens.

   The **Total Blocked Units** screen is displayed.

Figure 3-57 Investor Fund Balance_Unit Block Details Button



2. You can view the following details.

   During block transaction, if the financier name is not maintained, then all the records will be categorized and consolidated under financier as **Others**.

   The system displays the following values:

   - **Unit Holder ID**
   - **Financier Details**
     - **Financier**
     - **Fund ID**
     - **Fund Name Short**
     - **Units**
   - **Total Blocked Units**

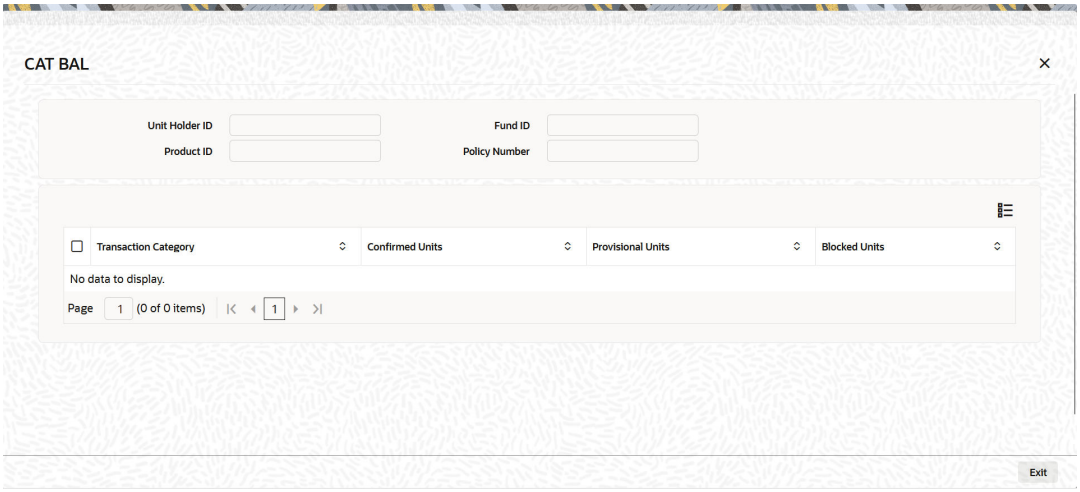
3.12.16.2 Category-wise Balance Button

This topic explains the Category-wise Balance Button in the **Investor Fund Balance** screen.

1. Click the **Category-wise Balance** button in the **Investor Fund Balance** screen.

   The **CAT BAL** screen is displayed.

Figure 3-58 Investor Fund Balance_Category-Wise Balance Button



2. You can view the following details.

   The system displays the following values:

   - **Unit Holder ID**
   - **Fund ID**
   - **Product ID**
   - **Policy Number**
   - **Transaction Category**
   - **Confirmed Units**
   - **Provisional Units**
   - **Blocked Units**

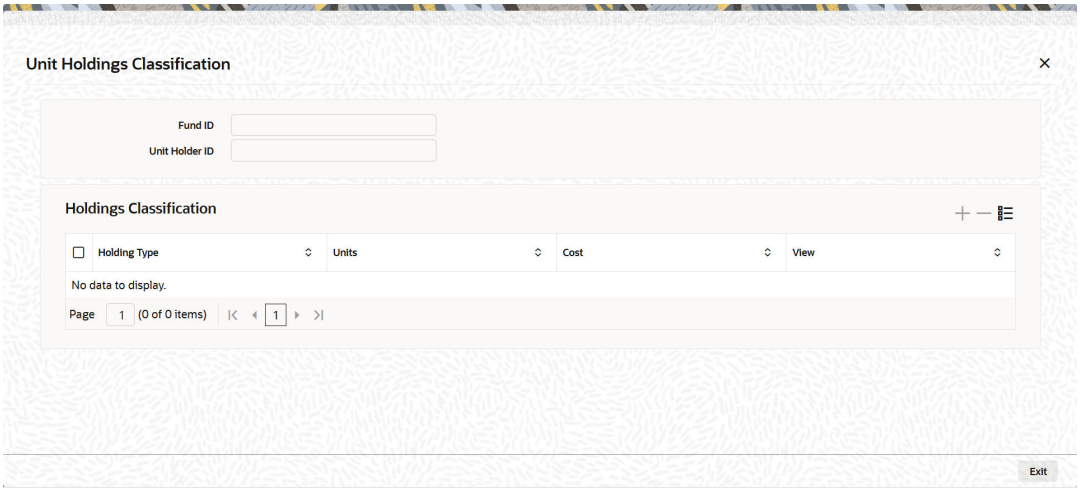
3.12.16.3 Unit Holdings Classification Button

This topic explains the Unit Holdings Classification Button in the **Investor Fund Balance** screen.

1. Click the **Unit Holdings Classification** button in the **Investor Fund Balance** screen to view unit holder holdings classification details.

   The **Unit Holdings Classification** screen is displayed.

Figure 3-59 Investor Fund Balance_Unit Holdings Classification Button



2. On **Unit Holdings Classification** screen, Click **New** to enter the details.

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

Table 3-79 Unit Holdings Classification - Field Description

Field	Description
Unit Holder ID	*Display* The system displays the unit holder ID for which holding details will be displayed based on the value selected in **Consolidate Enquiry Screen (UTSCOINQ)**. • **Price-Based** • **Date Based**
Fund ID	*Display* The system defaults the fund ID for which holding details will be displayed based on the fund that is selected in the **Investor Fund Balance Details** grid. You need to select only one fund from the **Fund Balance Detail** grid.
Holding Classification	*Display* The system displays the unit classification based on the fund selected.
Total Units	*Display* The system displays the total sum of units for the corresponding classification.
Cost	*Display* The system displays the total cost of the unit holdings for the classification. The detail section will be populated with corresponding details as the case of on-shore or offshore fund For on-shore fund, the system displays the FEL/ CDSC holdings summary. For off-shore fund holdings will be grouped into 2 different categories based on the Transaction Currency. • All transaction with Transaction currency as Installed Entity Base Currency (TWD) (refers to AMC base currency) • All transaction with Transaction currency other than Installed Entity Base Currency.

3. Click the **View** to view the details of the selected unit classification.

   On click of **View** button **Holding Details** screen will be launched.

   The system displays the units holding and the cost for following classifications:

   - Holding Type: CDSC, FEL, TWD etc.
   - Transaction Type: Subscription, RSP
   - Certificate option: Certificate or non-Certificate
   - Redeemable: Redeemable or Blocked
   - Units: Current units balance for the said classification
   - Cost: Cost of the current unit holdings

3.12.17 Save Transaction

This topic provides instructions to save transaction details in **FCIS Redemption Transaction Detail**.

Save Transaction

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

> **Note:**
>
> If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation. If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session timeout. This is applicable for both online and gateway users.

Specify Intermediary Details, Override Allocation Loads and Document Details

Specify Intermediary Details, Override Allocation Loads and Document Details, if necessary. Alternatively, the following information may also need to be captured before you save a redemption transaction.

- In the **Intermediary** section, ensure that all the identified brokers for the unit holder, that have not been disabled as on the application date, have been selected, and that the commission split percentages for all selected brokers sum up to one hundred percent.
- In the **Load Override** section, you may need to override an allocation-frequency charge or load. There are three options available for such overrides:
  - **Discount** - will reduce the slab value by the specified percent/amount for all slabs.
  - **Return Value** - will change the return value for all the slabs to the specified percent/amount.
  - **Increase** - will increase the slab value by the specified percent/amount for all slabs.
- In the **Document Details** section, you may need to capture the document id of the unit holder. You can either enter the document id or select the same from the option list provided. This section will be enabled only if your installation is integrated with DMS.

You can now save the transaction.

3.12.18 Transaction Processing Logic for Currency of Expression Funds

This topic provides information about transaction processing logic for currency of expression funds details.

The system defaults the **UH Currency of Expression (UHCOE)** in the **Transaction Currency** field, if available, during transaction capture based on UH and fund combination.

If there is no **UH Currency of Expression (UHCOE)** maintained in **UTDUHCOE**, then FBC will be defaulted in the **Transaction Currency** field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (**UTDUHCOE**). The defaulted currency of expression in the UHCOE maintenance will be as system user.

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

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

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

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

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

- FX Logic
  This topic provides the information about the FX Logic details.
- Process Unit Holder Currency of Expression
  This topic provides information about processing unit holder currency of expression details.
- Process Fund Price Maintenance
  This topic provides information about processing fund price maintenance details.
- NAV Correction Impact for Fund Price Currencies
  This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.
- Currency of Expression Logic Applied During Transactions
  This topic provides the information about currency of expression logic applied during transactions.
- System Logic to Derive the Price Currency
  This topic provides information about system logic to derive the price currency details.
- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

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  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

3.12.18.1 FX Logic

This topic provides the information about the FX Logic details.

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

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

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

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

> **Note:**
>
> The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

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

3.12.18.2 Process Unit Holder Currency of Expression

This topic provides information about processing unit holder currency of expression details.

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

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

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

3.12.18.3 Process Fund Price Maintenance

This topic provides information about processing fund price maintenance details.

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

The Pre EOD checks **Number of Non Pre-Settled Funds for which Fund Price has not been entered** will be changed to check whether price in FPC have been maintained for the day in the system. For the Pre-Settled trade funds, the Pre-EOD check **Number of Pre-Settled Trade Funds for which Fund Price has not been entered** is maintained to list funds

along with details such as fund Id, currency and effective date. This will be mandatory check. If the system does not find the price in currency of expression, then the transaction entered in currency of expression will not be allotted.

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

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

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

3.12.18.4 NAV Correction Impact for Fund Price Currencies

This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.

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

3.12.18.5 Currency of Expression Logic Applied During Transactions

This topic provides the information about currency of expression logic applied during transactions.

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

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

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

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

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

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

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

UHCOE = FPC and TBC ≠ UHCOE

> **Note:**
>
> The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UHCOE will be defaulted as Transaction currency.

3.12.18.6 System Logic to Derive the Price Currency

This topic provides information about system logic to derive the price currency details.

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

3.12.18.7 Switch Logic for Currency of Expression

This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

3.13 FCIS Redemption Transaction Summary

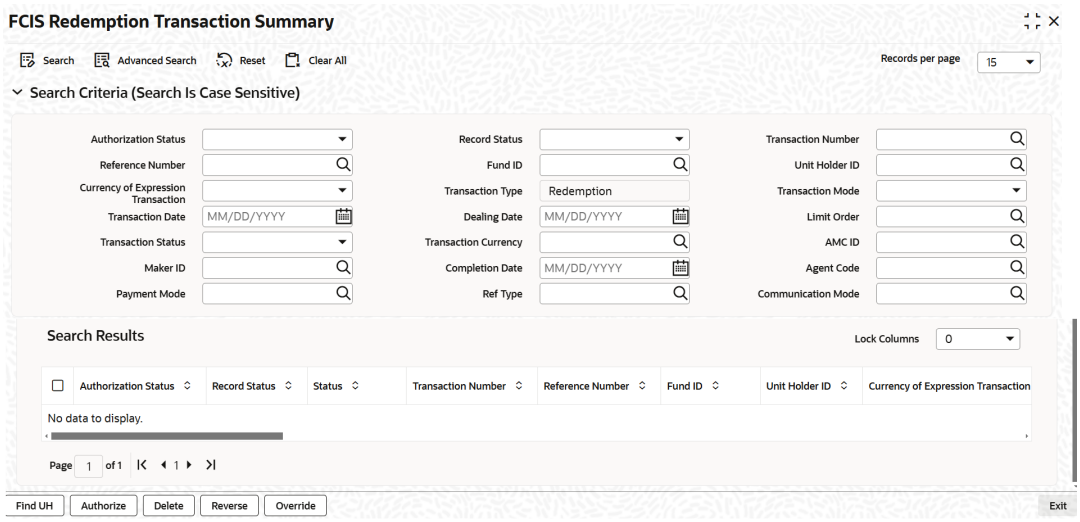
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Redemption Transaction Summary

1. On **Home** screen, type **UTSTXN03/UTSTRA03** in the text box and click **Next**.

   The **FCIS Redemption Transaction Summary** screen is displayed.

Figure 3-60 FCIS Redemption Transaction Summary



2. On **FCIS Redemption Transaction Summary** screen, specify the 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**
   - **Transaction Number**
   - **Fund ID**
   - **Currency of Expression Transaction**
   - **Transaction Mode**
   - **Dealing Date**
   - **Transaction Status**
   - **AMC ID**
   - **Completion Date**
   - **Payment Mode**
   - **Communication Mode**
   - **Reference Number**
   - **Unit Holder ID**
   - **Transaction Type**
   - **Transaction Date**
   - **Limit Order**
   - **Transaction Currency**
   - **Maker ID**
   - **Agent Code**
   - **Ref Type**
3. Click **Search** to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input the Transaction Number
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list.

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

For example:

You can search the record for Fund ID by using the combination of percentage and alphanumeric value as follows:-

Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet **A**. For example:- AGC17,AGVO6,AGC74 etc.

Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value' 7'. For example: AGC17, GSD267, AGC77 etc.

Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

- Edit Redemption Transaction Record
  This topic provides the systematic instructions to edit Redemption Transaction record.
- View Redemption Transaction Record
  This topic provides the systematic instructions to view Redemption Transaction record.
- Delete Redemption Transaction Record
  This topic provides the systematic instructions to delete Redemption Transaction record.
- Authorize Redemption Transaction Record
  This topic provides the systematic instructions to authorize Redemption record.
- Amend Redemption Transaction Record
  This topic provides the systematic instructions to amend Redemption Transaction record.
- Authorize Amended FCIS Redemption Transaction Record
  This topic provides the systematic instructions to authorize amended Redemption Transaction record.

3.13.1 Edit Redemption Transaction Record

This topic provides the systematic instructions to edit Redemption Transaction record.

Modify the details of a Redemption Transaction record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Redemption Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Redemption Transaction Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Redemption Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Redemption Transaction Summary** screen.

3.13.2 View Redemption Transaction Record

This topic provides the systematic instructions to view Redemption Transaction record.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **FCIS Redemption Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Redemption Transaction Detail** screen is displayed.

3.13.3 Delete Redemption Transaction Record

This topic provides the systematic instructions to delete Redemption Transaction record.

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

1. Start the **FCIS Redemption Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Redemption Transaction Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

3.13.4 Authorize Redemption Transaction Record

This topic provides the systematic instructions to authorize Redemption record.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **FCIS Redemption Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Redemption Transaction Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

3.13.5 Amend Redemption Transaction Record

This topic provides the systematic instructions to amend Redemption Transaction 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 **FCIS Redemption Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Redemption Transaction Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.13.6 Authorize Amended FCIS Redemption Transaction Record

This topic provides the systematic instructions to authorize amended Redemption Transaction record.

1. An amended FCIS Redemption Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

3.14 Redemption Confirmation

This topic contains the following sub-topics:

- Process FCIS Redemption Confirmation Detail
  This topic provides the systematic instructions to confirm redemption transaction.
- Show Details
  This topic explains the show details button in **Confirm Redemption Detail** screen.
- Process Button
  This topic explains the Process button in **Confirm Redemption Detail** screen.
- View Error Log
  This topic explains the view error log button in the **Confirm Redemption Detail** screen.

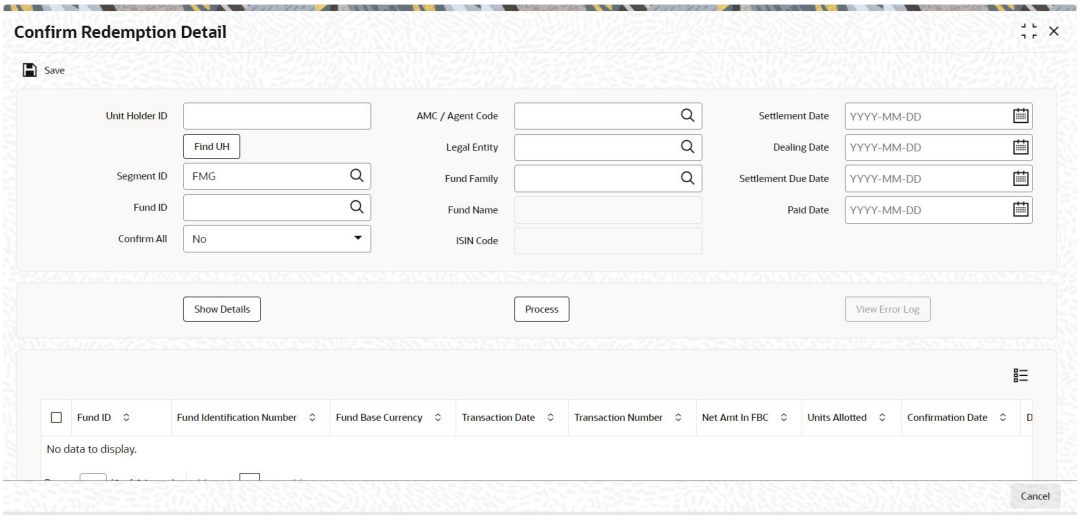
3.14.1 Process FCIS Redemption Confirmation Detail

This topic provides the systematic instructions to confirm redemption transaction.

1. On **Home** screen, type **UTDCNRED** in the text box and click **Next**.

   The **FCIS Redemption Confirmation Detail** screen is displayed.

Figure 3-61 FCIS Redemption Confirmation Detail



2. On **FCIS Redemption Confirmation Detail** screen, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-80 FCIS Redemption Confirmation Detail - Field Description

Fields	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder ID.
Segment ID	*Alphanumeric; 12 Characters; Mandatory* Specify the Segment ID. Alternatively, you can select the Segment ID from the option list. The list displays all valid Segment IDs maintained in the system. **Note:** Segment ID is mandatory in Global Transfer Agency(GTA) Setup. In Non GTA Setup, Segment ID will be defaulted to value **FMG**.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all the valid fund IDs maintained in the system.
Confirm All	*Optional* Select if redemption transaction is confirmed or not from the drop-down list. The list displays the following values: • **Yes** • **No** Clicking **Yes** option, the system will clear the transaction details irrespective of trades chosen individually for confirmation or not. That is, if **Process** button is clicked with **Confirm All** option is **Yes** then all the trades pertaining to the selected criteria will be confirmed irrespective of whether trades have been individually selected or not.
AMC / Agent Code	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC or agent code. Alternatively, you can select the AMC or agent code from the option list. The list displays all the valid AMC or agent codes maintained in the system.
Legal Entity	*Alphanumeric; 6 Characters; Optional* Specify the legal entity. Alternatively, you can select legal entity from the option list. The list displays all the valid legal entity code maintained in the system.
Fund Family	*Alphanumeric; 6 Characters; Optional* Specify the fund family details. Alternatively, you can select fund family from the option list. The list displays all the valid fund family code maintained in the system.
Fund Name	*Display* The system displays the fund name for the selected fund ID.
ISIN Code	*Display* The system displays ISIN code for the selected fund ID.
Settlement Date	*Time Format; Optional* Select the settlement date from the adjoining calendar.
Dealing Date	*Time Format; Optional* Select the dealing date from the adjoining calendar.
Settlement Due Date	*Time Format; Optional* Select the settlement due date from the adjoining calendar. Refer to the table Table 3-81 table for more details.
Paid Date	*Time Format; Optional* Select the paid date from the adjoining calendar.

Table 3-81 Error Message for Settlement Due Date

S.NO	Validation	Type	Error code	Error Message
1	When user tries to confirm the redemption before settlement due date, system will prompt an error.	E	E-INVCONFSETTDATE	Confirmation cannot be done before Settlement Due Date.

3.14.2 Show Details

This topic explains the show details button in **Confirm Redemption Detail** screen.

1. On the **Confirm Redemption Detail** screen, you can view the following details by clicking the **Show Details** button.
2. Click the **Show Details** button.

   The system displays the following details:

   - Fund ID
   - Fund Identification Number
   - Fund Base Currency
   - Transaction Date
   - Transaction Number
   - Net Amount in FBC
   - Units Allotted
   - Confirmation Date
   - Dealing Date
   - Settlement Due Date

3.14.3 Process Button

This topic explains the Process button in **Confirm Redemption Detail** screen.

If the **Process** button is clicked with **Confirm All** option is **Yes**, then all the trades pertaining to the selected criteria will be confirmed irrespective of whether trades have been individually selected or not.

The system will display a confirmation message as `Choosing this option will pick all the transactions matching the criteria for processing. Do you want to continue?`.

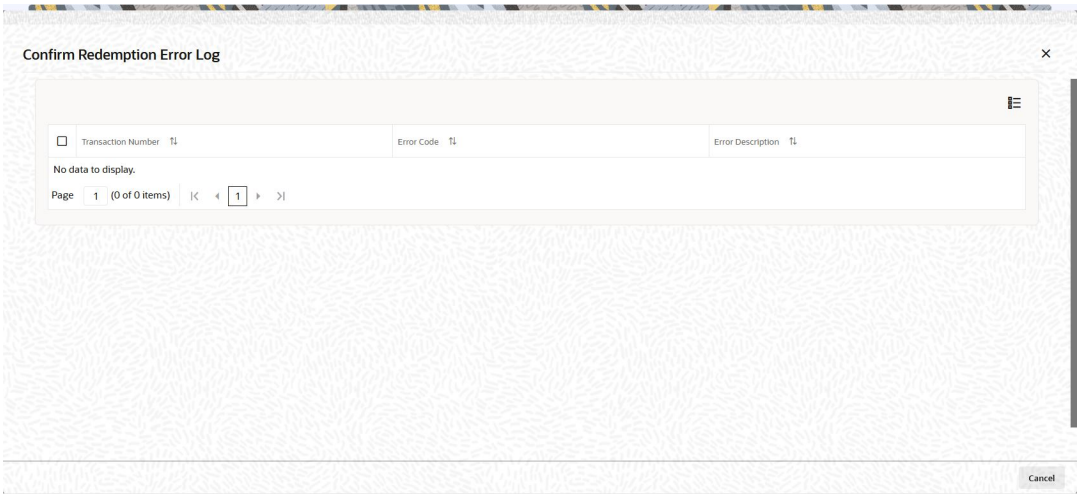
3.14.4 View Error Log

This topic explains the view error log button in the **Confirm Redemption Detail** screen.

1. Click the **View Error Log** button.

   The **Confirm Redemption Error Log** window is displayed.

Figure 3-62 Confirm Redemption Error Log



2. You can view the error and the failed records along with the error description.

   The following values are displayed:

   - **Transaction Number**
   - **Error Code**
   - **Error Description**

3. View the below table for type of errors considered.

   For the types of errors and error messages, refer to the table.

Table 3-82 Error Message for Settlement Due Date

S.NO	Type of Error	Error Message
1	Stop account errors for redemption settlement	Stop Account is issued for redemption Settlement to this Unitholder.
2	Confirmation date with respect to transaction date	Confirmation date cannot be less than transaction date.
3	Settlement process related	Redemption transaction is not allotted. Settlement is not matching with the total payment amount.
4	General error	Redemption confirmation failed
5	Client country REDCONFCCYCHECK	If Client country **REDCONFCCYCHECK** is **ON** then the system will check transaction currency for holiday. If it is **OFF**, then the system will check for fund calendar. The system will display an error message as `Date entered is a holiday`.

Table 3-82 (Cont.) Error Message for Settlement Due Date

S.NO	Type of Error	Error Message
6	Confirmation date with respect to allotted date and confirmation lag	If entered confirmation date is greater than date allotted and confirmation lag, then the system will display an error message as `Confirmation date is greater than allowed limit.` **Note:** • Confirmation will happen on/after the Redemption Settlement Due Date. • Confirmation lag will not be considered for Pre-Settled Trade Funds.

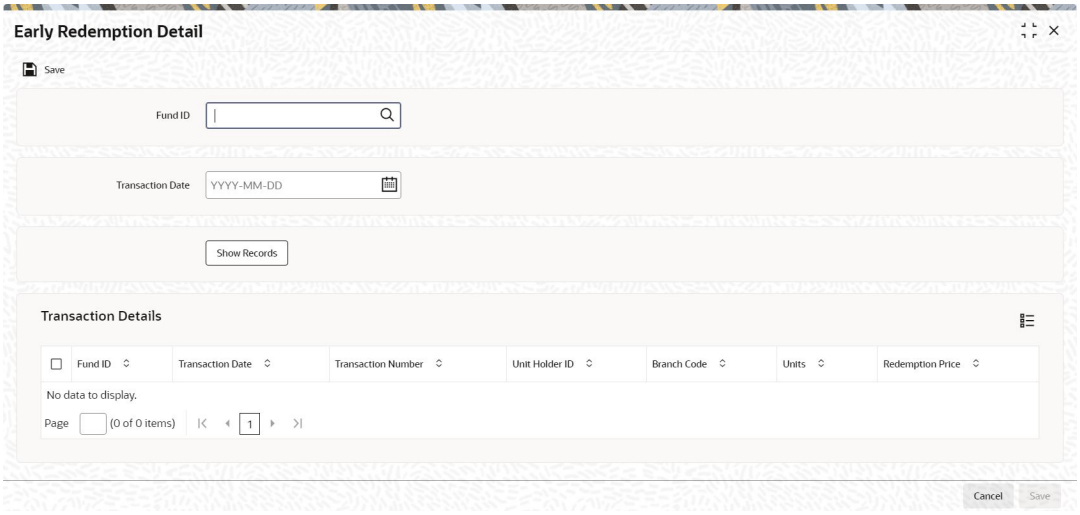
3.15 Process Early Redemption Detail

This topic provides the systematic instructions to maintain early redemption details.

1. On **Home** screen, type **UTDERRED** in the text box and click **Next**.

   The **Early Redemption Detail** screen is displayed.

Figure 3-63 Early Redemption Detail



2. On **Early Redemption Detail** screen, click **New** to enter the details.

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

Table 3-83 Early Redemption Detail - Field Description

Fields	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all the valid fund IDs maintained in the system.

Table 3-83 (Cont.) Early Redemption Detail - Field Description

Fields	Description
Transaction Date	*Time Format; Optional* Select the transaction date from the adjoining calendar. Click the **Show Records** button after specifying the necessary details. The system displays the following transaction details: • **Fund ID** • **Transaction Date** • **Transaction Number** • **Unit Holder ID** • **Branch Code** • **Units** • **Units Applied**

3.16 Transaction Switch Detail

This topic provides the systematic instructions to enter a transfer transaction request into the system.

This topic contains the following sub-topics:

- Process FCIS Transaction Switch Detail
  This topic provides the systematic instructions to enter a switch transaction request into the system.
- UH and Fund
  This topic explains the UH and Fund tab in the **FCIS Transaction Switch Detail** screen.
- Exchange Details
  This topic explains the Exchange Details tab in the **FCIS Transaction Switch Detail** screen.
- Other Details
  This topic explains the Other Details tab in the **FCIS Transaction Switch Detail** screen.
- Intermediary Details
  This topic explains the Intermediary Details tab in the **FCIS Transaction Switch Detail** screen.
- Load Override Tab
  This topic explains the Load Override tab in the **FCIS Transaction Switch Detail** screen.
- KYC and Document Tab
  This topic explains the KYC and Document tab in the **FCIS Transaction Switch Detail** screen.
- Add Info
  This topic explains the Add Info tab in the **FCIS Transaction Switch Detail** screen.
- Fee Payment Details
  This topic explains the Fee Payment Details tab in the **FCIS Transaction Switch Detail** screen.
- Switch Overrides Tab
  This topic explains the Switch Overrides tab in the **FCIS Transaction Switch Detail** screen.
- Certificate Tab
  This topic explains the Certificate tab in the **FCIS Transaction Switch Detail** screen.

- Document Details Button
  This topic explains the Document Details button in the **FCIS Transaction Switch Detail** screen.
- Receipt Details Button
  This topic explains the Receipt Details button in the **FCIS Transaction Switch Detail** screen.
- Settlement Details
  This topic explains the Settlement Details button in the **FCIS Transaction Switch Detail** screen.
- Project Allocation Details Button
  This topic explains the Project Allocation Details button in the **FCIS Transaction Switch Detail** screen.
- Allocation Details Button
  This topic explains the Allocation Details button in the **FCIS Transaction Switch Detail** screen.
- View Balance Button
  This topic explains the View Balance button in the **FCIS Transaction Switch Detail** screen.
- Save the Transaction
  This topic provides information on saving transaction details.
- Transaction Processing Logic for Currency of Expression Funds
  This topic provides information about transaction processing logic for currency of expression funds details.

3.16.1 Process FCIS Transaction Switch Detail

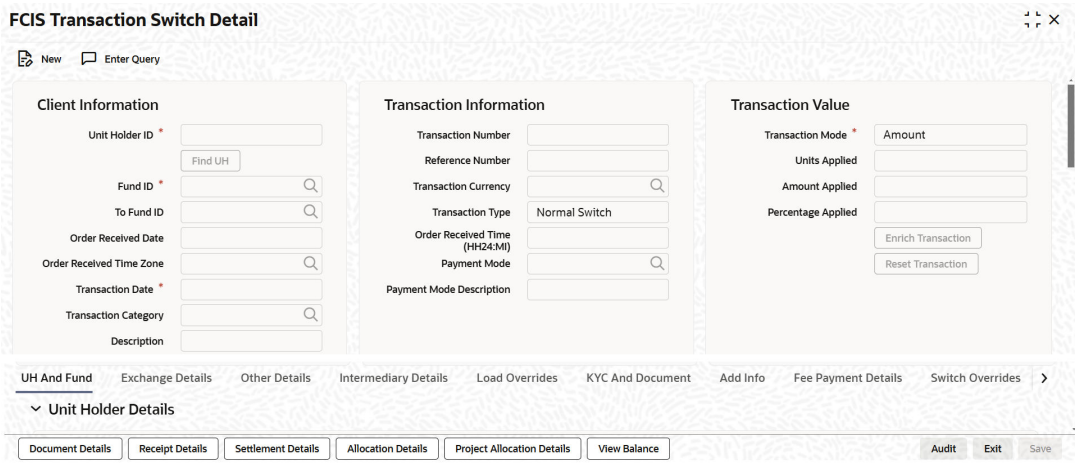
This topic provides the systematic instructions to enter a switch transaction request into the system.

Enter a switch transaction request into the system in the following sequence of events:

1. On **Home** screen, type **UTDTXN04/UTDTRA04** in the text box and click **Next**.

   The **FCIS Transaction Switch Detail** screen is displayed.

Figure 3-64 FCIS Transaction Switch Detail



2. On **FCIS Transaction Switch Detail** screen, click **New** to enter the details.

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

Table 3-84 FCIS Transaction Switch Detail - Field Description

Fields	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder who has requested the transaction, in the **Client Information** section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field. You can query unit holder ID by clicking **Find UH** button. You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. When you specify the unit holder, The funds in which the specified unit holder can transact are displayed in the Fund drop-down list. The default brokers maintained for the specified unit holder that have not been disabled as on the transaction date, are displayed by default in the **Broker Details** section of the screen. **Note:** When you change the unit holder, time zone will get reset accordingly with a warning message `I-TZDEFAULT`.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
To Fund ID	*Date Format; Optional* Specify the To fund ID. Alternatively, you can select To fund ID from the option list. The list displays all valid To fund ID maintained in the system.
Order Received Date	*Date format; Optional* Specify the order received date. **Note:** Order Received Date will not be defaulted for system generated transactions.
Order Received Time Zone	*Optional* Specify the order received Time Zone. Alternatively, you can select it from the option list. The list displays all Time Zones maintained in the system. **Note:** • System should allow the user to map service location in the **Service Location Maintenance** screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured. • If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone. • If the Default Time Zone value is null, then the system will display an error message. • **Order Received Time Zone** will not be defaulted for system generated transactions.

Table 3-84 (Cont.) FCIS Transaction Switch Detail - Field Description

Fields	Description
Transaction Date	*Date Format; Mandatory* The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date. If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the **Transaction Processing Rules**. The specified earlier date must also be within the backdating limit, as specified for the fund in the **Transaction Processing Rules**. If the unit holder account has a stop instruction (i.e., is frozen), then you can only input the transaction if the transaction date is ahead of the Stop Account Release Date specified in the account profile. Refer to the topic Derive Transaction Date to derive the transaction date based on the order received date, order received time zone and order received time and its explanation with examples.
Transaction Category	*Alphanumeric; 1 Character; Optional* Specify the type of transaction. Alternatively, you can select transaction category from the option list. The list displays all valid transaction category code maintained in the system.
Description	*Display* The system displays the description for the selected transaction category.
Transaction Information	This section displays the following fields.
Transaction Number	*Display* The system displays the transaction number.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

Table 3-84 (Cont.) FCIS Transaction Switch Detail - Field Description

Fields	Description
Transaction Type	*Optional* Select the type of switch transaction requested by the unitholder from the drop-down list. The list displays the following values: • **Normal Switch** • **Pseudo Switch** • **CMA Switch** • **BB Switch** • **Systematic PS** • **Transfer Switch** In case of normal switch transaction, the following sequence of events occurs: • Select the fund from which the requested switching is to be put through, from the drop down list in the Fund field. You can also specify the ISIN Code of the fund. The base currency for the fund is displayed in the Fund Base Currency field. The name of the chosen fund is displayed in the Fund Name field. • If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Number of Certificates and the Certificate Details section. • If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry: • The Fee Details including the Calculate Fee button, the Fee in Fund Base Currency, Fee in Transaction Currency, Override Fee and the Fee after Override fields. • The Fee Payment Details Section. • The Load Override Section. • Specify the fund to which the unit holder wishes to switch the investment, in the To Fund field. You can also specify the **ISIN Code** of the fund. The name of the chosen fund is displayed in the **Fund Name** field. Switching is allowed either between funds in a fund family or between funds in an AMC, as designated in the Entity Maintenance record for the AMC. You are allowed to switch to a fund provided you do not have any holdings in the fund complementary to the fund you have chosen. In case of pseudo switch transaction, the following fields will be displayed: • **Subscription Fund ID** • **Subscription Price Basis** • **Switch In Fund Base Currency** Bed and Breakfast switch means switching within the same fund i.e. if the **Switch from** fund and the **Switch to** fund in a switch transaction are same. In case of B and B switch, the following sequence of events occurs: • The system bypasses all the check which restricts switching into same fund at the time of allocation if the reftype is **BB**. • The system defaults the **Switch To** fund to same as **Switch From** fund. You will not be able to edit the same. • For the switch subscription leg, transaction date will be defaulted with the switch redemption leg transaction date • For a transaction, you will not be able to specify the settlement details for either the redemption leg or the subscription leg.

Table 3-84 (Cont.) FCIS Transaction Switch Detail - Field Description

Fields	Description
	• The transaction currency and the fund base currency should be same. On enriching the transaction, the system defaults the transaction currency to same as the fund base currency. As part of EOD batch, amount based subscription leg transaction is generated once the allocation of redemption leg is through and it is settled. B & B transaction processing and allocation is similar to that of the pseudo switch transaction type. The settlement amount in fund base currency of the redemption transaction will be used as the transaction currency amount for the subscription leg. The transaction currency for the subscription leg will be the fund base currency. Select the transaction type. In case for a particular transaction type restriction is **Not Applicable**, then the system will display an error message as `STOPACCOUNT is issued for Transaction Type to this Unit Holder.` **Note:** • Allocation for both redemption and subscription transaction is done on the same day. • Based on the redemption and subscription allocation price, the subscription leg allotted units could be different from the redemption leg allotted units • The Bed and Breakfast subscription transaction is generated only after its linked redemption and its original subscription transaction status is complete. In case of Transfer switch transaction, the following points to be considered: • Transfer Switch transaction can be accessed only from this screen. Select the Unitholder ID, To UnitHolder Id, Fund Id and Subscription Fund Id along with other details to save the transaction. • Switch In Leg Load override details will be used to override subscription leg transaction load details. • The BOD and Mini-EOD process have been used to generate Transfer Switch Subscription leg transaction. • Subscription Leg generation (TXN type 02 and RefType TS) will be generated after the settlement of Transfer Switch Redemption transaction. • On save of Redemption Transaction(03) with Reftype TS will be generated. • Allocation will happen as per the Redemption Fund setup. • Subscription generation process will be generated on redemption transaction settlement date on or before the current application date. • Subscription transaction's Unitholder Id will be set to ToUnitholder ID, Transaction date will be set to settlement date of Redemption Transaction. • Subscription leg transaction is always a cash based transaction. • Subscription leg Transaction intermediary will be populated to the default ToUnitHolder Intermediary. • If the parameter **TSINCUTTIME** is turned **ON**, then the Transfer switch date will be derived based on cut off time. **Note:** Transfer Switch Unitholder ID and To UnitHolder ID need to be different.

Table 3-84 (Cont.) FCIS Transaction Switch Detail - Field Description

Fields	Description
Order Received Time (HH24:MI)	*Time Format; Optional* Specify the order received time. **Note:** Order Received Time will not be defaulted for system generated transactions.
Payment Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the payment mode. Alternatively, you can select payment mode from the option list. The list displays the valid payment mode maintained in the system.
Payment Mode Description	*Display* The system displays the payment mode description.
Transaction Value	This section displays the following fields.
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Amount** • **Units** • **Percent**
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Amount Applied	*Numeric; 27 Characters; Optional* Specify the amount applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Amount**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Percent Applied	*Numeric; 27 Characters; Optional* Specify the percent applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Percent**. Else, while clicking **Enrich Transaction** button, the system will display an error message.

3. Click the **Enrich Transaction** button after entering all details in the **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in the **UH and Fund** section.

4. Click the **Enrich Transaction** button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

   On click of **Enrich Transaction** button, all the header fields will be disabled.

5. Click the **Reset Transaction** to reset the entire transaction during transaction input, modification and amendment.

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

6. You need to click the **Reset Transaction** button for any modification/amendment in any of the primary field including **Fund ID** or **Transaction Date**.

Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

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

- Derive Transaction Date
  This topic provides the instructions to derive the **Transaction Date**.
- Modification and Amendment of the transaction
  This topic provides information on modification and amendment of the transaction.
- Derive the Order Received Date and Time
  This topic provides the instructions to derive the Order Received Date and Time.

3.16.1.1 Derive Transaction Date

This topic provides the instructions to derive the **Transaction Date**.

Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order Received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order Received time breaches the fund cutoff, then transaction date arrives to next business date.

You can go through the below example for this:

Param text is set to **Y** for Param Code **PSINCUTTIME** at **UTDPARAM**.

Table 3-85 Example on Fund Details

From Fund ID	**FNSGP1**	**To Fund ID**	**FNTWN1**	**-**
Fund Time Zone	SGT	Fund Time Zone	CST	-
Fund Cut Off	17:30	Fund Cut Off	15:30	-
Module Default Time Zone	HKT	-	-	-
Time Zone	UKT	HKT	SGT	CST
GMT+	00:00:00	08:00:00	08:00:00	08:00:00

Table 3-86 Example on Order Received details before and after Cut Off time

Order Received within Cut off time	**Order Received within Cut off time**	**Order Received Post Cut off time**	**Order Received Post Cut off time**
From Fund ID	FNSGP1	To Fund ID	FNSGP1
Subscription Fund ID	FNTWN1	Subscription Fund ID	FNTWN1
Out Leg	-	Out Leg	-
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15
In Leg	-	In Leg	-

Table 3-86 (Cont.) Example on Order Received details before and after Cut Off time

Order Received within Cut off time	Order Received within Cut off time	Order Received Post Cut off time	Order Received Post Cut off time
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15

If Param text is set to **Y** for Param Codes **PSINCUTTIME/TSINCUTTIME**, then for switch in transaction, the application received date, time zone and time stamp recorded at switch out transaction will be considered.

If Param text is set to **Y**, then system will not consider the order received date, time zone and time from out leg to derive transaction date for in leg and transaction date will be defaulted from out leg.

Note:

- For the Pre-settled trade funds, during Out Leg transaction creation of Pseudo Switch and Transfer Switch, the system will derive the Transaction Date based on Order Received Date and Notice Period.
- If ORT is after fund cut-off, then the cut-off will be ignored and system will simply add Order Received Date and Notice Period to arrive at Transaction Date.
- During In leg transaction generation, system will not consider Pre-Settled Trade details of fund preference maintenance.

3.16.1.2 Modification and Amendment of the transaction

This topic provides information on modification and amendment of the transaction.

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

- **Order Received Date**
- **Order Received Time**
- **Transaction Date**
- **Fund ID**
- **Transaction Currency**
- **Unitholder ID**
- **Reference Number**
- **Transaction Mode**
- **Amount Applied**
- **Units Applied**
- **Percentage Applied**

- **Payment Mode**
- **Transaction Type**
- **To Fund ID**
- **To Unitholder ID**
- **Subscription Fund ID**

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

Both the From and To fund IDs of Switch Transaction will be enabled for modification and amendment.

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

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

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

Note:

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

3.16.1.3 Derive the Order Received Date and Time

This topic provides the instructions to derive the Order Received Date and Time.

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

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

Table 3-87 Fund cut off details

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

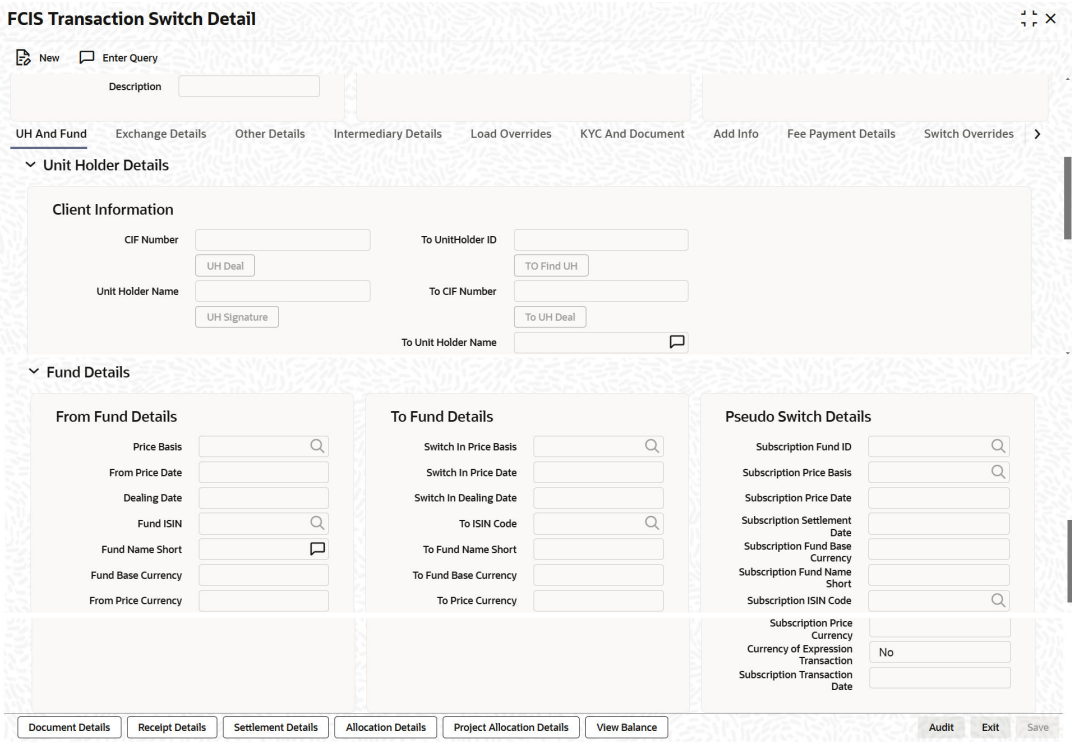
3.16.2 UH and Fund

This topic explains the UH and Fund tab in the **FCIS Transaction Switch Detail** screen.

1. On the **FCIS Transaction Switch Detail** screen, click **UH and Fund** tab to enter the details.

   The **UH and Fund** details are displayed.

Figure 3-65 FCIS Transaction Switch Detail - UH and Fund



2. On **UH and Fund** tab, specify the fields.

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

Table 3-88 FCIS Transaction Switch Detail - UH and Fund Tab

Field	Description
CIF Number	*Alphanumeric; 20 Characters; Optional* The system displays the CIF number based on the unit holder ID selected. However, you can amend this value.

Table 3-88 (Cont.) FCIS Transaction Switch Detail - UH and Fund Tab

Field	Description
Unit Holder Name	*Display* The system displays the unit holder name for the selected unit holder ID. Click the **UH Signature** button to upload the image. Click the **UH Deals** button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the **Find Options** screen. The system will display the records that match the search criteria you have specified.
To UnitHolder ID	*Display* Specify the to unitholder ID.
To CIF Number	*Display* The system displays the to CIF Number.
To Unit Holder Name	*Display* The system displays the unit holder name for the selected to unitholder ID.
From Fund Details	This section displays the following fields.
Price Basis	*Alphanumeric; 10 Characters; Optional* Specify the price basis details. Alternatively, you can select price basis from the option list. The list displays all valid price basis maintained in the system.
From Price Date	*Date Format; Optional* Specify the from price date.
Dealing Date	*Date Format; Optional* By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific **Fund Price Date Setup** screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance. Refer to the topic **Other Fund Activities** in the *Fund Manager User Manual* for more details on maintaining alternate trade cycles for a fund.
Fund ISIN	*Alphanumeric; 25 Characters; Optional* Specify the **Fund ISIN** code. Alternatively, you can select fund ISIN code from the option list. The list displays all valid fund ISIN code maintained in the system. If you have specified fund ID, then the system displays the fund ISIN code and vice versa.
Fund Name Short	*Display* The system displays the short fund name for the selected fund ID.
Fund Base Currency	*Display* The system displays the fund base currency.
From Price Currency	*Display* The system displays the from price base currency.

Table 3-88 (Cont.) FCIS Transaction Switch Detail - UH and Fund Tab

Field	Description
To Fund Details	This section displays the following fields.
Switch in Price Basis	*Alphanumeric; 10 Characters; Optional* Specify the Switch in price basis details. Alternatively, you can select switch in price basis from the option list. The list displays all valid switch in price basis maintained in the system.
Switch in Price Date	*Date Format; Optional* Specify the switch in price date.
Switch in Dealing Date	*Date Format; Optional* Specify the switch in dealing date.
To ISIN Code	*Alphanumeric; 25 Characters; Optional* Specify the To ISIN code. Alternatively, you can select To ISIN code from the option list. The list displays all valid To ISIN code maintained in the system.
To Fund Name Short	*Display* The system displays the short fund name.
To Fund Base Currency	*Display* The system displays the To fund base currency.
To Price Currency	*Display* The system displays the To price currency.
Pseudo Switch Details	This section displays the following fields.
Subscription Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the subscription fund ID. Alternatively, you can select subscription fund ID from the option list. The list displays all valid subscription fund ID maintained in the system.
Subscription Price Basis	*Alphanumeric; 10 Characters; Optional* Specify the subscription price basis. Alternatively, you can select subscription price basis from the option list. The list displays all valid subscription price basis maintained in the system.
Subscription Price Date	*Date Format; Optional* Specify the subscription price date.
Subscription Settlement Date	*Date Format; Optional* Specify the subscription settlement date.
Subscription Fund Base Currency	*Display* The system displays Subscription Fund Base Currency details.
Subscription Fund Name Short	*Display* The system displays Subscription Short Fund Name.
Subscription ISIN Code	*Alphanumeric; 25 Characters; Optional* Specify the subscription ISIN code. Alternatively, you can select subscription ISIN code from the option list. The list displays all valid subscription ISIN code maintained in the system.
Subscription Price Currency	*Display* The system displays Subscription Price Currency details.
Currency of Expression Transaction	*Optional* Select the currency of expression transaction status from the drop-down list. The list displays the following values: • **Yes** • **No**

Table 3-88 (Cont.) FCIS Transaction Switch Detail - UH and Fund Tab

Field	Description
Subscription Transaction Date	*Display* The system displays Subscription Transaction Date.

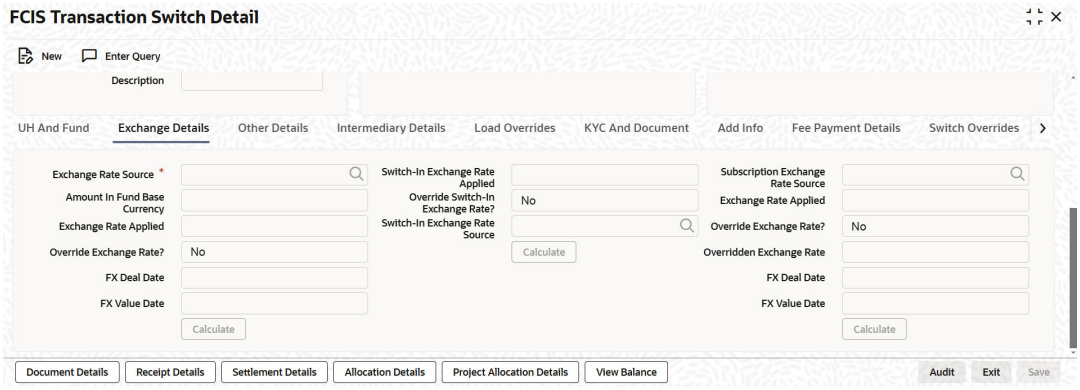
3.16.3 Exchange Details

This topic explains the Exchange Details tab in the **FCIS Transaction Switch Detail** screen.

1. Click **Exchange Details** tab in the **FCIS Transaction Switch Detail** screen.

   The **Exchange Details** are displayed.

Figure 3-66 FCIS Transaction Switch Detail - Exchange Details



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

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

Table 3-89 FCIS Transaction Switch Detail screen - Exchange Details Tab

Field	Description
Exchange Rate Source	*Alphanumeric; 6 Characters; Mandatory* Specify the exchange rate source. Alternatively, you can select exchange rate source from the option list. The list displays all valid Exchange Rate Source maintained in the system. **Note:** Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Amount In Fund Base Currency	*Numeric; 18 Characters; Optional* Specify the amount in fund base currency.
Exchange Rate Applied	*Numeric; 21 Characters; Optional* Specify the applied exchange rate.
Override Exchange Rate?	*Optional* Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values; • **Yes** • **No**

Table 3-89 (Cont.) FCIS Transaction Switch Detail screen - Exchange Details Tab

Field	Description
FX Deal Date	*Date Format; Optional* Specify the FX deal date.
FX Value Date	*Date Format; Optional* Specify the FX deal date.
Switch-In Exchange Rate Applied	*Numeric; 21 Characters; Optional* Specify the switch-in exchange rate applied.
Override Switch-in Exchange Rate	*Optional* Select if switch-in exchange rate should be overridden or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Switch-in Exchange Rate Source	*Alphanumeric; 12 Characters; Optional* Specify the switch-in exchange rate source.
Subscription Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the subscription exchange rate source.
Exchange Rate Applied	*Numeric; 21 Characters; Optional* Specify the exchange rate applied.
Override Exchange Rate	*Optional* Select if exchange rate should be overridden or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Overridden Exchange Rate	*Numeric; 21 Characters; Optional* Specify the overridden exchange rate applied.
FX Deal Date	*Date Format; Optional* Specify the FX deal date.
FX Value Date	*Date Format; Optional* Specify the FX value date.

3. Click the **Calculate** button after specifying all the necessary details to calculate the exchange details.

   The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in **Fund Base Currency** field. The applied exchange rate is also displayed in the **Override Exchange Rate** field.

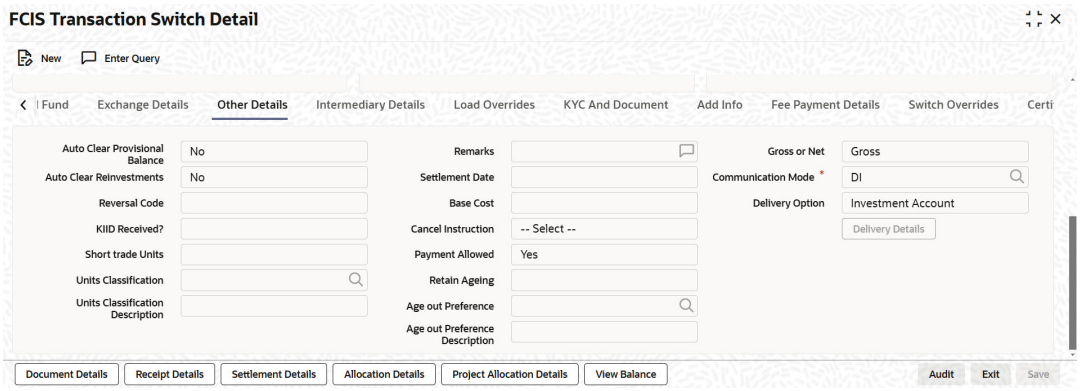
3.16.4 Other Details

This topic explains the Other Details tab in the **FCIS Transaction Switch Detail** screen.

1. Click **Other Details** tab in the **FCIS Transaction Switch Detail** screen.

   The **Other Details** are displayed.

Figure 3-67 FCIS Transaction Switch Detail screen - Other Details



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

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

Table 3-90 FCIS Transaction Switch Detail - Other Details Tab

Field	Description
Auto Clear Provisional Balance	*Optional* Select **Yes** option from drop-down list to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is **Percent** and the transaction value is **100**.
Auto Clear Reinvestments	*Optional* Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Reversal Code	*Display* The system displays the reversal code.

Table 3-90 (Cont.) FCIS Transaction Switch Detail - Other Details Tab

Field	Description
KIID Received?	*Optional* Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values: • **Yes** • **No** The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the **UCITS Fund** at the Fund level is **Yes** and the UH mapping to the Fund in the **UH KIID Compliance** tab is **NO** then at the transaction level, the system will default the **KIID Complaint** to **No**. If the KIID Received is set to **No**, the system display an error message while saving the transaction as **The Unit holder has not received the KIID**. If the flag is set to **YES** there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level. If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to blank. You cannot change this option to either a **Yes** or **No** at the transactions level if it is not a UCITS Fund. The business user can change the KIID Compliant flag at the transaction from **No** to **Yes** and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same. In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to **No** and then you need to manually override it.
Short Trade Units	*Numeric; 27 Characters; Optional* Specify the short trade units. If the unit holder is nominee account, only then system will allow you to capture the short trade units. Applicable short trade units will be taken for applying penalty. If short trade units is not entered, then the transaction allocation will follow the normal allocation process.
Units Classification	*Alphanumeric; 1 Character; Optional* Specify the units classification code. Alternatively, you can select units classification code from the option list. The list displays valid unit classification code maintained in the system. **Note:** As part of corporate action for merger, split and reverse split, if both from fund and to fund is CDSC fund with **USERMNTFIFO** ageing Logic, then movement of unit holdings will be in same unit classification bucket.
Units Classification Description	*Display* The system displays the description for the selected units classification code.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Settlement Date	*Date Format; Optional* Specify the settlement date.

Table 3-90 (Cont.) FCIS Transaction Switch Detail - Other Details Tab

Field	Description
Base Cost	*Numeric; 15 Characters; Optional* Specify the base cost details.
Cancel Instruction	*Optional* Select the cancel instruction from the drop-down list. The list displays the following values: • **Standing Instructions** You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the **Standing Instruction** option in this field to indicate cancellation of standing instructions. If this option has been chosen in the **General Operating Rules** for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the **Cancel Instruction** option automatically set. If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day. **Note:** Reversal or amendment of an outflow transaction for which **Cancel Instruction** has been set to **Standing Instruction**, would re-instate the standing instructions.
Payment Allowed	*Optional* Select if payment allowed is or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Retain Ageing	*Optional* Select if ageing is retained or not from the drop-down list and the default retain ageing value displayed is blank field. The list displays the following values: • **Yes** • **No**
Age out Preference	*Alphanumeric; 1 Character; Optional* Specify the age out preference from which we need to preferably redeem the units during outflow and is applicable for Redemption, Switch and Transfer screens. Alternatively, you can select age out preference from the option list. The list displays all valid age out preference code maintained in the system. Based on the **Age out preference** selection, the system will age out the transactions during outflow. If there is no sufficient balance in the respective buckets, then the system will age out the transactions from other buckets based on fund rule ageing logic. The system will consider the following parameter to age out onshore funds based on **USERMNTFIFO** ageing logic: • **Unit classification** • **Ageing Sequence**

Table 3-90 (Cont.) FCIS Transaction Switch Detail - Other Details Tab

Field	Description
Age out Preference Description	*Display* The system displays the description for the selected age out preference code.
Gross or Net	*Optional* Select if **Gross** or **Net** has to be selected from the drop-down list. The list displays the following values: • **Gross** • **Net**
Communication Mode	*Mandatory* Select the mode of communication from the drop-down list. Alternatively, you can select communication mode from the option list. The list displays all valid communication mode maintained in the system.
Delivery Option	*Optional* Select the delivery option from the drop-down list. The list displays the following values: • **Investment Account** • **Clearing Ac-Against Payment** • **Clearing Ac-Free of Payment** • **Delivery to Custodian** • **Physical Delivery** • **PUEV**

3. Click the **Delivery Details** button to specify the delivery details.

   For further information on delivery details, refer **Transaction Tab** in the topic *Process FCIS IPO Subscription Detail* in this User Manual.

   In case of Pseudo switch between equity funds and money funds, the system will perform the following logic for CDSC load computation:

Table 3-91 CDSC Load Computation Logic

Case	From units	To units	Switch out Leg (PS-03)	Switch in Leg (PS-02)
Case 1	Equity Fund CDSC units	Equity Fund FEL units	Invalid combination. Will be restricted at the screen level	Invalid combination. Will be restricted at the screen level
Case 2	Equity Fund CDSC units	Equity Fund CDSC units	No CDSC fee will be applied on switch out leg.	CDSC ageing should be carried forward. Retain ageing flag will be turned on to cater this requirement. Switch fee on switch-in leg
Case 3	Equity Fund CDSC units	MMF FEL units	CDSC fee on switch-out leg	No switch fee on switch-in leg
Case 4	Equity Fund FEL units	Equity Fund FEL units	No CDSC Fee	Switch fee on switch-in leg

Table 3-91 (Cont.) CDSC Load Computation Logic

Case	From units	To units	Switch out Leg (PS-03)	Switch in Leg (PS-02)
Case 5	Equity Fund FEL units	Equity Fund CDSC units	Invalid combination .will be restricted at screen level	-
Case 6	Equity Fund FEL units	MMF FEL units	No CDSC Fee	No switch fee on switch-in leg
Case 7	MMF FEL units	Equity Fund FEL units	No CDSC Fee	Switch fee on switch-in leg
Case 8	MMF FEL units	Equity Fund CDSC units	No CDSC Fee	No switch fee on switch-in leg
Case 9	MMF FEL units	MMF FEL units	No CDSC Fee	No switch fee on switch-in leg

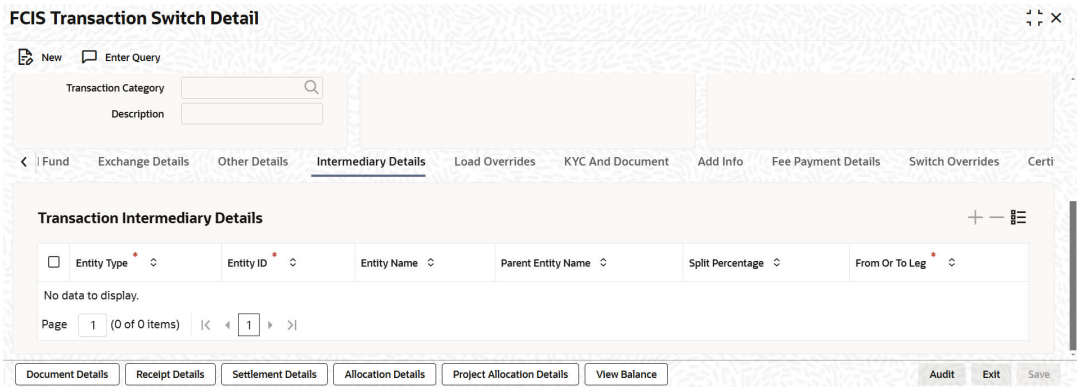
3.16.5 Intermediary Details

This topic explains the Intermediary Details tab in the **FCIS Transaction Switch Detail** screen.

1. On the **FCIS Transaction Switch Detail** screen, click **Intermediary Details** tab to enter the details.

   The **Intermediary Details** are displayed.

Figure 3-68 FCIS Transaction Switch Detail - Intermediary



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

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

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

Table 3-92 FCIS Transaction Switch Detail - Intermediary Details

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the **entity type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the broker is displayed. However, you can amend this value.
Parent Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Mandatory* Select the from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

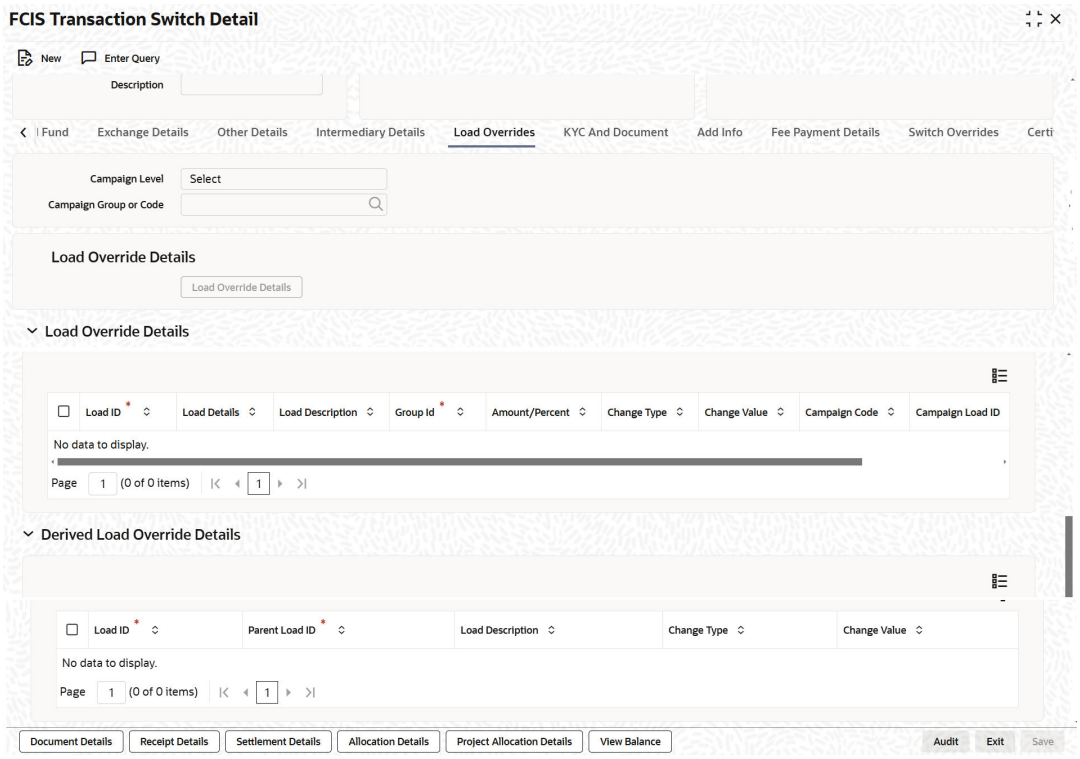
3.16.6 Load Override Tab

This topic explains the Load Override tab in the **FCIS Transaction Switch Detail** screen.

1. On the **FCIS Redemption Transaction Detail** screen, click **Load Override** tab to enter the details.

   The **Load Override** details are displayed.

Figure 3-69 FCIS Transaction Switch Detail - Load Override Tab



2. On **Load Override** tab, specify the fields.

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

Table 3-93 FCIS Transaction Switch Detail - Load Override Tab

Fields	Description
Campaign Level	*Optional* Select the campaign level from the drop-down list. The list displays the following values: • **Campaign Code** • **Campaign Group** By default, campaign code will be selected.

Table 3-93 (Cont.) FCIS Transaction Switch Detail - Load Override Tab

Fields	Description
Campaign Group or Code	*Alphanumeric; 10 Characters; Optional* Specify the campaign group or code to show the result based on Campaign Level selected. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the campaign maintenance. While saving the transaction, if you have selected Campaign Level as **Campaign Group** and **Campaign Group** is mentioned in **Campaign Code** option list, then the system will evaluate the best rate for investor during save of transaction and will tag the campaign against the transaction. If campaign Level is **Campaign Code**, then the system will tag the campaign while saving the transaction. You can link the campaign to the subscription and switch transaction type of standing instruction. Specify the campaign to be mapped. You can also select the campaign code from the option list. **Note:** Campaign is applicable only for subscription /Switch screens only.
Load Override Details button	Click the **Load Override Details** button to view Load Override details.
Load Override Details	The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.
Load ID	*Display* If a derived load has been mapped, it is also displayed here and can be overridden.
Load Details	*Display* The system displays the load details.
Load Description	*Display* The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.
Group ID	*Display* The system displays the group ID.

Table 3-93 (Cont.) FCIS Transaction Switch Detail - Load Override Tab

Fields	Description
Amount Percent	*Display* The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The **type** of the load refers to the base value upon which the load is applied. There are two possible types: • Amount-based loads • Percentage-based loads If the client country option **NETUNALLOTEDAMT** is set to true for your bank, then the system will match the units to be redeemed with the unit holder's current balance minus the unallotted switches (if any). If the transaction value exceeds the balance available, the system will throw up an error message, `It will not save the transaction`. For transactions by gross amount, a transaction value that exceeds the Minimum Amount for Tax ID that has been specified in the fund rules for either the switched-in or switched-out fund, the system validates the availability of the PAN Number in the unit holder account profile. If the PAN Number has not been specified in the profile, you must enter a transaction value that does not exceed the Minimum Amount for Tax ID value, or make a change to the unit holder account and specify the PAN Number, and then attempt to input the transaction. If specified in the **General Operating Rules** for the fund, the End of Day processes perform the minimum holdings validation, by picking up all allocated transactions during the business day and grouping according to CIF-level or Unit Holder-level, as indicated in the **General Operating Rules**. During this, the system validates whether the current holdings balance of the investor either equals or exceeds the minimum holdings balance specified in the **General Operating Rules**.
Campaign Code	*Display* The system displays the campaign code.
Campaign Load ID	*Display* The system displays the campaign load ID details.
Change type	*Display* The system displays the change type. When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways: • **Discount** (reducing the load return value in all the slabs) • **Increase** (increasing the load return value in all slabs) • **Return Value** (assigning an altered return value that will be applicable to all the loads)
Change Value	*Display* The system displays the change value details.
Project Return Value	*Display* The system populates the return value from the load setup. You can view the applicable loads and projected return values by clicking the **Enrich Transaction** button in the transaction screen. The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO.

> **Note:**
>
> - If the UH Deal maintained is same for Unit Holder, Load, and Fund Setup then overridden value from UH Deal is displayed.
> - If there are criteria based loads in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.
> - In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

3. You can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation in this section.

   The frequency of computation for such loads would be **Allocation**. This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

4. Click the **Load Override Details** button to view Load Override details.

   If you click this button, the system defaults the load details.

   If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

5. You can view the following details in the **Derived Load Override Details** section.

   The following details are displayed.

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

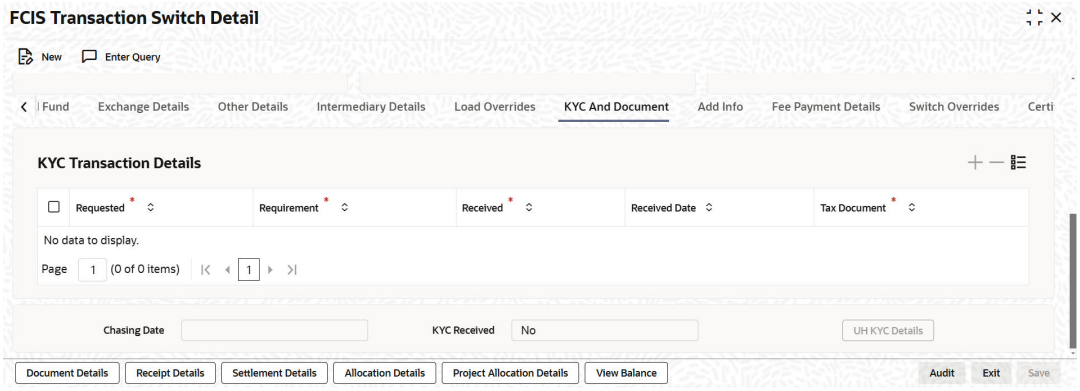
3.16.7 KYC and Document Tab

This topic explains the KYC and Document tab in the **FCIS Transaction Switch Detail** screen.

1. Click **KYC and Document** tab in the **FCIS Transaction Switch Detail** screen.

   The **KYC and Document** details are displayed.

Figure 3-70 FCIS Transaction Switch Detail - KYC and Document



2. On **KYC and Document** tab, specify the fields.

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

Table 3-94 FCIS Transaction Switch Detail - KYC and Document

Fields	Description
Requested	*Mandatory* Check this box to indicate KYC details are requested.
Requirement	*Alphanumeric; 255 Characters; Mandatory* Specify the list of KYC documents required for the unit holder.
Received	*Mandatory* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Mandatory* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.
KYC Received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**

3. Click on **UH KYC Details**. The system displays all the KYC details available for the UH.

   The **KYC details** screen is displayed.
   The details are populated from Unit Holder Maintenance screen (UTDUH).

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

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

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

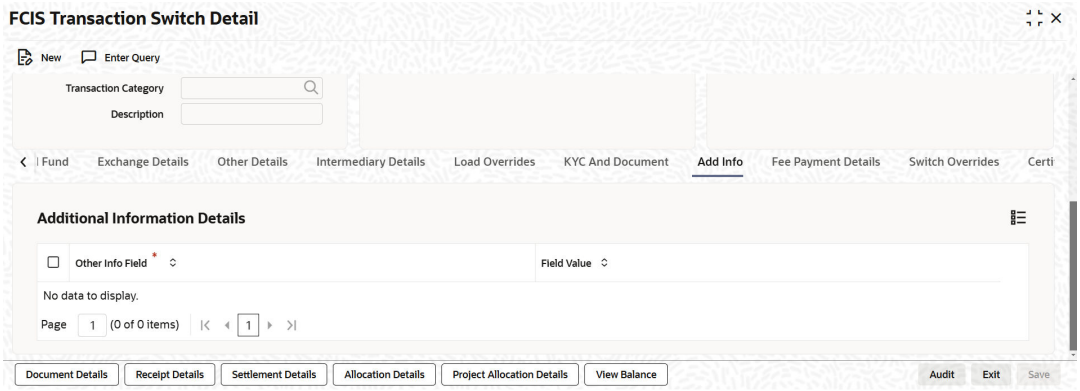
3.16.8 Add Info

This topic explains the Add Info tab in the **FCIS Transaction Switch Detail** screen.

1. On the **FCIS Transaction Switch Detail** screen, click **Add Info** tab to enter the details.

   The **Add Info** details are displayed.

Figure 3-71 FCIS Transaction Switch Detail - Add Info



2. On **Add Info** tab, specify the fields.

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

Table 3-95 FCIS Transaction Switch Detail - Add Info Tab

Fields	Description
Other Info Field	*Display* The system displays the additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.
Field Value	*Alphanumeric; 60 Characters; Optional* The system displays the field value.

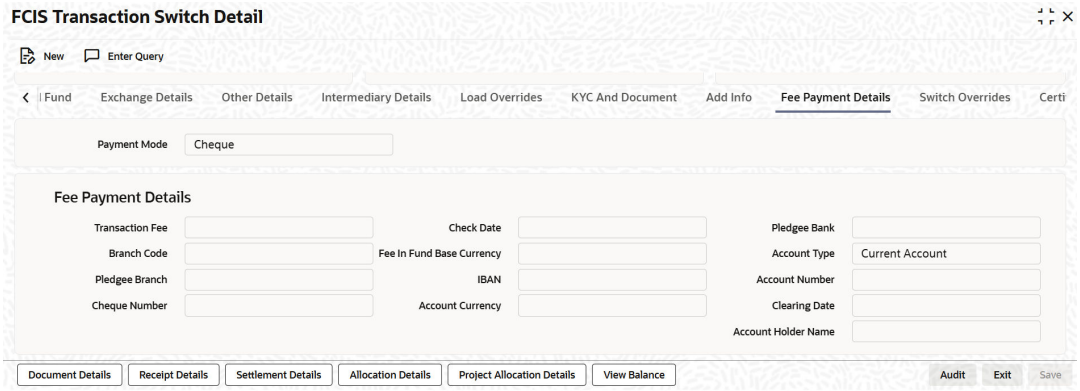
3.16.9 Fee Payment Details

This topic explains the Fee Payment Details tab in the **FCIS Transaction Switch Detail** screen.

1. Click **Fee Payment Details** tab in the **FCIS Transaction Switch Detail** screen.

   The **Fee Payment Details** are displayed.

Figure 3-72 FCIS Transaction Switch Detail - Fee Payment Details



2. On **Fee Payment Details** tab, specify the fields.

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

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

Table 3-96 FCIS Transaction Switch Detail - Fee Payment Details Tab

Fields	Description
Payment Mode	*Optional* Select the mode of payment from the drop-down list. The list displays the following values: • **Cheque** • **Transfer** • **Draft** • **Card**
Transaction Fee	*Numeric; 30 Characters; Optional* Specify the transaction fee. If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.
Branch Code	*Alphanumeric; 12 Characters; Optional* Specify the branch code. Alternatively, you can select the branch code from the option list. The list displays all valid branch code maintained in the system.
Pledgee Branch	*Alphanumeric; 20 Characters; Optional* Specify the pledgee branch code.
Cheque Number	*Alphanumeric; 16 Characters; Optional* Specify the cheque number.
Cheque Date	*Date Format; Optional* Specify the cheque date.
Fee in Fund Base Currency	*Alphanumeric; 3 Characters; Optional* Specify the fee in fund base currency details.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.
Account Currency	*Numeric; 30 Characters; Optional* Specify the account currency details.

Table 3-96 (Cont.) FCIS Transaction Switch Detail - Fee Payment Details Tab

Fields	Description
Pledgee Bank	*Alphanumeric; 12 Characters; Optional* Specify the pledgee bank details.
Account Type	*Optional* Select the type of account from the drop-down list. The list displays the following values: • **Current Account** • **Fixed Account** • **Loan Account** • **Mortgage Account** • **Overdraft Account** • **PF Account** • **Recurring Account** • **Savings Account** • **Sweeping Account**
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
Clearing Date	*Date Format; Optional* Specify the clearing date.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the name of the account holder.

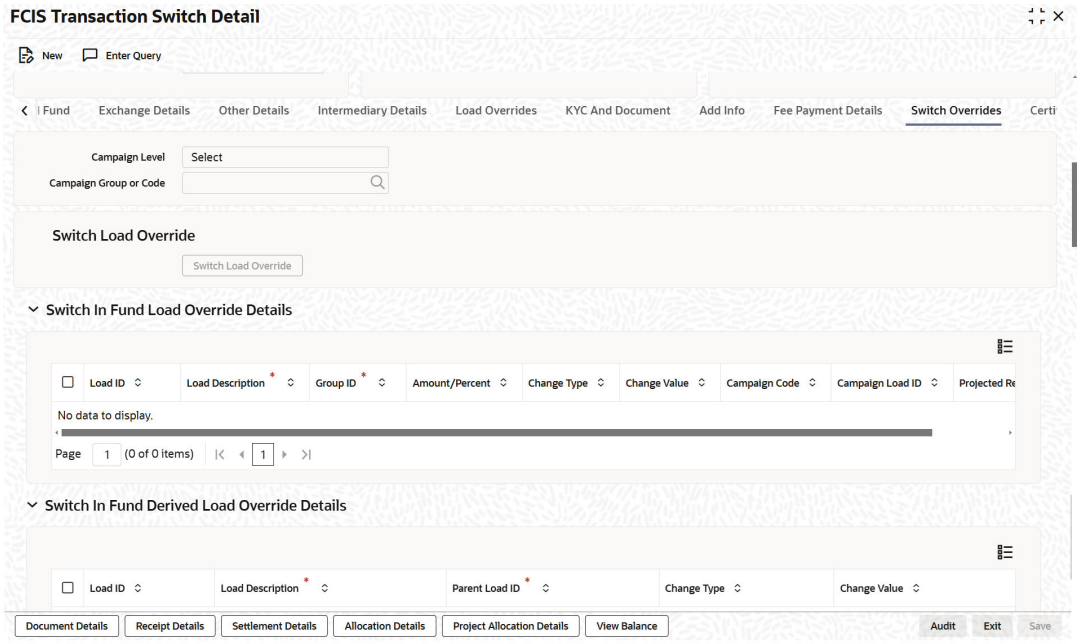
3.16.10 Switch Overrides Tab

This topic explains the Switch Overrides tab in the **FCIS Transaction Switch Detail** screen.

1. On the **FCIS Transaction Switch Detail** screen, click **Switch Overrides** tab to enter the details.

   The **Switch Overrides** details are displayed.

Figure 3-73 FCIS Transaction Switch Detail - Switch Overrides



2. On **Switch Overrides** tab, specify the fields.

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

Table 3-97 FCIS Transaction Switch Detail - Switch Overrides Tab

Fields	Description
Campaign Level	*Optional* Select the campaign level from the drop-down list. The list displays the following values: • **Campaign Code** • **Campaign Group** By default, campaign code will be selected.
Campaign Group or Code	*Alphanumeric; 10 Characters; Optional* Specify the campaign group or code to show the result based on Campaign Level selected. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the campaign maintenance. While saving the transaction, if you have selected Campaign Level as **Campaign Group** and **Campaign Group** is mentioned in **Campaign Code** option list, then the system will evaluate the best rate for investor during save of transaction and will tag the campaign against the transaction. If campaign Level is **Campaign Code**, then the system will tag the campaign while saving the transaction. You can link the campaign to the subscription and switch transaction type of standing instruction. Specify the campaign to be mapped. You can also select the campaign code from the option list. **Note:** Campaign is applicable only for subscription /Switch screens only.
Switch Load Override	Click the **Switch Load Override** button to view Switch Load Override details.

Table 3-97 (Cont.) FCIS Transaction Switch Detail - Switch Overrides Tab

Fields	Description
Switch In Fund Load Override Details	This section displays the following fields.
Load ID	*Display* The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link. If a derived load has been mapped, it is also displayed here and can be overridden.
Load Description	*Display* The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.
Load Type	*Display* The system displays the load type.
Group ID	*Display* The system displays the group ID.
Change type	*Display* The system displays the change type. When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways: • **Discount** (reducing the load return value in all the slabs) • **Increase** (increasing the load return value in all slabs) • **Return Value** (assigning an altered return value that will be applicable to all the loads)
Change Value	*Display* The system displays the change value details.
Campaign Code	*Display* The system displays the campaign code.
Campaign Load ID	*Display* The system displays the campaign load ID.
Switch In Fund Derived Load Override Details	The system displays the following values: • **Load ID** • **Load Description** • **Parent Load ID** • **Change Type** • **Change Value**

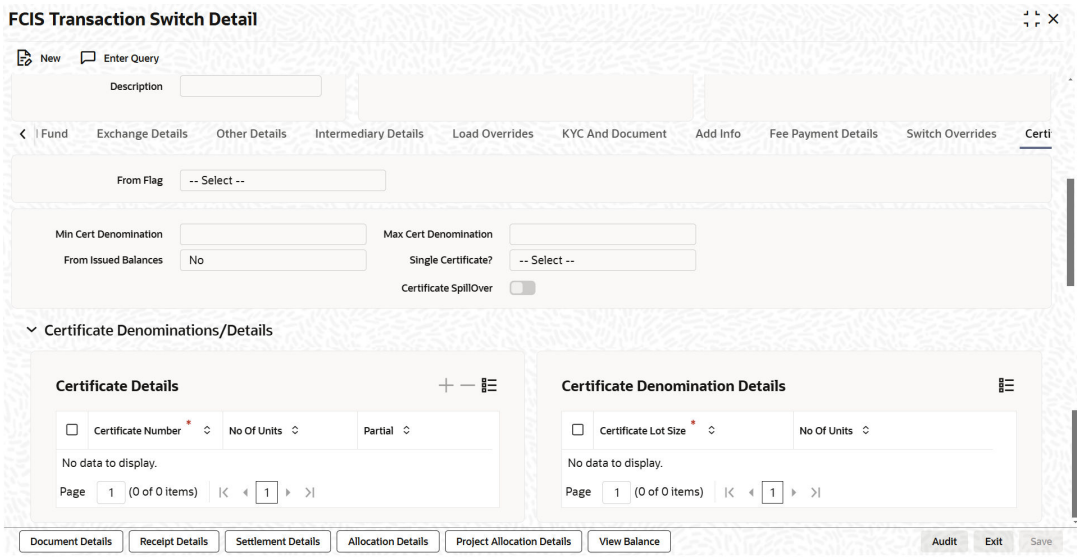
3.16.11 Certificate Tab

This topic explains the Certificate tab in the **FCIS Transaction Switch Detail** screen.

1. On the **FCIS Transaction Switch Detail** screen, click **Certificate** tab to enter the details.

   The **Certificate** details are displayed.

Figure 3-74 FCIS Transaction Switch Detail - Certificate



2. On **Certificate** tab, specify the fields.

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

Table 3-98 FCIS Transaction Switch Detail - Certificate Tab

Fields	Description
From Flag	*Optional* Select the From or To flag from the drop-down list. The list displays the following values: • **Yes** • **No**
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the minimum certificate denomination details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the maximum certificate denomination details.
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both**

Table 3-98 (Cont.) FCIS Transaction Switch Detail - Certificate Tab

Fields	Description
Single Certificate?	*Optional* Select whether a single certificate or multiple certificates have been requested from the dropdown list. The list displays the following values • **Single** • **Multiple** If single certificates have been designated for the fund, you cannot specify multiple certificates here. If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.
Certificate SpillOver	*Optional* Check this box to enable certificate spillover status.
Certificate Details	This section displays the following fields.
Certificate Number	*Numeric; 10 Characters; Mandatory* Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.
No of Units	*Numeric; 27 Characters; Optional* Specify the units details.
Partial	*Optional* Check this box if partial details to be selected.
Certificate Denomination Details	This section displays the following fields.
Certificate Lot Size	*Display* The system displays the certificate lot size details.
No of Certificates	*Display* The system displays the number of certificates.

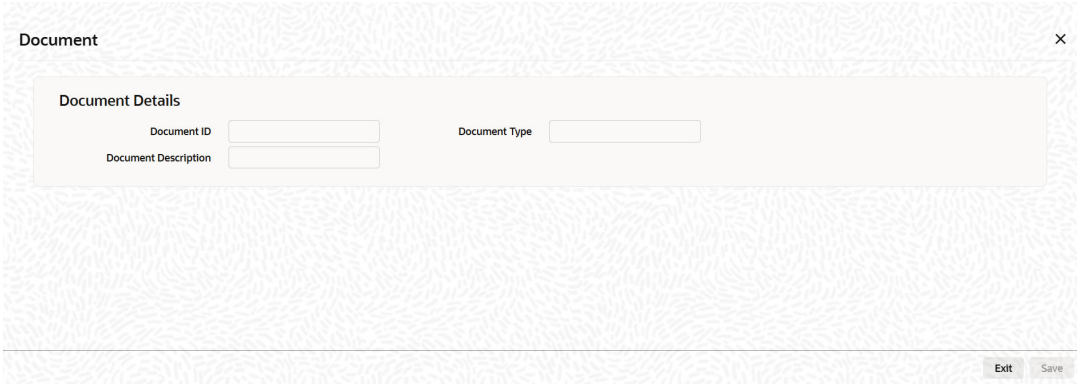
3.16.12 Document Details Button

This topic explains the Document Details button in the **FCIS Transaction Switch Detail** screen.

1. On the **FCIS Transaction Switch Detail** screen, click the **Document Details** button to enter the details.

   The **Document Details** screen is displayed.

Figure 3-75 FCIS Transaction Switch Detail - Document Details



2. On **Document Details** screen, specify the fields.

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

Table 3-99 FCIS Transaction Switch Detail - Document Details

Fields	Description
Document ID	*Alphanumeric; 25 Characters; Optional* Specify the document ID.
Document Description	*Alphanumeric; 255 Characters; Optional* Specify the document description for the selected document ID.
Document Type	*Alphanumeric; 4 Characters; Optional* Specify the document type.

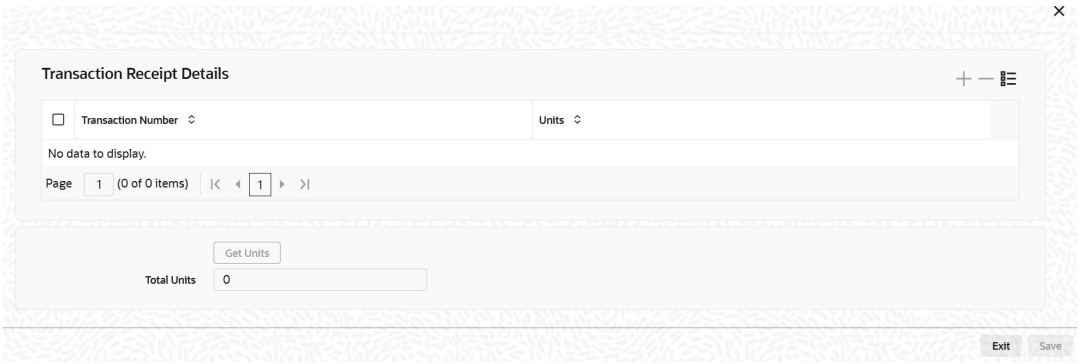
3.16.13 Receipt Details Button

This topic explains the Receipt Details button in the **FCIS Transaction Switch Detail** screen.

1. On the **FCIS Transaction Switch Detail** screen, click the **Receipt Details** button to enter the details.

   The **Transaction Receipt Details** screen is displayed.

Figure 3-76 Transaction Receipt Details



2. On **Transaction Receipt Details** screen, specify the fields.

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

Table 3-100 FCIS Transaction Switch Detail - Receipt Details

Field	Description
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specifies the transaction number linked to the outflow transaction.
Units	*Numeric; 22 Characters; Optional* Specify the units details.
Total Units	*Display* The system displays the total number of units by clicking the **Get Units** button.

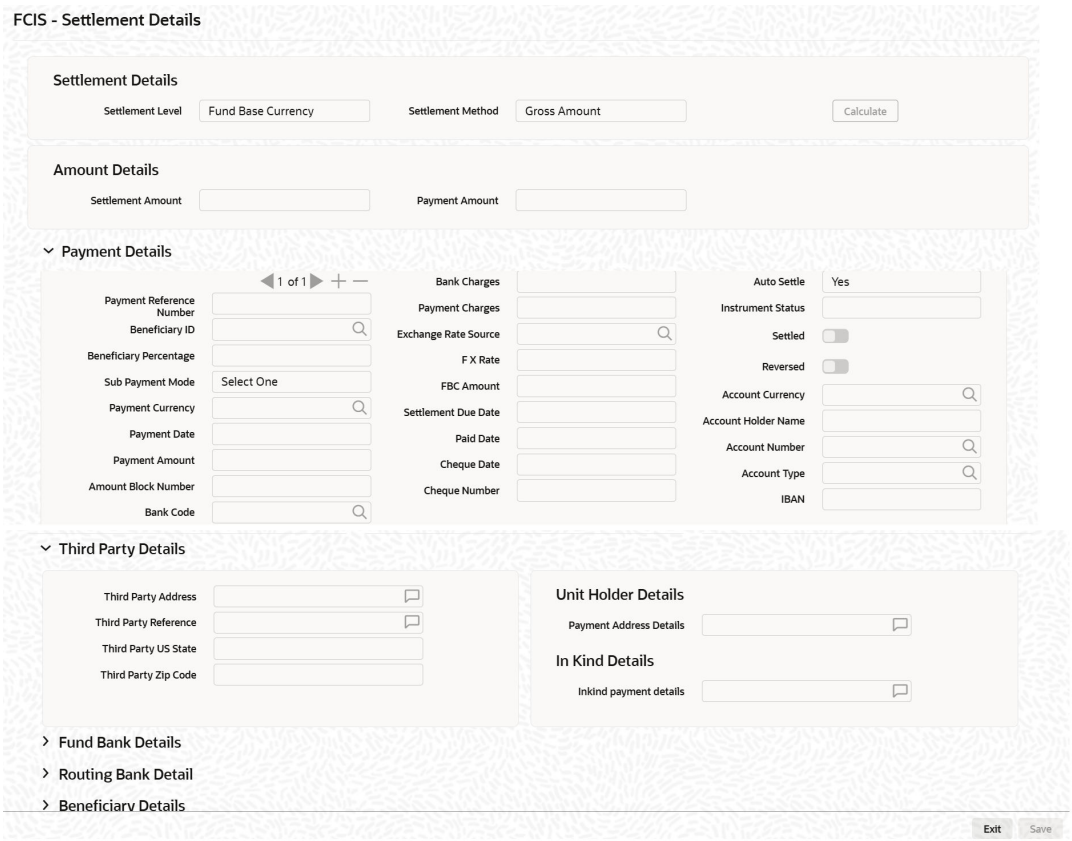
3.16.14 Settlement Details

This topic explains the Settlement Details button in the **FCIS Transaction Switch Detail** screen.

1. Click the **Settlement Details** button in the **FCIS Transaction Switch Detail** screen.

   The **FCIS - Settlement Details** screen is displayed.

Figure 3-77 FCIS - Settlement Details



2. On **FCIS - Settlement Details** screen, specify the fields.

   For more information on fields, refer *Settlement Details Button* in the topic *Process FCIS IPO Subscription Detail* of this User Manual.

> **Note:**
>
> - For the Pre-settled trade funds, during Out Leg transaction creation of Pseudo Switch and Transfer Switch, the system will derive the settlement due date based on price date of the transaction and due lag which is maintained at Fund Preference.
> - During In leg transaction generation, system will not consider Pre-Settled Trade details of fund preference maintenance.

- Process Multi Transactions
  This topic provides information on processing Multi Transactions.

3.16.14.1 Process Multi Transactions

This topic provides information on processing Multi Transactions.

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

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

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

Note:

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

3.16.15 Project Allocation Details Button

This topic explains the Project Allocation Details button in the **FCIS Transaction Switch Detail** screen.

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

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

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

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

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

The following project allocation details are displayed:

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

The following Load Details are displayed during the allocation:

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

The following Performance Fee Details are displayed during the allocation:

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

Click the **Close** button after you have viewed the projected allocation details to close the screen.

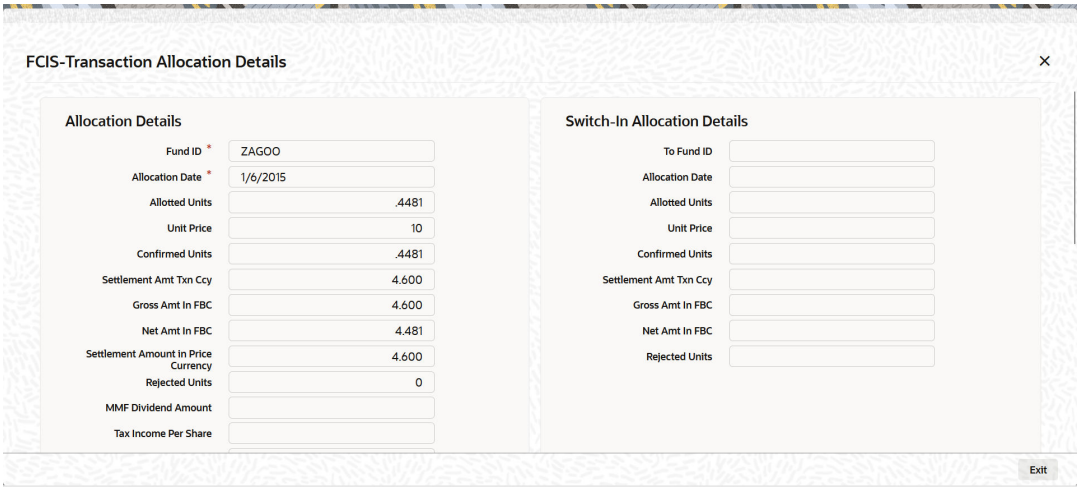
3.16.16 Allocation Details Button

This topic explains the Allocation Details button in the **FCIS Transaction Switch Detail** screen.

1. Click the **Allocation Details** button in the **FCIS Transaction Switch Detail** screen to enter the details.

   The **FCIS-Transaction Allocation Details** screen is displayed.

Figure 3-78 FCIS - Transaction Allocation Details



2. On **FCIS-Transaction Allocation Details**, specify the fields.

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

Table 3-101 FCIS-Transaction Allocation Details - Field Description

Field	Description
Allocation Details	The following allocation details are displayed: • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**
Switch-In Allocation Details	The following Switch-in allocation details are displayed: • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**

Table 3-101 (Cont.) FCIS-Transaction Allocation Details - Field Description

Field	Description
Load Details	The following load details are displayed during the allocation: • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**
Performance Fee Details	The following performance fee details are displayed during the allocation: • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**
Transaction Component Details	The following transaction component details are displayed during the allocation: • **Offer Price** • **Share Capital** • **Fund Capital** • **Switch In Bid Price** • **To Fund Capital** • **Bid Price** • **Income** • **Share Premium** • **Switch In Offer Price**
CGT Deduction Details	The following CGT deduction details are displayed during the allocation: • **Unit Holder/Joint Unit Holder ID** • **Unit Holder/Joint Unit Holder Name** • **Tax Amount**

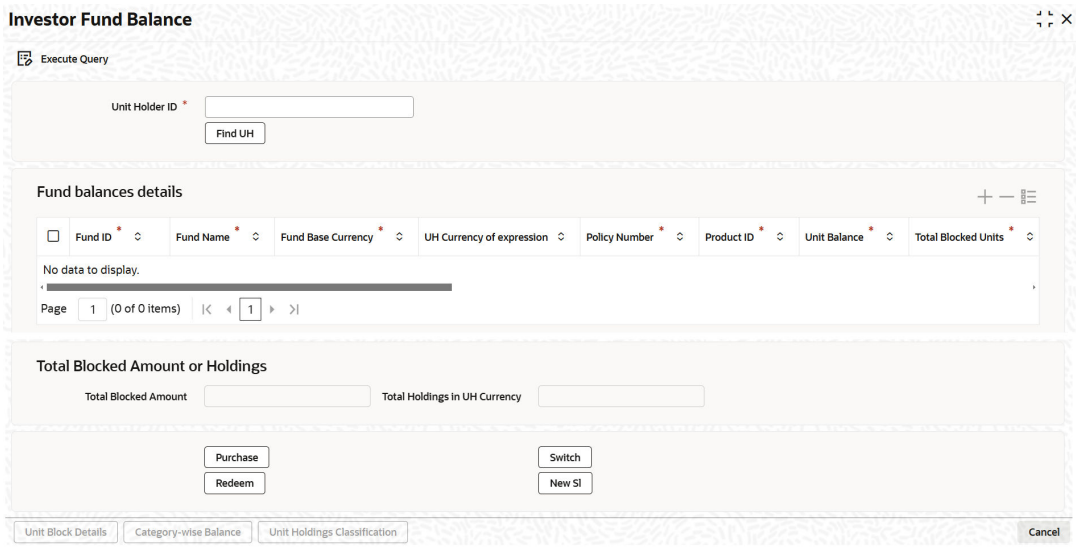
3.16.17 View Balance Button

This topic explains the View Balance button in the **FCIS Transaction Switch Detail** screen.

1. Click the **View Balance** button in the **FCIS Transaction Switch Detail** screen to view the fund balance details.

   The **Investor Fund Balance** screen is displayed.

Figure 3-79 Investor Fund Balance



2. On **Investor Fund Balance** screen, click **Execute Query** to enter the details.

   For more information on fields, refer to *View Balance Button* in the topic **FCIS Redemption Transaction Detail** of this User Manual.

3.16.18 Save the Transaction

This topic provides information on saving transaction details.

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

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

3.16.19 Transaction Processing Logic for Currency of Expression Funds

This topic provides information about transaction processing logic for currency of expression funds details.

The system defaults the **UH Currency of Expression (UHCOE)** in the **Transaction Currency** field, if available, during transaction capture based on UH and fund combination.

If there is no **UH Currency of Expression (UHCOE)** maintained in **UTDUHCOE**, then FBC will be defaulted in the **Transaction Currency** field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (**UTDUHCOE**). The defaulted currency of expression in the UHCOE maintenance will be as system user.

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

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

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

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

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

- FX Logic
  This topic provides the information about the FX Logic details.
- Process Unit Holder Currency of Expression
  This topic provides information about processing unit holder currency of expression details.
- Process Fund Price Maintenance
  This topic provides information about processing fund price maintenance details.
- NAV Correction Impact for Fund Price Currencies
  This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.
- Currency of Expression Logic Applied During Transactions
  This topic provides the information about currency of expression logic applied during transactions.
- System Logic to Derive the Price Currency
  This topic provides information about system logic to derive the price currency details.
- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.
- FX Logic
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- Currency of Expression Logic Applied During Transactions
  This topic provides the information about currency of expression logic applied during transactions.

- System Logic to Derive the Price Currency
  This topic provides information about system logic to derive the price currency details.
- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.
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  This topic provides information about processing unit holder currency of expression details.
- Process Fund Price Maintenance
  This topic provides information about processing fund price maintenance details.
- NAV Correction Impact for Fund Price Currencies
  This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.
- Currency of Expression Logic Applied During Transactions
  This topic provides the information about currency of expression logic applied during transactions.
- System Logic to Derive the Price Currency
  This topic provides information about system logic to derive the price currency details.
- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.
- FX Logic
  This topic provides the information about the FX Logic details.
- Process Unit Holder Currency of Expression
  This topic provides information about processing unit holder currency of expression details.
- Process Fund Price Maintenance
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- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

3.16.19.1 FX Logic

This topic provides the information about the FX Logic details.

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

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

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

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

> **Note:**
>
> The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

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

logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

3.16.19.2 Process Unit Holder Currency of Expression

This topic provides information about processing unit holder currency of expression details.

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

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

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

3.16.19.3 Process Fund Price Maintenance

This topic provides information about processing fund price maintenance details.

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

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

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

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

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

3.16.19.4 NAV Correction Impact for Fund Price Currencies

This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.

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

3.16.19.5 Currency of Expression Logic Applied During Transactions

This topic provides the information about currency of expression logic applied during transactions.

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

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

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

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

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

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

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

UHCOE = FPC and TBC ≠ UHCOE

> **Note:**
>
> The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UHCOE will be defaulted as Transaction currency.

3.16.19.6 System Logic to Derive the Price Currency

This topic provides information about system logic to derive the price currency details.

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

3.16.19.7 Switch Logic for Currency of Expression

This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

3.17 FCIS Transaction Switch Summary

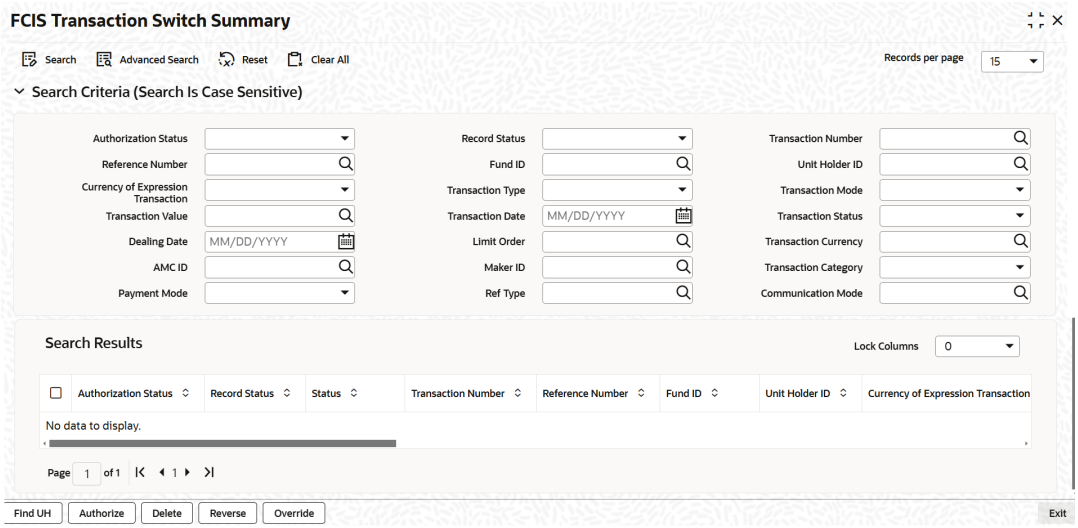
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in FCIS Transaction Switch Summary

1. On **Home** screen, type **UTSTXN04** in the text box and click **Next**.

   The **FCIS Transaction Switch Summary** screen is displayed.

Figure 3-80 FCIS Transaction Switch Summary



2. On **FCIS Transaction Switch Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Currency of Expression Transaction**
   - **Transaction Mode**
   - **Dealing Date**
   - **Transaction Currency**
   - **Maker ID**
   - **Payment Mode**
   - **Communication Mode**
   - **Unit Holder ID**
   - **Transaction Type**
   - **Transaction Value**
   - **Transaction Status**
   - **Limit Order**
   - **AMC ID**
   - **Transaction Category**
   - **Ref Type**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

   You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:

   - Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

- Edit FCIS Transaction Switch Record
  This topic provides the systematic instructions to edit FCIS Transaction Switch record.
- View FCIS Transaction Switch Record
  This topic provides the systematic instructions to view FCIS Transaction Switch record.
- Delete FCIS Transaction Switch Record
  This topic provides the systematic instructions to delete FCIS Transaction Switch record.
- Authorize FCIS Transaction Switch Record
  This topic provides the systematic instructions to authorize FCIS Transaction Switch record.
- Amend FCIS Transaction Switch Record
  This topic provides the systematic instructions to amend FCIS Transaction Switch record.
- Authorize Amended FCIS Transaction Switch Record
  This topic provides the systematic instructions to authorize amended FCIS Transaction Switch record.

3.17.1 Edit FCIS Transaction Switch Record

This topic provides the systematic instructions to edit FCIS Transaction Switch record.

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

1. Start the **FCIS Transaction Switch Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Transaction Switch Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Transaction Switch Detail** screen is closed and the changes made are reflected in the **FCIS Transaction Switch Summary** screen.

3.17.2 View FCIS Transaction Switch Record

This topic provides the systematic instructions to view FCIS Transaction Switch record.

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

1. Start the **FCIS Transaction Switch Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Transaction Switch Detail** screen is displayed.

3.17.3 Delete FCIS Transaction Switch Record

This topic provides the systematic instructions to delete FCIS Transaction Switch record.

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

1. Start the **FCIS Transaction Switch Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Transaction Switch Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.17.4 Authorize FCIS Transaction Switch Record

This topic provides the systematic instructions to authorize FCIS Transaction Switch record.

An unauthorized FCIS Transaction Switch Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Transaction Switch Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Transaction Switch Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.17.5 Amend FCIS Transaction Switch Record

This topic provides the systematic instructions to amend FCIS Transaction Switch record.

After a FCIS Transaction Switch Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Transaction Switch Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Transaction Switch Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.17.6 Authorize Amended FCIS Transaction Switch Record

This topic provides the systematic instructions to authorize amended FCIS Transaction Switch record.

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

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

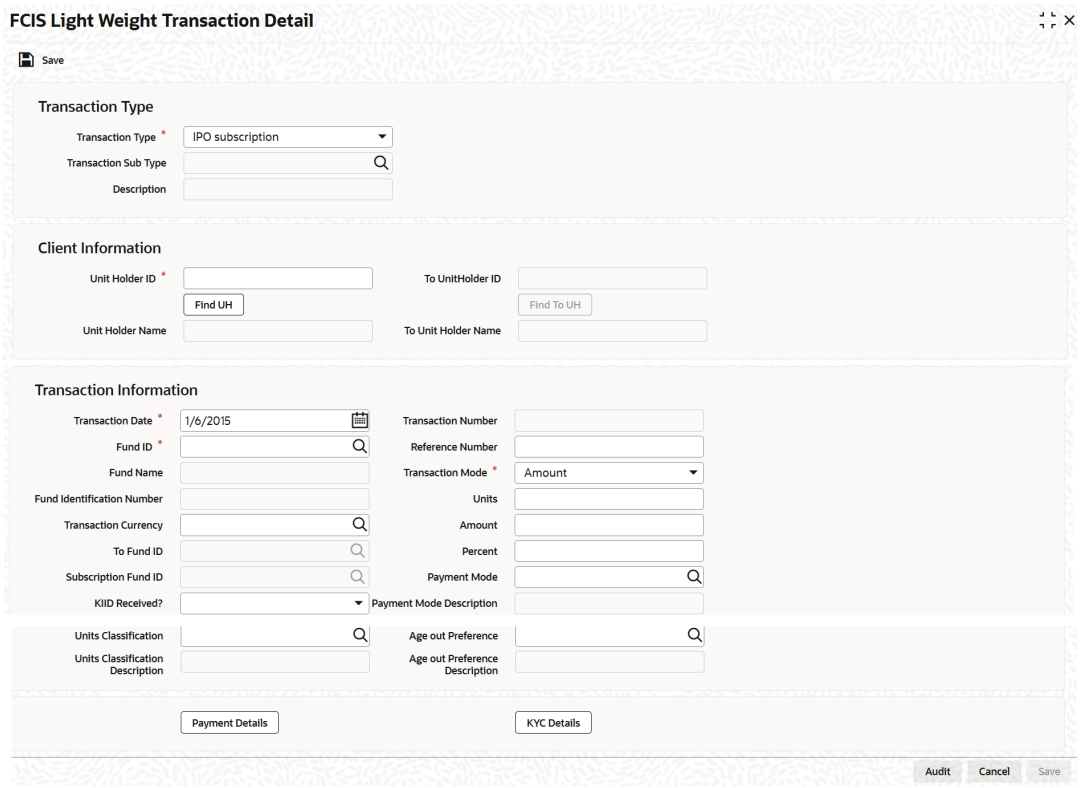
3.18 Process Light Weight Transaction Detail

This topic provides the systematic instructions to process **FCIS Light Weight Transaction Detail** screen.

1. On **Home** screen, type **UTDTXNLT** in the text box and click **Next**.

   The **FCIS Light Weight Transaction Detail** screen is displayed.

Figure 3-81 FCIS Light Weight Transaction Detail



2. On the **FCIS Light Weight Transaction Detail** screen, click **New** to enter the details.

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

Table 3-102 Transaction Type

Field	Description
Transaction Type	*Mandatory* Select the type of transaction from the drop-down list. The list displays the following values: • **IPO Subscription** • **Subscription** • **Redemption** • **Switch From** • **Transfer**

Table 3-102 (Cont.) Transaction Type

Field	Description
Transaction Sub Type	*Alphanumeric; 1 Character; Optional* Specify the transaction sub type. Alternatively, you can select transaction sub type from the option list. The option list display all valid transaction sub type maintained in the system. For Transfer Switch transaction, you need to select **Switch From** in Transaction Type and **Transfer Switch** in Transaction Sub Type from the list displayed, • **Normal Switch** • **Pseudo Switch** • **CMA Switch** • **BB Switch** • **Transfer Switch** **Note:** For a **Switch From** transaction type, you cannot opt the **Bed and Breakfast Switch** sub type.
Description	*Display* The system displays the description for the selected Transaction sub type.
Client Information	The section displays the following fields.
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the unit holder ID of the unit holder who has requested for the transaction. You can select the unit holder ID by clicking **Find UH** button.
Unit Holder Name	*Display* The system displays the name of the selected unit holder ID.
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the to unit holder ID. You can also select To Unit Holder ID by clicking **Find UH** button. This field is enabled only if you have selected **Transfer** option in **Transaction Type** field.
Unit Holder Name	*Display* The name of the unit holder is displayed.
Transaction Information	The section displays the following fields.
Transaction Date	*Date Format; Mandatory* By default, the settlement date is arrived at by taking the payment lag defined for the fund in the Transaction Processing Rules into consideration. The date displayed here can be altered, if required, and you can specify the requisite settlement date.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund id for which the requested transaction is to be put through, from the option list in the Fund ID field.
Fund Name	*Display* The system displays the name of the selected fund ID.
Fund Identification Number	*Display* The system displays the **Fund Identification Number**.

Table 3-102 (Cont.) Transaction Type

Field	Description
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned, in the Transaction Currency field. The option list displays only the maintained fund base currency and fund price currencies for the Fund ID selected. You can now save the transaction. A summary screen will appear showing all the details of the transaction along with defaults and transaction number. **Note:** Ensure that the verified bank accounts are used for redemption transaction. If the bank accounts are unverified, such accounts should not be processed till the account status is changed to **Verified**. This can be only a Fund Base Currency or Fund Price Currency **Note:** Multi currency is not handled in light-weight screens and Bulk client defaults should be maintained. The Inflow breach factor for IN transactions and Outflow breach factor for OUT transactions are considered for arriving at the fund inflow/outflow dilution levy breach limit (Fund Corpus * Inflow / Outflow Breach Factor < Net Amount in FBC) for the day. Dilution levy is validated against the gross transaction amount. If gross transaction amount is greater than the dilution levy breach limit, then a warning message is displayed by the system as `Dilution levy value can be overridden`. The overridden value is considered only if the transaction is breaching the dilution levy limit amount. If a transaction is saved and if there are overrides while saving such a transaction, then the warning message is displayed by the system as `Transactions are saved with overrides.`
To Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the fund to which the unit holder wishes to switch the investment in the **To Fund ID** field. This field is enabled only if you have selected **Switch From** or **Transfer** option in **Transaction Type** field.
Subscription Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the subscription fund ID. Alternatively, you can select subscription fund ID from the option list. The list displays all valid subscription fund ID maintained in the system.
KIID Received?	*mandatory* Select if KIID is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Units Classification	*Alphanumeric; 1 Character; Optional* Specify the units classification details. Alternatively, you can select units classification code from the option list. The list displays all valid units classification code maintained in the system.
Units Classification Description	*Display* The system displays the description for the selected unit classification.
Transaction Number	*Display* The system displays the transaction number.

Table 3-102 (Cont.) Transaction Type

Field	Description
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number.
Transaction Mode	*Mandatory* Select the mode in which the transaction value will be reckoned from the drop-down list. The list displays the following values: • **Amount** • **Units** • **Percent** **Note:** Transaction Mode will be enabled for only Pseudo switch transactions.
Units	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Amount	*Numeric; 27 Characters; Optional* Specify the amount applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as **Amount**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Percent	*Numeric; 27 Characters; Optional* Specify the percent applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Percent**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Payment Mode	*Alphanumeric; 2 Characters; Optional* Specify the mode in which the payment for the transaction will be made in the **Payment Mode** field.
Payment Mode Description	*Display* The description for the mode selected is displayed here.
Age Out Preference	*Alphanumeric; 1 Character; Optional* Specify the age out preference details. Alternatively, you can select age out preference from the option list. The list displays all valid age out preference details maintained in the system.
Age out Preference Description	*Display* The system displays the description for the selected age out preference. The **Payment Details** button is disabled if you select **Transfer** option in **Transaction Type** field.

- Payment Details Button
  This topic explains the Payment Details button in the **FCIS Light Weight Transaction Detail** screen.
- KYC Details Button
  This topic explains the KYC Details button in the **FCIS Light Weight Transaction Detail** screen.

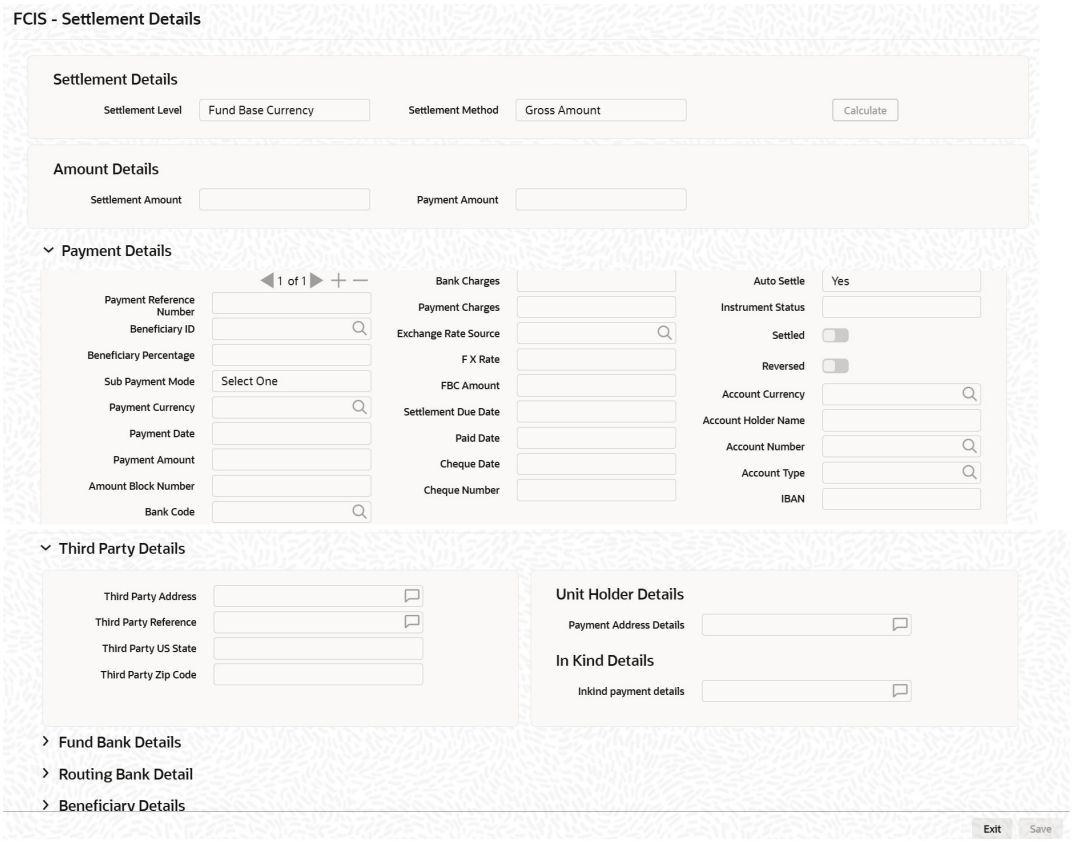
3.18.1 Payment Details Button

This topic explains the Payment Details button in the **FCIS Light Weight Transaction Detail** screen.

1. Click the **Payment Details** button in the **FCIS Light Weight Transaction Detail** screen.

   The **FCIS - Settlement Details** screen is displayed.

Figure 3-82 FCIS - Settlement Details



2. On **FCIS - Settlement Details** screen, specify the fields.

   For more information on fields, refer **Settlement Details Button** in the topic *Process FCIS IPO Subscription Detail* in this user manual.

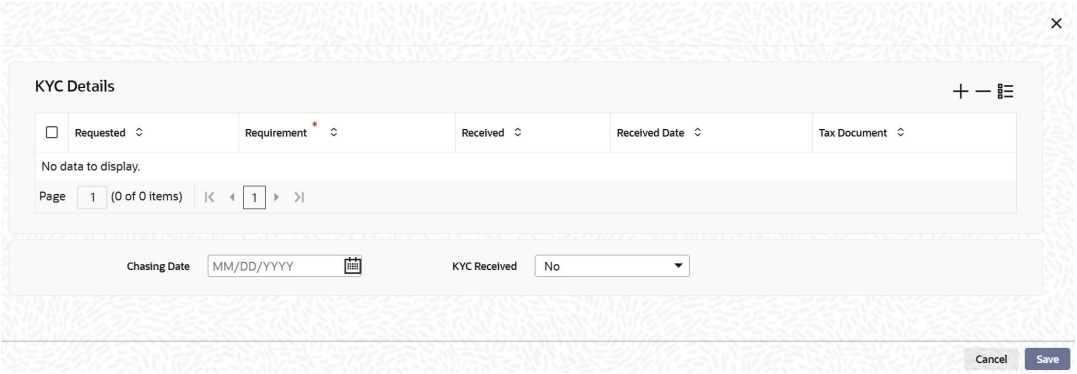
3.18.2 KYC Details Button

This topic explains the KYC Details button in the **FCIS Light Weight Transaction Detail** screen.

1. Click the **KYC Details** button in the **FCIS Light Weight Transaction Detail** screen.

   The **KYC Details** screen is displayed.

Figure 3-83 KYC Details



2. On **KYC Details** screen, specify the fields.

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

Table 3-103 KYC Details

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are requested.
Requirement	*Alphanumeric; 255 Characters; Mandatory* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Optional* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.
KYC Received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**

.

3.19 Transfer Detail

This topic provides information on **FCIS Transfer** screen.

This topic contains the following sub-topics:

- Process FCIS Transfer
  This topic provides the systematic instructions to enter a transfer transaction request into the system.
- UH and Fund Tab
  This topic explains the UH and fund tab in the **FCIS Transfer** screen.
- Other Tab
  This topic explains the Other tab in the **FCIS Transfer** screen.
- Intermediary Tab
  This topic explains the Intermediary tab in the **FCIS Transfer** screen.
- Load Override Tab
  This topic explains the Load Override tab in the **FCIS Transfer** screen.
- KYC and Document Tab
  This topic explains the KYC and Document tab in the **FCIS Transfer** screen.
- Add Info Tab
  This topic explains the Add Info tab in the **FCIS Transfer** screen.
- Fee Payment Tab
  This topic explains the Fee Payment tab in the **FCIS Transfer** screen.
- Certificate
  This topic explains the Certificate tab in the **FCIS Transfer** screen.
- Receipt Details Button
  This topic explains the Receipt Details button in the **FCIS Transfer** screen.
- Allocation Details Button
  This topic explains the Allocation Details button in the **FCIS Transfer** screen.
- View Balance Button
  This topic explains the View Balance button in the **FCIS Transfer** screen.
- Save the Transaction
  This topic provides information on saving transaction details.
- View Balance
  This topic explains the view balance button of **FCIS Block Transaction Detail**.
- Transaction Processing Logic for Currency of Expression Funds
  This topic provides information about transaction processing logic for currency of expression funds details.

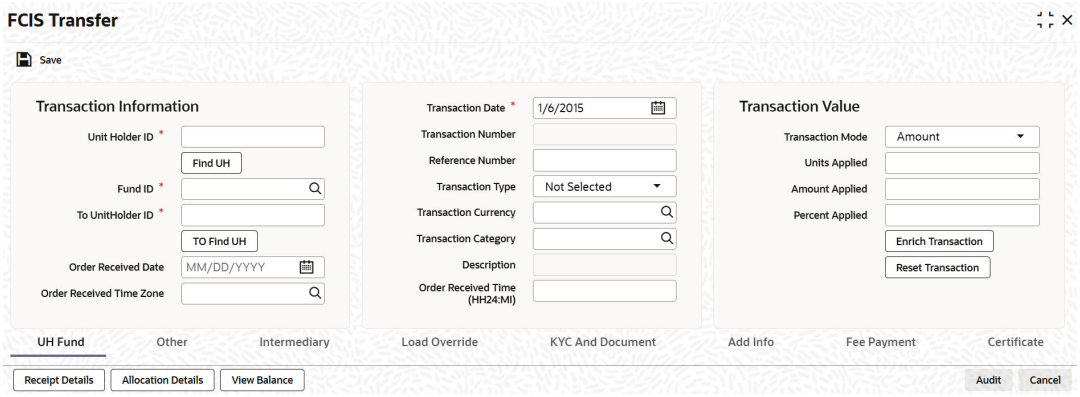
3.19.1 Process FCIS Transfer

This topic provides the systematic instructions to enter a transfer transaction request into the system.

1. On **Home** screen, type **UTDTXN05/UTDTRA05** in the text box and click **Next**.

   The **FCIS Transfer** screen is displayed.

Figure 3-84 FCIS Transfer



2. On **FCIS Transfer** screen, specify the fields.

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

Table 3-104 FCIS Transfer Detail

Fields	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the Transaction Information section. When you change the unit holder, time zone will get reset accordingly with a warning message **I-TZDEFAULT**. You can query for unit holder ID by clicking **Find UH** button.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
To Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the Transaction Information section. You can query for to unit holder ID by clicking **Find UH** button.
Order Received Date	*Date Format; Optional* Specify the order received date. **Note:** Order Received Date will not be defaulted for system generated transactions.

Table 3-104 (Cont.) FCIS Transfer Detail

Fields	Description
Order Received Time Zone	*Optional* Specify the order received Time Zone. Alternatively, you can select it from the option list. The list displays all Time Zones maintained in the system. **Note:** • System should allow the user to map service location in the Service Location Maintenance screen to a specific Time Zone. This Service Location mapping details will be used to default the time zone when transactions are captured. • If Service Location mapping is not available for the user, then the existing Module Level Time Zone will get defaulted as Order Received Time Zone. • If the Default Time Zone value is null, then the system will display an error message. • Order Received Time zone will not be defaulted for system generated transactions.
Transaction Date	*Date Format; Mandatory* Specify the transaction date. Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order Received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order Received time breaches the fund cutoff, then transaction date arrives to next business date.
Payment Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the mode in which the payment for the transaction will be made in the **Payment Mode** field.
Payment Mode Description	*Display* The system displays the description for the mode of payment selected.
Transaction Number	*Display* The system displays the transaction number.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.
Order Received Time (HH24:MI)	*Time Format; Optional* Specify the order received time. **Note:** Order Received Time will not be defaulted for system generated transactions.

Table 3-104 (Cont.) FCIS Transfer Detail

Fields	Description
Transaction Type	*Alphanumeric; 1 Character; Optional* Select the transaction type. In case for a particular transaction type restriction is **Not Applicable**, then the system will display an error message as `STOPACCOUNT is issued for Transaction Type to this Unit Holder.`
Description	*Display* The system displays the description for the selected Transaction type.
Transaction Category	*Alphanumeric; 1 Character; Optional* Specify the type of transaction. Alternatively, you can select transaction category from the option list. The list displays all valid transaction category code maintained in the system.
Description	*Display* The system displays the description for the selected transaction category. This field is enabled after you click the **Enrich** button.
Transaction Value	This section displays the following fields.
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Amount** • **Units** • **Percent**
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Amount Applied	*Numeric; 27 Characters; Optional* Specify the amount applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as **Amount**. Else, while clicking **Enrich Transaction** button, the system will display an error message.

Table 3-104 (Cont.) FCIS Transfer Detail

Fields	Description
Percent Applied	*Numeric; 27 Characters; Optional* The system displays the percent applied details. Specify the percent applied details. You can specify the details in this field only if you have selected **Transaction Mode** field as **Percent**. Else, while clicking **Enrich Transaction** button, the system will display an error message. The following primary fields will be enabled for modification and Amendment of the transaction: • **Order Received Date** • **Order Received Time** • **Transaction Date** • **Fund ID** • **Transaction Currency** • **Unitholder ID** • **Reference Number** • **Transaction Mode** • **Amount Applied** • **Units Applied** • **Percentage Applied** • **Payment Mode** • **Transaction Type** • **To Fund ID** • **To Unitholder ID** • **Subscription Fund ID** For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction. During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details. The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date. The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system. • This is not applicable to transactions captured through any other function/UI/ channels/uploads. • If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The **Reset Transaction** Button will be disabled, if UBS- Integration is enabled

3. Click the **Enrich Transaction** button after entering all details in the **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in the **UH and Fund** section.

4. Click the **Enrich Transaction** button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

On click of **Enrich Transaction** button, all the header fields will be disabled.

5. Click the **Reset Transaction** to reset the entire transaction during transaction input, modification and amendment.

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

6. You need to click the **Reset Transaction** button for any modification/amendment in any of the primary field including **Fund ID** or **Transaction Date**.

   Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

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

- Derive Transaction Date
  This topic provides the instructions to derive the **Transaction Date**.
- Modification and Amendment of the transaction
  This topic provides information on modification and amendment of the transaction.

3.19.1.1 Derive Transaction Date

This topic provides the instructions to derive the **Transaction Date**.

Transaction Date will be derived based on the Order received Date, Order Received Time Zone and Order Received Time. If order received time is within fund cutoff (converting time from Order Received Time Zone to Fund Time Zone), then transaction date arrives to same as order received date. If order received time breaches the fund cutoff, then transaction date arrives to next business date.

It is better understood by the below example:

Table 3-105 Example on Fund details

Fund Details	Case 1	Case 2	Case 3
Fund ID	FNSGP1	-	-
Fund Time Zone	SGT	-	-
Fund Cut Off	17:30	-	-
Module Default Time Zone	HKT	-	-
Time Zone	UKT	HKT	SGT
GMT+	00:00:00	08:00:00	08:00:00

Table 3-106 Example on Order Received details before and after Cut Off time

Order Received within Cut off time	Order Received within Cut off time	Order Received Post Cut off time	Order Received Post Cut off time
Fund ID	FNSGP1	Fund ID	FNSGP1
Order Received Date	2-Jan-15	Order Received Date	2-Jan-15
Order Received Time Zone	UKT	Order Received Time Zone	UKT

Table 3-106 (Cont.) Example on Order Received details before and after Cut Off time

Order Received within Cut off time	Order Received within Cut off time	Order Received Post Cut off time	Order Received Post Cut off time
Order Received Time	9:15	Order Received Time	9:45
Transaction Date arrives to	2-Jan-15	Transaction Date arrives to	5-Jan-15

3.19.1.2 Modification and Amendment of the transaction

This topic provides information on modification and amendment of the transaction.

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

- **Order Received Date**
- **Order Received Time**
- **Transaction Date**
- **Fund ID**
- **Transaction Currency**
- **Unitholder ID**
- **Reference Number**
- **Transaction Mode**
- **Amount Applied**
- **Units Applied**
- **Percentage Applied**
- **Payment Mode**
- **Transaction Type**
- **To Fund ID**
- **To Unitholder ID**
- **Subscription Fund ID**

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

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

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

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

Note:

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

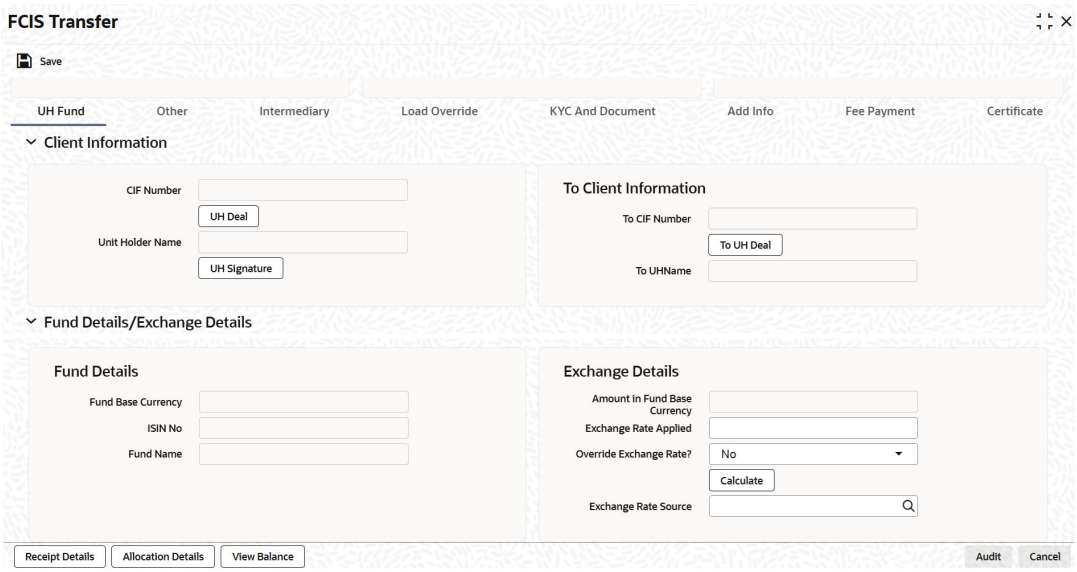
3.19.2 UH and Fund Tab

This topic explains the UH and fund tab in the **FCIS Transfer** screen.

1. On the **FCIS Transfer** screen, click **UH and Fund** tab to enter the details.

   The **UH and Fund** details are displayed.

Figure 3-85 FCIS Transfer Detail - UH and Fund



2. On **UH and Fund** tab, specify the fields.

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

Table 3-107 FCIS Transfer Detail - UH and Fund Tab

Field	Description
Client Information	The system displays the following values: • **CIF Number** • **Unit Holder Name** Click **UH Signature** button to upload the image. Click **UH Deal** button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

Table 3-107 (Cont.) FCIS Transfer Detail - UH and Fund Tab

Field	Description
To Client Information	The system displays the following values: • **To CIF Number** • **To Unit Holder Name** Click **To UH Deal** button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.
Fund Details	When you specify the unit holder, the following details are displayed: • **Fund Base Currency** • **IAIN Number** • **Fund Name**
Exchange Details	This section displays the following fields.
Amount in Fund Base Currency	*Display* The system displays the amount in fund base currency.
Exchange Rate Applied	*Numeric; 21 Characters; Optional* Specify the exchange rate applied.
Override Exchange Rate?	*Optional* Select if exchange rate has to be overridden or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the exchange rate source.

3. Click the **Calculate** button.

   The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in **Fund Base Currency** field. The applied exchange rate is also displayed in the **Applied Exchange Rate** field.

   If the transaction value is specified in units or percentage of holdings, then the prevalent price for a transfer transaction on the transaction date is used to compute the amount of the transaction, and the same is converted into the fund base currency equivalent.

   If you wish to override the applied exchange rate at this stage, select the **Yes** option in the **Override Exchange Rate** field. Specify the overridden exchange rate in the **Applied Exchange Rate** field, and click the **Calculate** button again. If overridden, the overridden exchange rate should be within the permitted fluctuation limits defined in the Source Maintenance.

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

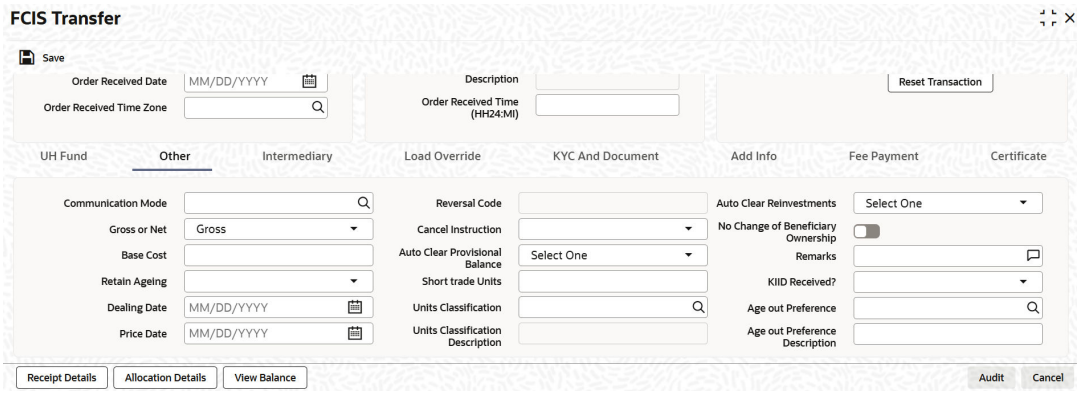
3.19.3 Other Tab

This topic explains the Other tab in the **FCIS Transfer** screen.

1. On the **FCIS Transfer** screen, click **Other** tab to enter the following details.

   The **Other** details are displayed.

Figure 3-86 FCIS Transfer - Other



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

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

Table 3-108 FCIS Transfer - Other

Field	Description
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.
Gross or Net	*Optional* Select the net value exclusive of the loads from the drop-down list. The list displays the following values: • **Gross** • **Net**
Base Cost	*Numeric; 6 Characters; Optional* Specify the base cost details.
Retain Ageing	*Optional* Select if ageing has to be retained or not from the drop-down list. The list displays the following values: • **Yes** • **No** **Note:** The flag for Retain Ageing to Subscription is not available for System generated transactions like Standing Instructions. System would take default values from the Fund Rules for such transactions.

Table 3-108 (Cont.) FCIS Transfer - Other

Field	Description
Dealing Date	*Date Format; optional* By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance. Refer the chapter **Other Fund Activities** in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund
Price Date	*Date Format; Optional* The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section **Defaulting of Price Dates in the Transaction** Screens in this chapter. You can modify this field. If you have defined a different trade cycle for the fund in the **Override Trade Cycle Date** screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.
Reversal Code	*Display* The system displays the reversal code. This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

Table 3-108 (Cont.) FCIS Transfer - Other

Field	Description
Cancel Instruction	*Optional* Select the cancel instruction from the drop-down list. The list displays the following values: • **Standing Instructions** You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the **Standing Instruction** option in this field to indicate cancellation of standing instructions. If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the **Cancel Instruction** option automatically set. If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day. **Note:** Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to **Standing Instruction**, would re-instate the standing instructions.
Auto Clear Provisional Balance	*Optional* Select **Yes** option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is **Percent** and the transaction value is **100**.
Short Trade Units	*Numeric; 27 Characters; Optional* Specify short trade units. If the unit holder is nominee account, only then system will allow you to capture the short trade units. Applicable short trade units will be taken for applying penalty. If short trade units is not entered, then the transaction allocation will follow the normal allocation process.
Units Classification	*Alphanumeric; 1 Character; Optional* Specify the units classification code. Alternatively, you can select units classification code from the option list. The list displays valid unit classification code maintained in the system.
Units Classification Description	*Display* The system displays the description for the selected units classification code.
Auto Clear Reinvestments	*Optional* Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values: • **Yes** • **No**
No Change of Beneficiary Ownership	*Optional* Check this box if there is no change in beneficiary ownership details.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.

Table 3-108 (Cont.) FCIS Transfer - Other

Field	Description
KIID Received?	*Optional* Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values: • **Yes** • **No** The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the **UCITS Fund** at the Fund level is **Yes** and the UH mapping to the Fund in the **UH KIID Compliance** tab is **NO** then at the transaction level, the system will default the **KIID Complaint** to **No**. If the KIID Received is set to **No**, the system display an error message while saving the transaction as **The Unit holder has not received the KIID**. If the flag is set to **YES** there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level. If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund. The business user can change the KIID Compliant flag at the transaction from **No** to **Yes** and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same. In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.
Age out Preference	*Alphanumeric; 1 Character; Optional* Specify the age out preference from which we need to preferably redeem the units during outflow and is applicable for Redemption, Switch and Transfer screens. Alternatively, you can select age out preference from the option list. The list displays all valid age out preference code maintained in the system.
Age out Preference Description	*Display* The system displays the description for the selected age out preference code.

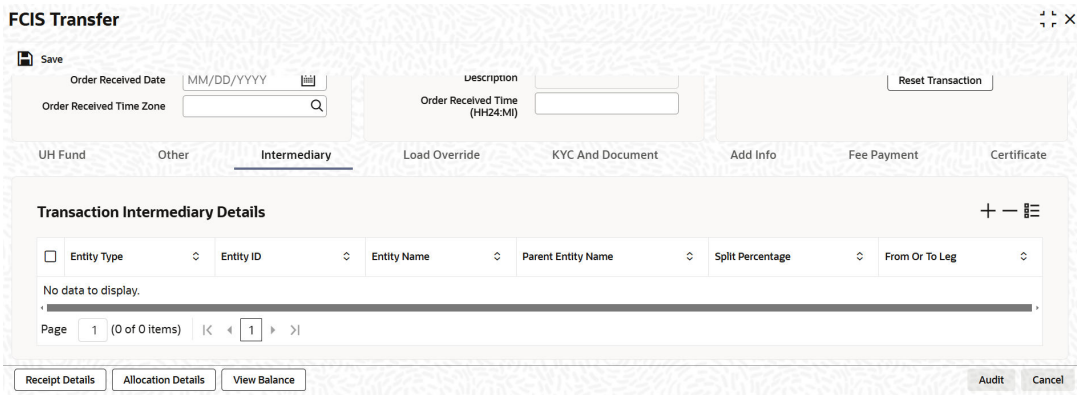
3.19.4 Intermediary Tab

This topic explains the Intermediary tab in the **FCIS Transfer** screen.

1. On the **FCIS Transfer** screen, click **Intermediary** tab to enter the details.

   The **Intermediary** details are displayed.

Figure 3-87 FCIS Transfer - Intermediary



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

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

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

Table 3-109 FCIS Transfer - Intermediary

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the **entity type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Optional* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Display* When you select the broker code, the name of the broker is displayed.
Parent Entity Name	*Display* When you select the broker code, the name of the parent broker for the selected broker is displayed.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Optional* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

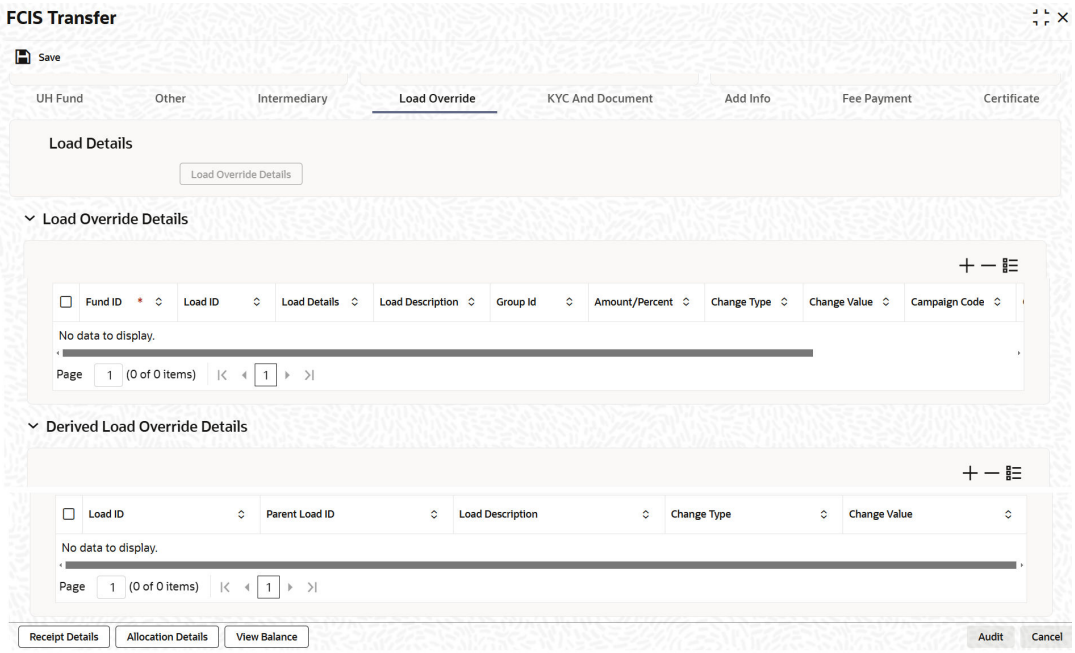
3.19.5 Load Override Tab

This topic explains the Load Override tab in the **FCIS Transfer** screen.

1. On the **FCIS Transfer** screen, click **Load Override** tab to enter the details.

   The **Load Override** details are displayed.

Figure 3-88 FCIS Transfer - Load Override



2. On **Load Override** tab, specify the fields.

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

Table 3-110 FCIS Transfer Detail - Load Override

Fields	Description
Fund ID	*Display* The system displays the fund ID.
Load ID	*Display* The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link. If a derived load has been mapped, it is also displayed here and can be overridden.
Load Details	*Display* On Clicking the **Load Details** button, **Load Maintenance Detail** screen is displayed. For further details refer **Load Maintenance Detail** section in Fund Rule user manual.
Load Description	*Display* The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.
Group ID	*Display* The system displays the group ID.

Table 3-110 (Cont.) FCIS Transfer Detail - Load Override

Fields	Description
Amount / Percent	*Display* The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.
Change type	*Optional* Select the change type from the drop-down list. The list displays the following values: • **Discount** • **Increase** • **Return Value** When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways: • Discount (reducing the load return value in all the slabs) • Increase (increasing the load return value in all slabs) • Return Value (assigning an altered return value that will be applicable to all the loads)
Change Value	*Display* The system displays the change value details.
Campaign Code	*Display* The system displays the campaign code.
Campaign Load ID	*Display* The system displays the campaign load ID.
Derived Load Override Details	The system displays the following values: • **Load ID** • **Parent Load ID** • **Load Description**
Change type	*Optional* Select the change type from the drop-down list. The list displays the following values: • **Discount** • **Increase** • **Return Value** When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways: • Discount (reducing the load return value in all the slabs) • Increase (increasing the load return value in all slabs) • Return Value (assigning an altered return value that will be applicable to all the loads)
Change Value	*Alphanumeric; 30 Characters; Optional* Specify the change value details.

Table 3-110 (Cont.) FCIS Transfer Detail - Load Override

Fields	Description
Project Return Value	*Display* The system populates the return value from the load setup. You can view the applicable loads and projected return values by clicking the **Enrich Transaction** in the transaction screen. The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO.

Note:

- If the UH Deal maintained is same for Unit Holder, Load, and Fund Setup then overridden value from UH Deal is displayed.
- If there are criteria based loads in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.
- In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

3. You can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation in this section.

   The frequency of computation for such loads would be **Allocation**. This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

4. Click the **Load Override Details** button to view Load Override details.

   If you click this button, the system defaults the load details.

   If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

5. You can view the following details in the **Derived Load Override Details** section.

   The following details are displayed.

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

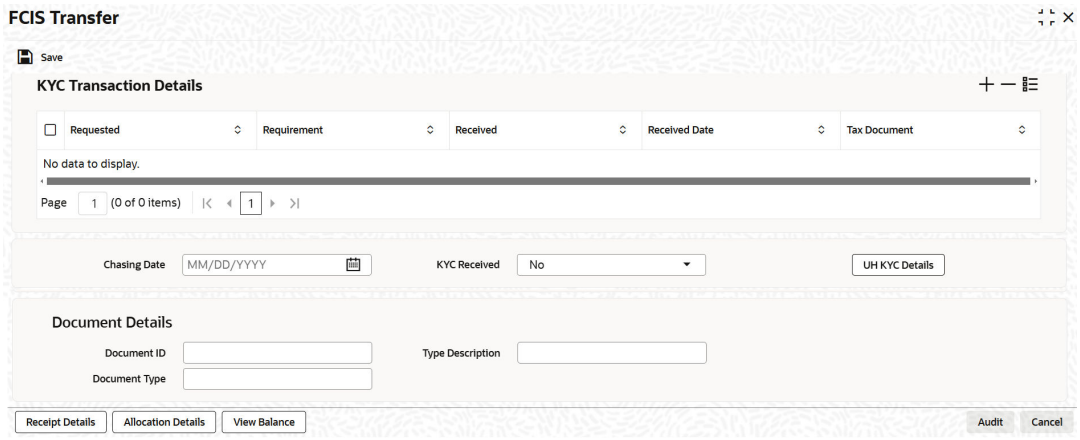
3.19.6 KYC and Document Tab

This topic explains the KYC and Document tab in the **FCIS Transfer** screen.

1. Click **KYC and Document** tab in the **FCIS Transfer** screen.

   The **KYC Transaction Details** are dispayed.

Figure 3-89 FCIS Transfer - KYC and Document



2. On **KYC Transaction Details** tab, specify the fields.

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

Table 3-111 FCIS Transfer Detail - KYC and Document

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are **requested**.
Requirement	*Alphanumeric; 255 Characters; Mandatory* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Optional* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.
KYC Received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Document Details	This section displays the following fields.
Document ID	*Alphanumeric; 25 Characters; Optional* Specify the document ID.
Document Type	*Alphanumeric; 4 Characters; Optional* Specify the document type.

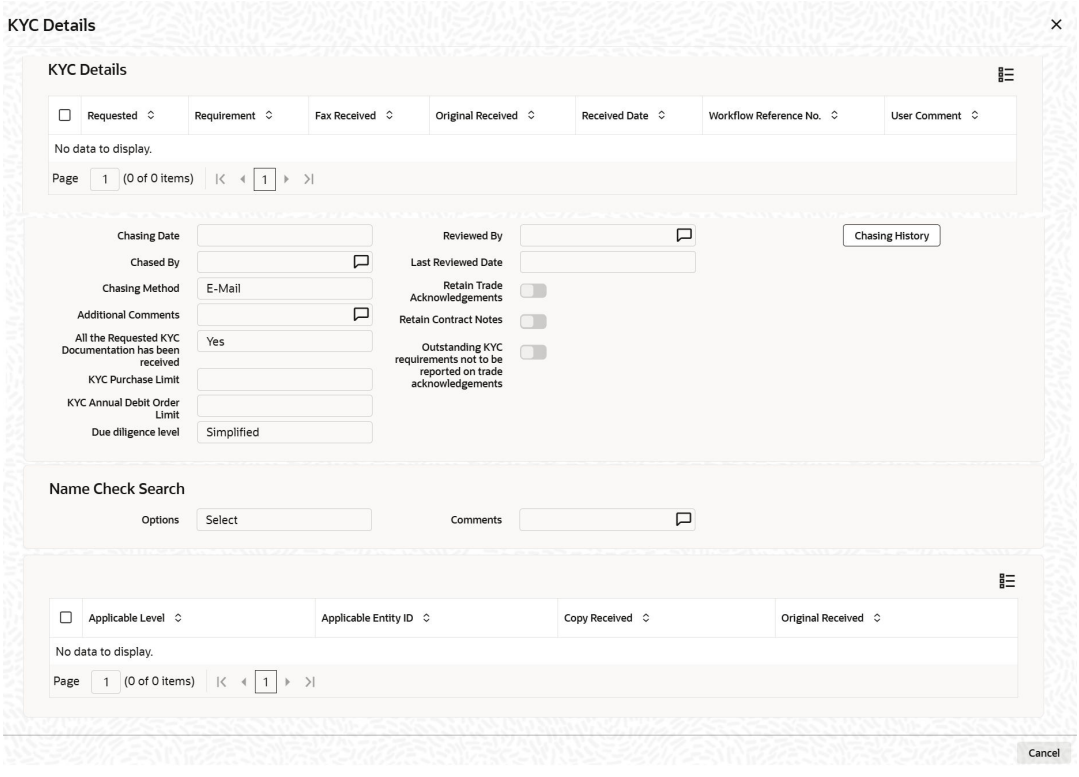
Table 3-111 (Cont.) FCIS Transfer Detail - KYC and Document

Fields	Description
Type Description	*Alphanumeric; 255 Characters; Optional* Specify the description for the type of document. If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax ID, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC. The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements. **Note:** If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

3. Click the **UH KYC Details** button.

   The **KYC details** screen is displayed.

Figure 3-90 KYC Details



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

Clicking on **UH KYC Details** button, the system displays all the KYC details available for the UH. If any KYC document is received then it can be marked at transaction KYC detail as **Received**. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is **Yes** with some KYC

documents and all KYC received at UH level is **No**, then the system will display a warning message as **Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete** during save of the transaction.

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

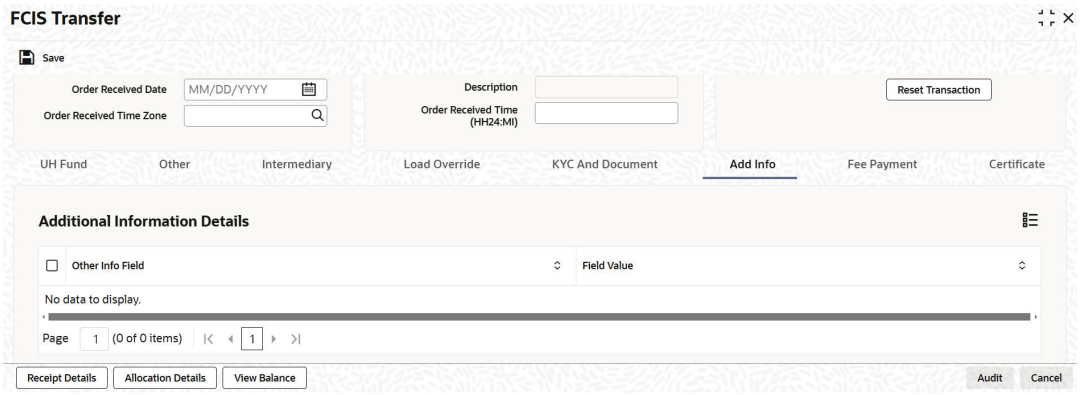
3.19.7 Add Info Tab

This topic explains the Add Info tab in the **FCIS Transfer** screen.

1. On the **FCIS Transfer** screen, click **Add Info** tab to enter the details.

   The **Additional Information** details are displayed.

Figure 3-91 FCIS Transfer - Add Info



2. On **Add Info** tab, specify the fields.

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

Table 3-112 FCIS Transfer - Add Info

Fields	Description
Other Info Field	*Display* The system displays additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.
Field Value	*Alphanumeric; 60 Characters; Optional* The system displays the field value.

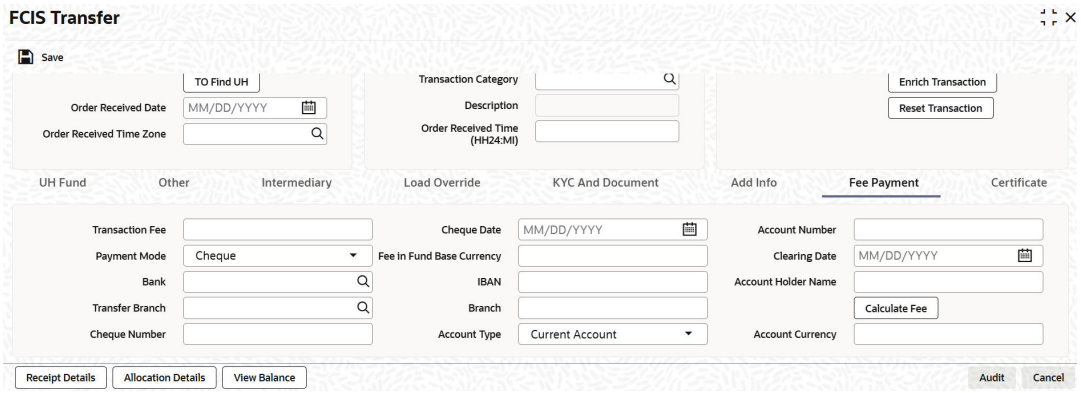
3.19.8 Fee Payment Tab

This topic explains the Fee Payment tab in the **FCIS Transfer** screen.

1. On the **FCIS Transfer** screen, click **Fee Payment** tab to enter the details.

   The **Fee Payment** details are dispayed.

Figure 3-92 FCIS Transfer - Fee Payment



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

2. On **Fee Payment** tab, specify the fields.

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

Table 3-113 FCIS Transfer Detail - Fee Payment

Fields	Description
Transaction Fee	*Numeric; 30 Characters; Optional* Specify the transaction fee. If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.
Payment Mode	*Optional* Select the **payment mode** from the drop-down list. The list displays the following values: • **Cheque** • **Transfer** • **Draft** • **Card**
Bank	*Alphanumeric; 12 Characters; Optional* Specify the bank details.
Transfer Branch	*Alphanumeric; 12 Characters; Optional* Specify the transfer branch details. Alternatively, you can select the transfer branch details from the option list. The list displays all valid branch code maintained in the system.
Cheque Number	*Alphanumeric; 16 Characters; Optional* Specify the cheque number.
Cheque Date	*Date Format; Optional* Specify the cheque date.
Fee in Fund Base Currency	*Numeric; 30 Characters; Optional* Specify the fee in fund base currency details.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.

Table 3-113 (Cont.) FCIS Transfer Detail - Fee Payment

Fields	Description
Transfer Branch	*Alphanumeric; 20 Characters; Optional* Specify the branch code.
Account Type	*Optional* Select the type of account from the drop-down list. The list displays the following values: • **Current Account** • **Fixed Account** • **Loan Account** • **Mortgage Account** • **Overdraft Account** • **PF Account** • **Recurring Account** • **Savings Account** • **Sweeping Account**
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
Clearing Date	*Date Format; Optional* Specify the clearing date.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the name of the account holder.
Account Currency	*Alphanumeric; 3 Characters; Optional* Specify the account currency details.

3. Click the **Calculate Fee** button.

   The system calculates the fee payment details.

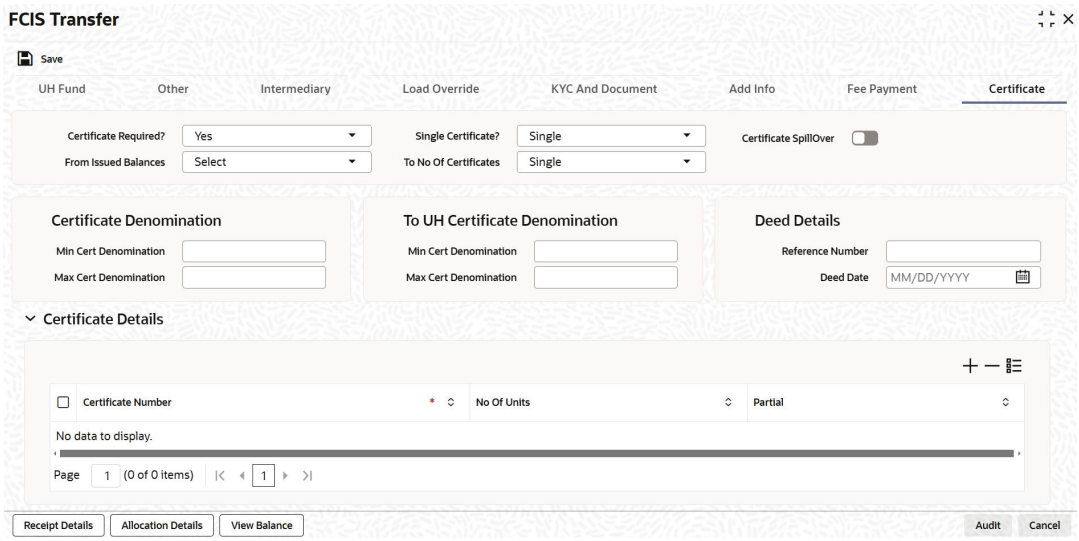
3.19.9 Certificate

This topic explains the Certificate tab in the **FCIS Transfer** screen.

1. Click **Certificate** tab in the **FCIS Transfer** screen.

   The **Certificate** details are dispayed.

Figure 3-93 FCIS Transfer - Certificate



2. On **Certificate** tab, specify the fields.

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

Table 3-114 FCIS Transfer - Certificate

Fields	Description
Certificate Required?	*Optional* Select if certificate required or not from the drop-down list. The list displays the following values: • **Yes** • **No** If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose **Yes** in the Certificate Required field.
Single Certificate?	*Optional* Select whether a single certificate or multiple certificates have been requested from the drop\u0002down list. The list displays the following values: • **Single** • **Multiple** If single certificates have been designated for the fund, you cannot specify multiple certificates here. If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination and Min Cert Denomination under Certificate Section.
Certificate Spill Over?	*Optional* Check this box to allow certificate spill over.
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both**

Table 3-114 (Cont.) FCIS Transfer - Certificate

Fields	Description
To No Of Certificates	*Optional* Select To number of certificates from the drop-down list. The list displays the following values: • **Single** • **Multiple**
Certificate Denominations	This section displays the following fields.
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the minimum certificate denomination details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the maximum certificate denomination details.
To UH Certificate Denomination	This section displays the following fields.
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the minimum certificate denomination details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the maximum certificate denomination details.
Deed Details	This section displays the following fields.
Reference Number	*Alphanumeric; 22 Characters; Optional* Specify the reference number.
Deed Date	*Date Format; Optional* Specify the deed date.
Certificate Details	This section displays the following fields.
Certificate Number	*Numeric; 10 Characters; Optional* Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.
Units	*Numeric; 27 Characters; Optional* Specify the units details.
Partial	*Optional* Check this box if partial details to be selected.

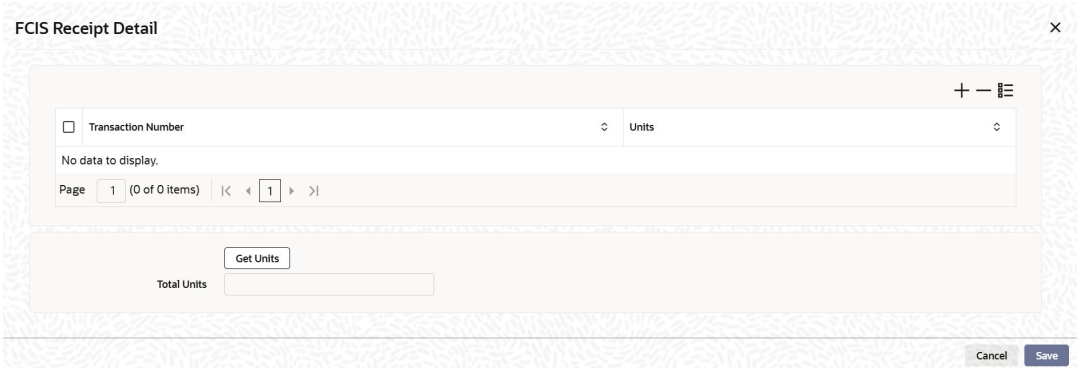
3.19.10 Receipt Details Button

This topic explains the Receipt Details button in the **FCIS Transfer** screen.

1. Click the **Receipt Details** button in the **FCIS Transfer** screen.

   The **FCIS Receipt Detail** screen is displayed.

Figure 3-94 FCIS Receipt Detail



2. On **FCIS Receipt Detail** screen, specify the fields.

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

Table 3-115 Receipt Details

Field	Description
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specifies the transaction number linked to the outflow transaction.
Units	*Numeric; 22 Characters; Optional* Specify the units details.
Total Units	*Display* The system displays the total number of units by clicking the **Get Units** button.

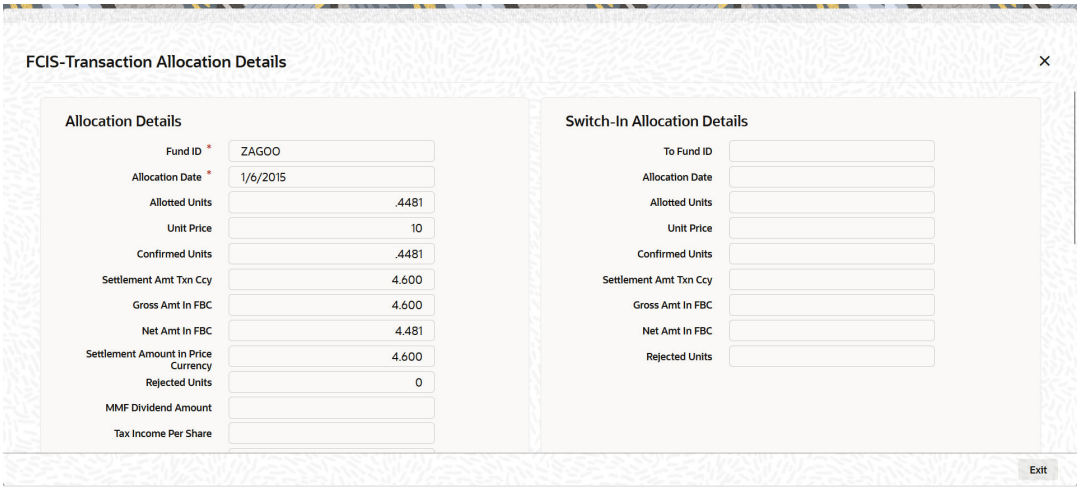
3.19.11 Allocation Details Button

This topic explains the Allocation Details button in the **FCIS Transfer** screen.

1. Click the **Allocation Details** button in the **FCIS Transfer** screen to enter the details.

   The **FCIS-Transaction Allocation Details** screen is displayed.

Figure 3-95 FCIS-Transaction Allocation Details



2. On **FCIS-Transaction Allocation Details** screen, specify the fields.

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

Table 3-116 Allocation Details - Field Description

Field	Description
Allocation Details	The following allocation details are displayed: • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**
Switch-In Allocation Details	The following Switch-in allocation details are displayed: • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**
Load Details	The following load details are displayed during the allocation: • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**
Performance Fee Details	The following performance fee details are displayed during the allocation: • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**

Table 3-116 (Cont.) Allocation Details - Field Description

Field	Description
Transaction Component Details	The following transaction component details are displayed during the allocation: • **Offer Price** • **Share Capital** • **Fund Capital** • **Switch In Bid Price** • **To Fund Capital** • **Bid Price** • **Income** • **Share Premium** • **Switch In Offer Price**
CGT Deduction Details	The following CGT deduction details are displayed during the allocation: • **Unit Holder/Joint Unit Holder ID** • **Unit Holder/Joint Unit Holder Name** • **Tax Amount**

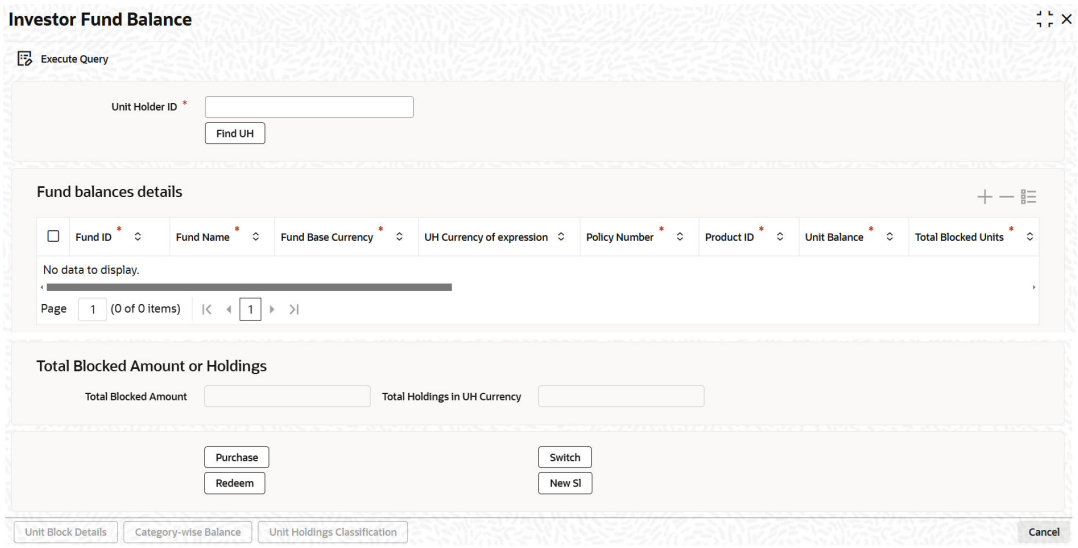
3.19.12 View Balance Button

This topic explains the View Balance button in the **FCIS Transfer** screen.

1. Click the **View Balance** button in the **FCIS Transfer** screen to view the fund balance details.

   The **Investor Fund Balance** screen is displayed.

Figure 3-96 Investor Fund Balance



2. On **Investor Fund Balance** screen, click **Execute Query** to enter the details.

   For more information on fields, refer to *View Balance Button* in the topic **FCIS Redemption Transaction Detail** of this User Manual.

3.19.13 Save the Transaction

This topic provides information on saving transaction details.

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

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

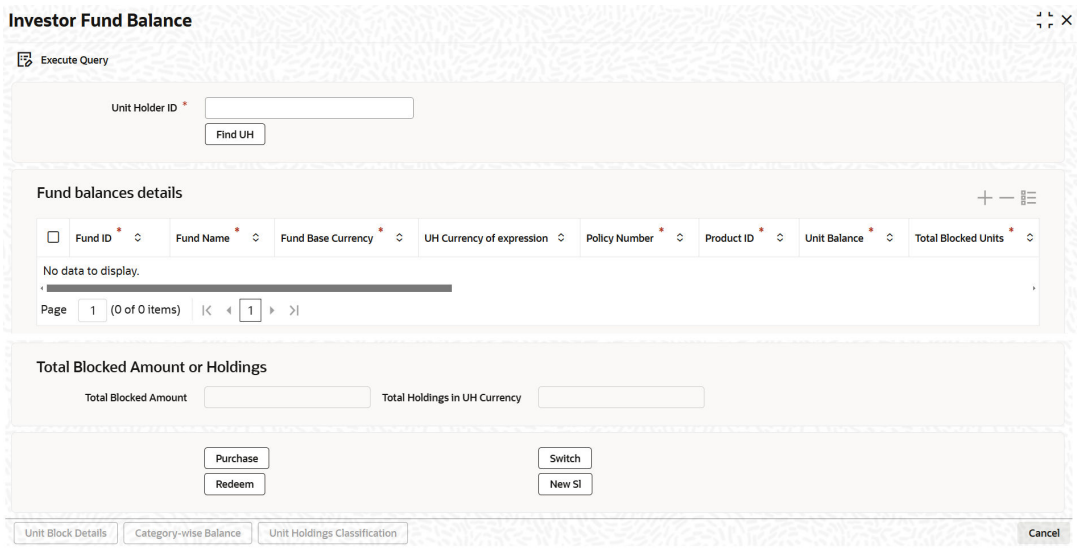
3.19.14 View Balance

This topic explains the view balance button of **FCIS Block Transaction Detail**.

1. On **FCIS Block Transaction Detail** screen, click the **View Balance** button to view the available fund balance details of a unit holder.

   The **Investor Fund Balance** screen is displayed in view mode displaying the unit holder fund balance details.

Figure 3-97 Investor Fund Balance



2. On **Investor Fund Balance** screen, you can view the fund balance details.

   For further details, refer to *View Balance Button* in **FCIS Redemption Transaction Detail** topic of this User Manual.

3.19.15 Transaction Processing Logic for Currency of Expression Funds

This topic provides information about transaction processing logic for currency of expression funds details.

The system defaults the **UH Currency of Expression (UHCOE)** in the **Transaction Currency** field, if available, during transaction capture based on UH and fund combination.

If there is no **UH Currency of Expression (UHCOE)** maintained in **UTDUHCOE**, then FBC will be defaulted in the **Transaction Currency** field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (**UTDUHCOE**). The defaulted currency of expression in the UHCOE maintenance will be as system user.

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

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

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

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

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

- FX Logic
  This topic provides the information about the FX Logic details.
- Process Unit Holder Currency of Expression
  This topic provides information about processing unit holder currency of expression details.
- Process Fund Price Maintenance
  This topic provides information about processing fund price maintenance details.
- NAV Correction Impact for Fund Price Currencies
  This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.
- Currency of Expression Logic Applied During Transactions
  This topic provides the information about currency of expression logic applied during transactions.
- System Logic to Derive the Price Currency
  This topic provides information about system logic to derive the price currency details.
- Switch Logic for Currency of Expression
  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

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  This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

3.19.15.1 FX Logic

This topic provides the information about the FX Logic details.

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

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

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

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

> **Note:**
>
> The rounding precision for fund price currencies will be base price.

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

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

3.19.15.2 Process Unit Holder Currency of Expression

This topic provides information about processing unit holder currency of expression details.

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

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

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

3.19.15.3 Process Fund Price Maintenance

This topic provides information about processing fund price maintenance details.

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

The Pre EOD checks **Number of Non Pre-Settled Funds for which Fund Price has not been entered** will be changed to check whether price in FPC have been maintained for the day in the system. For the Pre-Settled trade funds, the Pre-EOD check **Number of Pre-Settled Trade Funds for which Fund Price has not been entered** is maintained to list funds

along with details such as fund Id, currency and effective date. This will be mandatory check. If the system does not find the price in currency of expression, then the transaction entered in currency of expression will not be allotted.

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

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

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

3.19.15.4 NAV Correction Impact for Fund Price Currencies

This topic provides information about the NAV correction impact for fund price currencies in **FCIS IPO Subscription Detail Screen**.

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

3.19.15.5 Currency of Expression Logic Applied During Transactions

This topic provides the information about currency of expression logic applied during transactions.

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

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

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

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

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

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

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

UHCOE = FPC and TBC ≠ UHCOE

> **Note:**
>
> The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UHCOE will be defaulted as Transaction currency.

3.19.15.6 System Logic to Derive the Price Currency

This topic provides information about system logic to derive the price currency details.

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

3.19.15.7 Switch Logic for Currency of Expression

This topic provides information about switch logic for currency of expression details in **FCIS IPO Subscription Detail Screen**.

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

3.20 FCIS Transfer Summary

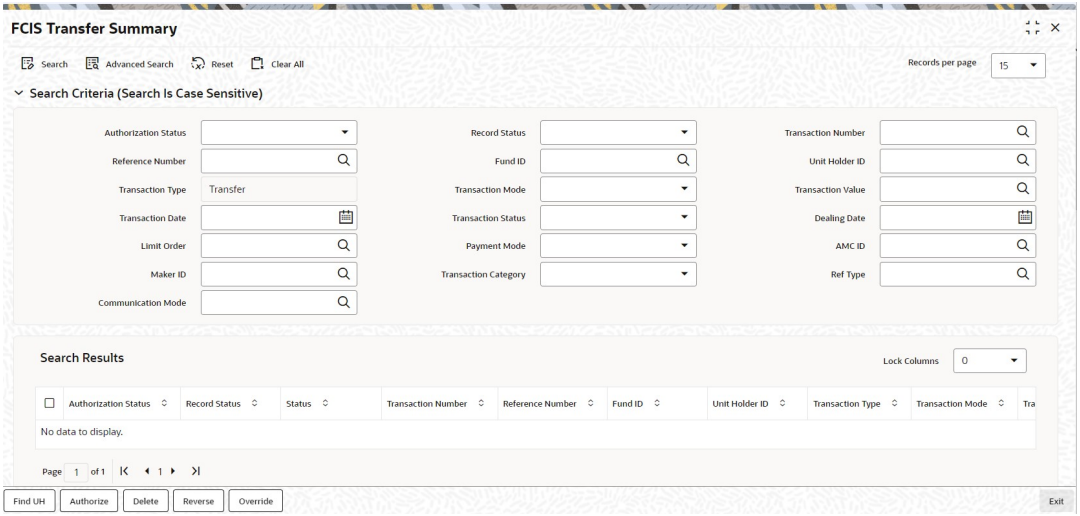
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Transfer Summary

1. On **Home** screen, type **UTSTXN05** in the text box and click **Next**.

   The **FCIS Transfer Summary** screen is displayed.

Figure 3-98 FCIS Transfer Summary



2. On **FCIS Transfer Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Transaction Type**
   - **Transaction Value**
   - **Transaction Status**
   - **Limit Order**
   - **AMC ID**
   - **Transaction Category**
   - **Communication Mode**
   - **Reference Number**
   - **Unit Holder ID**
   - **Transaction Mode**
   - **Transaction Date**
   - **Dealing Date**
   - **Payment Mode**
   - **Maker ID**
   - **Ref Type**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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.

   You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:

   - Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example, AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example, AGC17,GSD267,AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example, GSD217,GSD172, AGC17 etc.

- Edit Transfer Record
  This topic provides the systematic instructions to edit Transfer record.
- View Transfer Record
  This topic provides the systematic instructions to view Transfer record.
- Delete Transfer Record
  This topic provides the systematic instructions to delete Transfer record.
- Authorize Transfer Record
  This topic provides the systematic instructions to authorize Transfer record.
- Amend Transfer Record
  This topic provides the systematic instructions to amend Transfer record.
- Authorize Amended Transfer Record
  This topic provides the systematic instructions to authorize amended Transfer record.

3.20.1 Edit Transfer Record

This topic provides the systematic instructions to edit Transfer record.

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

1. Start the **FCIS Transfer Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Transfer Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **FCIS Transfer Detail** screen is closed and the changes made are reflected in the **FCIS Transfer Summary** screen.

3.20.2 View Transfer Record

This topic provides the systematic instructions to view Transfer record.

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

1. Start the **FCIS Transfer Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Transfer Detail** screen is displayed.

3.20.3 Delete Transfer Record

This topic provides the systematic instructions to delete Transfer record.

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

1. Start the **FCIS Transfer Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Transfer Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

3.20.4 Authorize Transfer Record

This topic provides the systematic instructions to authorize Transfer record.

An unauthorized FCIS Transfer Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Transfer Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Transfer Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.20.5 Amend Transfer Record

This topic provides the systematic instructions to amend Transfer record.

After a FCIS Transfer Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Transfer Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Transfer Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.20.6 Authorize Amended Transfer Record

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

1. An amended FCIS Transfer record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

3.21 Block Transaction Detail

This topic provides information on block transaction details.

This topic contains the following sub-topics:

- Process FCIS Block Transaction Detail
  This topic provides the systematic instructions to enter a block transaction request into the system.
- Details Tab
  This topic explains the Details tab in the **FCIS Block Transaction Detail** screen.
- Intermediary Tab
  This topic explains the Intermediary tab in the **FCIS Block Transaction Detail** screen.
- KYC Details Tab
  This topic explains the KYC Details tab in the **FCIS Block Transaction Detail** screen.
- Add Info Tab
  This topic explains the Add Info tab in the **FCIS Block Transaction Detail** screen.
- Pledgee Tab
  This topic explains the Pledgee tab in the **FCIS Block Transaction Detail** screen.
- Certificates Tab
  This topic explains the Certificates tab in the **FCIS Block Transaction Detail** screen.
- FCIS - Transaction Allocation Details
  This topic explains the Allocation Details button in the **FCIS Unblock Transaction Detail** screen.
- Save the Transaction
  This topic provides information on saving transaction details.

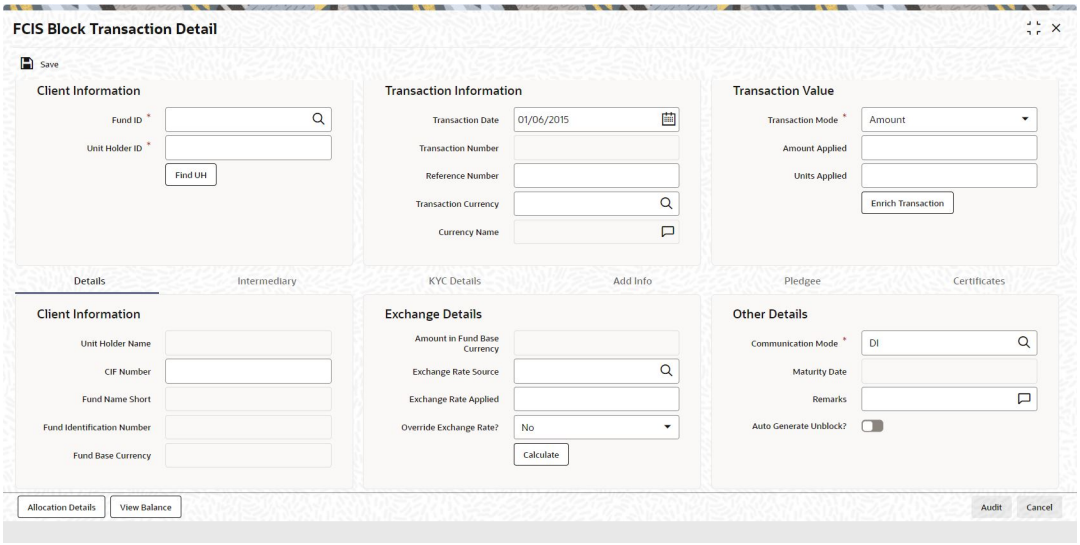
3.21.1 Process FCIS Block Transaction Detail

This topic provides the systematic instructions to enter a block transaction request into the system.

1. On **Home** screen, type **UTDTXN06/ UTDTRA06** in the text box and click **Next**.

   The **FCIS Block Transaction Detail** screen is displayed.

Figure 3-99 FCIS Block Transaction Detail



2. On **FCIS Block Transaction Detail** screen, click **New** to enter the details.

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

Table 3-117 FCIS Block Transaction Detail - Field Description

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the Client Information section. Specify the **CIF Number** and then choose the required unit holder in the **Unit Holder** field, or else specify the ID of the unit holder in the **Unit Holder** field. You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. You can also query for unit holder ID by clicking the **Find UH** button.
Transaction Information	This section displays the following fields.
Transaction Date	*Date Format; Optional* The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.
Transaction Number	*Display* The system displays the transaction number.

Table 3-117 (Cont.) FCIS Block Transaction Detail - Field Description

Field	Description
Reference Number	*Display* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.
Currency Name	*Display* The system displays the name of the currency.
Transaction Value	This section displays the following fields.
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Amount** • **Units**
Amount Applied	*Numeric; 27 Characters; Optional* Specify the amount applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Amount**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.

3. Click the **Enrich Transaction** button after entering all details in **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in **UH and Fund** section.

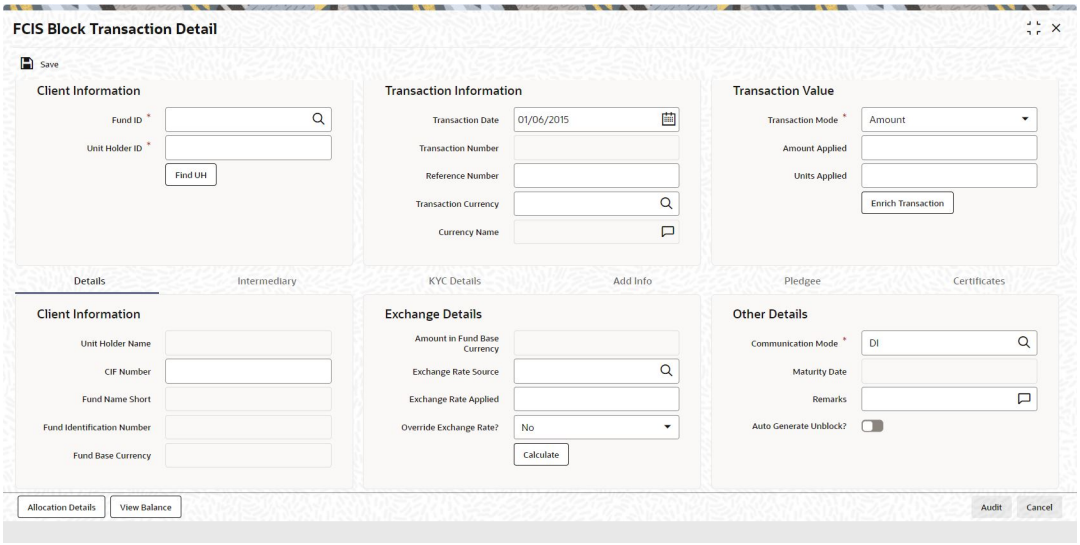
3.21.2 Details Tab

This topic explains the Details tab in the **FCIS Block Transaction Detail** screen.

1. Click **Details** tab in the **FCIS Block Transaction Detail** screen.

   The **Details** tab is displayed.

Figure 3-100 FCIS Block Transaction Detail - Details



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

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

Table 3-118 FCIS Block Transaction Detail - Details Tab

Field	Description
Client Information	The section displays the following fields.
CIF Number	*Alphanumeric; 20 Characters; Optional* Specify the CIF number. The system will display the following values: • **Unit Holder Name** • **Fund Name Short** • **Fund Identification Number** • **Fund Base Currency**
Exchange Details	The section displays the following fields.
Amount in Fund Base Currency	*Display* The system displays the amount in fund base currency.
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system. **Note:** Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Exchange Rate Applied	*Numeric; 6 Characters; Optional* Specify the applied exchange rate.
Override Exchange Rate?	*Optional* Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Other Details	The section displays the following fields.

Table 3-118 (Cont.) FCIS Block Transaction Detail - Details Tab

Field	Description
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Maturity Date	*Date Format; Optional* If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the **Maturity Date** field. This field is only applicable for AMCs that have opted for the maturity date facility.
Auto Generate Block?	*Optional* Check this box to automatically generate unblock transactions.

3. Click the **Calculate** button after specifying all the necessary details to calculate the interest details.

   The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in **Fund Base Currency** field. The applied exchange rate is also displayed in the **Override Exchange Rate** field.

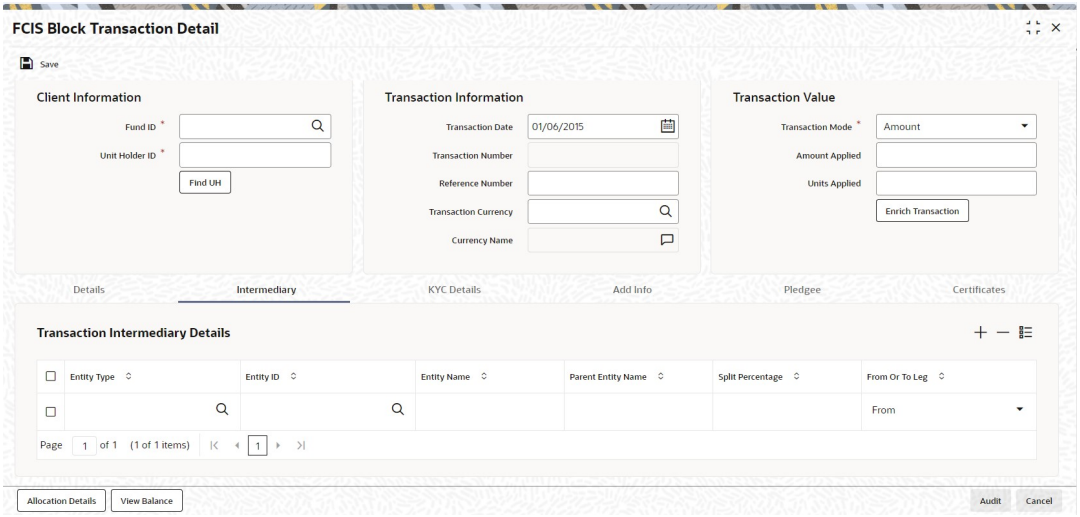
3.21.3 Intermediary Tab

This topic explains the Intermediary tab in the **FCIS Block Transaction Detail** screen.

1. On the **FCIS Block Transaction Detail** screen, click **Intermediary** tab to view the following details.

   The **Intermediary** details are displayed.

Figure 3-101 FCIS Block Transaction Detail - Intermediary



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

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

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

Table 3-119 FCIS Block Transaction Detail - Intermediary Tab

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the **entity type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Optional* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the **Entity Name** field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the broker is displayed. However, you can amend this value.
Parent Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Mandatory* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

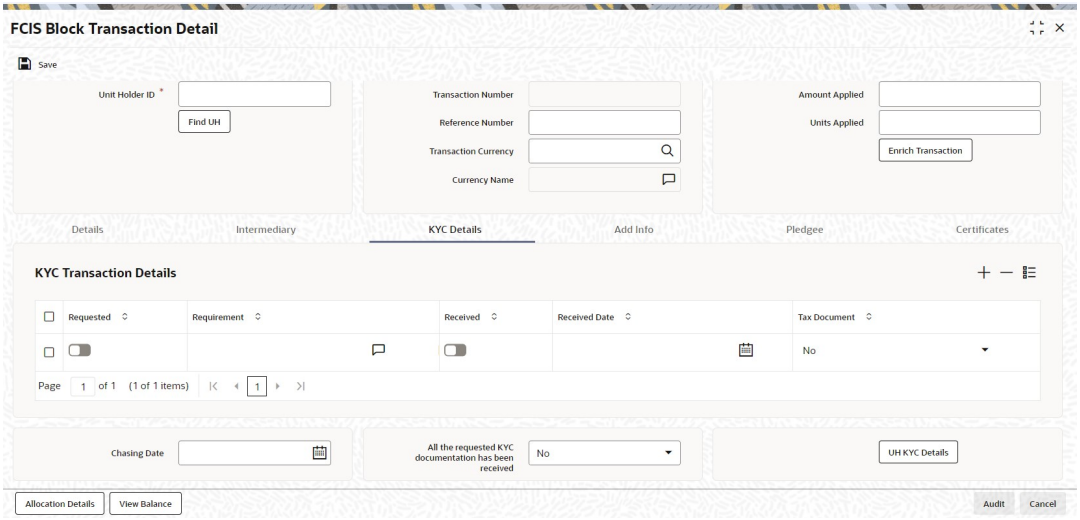
3.21.4 KYC Details Tab

This topic explains the KYC Details tab in the **FCIS Block Transaction Detail** screen.

1. Click **KYC Details** tab in the **FCIS Block Transaction Detail** screen.

   The **KYC Details** are displayed.

Figure 3-102 FCIS Block Transaction Detail - KYC Details Tab



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

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

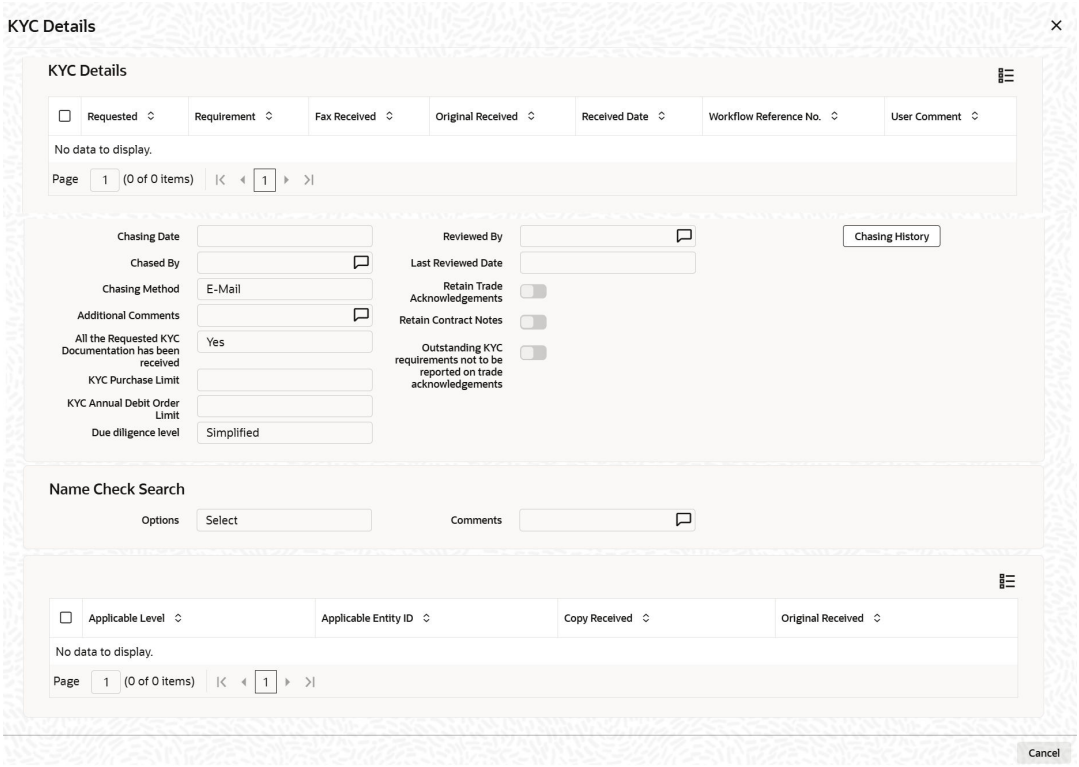
Table 3-120 FCIS Block Transaction Detail - KYC Details Tab

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are requested.
Requirement	*Alphanumeric; 255 Characters; Optional* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Optional* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.
All the requested KYC documentation has been received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**

3. Click the **UH KYC Details** button.

   The **KYC Details** screen is displayed with all the KYC details available for the UH.

Figure 3-103 KYC Details



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

> **Note:**
>
> Transaction Status will not check the KYC Details to complete the transaction.

For further details on this screen, refer **KYC Details Tab** in the topic *Process Unit Holder Maintenance Detail* of *Entities User Manual*.

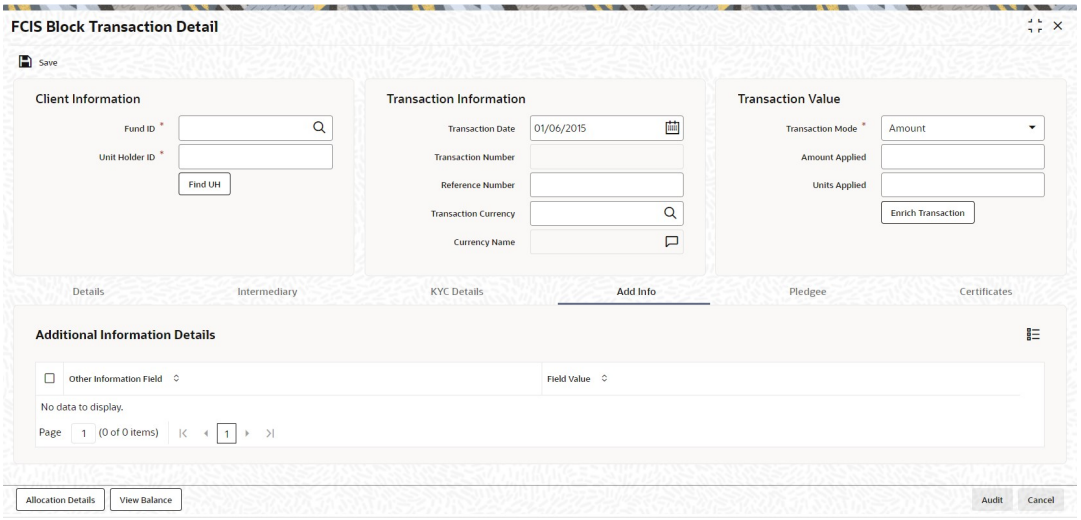
3.21.5 Add Info Tab

This topic explains the Add Info tab in the **FCIS Block Transaction Detail** screen.

1. On the **FCIS Block Transaction Detail** screen, click **Add Info** tab to view the following details.

   The **Additional Information Details** are displayed.

Figure 3-104 FCIS Block Transaction Detail - Add Info



2. On **Add Info** tab, specify the fields.

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

Table 3-121 FCIS Block Transaction Detail - Add Info Tab

Fields	Description
Other Info Field	*Display* The system displays the additional information if any information heads have been maintained in the **System Parameters** to be applicable for the segment.
Field Value	*Display* The system displays the field value.

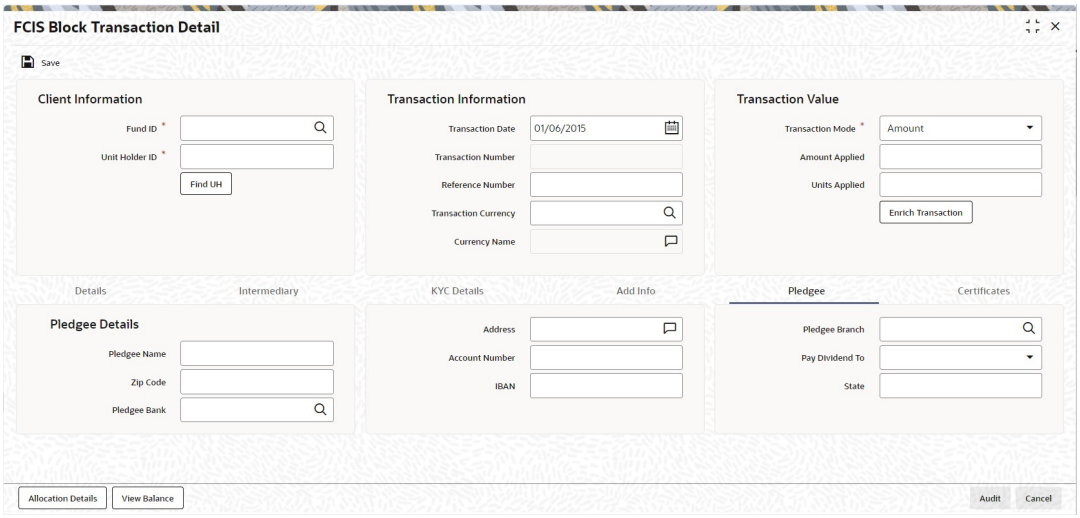
3.21.6 Pledgee Tab

This topic explains the Pledgee tab in the **FCIS Block Transaction Detail** screen.

1. On the **FCIS Block Transaction Detail** screen, click **Pledgee** tab to enter the details.

   The **Pledgee** details are displayed.

Figure 3-105 FCIS Block Transaction Detail - Pledgee



2. On **Pledgee** tab, specify the fields.

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

Table 3-122 FCIS Block Transaction Detail - Pledgee Tab

Fields	Description
Pledgee Name	*Alphanumeric; 100 Characters; Optional* Specify the pledgee name.
Zip Code	*Alphanumeric; 10 Characters; Optional* Specify the residing zip code of the pledgee.
Pledgee Bank	*Alphanumeric; 12 Characters; Optional* Specify the bank details of the pledgee. Alternatively, you can select pledgee bank details from the option list. The list displays all valid pledgee bank details maintained in the system.
Address	*Alphanumeric; 255 Characters; Optional* Specify the residing address of the Pledgee.
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the Account number details of the pledgee.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.
Pledgee Branch	*Alphanumeric; 20 Characters; Optional* Specify the branch code.
Pay Dividend To	*Optional* Specify whether the dividend proceeds on the blocked units should be paid to the pledgor, pledgee or to hold back the payment. • **Pledgee** - If you choose to pay the dividend to the pledgee, you need to specify the details of the pledgee such as pledgee name, address and account details. • **Pledgor** • **Hold Back Account**
State	*Alphanumeric; 20 Characters; Optional* Specify the residing state name of the pledgee.

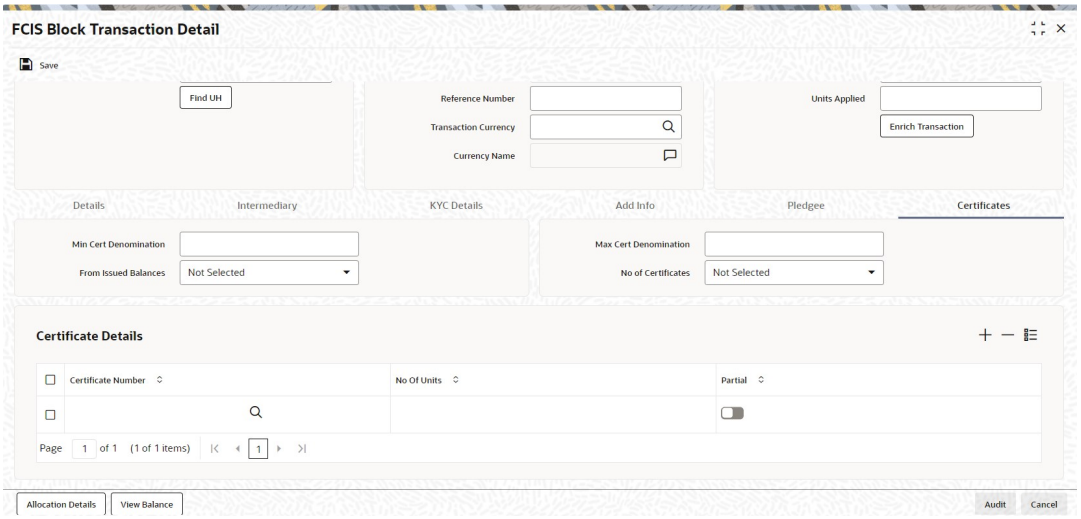
3.21.7 Certificates Tab

This topic explains the Certificates tab in the **FCIS Block Transaction Detail** screen.

1. On the **FCIS Block Transaction Detail** screen, click **Certificates** tab to enter the details.

   The **Certificates** details are displayed.

Figure 3-106 FCIS Block Transaction Details - Certificate



2. On **Certificates** tab, specify the fields.

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

Table 3-123 FCIS Block Transaction Details - Certificate Tab

Fields	Description
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **Minimum Certificate Denomination** details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **Minimum Certificate Denomination** details.
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both** **Note:** In the **From Issued Balances** field, the option **Both** is not applicable for the subscription transaction
No of Certificates	*Optional* Select the number of certificates from the drop-down list. The list displays the following values: • **Single** • **Multiple**
Certificate Details	The section displays the following fields.

Table 3-123 (Cont.) FCIS Block Transaction Details - Certificate Tab

Fields	Description
Certificate Number	*Numeric; 10 Characters; Mandatory* Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.
No of Units	*Numeric; 27 Characters; Optional* Specify the number of units details.
Partial	*Optional* Check this box if partial details to be selected.

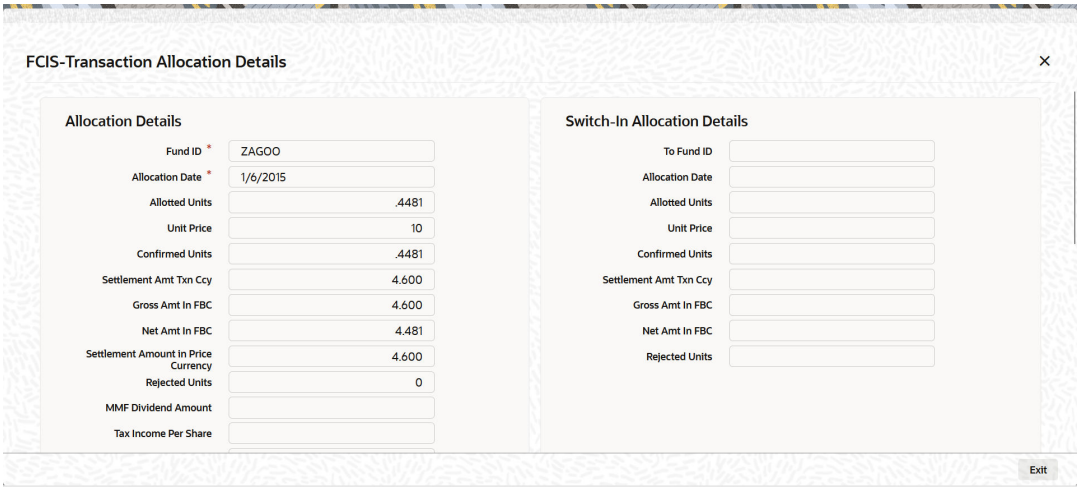
3.21.8 FCIS - Transaction Allocation Details

This topic explains the Allocation Details button in the **FCIS Unblock Transaction Detail** screen.

1. Click the **Allocation Details** button to enter the details.

   The **FCIS - Transaction Allocation Details** screen is displayed.

Figure 3-107 FCIS - Transaction Allocation Details



2. On **Allocation Details**, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-124 Allocation Details - Field Description

Field	Description
Allocation Details	The following allocation details are displayed: • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**
Switch-In Allocation Details	The following Switch-in allocation details are displayed: • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**
Load Details	The following load details are displayed during the allocation: • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**
Performance Fee Details	The following performance fee details are displayed during the allocation: • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**

Table 3-124 (Cont.) Allocation Details - Field Description

Field	Description
Transaction Component Details	The following transaction component details are displayed during the allocation: • **Offer Price** • **Share Capital** • **Fund Capital** • **Switch In Bid Price** • **To Fund Capital** • **Bid Price** • **Income** • **Share Premium** • **Switch In Offer Price**
CGT Deduction Details	The following CGT deduction details are displayed during the allocation: • **Unit Holder/Joint Unit Holder ID** • **Unit Holder/Joint Unit Holder Name** • **Tax Amount**

3.21.9 Save the Transaction

This topic provides information on saving transaction details.

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

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

3.22 FCIS Block Transaction Summary

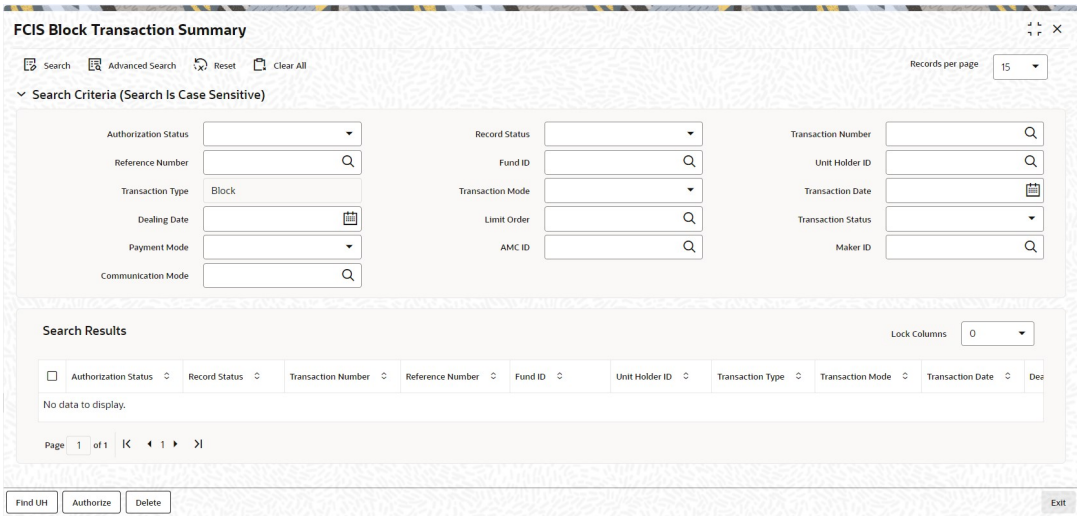
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Block Transaction Record

1. On **Home** screen, type **UTSTXN06** in the text box and click **Next**.

   The **FCIS Block Transaction Summary** screen is displayed.

Figure 3-108 FCIS Block Transaction Summary



2. On **FCIS Block Transaction Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Transaction Type**
   - **Transaction Date**
   - **Limit Order**
   - **Payment Mode**
   - **Maker ID**
   - **Reference Number**
   - **Unit Holder ID**
   - **Transaction Mode**
   - **Dealing Date**
   - **Transaction Status**
   - **AMC ID**
   - **Communication Mode**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

   You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:

   - Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- Edit Block Transaction Record
  This topic provides the systematic instructions to edit Block Transaction record.
- View Block Transaction Record
  This topic provides the systematic instructions to view Block Transaction record.
- Delete Block Transaction Record
  This topic provides the systematic instructions to delete Block Transaction record.
- Authorize Block Transaction Record
  This topic provides the systematic instructions to authorize Block Transaction record.
- Amend Block Transaction Record
  This topic provides the systematic instructions to amend Block Transaction record.
- Authorize Amended Block Transaction Record
  This topic provides the systematic instructions to authorize amended Block Transaction record.

3.22.1 Edit Block Transaction Record

This topic provides the systematic instructions to edit Block Transaction record.

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

1. Start the **FCIS Block Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Block Transaction Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **FCIS Block Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Block Transaction Summary** screen.

3.22.2 View Block Transaction Record

This topic provides the systematic instructions to view Block Transaction record.

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

1. Start the **FCIS Block Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Block Transaction Detail** screen is displayed.

3.22.3 Delete Block Transaction Record

This topic provides the systematic instructions to delete Block Transaction record.

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

1. Start the **FCIS Block Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Block Transaction Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

3.22.4 Authorize Block Transaction Record

This topic provides the systematic instructions to authorize Block Transaction record.

An unauthorized FCIS Subscription Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Block Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Block Transaction Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

3.22.5 Amend Block Transaction Record

This topic provides the systematic instructions to amend Block Transaction record.

After a FCIS Subscription Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Block Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Block Transaction Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.22.6 Authorize Amended Block Transaction Record

This topic provides the systematic instructions to authorize amended Block Transaction record.

1. An amended Block Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

3.23 Unblock Transaction Detail

This topic provides the instructions to start unblock transaction detail Screen details.

This topic contains the following sub-topics:

- Process FCIS UnBlock Transaction Detail
  This topic provides the systematic instructions to enter a transfer transaction request into the system.
- FCIS Unblock Transaction Detail - Details
  This topic explains the details tab of the **FCIS Unblock Transaction Detail** screen.
- FCIS Unblock Transaction Detail - Intermediary
  This topic explains the intermediary tab of the **FCIS Unblock Transaction Detail** screen.
- FCIS Unblock Transaction Detail - KYC Details Tab
  This topic explains the KYC Details tab of the **FCIS Unblock Transaction Detail** screen.
- FCIS Unblock Transaction Detail - Add Info
  This topic explains the Add Info tab of the **FCIS Unblock Transaction Detail** screen.
- FCIS Unblock Transaction Details - Certificate Tab
  This topic explains the Certificate tab of the **FCIS Unblock Transaction Detail** screen.
- FCIS - Transaction Allocation Details
  This topic explains the Allocation Details button in the **FCIS Unblock Transaction Detail** screen.
- Save the Transaction
  This topic provides information on saving transaction details.

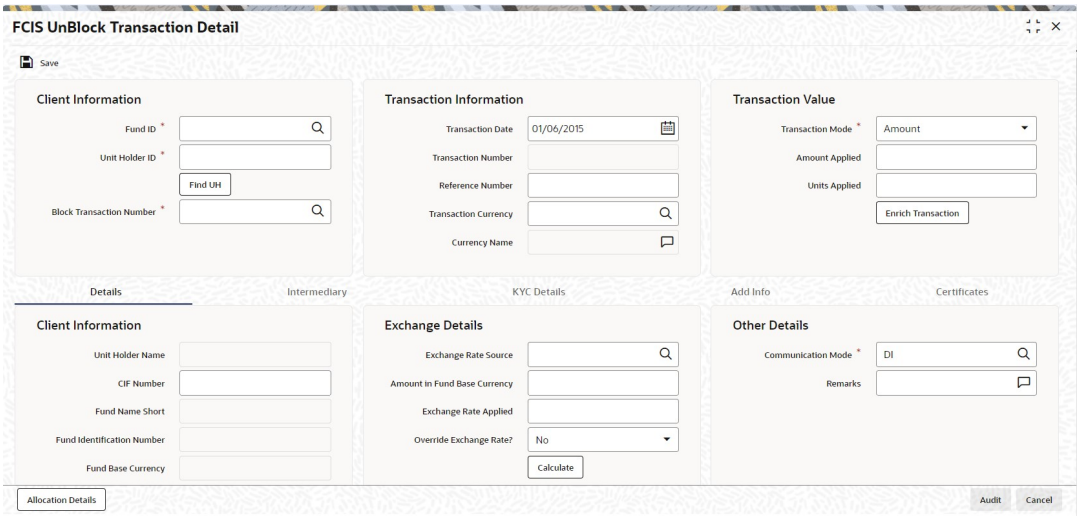
3.23.1 Process FCIS UnBlock Transaction Detail

This topic provides the systematic instructions to enter a transfer transaction request into the system.

1. On **Home** screen, type **UTDTXN07/UTDTRA07** in the text box and then click **Next**.

   The **FCIS Unblock Transaction Detail** screen is displayed.

Figure 3-109 FCIS Unblock Transaction Detail



2. On the **FCIS Unblock Transaction Detail** screen, specify the fields.

   For more information on fields in the screen, refer the below table.

Table 3-125 FCIS Unblock Transaction Detail

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the **Client Information** section. Specify the CIF Number and then choose the required unit holder in the **Unit Holder** field, or else specify the ID of the unit holder in the **Unit Holder** field. You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. You can also query for unit holder ID by clicking **Find UH** button.
Block Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the block transaction number.

Table 3-126 FCIS Unblock Transaction Detail - Transaction Details - Transaction Information

Field	Description
Transaction Date	*Date Format; Mandatory* The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date. If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the **Transaction Processing Rules**. The specified earlier date must also be within the backdating limit, as specified for the fund in the **Transaction Processing Rules**.
Transaction Number	*Display* The system displays the transaction number.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.
Currency Name	*Display* The system displays the name of the currency.

Table 3-127 FCIS Bulk Transaction - Transaction Details - Transaction Value

Field	Description
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Amount** • **Units**
Amount Applied	*Numeric; 27 Characters; Optional* Specify the amount applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Amount**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.

3. Click the **Enrich Transaction** button after entering all details in **Transaction Information** section.

The list of transactions applicable for the Unit Holder selected is defaulted in **UH and Fund** section.

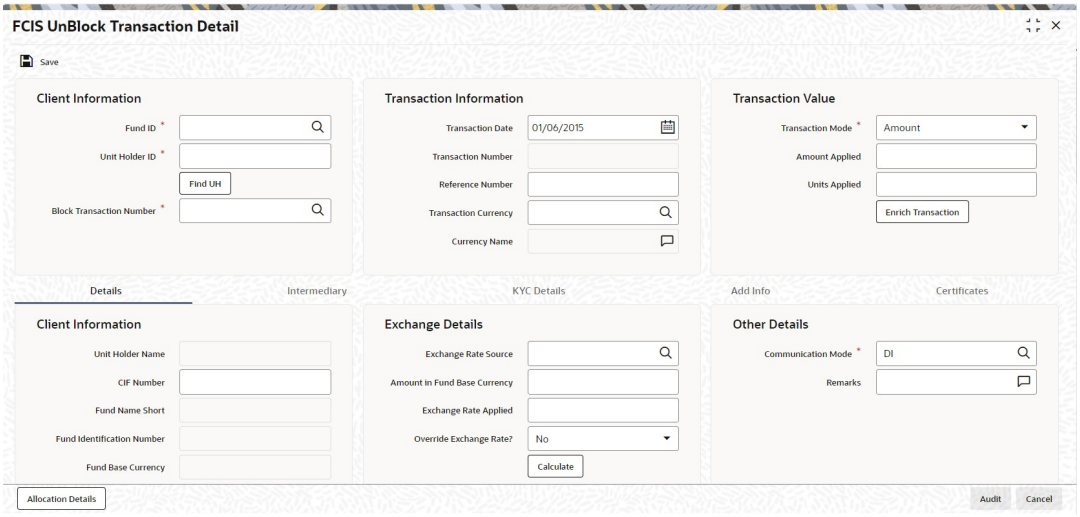
3.23.2 FCIS Unblock Transaction Detail - Details

This topic explains the details tab of the **FCIS Unblock Transaction Detail** screen.

1. Click **Details** tab in the **FCIS Unblock Transaction Detail** screen.

   The **Details** are displayed in the **FCIS Unblock Transaction Detail** screen.

Figure 3-110 FCIS Unblock Transaction Detail



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

   For information on fields in the screen, refer the below table.

Table 3-128 FCIS Unblock Transaction Detail - Client Information Section

Field	Description
CIF Number	*Alphanumeric; 20 Characters; Optional* Specify the CIF number. The system will display the following values: • **Unit Holder Name** • **Fund Name Short** • **Fund Identification Number** • **Fund Base Currency**

Table 3-129 FCIS Unblock Transaction Detail - Details Tab - Exchange Details

Field	Description
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system. **Note**: Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Amount in Fund Base Currency	*Numeric; 18 Characters; Optional* Specify the amount in fund base currency.
Exchange Rate Applied	*Numeric; 21 Characters; Optional* The system displays the applied exchange rate.
Override Exchange Rate?	*Optional* Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values: • **Yes** • **No**

Table 3-130 FCIS Unblock Transaction Detail - Details Tab - Exchange Details - Other Details

Field	Description
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any. After specifying all the necessary details, click **Calculate** button to calculate the interest details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

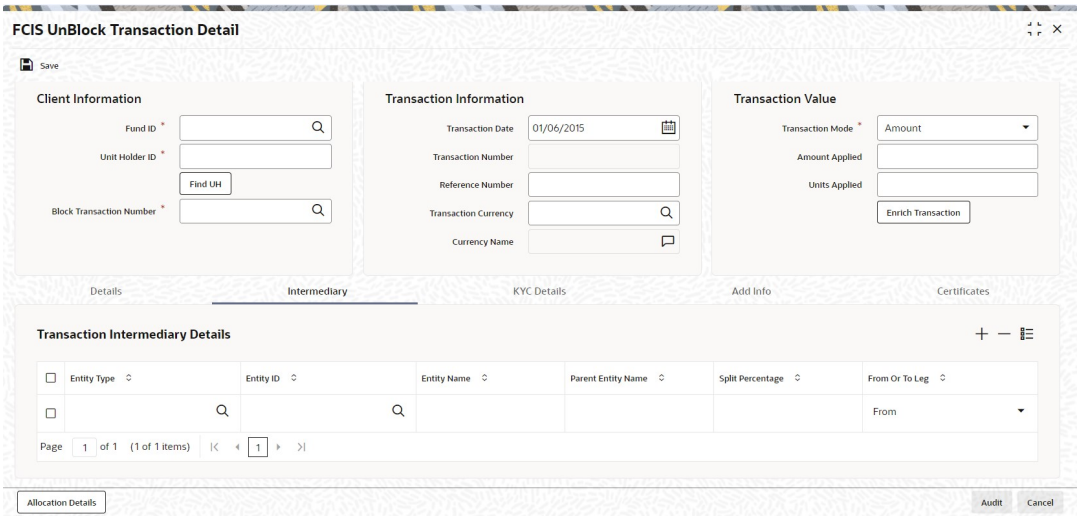
3.23.3 FCIS Unblock Transaction Detail - Intermediary

This topic explains the intermediary tab of the **FCIS Unblock Transaction Detail** screen.

1. On the **FCIS Unblock Transaction Detail** screen, click **Intermediary** tab to enter the details.

   The **Intermediary** details are displayed in the **FCIS Unblock Transaction Detail** screen.

Figure 3-111 FCIS Unblock Transaction Detail - Intermediary



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

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

   For information on fields in the screen, refer the below table.

Table 3-131 FCIS Unblock Transaction Detail - Intermediary

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Mandatory* Select the **entity type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the broker is displayed. However, you can amend this value.
Parent Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Mandatory* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

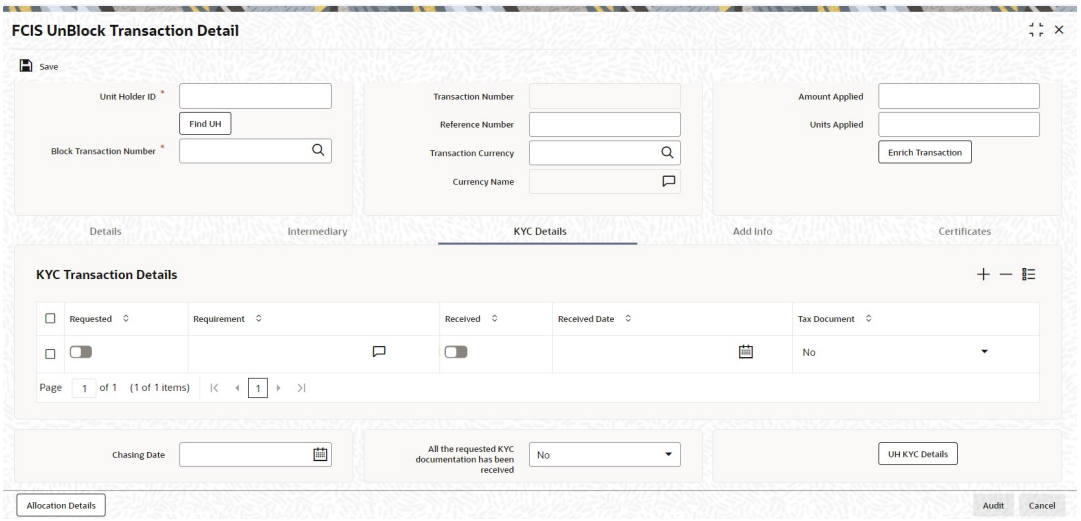
3.23.4 FCIS Unblock Transaction Detail - KYC Details Tab

This topic explains the KYC Details tab of the **FCIS Unblock Transaction Detail** screen.

1. On the **KYC Details** tab in the **FCIS Unblock Transaction Detail** screen.

   The **KYC Details** are displayed in the **FCIS Unblock Transaction Detail** screen.

Figure 3-112 FCIS Unblock Transaction Detail screen - KYC Details



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

   For information on fields in the **FCIS Unblock Transaction Detail - KYC Details Tab** screen, refer the below table.

Table 3-132 FCIS Unblock Transaction Detail - KYC Details Tab

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are **requested**.
Requirement	*Alphanumeric; 255 Characters; Optional* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Optional* Select if tax document is required or not from the drop-down list. The list displays the following values: • Yes • No
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

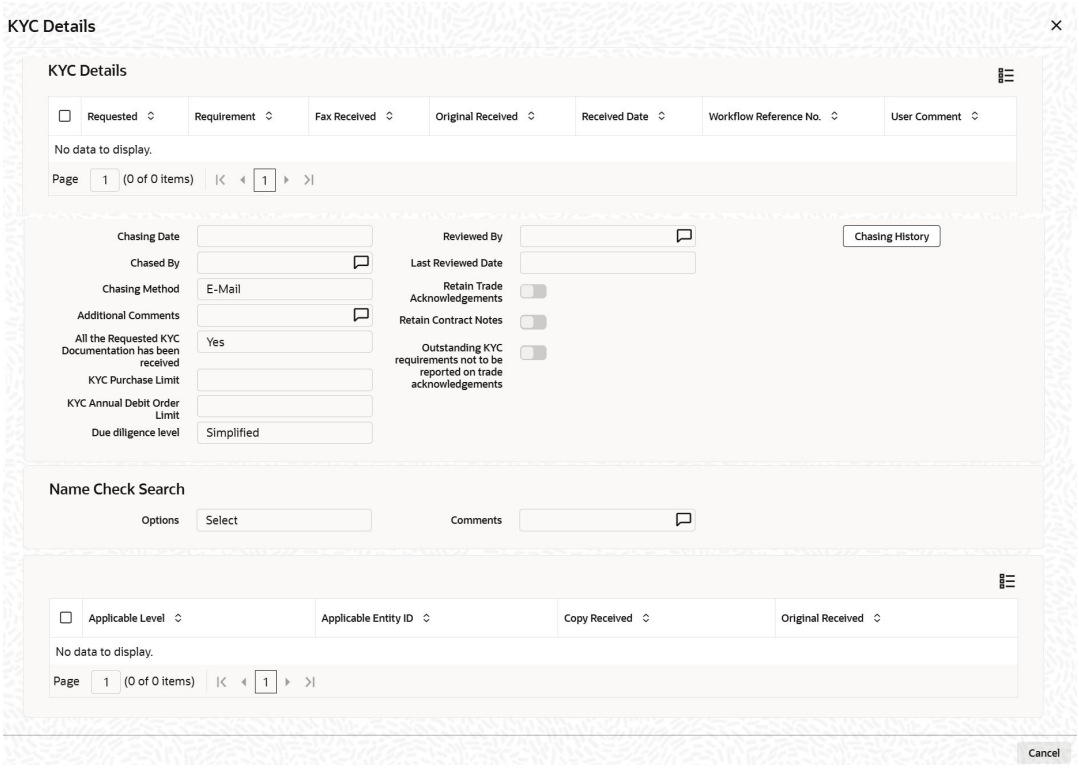
Table 3-132 (Cont.) FCIS Unblock Transaction Detail - KYC Details Tab

Fields	Description
All the requested KYC documentation has been received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**

3. Click the **UH KYC Details** button.

   The system displays all the KYC details available for the UH.

Figure 3-113 KYC Details



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

> **Note:**
>
> Transaction Status will not check the KYC Details to complete the transaction.

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

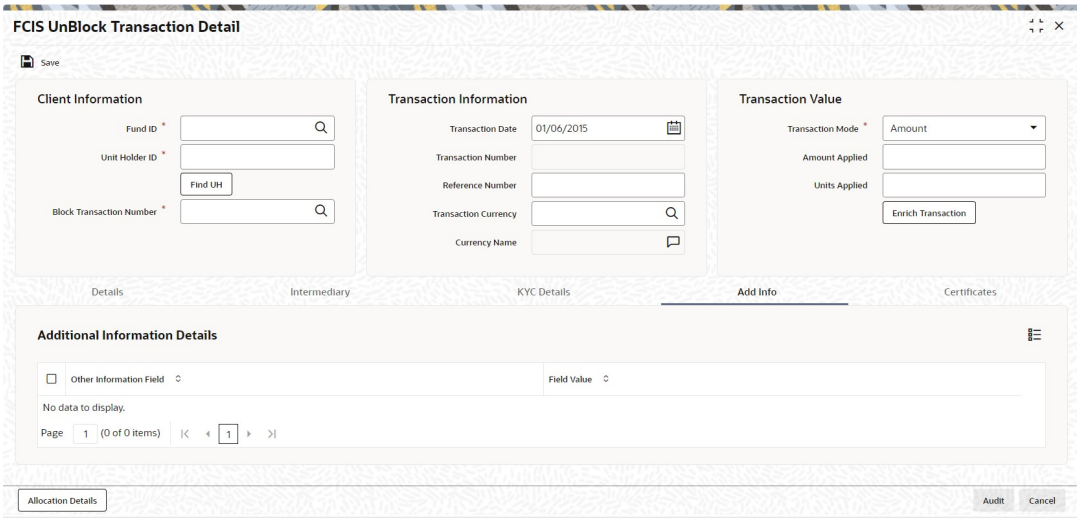
3.23.5 FCIS Unblock Transaction Detail - Add Info

This topic explains the Add Info tab of the **FCIS Unblock Transaction Detail** screen.

1. On the **FCIS Unblock Transaction Detail** screen, click the **Add Info** tab to enter the details.

   The **Add Info** details are displayed in the **FCIS Unblock Transaction Detail** screen.

Figure 3-114 FCIS Unblock Transaction Detail - Add Info



2. On **Add Info** tab, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-133 FCIS Unblock Transaction Detail - Add Info Tab

Fields	Description
Other Info Field	*Display* The system displays the additional information if any information heads have been maintained in the **System Parameters** to be applicable for the segment.
Field Value	*Display* The system displays the field value.

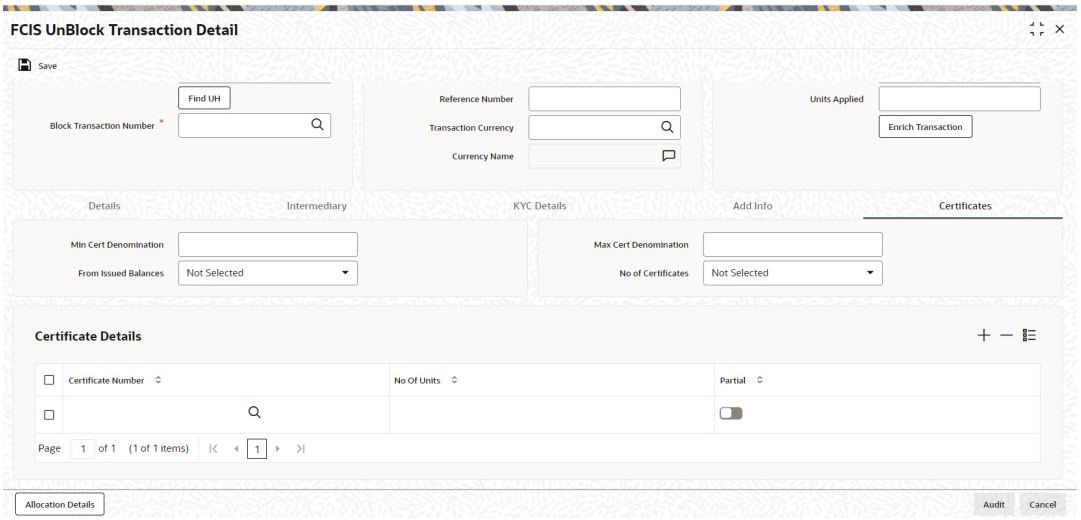
3.23.6 FCIS Unblock Transaction Details - Certificate Tab

This topic explains the Certificate tab of the **FCIS Unblock Transaction Detail** screen.

1. Click the **Certificate** tab in the **FCIS Unblock Transaction Detail** screen.

   The **Certificate** details are displayed in **FCIS Unblock Transaction Detail** screen.

Figure 3-115 FCIS Unblock Transaction Details - Certificates



2. On **Certificate** tab, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-134 FCIS Unblock Transaction Details - Certificate Tab

Fields	Description
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **minimum certificate denomination** details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **maximum certificate denomination** details.
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both** **Note:** From issued balance field **Both Option** is not applicable for the subscription transaction.
No of Certificates	*Optional* Select the number of certificates from the drop-down list. The list displays the following values: • **Single** • **Multiple**

Table 3-135 FCIS Unblock Transaction Details - Certificate Details

Fields	Description
Certificate Number	*Numeric; 10 Characters; Optional* Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.
Number of Units	*Numeric; 27 Characters; Optional* Specify the number of units details.

Table 3-135 (Cont.) FCIS Unblock Transaction Details - Certificate Details

Fields	Description
Partial	*Optional* Check this box if partial details to be selected.

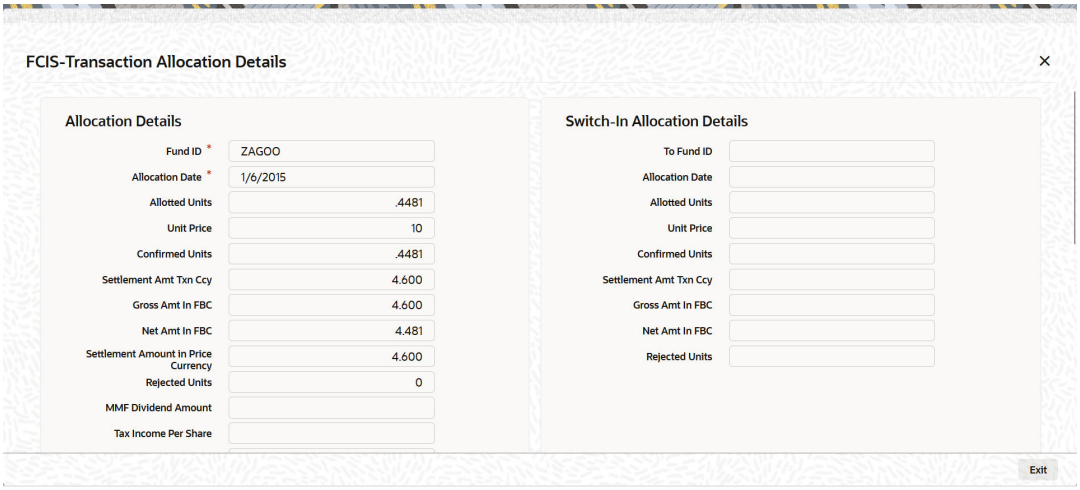
3.23.7 FCIS - Transaction Allocation Details

This topic explains the Allocation Details button in the **FCIS Unblock Transaction Detail** screen.

1. Click the **Allocation Details** button to enter the details.

   The **FCIS - Transaction Allocation Details** screen is displayed.

Figure 3-116 FCIS - Transaction Allocation Details



2. On **Allocation Details**, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-136 Allocation Details - Field Description

Field	Description
Allocation Details	The following allocation details are displayed: • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**
Switch-In Allocation Details	The following Switch-in allocation details are displayed: • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**
Load Details	The following load details are displayed during the allocation: • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**
Performance Fee Details	The following performance fee details are displayed during the allocation: • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**

Table 3-136 (Cont.) Allocation Details - Field Description

Field	Description
Transaction Component Details	The following transaction component details are displayed during the allocation: • **Offer Price** • **Share Capital** • **Fund Capital** • **Switch In Bid Price** • **To Fund Capital** • **Bid Price** • **Income** • **Share Premium** • **Switch In Offer Price**
CGT Deduction Details	The following CGT deduction details are displayed during the allocation: • **Unit Holder/Joint Unit Holder ID** • **Unit Holder/Joint Unit Holder Name** • **Tax Amount**

3.23.8 Save the Transaction

This topic provides information on saving transaction details.

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

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

3.24 FCIS Unblock Transaction Summary

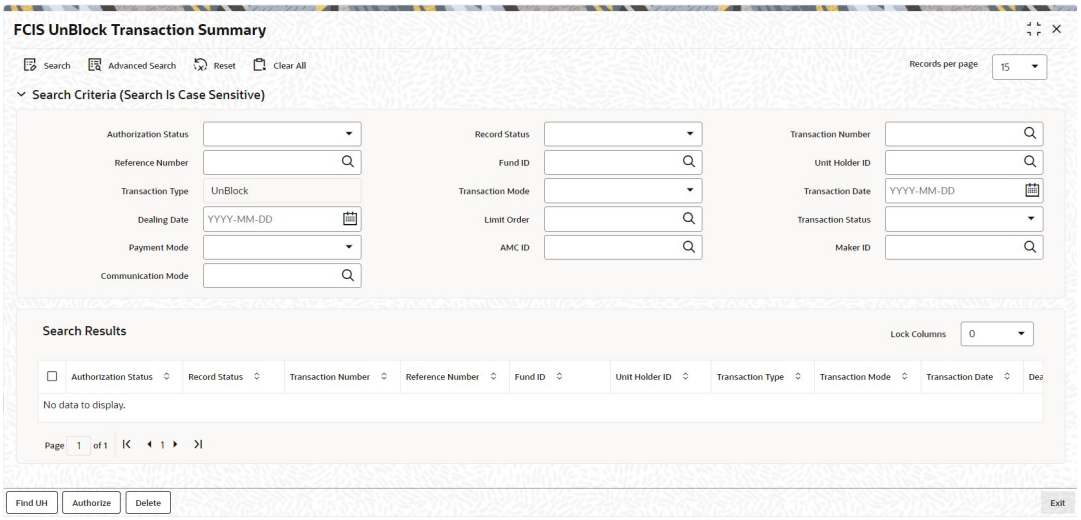
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Unblock Transaction Summary

1. On **Home** screen, type **UTSTXN07** in the text box and click **Next**.

   The **FCIS Unblock Transaction Summary** screen is displayed.

Figure 3-117 FCIS Unblock Transaction Summary



2. On **FCIS Unblock Transaction Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Transaction Type**
   - **Transaction Date**
   - **Limit Order**
   - **Payment Mode**
   - **Maker ID**
   - **Reference Number**
   - **Unit Holder ID**
   - **Transaction Mode**
   - **Dealing Date**
   - **Transaction Status**
   - **AMC ID**
   - **Communication Mode**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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.

   You can search the record for Fund ID by using the combination of percentage and alphanumeric value as follows:

   - Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example, AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example, AGC17,GSD267,AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example, GSD217,GSD172, AGC17 etc.

- Edit Unblock Transaction Record
  This topic provides the systematic instructions to edit Unblock Transaction record.
- View Unblock Transaction Record
  This topic provides the systematic instructions to view Unblock Transaction record.
- Delete Unblock Transaction Record
  This topic provides the systematic instructions to delete Unblock Transaction record.
- Authorize Unblock Transaction Record
  This topic provides the systematic instructions to authorize Unblock Transaction record.
- Amend Unblock Transaction Record
  This topic provides the systematic instructions to amend Unblock Transaction record.
- Authorize Amended Unblock Transaction Record
  This topic provides the systematic instructions to authorize amended Unblock Transaction record.

3.24.1 Edit Unblock Transaction Record

This topic provides the systematic instructions to edit Unblock Transaction record.

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

1. Start the **FCIS Unblock Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Unblock Transaction Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Unblock Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Unblock Transaction Summary** screen.

3.24.2 View Unblock Transaction Record

This topic provides the systematic instructions to view Unblock Transaction record.

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

1. Start the **FCIS Unblock Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Unblock Transaction Detail** screen is displayed.

3.24.3 Delete Unblock Transaction Record

This topic provides the systematic instructions to delete Unblock Transaction record.

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

1. Start the **FCIS Unblock Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Unblock Transaction Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.24.4 Authorize Unblock Transaction Record

This topic provides the systematic instructions to authorize Unblock Transaction record.

An unauthorized FCIS Unblock Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Unblock Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Unblock Transaction Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.24.5 Amend Unblock Transaction Record

This topic provides the systematic instructions to amend Unblock Transaction record.

After a FCIS Unblock Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Unblock Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Unblock Transaction Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.24.6 Authorize Amended Unblock Transaction Record

This topic provides the systematic instructions to authorize amended Unblock Transaction record.

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

The subsequent process of authorization is the same as that for normal transactions.
Checking for Duplicate Transactions:

At the time of saving the transaction details, the system checks for the Policy Number - Transaction Type combination. If there are any existing transactions for the same combination that has been captured in the past ‘n’ days, the system will display you an warning message if you try to save another transaction with the same combination within those ‘n’ days. You need to specify this ‘n’ number of days which the system has to consider for validation.

The system performs the duplicate transaction validation:

- For unauthorized transactions
- If a parameter code called **DUPWARNINGLAG** and the value for the ‘n’ number of days has been maintained. The validation fails if the ‘n’ number of days is specified as zero.

Maintaining Parameter Code for Displaying Warning Messages:

You need to maintain the parameter code “DUPWARNINGLAG” and the number of days as the Parameter Value in the Parameter Setup screen.

Refer to the chapter **Maintaining System Parameters** for further details on maintaining the parameters.

3.25 Consolidation Transaction Detail

This topic provides the systematic instructions to enter a transfer transaction request into the system.

This topic contains the following sub-topics:

- Process Consolidation Transaction Detail Screen
  This topic provides the systematic instructions to enter a consolidation transaction request into the system.
- FCIS Consolidation Transaction Detail - Details Tab
  This topic explains the details tab of the **FCIS Consolidation Transaction Detail** screen.
- FCIS Consolidation Transaction Detail - Intermediary Tab
  This topic explains the Intermediary tab of the **FCIS Consolidation Transaction Detail** screen.
- FCIS Consolidated Transaction Detail - KYC Details Tab
  This topic explains the KYC Details tab of the **FCIS Consolidation Transaction Detail** screen.
- FCIS Consolidation Transaction Detail - Add Info Tab
  This topic explains the Add Info tab of the **FCIS Consolidation Transaction Detail** screen.
- FCIS Consolidation Transaction Details - Certificate Tab
  This topic explains the Certificate tab of the **FCIS Consolidation Transaction Detail** screen.
- FCIS - Transaction Allocation Details
  This topic explains the Allocation Details button in the **FCIS Consolidation Transaction Detail** screen.
- Save the Transaction
  This topic provides information on saving transaction details.

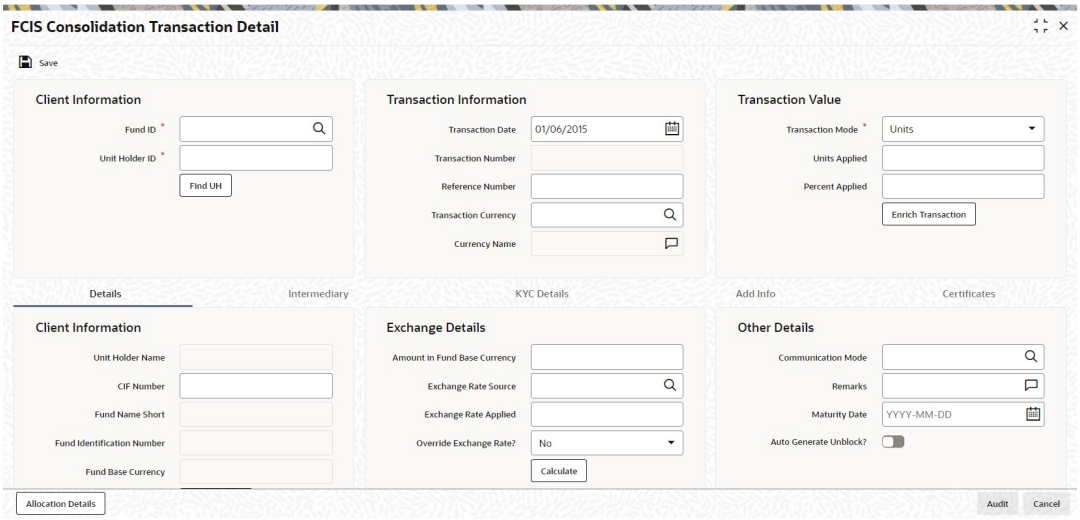
3.25.1 Process Consolidation Transaction Detail Screen

This topic provides the systematic instructions to enter a consolidation transaction request into the system.

1. On **Home** screen, type **UTDTXN08/UTDTRA08** in the text box and click **Next**.

   The **FCIS Consolidation Transaction Detail** screen is displayed.

Figure 3-118 FCIS Consolidation Transaction Detail



2. On **FCIS Consolidation Transaction Detail** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-137 FCIS Consolidation Transaction Detail - Client Information

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the Client Information section. Specify the **CIF Number** and then choose the required unit holder in the **Unit Holder** field, or else specify the ID of the unit holder in the **Unit Holder** field. You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. You can also query for unit holder ID by clicking **Find UH** button.

Table 3-138 FCIS Consolidation Transaction Detail - Transaction Details

Field	Description
Transaction Date	*Date Format; Optional* The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date. If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the **Transaction Processing Rules**. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.
Transaction Number	*Display* The system displays the transaction number.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the **Fund Transaction Currency** rule.
Currency Name	*Display* The system displays the name of the currency.

Table 3-139 FCIS Consolidation Transaction Detail - Transaction Details - Transaction Value

Field	Description
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Units** • **Percent**
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as Units. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Percent Applied	*Numeric; 27 Characters; Optional* Specify the percent applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as Percent. Else, while clicking **Enrich Transaction** button, the system will display an error message. After entering all details in Transaction Information section click on **Enrich Transaction** button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

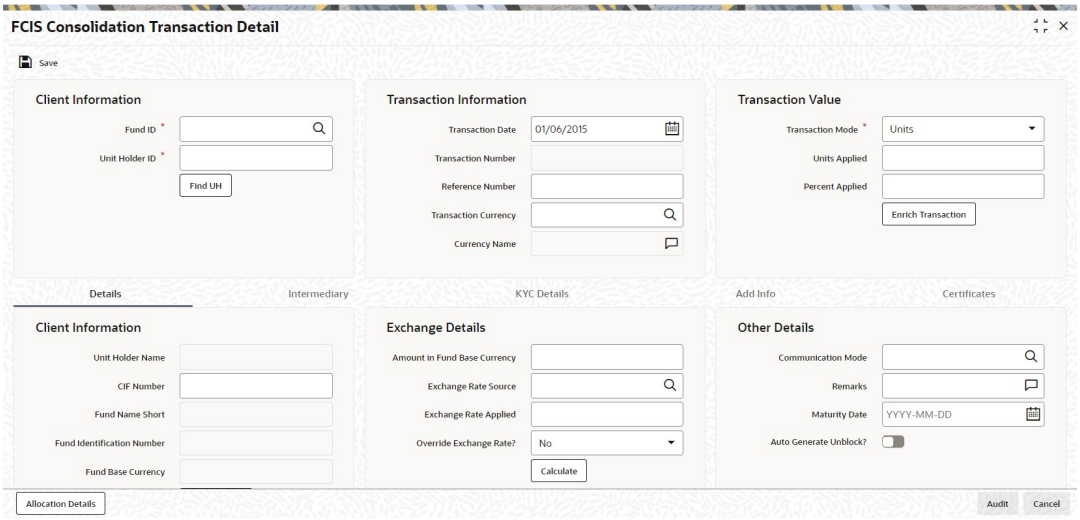
3.25.2 FCIS Consolidation Transaction Detail - Details Tab

This topic explains the details tab of the **FCIS Consolidation Transaction Detail** screen.

1. Click the **Details** tab in the **FCIS Consolidation Transaction Detail** screen.

   The **Details** are displayed in the **FCIS Consolidation Transaction Detail** screen.

Figure 3-119 FCIS Consolidation Transaction Detail



2. On **FCIS Consolidation Transaction Detail - Details** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-140 FCIS Consolidation Transaction Detail - Details - Client Information

Field	Description
CIF Number	*Alphanumeric; 20 Characters; Optional* Specify the CIF number. The system will display the following values: • **Unit Holder Name** • **Fund Name Short** • **Fund Identification Number** • **Fund Base Currency**

Table 3-141 FCIS Consolidation Transaction Detail - Details - Exchange Details

Field	Description
Amount in Fund Base Currency	*Numeric; 30 Characters; Optional* Specify the amount in fund base currency.

Table 3-141 (Cont.) FCIS Consolidation Transaction Detail - Details - Exchange Details

Field	Description
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system. **Note:** Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Exchange Rate Applied	*Numeric; 21 Characters; Optional* The system displays the applied exchange rate.
Override Exchange Rate?	*Optional* Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values: • **Yes** • **No**

Table 3-142 FCIS Consolidation Transaction Detail - Details - Exchange Details - Other Details

Field	Description
Communication Mode	*Alphanumeric; 2 Characters; Optional* Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Maturity Date	*Date Format; Optional* If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility. **Note:** In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the **Auto generate Unblock** option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.
Auto Generate Unblock?	*Optional* Check this box if block transactions needs to be automatically generated. After specifying all the necessary details, click the **Calculate** button to calculate the interest details. Click the **Calculate** button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in **Fund Base Currency** field. The applied exchange rate is also displayed in the **Override Exchange Rate** field.

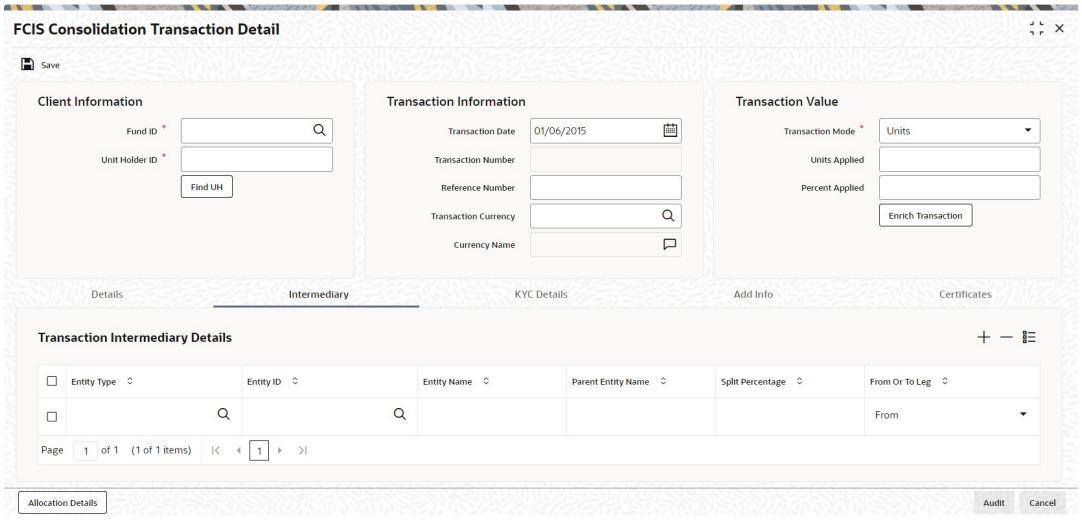
3.25.3 FCIS Consolidation Transaction Detail - Intermediary Tab

This topic explains the Intermediary tab of the **FCIS Consolidation Transaction Detail** screen.

1. Click the **Intermediary** tab in the **FCIS Consolidation Transaction Detail** screen.

   The **Intermediary** details are displayed in **FCIS Consolidation Transaction Detail** screen.

Figure 3-120 FCIS Consolidation Transaction Detail - Intermediary



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

2. On **FCIS Consolidation Transaction Detail - Intermediary** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-143 FCIS Consolidation Transaction Detail - Intermediary

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the **Entity Type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the broker is displayed. However, you can amend this value.

Table 3-143 (Cont.) FCIS Consolidation Transaction Detail - Intermediary

Fields	Description
Parent Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Optional* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

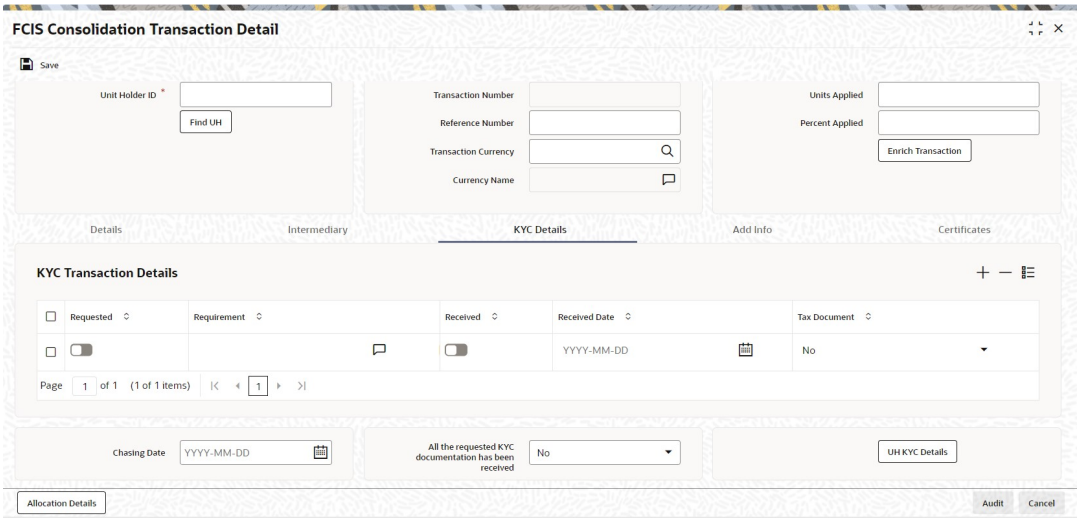
3.25.4 FCIS Consolidated Transaction Detail - KYC Details Tab

This topic explains the KYC Details tab of the **FCIS Consolidation Transaction Detail** screen.

1. Click the **KYC Details** tab in the **FCIS Consolidated Transaction Detail** screen.

   The **KYC Details** are displayed in **FCIS Consolidated Transaction Detail** screen.

Figure 3-121 FCIS Consolidated Transaction Detail - KYC Details



2. On **FCIS Consolidated Transaction Detail - KYC Details** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-144 FCIS Consolidated Transaction Detail - KYC Details

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are requested.

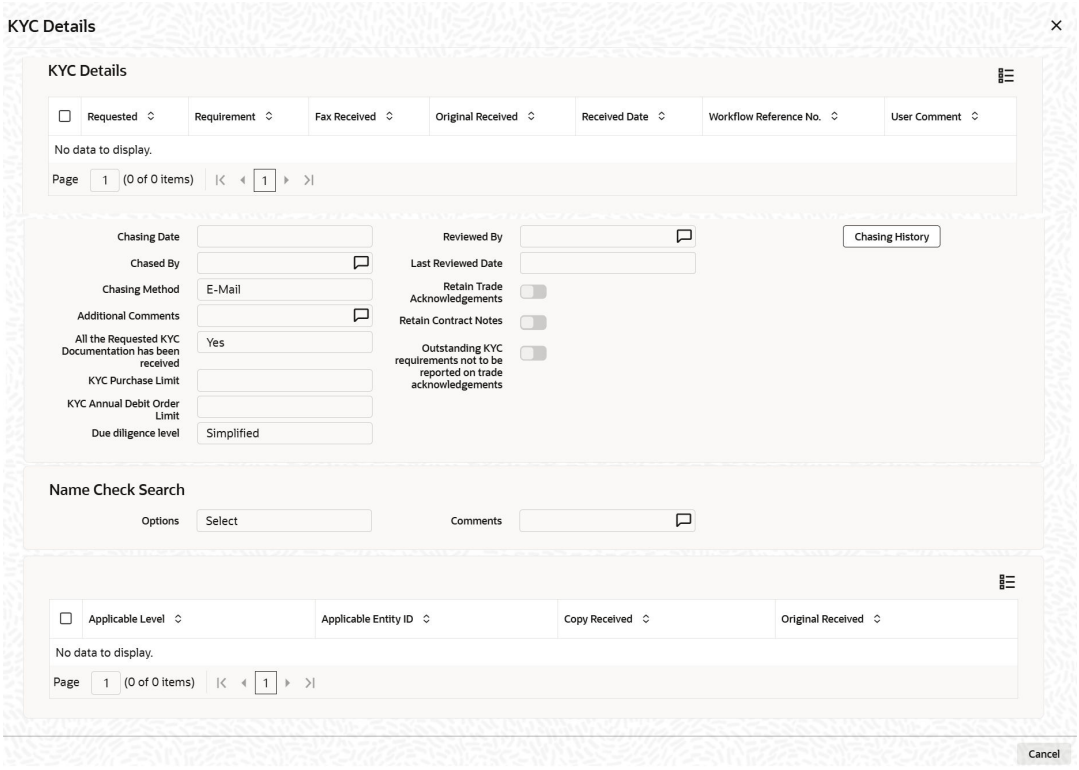
Table 3-144 (Cont.) FCIS Consolidated Transaction Detail - KYC Details

Fields	Description
Requirement	*Alphanumeric; 255 Characters; Optional* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Optional* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.
All the requested KYC documentation has been received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**

3. Click on **UH KYC Details** button, the system displays all the KYC details available for the UH..

   The **KYC Details** screen is displayed.

Figure 3-122 KYC Details



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

> **Note:**
>
> Transaction Status will not check the KYC Details to complete the transaction.

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

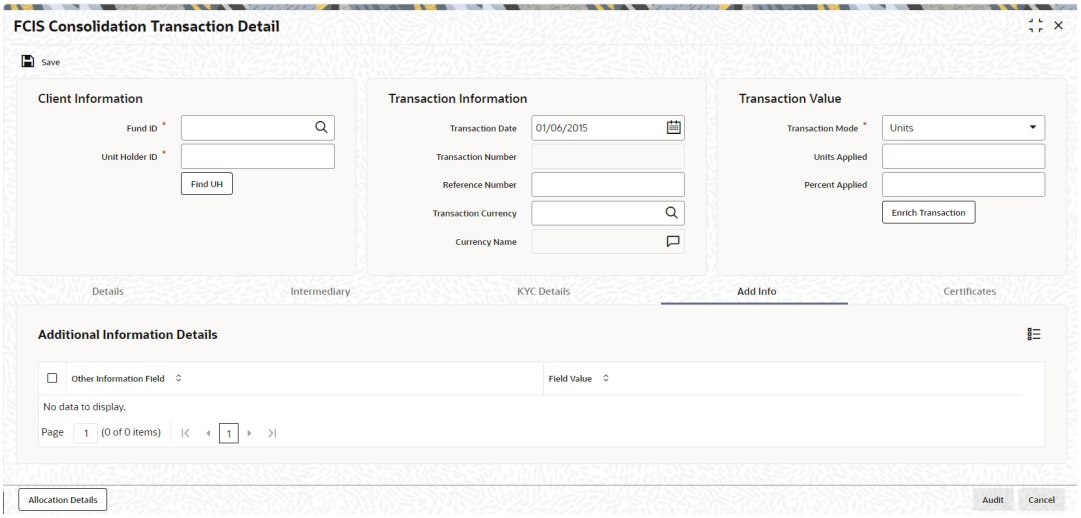
3.25.5 FCIS Consolidation Transaction Detail - Add Info Tab

This topic explains the Add Info tab of the **FCIS Consolidation Transaction Detail** screen.

1. Click the **Add Info** tab in the **FCIS Consolidation Transaction Detail** screen.

   The **Add Info** details are displayed in **FCIS Consolidation Transaction Detail** screen.

Figure 3-123 FCIS Consolidation Transaction Detail - Add Info



2. On **FCIS Consolidation Transaction Detail - Add Info** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-145 FCIS Consolidation Transaction Detail - Add Info

Fields	Description
Other Info Field	*Display* The system displays the additional information, if any information heads have been maintained in the **System Parameters** to be applicable for the segment.
Field Value	*Display* The system displays the field value.

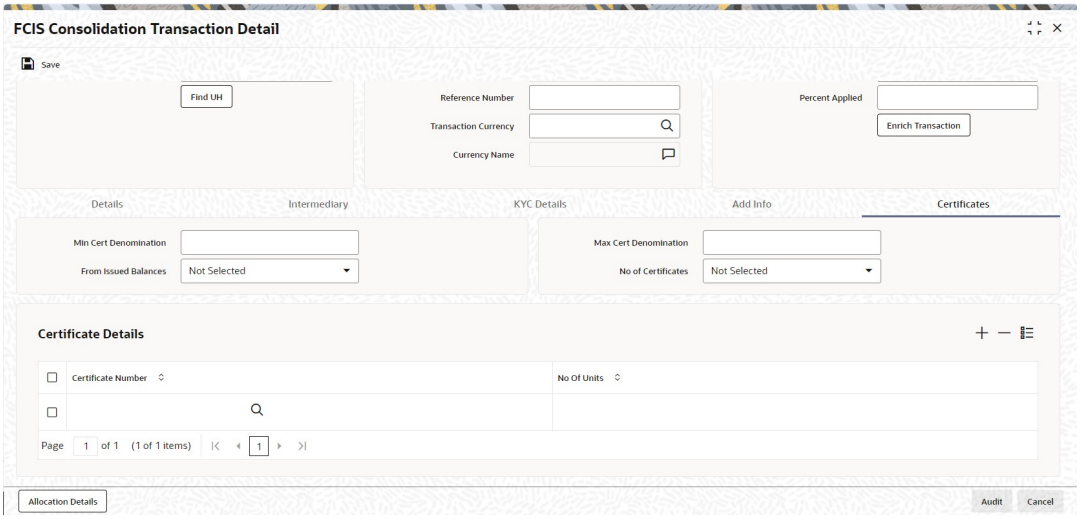
3.25.6 FCIS Consolidation Transaction Details - Certificate Tab

This topic explains the Certificate tab of the **FCIS Consolidation Transaction Detail** screen.

1. Click the **Certificates** tab in the **FCIS Consolidation Transaction Detail** screen.

   The **Certificates** details are displayed in **FCIS Consolidation Transaction Detail** screen.

Figure 3-124 FCIS Consolidation Transaction Details - Certificates



2. On **FCIS Consolidation Transaction Details - Certificates** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-146 FCIS Consolidation Transaction Details - Certificates

Fields	Description
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **minimum certificate denomination** details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **maximum certificate denomination** details.
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both** **Note:** From issued balance field **Both Option** is not applicable for the subscription transaction.
No of Certificates	*Optional* Select the number of certificates from the drop-down list. The list displays the following values: • **Single** • **Multiple**

Table 3-147 FCIS Consolidation Transaction Details - Certificate Details

Fields	Description
Certificate Number	*Numeric; 10 Characters; Optional* Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.
Number of Units	*Numeric; 27 Characters; Optional* Specify the number of units details.

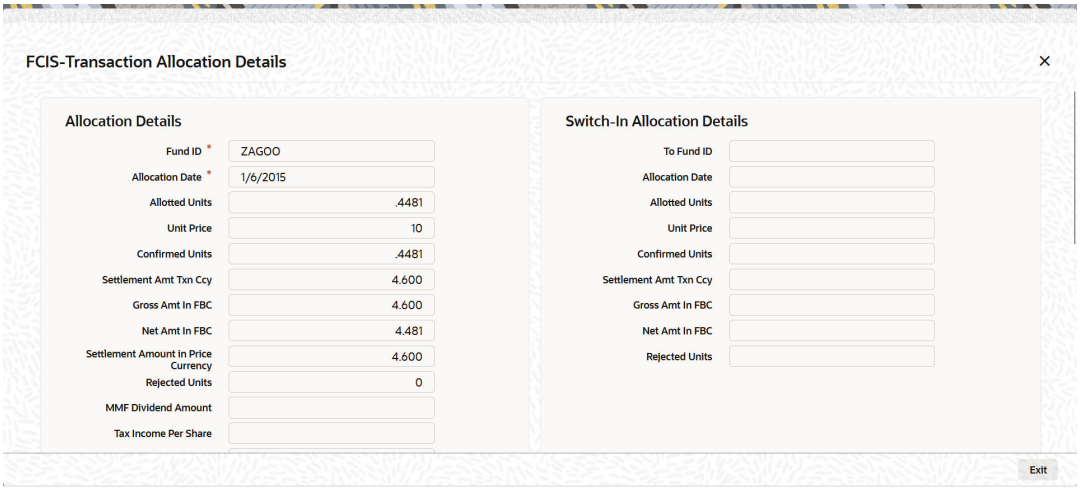
3.25.7 FCIS - Transaction Allocation Details

This topic explains the Allocation Details button in the **FCIS Consolidation Transaction Detail** screen.

1. Click the **Allocation Details** button to enter the details.

   The **FCIS - Transaction Allocation Details** screen is displayed.

Figure 3-125 FCIS - Transaction Allocation Details



2. On **Allocation Details**, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-148 Allocation Details - Field Description

Field	Description
Allocation Details	The following allocation details are displayed: • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**
Switch-In Allocation Details	The following Switch-in allocation details are displayed: • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**
Load Details	The following load details are displayed during the allocation: • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**
Performance Fee Details	The following performance fee details are displayed during the allocation: • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**

Table 3-148 (Cont.) Allocation Details - Field Description

Field	Description
Transaction Component Details	The following transaction component details are displayed during the allocation: • **Offer Price** • **Share Capital** • **Fund Capital** • **Switch In Bid Price** • **To Fund Capital** • **Bid Price** • **Income** • **Share Premium** • **Switch In Offer Price**
CGT Deduction Details	The following CGT deduction details are displayed during the allocation: • **Unit Holder/Joint Unit Holder ID** • **Unit Holder/Joint Unit Holder Name** • **Tax Amount**

3.25.8 Save the Transaction

This topic provides information on saving transaction details.

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

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

3.26 FCIS Consolidation Transaction Summary

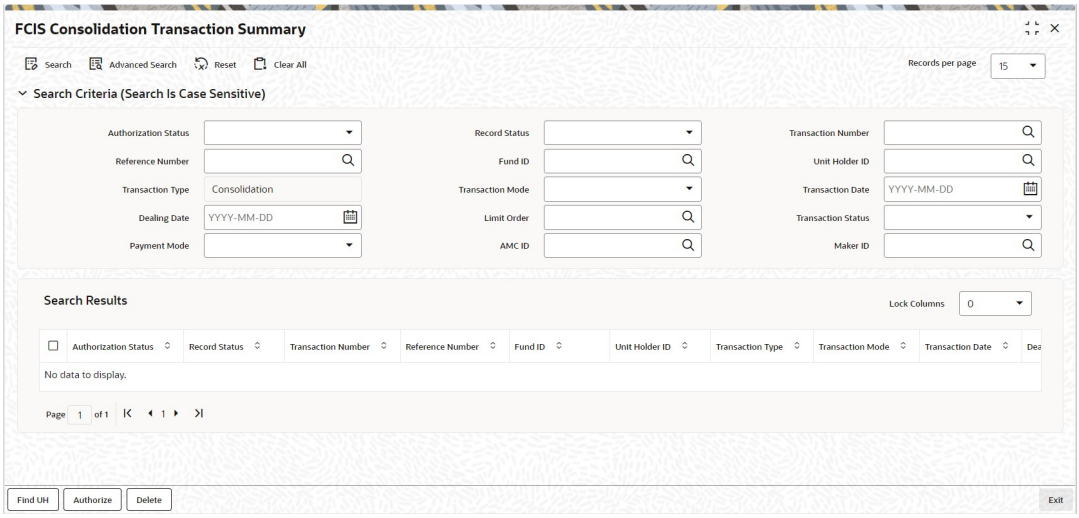
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Consolidation Transaction Summary

1. On **Home** screen, type **UTSTXN08** in the text box click **Next**.

   The **FCIS Consolidation Transaction Summary** screen is displayed.

Figure 3-126 FCIS Consolidation Transaction Summary



2. On **FCIS Consolidation Transaction Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Transaction Type**
   - **Transaction Date**
   - **Limit Order**
   - **Payment Mode**
   - **Maker ID**
   - **Reference Number**
   - **Unit Holder ID**
   - **Transaction Mode**
   - **Dealing Date**
   - **Transaction Status**
   - **AMC ID**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

   You can search the record for Fund ID by using the combination of percentage and alphanumeric value as follows:

   - Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- Edit Consolidation Transaction Record
  This topic provides the systematic instructions to edit Consolidation Transaction record.
- View Consolidation Transaction Record
  This topic provides the systematic instructions to view Consolidation Transaction record.
- Delete Consolidation Transaction Record
  This topic provides the systematic instructions to delete Consolidation Transaction record.
- Authorize Consolidation Transaction Record
  This topic provides the systematic instructions to authorize Consolidation Transaction record.
- Amend Consolidation Transaction Record
  This topic provides the systematic instructions to amend Consolidation Transaction record.
- Authorize Amended Consolidation Transaction Record
  This topic provides the systematic instructions to authorize amended Consolidation Transaction record.

3.26.1 Edit Consolidation Transaction Record

This topic provides the systematic instructions to edit Consolidation Transaction record.

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

1. Start the **FCIS Consolidation Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Consolidation Transaction Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Consolidation Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Consolidation Transaction Summary** screen.

3.26.2 View Consolidation Transaction Record

This topic provides the systematic instructions to view Consolidation Transaction record.

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

1. Start the **FCIS Consolidation Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Consolidation Transaction Detail** screen is displayed.

3.26.3 Delete Consolidation Transaction Record

This topic provides the systematic instructions to delete Consolidation Transaction record.

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

1. Start the **FCIS Consolidation Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Consolidation Transaction Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

3.26.4 Authorize Consolidation Transaction Record

This topic provides the systematic instructions to authorize Consolidation Transaction record.

An unauthorized FCIS Consolidation Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Consolidation Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Consolidation Transaction Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

3.26.5 Amend Consolidation Transaction Record

This topic provides the systematic instructions to amend Consolidation Transaction record.

After a FCIS Consolidation Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Consolidation Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Consolidation Transaction Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.26.6 Authorize Amended Consolidation Transaction Record

This topic provides the systematic instructions to authorize amended Consolidation Transaction record.

1. An amended FCIS Consolidation Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

3.27 Split Transaction Detail

This topic explains the Split Transaction Detail screen.

This topic contains the following sub-topics:

- Process Split Transaction Detail Screen
  This topic provides the systematic instructions to enter a split transaction request into the system.
- FCIS Split Transaction Detail - Details Tab
  This topic explains the details tab of the **FCIS Split Transaction Detail** screen.
- FCIS Split Transaction Detail - Intermediary
  This topic explains the Intermediary tab of the **FCIS Split Transaction Detail** screen.
- FCIS Split Transaction Detail - KYC Details Tab
  This topic explains the KYC Details tab of the **FCIS Split Transaction Detail** screen.
- FCIS Split Transaction Detail - Add Info
  This topic explains the Add Info tab of the **FCIS Split Transaction Detail** screen.
- FCIS Split Transaction Details - Certificate Tab
  This topic explains the Certificate tab of the **FCIS Split Transaction Detail** screen.
- FCIS - Transaction Allocation Details
  This topic explains the Allocation Details button in the **FCIS Split Transaction Detail** screen.
- Save the Transaction
  This topic provides information on saving transaction details.

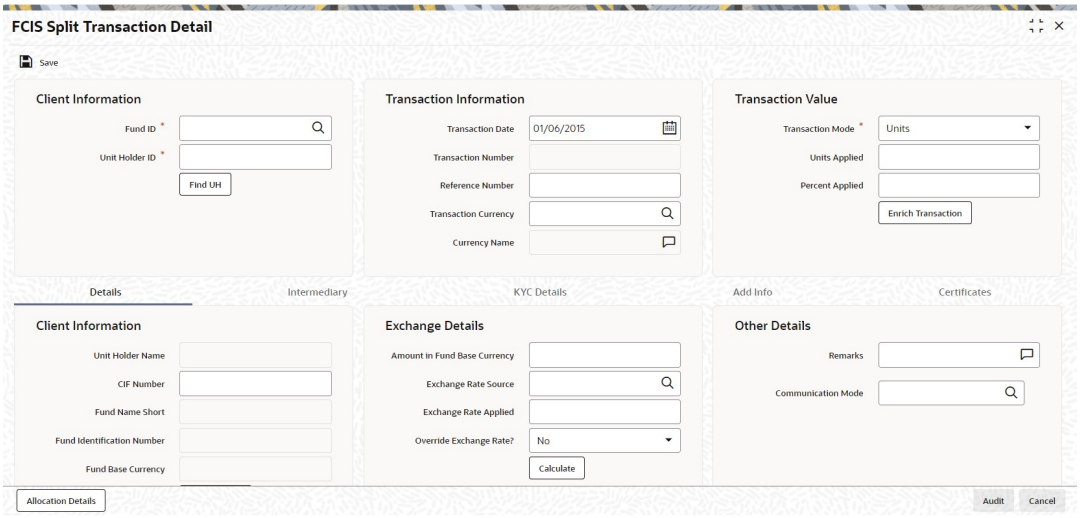
3.27.1 Process Split Transaction Detail Screen

This topic provides the systematic instructions to enter a split transaction request into the system.

1. On **Home** screen, type **UTDTXN09/ UTDTRA09** in the text box and click **Next**.

   The **FCIS Split Transaction Detail** screen is displayed.

Figure 3-127 FCIS Split Transaction Detail



2. On **FCIS Split Transaction Detail** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-149 FCIS Split Transaction Detail - Client Information

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the **Client Information** section. Specify the CIF Number and then choose the required unit holder in the **Unit Holder** field, or else specify the ID of the unit holder in the **Unit Holder** field. You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. You can also query for unit holder ID by clicking **Find UH** button.

Table 3-150 FCIS Split Transaction Detail - Transaction Details

Field	Description
Transaction Date	*Date Format; Mandatory* The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date. If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the **Transaction Processing Rules**. The specified earlier date must also be within the backdating limit, as specified for the fund in the **Transaction Processing Rules**.

Table 3-150 (Cont.) FCIS Split Transaction Detail - Transaction Details

Field	Description
Transaction Number	*Display* The system displays the transaction number.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.
Currency Name	*Display* The system displays the name of the currency.

Table 3-151 FCIS Split Transaction Detail - Transaction Details - Transaction Value

Field	Description
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Units** • **Percent**
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Percent Applied	*Numeric; 9 Characters; Optional* Specify the percent applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Percent**. Else, while clicking the **Enrich Transaction** button, the system will display an error message.

3. Click the **Enrich Transaction** button after entering all details in **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in **UH and Fund** section.

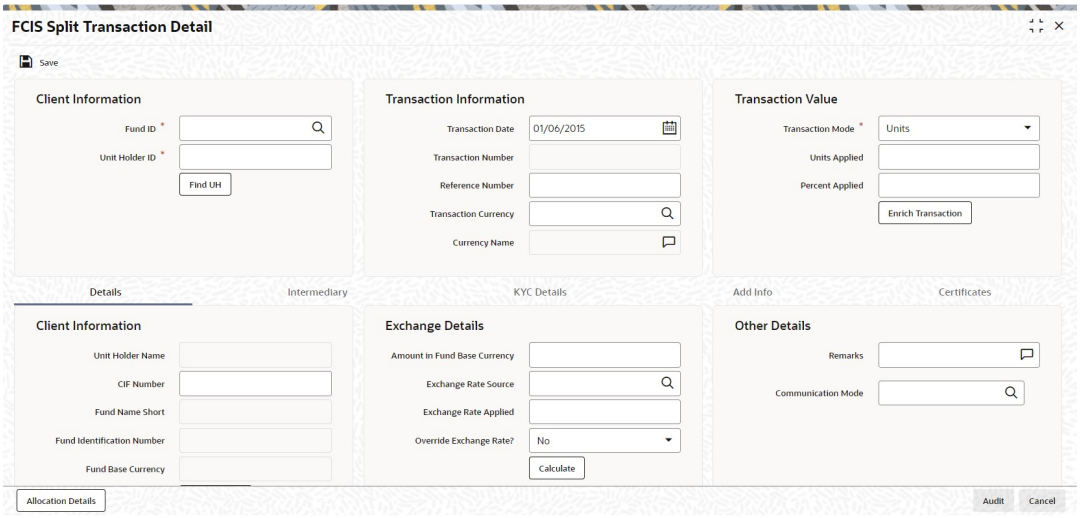
3.27.2 FCIS Split Transaction Detail - Details Tab

This topic explains the details tab of the **FCIS Split Transaction Detail** screen.

1. Click **Details** tab in the **FCIS Split Transaction Detail** screen.

   The **Details** are displayed in the **FCIS Split Transaction Detail** screen.

Figure 3-128 FCIS Split Transaction Detail - Details



2. On **FCIS Split Transaction Detail - Details Tab** screen, specify the fields.

For information on fields in the screen, refer the below table.

Table 3-152 FCIS Split Transaction Detail - Details - Client Information Section

Field	Description
CIF Number	*Alphanumeric; 20 Characters; Optional* Specify the CIF number. The system will display the following values: • **Unit Holder Name** • **Fund Name Short** • **Fund Identification Number** • **Fund Base Currency** You can upload unit holder signature image by clicking **UH Signature** button.

Table 3-153 FCIS Split Transaction Detail - Details Tab - Exchange Details

Field	Description
Amount in Fund Base Currency	*Numeric; 30 Characters; Optional* The system displays the amount in fund base currency.
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system. **Note:** Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Exchange Rate Applied	*Numeric; 6 Characters; Optional* The system displays the applied exchange rate.

Table 3-153 (Cont.) FCIS Split Transaction Detail - Details Tab - Exchange Details

Field	Description
Override Exchange Rate?	*Optional* Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values: • **Yes** • **No**

Table 3-154 FCIS Split Transaction Detail - Details Tab - Exchange Details - Other Details

Field	Description
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.

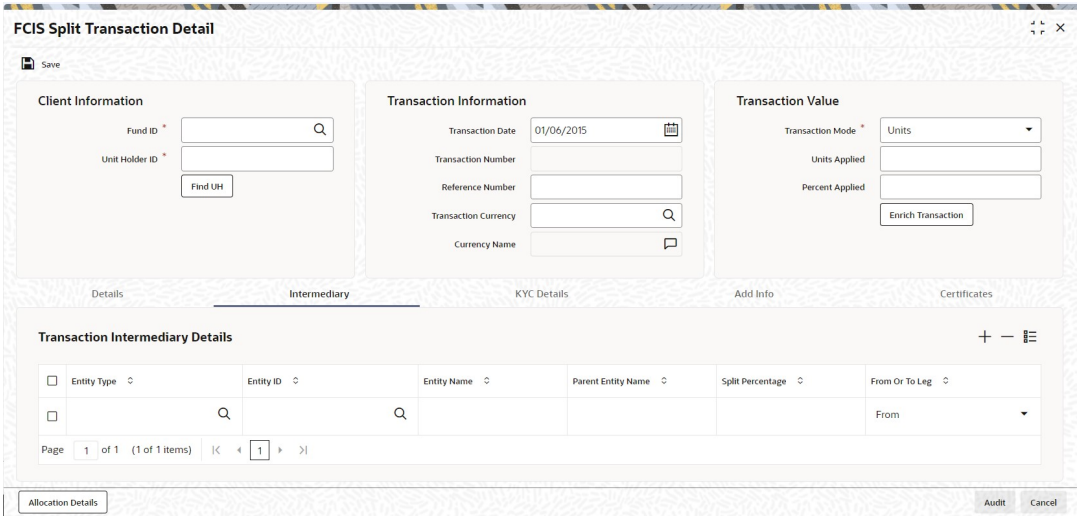
3.27.3 FCIS Split Transaction Detail - Intermediary

This topic explains the Intermediary tab of the **FCIS Split Transaction Detail** screen.

1. Click the **Intermediary** tab in the **FCIS Split Transaction Detail** screen.

   The **Intermediary** details are displayed in **FCIS Split Transaction Detail** screen.

Figure 3-129 FCIS Split Transaction Detail - Intermediary



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

2. On **FCIS Split Transaction Detail - Intermediary** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-155 FCIS Split Transaction Detail - Intermediary

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the **Entity Type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the **Entity Name** field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the broker is displayed. However, you can amend this value.
Parent Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Optional* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

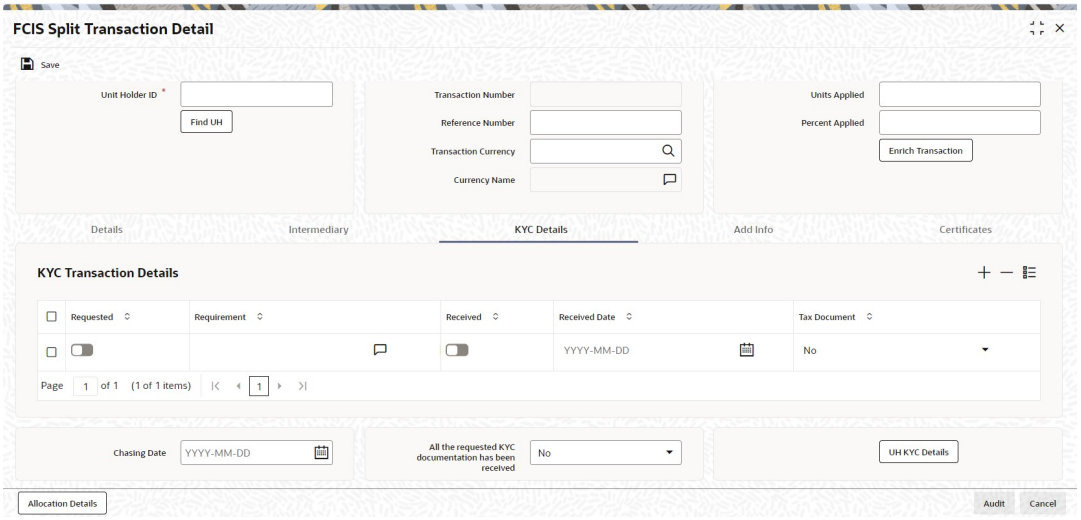
3.27.4 FCIS Split Transaction Detail - KYC Details Tab

This topic explains the KYC Details tab of the **FCIS Split Transaction Detail** screen.

1. Click the **KYC Details** tab in the **FCIS Split Transaction Detail**.

   The **KYC Details** details are displayed in **FCIS Split Transaction Detail** screen.

Figure 3-130 FCIS Split Transaction Detail - KYC Details



2. On **FCIS Split Transaction Detail - KYC Details** screen, specify the fields.

   For information on fields in the **FCIS Split Transaction Detail - KYC Details** screen, refer the below table.

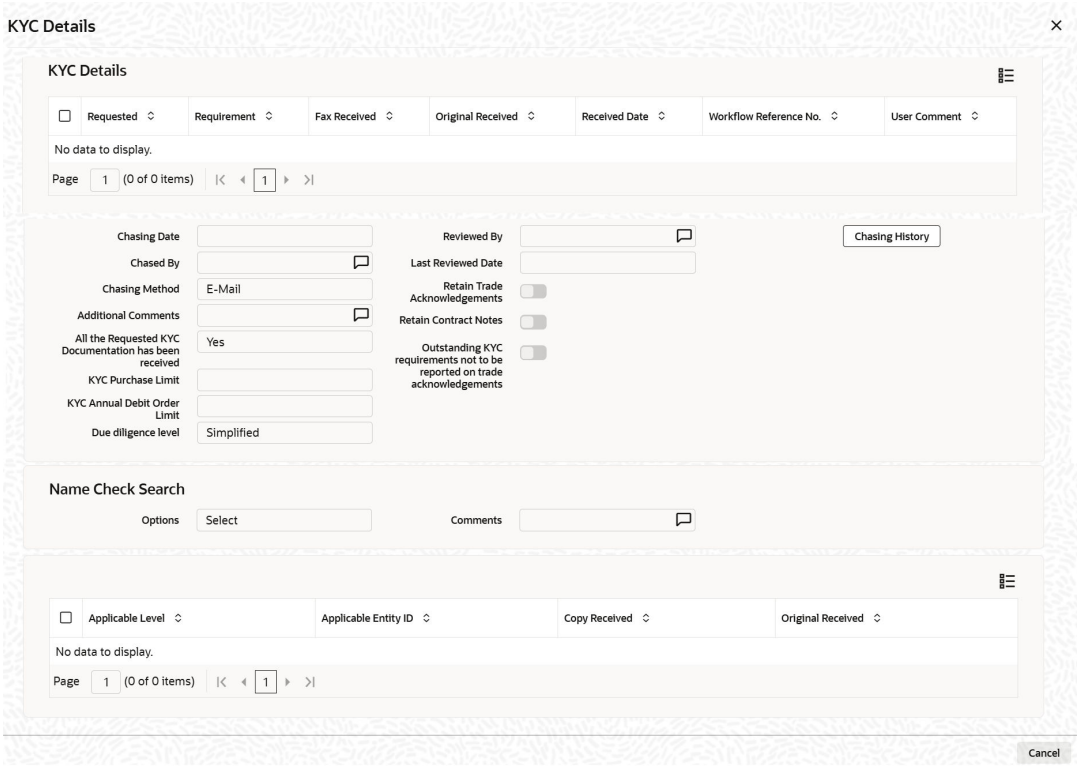
Table 3-156 FCIS Split Transaction Detail - KYC Details

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are **requested**.
Requirement	*Alphanumeric; 255 Characters; Optional* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Mandatory* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.
All the requested KYC documentation has been received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**

3. Click the **UH KYC Details** button.

   The system displays all the KYC details available for the UH.

Figure 3-131 KYC Details



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

> **Note:**
>
> Transaction Status will not check the KYC Details to complete the transaction.

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

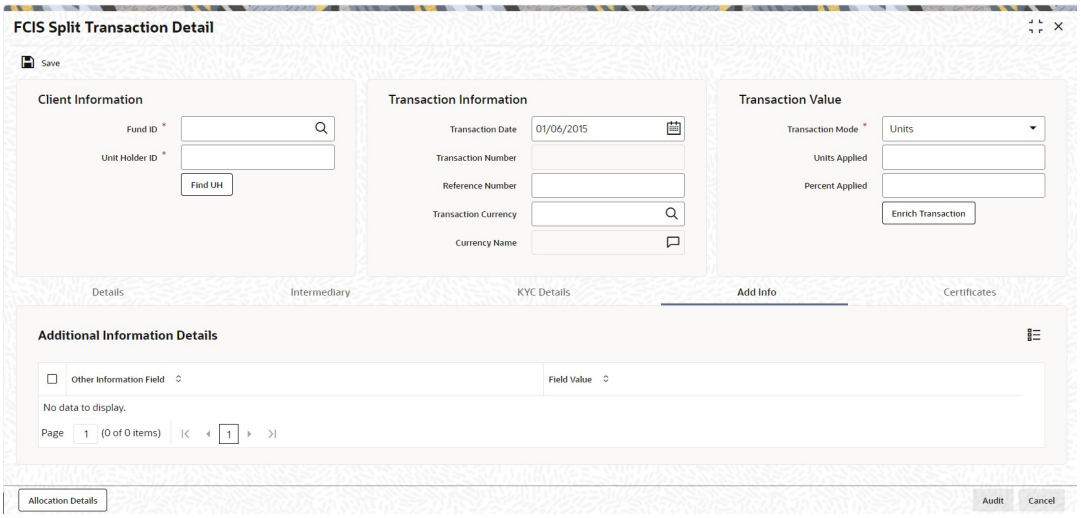
3.27.5 FCIS Split Transaction Detail - Add Info

This topic explains the Add Info tab of the **FCIS Split Transaction Detail** screen.

1. Click the **Add Info** tab in the **FCIS Split Transaction Detail** screen.

   The **Add Info** details are displayed in the **FCIS Split Transaction Detail** screen.

Figure 3-132 FCIS Split Transaction Detail - Add Info



2. On **FCIS Split Transaction Detail - Add Info** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-157 FCIS Split Transaction Detail - Add Info

Fields	Description
Other Info Field	*Display* The system displays the additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.
Field Value	*Display* The system displays the field value.

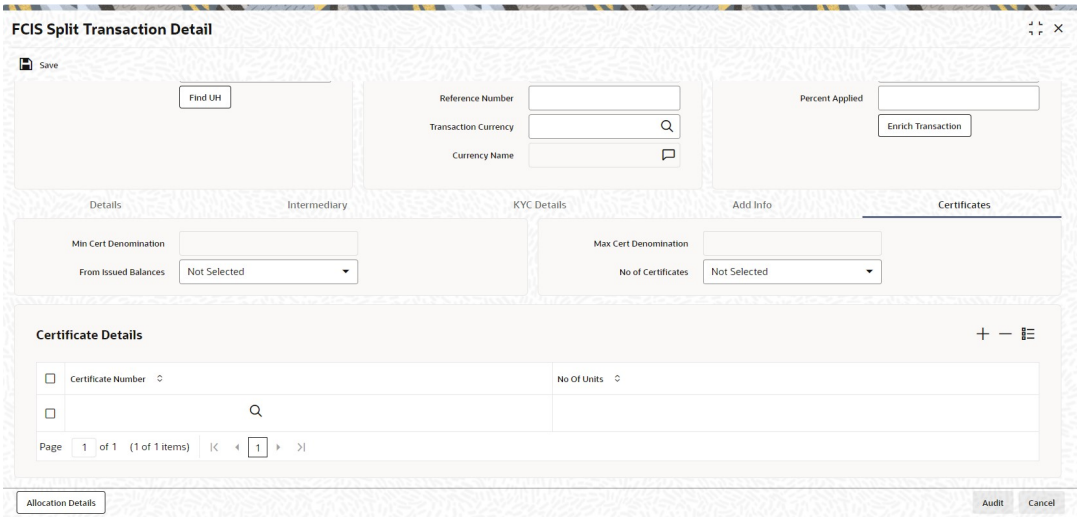
3.27.6 FCIS Split Transaction Details - Certificate Tab

This topic explains the Certificate tab of the **FCIS Split Transaction Detail** screen.

1. Click the **Certificates** in the **FCIS Split Transaction Details** screen.

   The **Certificates** details are displayed in the **FCIS Split Transaction Details** screen.

Figure 3-133 FCIS Split Transaction Details - Certificates



2. On **FCIS Split Transaction Details - Certificates** screen, specify the fields.

For information on fields in the screen, refer the below table.

Table 3-158 FCIS Split Transaction Details - Certificate Tab

Fields	Description
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **Minimum Certificate Denomination** details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **Maximum Certificate Denomination** details.
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both** **Note:** From issued balance field **Both Option** is not applicable for the subscription transaction.
No of Certificates	*Optional* Select the number of certificates from the drop-down list. The list displays the following values: • **Single** • **Multiple**

Table 3-159 FCIS Split Transaction Details - Certificate Details

Fields	Description
Certificate Number	*Numeric; 10 Characters; Optional* Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.
Number of Units	*Numeric; 27 Characters; Optional* Specify the number of units details.

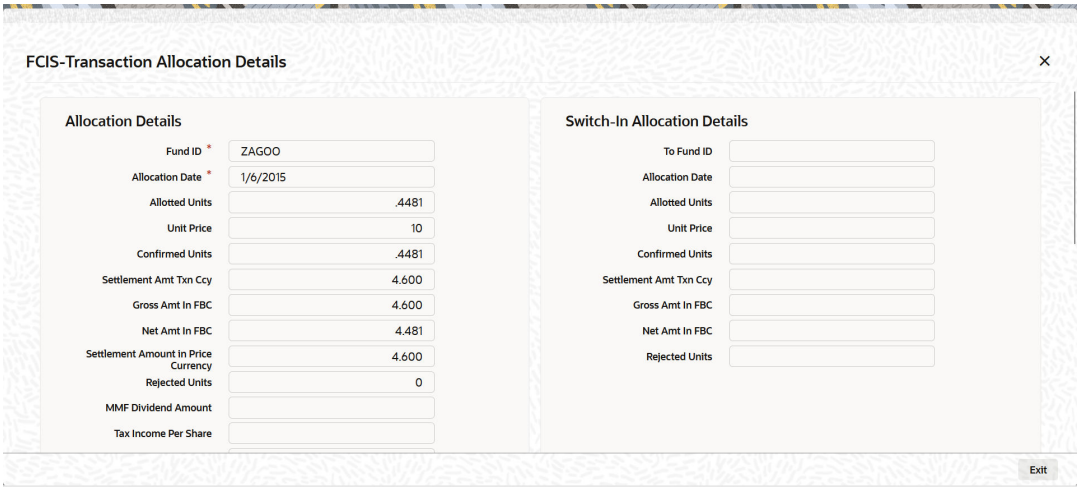
3.27.7 FCIS - Transaction Allocation Details

This topic explains the Allocation Details button in the **FCIS Split Transaction Detail** screen.

1. Click the **Allocation Details** button to enter the details.

   The **FCIS - Transaction Allocation Details** screen is displayed.

Figure 3-134 FCIS - Transaction Allocation Details



2. On **Allocation Details**, specify the fields.

   For more information on fields, refer to the field description below,

Table 3-160 Allocation Details - Field Description

Field	Description
Allocation Details	The following allocation details are displayed: • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**

Table 3-160 (Cont.) Allocation Details - Field Description

Field	Description
Switch-In Allocation Details	The following Switch-in allocation details are displayed: • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**
Load Details	The following load details are displayed during the allocation: • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**
Performance Fee Details	The following performance fee details are displayed during the allocation: • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**
Transaction Component Details	The following transaction component details are displayed during the allocation: • **Offer Price** • **Share Capital** • **Fund Capital** • **Switch In Bid Price** • **To Fund Capital** • **Bid Price** • **Income** • **Share Premium** • **Switch In Offer Price**
CGT Deduction Details	The following CGT deduction details are displayed during the allocation: • **Unit Holder/Joint Unit Holder ID** • **Unit Holder/Joint Unit Holder Name** • **Tax Amount**

3.27.8 Save the Transaction

This topic provides information on saving transaction details.

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

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

3.28 FCIS Split Transaction Summary

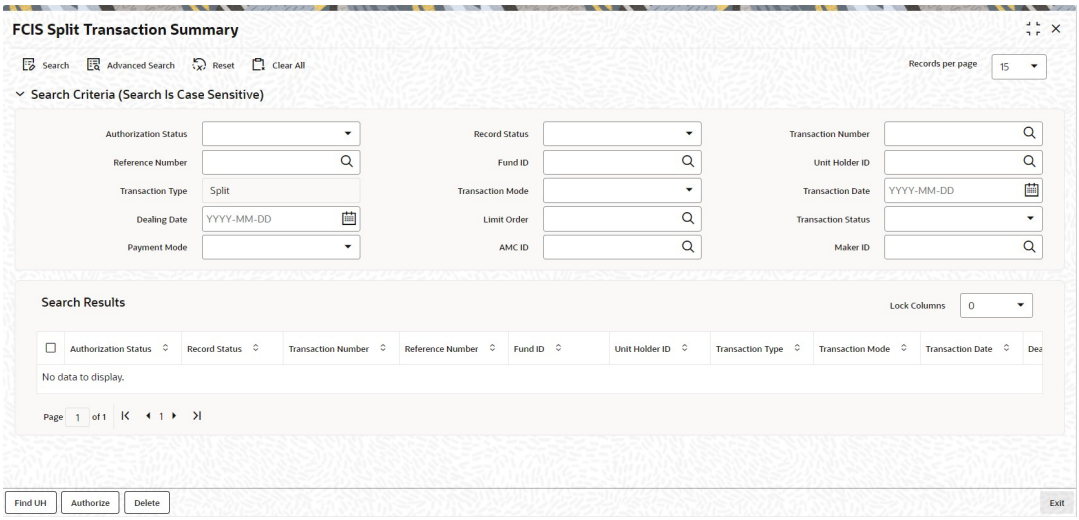
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Split Transaction Record

1. On **Home** screen, type **UTSTXN09** in the text box and click **Next**.

   The **FCIS Split Transaction Summary** screen is displayed.

Figure 3-135 FCIS Split Transaction Summary



2. On **FCIS Split Transaction Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Transaction Type**
   - **Transaction Date**

- **Limit Order**
- **Payment Mode**
- **Maker ID**
- **Reference Number**
- **Unit Holder ID**
- **Transaction Mode**
- **Dealing Date**
- **Transaction Status**
- **AMC ID**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

   You can search the record for Fund ID by using the combination of percentage and alphanumeric value as follows:

   - Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

- Edit Split Transaction Record
  This topic provides the systematic instructions to edit Split Transaction record.
- View Split Transaction Record
  This topic provides the systematic instructions to view Split Transaction record.
- Delete Split Transaction Record
  This topic provides the systematic instructions to delete Split Transaction record.
- Authorize Split Transaction Record
  This topic provides the systematic instructions to authorize Split Transaction record.
- Amend Split Transaction Record
  This topic provides the systematic instructions to amend Split Transaction record.

- Authorize Amended Split Transaction Record
  This topic provides the systematic instructions to authorize amended Split Transaction record.

3.28.1 Edit Split Transaction Record

This topic provides the systematic instructions to edit Split Transaction record.

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

1. Start the **FCIS Split Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Split Transaction Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Split Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Split Transaction Summary** screen.

3.28.2 View Split Transaction Record

This topic provides the systematic instructions to view Split Transaction record.

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

1. Start the **FCIS Split Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Split Transaction Detail** screen is displayed.

3.28.3 Delete Split Transaction Record

This topic provides the systematic instructions to delete Split Transaction record.

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

1. Start the **FCIS Split Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Split Transaction Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.28.4 Authorize Split Transaction Record

This topic provides the systematic instructions to authorize Split Transaction record.

An unauthorized FCIS Split Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Split Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Split Transaction Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.28.5 Amend Split Transaction Record

This topic provides the systematic instructions to amend Split Transaction record.

After a FCIS Split Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Split Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Split Transaction Detail** screen is displayed.

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

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

3.28.6 Authorize Amended Split Transaction Record

This topic provides the systematic instructions to authorize amended Split Transaction record.

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

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

3.29 Reissue Transaction Detail

This topic provides the instructions to process Reissue Transactions Detail Screen details.

This topic contains the following sub-topics:

- Process Reissue Transactions Detail Screen
  This topic provides the instructions to enter a block transaction request into the system.
- FCIS Reissue Transaction Detail - Details
  This topic explains the Details tab of the **FCIS Reissue Transaction Detail** screen.
- FCIS Reissue Transaction Detail - Intermediary
  This topic explains the Intermediary tab of the **FCIS Reissue Transaction Detail** screen.
- FCIS Reissue Transaction Detail - KYC Details
  This topic explains the KYC Details tab of the **FCIS Reissue Transaction Detail** screen.
- FCIS Reissue Transaction Detail - Add Info
  This topic explains the Add Info tab of the **FCIS Reissue Transaction Detail** screen.
- FCIS Reissue Transaction Details - Certificate
  This topic explains the Certificate tab of the **FCIS Reissue Transaction Detail** screen.
- FCIS Reissue Transaction Details - Allocation Details Button
  This topic expalins the allocation details button in the **FCIS Reissue Transaction Detail** screen.
- Save the Transaction
  This topic provides information on saving transaction details.

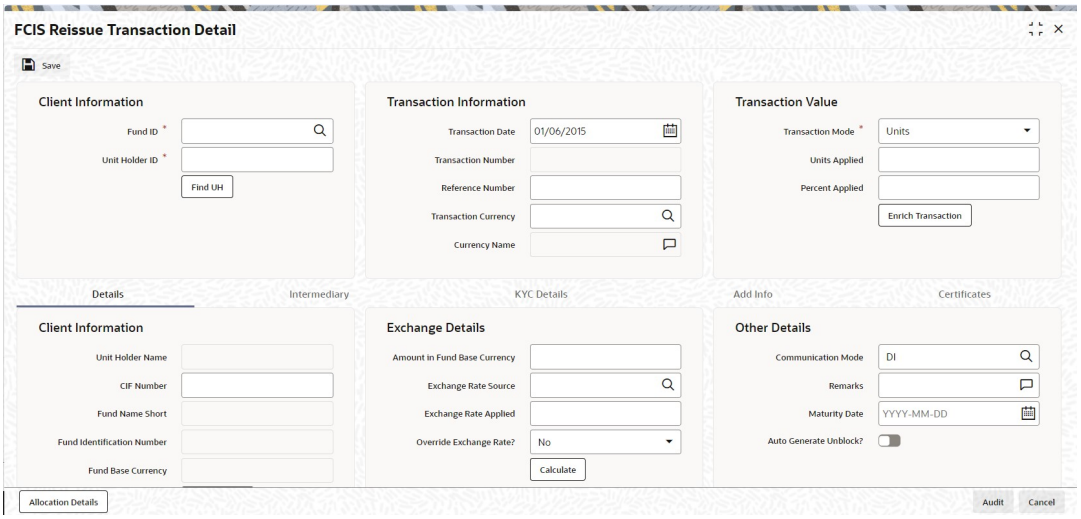
3.29.1 Process Reissue Transactions Detail Screen

This topic provides the instructions to enter a block transaction request into the system.

1. On **Home** screen, type **UTDTXN10/UTDTRA10** in the text box and click **Next**.

   The **FCIS Reissue Transaction Detail** screen is displayed.

Figure 3-136 FCIS Reissue Transaction Detail



2. On **FCIS Reissue Transaction Detail** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-161 FCIS Reissue Transaction Detail - Client Information

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the **Unit Holder** field, or else specify the ID of the unit holder in the **Unit Holder** field. You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved. You can also query for unit holder ID by clicking the **Find UH** button.

Table 3-162 FCIS Reissue Transaction Detail - Transaction Details

Field	Description
Transaction Date	*Date Format; Mandatory* The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date. If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the **Transaction Processing Rules**. The specified earlier date must also be within the backdating limit, as specified for the fund in the **Transaction Processing Rules**.

Table 3-162 (Cont.) FCIS Reissue Transaction Detail - Transaction Details

Field	Description
Transaction Number	*Display* The system displays the transaction number.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system. The currency you select here must be one that is a valid transaction currency designated for the selected fund in the **Fund Transaction Currency** rule.
Currency Name	*Display* The system displays the name of the currency.

Table 3-163 FCIS Reissue Transaction Detail - Transaction Details - Transaction Value

Field	Description
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Units** • **Percent**
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Percent Applied	*Numeric; 27 Characters; Optional* Specify the percent applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Percent**. Else, while clicking the **Enrich Transaction** button, the system will display an error message.

3. Click the **Enrich Transaction** button after entering all details in **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in **UH and Fund** section.

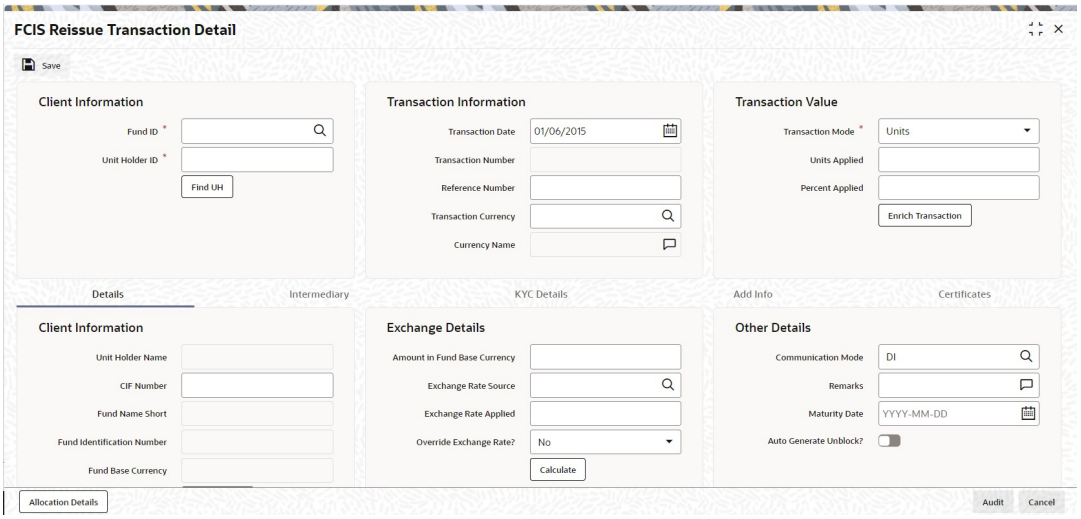
3.29.2 FCIS Reissue Transaction Detail - Details

This topic explains the Details tab of the **FCIS Reissue Transaction Detail** screen.

1. Click the **Details** tab in the **FCIS Reissue Transaction Detail** screen.

   The **Details** are displayed in the **FCIS Reissue Transaction Detail** screen.

Figure 3-137 FCIS Reissue Transaction Detail



2. On **FCIS Reissue Transaction Detail - Details** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-164 FCIS Reissue Transaction Detail - Details - Client Information Section

Field	Description
CIF Number	*Alphanumeric; 20 Characters; Optional* Specify the CIF number. The system will display the following values: • **Unit Holder Name** • **Fund Name Short** • **Fund Identification Number** • **Fund Base Currency** You can upload unit holder signature image by clicking **UH Signature** button.

Table 3-165 FCIS Reissue Transaction Detail - Details Tab - Exchange Details

Field	Description
Amount in Fund Base Currency	*Numeric; 30 Characters; Optional* The system displays the amount in fund base currency.
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system. **Note:** Exchange rate defaulting logic will default from default setup where user has overridden or given a source, system will give preference to overridden value.
Exchange Rate Applied	*Numeric; 6 Characters; Optional* The system displays the applied exchange rate.

Table 3-165 (Cont.) FCIS Reissue Transaction Detail - Details Tab - Exchange Details

Field	Description
Override Exchange Rate?	*Optional* Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values: • **Yes** • **No**

Table 3-166 FCIS Reissue Transaction Detail - Details Tab - Exchange Details - Other Details

Field	Description
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode through which the transaction request was communicated. Alternatively, you can select mode of communication from the option list. the list displays all valid communication mode maintained in the system.
Maturity Date	*Date Format; Optional* If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the **Maturity Date** field. This field is only applicable for AMCs that have opted for the maturity date facility.
Auto Generate Unblock?	*Optional* Check this box to automatically generate unblock transactions. After specifying all the necessary details, click the **Calculate** button to calculate the interest details. Click the **Calculate** button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the **Amount** in **Fund Base Currency** field. The applied exchange rate is also displayed in the **Override Exchange Rate** field.

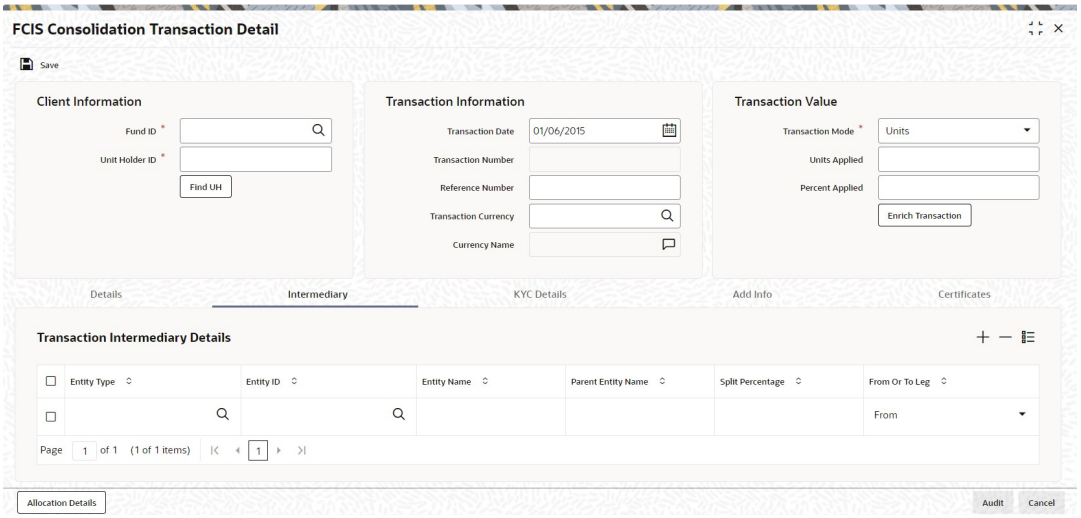
3.29.3 FCIS Reissue Transaction Detail - Intermediary

This topic explains the Intermediary tab of the **FCIS Reissue Transaction Detail** screen.

1. Click the **Intermediary** tab in the **FCIS Reissue Transaction Detail** screen.

   The **Intermediary** details are displayed in the **FCIS Reissue Transaction Detail** screen.

Figure 3-138 FCIS Reissue Transaction Detail - Intermediary



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

2. On **FCIS Reissue Transaction Detail - Intermediary** screen, specify the fields.

For information on fields in the screen, refer the below table.

Table 3-167 FCIS Reissue Transaction Detail - Intermediary

Fields	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Select the **Entity Type** that has been identified as the intermediary for the transaction.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the broker is displayed. However, you can amend this value.
Parent Entity Name	*Alphanumeric; 100 Characters; Optional* When you select the broker code, the name of the parent broker for the selected broker is displayed. However, you can amend this value.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.
From or To Leg	*Optional* Select from or to leg details from the drop-down list. The list displays the following values: • **From** • **To**

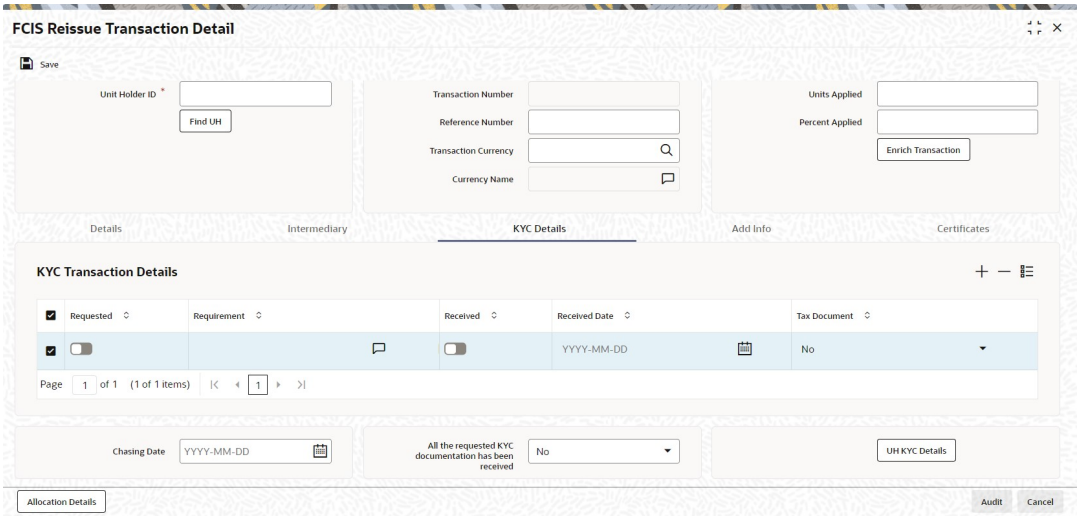
3.29.4 FCIS Reissue Transaction Detail - KYC Details

This topic explains the KYC Details tab of the **FCIS Reissue Transaction Detail** screen.

1. Click the **KYC Details** tab in the **FCIS Reissue Transaction Detail** screen.

   The **KYC Details** are displayed in the **FCIS Reissue Transaction Detail** screen.

Figure 3-139 FCIS Reissue Transaction Detail - KYC Details



2. On **FCIS Reissue Transaction Detail - KYC Details** screen, specify the fields.

   For information on fields in the **FCIS Reissue Transaction Detail - KYC Details** screen, refer the below table.

Table 3-168 FCIS Reissue Transaction Detail - KYC Details

Fields	Description
Requested	*Optional* Check this box to indicate KYC details are **requested**.
Requirement	*Alphanumeric; 255 Characters; Optional* Specify the list of KYC documents required for the unit holder.
Received	*Optional* Check this box to indicate KYC details are received.
Received Date	*Date Format; Optional* Specify the date on which the documents are received from the investor.
Tax Document	*Mandatory* Select if tax document is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Chasing Date	*Date Format; Optional* Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

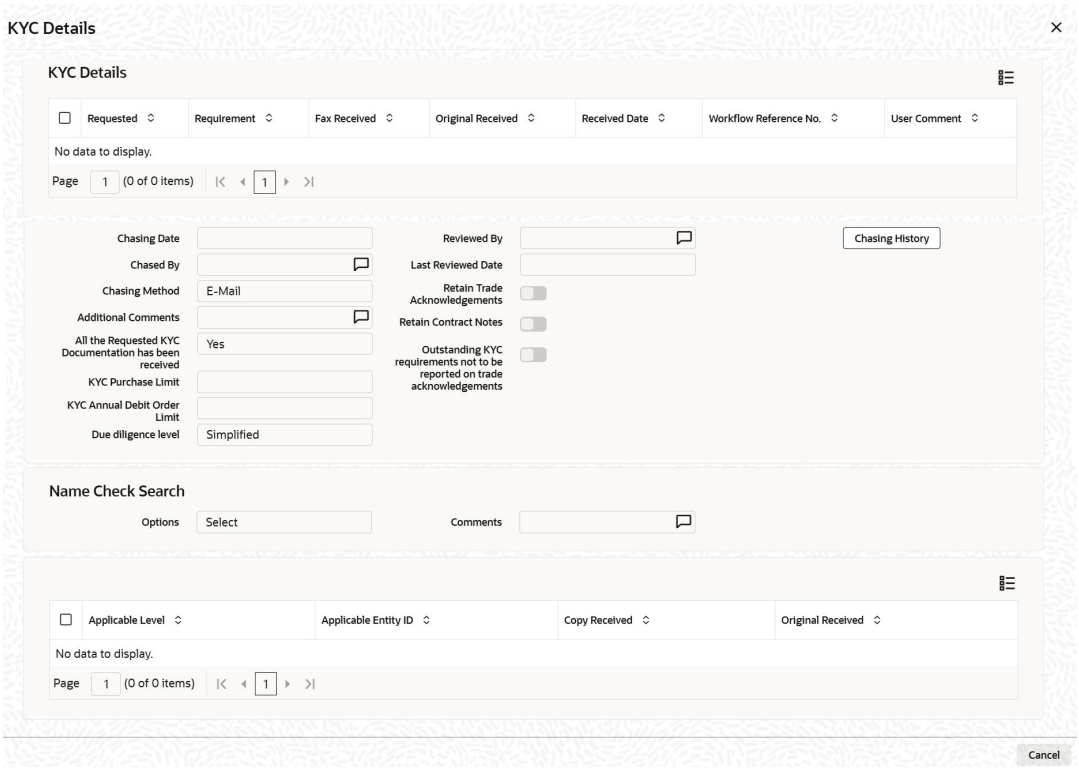
Table 3-168 (Cont.) FCIS Reissue Transaction Detail - KYC Details

Fields	Description
All the requested KYC documentation has been received	*Optional* Select if KYC is received or not from the drop-down list. The list displays the following values: • **Yes** • **No**

3. Click on **UH KYC Details** button, the system displays all the KYC details available for the UH.

   The **KYC details** screen is displayed.

Figure 3-140 KYC Details



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

> **Note:**
>
> Transaction Status will not check the KYC Details to complete the transaction.

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

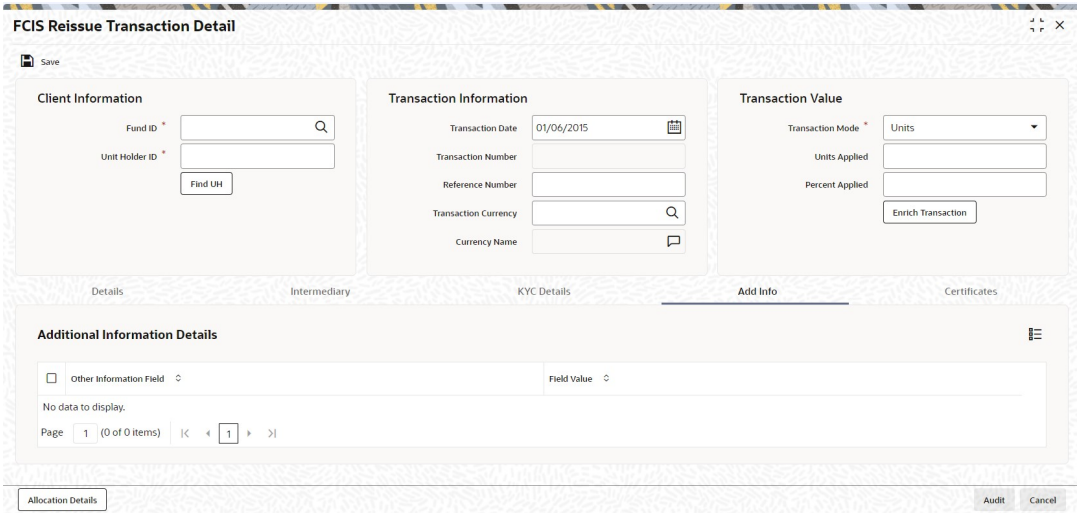
3.29.5 FCIS Reissue Transaction Detail - Add Info

This topic explains the Add Info tab of the **FCIS Reissue Transaction Detail** screen.

1. Click the **Add Info** tab in the **FCIS Reissue Transaction Detail** screen.

   The **Add Info** details are displayed in the **FCIS Reissue Transaction Detail** screen.

Figure 3-141 FCIS Reissue Transaction Detail - Add Info



2. On **FCIS Reissue Transaction Detail - Add Info** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-169 FCIS Reissue Transaction Detail - Add Info Tab

Fields	Description
Other Info Field	*Display* The system displays the additional information, if any information heads have been maintained in the System Parameters, to be applicable for the segment.
Field Value	*Display* The system displays the field value.

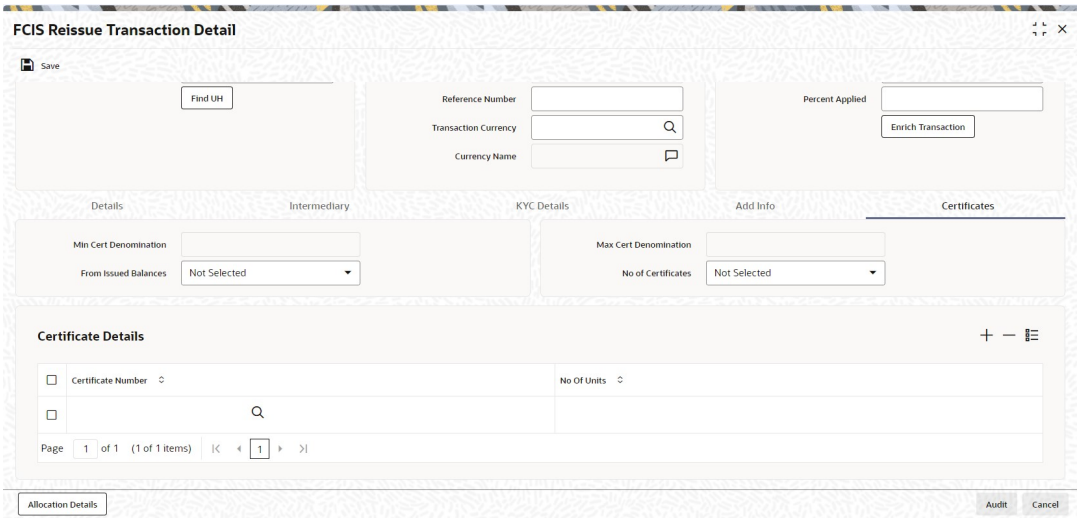
3.29.6 FCIS Reissue Transaction Details - Certificate

This topic explains the Certificate tab of the **FCIS Reissue Transaction Detail** screen.

1. Click the **Certificate** in the **FCIS Reissue Transaction Details** screen.

   The **Certificate** details are displayed in **FCIS Reissue Transaction Details** screen.

Figure 3-142 FCIS Reissue Transaction Details - Certificate



2. On **FCIS Reissue Transaction Detail - Certificate** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-170 FCIS Reissue Transaction Detail - Certificate Tab

Fields	Description
Min Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **Minimum Certificate Denomination** details.
Max Cert Denomination	*Numeric; 22 Characters; Optional* Specify the **Maximum Certificate Denomination** details.
From Issued Balances	*Optional* Select from issued balances details from the drop-down list. The list displays the following values: • **Yes** • **No** • **Both** **Note:** From issued balance field **Both Option** is not applicable for the subscription transaction
No of Certificates	*Optional* Select the number of certificates from the drop-down list. The list displays the following values: • **Single** • **Multiple**

Table 3-171 FCIS Reissue Transaction Detail - Certificate Details

Fields	Description
Certificate Number	*Numeric; 10 Characters; Optional* Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.
Number of Units	*Numeric; 27 Characters; Optional* Specify the number of units details.

3.29.7 FCIS Reissue Transaction Details - Allocation Details Button

This topic expalins the allocation details button in the **FCIS Reissue Transaction Detail** screen.

1. Click the **Allocation Details** button in the **FCIS Reissue Transaction Details** to process the allocation transaction details.

   The **FCIS Transaction Allocation Details** screen is displayed.

2. On **FCIS Transaction Allocation Details** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-172 FCIS Reissue Transaction Details - Allocation Details Button

Field	Description
Allocation Details	The following **Allocation details** are displayed. • **Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Settlement Amount in Price Currency** • **Rejected Units** • **MMF Dividend Amount** • **Tax Income Per Share** • **EUSD Gain**
Switch-In Allocation Details	The following **Switch-in allocation details** are displayed. • **To Fund ID** • **Allocation Date** • **Allotted Units** • **Unit Price** • **Confirmed Units** • **Settlement Amount Transaction Currency** • **Gross Amount in FBC** • **Net Amount in FBC** • **Rejected Units**
Load Details	The following **Load Details** are displayed during the allocation. • **Fund ID** • **Load ID** • **Load Description** • **From Entity Type** • **To Entity Type** • **From Entity** • **To Entity** • **Load Amount** • **Load Amount in Fee Currency**

Table 3-172 (Cont.) FCIS Reissue Transaction Details - Allocation Details Button

Field	Description
Performance Fee Details	The following **Performance Fee Details** are displayed during the allocation. • **Link Transaction Number** • **In Out Flag** • **Element Identification** • **Element Description** • **Value**
Transaction Component Details	The following **Transaction Component Details** are displayed during the allocation. • **Offer Price** • **Bid Price** • **Share Capital** • **Income** • **Fund Capital** • **Share Premium**
CGT Deduction Details	The following **CGT Deduction Details** are displayed during the allocation. • **Unit Holder/ Joint Unit Holder ID** • **Unit Holder/ Joint Unit Holder Name** • **Tax Amount**

3.29.8 Save the Transaction

This topic provides information on saving transaction details.

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

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

3.30 FCIS Reissue Transaction Summary

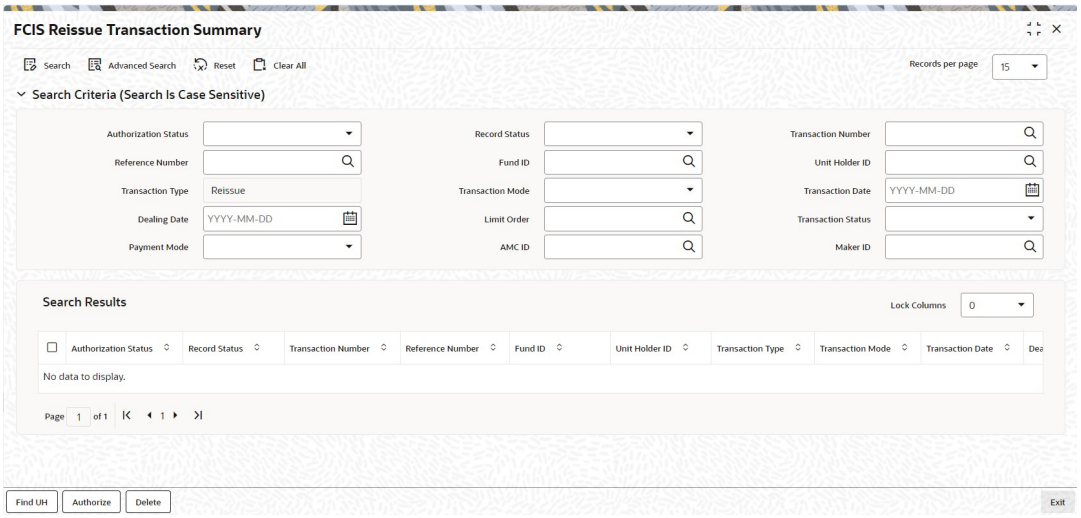
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Reissue Transaction Record

1. On **Home** screen, type **UTSTXN10** in the text box and click **Next**.

   The **FCIS Reissue Transaction Summary** screen is displayed.

Figure 3-143 FCIS Reissue Transaction Summary



2. On **FCIS Reissue Transaction Summary** 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**
   - **Transaction Number**
   - **Fund ID**
   - **Transaction Type**
   - **Transaction Date**
   - **Limit Order**
   - **Payment Mode**
   - **Maker ID**
   - **Reference Number**
   - **Unit Holder ID**
   - **Transaction Mode**
   - **Dealing Date**
   - **Transaction Status**
   - **AMC ID**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

   You can search the record for Fund ID by using the combination of percentage and alphanumeric value as follows:

   - Search by A percentage :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

- Edit Reissue Transaction Record
  This topic provides the systematic instructions to edit Reissue Transaction record.
- View Reissue Transaction Record
  This topic provides the systematic instructions to view Reissue Transaction record.
- Delete Reissue Transaction Record
  This topic provides the systematic instructions to delete Reissue Transaction record.
- Authorize Reissue Transaction Record
  This topic provides the systematic instructions to authorize Reissue Transaction record.
- Amend Reissue Transaction Record
  This topic provides the systematic instructions to amend Reissue Transaction record.
- Authorize Amended Reissue Transaction Record
  This topic provides the systematic instructions to authorize amended Reissue Transaction record.

3.30.1 Edit Reissue Transaction Record

This topic provides the systematic instructions to edit Reissue Transaction record.

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

1. Start the **FCIS Reissue Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Reissue Transaction Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Reissue Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Reissue Transaction Summary** screen.

3.30.2 View Reissue Transaction Record

This topic provides the systematic instructions to view Reissue Transaction record.

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

1. Start the **FCIS Reissue Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Reissue Transaction Detail** screen is displayed.

3.30.3 Delete Reissue Transaction Record

This topic provides the systematic instructions to delete Reissue Transaction record.

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

1. Start the **FCIS Reissue Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Reissue Transaction Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.30.4 Authorize Reissue Transaction Record

This topic provides the systematic instructions to authorize Reissue Transaction record.

An unauthorized FCIS Reissue Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Reissue Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Reissue Transaction Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.30.5 Amend Reissue Transaction Record

This topic provides the systematic instructions to amend Reissue Transaction record.

After a FCIS Reissue Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Reissue Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Reissue Transaction Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.30.6 Authorize Amended Reissue Transaction Record

This topic provides the systematic instructions to authorize amended Reissue Transaction record.

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

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

3.31 Defaulting of Price Date in Transaction Screens

This topic provides information on Defaulting of Price Date in Transaction Screens details.

While entering a transaction in any of the Transaction Detail screens, you will have to select the fund in which the requested transaction has to be put through. Once you choose the fund from the option list, the field From Price Date will be displayed.

The table below gives you four sets of conditions that will determine the price date that will be updated in the field From Price Date.

Table 3-173 Price Date details

Case	Post Priced	Forward Pricing	Specific Fund Price Frequency	Cut Off Basis	Adhoc Price Date
Case1	Yes	No	NA	NA	NA
Case2	Yes	Yes	User Defined	Cut Off Based on Price Date	NA
Case3	Yes	Yes	User Defined	Cut Off Based on Price Date	Maintained
Case4	Yes	Yes	Any option other than User Defined	Cut Off as an Independent Calendar	Maintained

Note:

When indicating the Adhoc Price Date you should have specified that the price entered is not meant for reporting alone, by not checking the box **For Reporting**.

NA, wherever present, denotes the field is Not Applicable given the set of conditions.

For each of the set of conditions given in the table above, the following will be the date that will be updated in the field From Price Date:

Case 1

The next scheduled price date.

Example

For a Fund, which is post priced (pricing will be of a daily frequency), the system by default the price to the current available price date.

Case 2

The next user defined price date taking into account the number of cut off days specified.

Example

For a fund, with the following set of maintenances, the allocation would be as follows:

Table 3-174 Price date taking into account the number of cut off days

Fund Name	Forward Pricing Applicable	Scheduled Price Date	Pricing Cut-Off (days)
Fund B	Yes	14-Apr-04	2
Fund B	Yes	17-Apr-04	2
Fund B	Yes	19-Apr-04	2
Fund B	Yes	21-Apr-04	2

For a transaction captured on 12th, the field From Price Date in the subscription transaction will be updated with the date 14th April 2004.

For a transaction captured on 13th, the field From Price Date in the subscription transaction will be updated with the date 19th April 2004 as the 17th is an AMC holiday.

> **Note:**
>
> For the transaction captured on the 13th in the above example, the default price date cannot be overridden to the adhoc date as it is not maintained but can be overridden to the 14th (the Scheduled Price Date), though it does not satisfy the pricing cut off limit.

Case 3

The next user defined price date taking into account the number of cut off days specified. You can change this price date and enter the Adhoc Price Date.Example

For a fund, with the following set of maintenances, the allocation would be as follows:

Table 3-175 Fund Details

Fund Name	Forward Pricing Applicable	Scheduled Price Date	Pricing Cut-Off (days)	Adhoc Date (Subscription)	Adhoc CutOff (days)
Fund B	Yes	14-Apr-04	2	12-Apr-04	0
Fund B	Yes	17-Apr-04	2	13-Apr-04	1
Fund B	Yes	19-Apr-04	2	15-Apr-04	2 - Flagged for reporting
Fund B	Yes	21-Apr-04	2	16-Apr-04	3

Assume, 15th is a Fund holiday and 17th April, 2004 is a AMC holiday.

For a transaction captured on the 12th, the field From Price Date in the subscription transaction will be updated with the date 14th April 2004.

The above defaulted price date 14th April 2004, can be overridden to the Adhoc Date 12th April 2004.

For a transaction captured on 13th, the field From Price Date in the subscription transaction will be updated with the date 19th April 2004 as the 17th is an AMC holiday.

In the above transaction, the default price date can be overridden to the Adhoc Date, 13th April 2004 as it does not satisfy the cut-off days limit. But the 14th (the Scheduled Price Date) can be applied.

Case 4

The next scheduled price date taking into account the number of cut off days specified. You can change this price date and enter the Adhoc Price Date.

Refer to the topic **Setting Up Fund Rules (II)** in the *Fund Manager User Manual*.

For further information on the Transaction Detail screens, refer to the topics **Processing Transaction Requests and Processing Transaction Requests (II)** in the *Agency Branch User Manual*.

3.32 Completing Transaction

This topic provides information on Completing Transaction details.

A transaction is deemed as complete only after it is settled and the required KYC documents have been received from the investor, both at the unit holder level and at the transaction level.

Redemption and Switch Out transactions are allowed even if the linked subscription transactions are not complete. However, payment will not be allowed. If Redemption and Switch out transactions are settled and all the required KYC documents have been received, Completion of linked Subscription triggers the Completion of the Redemption or Switch out transaction.

A transaction can be redeemed or switched out only if the KYC/AML checks have been completed for the linked inflow transaction.

Completion is possible for IPO subscription, subscription, redemption, switch and transfer transactions.

Completion of a transaction is possible only under the following circumstances:

- Transaction has been allotted
- All the payments linked with the transaction are settled
- All KYC documents have been received from the investor at the unit holder level and at the transaction level.
- Transaction is confirmed in case of redemptions
- Linked inflow transaction is **Complete** in case of redemptions or switch out transactions.

You can perform the completion operation as follows:

- In the main menu, invoke the **Transaction** Input menu. For the required transaction type, choose the **Summary** option. The **Transaction Summary** screen is opened.
- In the **Operation** field, select the **Completion** option from the drop-down list.
- You can only complete records of transactions that have been allotted. Accordingly, the **Status** field is defaulted with **Allotted** and you are not allowed to change this.
- To retrieve the transaction that is to be completed, specify any or all of the details of the transaction in the corresponding fields on the screen. All allotted transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- To complete any single transaction that has been retrieved,

- In the displayed list, select the row of the transaction number and specify the date of completion in the **Completion Date** field.
- Check the **Complete** checkbox. Then click the **Complete Transaction** button to complete the operation.

> **Note:**
>
> The completion date that you specify here should be less than or equal to the application date and should be greater than or equal to the transaction date, allocation date and the settlement date of the transaction.

In case the KYC list is incomplete for an unsettled transaction, Completion date is updated on settlement. A settled transaction can be marked as **Completed** only after marking that all the requested KYC documents have been received.

If your installation has not requested for KYC checks, then the transaction will be automatically marked as completed in the following cases:

- Allocation happens before clearing/settlement – In this case, during clearing, the transaction is marked as **Completed** and the Completion date is defaulted with the Clearing date.
- Allocation happens after clearing – In this case, during allocation, transaction is marked as **Completed** and Completion date is defaulted with the Allocation date.

In case of Redemption transactions:

- Completion should be done through **Confirm Redemption** after settling the transaction.
- Completion should be done through **Completion** option in **Transaction Summary** screen after marking that all KYC documents have been received.

3.33 Process Back Data Propagation for Transactions

This topic provides information on processing back data propagation for transactions details.

You can correct erroneous transactions as well as enter those that have been missed out and compute the effect these have on the current holdings of the unit holder through the back data propagation process. The following transactions are covered as part of this feature:

- **IPO**
- **Subscription**
- **Redemption**
- **Normal Switch and Pseudo switch**
- **Transfer**
- **SI transactions**

To facilitate this propagation process, two schema are used – the business (or normal) schema and the report schema. You are required to enter the correct data in the business schema for the required transactions and select these for propagation, again from the business schema. The transactions will be simulated in the report schema and the results can be viewed in the business schema.

Refer the topic **Back Data Propagation** in the *Fund Manager User Manual* for more details on the back data propagation process.

3.34 Process Auto Completion

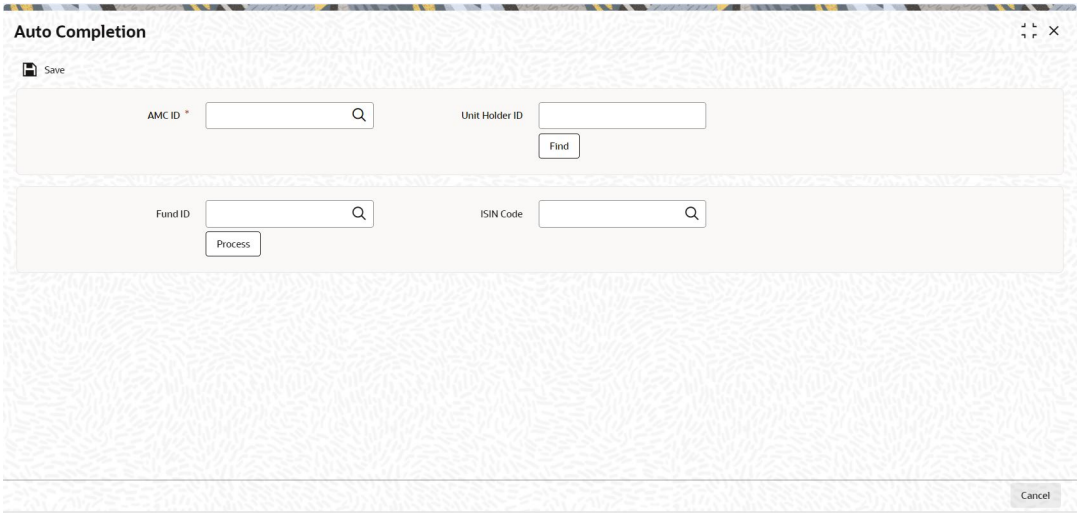
This topic provides the instructions to process Auto Completion Screen details.

You can update the transaction completion status of the transaction using **Auto Completion** screen. For the transactions which are either cleared in payment or KYC process and you need to complete the transaction before the end of the day program, then run this batch to make the transaction complete.

1. On **Home** screen, type **UTDAUTCO** in the text box and click **Next**.

   The **Auto Completion** screen is displayed.

Figure 3-144 Auto Completion



2. On **Auto Completion** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 3-176 Auto Completion

Field	Description
AMC ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC ID of the transactions for which the status needs to be marked as completed. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC ID maintained in the system.
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the fund along with AMC in case all the transaction under that AMC and fund combination status needs to be marked as completed. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Table 3-176 (Cont.) Auto Completion

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
ISIN Code	*Alphanumeric; 25 Characters; Optional* The system displays the ISIN code if you have specified the fund ID. Else specify the ISIN code. If you specify the ISIN code, the system displays the fund ID and vice versa.

4

Process the Transactions - II

This topic explains how to process transactions.

It also explains how to retrieve, edit, and view the details of a transaction. This topic contains the following sub-topics:

- Mandatory Information for All Transaction Types
  This topic provides information on mandatory information for all transaction types.
- Process UnitHolder Balances Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Contract Notes for Transactions
  This topic provides information on contract notes for transactions details.
- Entering Payment Details for Transactions
  This topic provides the systematic instructions to enter a transfer transaction request into the system.
- Enrich Exchange Rate Detail
  This topic explains the Enrich Exchange Rate Detail.
- Payment Clearing Detail
  This topic explains the Clearing Payment Instruments.
- Process Load Override Details
  This topic provides the instructions to process Load Override Details.
- FCIS Transaction Load Override Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Global Order
  This topic explains about the Global Order.
- Global Order Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Global Order Confirmation Detail
  This topic provides the systematic instructions to specify the price received from the fund house against the Global Order.
- Global Order Confirmation Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Global Order Reconciliation Detail
  This topic provides the instructions to process Global Order Reconciliation Screen Details.
- Global Order Reconciliation Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Global Order Settlement Detail
  This topic provides the instructions to maintain the pending transactions for the settlement.

- Global Order Settlement Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Global Order Status Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Global Order Generation Screen
  This topic provides the instructions to process Global Order Generation.
- Process Trading Transaction or Global Order Restriction Mapping
  This task provides the instructions to maintain Global order restriction for various transaction types.
- Trading Transaction or Global Order Restriction Mapping Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- ISA Transfer
  This topic provides information on ISA Transfer.
- One Legged Transfer Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Distribution Void Detail
  This topic provides information on Distribution Void Detail.
- Distribution Void Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Void Maintenance Detail
  This topic provides the instructions to perform void processing at UH and transaction level.
- Void Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Intra-day Checks for Transactions
  This topic provides information on Intra-day Checks for Transactions.
- Unit Holder Portfolio Readjustment Details
  This topic provides information on Unit Holder Portfolio Readjustment Details.
- Unit Holder Portfolio Re Adjustment Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Help Desk Facility
  This topic provides information on Help Desk Facility.
- Help Desk Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Send or Receive Messages
  This topic provides the instructions to Invoke Send or Receive Messages Screen.
- Process FCIS - RTA Transfers Detail
  This topic provides the instructions to process RTA Transfer Details.

- RTA Transfer Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Consolidation of Portfolios
  This topic provides information about Consolidation of Portfolios.
- Process Batch Update of Transaction Date
  This topic provides the instructions to process Batch Update of Transaction Date Screen.
- Process Cheque Tracking Detail
  This topic provides the instructions to process Cheque Tracking Detail screen.
- Cheque Tracking Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Special Discount Maintenance
  This topic provides the instructions to track special discount such as Birthday/ Gift Coupons benefits.
- Special Discount Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Disable Auto Switch
  This topic provides information on Disable Auto Switch.
- Disable Auto Switch Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Block Allowed Transaction Ref Types
  This topic provides the instructions to configure the Ref types pertaining to IPO subscription and subscription transaction types for amount block reference types in FCIS system.
- Block Allowed Transaction Ref Types Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Cheque Processing Detail
  This topic provides the instructions to process cheques.
- Process Authorization
  This topic provides the instructions to process Authorization.
- Process FCIS Conversion Transaction Detail
  This topic provides the instructions to process FCIS Conversion Transaction Detail.
- FCIS Conversion Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Redemption Limit Check Detail
  This topic provides the instructions to process Redemption Limit Check Detail.

4.1 Mandatory Information for All Transaction Types

This topic provides information on mandatory information for all transaction types.

The transactions input detailed screen consists of the following sections:

- Client Information
- Transaction Information
- Broker Details
- Payment Details
- Fee Details
- Certificate Details
- Load Override Details
- Allocation Details
- Document Details

The mandatory information you need to supply before saving the transaction is given below as under each section. This is applicable to all transaction types:

Client Information Section

- The CIF Number for the investor, or, if this is not known, the investor number (or Unit Holder ID) in the Investor field.
- The Unit Holder ID for non-CIF investors.

Transaction Information Section

- The date of the transaction, in the Transaction Date field. If you are entering a backdated transaction, the date must be within the backdating limits specified for the fund in the Transaction Processing Rules.
- The fund in which the transaction was requested, in the Fund field. You must also specify the ISIN Code of the fund, in the ISIN Code field.
- The desired mode for the transaction, in the Transaction Mode field.
- The currency for the transaction, in the Transaction Currency field.
- The volume of the transaction, in terms of the selected transaction mode, in the Transaction Value field.
- The mode of communication that was used to request the transaction, in the Communication Mode field.
- The desired mode of payment for the transaction, in the Payment Mode field, for IPO, subscription and redemption transactions.
- Whether the applicable exchange rate that is prevalent at the time of transaction entry, must be overridden, in the Override Exchange Rate? field.
- Whether the transaction is to be initiated by gross amount / units, or net amount, in the Gross / Net field, for IPO, subscription and redemption transactions.
- The exchange rate source to be used, in the Exchange Rate Source field.
- Whether the transaction is an LOI transaction, in the LOI Transaction field.
- The maturity date for the transaction, if any, in the Maturity Date field.
- Whether the fee for the transaction is to be overridden, in the Override Fee field.
- The Price Basis for the transaction

Payment Details Section

- For redemption transactions, all the details in the Payment Details section.

- For IPO and subscription transactions, the payment type in the Payment Type field.

Fee Payment Details Section

If fees are applicable, then all the details of fee payment, in the **Fee Payment Details** section.

Certificate Details Section

The certificate numbers for certificate based transactions.

4.2 Process UnitHolder Balances Summary

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

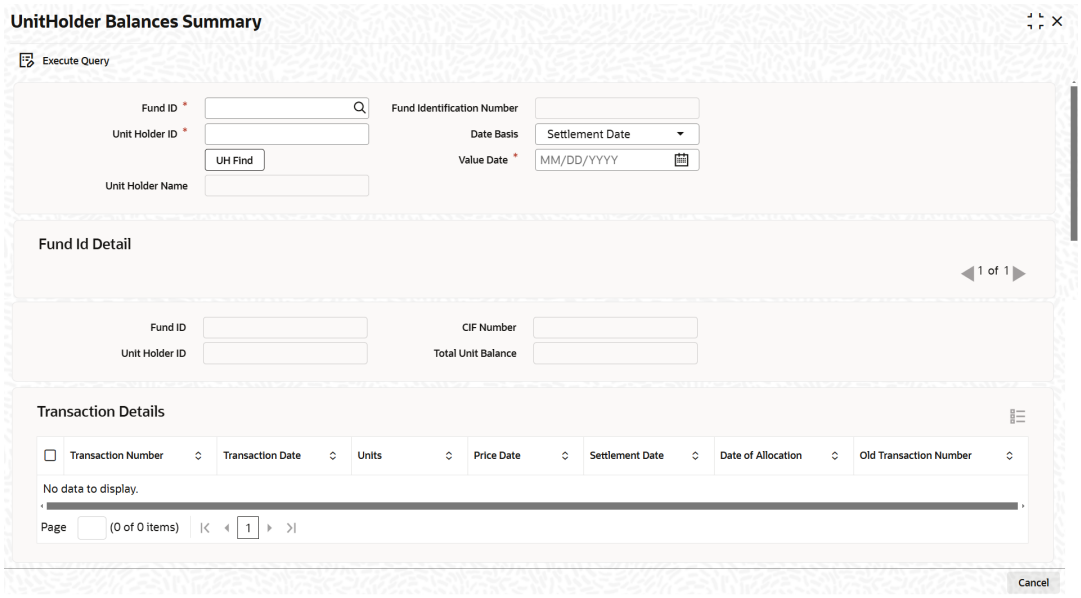
As of a price date or a settlement date, you can view the balances for:

- A specific unit holder in all funds. You must provide the ID of the required unit holder in this case. This is a mandatory field.
- A specific unit holder in a specific fund. You must provide the IDs of both the required fund as well as the unit holder, in this case.
- All unit holders in a specific fund. You must provide the ID of the required fund in this case.

1. On **Home** screen, type **UTDUHBAL** in the text box and click **Next**.

   The **UnitHolder Balances Summary** screen is displayed.

Figure 4-1 UnitHolder Balances Summary



2. On **UnitHolder Balances Summary** screen, specify the fields.

   To obtain the required balances for viewing in this screen, you must specify the following information that would be used as search criteria. For more information on fields, refer to the field description below,

Table 4-1 UnitHolder Balances Summary - Field Description

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the ID of the fund for which you require to view the unit holder balances. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Fund Identification Number	*Display* The system displays the fund identification number.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the ID of the unit holder for which you wish to view fund-wise balances as of the indicated date. You can also query for unit holder ID by clicking on **UH Find** button.
Unit Holder Name	*Display* The system displays the name of the selected unit holder ID.
Date Basis	*Optional* Select whether you wish to view the balances as of a price date or a settlement date from the drop-down list. The list displays the following values: • **Settlement Date** • **Price Date**
Value Date	*Date Format; Mandatory* Select the value date from the adjoining calendar. • The following details are displayed in the **Fund ID Detail** portion of the **Unit Holder Balances** screen: – ID of the fund for which the unit holder balances are displayed – CIF of the unit holder whose balances are displayed – ID of the unit holder – Total Unit balance of the unit holder in the fund, as of the indicated date You can view a transaction-wise breakup details for the unit balance, in the Transaction Details section: • **Transaction Number** • **Transaction Date** • **Units** • **Price Date** • **Settlement Date** • **Date of Allocation** • **Old Transaction Number**

4.3 Contract Notes for Transactions

This topic provides information on contract notes for transactions details.

Confirmation reports (contract notes) for transactions allocated on a business day may be obtained by printing them through the Confirmation Reports menu item in the Queries menu. You can print the notes as often as required through the Confirmation Reports menu.

The End of Day processes on a given business day also execute an EOD job that prints contract notes in respect of transactions allocated on a given business day. The job checks to see if the contract notes have already been printed from the menu. If so, duplicates will be printed only if the **Duplicates Required** option in the task parameters static information for the job has been enabled and set to **Yes**. If the Duplicates Required option has been set to **No**,

duplicate contract notes are not printed by the EOD job. The Duplicates Required option is configured by the implementers at your installation, according to your requirement in respect of printing of duplicate contract notes.

If the contract notes have not been printed through the Confirmation Reports menu, the EOD job prints the contract notes.

Also, if allowed, as explained above, the EOD job prints transaction contract notes for transactions involving only those unit holders for whom the **File** option has not been set as the preferred mailing mode in the unit holder account details. For transactions involving any unit holders for which the **File** option has been set in the account details, the EOD job suppresses the printing of contract notes.

4.4 Entering Payment Details for Transactions

This topic provides the systematic instructions to enter a transfer transaction request into the system.

This topic contains the following sub-topics:

- Payment Incomplete Transactions
  This topic provides information about payment incomplete transactions details.
- Gross Basis and Net Basis Transactions
  This topic provides information about the gross basis and net basis transactions detail.

4.4.1 Payment Incomplete Transactions

This topic provides information about payment incomplete transactions details.

When you enter a transaction request from an investor into the system (in the Transaction Details screens), you can save the transaction without entering any details of payment, in either of the following cases:

- For instance, in the case of a gross basis transaction, you would capture the mode of payment as mandatory information, but the investor need not actually furnish details of any payment instrument at the time of transaction entry.
- In the case of net basis transactions, you would not capture any payment details, as the actual amount of the transaction is not known at the time of transaction entry.

Whenever you do not enter the payment details, the transaction is saved as a payment incomplete transaction.

Further, a payment incomplete transaction can be authorized, and the payment details **completed** or entered subsequently, after authorization.

4.4.2 Gross Basis and Net Basis Transactions

This topic provides information about the gross basis and net basis transactions detail.

An investor may request either a gross basis or a net basis for processing a transaction, at the time when you enter the request into the system.

4.5 Enrich Exchange Rate Detail

This topic explains the Enrich Exchange Rate Detail.

This topic contains the following sub-topics:

- Exchange Rate Enrichment for Exchange Rate Incomplete Transactions
  This topic provides information on Exchange Rate Enrichment for Exchange Rate Incomplete Transactions details.
- Process FCIS Enrich Exchange Rate Detail
  This topic provides the instructions to specify the exchange rate for exchange rate incomplete transactions.
- Perform Bulk Update of Exchange Rate
  This topic provides instructions to perform bulk update of exchange rate details.
- Authorize Exchange Rate Enrichment
  This topic provides instructions to authorize Exchange Rate Enrichment details.

4.5.1 Exchange Rate Enrichment for Exchange Rate Incomplete Transactions

This topic provides information on Exchange Rate Enrichment for Exchange Rate Incomplete Transactions details.

When you enter a transaction request from an investor into the system (in the Transaction Details screens), you can save the transaction without specifying an exchange rate, in cases where the exchange rate for the source selected for the transaction has not been uploaded or is unavailable.

Whenever you do not enter the exchange rate, the transaction is saved as an exchange rate incomplete transaction.

Further, an exchange rate incomplete transaction can be authorized, and the exchange rate **completed** or entered subsequently, after authorization.

Transaction Enrichment

The process of entering the exchange rate for an exchange rate incomplete transaction is known as Exchange Rate Enrichment.

Why must enrichment be performed?

A transaction can only be picked up by the End of Day process for allocation of units only if it is authorized and all necessary details are present in the transaction record. If the exchange rate is not available, the equivalent transaction amount in fund base currency cannot be computed. In the event of the transaction being authorized before the exchange rate details are specified, it must be made “exchange rate-complete” before it can be picked up subsequently for allocation.

When to perform enrichment?

Exchange rate enrichment must be performed as a mandatory procedure before an exchange rate incomplete transaction is allocated. Exchange rate enrichment must also be performed for authorized transactions generated due to a standing instruction.

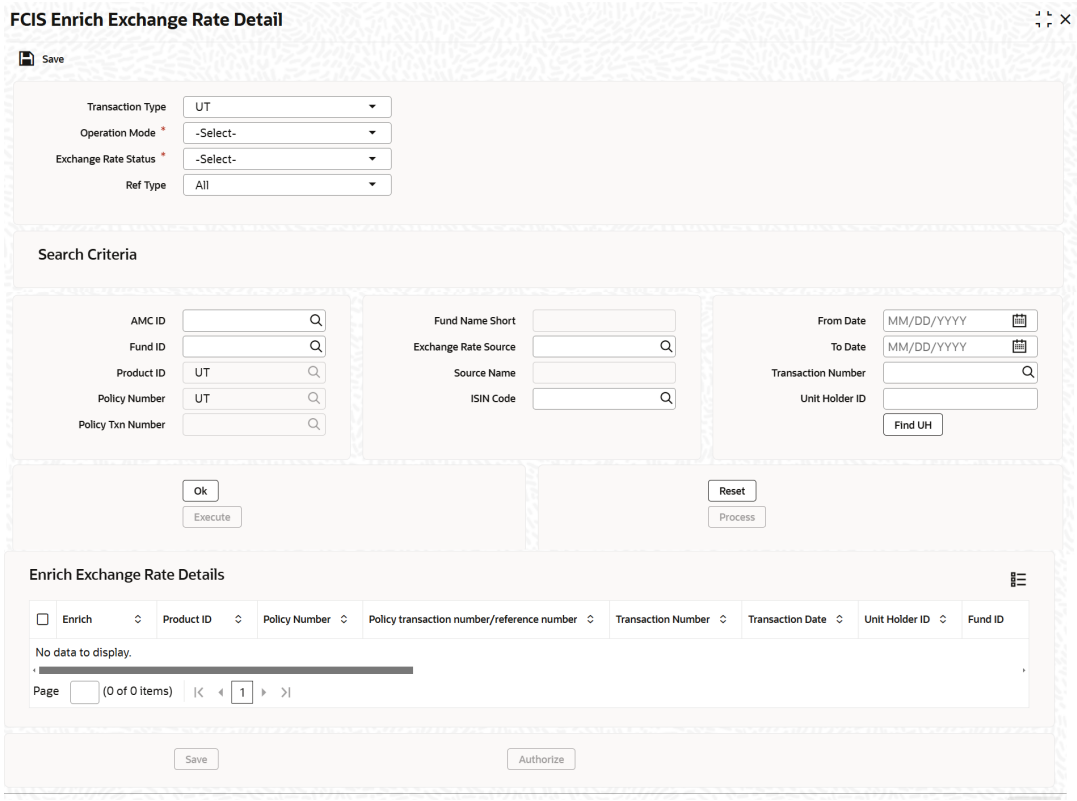
4.5.2 Process FCIS Enrich Exchange Rate Detail

This topic provides the instructions to specify the exchange rate for exchange rate incomplete transactions.

1. On **Home** screen, type **UTDTXNEE** in the text box and click **Next**.

The **FCIS Enrich Exchange Rate Detail** screen is displayed.

Figure 4-2 FCIS Enrich Exchange Rate Detail



2. On **FCIS Enrich Exchange Rate Detail** screen, specify the fields.

   For more information on fields in the screen, refer the below table.

Table 4-2 FCIS Enrich Exchange Rate Detail

Field	Description
Transaction Type	*Optional* Select the type of transaction from the drop-down list. The list displays the following values: • **LEP** • **UT** If u choose UT only incomplete UT transactions will be displayed for enrichment. If you choose LEP and mention the **Product ID** and **Policy Number**, then all the underlying incomplete UT transactions of the particular policy will be available enrichment.

Table 4-2 (Cont.) FCIS Enrich Exchange Rate Detail

Field	Description
Operation Mode	*Mandatory* Select the mode of operation from the drop-down list. The list displays the following values: • **Enrich Exchange Rate** • **Authorize** • **Bulk Exchanged Rate Enrichment** • **View Enrich Exchange Rate** If you select **Enrich Exchange Rate** or **Authorize** option, then **Exchange Rate Status** and **Ref Type** fields will be disabled. Also **Execute** and **Process** buttons will be disabled.
Exchange Rate Status	*Mandatory* Select the exchange rate status from the drop-down list. The list displays the following values: • **Incomplete** • **UnAuthorized** • **Unauthorized/ Authorized** • **Complete** If the transaction for which you are entering the exchange rate is an authorized transaction for which the exchange rate has not been entered, select **Incomplete** option.
Ref Type	*Optional* Select the ref type from the drop-down list. The list displays the following values: • **All** • **Standing Instruction** • **IPO Subscription** • **Subscription** • **Redemption** • **Switch** • **Transfer**

Table 4-3 FCIS Enrich Exchange Rate Detail - Search Criteria

Field	Description
AMC ID	*Alphanumeric; 12 Characters; Optional* Specify the AMC ID. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC ID maintained in the system.
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all the valid fund IDs maintained in the system.
Fund Name Short	*Display* The system displays the short fund name for the selected fund ID.
Product ID	*Alphanumeric; 10 Characters; Optional* Specify the product ID. Alternatively, you can select product ID from the option list. The list displays all valid product ID maintained in the system. This field is enabled only if you have selected **Transaction Type** as **LEP**.

Table 4-3 (Cont.) FCIS Enrich Exchange Rate Detail - Search Criteria

Field	Description
Policy Number	*Alphanumeric; 16 Characters; Optional* Specify the policy number. Alternatively, you can select policy number from the option list. The list displays all valid policy number maintained in the system. This field is enabled only if you have selected **Transaction Type** as **LEP**.
Policy Txn Number	*Alphanumeric; 16 Characters; Optional* Specify the **Policy Txn Number**. Alternatively, you can select **Policy Txn Number** from the option list. The list displays all valid **Policy Txn Number** maintained in the system. This field is enabled only if you have selected **Transaction Type** as **LEP**.
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Specify the exchange rate source. Alternatively, you can select exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system.
Source Name	*Display* The system displays the source name for the selected exchange rate source.
ISIN Code	*Alphanumeric; 6 Characters; Optional* Specify the ISIN code. Alternatively, you can select ISIN code from the option list. The list displays all valid ISIN code maintained in the system. If you specify the fund ID, the system displays ISIN code and vice versa.
From Date	*Date Format; Optional* Select the From date from the adjoining calendar.
To Date	*Date Format; Optional* Select the To date from the adjoining calendar.
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number. Alternatively, you can select transaction number from the option list. The list displays all valid transaction number maintained in the system.

Table 4-3 (Cont.) FCIS Enrich Exchange Rate Detail - Search Criteria

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the unit holder ID. You can query unit holder ID by clicking the **Find UH** button. Click the **Execute** button, the system displays the following enrich exchange rate details: • **Enrich** • **Product ID** • **Policy Number** • **Policy transaction number/reference number** • **Transaction Number** • **Transaction Date** • **Unit Holder ID** • **Fund ID** • **Transaction Mode** • **Transaction Currency** • **Fund Base Currency** • **Source ID** • **Override Exchange Rate** • **Exchange Rate Applied** • **Switch-In-Fund Base Currency** • **Switch-In-Source ID** • **Switch-In Exchange Rate Applied** • **Mod Number** • **FX Deal Date** • **FX Value Date** This button will be enabled only if you have selected **Bulk Exchanged Rate Enrichment** and **View Enrich Exchange Rate** option in **Operation Mode** field.

3. Click the **Process** button to process the exchange rate.

   This button will be enabled only if you have selected **Bulk Exchanged Rate Enrichment** and **View Enrich Exchange Rate** option in **Operation Mode** field.

4. Click **Ok** button after specifying the necessary details.

   This button will be enabled only if you have selected **Enrich Exchange Rate** and **Authorize** option in **Operation Mode** field.

5. You can reset by clicking the **Reset** button.

   This button will be enabled only if you have selected **Enrich Exchange Rate** and **Authorize** option in **Operation Mode** field.

6. Click the **Authorize** button to authorize the transaction.

4.5.3 Perform Bulk Update of Exchange Rate

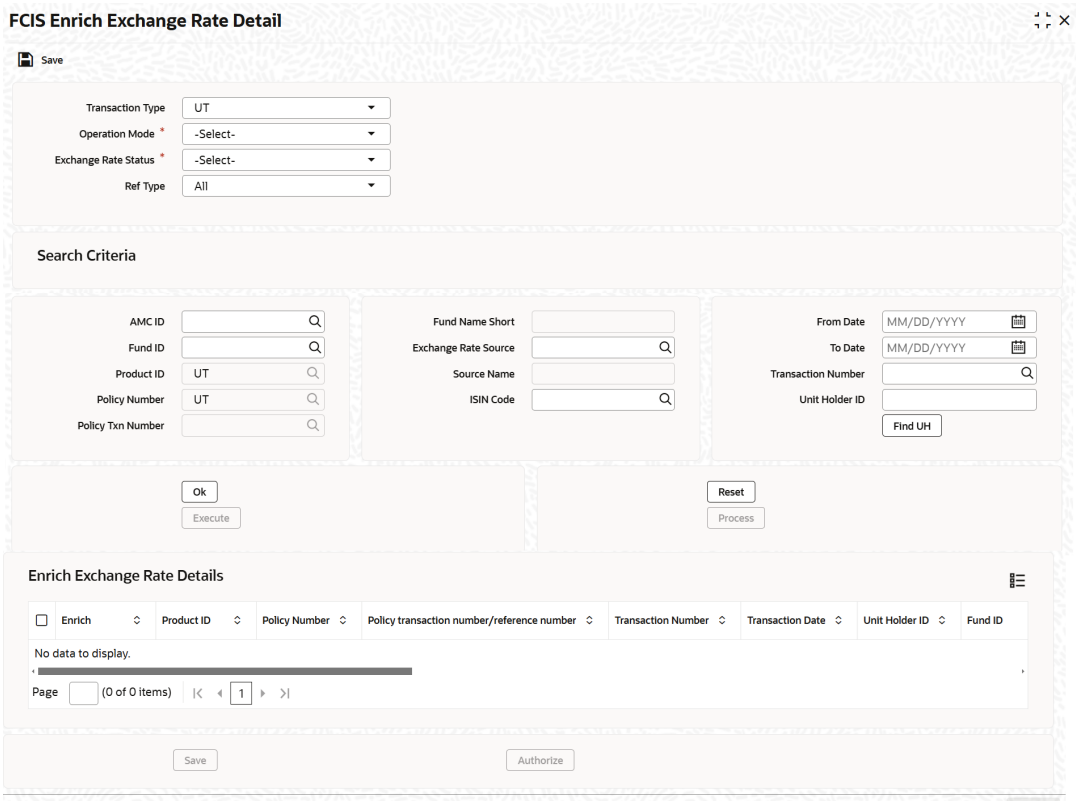
This topic provides instructions to perform bulk update of exchange rate details.

Bulk Exchange rate enrichment is performed for authorized but un-allotted transactions in the system. To perform bulk update of exchange rates select **Bulk Exchange Rate Enrichment** in the operation field.

1. Choose the operation as **Bulk Exchange Rate Enrichment** in certain other fields will be displayed in this screen.
2. On **Home** screen, type **UTDTXNEE** in the text box and click **Next**.

   The **FCIS Enrich Exchange Rate Detail** screen is displayed.

Figure 4-3 Enrich Exchange Rate Detail



3. Enrich the exchange rate details in this screen as per below steps.
   a. Select the operation mode as **Bulk Exchange Rate Enrichment**.
   b. Select the reference type for which you are performing exchange rate enrichment.
   c. Select the ID of the fund or the **ISIN Code** of the fund in which the bulk exchange rate enrichment is being performed, in the **Fund ID** and the **ISIN Code** fields.
   d. The date range when the transaction was processed.
   e. If the transaction for which you are enriching the exchange rate is an authorized but unallotted transaction, select the `Complete` option in the **field Exchange Rate Status**.
   f. If the transaction for which you are entering the exchange rate is an authorized transaction for which the exchange rate has not been entered, select the `Incomplete` option in the **Exchange Rate Status** field.
   g. In the **Exchange Rate Source** field, select the exchange rate source specified for the transaction, and click **Process** button to submit the job to update the exchange rate details. Else, click **Execute** button to update the update the exchange rate details.

4.5.4 Authorize Exchange Rate Enrichment

This topic provides instructions to authorize Exchange Rate Enrichment details.

After you have enriched the exchange rate in the **Exchange Rate Enrichment** screen, another user must authorize the enrichment for it to be effective in the system database, so that the transaction can be picked up for allocation.

To authorize the enrichment of exchange rate for a transaction, do as follows:

- Select the ID of the fund or the ISIN Code of the fund in which the transaction was entered, in respect of which exchange rate enrichment was done, in the Fund ID and the ISIN Code fields.
- Select the **Authorize** option in the Operation Mode field, in the Find Records section of the screen.
- Only unauthorized exchange rate enrichment transactions can be authorized. Select the `Unauthorized` option in the Exchange Rate Status field.
- In the Exchange Rate Source field, select the exchange rate source specified for the exchange rate enriched transaction, and click **Ok** button.
- All exchange rate-enriched transactions that are retrieved according to your specifications are displayed as a list in the Records Matching The Search Criteria grid, in the lower portion of the screen.
- For each transaction for which you want to authorize the exchange rate enrichment, select the row of the transaction in the list grid.
- In the Auth Status field, select the `Authorize` option to mark the enrichment for authorization.
- After similarly marking as many records as necessary for payment enrichment authorization, click **Authorize** button to effect the authorization.
- Transactions enriched through bulk operation need not be authorized.

4.6 Payment Clearing Detail

This topic explains the Clearing Payment Instruments.

This topic contains the following sub-topics:

- Process Payment Clearing Detail
  This topic provides the instructions to update the clearing status of a payment.
- Payment Clearing Details
  This topic provides information on payment clearing details.
- Authorize Clearing Status
  This topic provides instructions to authorize clearing status details.
- Track Status of Returned Cheques
  This topic provides information on tracking status of returned cheques details.
- Authorizing Tracking Status
  This topic provides information about Authorizing Tracking Status details.

4.6.1 Process Payment Clearing Detail

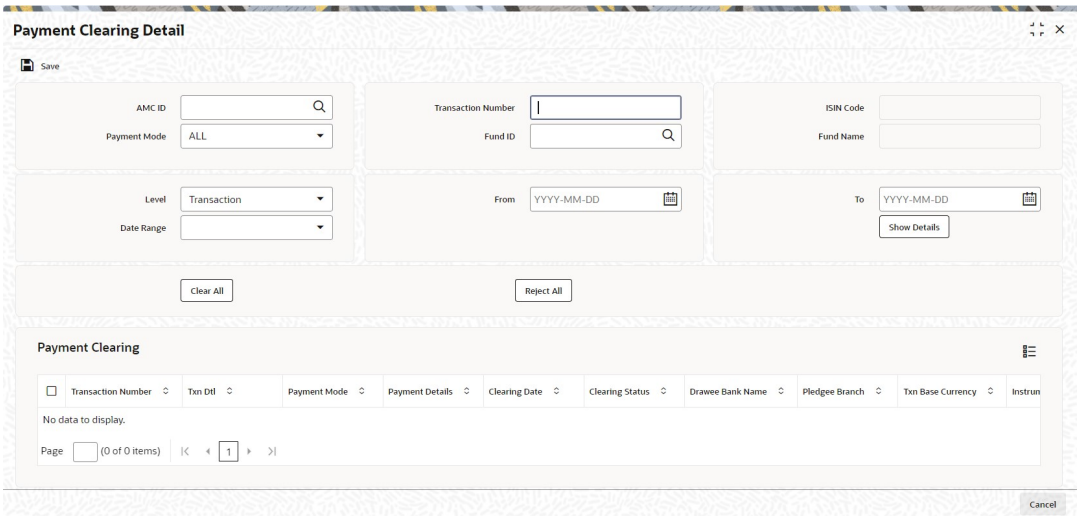
This topic provides the instructions to update the clearing status of a payment.

The system provides the facility to keep track of the clearing status of payment instruments for transactions, or, in the case of LEP (Life and Endowment Products), on a policy level, on an online basis.

1. On **Home** screen, type **UTDPYCLR** in the text box and click **Next**.

   The **Payment Clearing Detail** screen is displayed.

Figure 4-4 Payment Clearing Detail



2. On **Payment Clearing Detail** screen, specifythe fields.

   For information on fields in the screen, refer the below table.

Table 4-4 Payment Clearing Detail

Fields	Description
AMC ID	*Alphanumeric; 12 Characters; Optional* Specify the AMC ID. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC ID maintained in the system.
Payment Mode	*Optional* Select mode of payment from the drop-down list, specified for the transaction for which you want to update the clearing status of the payment instrument. The list displays the following values: • **All** • **Cheque** • **Demand Draft** • **Transfer** • **Credit Card**

Table 4-4 (Cont.) Payment Clearing Detail

Fields	Description
Level	*Optional* Select transaction level from the drop-down list. The list displays the following values: • **Transaction** • **Policy** • **Settlement**
Date Range	*Optional* Select range of dates from the drop-down list that would signify the period between which the transaction date or the allotted date of the transaction would be found. The list displays the following values: • **Transaction Date** • **Allocation Date** • **Payment Date**
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number.
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
ISIN Code	*Display* The system displays the ISIN code for the selected fund ID.
Fund Name	*Display* The system displays the fund name for the selected fund ID.
From	*Date Format; Optional* Select the From date from the adjoining calendar
To	*Date Format; Optional* Select the To date from the adjoining calendar. Click **Show Details** button to view the following payment clearing details: • **Transaction Number** • **Transaction Detail** • **Payment Mode** • **Payment Details** • **Clearing Date** • **Clearing Status** • **Drawee Bank Name** • **Pledgee Branch** • **Transaction Base Currency** • **Instrument Status** • **Remarks** • **System Reference Number** • **Check Status** • **Clearing Level** • **Auth Status** • **Maker ID** • **Maker Date Stamp** • **Checker ID** • **Checker Date Stamp** Click the **Reject All** button to the instrument details. Depending on what you choose.

3. Click **Clear All** or **Reject All** button to clear or reject the instruments displayed.

   Depends upon the selection, either **Clear All** or **Reject All**, the clearing status field under the Payment Clearing grid will display the clearing status.

4. Click the **Save** to save your changes, after marking as many instruments as necessary for clearing or rejection.

4.6.2 Payment Clearing Details

This topic provides information on payment clearing details.

The following details are displayed in the **Payment Clearing Detail** screen:

- The transaction number of the transactions with the selected mode of payment or a check number.
- The payment mode used in the specified transaction.
- The instrument number of the payment instrument used for the transaction.
- The date of the payment instrument.
- The currency of the payment instrument.
- The amount of the payment instrument.
- The bank name and branch name of the bank where the payment instrument was drawn.

4.6.3 Authorize Clearing Status

This topic provides instructions to authorize clearing status details.

After you have updated the clearing status for a transaction payment instrument, another user must authorize the clearing status, for it to be effective in the system data stores.

To authorize a clearing status in the **Payment Clearing Detail** screen, do as follows:

- In the **Selection Criteria** section, specify the following details as search parameters to retrieve the transaction records for which the clearing status of payment instruments must be authorized:
- In the **Mode** field, select the **Authorize** option.
- In the **Level** field, select the **Transaction** option.
- In the **Payment Mode** field, select the mode of payment specified for the transaction for which you want to authorize the clearing status of the payment instrument. To authorize a specific cleared payment instrument, enter the number of the instrument in the **Specific Number** field.
- In the **Date Range** fields, specify a range of dates that would signify the period between which the transaction date or the allotted date of the transaction would be found.
- Click the **Show** button. All transactions with payment instruments that match your search criteria are displayed, with the instrument details, in the lower grid portion of the screen, in a list.
- For each payment instrument that you want to authorize the clearing status, select **Authorize** from the drop down menu in the **Auth Status** field. Your specification here will mark the clearing status of the instrument for authorization.

- After marking the clearing status of as many instruments as necessary for authorization, click the **Authorize** button to effect the authorization. Authorization of the payment clearing of a subscription transaction will settle all unsettled redemptions linked to it.

For information on authorizing clearing status, refer the below table.

Table 4-5 Authorize Clearing Status

Field	Description
Clearing Status	*3 Character, Alphanumeric, Mandatory* Select Clear to mark the check as Cleared. Select Reject to mark the check as Returned / Rejected.
Clearing Date	*Date, Mandatory* Specify the date on which the clearing takes place. By default, the clearing date is deemed to be the application date.
Remarks	*255 Characters Maximum, Alphanumeric, Mandatory* Specify any relevant remarks regarding the clearing status.

4.6.4 Track Status of Returned Cheques

This topic provides information on tracking status of returned cheques details.

After a transaction has been allocated, the purchase transaction will have a cooling block set, which implies that no units can be redeemed from this transaction's lots. The cooling block will be removed (transaction will be cooled off) when the status of the instrument is updated as cleared.

You can track the status of the physical instruments using the **Payment Clearing Detail** screen.

To track the status of a payment instrument for a transaction in the **Payment Clearing Detail** screen, do as follows:

- In the **Selection** Criteria section, specify the following details as search parameters to retrieve the transaction records for which the payment instruments must be tracked:
- In the **Mode** field, select the **New** option.
- In the **Level** field, select the **Settlement** option.
- You can search for a record using any of the following criteria:
  - **Fund ISIN**
  - **Fund ID**
  - **AMC ID**
- In the **Payment Mode** field, select the mode of payment specified for the transaction for which you want to update the status of the payment instrument. Only Cheque, Demand Draft and Money Transfer payment modes are applicable. To clear a specific payment instrument, enter the number of the instrument in the **Specific Number** field.
- In the Date Range fields, specify a range of dates that would signify the period between which the transaction date, the allotted date or the payment date of the transaction would be found.
- Click the **Show** button. All transactions with payment instruments that match your search criteria are displayed, in the lower grid portion of the screen in a list.

- All necessary information such as transaction number, payment mode, clearing date, payment currency, payment amount, etc is recorded.
- Click the **Payment Details** link to view the Settlement Information screen. The payment details of all legs involved in the transaction is displayed.
- Specify the status of the instrument in the **Instrument Status** field. The options are:
  - **Credit Received** - Once this status is selected, system triggers automatic clearing of the associated transaction record and convert provisional units into confirmed units.
  - **Debit Received** - Indicates that information about Cheque rejection is received from Bank. - Indicates that information about Cheque rejection has been received at AMC/TA through return of physical instrument.
  - **Rejected** - This means that both; rejected cheque and reject information from the bank have been received. Once this status is updated, system will trigger automatic reversal of the associated transaction record.
- Specify any relevant remarks in the **Remarks** field.
- After marking as many instruments as for tracking, click the **Save** button to save your changes.

If you select an Instrument Status for one or all of Instruments for a transaction that results in payment / transaction rejection, system gives the following warning message `This will reject the entire transaction. Do you want to go ahead?.`

4.6.5 Authorizing Tracking Status

This topic provides information about Authorizing Tracking Status details.

After you have updated the status of a transaction payment instrument, another user must authorize the instrument status, for it to be effective in the system data stores.

To authorize an instrument status in the Payment Clearing screen, do as follows:

- In the **Selection** Criteria section, specify the following details as search parameters to retrieve the transaction records for which the status of payment instruments must be authorized:
- From the **Actions** list, select the **Authorize** option.
- In the **Level** field, select the **Settlement** option.
- In the **Payment Mode** field, select the mode of payment specified for the transaction for which you want to authorize the status of the payment instrument. To authorize a specific payment instrument, enter the number of the instrument in the **Specific Number** field.
- In the **Date Range** fields, specify a range of dates that would signify the period between which the transaction date or the allotted date of the transaction would be found.
- Click the **Show** button. All transactions with payment instruments that match your search criteria are displayed, with the instrument details, in the lower grid portion of the screen, in a list.
- For each payment instrument that you want to authorize the status, select the **Authorize** from the drop-down menu in the **Authorization Status** field. Your specification here will mark the status of the instrument for authorization.
- After marking the status of as many instruments as necessary for authorization, click the **Authorize** button to effect the authorization.

For information on fields in the screen, refer the below table.

Table 4-6 Authorizing Tracking Status

Field	Description
Instrument Status	*Alphanumeric, Mandatory* Specify the status of the instrument in the Instrument Status field. The options: • Credit Received - If this status is selected, system triggers automatic clearing of the associated transaction record and convert provisional units into confirmed units. • Debit Received - Indicates that information about Cheque rejection is received from Bank. • Reject Status Awaited - Indicates that information about Cheque rejection has been received at AMC/TA through return of physical instrument. • Rejected - This means that both; rejected cheque and reject information from the bank have been received. Once this status is updated, system will trigger automatic reversal of the associated transaction record. **Note**: If the record is uploaded with the status **Debit Received**, the options in the drop-down list are **Reject Status Awaited** and **Rejected**. • If the record is uploaded with the status **Reject Status Awaited**, the options in the drop-down list are **Debit Received** and **Rejected**. • If the payment mode is Money Transfer, then the options available are **Credit Received** and **Rejected**. • If the record is uploaded from the Bank Reconciliation screen with the status **Credit Received** or **Rejected**, then the record will not be available in the New mode and you will not be allowed to update the instrument status In case of uploaded records, system adds the following in the Remarks field: 'Through Bank Recon Upload When No Action'

4.7 Process Load Override Details

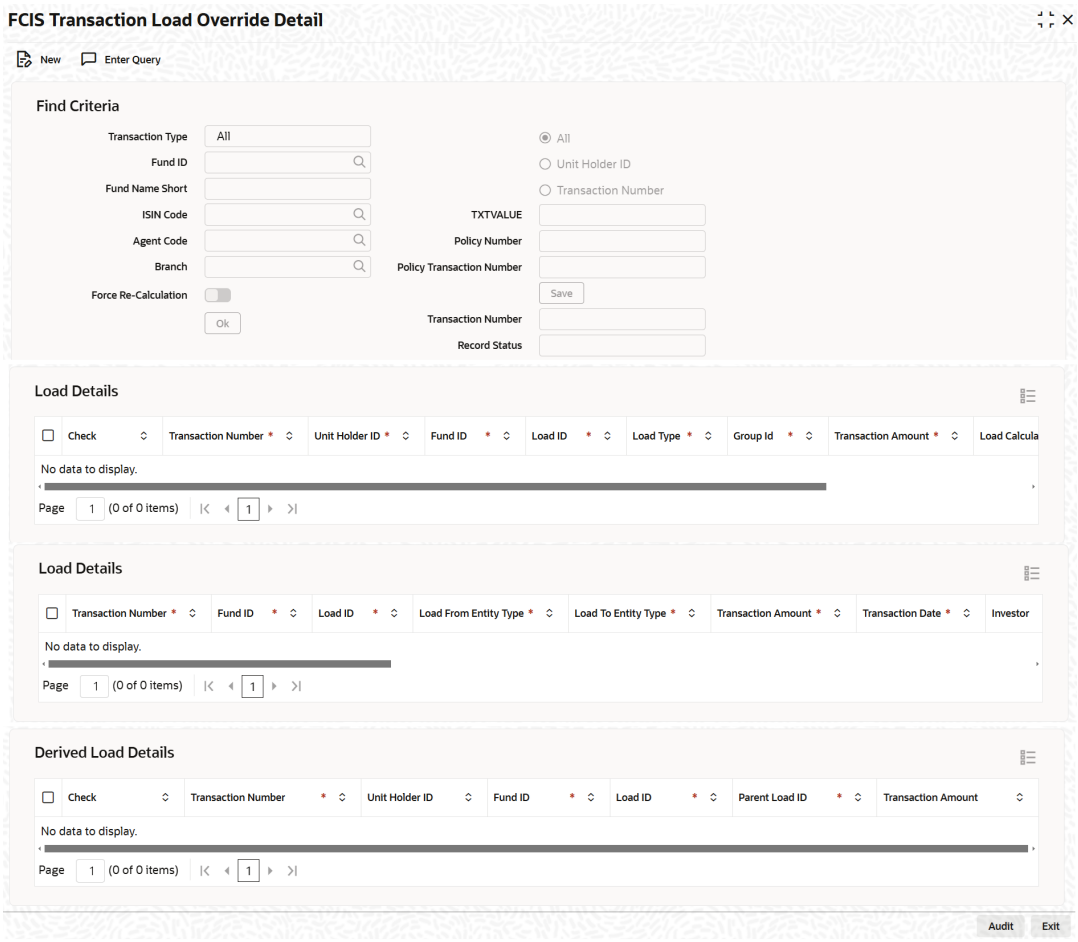
This topic provides the instructions to process Load Override Details.

In FLEXCUBE Investor Services, you have the facility of changing the return value or final amount value of a load (charge) that is applicable for a transaction requested by an investor.

1. On **Home** screen, type **UTDTXNLO** in the text box and click **Next**.

   The **FCIS Transaction Load Override Detail** screen is displayed.

Figure 4-5 FCIS Transaction Load Override Detail



2. On **FCIS Transaction Load Override Detail** screen, specify the fields.

   Retrieve the record of the load that you want to override by specifying search parameters. You can specify any or all of the following to enable the search:

   For more information on fields in the screen, refer the below table.

Table 4-7 FCIS Transaction Load Override Detail - Find Criteria

Fields	Description
Transaction Type	*Optional* Select the type of transaction from the drop-down list. The list displays the following values: • **All** • **IPO Subscription** • **Reinv IPO Subscription** • **Subscription** • **Reinv Subscription** • **Redemption** • **Switch From** • **Transfer** • **Block** • **Unblock** • **Consolidation** • **Split** • **Reissue** Choose one of the following options and enter the associated number for the selected option in the text box: • **All** • **Unit Holder ID** • **Transaction Number**
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the fund ID in which the transaction was put through, for which you want to override a load. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Fund Name Short	*Display* The system displays the fund name for the selected fund ID.
ISIN Code	*Alphanumeric; 12 Characters; Optional* Specify the ISIN code. If you have specified Fund ID, then the system displays the ISIN code for the specified fund ID and vice versa.
Agent Code	*Alphanumeric; 12 Characters; Optional* Specify the agent code. Alternatively, you can select agent code from the option list. The list displays all valid agent code maintained in the system.
Branch	*Alphanumeric; 12 Characters; Optional* Specify the branch code. Alternatively, you can select branch code from the option list. The list displays all valid branch code maintained in the system.
Force Re-Calculation	*Optional* Check this box to enable force re-calculation.
Policy Number	*Alphanumeric; 12 Characters; Optional* Specify the policy number
Policy Transaction Number	*Alphanumeric; 12 Characters; Optional* Specify the policy transaction number.
Transaction Number	*Display* The system displays the transaction number
Record Status	*Alphanumeric; 1 Character; Optional* Specify the record status.

3. Click **Save** button to save the details, when you have specified your criteria.
4. Click **Ok** button to view the following details:

Load Details

- **Check**
- **Transaction Number**
- **Unit Holder ID**
- **Fund ID**
- **Load ID**
- **Load Type**
- **Group ID**
- **Transaction Amount**
- **Load Calculation Method**
- **Amount or Percentage**

Load Details

The system displays the following Load Details for the selected transaction number:

- **Load ID**
- **Load From Entity Type**
- **Load to Entity Type**
- **Transaction Amount**
- **Transaction Date**
- **Load To Price**
- **Load VAT To Price**
- **Mandatory**
- **Priority Number**
- **Free Transaction**
- **Apply Return Value on**
- **Number of Decimals for Load**
- **Round of truncate for Load**
- **Group ID**
- **To Override**

Table 4-8 FCIS Transaction Load Override Detail

Fields	Description
Investor	*Display Only* The ID of the unit holder who has made the transaction is displayed here.
Transaction Number	*Display Only* In this field, the transaction numbers of the transactions, based on the selection criteria, are displayed

Table 4-8 (Cont.) FCIS Transaction Load Override Detail

Fields	Description
Fund ID	*Display Only* The ID of the fund on which the transaction has occurred is displayed here
Original Return Value	*Display Only* The original return value percentage of each of the applicable loads before the override is displayed here.
Original Load Amount	*Display Only* The original load amount of each of the applicable loads before the override is displayed here, after being calculated based on the return value. You are allowed to override the following details in this section:
Override Return Value	*Numeric, 30 Characters; Optional* Enter a value to override the original Return Value for the given load, for the given transaction. If nothing is entered then the Return Value will be taken as it is for allocation purposes provided the Override Load Amount is not changed. If the Return value specified is a percentage, you can override this percentage too. If the Load Amount is changed, the change is also reflected in the Load Return Value field
Override Load Amount	*Numeric, 30 Characters; Optional* Enter an amount to override the original Load Amount for the given load, for the given transaction. If nothing is entered then the Load Amount will be taken as it is for allocation purposes provided the Override Return Value is not changed. If the Load Return Value is changed, the change is also reflected in the Load Amount field.
To Override	*Optional* Indicate one of the following to indicate your preference for overriding, from the drop-down list: • **Both** • **Return Value** • **Load Amount**

Derived Load Details

- **Check**
- **Transaction Number**
- **Unit Holder ID**
- **Fund ID**
- **Load ID**
- **Parent Load ID**
- **Transaction Amount**

You can check against the transaction number for which transaction is done in the check box.

You can check against the transaction number for which transaction is done in the check box.

If any derived loads are applicable, they are also displayed and can be overridden.

Table 4-9 Load Manintenace Detail

Fields	Description
Load Type	*Display Only* The type of load, indicating whether it is a fee or an incentive, is displayed here.
Transaction Amount	*Display Only* The transaction amount of the given transaction is displayed here.
Calculation Method	*Display Only* This field displays the Calculation Method (either Slab, Linear or Weighted) for the particular Load.
Amount/Percent	*Display Only* This Field displays whether the Return Value is displayed in Amount or Percentage.

Table 4-10 Load Manintenace Detail - Load Details

Fields	Description
Original Return Value	*Display Only* The original return value of each of the applicable loads before the override is displayed here, either as a percentage or a load amount. Click the **OK** button to save your changes. The following must be borne in mind at a general level, while carrying out load overrides in this screen: • Any load that is a tax cannot be overridden. A particular Load is deemed a tax if the fund load mapping record has a value specified for the Apply Return Value On field. • **Interconnected Loads:** • In the system, two loads are deemed to be interconnected loads if the From Entity of the one is the same as the To Entity of the other. After you exercise a Load Override in this screen and attempt to save the override record, the system flashes a warning message if the concerned load is an interconnected one. The message also displays the transaction number and the connected loads. If you choose Yes in this message box, these changes will be reflected during allocation of the transaction. • Once a load override is saved in this screen, it is removed from the view list. To retrieve it, you must specify the search criteria again. • If the original load is a percentage based load, and is loaded to price, the original load amount displayed is a per unit figure. The following illustration will make this clear: Let us suppose that the Transaction Price is 10, and the load percentage is 5%. The amount displayed is as follows: 5% of 10=0.5.per unit. If the load is not loaded to price, then the actual load amount is displayed here. Considering the same example above, If the transaction amount is 1000 currency units, and the load percentage is 5%, with the load not loaded to price, the load amount displayed is as follows: 5% of 1000=50 currency units.

Forcing Recalculation:

When you open the load override screen for the first time (i.e., before any load overrides have been performed) and retrieve some load records, the computed load amounts are not displayed in the Amount/Return Value fields in the Txn Load Override screen. This will be so if you have not checked the Force Recalculation? field check box in the main Transaction Load Override screen. To indicate to the system that load computation must be done, you must Select this option. When you do so, the original computed loads, before any overrides, is displayed in the Return Value/Amount fields in the Txn Load Override screen.

After you perform the load overrides and override some or all of the retrieved loads, the overridden load records are saved as unauthorized load overrides. At this stage, when you open the Load Override screen and retrieve the overridden load records by specifying search criteria, you have the following options:

- If you check the Force Re-calculation? check box, the system will compute the loads again, without taking into account the overrides you have performed. The load amounts displayed after this computation are the original, pre-override amounts.
- If you want to revert to the saved load override record and the overridden load values, do not check the Force Recalculation? check box. The overridden load records will be retrieved and displayed.

If a load override that is performed is subsequently authorized, then you will not be able to retrieve it through specifying search criteria.

Authorize Load Override

A user other than the one who performed the override must authorize any override of a load.

To authorize a load override, use the Transaction Load Override Authorization screen. You can access this screen by clicking the Summary option in the Txn Load Override menu item in the Transactions Input menu category of the Agency Branch main menu.

When you open this screen, the load overrides that have been exercised, that are pending authorization, are displayed along with their details.

Mark each override you want to authorize by selecting the **Authorize** option in the Authorize field against the required override row.

After you have marked as many records as necessary for authorization, click the **Authorize** button to effect the authorization.

4.8 FCIS Transaction Load Override Summary

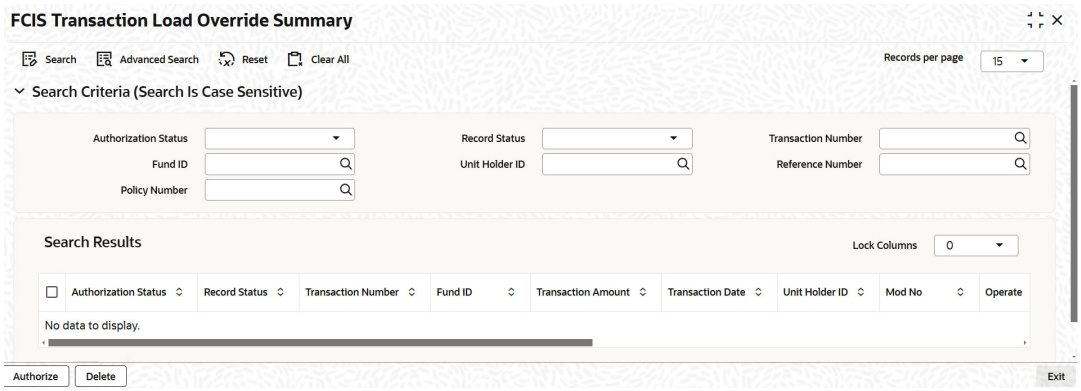
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Transaction Load Override Summary

1. On **Home** screen, type **UTSTXNLO** in the text box and click **Next**.

   The **FCIS Transaction Load Override Summary** screen is displayed.

Figure 4-6 FCIS Transaction Load Override Summary



2. On **FCIS Transaction Load Override Summary** 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**
   - **Transaction Number**
   - **Unit Holder ID**
   - **Policy Number**
   - **Fund ID**
   - **Reference Number**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

- Edit Transaction Load Override Record
  This topic provides the systematic instructions to edit Transaction Load Override record.
- View Transaction Load Override Record
  This topic provides the systematic instructions to view Transaction Load Override record.
- Delete Transaction Load Override Record
  This topic provides the systematic instructions to delete Transaction Load Override record.

- Authorize Transaction Load Override Record
  This topic provides the systematic instructions to authorize Transaction Load Override record.
- Amend Transaction Load Override Record
  This topic provides the systematic instructions to amend Transaction Load Override record.
- Authorize Amended Transaction Load Override Record
  This topic provides the systematic instructions to authorize amended Transaction Load Override record.

4.8.1 Edit Transaction Load Override Record

This topic provides the systematic instructions to edit Transaction Load Override record.

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

1. Start the **FCIS Transaction Load Override Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Transaction Load Override Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Transaction Load Override Detail** screen is closed and the changes made are reflected in the **FCIS Transaction Load Override Summary** screen.

4.8.2 View Transaction Load Override Record

This topic provides the systematic instructions to view Transaction Load Override record.

View a record that you have previously input by retrieving the same in the **FCIS Transaction Load Override Summary** screen. Perform this operation as follows:

1. Start the **FCIS Transaction Load Override Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Transaction Load Override Detail** screen is displayed.

4.8.3 Delete Transaction Load Override Record

This topic provides the systematic instructions to delete Transaction Load Override record.

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

1. Start the **FCIS Transaction Load Override Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Transaction Load Override Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.8.4 Authorize Transaction Load Override Record

This topic provides the systematic instructions to authorize Transaction Load Override record.

An unauthorized Transaction Load Override Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **FCIS Transaction Load Override Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Transaction Load Override Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

4.8.5 Amend Transaction Load Override Record

This topic provides the systematic instructions to amend Transaction Load Override record.

After a Transaction Load Override Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Transaction Load Override Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Transaction Load Override Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.8.6 Authorize Amended Transaction Load Override Record

This topic provides the systematic instructions to authorize amended Transaction Load Override record.

1. An amended Transaction Load Override record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

4.9 Global Order

This topic explains about the Global Order.

This topic contains the following sub-topics:

- Maintaining Global Order
  This topic provides information about the maintaining global order details.
- Process Global Order Maintenance Detail Screen
  This topic provides the instructions to start Invoking **Global Order Maintenance Detail** Screen.

4.9.1 Maintaining Global Order

This topic provides information about the maintaining global order details.

Global Order (GO) is a process where a distributor bulks their investor’s transactions including Subscriptions, Redemptions and send to the Asset Management Companies or to the Fund

Houses as a single Transaction for processing before the funds cut-off time on daily basis. The distributors generally will have an identification number with the fund houses or AMC’s which is called as Nominee Account Number. On receipt of a bulk order or GO from the distributor, the fund house will confirm the units allotted to this distributor or to the Nominee Account. On

receipt of confirmation from fund house, distributor will then confirm the global order at his end. If there is any discrepancy in global order, then global order will go through a reconciliation mechanism to address the difference. Once the discrepancy, if any, is resolved, distributor will allocate units to underlying unit holders.

The GO will be grouped according to Fund, transaction type (subscription and redemption), transaction mode (units/amount), Transaction Category (Advised, Execution and Legacy), Account type, Indicator (gross/Net) and transaction date. This is applicable for daily price funds. For non daily price funds, the system will generate separate GO which will not include Transaction date in grouping.

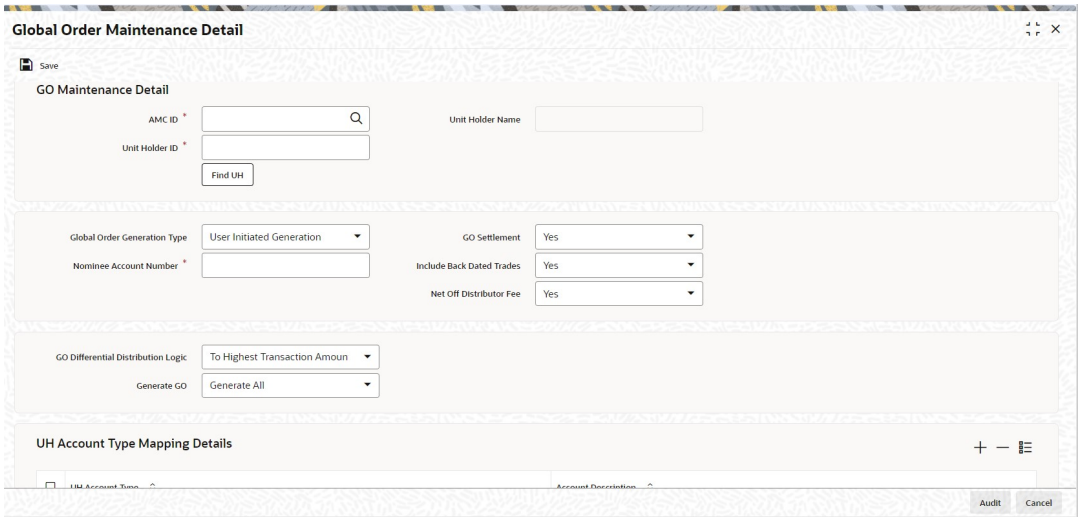
4.9.2 Process Global Order Maintenance Detail Screen

This topic provides the instructions to start Invoking **Global Order Maintenance Detail** Screen.

1. On **Home** screen, type **UTDGOMNT** in the text box and click **Next**.

   The **Global Order Maintenance Detail** screen is displayed.

Figure 4-7 Global Order Maintenance Detail



2. On **Global Order Maintenance Detail** screen, specify the fields.

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

Table 4-11 Global Order Maintenance Detail

Field	Description
AMC ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC for which the GO is maintained. You can also select the valid AMC ID from the adjoining option list.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the Unit Holder for which the GO is maintained. You can also query for unit holder ID by clicking **Find UH** button.
Unit holder Name	*Display* The system displays the unit holder name for the selected Unit Holder ID.

Table 4-11 (Cont.) Global Order Maintenance Detail

Field	Description
Global Order Generation Type	*Optional* Select the Global Order generation type from the drop-down list. Following are the options available in the drop-down list: • **User Initiated Generation** • **Generation at Cut-off time**
GO Settlement	*Optional* Select the GO Settlement details from the drop-down list. Following are the options available in the drop-down list: • **Yes** • **No**
Nominee Account Number	*Alphanumeric; 34 Characters; Mandatory* Specify the nominee account number.
Include Back Dated Trade	*Optional* Select if back dated trade is included from the drop-down list. Following are the options available in the drop-down list: • **Yes** • **No**
Net Off Distributor Fee	*Optional* Select if distributor fee is netted off or not from the drop-down list. Following are the options available in the drop-down list: • **Yes** • **No**
GO Differential Distribution Logic	*Optional* Select the GO differential distribution logic from the drop-down list. Following are the options available in the drop-down list: • **To Highest Transaction Amount** • **Highest Transaction to the Lowest** If you maintain distribution logic as **To Highest Transaction Amount** then the differential units will be adjusted to the transaction which has the highest transaction amount. If you maintain distribution logic as **Highest Transaction Amount to Lowest** then the system will distribute the difference amount from the highest transaction amount to the lowest in step up units.
Generate GO	*Optional* Select if all the GO should be generated or GO as per transaction category should be generated from the adjoining drop-down list. Following are the options available: • **Generate All** • **Generate per Transaction Category**
UH Account Type	*Alphanumeric; 2 Characters; Mandatory* Specify the UH account type. You can also select the valid account type from the adjoining option list.
Account Description	*Display* The system displays the description for the selected UH account type.

Once Global Order is generated, the system will generate subscription multiple order generation message (SWIFT) /redemption multiple order generation message for subscription/ redemption global orders respectively as per the Swift pooling frequency defined in the system.

For non daily priced funds, the system will generate Global Order as per transaction cut-off date and it will take trade cycle override into account while generating Global Order.

In case for a trade TBC is different from FBC the system will only pick trades for which exchange rate is available. Exchange rate required to be maintained for the trades where exchange rate is not available. If no exchange rate is available for the trades where TBC is different from FBC then those trades will not be picked for Global Order.

The system will run a pre EOD batch to check if all trades for a given date have been sent across in a Global Order which will be based on price date.

4.10 Global Order Maintenance Summary

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

Retrieve Global Order Maintenance Record

1. On **Home** screen, type **UTSGOMNT** in the text box and click **Next**.

   The **Global Order Maintenance Summary** screen is displayed.

2. On **Global Order Maintenance Summary** screen, specify any or all of the following details in the corresponding fields:

   - The status of the transaction in the **Authorized** field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
   - The status of the records in the **Open** field. If you choose the blank space, then all the records are retrieved.
   - The AMC ID
   - The Unit Holder ID. If you choose the blank space, then all the records are retrieved.

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - View a Record
> - Edit a Record
> - Delete a Record
> - Authorize a Record
> - Amend an Authorized Record
> - Close a Record
> - Copy a Record

- View Global Order Maintenance Record
  This topic provides the systematic instructions to view Global Order Maintenance record.

- Edit Global Order Maintenance Record
  This topic provides the systematic instructions to edit Global Order Maintenance record.
- Delete Global Order Maintenance Record
  This topic provides the systematic instructions to delete Global Order Maintenance record.
- Authorize Global Order Maintenance Record
  This topic provides the systematic instructions to authorize Global Order Maintenance record.
- Amend Global Order Maintenance Record
  This topic provides the systematic instructions to amend Global Order Maintenance record.
- Copy Global Order Maintenance Record
  This topic provides the systematic instructions to copy Global Order Maintenance record.
- Close Global Order Maintenance Record
  This topic provides the systematic instructions to close Global Order Maintenance record.

4.10.1 View Global Order Maintenance Record

This topic provides the systematic instructions to view Global Order Maintenance record.

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

1. Start the **Global Order Maintenance Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Global Order Maintenance Detail** screen is displayed.

4.10.2 Edit Global Order Maintenance Record

This topic provides the systematic instructions to edit Global Order Maintenance record.

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

1. Start the **Global Order Maintenance Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Global Order Maintenance Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **Global Order Maintenance Detail** screen is closed and the changes made are reflected in the **Global Order Maintenance Summary** screen.

4.10.3 Delete Global Order Maintenance Record

This topic provides the systematic instructions to delete Global Order Maintenance record.

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

1. Start the **Global Order Maintenance Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Maintenance Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

4.10.4 Authorize Global Order Maintenance Record

This topic provides the systematic instructions to authorize Global Order Maintenance record.

An unauthorized Global Order record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **Global Order Maintenance Summary** 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. Select **Authorize** operation from the Action List.

4.10.5 Amend Global Order Maintenance Record

This topic provides the systematic instructions to amend Global Order Maintenance record.

After a Global Order Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **Global Order Maintenance Summary** 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. Double-click the record that you wish to amend.

   The **Global Order Maintenance Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.10.6 Copy Global Order Maintenance Record

This topic provides the systematic instructions to copy Global Order Maintenance record.

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

1. Start the **Global Order Maintenance Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Maintenance Detail** screen is displayed.
5. Click **Copy** from the action list to create a new record.

   The new record with the same detail is created.

4.10.7 Close Global Order Maintenance Record

This topic provides the systematic instructions to close Global Order Maintenance record.

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

1. Start the **Global Order Maintenance Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

The **Global Order Maintenance Detail** screen is displayed.

5. Click **Close** from the action list to create a new record.

   The record with the details are closed.
   You can re-open any closed record at a later point in time.

4.11 Process Global Order Confirmation Detail

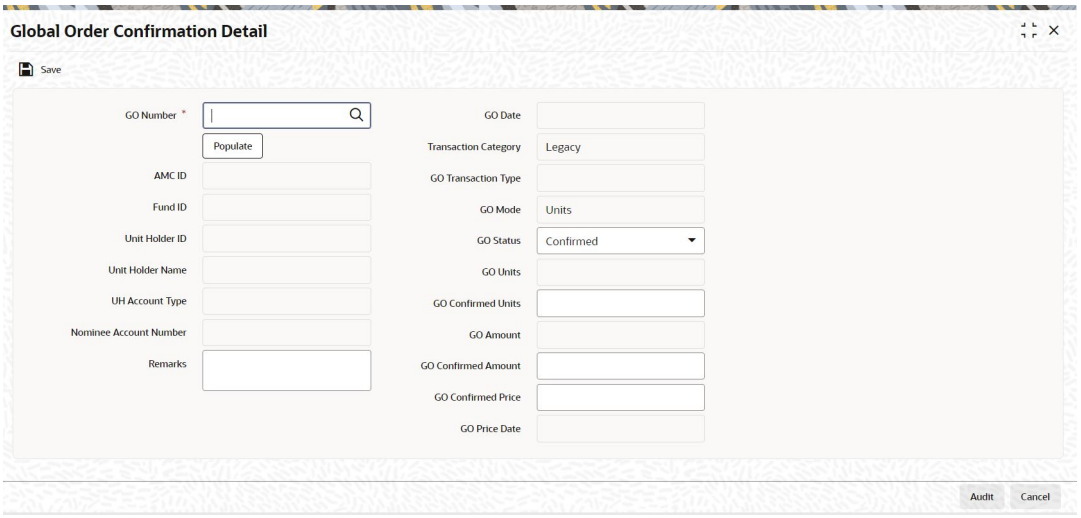
This topic provides the systematic instructions to specify the price received from the fund house against the Global Order.

The system which provide the details of price uploaded for the Global Orders.

1. On **Home** screen, type **UTDGOCNF** in the text box, and click **Next**.

   The **Global Order Confirmation Detail** screen is displayed.

Figure 4-8 Global Order Confirmation Detail



2. On **Global Order Confirmation Detail** screen, click **New** to enter the details.

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

Table 4-12 Global Order Confirmation Detail - Field Description

Field	Description
Global Order Number	*Alphanumeric; 16 Characters; Mandatory* Specify the Global Order number. If you click on **Populate** button, the following fields are displayed.
AMC ID	*Display* The system displays the AMC ID.
Fund ID	*Display* The system displays the fund ID.
Unit Holder ID	*Display* The system displays the unit holder ID.
Unit Holder Name	*Display* The system displays the unit holder name.

Table 4-12 (Cont.) Global Order Confirmation Detail - Field Description

Field	Description
UH Account Type	*Display* The system displays the UH account type.
Nominee Account Number	*Display* The system displays the nominee account number.
Remarks	*Alphanumeric; 255 Characters; Mandatory* Specify remarks, if any.
Global Order Date	*Display* The system displays the Global Order date.
Transaction Category	*Display* The system displays the transaction category. One of the following values are displayed in this field: • **Legacy** • **Advised Business** • **Execution Only**
Global Order Transaction Type	*Display* The system displays the GO transaction type.
Global Order Mode	*Display* The system displays the GO mode. One of the following values are displayed in this field: • **Unit** • **Amount**
Global Order Status	*Optional* Select the Global Order status from the drop-down list. Following are the options available in the drop-down list: • **Confirmed** • **Rejected** • **Pending Confirmation** • **Amount Mismatch** • **Unit Mismatch** • **Price Mismatch** For Amount based order, if confirmation amount is mismatch then system will save record with Status as **Amount Mismatch**. For Unit based order, if confirmation unit is mismatch then system will save record with Status as **Unit Mismatch**. For Amount/ unit based order, if confirmation price is different than the fund price (for transaction date and transaction type combination) then system will save GO with status as **Price Mismatch**. If unit/ amount and confirmation price matches then system will save the GO with confirmed status as **Global Order Confirmed**. You can change the GO status manually to either GO confirmed or GO rejected in the GO Confirmation screen. All other statuses are defaulted by the system without manual intervention. Once GO is rejected, post confirmation of rejected order and all underlying transactions in the GO will be rejected. These will not be taken up for allocation.
Global Order Units	*Display* The system displays the Global Order units.
Global Order Confirmed Units	*Numeric; 27 Characters; Optional* Specify the Global Order confirmed units.

Table 4-12 (Cont.) Global Order Confirmation Detail - Field Description

Field	Description
Global Order Amount	*Display* The system displays the Global Order amount.
Global Order Confirmed Amount	*Numeric; 30 Characters; Optional* Specify the Global Order confirmed amount.
Global Order Confirmed Price	*Numeric; 22 Characters; Optional* Specify the Global Order confirmed price. The system will consider the confirmation price received against a GO as the fund price for the GO confirmation date.
Global Order Price Date	*Display* The system displays the Global Order price date. The **Global Order Confirmation Detail** screen will support all messages received via Swift Messages and will be enabled for any manual confirmation. If no confirmation is received from the fund house, then GO will not be reversed, however, it will reflect GO status as **Pending Confirmation** in **Global Order Confirmation Detail** screen. The system will run the pre-EOD batch to check if all GOs generated for the day have been confirmed. The batch will also include unconfirmed GOs for back dated. Only if GO is confirmed, the underlying trades will be allotted.

4.12 Global Order Confirmation Summary

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

Retrieve Global Order Confirmation Record

1. On **Home** screen, type **UTSGOCNF** in the text box, and click **Next**.

   The **Global Order Confirmation Summary** screen is displayed.

2. On **Global Order Confirmation Summary** 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**
   - **GO Number**
   - **GO Date**
   - **GO Transaction Type**
   - **AMC ID**
   - **Fund ID**
   - **GO Mode**
   - **GO Status**
   - **Transaction Category**

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

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

- Edit Global Order Confirmation Record
  This topic provides the systematic instructions to edit Global Order Confirmation record.
- View Global Order Confirmation Record
  This topic provides the systematic instructions to view Global Order Confirmation record.
- Delete Global Order Confirmation Record
  This topic provides the systematic instructions to delete Global Order Confirmation record.
- Authorize Global Order Confirmation Record
  This topic provides the systematic instructions to authorize Global Order Confirmation record.
- Amend Global Order Confirmation Record
  This topic provides the systematic instructions to amend Global Order Confirmation record.
- Copy Global Order Confirmation Record
  This topic provides the systematic instructions to copy Global Order Confirmation record.
- Close Global Order Confirmation Record
  This topic provides the systematic instructions to close Global Order Confirmation record.

4.12.1 Edit Global Order Confirmation Record

This topic provides the systematic instructions to edit Global Order Confirmation record.

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

1. Start the **Global Order Confirmation Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Global Order Confirmation Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Global Order Confirmation Detail** screen is closed and the changes made are reflected in the **Global Order Confirmation Summary** screen.

4.12.2 View Global Order Confirmation Record

This topic provides the systematic instructions to view Global Order Confirmation record.

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

1. Start the **Global Order Confirmation Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Global Order Confirmation Detail** screen is displayed.

4.12.3 Delete Global Order Confirmation Record

This topic provides the systematic instructions to delete Global Order Confirmation record.

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

1. Start the **Global Order Confirmation Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Confirmation Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.12.4 Authorize Global Order Confirmation Record

This topic provides the systematic instructions to authorize Global Order Confirmation record.

An unauthorized Global Order Confirmation Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **Global Order Confirmation Summary** 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. Double-click the record that you wish to authorize.

   The **Global Order Confirmation Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

4.12.5 Amend Global Order Confirmation Record

This topic provides the systematic instructions to amend Global Order Confirmation record.

After a Global Order Confirmation Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **Global Order Confirmation Summary** 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. Double-click the record that you wish to amend.

   The **Global Order Confirmation Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.12.6 Copy Global Order Confirmation Record

This topic provides the systematic instructions to copy Global Order Confirmation record.

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

1. Start the **Global Order Confirmation Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

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

4. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Confirmation Detail** screen is displayed.

5. Click **Copy** from the action list to create a new record.

   The new record with the same detail is created.

4.12.7 Close Global Order Confirmation Record

This topic provides the systematic instructions to close Global Order Confirmation record.

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

1. Start the **Global Order Confirmation Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Confirmation Detail** screen is displayed.
5. Click **Close** from the action list to create a new record.

   The record with the details are closed.
   You can re-open any closed record at a later point in time.

4.13 Process Global Order Reconciliation Detail

This topic provides the instructions to process Global Order Reconciliation Screen Details.

The system will compare the confirmation message received from the fund house with the original message generated. If there is a mismatch in the fund price received from the fund house for this order compared to fund price received for an earlier order having same fund ID/ transaction type/ transaction date, then same will get reflect in the **Global Order Reconciliation Detail** screen. You can manually correct the status message as **Confirmed** or **Rejected** which will be confirmed from the fund house.

If the latest Global Order price is different from the existing fund price, then you need to confirm the Global Order price. Update the correct price in the Global Order, once the price issue is sorted out. On updating the correct price, all the Global Order will have the same price for the transaction date/fund/transaction type combination.

IF Global Order price is correct, you can update other Global Order (for same transaction date/ transaction type/ fund) and even fund price. On update, all the Global Order will have same price for the transaction date/ fund/transaction type combination. Once the price is amended with the correct price, you can authorize the transaction from **Global Order Reconciliation** screen.

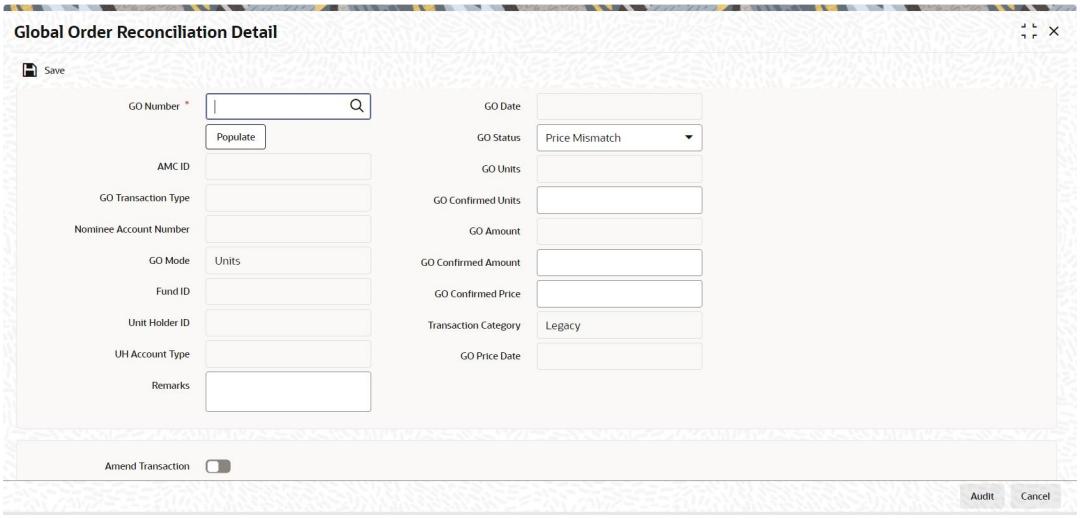
The mismatch transaction will no longer reflect in the **Global Order Reconciliation Detail** screen once authorized.

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

1. On **Home** screen, type **UTDGORCN** in the text box, and click **Next**.

   The **Global Order Reconciliation Detail** screen is displayed.

Figure 4-9 Global Order Reconciliation Detail



2. On **GO Confirmation Detail** screen, specify the fields.

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

Table 4-13 Global Order Reconciliation Detail

Field	Description
Global Order Number	*Alphanumeric; 16 Characters; Mandatory* Specify the Global Order number. If you click on **Populate** button, the fields will be displayed.
AMC ID	*Display* The system displays the AMC ID.
Global Order Transaction Type	*Display* The system displays the Global Order transaction type.
Nominee Account Number	*Display* The system displays the nominee account number.
Global Order Mode	*Display* The system displays the Global Order mode.
Fund ID	*Display* The system displays the fund ID.
Unit Holder ID	*Display* The system displays the unit holder ID.
UH Account Type	*Display* The system displays the UH account type.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Global Order Date	*Display* The system displays the Global Order date.

Table 4-13 (Cont.) Global Order Reconciliation Detail

Field	Description
Global Order Status	*Optional* Select the Global Order status from the drop-down list. The below lists are displayed: • **Confirmed** • **Rejected** • **Pending Confirmation** • **Amount Mismatch** • **Unit Mismatch** • **Price Mismatch** For Amount based order, if confirmation amount is mismatch then system will save record with Status as **Amount Mismatch**. For Unit based order, if confirmation unit is mismatch then system will save record with Status as **Unit Mismatch**. For Amount/ unit based order, if confirmation price is different than the fund price (for transaction date and transaction type combination) then system will save Global Order with status as **Price Mismatch**. If unit/ amount and confirmation price matches then system will save the Global Order with confirmed status as **Global Order Confirmed**. You can change the Global Order status manually to either Global Order confirmed or Global Order rejected in the Global Order Confirmation screen. All other statuses are defaulted by the system without manual intervention. Once Global Order is rejected, post confirmation of rejected order and all underlying transactions in the Global Order will be rejected. These will not be taken up for allocation.

Table 4-13 (Cont.) Global Order Reconciliation Detail

Field	Description
Global Order Status	*Optional* Select the Global Order status from the drop-down list. The below lists are displayed: • **Price Mismatch** • **Unit Mismatch** • **Amount Mismatch** • **Confirmed** • **Rejected** The system will compare the confirmation message received from the fund house with the original message generated. In case, if there is a mismatch in the fund price received from the fund house for this order compared to fund price received for an earlier order having same fund id/transaction type/ transaction date, then same will get reflect in the **Global Order Reconciliation** screen for manual correction with status message as **Confirmed Price Mismatched**. The correct price will be confirmed from the fund house outside the system. If the latest Global Order price is different from the existing fund price, you need to confirm Global Order price. Once the price issue is sorted out, you should update the correct price in the Global Order. IF Global Order price is correct, then update the fund price. On update, all the Global Order will have same price for the transaction date/fund/transaction type combination. Once the price is amended with the correct price, you should authorize the transaction from **Global Order Reconciliation** screen. The mismatch transaction will no longer reflect in the Global Order Reconciliation screen once authorized.
Global Order Units	*Display* The system displays the Global Order units. The confirmation message received from the fund house will be compared with the original message generated. For a units based order, in case, if there is a mismatch in the Global Order Units Value received from the fund house, then same will get reflect in the **Global Order Reconciliation** screen for manual correction with status message as **Confirmed Units Mismatched** The correct value will be confirmed from the fund house outside the system. Once the units issue is sorted out, you need to update the units with correct units in **Global Order Reconciliation** screen Once the units are amended with the correct Units, you should authorize the transaction from Global Order Reconciliation screen The mismatch transaction will no longer reflect in the Global Order Reconciliation screen once authorized.

Table 4-13 (Cont.) Global Order Reconciliation Detail

Field	Description
Global Order Confirmed Units	*Numeric; 27 Characters; Optional* Specify the Global Order confirmed units. Once the Global Order is confirmed all the underlying transactions will be picked up for allocation by allocation batch. Once the underlying GO trades are allocated during EOD, the system will do a reconciliation of allotted units against confirmed units. If there is a difference in the allotted units, the same will be reflected in the **Global Order Reconciliation** screen with a status message **Global Order Allotted Units Mismatched**. This will be before rounding difference process. To sort the difference, the system will calculate the threshold units in **Fund Rules** screen. If the difference units are more than the threshold units maintained, you need to manually round off the units. If the difference units falls under the threshold units maintained, the system will automatically rounded off using a distribution logic with values as **To Highest Transaction Amount** and **Highest Transaction Amount to Lowest** This distribution logic are applicable to funds, which fall under the AMC for which Distribution logic has been maintained If user maintained distribution logic as **To Highest Transaction Amount** then the system will adjust the differential units to the transaction which has the highest transaction amount. If user maintained distribution logic as **Highest Transaction Amount to Lowest** then system will distribute the difference amount from the highest transaction amount to the lowest in step up units. If the AMC confirmed units are more than the system allotted, then system calculates Negative (-ve) differential units. If the AMC confirmed units are less than the system allotted, then system calculates Positive (+ve) differential units Once the rounding difference is sorted out, this transaction will no longer reflect in the **Global Order Reconciliation** screen. The difference units distributed based on the logic will be tracked separately during allocation Based on the logic- system will update the allocated units with extra or reduced units
Global Order Amount	*Display* The system displays the Global Order amount.

Table 4-13 (Cont.) Global Order Reconciliation Detail

Field	Description
Global Order Confirmed Amount	*ANumeric; 30 Characters; Optional* Specify the Global Order confirmed amount. The confirmation message received from the fund house will be compared with the original message generated For an amount based order In case, if there is a mismatch in the GO Amount Value received from the fund house, then same will get reflect in the **Global Order Reconciliation** screen for manual correction with status message as **Confirmed Amount Mismatched** The correct value will be confirmed from the fund house outside the system Once the Amount issue is sorted out, you need to update the amount with correct amount in Global Order Reconciliation screen Once the amount are amended with the correct amount, you should authorize the transaction from **Global Order Reconciliation** screen The mismatch transaction will no longer reflect in the **Global Order Reconciliation** screen once authorized.
Global Order Confirmed Price	*Numeric; 22 Characters; Mandatory* Specify the Global Order confirmed price.
Transaction Category	*Display* The system displays the transaction category. One of the following values are displayed in this field: • **Legacy** • **Advised Business** • **Execution Only**
Global Order Price Date	*Display* The system displays the Global Order price date. Once the Global Order is confirmed all the underlying transactions will be picked up for allocation by allocation batch. Once the underlying Global Order trades are allocated during EOD, system will do a reconciliation of allotted units against confirmed units. If there is a difference in the allotted units, the same will be reflected in the **Global Order Reconciliation Detail** screen with the status message as **Global Order Allotted Units Mismatched** This will be before rounding difference process. If the AMC confirmed units are more than the system allotted, then the system will calculate Negative (-ve) differential units. If the AMC confirmed units are less than the system has allotted, then the system will calculate Positive (+ve) differential units Once the rounding difference is sorted out, this transaction will no longer reflect in the **Global Order Reconciliation Detail** screen. The GO Reconciliation screen will show any unconfirmed global orders and those with a price mismatch or those where the allotted units does not match the confirmed number of units during de-aggregation. In case the confirmation message is not received on any date, the system will show all the transactions with, confirmation related columns as BLANK and the Confirmation Status field will show the message as **Confirmation message pending**.

4.14 Global Order Reconciliation Summary

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

Retrieve Global Order Reconciliation Record

1. On **Home** screen, type **UTSGORCN** in the text box and click **Next**.

   The **Global Order Reconciliation Summary** screen is displayed.

2. On **Global Order Reconciliation Summary** screen, specify any or all of the following details in the corresponding fields:

   - The status of the transaction in the **Authorized** field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
   - The status of the records in the **Open** field. If you choose the blank space, then all the records are retrieved.
   - **Global Order Number**
   - **Transaction Type**
   - **Fund ID**
   - **Global Order Status**
   - **Price Date**
   - **AMC ID**
   - **Transaction Mode**
   - **If you choose the blank space, then all the records are retrieved**.

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - View a Record
> - Edit a Record
> - Delete a Record
> - Authorize a Record
> - Amend an Authorized Record
> - Close a Record
> - Copy a Record

- View Global Order Reconciliation Record
  This topic provides the systematic instructions to view Global Order Reconciliation record.

- Edit Global Order Reconciliation Record
  This topic provides the systematic instructions to edit Global Order Reconciliation record.
- Delete Global Order Reconciliation Record
  This topic provides the systematic instructions to delete Global Order Reconciliation record.
- Authorize Global Order Reconciliation Record
  This topic provides the systematic instructions to authorize Global Order Reconciliation record.
- Copy Global Order Reconciliation Record
  This topic provides the systematic instructions to copy Global Order Reconciliation record.
- Close Global Order Reconciliation Record
  This topic provides the systematic instructions to close Global Order Reconciliation record.

4.14.1 View Global Order Reconciliation Record

This topic provides the systematic instructions to view Global Order Reconciliation record.

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

1. Start the **Global Order Reconciliation Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Global Order Reconciliation Detail** screen is displayed.

4.14.2 Edit Global Order Reconciliation Record

This topic provides the systematic instructions to edit Global Order Reconciliation record.

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

1. Start the **Global Order Reconciliation Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Global Order Reconciliation Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **Global Order Reconciliation Detail** screen is closed and the changes made are reflected in the **Global Order Reconciliation Summary** screen.

4.14.3 Delete Global Order Reconciliation Record

This topic provides the systematic instructions to delete Global Order Reconciliation record.

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

1. Start the **Global Order Reconciliation Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Reconciliation Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

> **Note:**
>
> The maker of the record can only delete the unauthorized record.

4.14.4 Authorize Global Order Reconciliation Record

This topic provides the systematic instructions to authorize Global Order Reconciliation record.

An unauthorized Global Order Reconciliation record must be authorized in the system for it to be processed. Authorize a record as follows

1. Start the **Global Order Reconciliation Summary** 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. Select **Authorize** operation from the Action List.

4.14.5 Copy Global Order Reconciliation Record

This topic provides the systematic instructions to copy Global Order Reconciliation record.

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

1. Start the **Global Order Reconciliation Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Reconciliation Detail** screen is displayed.
5. Click **Copy** from the action list to create a new record.

   The new record with the same detail is created.

4.14.6 Close Global Order Reconciliation Record

This topic provides the systematic instructions to close Global Order Reconciliation record.

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

1. Start the **Global Order Reconciliation Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Reconciliation Detail** screen is displayed.
5. Click **Close** from the action list to create a new record.

   The record with the details are closed.
   You can re-open any closed record at a later point in time.

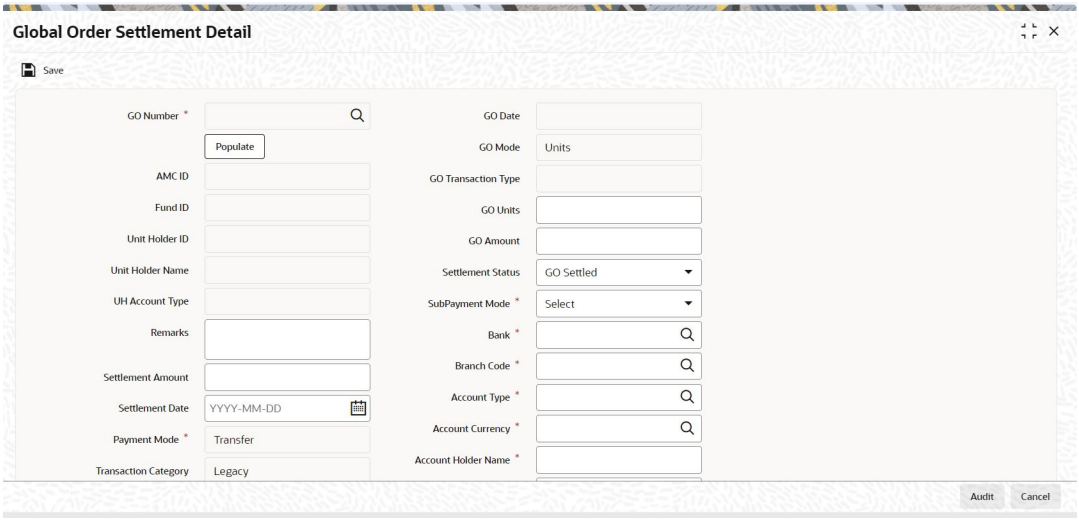
4.15 Process Global Order Settlement Detail

This topic provides the instructions to maintain the pending transactions for the settlement.

1. On **Home** screen, type **UTDGOSTL** in the text box, and click **Next**.

   The **Global Order Settlement Detail** screen is displayed.

Figure 4-10 Global Order Settlement Detail



2. On **Global Order Settlement Detail** screen, specify the fields.

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

Table 4-14 Global Order Settlement Detail

Field	Description
GO Number	*Alphanumeric; 16 Characters; Mandatory* Specify the Global Order number. If you click the **Populate** button, the following fields are displayed:
AMC ID	*Display* The system displays the AMC ID.
Fund ID	*Display* The system displays the fund ID.
Unit Holder ID	*Display* The system displays the unit holder ID.
Unit Holder Name	*Display* The system displays the unit holder name.
UH Account Type	*Display* The system displays the UH account type.
Remarks	*Alphanumeric; 255 Characters; Mandatory* Specify remarks, if any.
Settlement Amount	*Numeric; 30 Characters; Mandatory* Specify the settlement amount.
Settlement Date	*Date Format; Optional* Specify the settlement date.
Payment Mode	*Optional* Select the mode of payment from the drop-down list. Following are the options available in the drop-down list: • **Cash** • **Cheque** • **Money Transfer**

Table 4-14 (Cont.) Global Order Settlement Detail

Field	Description
Transaction Category	*Optional* Select the transaction category from the adjoining drop-down list. The available values are: • **Legacy** • **Advised Business Only** • **Execution Only**
GO Date	*Display* The system displays the Global Order date.
GO Mode	*Display* The system displays the GO mode
GO Transaction Type	*Display* The system displays the GO transaction type.
GO Units	*Display* The system displays the Global Order units.
GO Amount	*Numeric; 30 Characters; Optional* Specify the GO amount.
Settlement Status	*Optional* Select the settlement status from the adjoining drop-down list. Following are the option available: • **Global Order Settled**
Sub Payment Mode	*Mandatory* Select sub payment mode from the adjoining drop-down list. Following are the options available: • **Money Transfer** • **Telegraphic Transfer** • **Wire Transfer**
Bank	*Alphanumeric; 12 Characters; Mandatory* Specify the bank code. This adjoining option list displays all valid bank code maintained in the system. You can choose the appropriate one.
Branch Code	*Alphanumeric; 12 Characters; Mandatory* Specify the branch code. This adjoining option list displays all valid branch code maintained in the system. You can choose the appropriate one.
Account Type	*Alphanumeric; 1 Characters; Mandatory* Specify the type of account. This adjoining option list displays all valid account type maintained in the system. You can choose the appropriate one.
Account Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the currency details. This adjoining option list displays all valid currency code maintained in the system. You can choose the appropriate one.
Account Holder Name	*Alphanumeric; 100 Characters; Mandatory* Specify the account holder name.
Account Number	*Alphanumeric; 34 Characters; Mandatory* Specify the account number.

4.16 Global Order Settlement Summary

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

Retrieve Global Order Settlement Record

1. On **Home** screen, type **UTSGOSTL** in the text box and click **Next**.

   The **Global Order Settlement Summary** screen is displayed.

2. On **Global Order Settlement Summary** screen, specify any or all of the following details in the corresponding fields:

   - The status of the transaction in the **Authorized** field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
   - The status of the records in the **Open** field. If you choose the blank space, then all the records are retrieved.
   - **GO Number**
   - **Transaction Date**
   - **GO Transaction Type**
   - **AMC ID**
   - **Fund ID**
   - **Transaction Mode**
   - **Transaction Category**
   - **Settlement Status**
   - **If you choose the blank space, then all the records are retrieved**.

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - View a Record
> - Edit a Record
> - Delete a Record
> - Authorize a Record
> - Amend an Authorized Record
> - Close a Record
> - Copy a Record

- View Global Order Settlement Record
  This topic provides the systematic instructions to view Global Order Settlement record.
- Edit Global Order Settlement Record
  This topic provides the systematic instructions to edit Global Order Settlement record.
- Delete Global Order Settlement Record
  This topic provides the systematic instructions to delete Global Order Settlement record.
- Authorize Global Order Settlement Record
  This topic provides the systematic instructions to authorize Global Order Settlement record.
- Amend Global Order Settlement Record
  This topic provides the systematic instructions to amend Global Order Settlement record.
- Copy Global Order Settlement Record
  This topic provides the systematic instructions to copy Global Order Settlement record.
- Close Global Order Settlement Record
  This topic provides the systematic instructions to close Global Order Settlement record.

4.16.1 View Global Order Settlement Record

This topic provides the systematic instructions to view Global Order Settlement record.

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

1. Start the **Global Order Settlement Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Global Order Settlement Detail** screen is displayed.

4.16.2 Edit Global Order Settlement Record

This topic provides the systematic instructions to edit Global Order Settlement record.

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

1. Start the **Global Order Settlement Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Global Order Settlement Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **Global Order Settlement Detail** screen is closed and the changes made are reflected in the **Global Order Settlement Summary** screen.

4.16.3 Delete Global Order Settlement Record

This topic provides the systematic instructions to delete Global Order Settlement record.

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

1. Start the **Global Order Settlement Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Settlement Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

4.16.4 Authorize Global Order Settlement Record

This topic provides the systematic instructions to authorize Global Order Settlement record.

An unauthorized Global Order Settlement record must be authorized in the system for it to be processed. Authorize a record as follows

1. Start the **Global Order Settlement Summary** 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. Select **Authorize** operation from the Action List.

4.16.5 Amend Global Order Settlement Record

This topic provides the systematic instructions to amend Global Order Settlement record.

After a Global Order Settlement Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **Global Order Settlement Summary** 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. Double-click the record that you wish to amend.

   The **Global Order Settlement Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.16.6 Copy Global Order Settlement Record

This topic provides the systematic instructions to copy Global Order Settlement record.

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

1. Start the **Global Order Settlement Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Global Order Settlement Detail** screen is displayed.
5. Click **Copy** from the action list to create a new record.

   The new record with the same detail is created.

4.16.7 Close Global Order Settlement Record

This topic provides the systematic instructions to close Global Order Settlement record.

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

1. Start the **Global Order Settlement Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

The **Global Order Settlement Detail** screen is displayed.

5. Click **Close** from the action list to create a new record.

   The record with the details are closed.
   You can re-open any closed record at a later point in time.

4.17 Global Order Status Summary

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

1. On **Home** screen, type **UTSGOENQ** in the text box, and click **Next**.

   The **Global Order Status Summary** screen is displayed.
   You can retrieve a previously entered Global Order Reconciliation Details as follows:

   - Invoke the **Global Order Status Summary** screen from the Browser.
   - Specify any or all of the following details in the screen:
   - Click **Search** button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen

2. On **Global Order Status Summary** screen, specify any or all of the following details in the corresponding fields:

   - The status of the transaction in the **Authorized** field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
   - The status of the records in the **Open** field. If you choose the blank space, then all the records are retrieved.
   - **GO Number**
   - **GO Date**
   - **AMC ID**
   - **Fund ID**
   - **GO Status**
   - **Latest Sequence Number**
   - **Unit Holder ID**

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

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

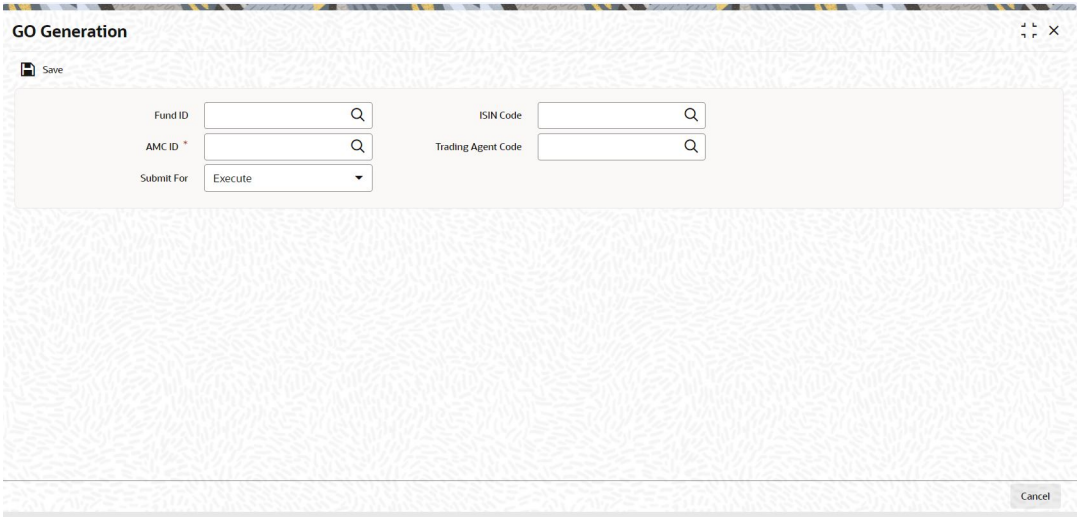
4.18 Process Global Order Generation Screen

This topic provides the instructions to process Global Order Generation.

1. On **Home** screen, type **UTDGENGO** in the text box, and click **Next**.

   The **Global Order Generation** screen is displayed.

Figure 4-11 Global Order Generation



2. On the **Global Order Generation** screen, specify the fields.

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

Table 4-15 Global Order Generation

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund IDs maintained in the system.
ISIN Code	*Alphanumeric; 25 Characters; Optional* The system displays the ISIN Code for the selected fund ID. However, you can amend this value. If you have selected fund ID, then the system displays the ISIN code and vice versa.
AMC ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC ID. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC IDs maintained in the system.
Trading Agent Code	*Alphanumeric; 12 Characters; Optional* Specify the trading agent code. Alternatively, you can select trading agent code from the option list. The list displays all valid trading agent codes maintained in the system.
Submit For	*Optional* Select the submit option from the drop-down list. The list displays the following values: • **Process** • **Execute**

4.19 Process Trading Transaction or Global Order Restriction Mapping

This task provides the instructions to maintain Global order restriction for various transaction types.

1. On **Home** screen, type **UTDTRDRS** in the text box, and click **Next**.

   The **Trading Transaction or Global Order Restriction Mapping** screen is displayed.

2. On **Trading Transaction or Global Order Restriction Mapping** screen, specify the fields.

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

Table 4-16 Trading Transaction or Global Order Restriction Mapping

Field	Description
Transaction Type	*Alphanumeric; 2 Characters; Mandatory* Specify the type of transaction to be mapped for restriction. Alternatively, you can select transaction type from the option list. The list displays all valid transaction type maintained in the system.

Table 4-17 Trading Transaction or Global Order Restriction Mapping

Field	Description
Restrict For	*Alphanumeric; 2 Characters; Mandatory* Specify the restricted options. Alternatively, you can select restricted options from the option list. The list displays all valid restricted options maintained in the system.
Restriction Category	*Alphanumeric; 12 Characters; Mandatory* Specify the restriction category. Alternatively, you can select restriction category from the option list. The list displays all valid restriction category maintained in the system.

4.20 Trading Transaction or Global Order Restriction Mapping Summary

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

Retrieve a Trading Transaction or Global Order Restriction Mapping Record

1. On **Home** screen, type **UTSTRDRS** in the text box, and click **Next**.

   The **Trading Transaction or Global order Restriction Mapping Summary** screen is displayed.

2. On **Trading Transaction or Global order Restriction Mapping Summary** 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**
- **Transaction Type**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input the Fund ID
> - Press F8

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 the record for Fund ID by using the combination of percentage and alphanumeric value as follows:

   - Search by A percentage:- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
   - Search by percentage 7:- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.
   - Search by percentage 17:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

- Edit Trading Transaction or Global Order Restriction Mapping Record
  This topic provides the systematic instructions to edit Trading Transaction or Global Order Restriction Mapping record.
- View Trading Transaction or Global Order Restriction Mapping Record
  This topic provides the systematic instructions to view Trading Transaction or Global Order Restriction Mapping record.
- Delete Trading Transaction or Global Order Restriction Mapping Record
  This topic provides the systematic instructions to delete Trading Transaction or Global Order Restriction Mapping record.
- Authorize Trading Transaction or Global Order Restriction Mapping Record
  This topic provides the systematic instructions to authorize Trading Transaction or Global Order Restriction Mapping record.
- Amend Trading Transaction or Global Order Restriction Mapping Record
  This topic provides the systematic instructions to amend Trading Transaction or Global Order Restriction Mapping record.
- Authorize an Amended Trading Transaction or Global Order Restriction Mapping Record
  This topic provides the systematic instructions to authorize amended Trading Transaction or Global Order Restriction Mapping record.

4.20.1 Edit Trading Transaction or Global Order Restriction Mapping Record

This topic provides the systematic instructions to edit Trading Transaction or Global Order Restriction Mapping record.

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

1. Start the **Trading Transaction or Global order Restriction Mapping** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Trading Transaction or Global order Restriction Mapping Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Trading Transaction or Global order Restriction Mapping Detail** screen is closed and the changes made are reflected in the **Trading Transaction or Global order Restriction Mapping** screen.

4.20.2 View Trading Transaction or Global Order Restriction Mapping Record

This topic provides the systematic instructions to view Trading Transaction or Global Order Restriction Mapping record.

View a record that you have previously input by retrieving the same in the Cheque Writing Status Summary screen. Perform this operation as follows:

1. Start the **Trading Transaction or Global order Restriction Mapping** 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. Double-click the record that you want to view in the list of displayed records.

   The **Trading Transaction or Global order Restriction Mapping** screen is displayed.

4.20.3 Delete Trading Transaction or Global Order Restriction Mapping Record

This topic provides the systematic instructions to delete Trading Transaction or Global Order Restriction Mapping record.

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

1. Start the **Trading Transaction or Global order Restriction Mapping** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Trading Transaction or Global order Restriction Mapping Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.20.4 Authorize Trading Transaction or Global Order Restriction Mapping Record

This topic provides the systematic instructions to authorize Trading Transaction or Global Order Restriction Mapping record.

Authorize an unauthorized Cheque Writing Status record in the system for it to be processed as follows:

1. Start the **Trading Transaction or Global order Restriction Mapping** 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. Double-click the record that you wish to authorize.

   The **Trading Transaction or Global order Restriction Mapping Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

4.20.5 Amend Trading Transaction or Global Order Restriction Mapping Record

This topic provides the systematic instructions to amend Trading Transaction or Global Order Restriction Mapping 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 **Trading Transaction or Global order Restriction Mapping** 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. Double-click the record that you wish to amend.

   The **Trading Transaction or Global order Restriction Mapping Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.20.6 Authorize an Amended Trading Transaction or Global Order Restriction Mapping Record

This topic provides the systematic instructions to authorize amended Trading Transaction or Global Order Restriction Mapping record.

- Authorize an amended Cheque Writing Status record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

4.21 ISA Transfer

This topic provides information on ISA Transfer.

This topic contains the following sub-topics:

- Maintain ISA Transfer
  This topic provides information about the maintaining ISA transfer details.
- Process One Legged Transfer
  This topic provides the instructions to process One Legged Transfer Screen.
- Validate ISA Transactions
  This topic provides information about validating ISA transactions details.

4.21.1 Maintain ISA Transfer

This topic provides information about the maintaining ISA transfer details.

You can maintain ISA trfansfer details using **One Legged Transfer** screen. This screen supports the following transactions:

- Transfer out
- Transfer in
- In Specie Transfer out
- In Specie Transfer in

Table 4-18 Maintaining ISA Transfer

Fields	Description
Transfer Out	This is a one legged transfer which is used to redeem holdings. On selecting the transfer out option, the system will auto calculate the number of units and will populate the Fund Grid. Transfer out will be a Redemption transactions and it will go as per aging logic maintained at fund level. The system will generate the underlying Transactions by units on authorisation of the transaction in the Transaction value field of the detail section. Under this One-legged Transfer, when all transactions are generated successfully, a unique reference number will be generated and this reference will be reference number for underlying transactions. The system will generate the redemption transactions on authorisation of this one-legged transfer. While generating if one of the transactions fail due to any of the validations, all underlying transactions will be rolled back. For failed transaction, the system will display an error message. The payment preference maintained at the time of Uh creation will be used as settlement mode. Transfer out can be used for ISA/non ISA accounts
Transfer In	This is a one legged amount based transfer. You can enter the transfer amount and fund details. On authorisation, the system will generate authorised subscription transactions at the fund Level. A new ref type (OI - One Legged Transfer In) will be available for such transfers.The settlement mode for such transactions will be cash. The Current Year ISA Subscription Amount will be used to update the ISA Limits. The system will validate the ISA amounts against the existing limits if the Unitholder Account already exists. If the ISA transfer in transaction exceeds the ISA allowance/ limit for the current tax year then on authorization of the transaction the system display an error message as “Exceeds the ISA allowance for the current tax year”. The system will consider the current ISA Transfer in transactions at the time of ISA allowance/ limit computation for the tax year. The system will not allow backdated transfers. However, you can record date of transfer which can be back dated. The system will use amount captured in the current year ISA subscription amount limit field to update utilised amount for the unitholder

Table 4-18 (Cont.) Maintaining ISA Transfer

Fields	Description
In Specie Transfer Out	An investor can Transfer out his ISA account to another ISA manager during the current ISA tax year. This will essentially be a one- legged unit based transaction. Following are the different options available: • Any year ISA - The system will auto calculate number of units that can be transferred and will populate the fund Grid. • Previous Year ISA full – The system will auto calculate number of units that can be transferred and will lock the fund grid • Current year ISA- The system will auto calculate number of units that can be transferred and will lock the fund grid • Previous year ISA partial – The system will auto calculate number of units that can be transferred. However, you can modify this. On authorisation of the record, the system will generate redemption transactions at the Fund Level. In specie redemption transactions will have payment mode as 'In Kind' In specie Transfer Out will record these transfers.While saving, the system will automatically populate the Current Year ISA Subscription Amount and the Previous Year ISA amounts. If any un-allotted transactions are available at the time of ISA Transfer out transactions, the system will display an error message as "Un-Allotted Transactions available. Please do the Transfer once all Units are Priced!". After an Any year ISA, the system will transfer the transactions,. If there is an investment in the ISA account then the system will display an error message as "ISA account transferred New investments not allowed" while saving **Note:** This will not apply for system generated transactions. This check will only be done for the Tax Year when the Full Transfer was done. Post that tax year this validation will not be applied. 5-70 If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session time out. This is applicable for both online and gateway users. The system will display G1/G2 split of units (at fund level) under transfer. This will also be applicable to non ISA accounts.

Table 4-18 (Cont.) Maintaining ISA Transfer

Fields	Description
In-specie Transfer-In	You can transfer your ISA account to another ISA manager during the current ISA tax year by either a complete ISA transfer or a Partial ISA transfer. This will essentially be a one- legged unit based transaction. The system will allow you to select ISA manger and based on the ISA manager chosen, the system will validate the transfer in funds against the list of funds mapped to ISA manager. If the fund does not exist in the list maintained at the Entity level then the system will display the an error message as “Fund not in Acceptance list for ISA manager”. The validation will be based on the Fund ID and the New ISA manager captured at the time of in-specie Transfer in transaction. This will be unit based transfer, you will not be allowed to enter Amount. On authorisation of the record, the system will generate an authorized Net Unit-based Subscription Transactions at the Fund Level. Inspecie Transfer In will be made available for these transactions.The settlement mode for these transactions will be ‘In Kind’. The Current Year ISA Subscription Amount will be used to validate the ISA Limits. If the ISA transfer in transaction exceeds the ISA allowance/ limit for the current tax year, then on save of the transaction the system displays an error message as “Exceeds the ISA allowance for the current tax year” The system will consider the current ISA Transfer in transactions at the time of ISA allowance/ limit computation for the tax year. You can record G1/G2 split of units under transfer at fund level. Backdated transfers will not be allowed. There will be no limit validation for previous year ISA transfer in. The previous year ISA transfer in date can be lesser than account opening date. First ISA transaction date will also be recorded during transaction capture. **Note:** System generated OLT transactions cannot be amended through transaction screens.

4.21.2 Process One Legged Transfer

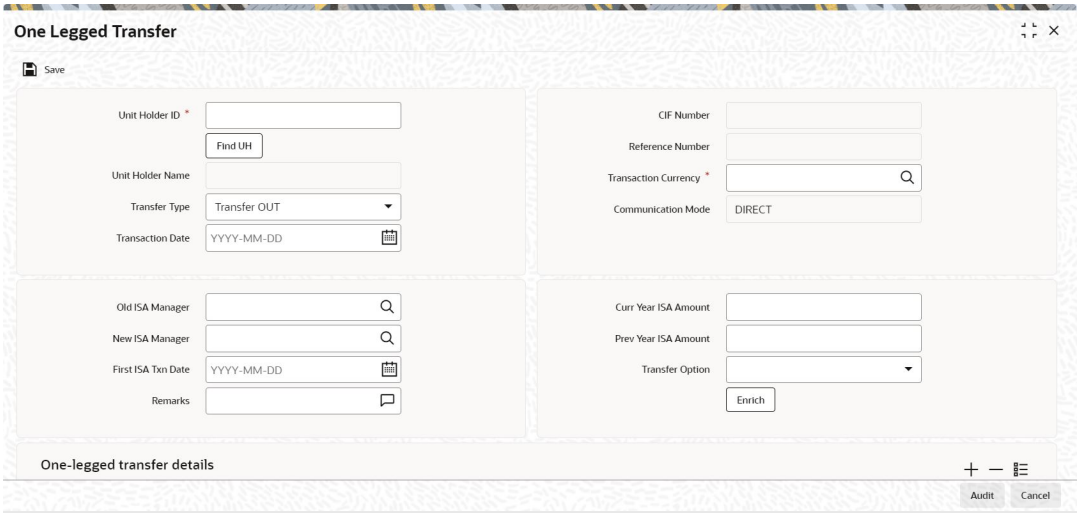
This topic provides the instructions to process One Legged Transfer Screen.

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

1. On **Home** screen, type **UTDOLT** in the text box and click **Next**.

   The **One Legged Transfer** screen is displayed.

Figure 4-12 One Legged Transfer



2. On **One Legged Transfer** screen, specify the fields.

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

Table 4-19 One Legged Transfer

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the Unit Holder ID If you click on **Find UH** button, the following fields are displayed:
Unit Holder Name	*Display* The system displays the unit holder name for the selected Unit Holder ID while saving.
CIF Number	*Display* The system displays the customer ID.
Reference Number	*Display* The system displays the reference name
Transfer Type	*Optional* Select the type of transfer from the adjoining drop-down list. Following are the options available. • **Transfer OUT** • **Transfer IN** • **In specie transfer out** • **In specie transfer in**
Transaction Date	*Date Format; Mandatory* Specify the transaction date.
Transaction Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the transaction currency.
Settlement Amount	*Numeric; 30 Characters; Mandatory* Specify the settlement amount.
Communication Mode	*Display* The system displays the mode of communication.

Table 4-19 (Cont.) One Legged Transfer

Field	Description
Old ISA Manager	*Alphanumeric; 12 Characters; Optional* Specify old ISA Manager details. This adjoining option list displays all valid old ISA manager details maintained in the system. You can choose the appropriate one
New ISA Manager	*Alphanumeric; 12 Characters; Optional* Specify new ISA Manager details. This adjoining option list displays all valid new ISA manager details maintained in the system. You can choose the appropriate one.
First ISA Txn Date	*Date Format; Optional* Specify first ISA transaction date.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Curr Year ISA Amount	*Numeric; 18 Characters; Optional* Specify the current year ISA amount.
Prev Year ISA Amount	*Numeric; 18 Characters; Optional* Specify the previous year ISA amount.
Transfer Option	*Optional* Select the transfer option from the adjoining drop-down list. Following are the options available: • **Any Year ISA** • **Prev Year ISA** • **Current Year ISA** • **ISA Partia**

Table 4-20 One Legged Transfer - One-Legged Transfer Details

Field	Description
Transaction Number	*Display* The system displays the transaction number on authorization.
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the fund ID. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.
Fund Name	*Display* The system displays the name of the fund for the selected fund ID.
Units	*Display* Specify the in-specie transfer in units. This field is enabled only for in-specie transfer in type of transaction.
G1 Units	*Numeric; 27 Characters; Optional* Specify the in-specie transfer in G1 units. This field is enabled only for in-specie transfer in type of transaction.
G2 Units	*Numeric; 27 Characters; Optional* Specify the in-specie transfer in G2 units. This field is enabled only for in-specie transfer in type of transaction.
Amount	*Numeric; 18 Characters; Optional* Specify the transfer amount.

4.21.3 Validate ISA Transactions

This topic provides information about validating ISA transactions details.

Any **IN** transaction captured for unitholder ID having account type as ISA will be validated for breach of overall limit within the date range maintained for the account type in **Account Type Maintenance** screen.The validation will be based on transaction date. This validation is only for the mapped ref types.

If any backdated transactions are entered for previous year (less than from date), the system will display the warning message as **Entered transaction does not belong to current period Do you wish to continue?**.

Limit validations will be done for transactions entered for previous ISA year.

If any future dated transactions are entered for coming tax year (greater than To date), the system will display the warning message as **Entered transaction does not belong to current period- Do you wish to continue?**.

Limit validations will be done for transactions entered for coming ISA year.

ISA validations will again be subject to appropriate ref type being mapped in the **Account Type Maintenance** screen. If ref type is not mapped in **Account Type Maintenance** screen, the transaction will not be validated for limit breach validation.

If an IN transaction is reversed or cancelled utilized amount will be reset.

If a transaction is breaching ISA limit maintained at account type level, then the system will display a warning message.

Gross amount in Fund base currency will be used to validate the amount limit breach. For user entered transaction, there will be online check if the transaction amount is breaching the limit. For unit based transactions, the system will use the latest available NAV to calculate the amount.

In case of cross currency transactions,,latest exchange rate maintained for default source will be used when account type currency is different from fund base currency.

In case of standing instructions, there will be no validations during setup. During SI transaction generation, the system will validate for overall limit breach and if breaching will not generate the SI transaction, it will log in error table.

Apart from online check, there will be limit breach check at allocation level. Any transaction breaching the overall limit will not be allocated.

4.22 One Legged Transfer Summary

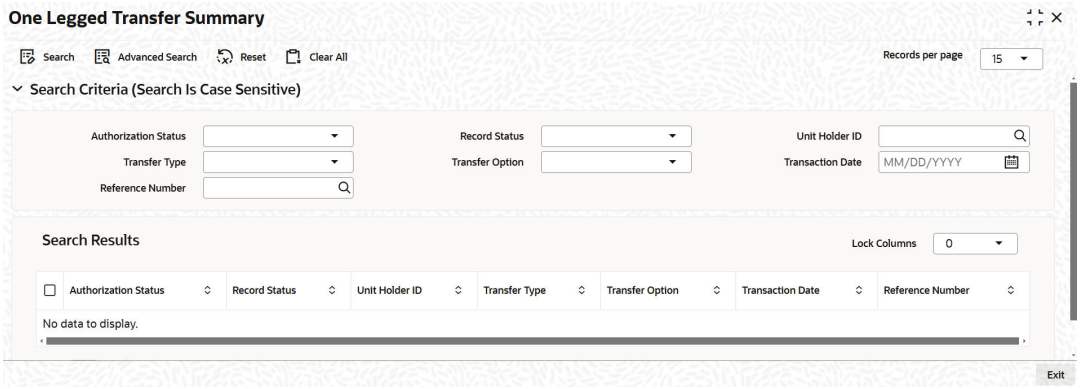
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve ISA Transfer Details

1. On **Home** screen, type **UTSOLT** in the text box, and click **Next**.

   The **One Legged Transfer Summary** screen is displayed.

Figure 4-13 One Legged Transfer Summary



2. On **One Legged Transfer Summary** screen, specify any or all of the following details in the corresponding fields:
   - The status of the transaction in the **Authorized** field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria
   - **Unit Holder ID**
   - **Transfer Type**
   - **Transfer Option**
   - **Transaction Date**
   - **Reference Number**
   - I**f you choose the blank space, then all the records are retrieved**.
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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

   You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:
   - Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example:- AGC17,AGVO6,AGC74 etc.
   - Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example: AGC17, GSD267, AGC77 etc.

- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- Edit ISA Transfer Details
  This topic provides the systematic instructions to edit ISA Transfer Details.
- View ISA Transfer Details
  This topic provides the systematic instructions to view ISA Transfer Details.
- Delete ISA Transfer Details
  This topic provides the systematic instructions to delete ISA Transfer Details.
- Authorize ISA Transfer Details
  This topic provides the systematic instructions to authorize ISA Transfer Details.
- Amend ISA Transfer Details
  This topic provides the systematic instructions to amend ISA Transfer Details.

4.22.1 Edit ISA Transfer Details

This topic provides the systematic instructions to edit ISA Transfer Details.

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

1. Start the **One Legged Transfer Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **One Legged Transfer** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **One Legged Transfer** screen is closed and the changes made are reflected in the **One Legged Transfer Summary** screen.

4.22.2 View ISA Transfer Details

This topic provides the systematic instructions to view ISA Transfer Details.

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

1. Start the **One Legged Transfer Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **One Legged Transfer** screen is displayed.

4.22.3 Delete ISA Transfer Details

This topic provides the systematic instructions to delete ISA Transfer Details.

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

1. Start the **One Legged Transfer Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **One Legged Transfer** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.22.4 Authorize ISA Transfer Details

This topic provides the systematic instructions to authorize ISA Transfer Details.

An unauthorized FCIS Subscription Transaction Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **One Legged Transfer Summary** 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. Double-click the record that you wish to authorize.

   The **One Legged Transfer** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

4.22.5 Amend ISA Transfer Details

This topic provides the systematic instructions to amend ISA Transfer Details.

After a FCIS Subscription Transaction Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **One Legged Transfer Summary** 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. Double-click the record that you wish to amend.

   The **One Legged Transfer** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.23 Distribution Void Detail

This topic provides information on Distribution Void Detail.

This topic contains the following sub-topics:

- Process Distribution Void Detail
  This topic provides the instructions to do void processing at UH and transaction level.
- Validate ISA Void
  This topic provides information about validating ISA void .

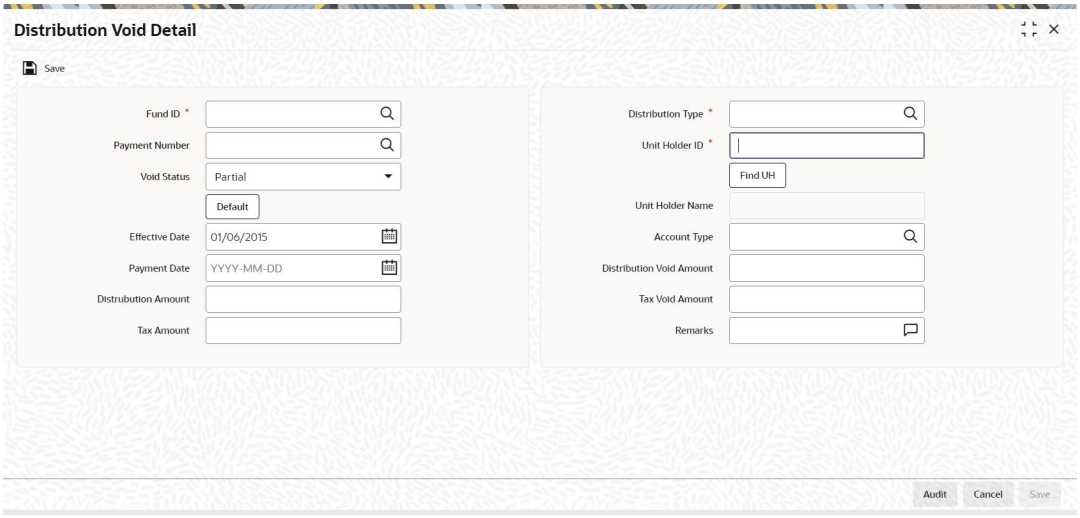
4.23.1 Process Distribution Void Detail

This topic provides the instructions to do void processing at UH and transaction level.

1. On **Home** screen, type **UTDDVOID** in the text box, and click **Next**.

   The **Distribution Void Detail Screen** screen is displayed.

Figure 4-14 Distribution Void Detail



2. On **Distribution Void Detail Screen** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 4-21 Distribution Void Detail Screen

Fields	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.
Payment Number	*Alphanumeric; 5 Characters; Mandatory* Specify the payment number. This adjoining option list displays all valid payment number maintained in the system. You can choose the appropriate one.
Void Status	*Optional* Select the void status from the adjoining drop-down list. The list displays the following values: • **Full** • **Partial** • **Un-Void**
Distribution Type	*Alphanumeric; 1 Character; Mandatory* Select the type of distribution. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder ID. You can also click on 'Fund UH' button to select the valid unit holder ID.
Unit Holder Name	*Display* The system displays the unit holder name for the selected unit holder ID.
Void Status	*Optional* Select the void status from the drop-down list. The list displays the following values: • **Full** • **Partial** • **Un-Void**

Table 4-21 (Cont.) Distribution Void Detail Screen

Fields	Description
Effective Date	*Date Format; Mandatory* Specify the application date.
Payment Date	*Date Format; Optional* Specify payment date.
Distribution Amount	*Numeric; 30 Characters; Optional* Specify the distribution amount.
Tax Amount	*Numeric; 30 Characters;Optional* Specify the valid tax amount.
Account Type	*Alphanumeric; 2 Characters; Optional* Select the type of account. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.
Distribution Void Amount	*Numeric; 30 Characters; Optional* Specify the distribution void amount. This field is enabled only if you have selected **Void Status** as **Partial**.
Tax Void Amount	*Numeric; 30 Characters; Optional* Specify the distribution void amount. This field is enabled only if you have selected **Void Status** as **Partial**
Remarks	*Alphanumeric; 255 Characters; Mandatory* Specify remarks, if any.

4.23.2 Validate ISA Void

This topic provides information about validating ISA void .

Distribution Void

You can maintain partial Voids and full amount void values at a unit holder distribution level using distribution void feature.

You can mark the distribution record as fully void or partially void by selecting Full/Partial option in ‘Void Status’ field.

If you select ‘Partial void’ option, then you can provide the Void Distribution amount and the void Tax amount. You can also amend this maintenance and change the status to Blank.

You can amend the distribution void amount and distribution void tax amount with effective date being the application date. The system will store the latest effective date record in the system as latest record which will be available for amending the void record.

The distribution void processing is only for reporting purpose and will not have any systemic impact on tax credit.

Tax Credit

You can process tax credit transactions by providing the details such as fund ID dividend payment number, account type. the system will default the tax credit date to the application date. Based on this, any tax deducted from the unitholder will be credited back to the unitholder.

In case, if the unitholder is marked as void or any transaction belonging to unitholder is marked as Void, then the tax credit will not happen the system will mark the record as error and log the details into a table.

Tax credit Reversal batch will trigger reversal of Tax credit reinvestments and Tax credit payments.

To reverse the Tax Credit Reinvestment transaction, you will have to select the Fund and Processing mode as reverse so that payment number are available for selection. On selection of payment number and entering remarks, you should run the reversal batch process.

Payment numbers which are gone through Tax Credit processing will only be available for reversal processing. If Tax Credit Reversal has been performed for a payment, such payment number will be available for Tax Credit processing again. However, such payment number will not be available for Tax Credit Reversal processing until such payment is go through Tax Credit processing subsequently

On Reversal of Tax Credit, the system will place reversal entries for tax credits reinvested and internally track reversal of tax credit payments. You should reverse after the paydate with the system treating the reversal of reinvestment transactions and payments in the same way the distribution reversal process does.

On successful reversal processing, if there are dependent transactions like redemptions, switch out and transfer out linked to tax credit Reinvestments, then such transactions will not be reversed and these details will be logged.

In case the dividend is reversed before tax credit processing, then such dividends will not come for Tax Credit Processing. In case dividend is reversed after tax credit processing, you will have to reverse the tax credit separately.

If Dividend is amended, then revised dividends will come for Tax credit processing. In such case, revised Tax amount will come for credit processing for dividend payments and reinvestments. If you amend the dividend after tax credit, in such case, tax credit will to be reversed and reprocessed.

Dividend Reversals

If dividend is reversed after tax credit, the dividend reversal or dividend reprocess batch will not trigger the reversal of Tax Credit transactions, because Dividend reprocessing and Tax Credit batch is independent activities. You will have to manually trigger tax credit reversal batch

4.24 Distribution Void Summary

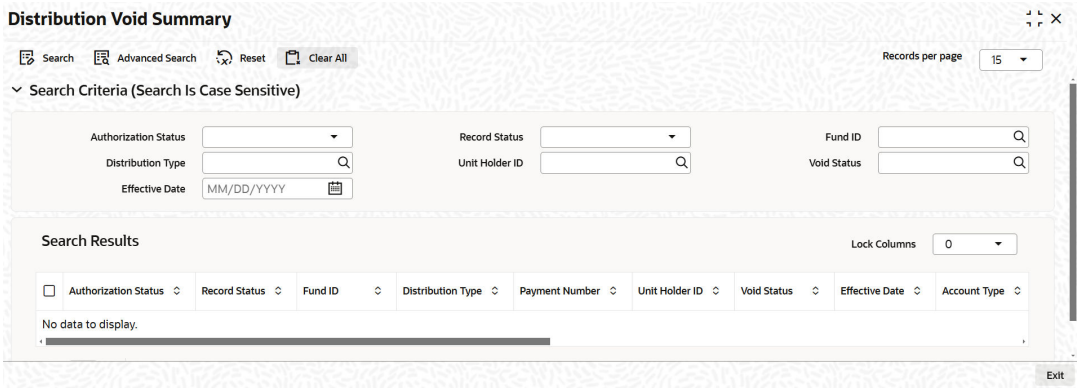
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Void Details

1. On **Home** screen, type **UTSDVOID** in the text box, and click **Next**.

   The **Distribution Void Summary** screen is displayed.

Figure 4-15 Distribution Void Summary



2. On **Distribution Void Summary** 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**
   - **Fund ID**
   - **Unit Holder ID**
   - **Effective Date**
   - **Distribution Type**
   - **Void Status**
   - If you choose the **blank** space, then all the records are retrieved.
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

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.

   You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:
   - Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example, AGC17,AGVO6,AGC74 etc.

- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value' 7'. For example, AGC17,GSD267,AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example, GSD217,GSD172, AGC17 etc.

- Edit Void Details
  This topic provides the systematic instructions to edit Void Details.
- View Void Details
  This topic provides the systematic instructions to view Void Details.
- Delete Void Details
  This topic provides the systematic instructions to Delete Void Details.
- Authorize Void Details
  This topic provides the systematic instructions to authorize Void Details.
- Amend Void Details
  This topic provides the systematic instructions to amend Void Details.

4.24.1 Edit Void Details

This topic provides the systematic instructions to edit Void Details.

Modify the Void Details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Distribution Void Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Distribution Void Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Distribution Void Detail** screen is closed and the changes made are reflected in the **Distribution Void Summary** screen.

4.24.2 View Void Details

This topic provides the systematic instructions to view Void Details.

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

1. Start the **Distribution Void Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Distribution Void Detail** screen is displayed.

4.24.3 Delete Void Details

This topic provides the systematic instructions to Delete Void Details.

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

1. Start the **Distribution Void Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Distribution Void Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

4.24.4 Authorize Void Details

This topic provides the systematic instructions to authorize Void Details.

An unauthorized fund restriction record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **Distribution Void Summary** 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. Double-click the record that you wish to authorize.

   The **Distribution Void Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

4.24.5 Amend Void Details

This topic provides the systematic instructions to amend Void Details.

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

1. Start the **Distribution Void Summary** 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. Double-click the record that you wish to amend.

   The **Distribution Void Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

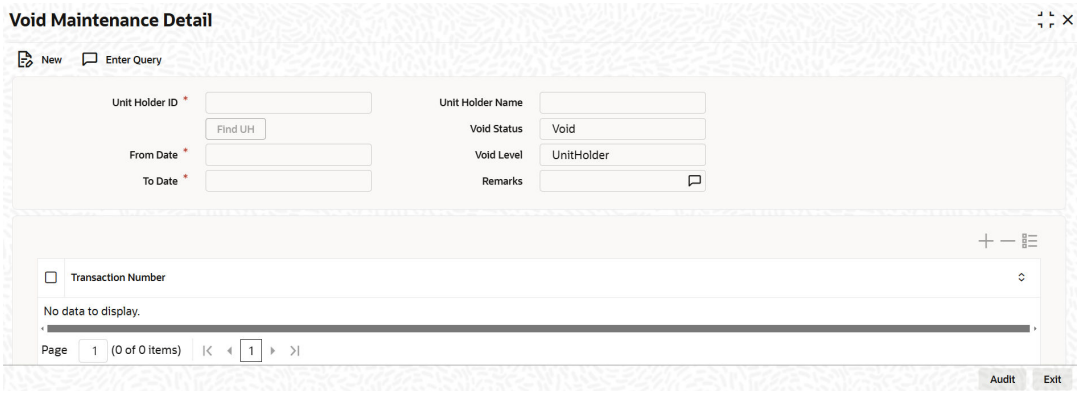
4.25 Process Void Maintenance Detail

This topic provides the instructions to perform void processing at UH and transaction level.

1. On **Home** screen, type **UTDVOID** in the text box, and click **Next**.

   The **Void Maintenance Detail** screen is displayed.

Figure 4-16 Void Maintenance Detail



2. On **Void Maintenance Detail** screen, specify the fields.

   For information on fields in the screen, refer the below table.

Table 4-22 Void Maintenance Detail

Fields	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder ID. You can also click on 'Fund UH' button to select the valid unit holder ID.
Unit Holder Name	*Display* The system displays the unit holder name for the selected unit holder ID.
From Date	*Date Format; Mandatory* Select the date from when the void details needs to be maintained from the adjoining calendar.
To Date	*Date Format;* Select the date till when the void details needs to be maintained from the adjoining calendar.
Void Status	*Optional* Select the void status the drop-down list. The list displays the following values: • **Void** • **Un-Void**
Void Level	*Optional* Select the void status the drop-down list. The list displays the following values: • **UnitHolder** • **Transaction**
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number, Alternatively, you can select transaction number from the option list. The list displays all valid transaction number maintained in the system.

4.26 Void Maintenance Summary

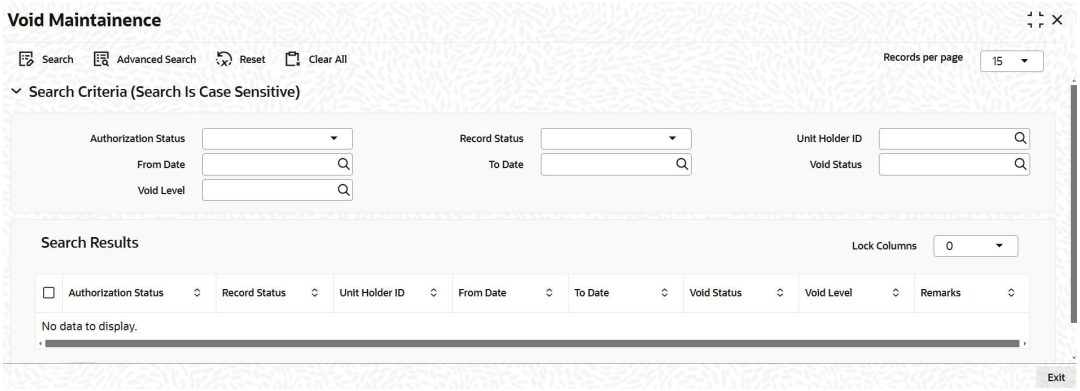
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Void Maintenance Details

1. On **Home** screen, type **UTSVOID** in the text box, and click **Next**.

   The **Void Maintenance** screen is displayed.

Figure 4-17 Void Maintenance



2. On **Void Maintenance** 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**
   - **Unit Holder ID**
   - **From Date**
   - **To Date**
   - **Void Status**
   - **Void Level**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input Fund ID
> - Press F8

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.

   You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:

   - Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example, AGC17,AGVO6,AGC74 etc.
   - Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example, AGC17,GSD267,AGC77 etc.

- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example, GSD217,GSD172, AGC17 etc.

- Edit Void Maintenance Details
  This topic provides the systematic instructions to edit Void Maintenance Details.
- View Void Maintenance Details
  This topic provides the systematic instructions to view Void Maintenance Details.
- Delete Void Maintenance Details
  This topic provides the systematic instructions to delete Void Maintenance Details.
- Authorize Void Maintenance Details
  This topic provides the systematic instructions to authorize Void Maintenance Details.
- Amend Void Maintenance Details
  This topic provides the systematic instructions to amend Void Maintenance Details.

4.26.1 Edit Void Maintenance Details

This topic provides the systematic instructions to edit Void Maintenance Details.

Modify the details of a cheque book request record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **Void Maintenance Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Void Maintenance Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Void Maintenance Detail** screen is closed and the changes made are reflected in the **Void Maintenance Summary** screen.

4.26.2 View Void Maintenance Details

This topic provides the systematic instructions to view Void Maintenance Details.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **Void Maintenance Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Void Maintenance Detail** screen is displayed.

4.26.3 Delete Void Maintenance Details

This topic provides the systematic instructions to delete Void Maintenance Details.

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

1. Start the **Void Maintenance Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Void Maintenance Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.26.4 Authorize Void Maintenance Details

This topic provides the systematic instructions to authorize Void Maintenance Details.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **Void Maintenance Summary** 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. Double-click the record that you wish to authorize.

   The **Void Maintenance Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

4.26.5 Amend Void Maintenance Details

This topic provides the systematic instructions to amend Void Maintenance Details.

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 **Void Maintenance Summary** 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. Double-click the record that you wish to amend.

   The **Void Maintenance Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.27 Intra-day Checks for Transactions

This topic provides information on Intra-day Checks for Transactions.

This topic contains the following sub-topics:

- Process Intra-day Transaction Check
  This topic provides the instructions to process Intra-day Transaction Check Screen.
- Pre-EOD Check for Intra-day Transaction Validation
  This topic provides the information about Pre-EOD check for intra-day transaction validation

4.27.1 Process Intra-day Transaction Check

This topic provides the instructions to process Intra-day Transaction Check Screen.

For a fund, limits on transaction volumes (minimum and maximum limits for both amount and units) are defined in the Transaction Processing Rules, for each transaction type. The limits so defined are validated whenever individual transactions are allocated in the system.

You may require the transaction limits for a fund to be checked for and enforced at any of the following levels of aggregation:

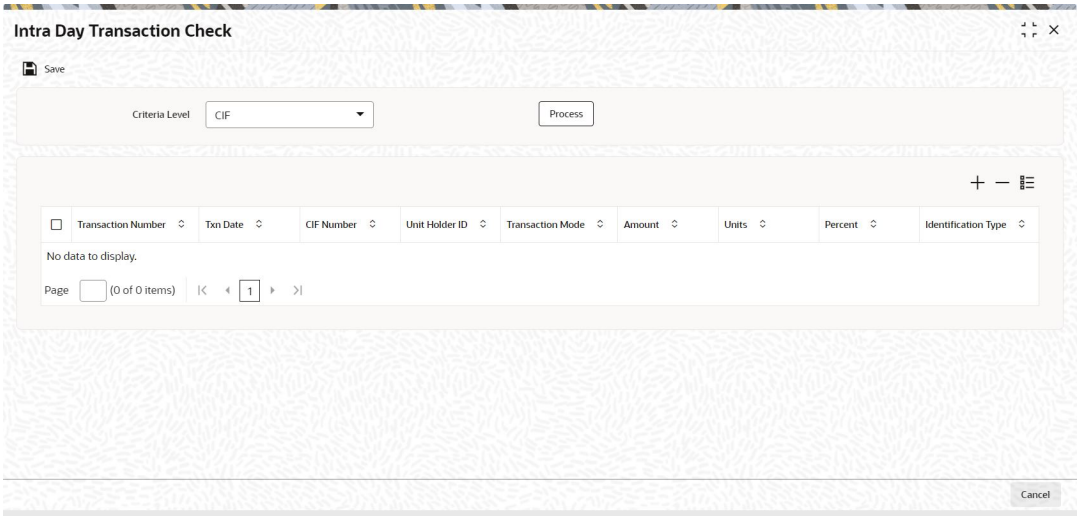
- For transactions across all unit holder accounts transacting in a fund.
- For transactions across all accounts in a CIF which transacts in the fund.
- For transactions across all identification types and identification numbers transacting in the fund.

To specify the level at which the check must be performed, you can use the Intra-Day Transaction Check screen, which you can invoke from the Fund Manager menu.

1. On **Home** screen, type **UTDIDYCK** in the text box, and click **Next**.

   The **Intra-Day Transaction Check** screen is displayed.

Figure 4-18 Intra-Day Transaction Check



2. On **Intra-Day Transaction Check** screen, specify the fields.

   For more information, refer the field description table.

Table 4-23 Intra-Day Transaction Check

Field	Description
Criteria Level	*Optional* Specify the aggregation level at which the check must be performed. Select the level at which transactions must be aggregated for enforcement of the transaction limit check from the drop-down list. The system aggregates all unallocated transactions into each fund at the level you have specified, and displays those transactions that violate the limits maintained in the Transaction Processing Rules for the fund. The list displays the following values: • **CIF** - Across all accounts in a CIF which transacts in the fund • **Unit Holder** - Across all unit holder accounts transacting in a fund • **Identification Number** - Across all identification types and identification numbers transacting in a fund.

3. Click **Process** button to apply the check.

   The system aggregates all the unallocated transactions into each fund at the level you have specified, and displays those transactions that violate the limits maintained in the Transaction Processing Rules for the fund.
   The system displays the following values:

   - **Transaction Number**
   - **Transaction Date**
   - **CIF Number**
   - **Unit Holder ID**
   - **Transaction Mode**
   - **Amount**
   - **Units**

- **Percent**
- **Identification Type**
- **Identification Number**

4.27.2 Pre-EOD Check for Intra-day Transaction Validation

This topic provides the information about Pre-EOD check for intra-day transaction validation

During the Pre-EOD processes, the system checks for the transactions that violate the minimum / maximum limits defined for the fund, aggregated at CIF level, and ensures that they are not put through.

Intra-day Check – Example

In the Transaction Processing Rules, the following minimum and maximum limits have been maintained:

Table 4-24 Intra-day Check – Example

Fund ID	Transaction Type	Minimu m Amount	Maximum Amount	Minimum Units	Maximum Units
Royal Trust Growth Fund	Subscription	1,000	10,000,000	100	1,000,000

The details of unit holders transacting in the Royal Trust Growth Fund are as follows:

Table 4-25 Unit Holder details

Unit Holder ID	CIF	Account Type	Identification Type	Identification Number
UH1	CIF1	CPFOA	NRIC	N0001
UH2	CIF1	CPFSA	NRIC	N0001
UH3	CIF1	Cash	Passport	A80899
UH4	CIF2	ASPFOA	NRIC	N0001

The following transactions are entered into the Royal Trust Growth Fund:

Table 4-26 Transaction Details

Transac tion Number	Unit Holder	CIF	Transaction Type	Transaction Mode	Amount	Units
S1	UH1	CIF1	Subscription	Amount	10,000,0 00	
S2	UH2	CIF1	Subscription	Units		
S3	UH3	CIF1	Subscription	Amount	900	1,000,00 0
S4	UH4	CIF2	Subscription	Units		90

When the intra-day check is enforced, the following transactions violate the check:

At Unit Holder aggregation level

The transactions S3 and S4 are displayed in the Intra-Day Transaction Check screen, since the transaction volumes are below the minimum transaction amount and minimum transaction units for subscription maintained for the fund in the Transaction Processing Rules.

At CIF aggregation level

The transactions S1 and S3 are summed for CIF 1, and the sum (10,000,900) exceeds the maximum amount for subscription transactions for the Royal Trust Growth Fund. Therefore, S1 and S3 are displayed in the Intra-Day Transaction Check screen.

Also, the number of units for transaction S2 falls below the minimum units for subscription transactions for the Royal Trust Growth Fund. Therefore, S2 is displayed in the Intra-Day Transaction Check screen.

At Identification Number level

The transactions S2 and S4 are summed for NRIC – N0001, and the sum (10,000,090 units) exceeds the maximum units for subscription transactions for the Royal Trust Growth Fund. Therefore, S2 and S4 are displayed in the Intra-Day Transaction Check screen.

Also, the number of units for transaction S3 falls below the minimum amount for subscription transactions for the Royal Trust Growth Fund. Therefore, S3 is displayed in the Intra-Day Transaction Check screen.

4.28 Unit Holder Portfolio Readjustment Details

This topic provides information on Unit Holder Portfolio Readjustment Details.

This topic contains the following sub-topics:

- Readjust Unit Holder Portfolio
  This topic provides detailed instructions to readjust unit hholder portfolio details.
- Process Readjustment Portfolios
  This topic provides information about Processing Readjustment Portfolios details.

4.28.1 Readjust Unit Holder Portfolio

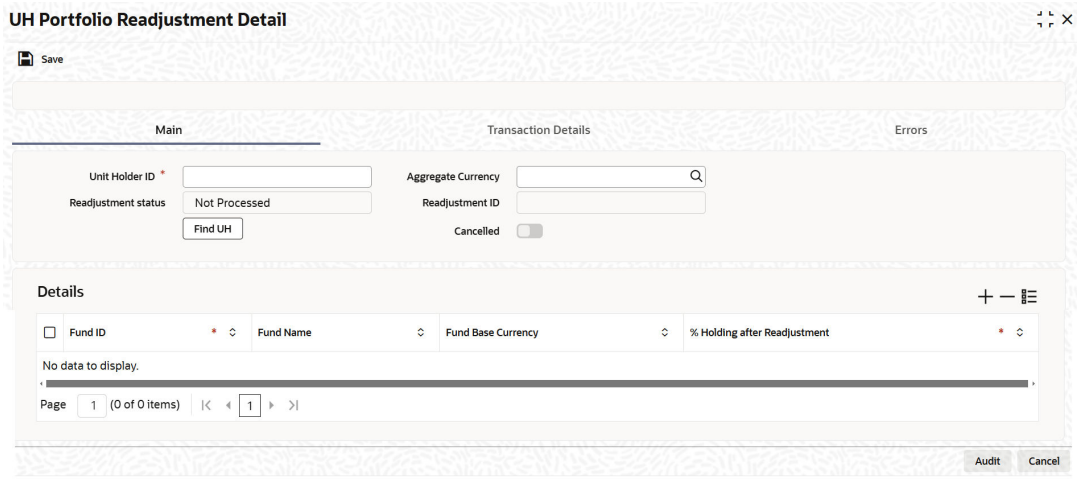
This topic provides detailed instructions to readjust unit hholder portfolio details.

You can define percentage of the readjusted portfolio fund wise for a given Unit Holder using the **Readjustment of UH Portfolio** screen. Based on this percentage defined, the system will readjust portfolio by means of switch/pseudo switch on the given funds of the unit holder. All the switch and pseudo switch transactions are unit based transactions

1. On **Home** screen, type **UTDUHPR** in the text box, and click **Next**.

   The **UH Portfolio Readjustment Detail** screen is displayed.

Figure 4-19 UH Portfolio Readjustment Detail - Main



2. On **UH Portfolio Readjustment Detail** screen, specify the fields.

Table 4-27 UH Portfolio Readjustment Detail - Main Tab

Fields	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder ID. You can also click **Find UH** button to find the authorized unit holders. The system displays a list of authorized unit holders maintained in the system.
Aggregate Currency	*Alphanumeric; 3 Characters; Optional* In case the readjustments are between the funds of different fund base currency (FBC), then you have to specify the aggregate currency. Specify the aggregate currency. You can also select the aggregate currency from the adjacent option list. The option list consists of all the valid and authorized currency codes maintained in the system. While processing the transaction, the system will convert the currencies of the current holdings of the selected funds into aggregate currency for the purpose of comparing and achieving the required portfolio. The system triggers an error message if there are funds involving more than one FBC and if the aggregate currency is not specified. However, if all the funds defined in the screen are having same fund base currency, then the system defaults the aggregate currency with the same fund base currency. For instance, if all the funds defined are having FBC as **USD**, then on saving the details, the system will default aggregate currency as **USD**. **Note:** The aggregate currency chosen should be the FBC of at least one of the funds selected.
Readjustment Status	*Display* Based on the status of the readjustment, the status is displayed here. The following status are available: • **Not Processed** • **Transaction Generated** • **Failure during transaction Generation** You can modify the details only if the readjustment status is **Not Processed**. **Note:** For a given unit holder, there can be only one **Not Processed** readjustment.

Table 4-27 (Cont.) UH Portfolio Readjustment Detail - Main Tab

Fields	Description
Readjustment ID	*Display* On saving the details, the readjustment ID is generated. Later, you can use this number to query the details.
Cancelled	*Optional* The system will not generate the transactions that are **authorized but are yet to be processed**. This option is enabled only during amending operation.

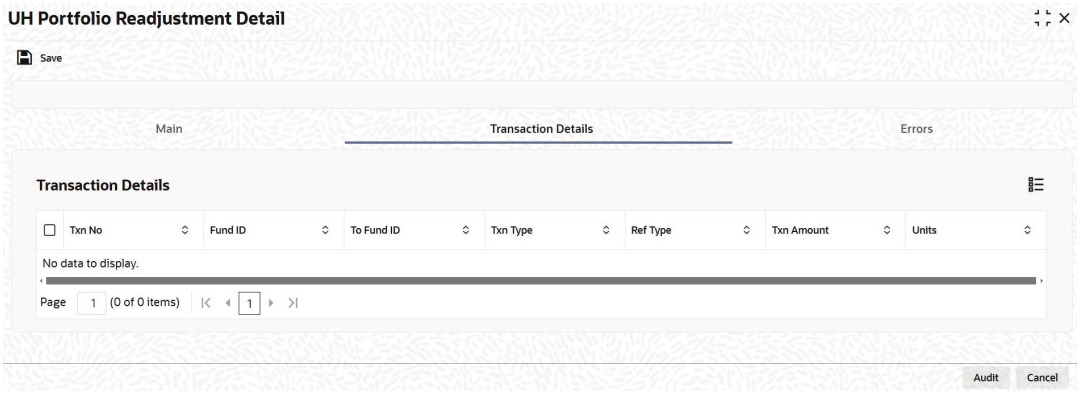
Table 4-28 UH Portfolio Readjustment Detail - Main Tab - Details

Fields	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID. You can also select the fund ID from the option list provided. The option list displays the valid fund IDs maintained in the system. You should at least specify two funds for readjustments and for the given unit holder, at least one of the funds defined should have the settled unit balance.
Fund Name	*Display* Based on the fund ID selected, the fund name is displayed.
Fund Base Currency	*Display* Based on the fund ID selected, the fund base currency is displayed.
% Holding after Readjustment	*Alphanumeric; 5 Characters; Mandatory* Define the percentage of the readjusted portfolio for the unit holder. After readjustment, this is the percentage of the total holdings of the settled units for the selected funds. The total percentage should added up to hundred percent.

3. Click on **Transaction Details** tab.

   The transation details are displayed.

Figure 4-20 UH Portfolio Readjustment Detail - Transaction Details



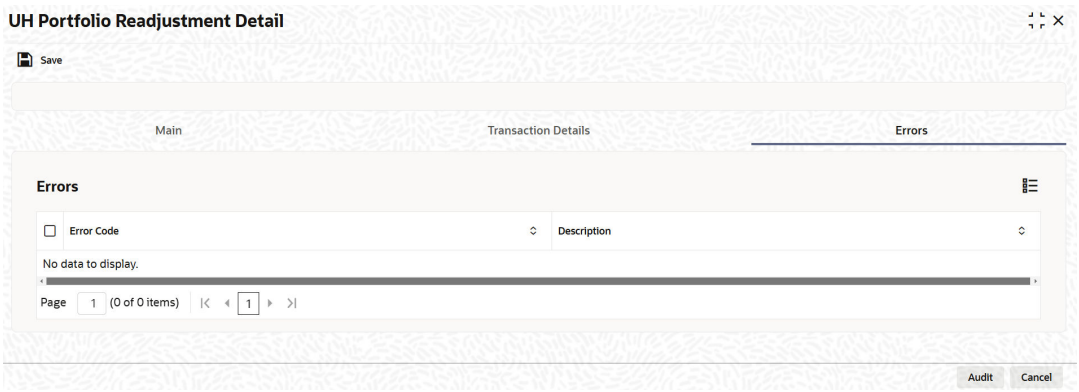
- **Transaction Number**
- **Fund ID**

- **To Fund ID**
- **Transaction Type**
- **Ref Type**
- **Transaction Amount**
- **Units**

4. Click on **Errors** tab.

   The errors details are displayed.

Figure 4-21 UH Portfolio Readjustment Detail - Errors



During transaction generation, if one of the transactions fails, then the system will log an error as **Transaction Processing Failed**. It will not generate the partial successful transactions. The failed reasons can be viewed under **Errors** tab.

The system displays the following values:

- **Error Code**
- **Description**

> **Note:**
>
> In case of pseudo switch, the transaction currency for the subscription transaction will be the fund base currency of the redemption transaction fund.

4.28.2 Process Readjustment Portfolios

This topic provides information about Processing Readjustment Portfolios details.

As part of EOD process, all the settled units as on date are considered for readjustments. The total current holdings are arrived using the latest NAV of the funds involved. The current holdings of each fund are compared with the required readjusted portfolio (both amounts are in aggregate currency). The transaction type to be used is based on the net inflows and outflows required to achieve the required readjustment. If a switch transaction is required among these funds, the system will generate normal switch or pseudo switch based on the funds involved belong to the same AMC or different AMC respectively. The readjustment request is rejected if there is any amount block on one of the fund where in units has to be switched out.

4.29 Unit Holder Portfolio Re Adjustment Summary

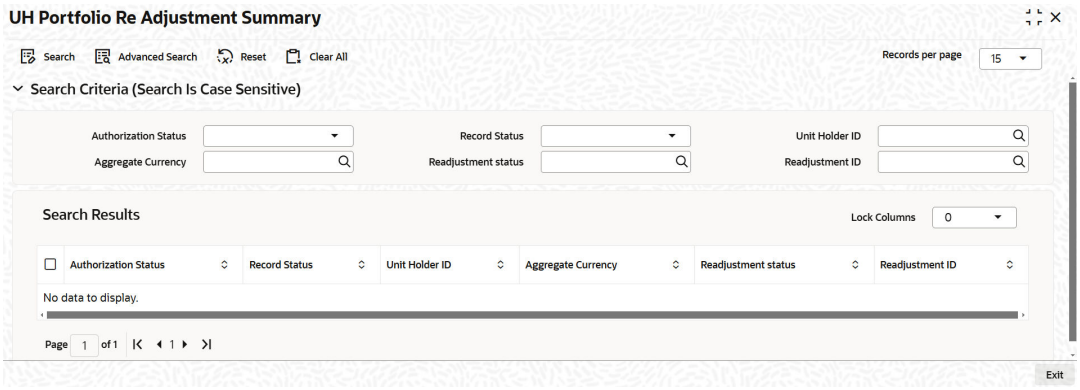
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Re Adjustment Portfolio

1. On **Home**, type **UTSUHPR** in the text box, and click **Next**.

   The **UH Portfolio Re Adjustment Summary** screen is displayed.

Figure 4-22 UH Portfolio Re Adjustment Summary



2. On **UH Portfolio Re Adjustment Summary** 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**
   - **Unit Holder ID**
   - **Readjustment status**
   - **Aggregate Currency**
   - **Readjustment ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list.

- Edit Re Adjustment Portfolio
  This topic provides the systematic instructions to edit Re Adjustment Portfolio.
- View Re Adjustment Portfolio
  This topic provides the systematic instructions to view Re Adjustment Portfolio.
- Delete Re Adjustment Portfolio
  This topic provides the systematic instructions to delete Re Adjustment Portfolio.
- Authorize Re Adjustment Portfolio
  This topic provides the systematic instructions to authorize Void Re Adjustment Portfolio.

- Amend Re Adjustment Portfolio
  This topic provides the systematic instructions to amend Re Adjustment Portfolio.

4.29.1 Edit Re Adjustment Portfolio

This topic provides the systematic instructions to edit Re Adjustment Portfolio.

Modify the details of a cheque book request record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **UH Portfolio Re Adjustment Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **UH Portfolio Re Adjustment Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **UH Portfolio Re Adjustment Detail** screen is closed and the changes made are reflected in the **UH Portfolio Re Adjustment Summary** screen.

4.29.2 View Re Adjustment Portfolio

This topic provides the systematic instructions to view Re Adjustment Portfolio.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **UH Portfolio Re Adjustment Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **UH Portfolio Re Adjustment Detail** screen is displayed.

4.29.3 Delete Re Adjustment Portfolio

This topic provides the systematic instructions to delete Re Adjustment Portfolio.

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

1. Start the **UH Portfolio Re Adjustment Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **UH Portfolio Re Adjustment Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.29.4 Authorize Re Adjustment Portfolio

This topic provides the systematic instructions to authorize Void Re Adjustment Portfolio.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **UH Portfolio Re Adjustment Summary** 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. Double-click the record that you wish to authorize.

   The **UH Portfolio Re Adjustment Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

4.29.5 Amend Re Adjustment Portfolio

This topic provides the systematic instructions to amend Re Adjustment Portfolio.

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 **UH Portfolio Re Adjustment Summary** 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. Double-click the record that you wish to amend.

   The **UH Portfolio Re Adjustment Detail** screen is displayed.

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

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

4.30 Help Desk Facility

This topic provides information on Help Desk Facility.

This topic contains the following sub-topics:

- Process Help Desk Detail Screen
  This topic provides the instructions to process Help Desk Detail Screen.
- Initiate and Process Queries
  This topic provides information about the initiating and processing queries.

4.30.1 Process Help Desk Detail Screen

This topic provides the instructions to process Help Desk Detail Screen.

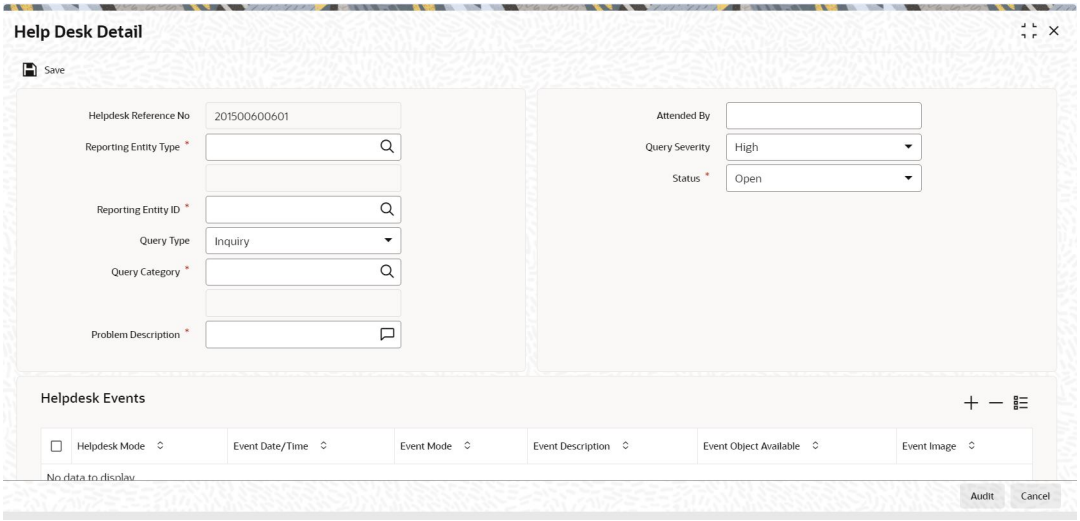
The FLEXCUBE Investor Services system provides the facility of querying and reporting between entities in the system.

To query about any other entity or report information (such as complaints) regarding any entity in the system, use the **Help Desk Detail** screen.

1. On **Home** screen, type **UTDHLPDS** in the text box, and click **Next**.

   The **Help Desk Detail** screen is displayed.

Figure 4-23 Help Desk Detail



> **Note:**
>
> Only Query option is available for **UTDTRA01 (FCIS IPO Subscription Detail)** screen.

2. You can use this screen to
   - Initiate a query regarding any information requested by any entity that is defined in the system.
   - Process or follow-up any such queries.
   - Edit, view or close any queries.

4.30.2 Initiate and Process Queries

This topic provides information about the initiating and processing queries.

To initiate (or process) a query, in the **Help Desk Detail** screen, specify the following in the Help Details section:

- The type of entity that is initiating the query, in the Reporting Entity Type field. Also select the ID of the reporting entity in the Reporting Entity ID field.
- The type of query, in the Query Type field. The query could be an inquiry, or an action. Select the appropriate option. The category of the query, in the Query Category field. Choose the required option from the drop down list.
- The degree of criticality of the query, in the Query Severity field.
- If you are following up a previously entered query, select the status of the query in the Status field.
- The description of the report, or query, in the Problem Description field.
- The name of the person who will attend the query, in the Attended By field.
- Also specify the following in the Helpdesk Events section:
  - The mode of the query, or the query type, in the Helpdesk Mode field.
  - The mode through which the query is being made, in the Event Mode field.
  - The description of the query, in the Event Description field.
  - Any image, such as a document or fax, regarding the query or report, in the Event Image field. Click the Scan button to specify this.
- Click the **Save** button to save your query.

Any follow up or processing of the query can likewise be entered in a similar manner, as described above.

Table 4-29 Initiating and Processing Queries

Fields	Description
Helpdesk Reference Number	*Display* Every query you initiate in the system is assigned a unique reference number by the system. If you are entering a new query in this screen, this field is empty and locked, and when you specify all the information that is mandatory for initiating a query, the reference number is generated by the system when you Save the information. If you have retrieved a query for viewing or processing, the reference number of the retrieved query is displayed here and it cannot be altered.
Attended by	*Alphanumeric; 15 Characters; Optional* Specify the name of the person who is assigned to attend to the details of the query.
Reporting Entity Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of entity that is initiating the query. Choose from the drop down list.
Query Severity	*Optional* Specify the criticality of the query, by selecting it from the drop-down list. The list displays the following values: • **High** • **Moderate** • **Low**
Reporting Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the ID of the entity that is initiating the query.
Status	*Mandatory* When you are initiating a new query, this field is locked and has a default value, **Open**, signifying that the query is yet to be processed. Subsequently, when you retrieve the record of a query in this screen, and edit the same, you can update the status of the query by making the appropriate selection in this field. A query can be open, closed or being followed up. Accordingly, choose the desired option from the drop-down list. The list displays the following values: • **Open** • **Closed** • **Follow Up** • **Reject**
Query Type	*Optional* Specify the type of query that is being initiated, by selecting it from the drop-down list. The list displays the following values: • **Inquiry** • **Complaint**
Query Category	*Alphanumeric; 6 Characters; Mandatory* Specify the subject of the query, by selecting it from the drop down list.
Problem Description	*Alphanumeric; 255 Characters; Mandatory* Narrate the problem, if any, or the statement of the query, in a few words.
Helpdesk Events	You must specify the details of the modes in which any query is initiated or followed up, in this section

Table 4-29 (Cont.) Initiating and Processing Queries

Fields	Description
Helpdesk Mode	*Mandatory* For new queries, the mode specified here must be Inquiry. Select the help desk mode from the drop-down list. The list displays the following values: • **Action** • **Inquiry**
Event Date/Time	*Display* The time at which the query/follow up action was received is displayed here.
Event Mode	*Mandatory* Select the mode through which the query / follow up action was received. from the drop-down list. The list displays the following values: • **Person** • **Telephone** • **Fax** • **Mail** • **Others**
Event Description	*Alphanumeric; 255 Characters; Mandatory* Give a brief description, if any, about how the query / follow up action was received.
Event Object Available	Indicate from the drop-down list if the event object is available or not. The list displays the following values: • **Yes** • **No**
Event Image	If the details of the query / follow up action is contained in a document, specify the path to the same here. Click **Event Image** button to upload the image.

4.31 Help Desk Summary

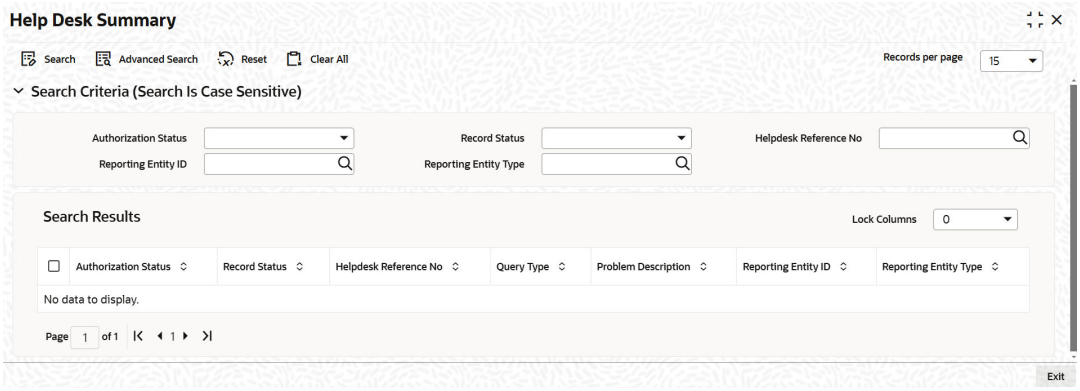
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Query Record

1. On **Home** screen, type **UTSHLPDS** in the text box and click **Next**.

   The **Help Desk Summary** screen is displayed.

Figure 4-24 Help Desk Summary



You can retrieve a previously entered query record in the Help Desk Summary screen, as follows:

2. On **Help Desk Summary** 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**
   - **Helpdesk Reference Number**
   - **Reporting Entity ID**
   - **Reporting Entity Type**

- Edit a Query Record
  This topic provides the systematic instructions to edit a Query Record.
- View a Query Record
  This topic provides the systematic instructions to view a Query record..
- Delete a Query Record
  This topic provides the systematic instructions to delete a Query record.
- Authorize Query Record
  This topic provides the systematic instructions to authorize a Query record.
- Amend a Query Record
  This topic provides the systematic instructions to amend a Query record.
- Authorize a Query Record
  This topic provides the systematic instructions to authorize amended a Query record.

4.31.1 Edit a Query Record

This topic provides the systematic instructions to edit a Query Record.

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

1. Start the **Help Desk Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Help Desk Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **Help Desk Detail** screen is closed and the changes made are reflected in the **Help Desk Summary** screen.

4.31.2 View a Query Record

This topic provides the systematic instructions to view a Query record..

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **Help Desk Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Help Desk Detail** screen is displayed.

4.31.3 Delete a Query Record

This topic provides the systematic instructions to delete a Query record.

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

1. Start the **Help Desk Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Help Desk Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

4.31.4 Authorize Query Record

This topic provides the systematic instructions to authorize a Query record.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **Help Desk Summary** 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. Double-click the record that you wish to authorize.

   The **Help Desk Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

4.31.5 Amend a Query Record

This topic provides the systematic instructions to amend a Query 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 **Help Desk Summary** 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. Double-click the record that you wish to amend.

   The **Help Desk Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.31.6 Authorize a Query Record

This topic provides the systematic instructions to authorize amended a Query record.

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

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

4.32 Process Send or Receive Messages

This topic provides the instructions to Invoke Send or Receive Messages Screen.

1. On **Home** screen, type **UTDSEREM** in the text box, and click **Next**.

   The **Send or Receive Messages** screen is displayed.

Figure 4-25 Send or Receive Messages



2. On **Send or Receive Messages** screen, specify the fields.

Table 4-30 Send Messages

Fields	Description
Agent Code	*Alphanumeric; 12 Characters; Mandatory* Specify the Agent Code of the module to which you are sending the message
Branch Code	*Alphanumeric; 12 Characters; Mandatory* Specify the branch Code of the module to which you are sending the message
Message	*Alphanumeric; 255 Characters; Optional* Enter the message that has to be sent.

To send a message, specify the Agent and Branch Code of the module to which you are sending the message, and key in the text of the message in the Message field box. Then click the Send button.

To receive a message, specify the Agent and Branch Code of the module from which you are receiving the message, and click the Receive button. The text of the incoming message is displayed in the Message field box.

Figure 4-26 Send or Receive Messages - Receive Message

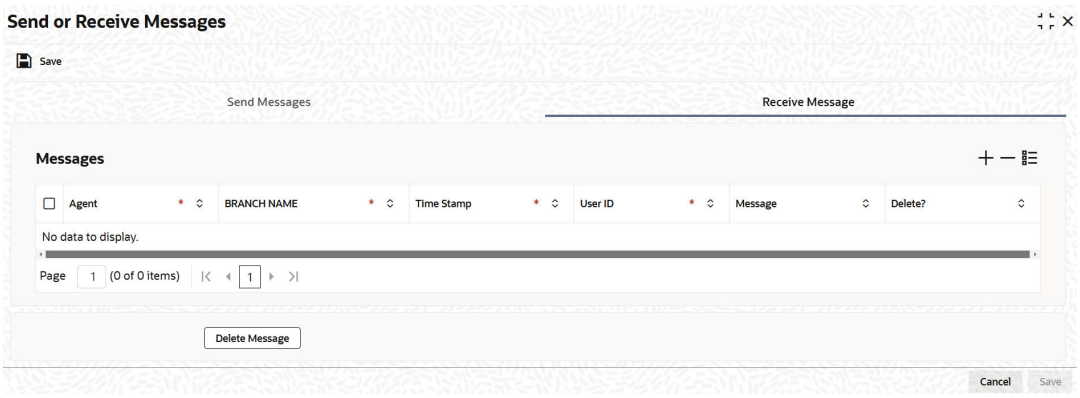


Table 4-31 Receive Messages

Fields	Description
Agent	*Display* This displays the entity from which the message has come. For outgoing messages, it will display the current entity code.
Branch Name	*Display* This displays the bank name to which the agent belongs.
Time Stamp	*Display* This displays the time when the message had come.
User ID	*Display* This displays the User ID of the person from whom the message has come from.
Message	*Alphanumeric; 255 Characters;* Optional The text of the message that has been received is displayed here.
Delete	*Optional* Click on **Delete Message** button to delete the message. Click **Delete Message** to delete the messages.

4.33 Process FCIS - RTA Transfers Detail

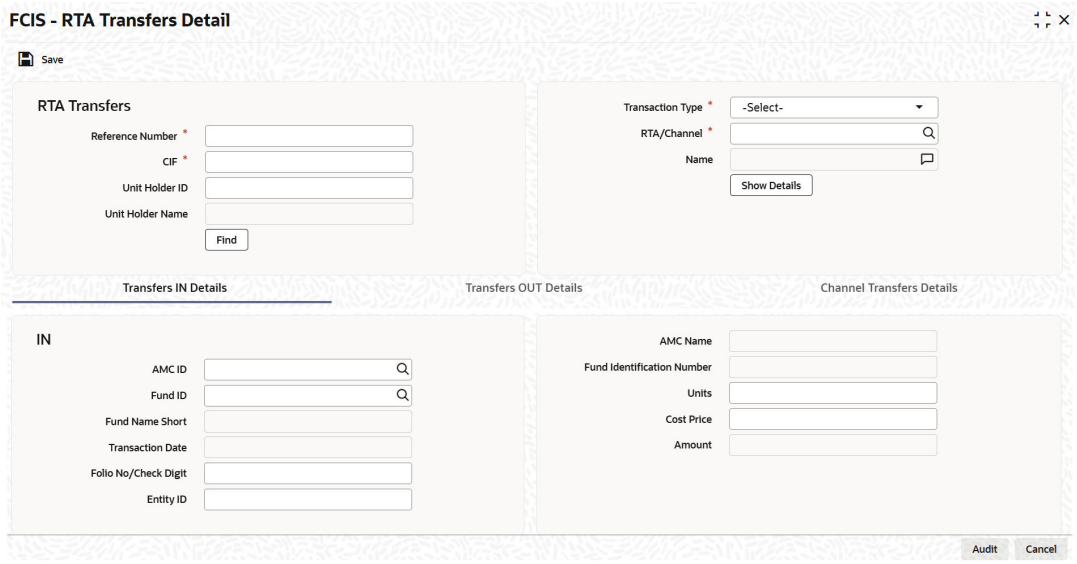
This topic provides the instructions to process RTA Transfer Details.

The RTA Transfers Detail In and Out screen captures the details that are present in the RTA incoming interface related data store. In the case of a transfer out transaction, the transaction is generated and needs to be confirmed by the bank. To invoke this screen, click the main menu item **Maintenance** and then click the **Details** under the sub-menu item **RTA Transfer Detail**.

1. On **Home** screen, type **UTDRTAIO** in the text box, and click **Next**.

   The **FCIS - RTA Transfers Detail** screen is displayed.

Figure 4-27 FCIS - RTA Transfer Detail



2. On **FCIS - RTA Transfers Detail** screen, specify the fields.

Table 4-32 FCIS - RTA Transfer Detail

Field	Description
Reference Number	*Alphanumeric; 16 Characters; Mandatory* Specify a reference number for the account. This will be deemed as a unique alphanumeric identifier for the account. It could be the serial number that is given on the application form through which the investor has invested in the AMC. It could also be any alphanumeric value given by the investor, to identify the account.
Transaction Type	*Mandatory* Specify the type of transfer, the options being • **Transfer In Details** • **Transfer OUT Details** • **Channel Transfer Details**
CIF	*Alphanumeric; 20 Characters; Mandatory* Specify the CIF number of the customer for whom you are creating a transferring the units.
RTA/Channel	*Alphanumeric; 12 Characters; Mandatory* Specify the CIF number of the customer for whom you are creating a transferring the units.
Unitholder ID	*Alphanumeric; 12 Characters; Mandatory* It may be defaulted based on the selection from Unit holders for CIF; else you need to specify the unit holder ID here. You can query for unit holder ID by clicking **Find** button.
Unit Holder Name	*Display* The system displays the name of the selected unit holder ID
Name	*Alphanumeric; 255Characters;Mandatory* Specify the name of the RTA/Channel here.

Table 4-33 Transfers IN Details

Fields	Description
AMC ID	*Alphanumeric; 12 Characters; Optional* Select the code of the AMC in whose funds the investor wishes to invest, from the list provided. You capture this information for the purpose of identifying the AMC to which the unit holder belongs, and in whose database the unit holder account will reside.
AMC Name	*Display* The system displays the name of the selected AMC ID.
Fund ID	*Alphanumeric; 6 Characters; Optional* Select the fund ID into which the unit holder wishes to invest.
Fund Identification Number	*Display* The system displays the fund identification number.
Fund Name Short	*Display* The system displays the short name of the fund.
Transaction Date	*Display* The default date here would be the application date; however you will be able to edit it.
Folio Number/Check Digit	*Alphanumeric; 20 Characters; Optional* Specify the folio for the AMC if the unit holder does not have prior records of transactions with the AMC specified, else is it defaulted depending on the unit holder ID and the AMC ID.
Entity ID	*Alphanumeric; 20 Characters; Optional* Specify the entity ID.
Units	*Numeric; 27 Characters; Optional* Specify the number of units the unit holder wishes to buy.
Cost Price	*Numeric; 17 Characters; Optional* Specify the cost of each unit.
Amount	*Numeric, Mandatory* This is arrived at by multiplying the number of units and the cost price of each.

Note:

Conditions required to be fulfilled for validations for transfer in transactions

- Transfer in is not allowed in case the unit holder does not have folio for the given AMC and transaction is subsequent.
- Back dated and future dated transactions are not allowed.
- If cross branching is 'No', unit holder should belong to the logged in branch.

Registrar should be mapped to the fund selected.

3. Click the **Transfer OUT Details** tab to specify the fields.

   The **Transfer OUT Details** are displayed.

Figure 4-28 Transfer OUT Details

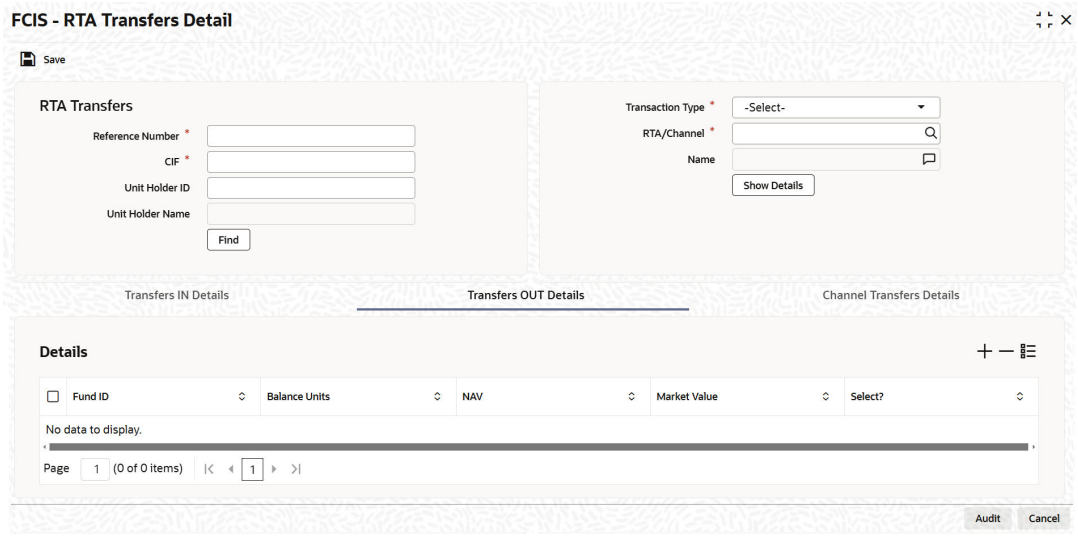


Table 4-34 Transfer Out Details

Fields	Description
Fund ID	*Display* The fund in which the transaction was put through is displayed here.
Balance Units	*Display* The unit balance of your holding is displayed here.
NAV	*Display* Display the current NAV of your holdings.
Market Value	*Display* This displays the market value of all your holdings which is derived at by multiplying the Balance Units with the current NAV.
Select	*Optional* The box needs to be checked against the fields which are to be processed.

Note:

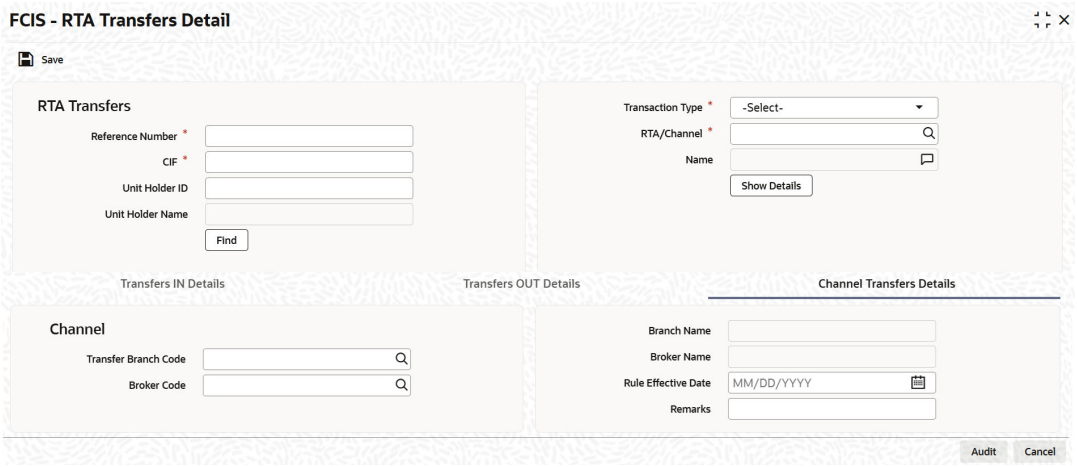
Conditions required to be fulfilled for validations for transfer out transactions,

- Fund price needs to be available.
- Sufficient balance is required in the unit holders fund.
- Transfer out transaction amount should be a multiple of step amount as defined in Fund Rule.

4. Click the **Channel Transfers Details** tab, to specify the details.

   The **Channel Transfers Details** are displayed.

Figure 4-29 Channel Transfers Details



FCIS provides the facility to transfer an investor along with all the transactions done prior to the transfer to the new channel. The following transfers will be allowed under channel transfer:

- Channel to Channel
- Channel to Non-Channel

Channel transfers cannot be triggered from non-channel agency branches.

Table 4-35 Channel Transfers Details

Fields	Description
Transfer Branch Code	*Alphanumeric; 12 Characters; Optional* Specify the branch of the agent to whom the investor is being transferred.
Branch Name	*Display* Upon selection of the branch code, the associated branch name gets populated.
Broker Code	*Alphanumeric; 12 Characters; Optional* Select the code of the broker to whom the investor is being transferred.
Broker Name	*Display* Upon selection of the broker code, the associated broker name gets populated.
Rule Effective Date	*Date Format; Optional* Specify the date from when the unitholder transfer that is currently being set up should become effective.

Table 4-35 (Cont.) Channel Transfers Details

Fields	Description
Remarks	*Alphanumeric; 255 Characters; Optional* Descriptive text about the transfer can be entered here. On authorizing the transfer, system will check for the following: • Any unauthorized transaction exists with previous channel for the specified rule effective date • Any authorized transaction to be allocated on or greater than the specified rule effective date • Any allotted transaction to be cleared or settled on or greater than the specified rule effective date • Any blocked or pledged transaction If any of the above mentioned checks fail, system will not allow you to save and authorize the transfer. System will also verify if any balance is available in any of the funds involved in the transfer. If not, system will not allow you to save or authorize the transfer. Channel Transfer will be effective on confirmation of the Authorised channel transfer through the RTA Summary screen.

4.34 RTA Transfer Summary

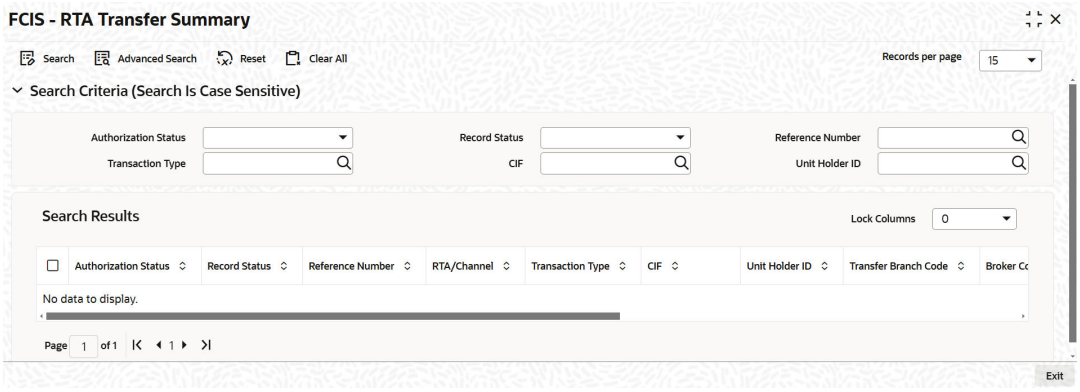
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve RTA Transfer Details

1. On **Home** screen, type **UTSRTAIO** in the text box, and click **Next**.

   The **FCIS - RTA Transfers Summary** screen is displayed.

Figure 4-30 FCIS - RTA Transfers Summary



2. On **FCIS - RTA Transfers Summary** 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**
   - **Reference Number**

- **CIF**
- **Transaction Type**
- **Unit Holder ID**

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

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

- Edit RTA Transfer Details
  This topic provides the systematic instructions to edit RTA Transfer Details.
- View RTA Transfer Details
  This topic provides the systematic instructions to view RTA Transfer Details.
- Delete RTA Transfer Details
  This topic provides the systematic instructions to delete RTA Transfer Details.
- Authorize RTA Transfer Details
  This topic provides the systematic instructions to authorize RTA Transfer Details.
- Amend RTA Transfer Details
  This topic provides the systematic instructions to amend RTA Transfer Details.
- Authorize Amended RTA Transfer Details
  This topic provides the systematic instructions to authorize amended Split Transaction record.

4.34.1 Edit RTA Transfer Details

This topic provides the systematic instructions to edit RTA Transfer Details.

Modify the details of a RTA Transfer record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **FCIS - RTA Transfers Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS - RTA Transfers Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS - RTA Transfers Detail** screen is closed and the changes made are reflected in the **FCIS - RTA Transfers Summary** screen.

4.34.2 View RTA Transfer Details

This topic provides the systematic instructions to view RTA Transfer Details.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **FCIS - RTA Transfers Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS - RTA Transfers Detail** screen is displayed.

4.34.3 Delete RTA Transfer Details

This topic provides the systematic instructions to delete RTA Transfer Details.

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

1. Start the **FCIS - RTA Transfers Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS - RTA Transfers Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.34.4 Authorize RTA Transfer Details

This topic provides the systematic instructions to authorize RTA Transfer Details.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **FCIS - RTA Transfers Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS - RTA Transfers Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

4.34.5 Amend RTA Transfer Details

This topic provides the systematic instructions to amend RTA Transfer Details.

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 **FCIS - RTA Transfers Summary** 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. Double-click the record that you wish to amend.

   The **FCIS - RTA Transfers Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.34.6 Authorize Amended RTA Transfer Details

This topic provides the systematic instructions to authorize amended Split Transaction record.

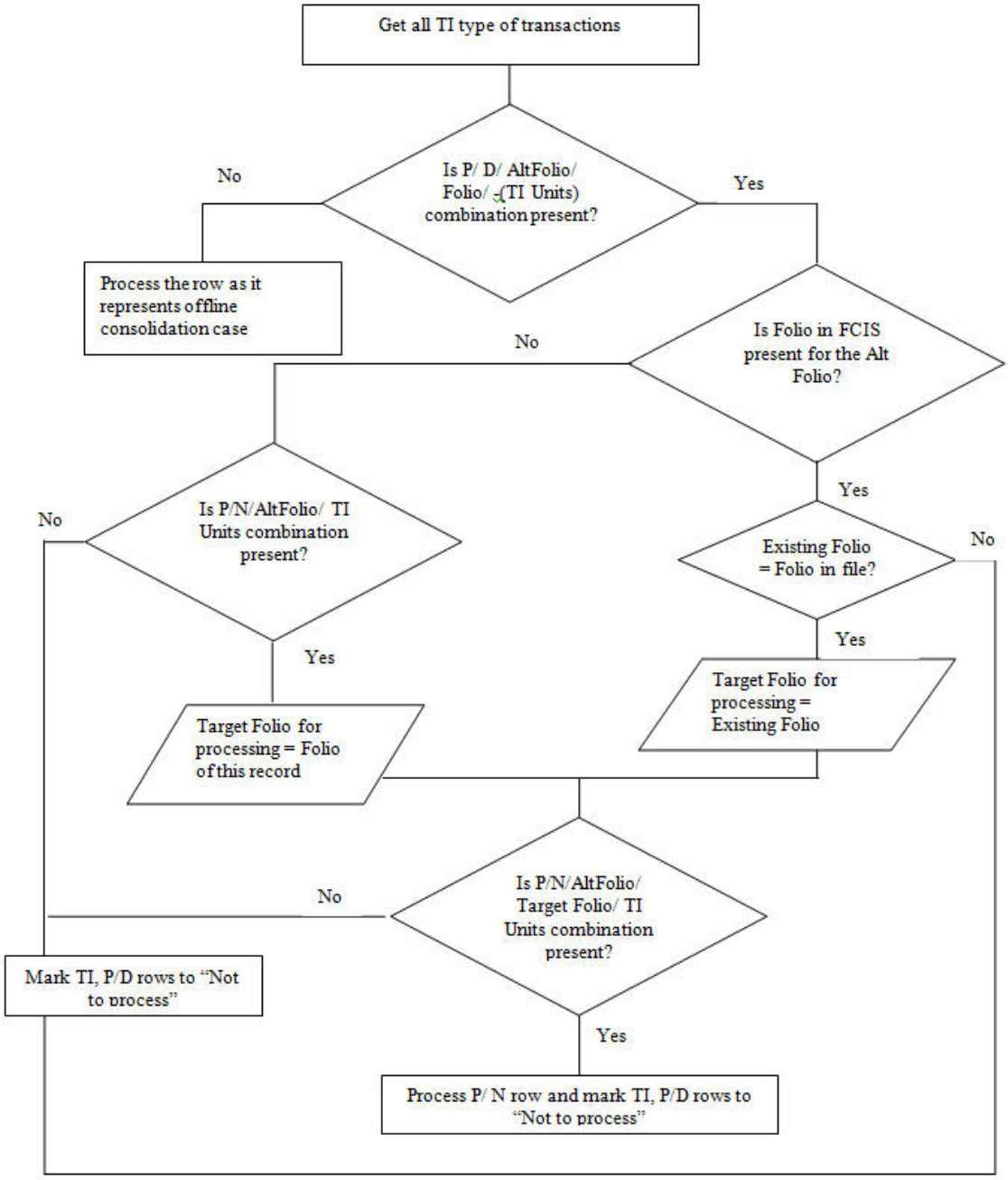
1. An amended RTA Transfer Details must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

4.35 Consolidation of Portfolios

This topic provides information about Consolidation of Portfolios.

The flow chart below explains how the RTA interface would handle transfer and consolidation of portfolios.

Figure 4-31 Transfer with Consolidation Logic



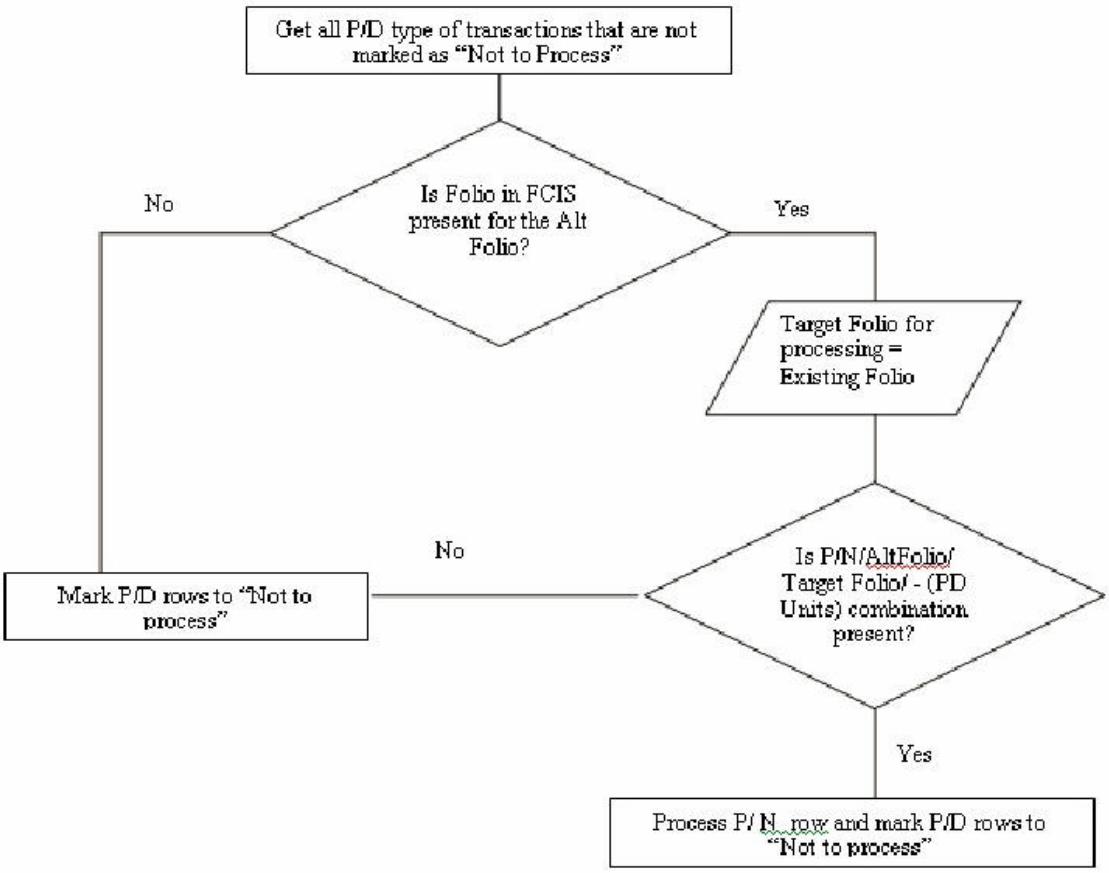
Only Consolidation:

This is a case where the unit holder has invested in an IPO fund of an AMC and later subscribed into another fund of the same AMC. The folio number is allocated to the user after subscription confirmation, the RTA however allocates a new folio for the IPO subscription. In this case a consolidation of folio is required.

> **Note:**
>
> No Transfer In type of record would be available in this case as it is just a consolidation of the folio numbers.

The flow chart below illustrates the above logic.

Figure 4-32 Transfer with Consolidation Logic - No Process



4.36 Process Batch Update of Transaction Date

This topic provides the instructions to process Batch Update of Transaction Date Screen.

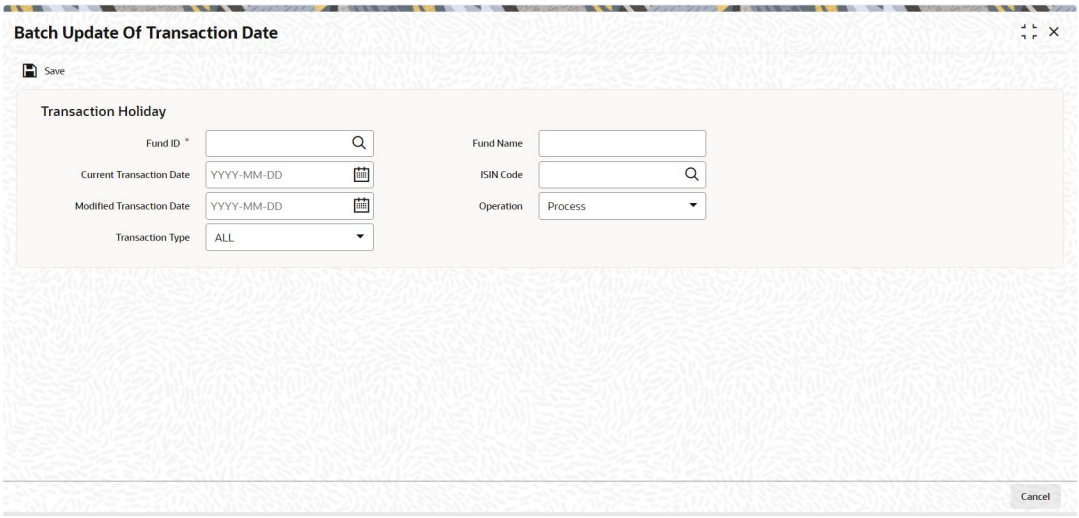
A pre EOD check is done to if there are any future dated transactions for which the transaction date falls on a holiday. If so, you will not be allowed to proceed with the EOD process.

Use the **Batch Update Of Transaction Date** screen to modify the Transaction date for different transactions for the fund.

1. On **Home** screen, type **UTDBUTD** in the text box, and click **Next**.

   The **Batch Update Of Transaction Date** screen is displayed.

Figure 4-33 Batch Update Of Transaction Date



2. On **Batch Update Of Transaction Date** screen, specify the fields.

For more information about the fields, refer the field description table.

Table 4-36 Batch Update Of Transaction Date

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Enter the fund id for which the transaction date needs to be modified.
Fund Name	*Display* The system displays the name of the selected fund ID.
Current Transaction Date	*Date, Mandatory* Enter the transaction date that falls on a Holiday.
Modified Transaction Date	*Date; Mandatory* Enter the new transaction date to which the transactions is to be updated. This transaction date is defaulted to the next working day of the current transaction date. You are allowed to modify this date. The system will freshly calculate the price date for these transactions in case for specific fund price dates.
Transaction Type	*Optional* Select the transaction type from the drop-down list for which the modification will be allowed.The list displays the following values: • **ALL** • **IPO Subscription** • **Subscription** • **Redemption** • **Switch** • **Transfer** The default option will be **All**.
ISIN Code	*Alphanumeric; 12 Characters; Optional* Select the ISIN Code of the fund in which the transaction was put through, from the options provided. If you specify the ISIN Code of a fund, the ID of the fund is displayed in the Fund field

Table 4-36 (Cont.) Batch Update Of Transaction Date

Field	Description
Operation	*Optional* Select the operation for which the update has been enabled from the drop-down list. The list displays the following values: • **Process** • **Execute**

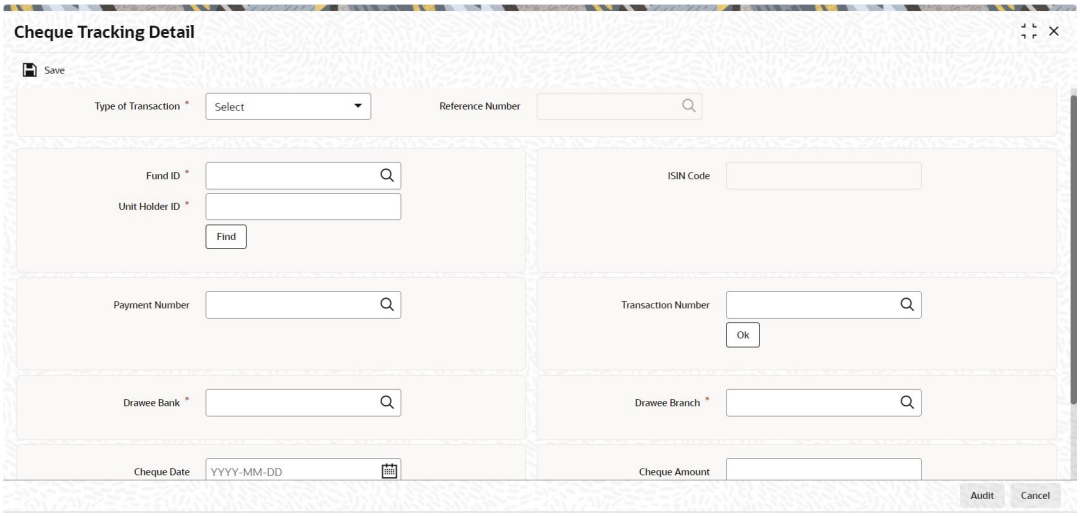
4.37 Process Cheque Tracking Detail

This topic provides the instructions to process Cheque Tracking Detail screen.

1. On **Home** screen, type **UTDCHQTR** in the text box, and click **Next**.

   The **Cheque Tracking Detail** screen is displayed.

Figure 4-34 Cheque Tracking Detail



2. On **Cheque Tracking Detail** screen, specify the fields.

   For more information about the fields, refer the field description table.

Table 4-37 Cheque Tracking Detail

Field	Description
Type of Transaction	*Mandatory* Select the type of transaction from the drop-down list. The list displays the following values: • **Dividend** • **Redemption** • **Bonus** • **Entity Commission**
Reference Number	*Display* The system displays the reference number .

Table 4-37 (Cont.) Cheque Tracking Detail

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
ISIN Code	*Display* The system displays the ISIN code for the selected fund ID
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder ID. You can also query for unit holder ID by clicking **Find** button.
Payment Number	*Alphanumeric; 5 Characters; Optional* Specify the payment number. Alternatively, you can select payment number from the option list. The list displays all valid payment number maintained in the system.
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number. Alternatively, you can select transaction number from the option list. The list displays all valid transaction number maintained in the system
Drawee Bank	*Alphanumeric, 12 Characters; Mandatory* Specify the name of the bank where the cheque is drawn.
Drawee Branch	*Alphanumeric, 12 Characters; Mandatory* Specify the branch of the selected bank where the cheque is drawn.
Cheque Date	*Date Format; Mandatory* Specify the date on which the cheque is drawn.
Cheque Amount	*Numeric; 30 Characters; Optional* Specify the amount for which the cheque is drawn.
Cheque Number	*Alphanumeric, 16 Characters; Mandatory* Specify the number of the cheque.
Cheque Currency	*Alphanumeric, 3 Characters; Optional* Specify the date on which the cheque is drawn.
Cheque Status	*Mandatory* Select the status of the cheque from the drop-down list. the list displays the following values: • **Active** • **Cleared** • **Duplicate** • **Bounced** • **Stopped** • **Cancelled** • **Lost** • **Invalid** • **Reinvest**
MICR Code	*Alphanumeric; 50 Characters; Mandatory* Enter the MICR code of the cheque.

- Reinvestment Processing for Expired Cheques
  This topic provides the information about reinvestment processing for expired cheques.

4.37.1 Reinvestment Processing for Expired Cheques

This topic provides the information about reinvestment processing for expired cheques.

The following Unit holder - Fund dividend payment records will be considered for processing reinvestments:

- The option **Auto Reinvestment for Unclaimed cheque** is checked
- Partial or complete Unit holder dividend payment has been done by dividend Cheques.
- Dividend Payment Status is A – ACTIVE
- Cheque Date and the Cheque Expiry Period is less than or equal to application date.
- The option **Auto Reinvestment for Unclaimed cheque with Zero Balance** is checked Or the option **Auto Reinvestment for Unclaimed cheque with Zero Balance** is unchecked and Unit holder has a balance in the underlying fund.

If all the above mentioned conditions are satisfied, system initiates a reinvestment transaction for the unit holder – Fund combination.

- If Cheque expiry date is a holiday then system picks up this record on the next business day for reinvestment processing.
- Transaction date for this reinvestment transaction will be defaulted with the application date.
- The transaction will be identified with the sub type U – Unclaimed Dividend Reinvestment.
- System will update the check status in Consolidated Cheque Tbl as R – Reinvestment for Unclaimed Cheque once the reinvestment is processed.
- System will not process reinvestments for unclaimed unit holder – dividend payments, where Fund has been closed on or before the check expiry date.

4.38 Cheque Tracking Summary

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

You can track the status of checks issued for dividend payments as well as redemption, incentive payments and entity commission payments in the system.

You can also view details of cheques uploaded into the system for payment tracking purposes. A dividend cheque will be considered as expired if the system date is greater than the cheque date or the sum cheque reissue date and expiry period as specified in PARAMS maintenance. Cheque status tracking is allowed for only those type of transaction maintained in PARAMS maintenance.

Retrieve a Cheque Tracking Record

1. On **Home** screen, type **UTSCHQTR** in the text box, and click **Next**.

   The **Cheque Tracking Summary** screen is displayed.

2. On **Cheque Tracking Summary** 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**
   - **Type of Transaction**
   - **Fund ID**

- **Unit Holder ID**
- **Transaction Number**
- **Payment Number**
- **Reference Number**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input Fund ID
> - Press F8

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.

   You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:

   - Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet ‘A’. For example, AGC17,AGVO6,AGC74 etc.
   - Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value’ 7’. For example, AGC17,GSD267,AGC77 etc.
   - Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example, GSD217,GSD172, AGC17 etc.

- Edit Cheque Tracking Record
  This topic provides the systematic instructions to edit Cheque Tracking Record.
- View Cheque Tracking Record
  This topic provides the systematic instructions to view Cheque Tracking Record.
- Delete Cheque Tracking Record
  This topic provides the systematic instructions to delete Cheque Tracking Record.
- Authorize Cheque Tracking Record
  This topic provides the systematic instructions to authorize Cheque Tracking Record.
- Amend Cheque Tracking Record
  This topic provides the systematic instructions to amend Cheque Tracking Record.
- Authorize an Amended Cheque Tracking Record
  This topic provides the systematic instructions to authorize amended Cheque Tracking Record.

4.38.1 Edit Cheque Tracking Record

This topic provides the systematic instructions to edit Cheque Tracking Record.

Modify the details of a cheque book request record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **Cheque Tracking Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Cheque Tracking Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Cheque Tracking Detail** screen is closed and the changes made are reflected in the **Cheque Tracking Summary** screen.

4.38.2 View Cheque Tracking Record

This topic provides the systematic instructions to view Cheque Tracking Record.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **Cheque Tracking Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Cheque Tracking Detail** screen is displayed.

4.38.3 Delete Cheque Tracking Record

This topic provides the systematic instructions to delete Cheque Tracking Record.

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

1. Start the **Cheque Tracking Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Cheque Tracking Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.38.4 Authorize Cheque Tracking Record

This topic provides the systematic instructions to authorize Cheque Tracking Record.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **Cheque Tracking Summary** 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. Double-click the record that you wish to authorize.

   The **Cheque Tracking Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

4.38.5 Amend Cheque Tracking Record

This topic provides the systematic instructions to amend Cheque Tracking 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 **Cheque Tracking Summary** 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. Double-click the record that you wish to amend.

   The **Cheque Tracking Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.38.6 Authorize an Amended Cheque Tracking Record

This topic provides the systematic instructions to authorize amended Cheque Tracking Record.

1. Authorize an amended Cheque Book Request record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The process of subsequent authorization is the same as that for normal transactions.

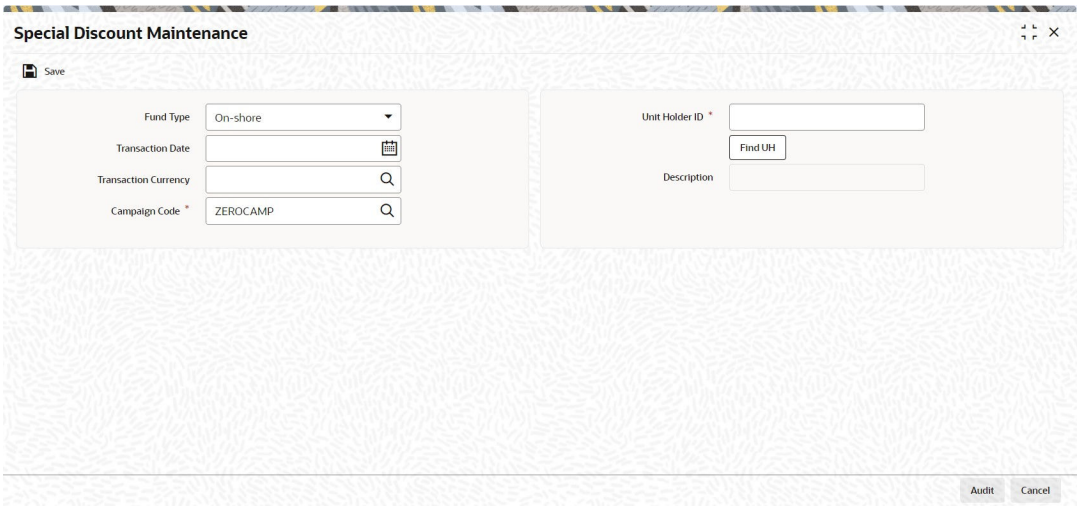
4.39 Process Special Discount Maintenance

This topic provides the instructions to track special discount such as Birthday/ Gift Coupons benefits.

1. On **Home** screen, type **UTDSPMNT** in the text box, and click **Next**.

   The **Special Discount Maintenance** screen is displayed.

Figure 4-35 Special Discount Maintenance



2. On **Special Discount Maintenance** screen, specify the fields.

   For more information about the fields, refer the field description table.

Table 4-38 Special Discount Maintenance

Field	Description
Fund Type	*Optional* Select the type of the fund from the drop-down list. The list displays the following values: • **On-shore Fund** • **Off-shore Fund** By default, On-Shore Fund option will be selected.
Unit Holder ID	*Alphanumeric; 16 Characters; Mandatory* Specify the unit holder ID for whom the gift benefit is to be availed. Click **Find UH** button to invoke **Unitholder Find Options** screen. You can fetch unit holder ID using this screen.
Transaction Date	*Date Format; Mandatory* Select the transaction date on which special discount is to be availed for the unit holder for all funds from the adjoining calendar.
Transaction Currency	*Alphanumeric; 3 Characters; Optional* Specify the transaction currency based on the gift benefit to be processed. Alternatively, you can select transaction currency from the option list. The list displays 2 valid transaction currency code, namely, BC and NBC. The system will validate the transaction currency in case of Off-Shore fund.
Description	*Display* The system displays the description for the selected transaction currency
Campaign Code	*Alphanumeric; 12 Characters; Mandatory* Specify the campaign code of the birthday benefit. Alternatively, you can select campaign code from the option list. The list displays all the valid campaign code maintained in the system through Campaign Code Maintenance Screen (UTDCMPMN) along with **ZEROCAMP** Param value under **SPLDISCNTOFFER** Param code.

By default, ZEROCAMP will be selected.

The system will maintain the following parameter for SPLDISCNTOFFER param code:

Table 4-39 SPLDISCNTOFFER

PARAM CODE	PARAM DESCRIPTION	MAINTAINABLE	RESTRICTION LENGTH
SPLDISCNTOFFER	Special Discount Offer	0	15

Table 4-40 ZEROCAMP

PARAM CODE	PARAMVALUE	PARAMTEXT
SPLDISCNTOFFER	ZEROCAMP	Special Discount for Birthday

For the given combination of unit holder ID, transaction date, fund type, transaction currency for the given calendar year, i.e. from 01-Jan to 31-Dec of each calendar year, you cannot capture records more than the values maintained in parameters shown as follows. If you maintain more than one record, the system will display an error message as `Record`

not allowed for same combination for more than the maintained limit.

Table 4-41 SPLDISCNTOFFER_Capture records exceed the maintained limit

PARAM CODE	PARAM DESCRIPTION	MAINTAINABLE	RESTRICTION LENGTH
SPLDISCNTOFFER	Special Discount Limits	0	15

Table 4-42 PARAM VALUE

PARAM CODE	PARAMVALUE	PARAMTEXT
SPLDISCNTOFFER	ONSHRCNT	1
SPLDISCNTOFFER	OFFSHRBASECCYCNT	1
SPLDISCNTOFFER	OFFSHRNONBASECCYCNT	1

You cannot modify or close the record once it is saved and authorized.

Once authorized, the system will count the record based on fund type, unit holder ID, and transaction currency in case of Off-shore fund for a calendar year for successful utilization of the Special Discount (Birthday/ gift) coupon benefit.

The calendar year will be based on the year of the transaction date, i.e. if transaction date is 30-Jan-2017 then calendar year will be from 01-Jan-2017 to 31-Dec-2017.

For On-shore fund, transaction currency will not be applicable to avail birthday benefit. Also, the number of maintenance should not exceed the Param Value maintained for **ONSHORECNT** Param Text under **SPECIALDISCOUNT** Param Code as maintained in the system for a calendar year.

For Off-shore fund, you can maintain special discount for a unit holder either at installed entity's base currency or any currency other than installed entity's base currency. Also, the number of maintenance should not exceed the Param Value maintained for **OFFSHRBASECCYCNT**, **OFFSHRNONBASECCYCNT** Param Text respectively under the **SPECIALDISCOUNT** Param Code as maintained in the system for a calendar year.

For Example,

Table 4-43 Calendar Year 01-Jan-2016 to 31-Dec-2016

Fund Type	Unit Holder ID	Transaction Date	Transaction Currency	Campaign Code	Remarks
On-Shore	393	10-Jan-16	NULL	ZERO CAMPAIGN	Successfully saved
On-Shore	393	12-Jan-16	NULL	ZERO CAMPAIGN	System will display an error message. As benefit is already been availed on 12-Jan-2016 (ONSHO-RECNT)
On-Shore	393	15-Jan-16	NULL	ZERO CAMPAIGN	Successfully saved

Table 4-43 (Cont.) Calendar Year 01-Jan-2016 to 31-Dec-2016

Fund Type	Unit Holder ID	Transaction Date	Transaction Currency	Campaign Code	Remarks
On-Shore	393	25-Jan-16	NULL	ZERO CAMPAIGN	System will display an error message. As benefit is already been availed on 12-Jan-2016 (ONSHO-RECNT)
Off-Shore	619	10-Jan-16	NULL	ZERO CAMPAIGN	System will display an error message, since for Off-shore fund, Transaction currency is mandatory
Off-Shore	619	10-Jan-16	Entity BASE CURRENCY	ZERO CAMPAIGN	Successfully saved
Off-Shore	619	10-Jan-16	Entity NON BASE CURRENCY	ZERO CAMPAIGN	Successfully saved
Off-Shore	619	25-Jan-16	Entity NON BASE CURRENCY	ZERO CAMPAIGN	System will will display an error message. As benefit is already been availed on 10-Jan-2016 (OFF-SHRNONBA-SECCYCNT)

Special Discount Maintenance (Birthday Benefit) is applicable only on the date of transaction date has captured in the maintenance.

If campaign code is **ZEROCAMPAIGN**, then the system will override the load amount with 0 for all transactions captured on the transaction date for the unit holder ID, Fund Type, Transaction currency as maintained in Special Discount Maintenance.

Only loads where the investors pay to fund manager (U-M) should be overridden with Zero, irrespective of return value amount based return or percentage based.

Pseudo Switch In-leg transaction will also be waived off if the Pseudo Switch Out-leg transaction date is same as the date maintained for Special Discount Maintenance.

Any transaction captured (current date, backdated or future date) within the calendar year for the unit holder ID, transaction date, transaction currency as maintained in Special Discount Maintenance, on load override the return value will be defaulted with Zero. Also on transaction allocation, for the unit holder ID, transaction date, transaction currency as maintained in Special Discount Maintenance, load will be overridden with 0.

If Special Discount benefits are maintained for a day, then campaign, unit holder deal will not be maintained in the system. Special Discount Benefit will not be counted as part of campaign.

A BOD Batch will be executed on first working day of every year, to Close all open Special Discount Maintenance for the previous calendar Year. Any backdated transaction for the previous calendar year post closure of Special Discount Maintenance will have to be operationally handled.

If you need a load value other than Zero to be applied for all transactions as part of Special Discount then follow the below mentioned steps:

a. Maintain equivalent load to all the loads that are mapped to the funds for which Special Discount benefit to be availed.

b. Ensure that the new load has the return value as per the Special Discount policy.

c. Maintain new Campaign code for the Funds.

d. Map all the loads that are mapped to the Funds with overridden load ID as mentioned in the Step 1 and 2.

e. Attach this newly maintained Campaign code in the **Campaign Code** field of Special Discount Maintenance.

f. During allocation/ load original loads return value will be overridden with the return values of the **Overridden Load ID**.

Example

Table 4-44 Load Maintenance

Load ID	Load Description	Return Value
7009	Inflow Load	2%
7010	Outflow Load	3%
8009	Discount Load for 7009	0.10%
8010	Discount Load for 7010	0.40%

Table 4-45 Campaign Code: USDFDCNT (User Defined Birthday Discount)

Load ID	Campaign Load ID
7009	8009
7010	8010

Table 4-46 Fund Load Mapping

Fund ID	Transaction Type	RefType	Load ID
AFUND1	2	2	7009
AFUND1	3	3	7010

Table 4-47 Special Discount Maintenance_USDFDCNT

Fund Type	On-shore
Unitholder ID	378
Transaction Date	26-Nov-16
Campaign Code	USDFDCNT

Table 4-48 Special Discount Maintenance_ZEROCAMPAIGN

Fund Type	On-shore
Unitholder ID	412

Table 4-48 (Cont.) Special Discount Maintenance_ZEROCAMPAIGN

Fund Type	On-shore
Transaction Date	26-Nov-16
Campaign Code	ZEROCAMPAIGN

Table 4-49 Transaction – Load details

Transaction Number	Fund ID	Unitholder ID	Date	Load Applied
SUB01	AFUND1	378	25-Nov-16	2%
SUB02	AFUND1	378	26-Nov-16	0.10%
RED01	AFUND1	378	26-Nov-16	0.40%
SUB04	AFUND1	412	26-Nov-16	0%
RED02	AFUND1	412	26-Nov-16	0%

4.40 Special Discount Summary

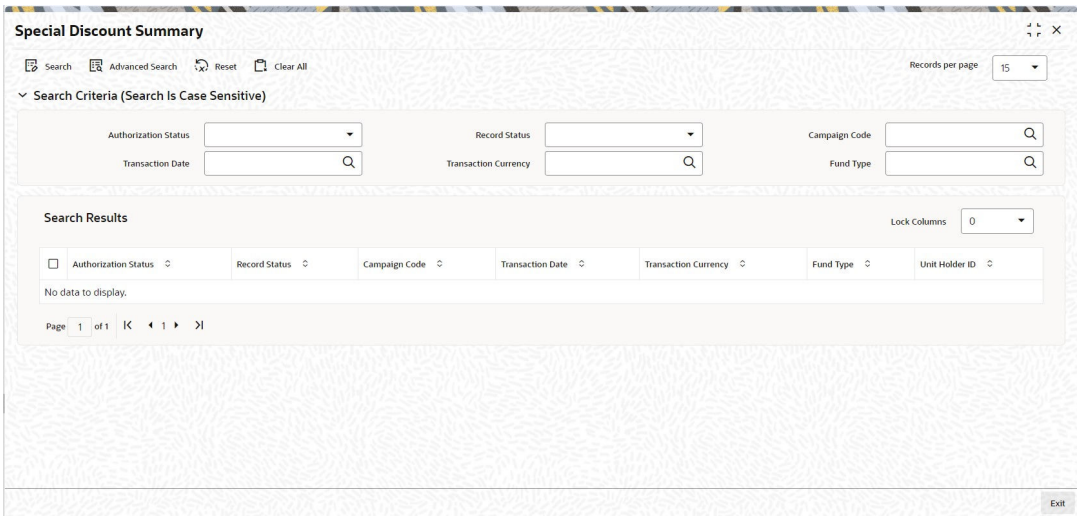
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Special Discount Summary

1. On **Home** screen, type **UTSSPMNT** in the text box, and click **Next**.

   The **Special Discount Summary** screen is displayed.

Figure 4-36 Special Discount Summary



2. On **Special Discount Summary** 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**

- **Campaign Code**
- **Transaction Date**
- **Transaction Currency**
- **Fund Type**

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

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input the Campaign Code
> - Press F8

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

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.

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- View Special Discount Record
  This topic provides the systematic instructions to view Special Discount Record.
- Authorize Special Discount Record
  This topic provides the systematic instructions to authorize Special Discount Record.

4.40.1 View Special Discount Record

This topic provides the systematic instructions to view Special Discount Record.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **Special Discount Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Special Discount Detail** screen is displayed.

4.40.2 Authorize Special Discount Record

This topic provides the systematic instructions to authorize Special Discount Record.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **Special Discount Summary** 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. Double-click the record that you wish to authorize.

   The **Special Discount Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

4.41 Disable Auto Switch

This topic provides information on Disable Auto Switch.

This topic contains the following sub-topics:

- Process Disable Auto Switch
  This topic provides the instructions to process Disable Auto Switch screen.
- BOD Batch
  This topic provides the information about BOD Batch details.
- Process Transactions Logic
  This topic provides the information about Processing Transactions Logic.
- Recomputing NAV
  This topic provides information about recomputing NAV.
- EAR Marking
  This topic provides information about EAR Marking.
- Validations
  This topic provides information about Validations.

4.41.1 Process Disable Auto Switch

This topic provides the instructions to process Disable Auto Switch screen.

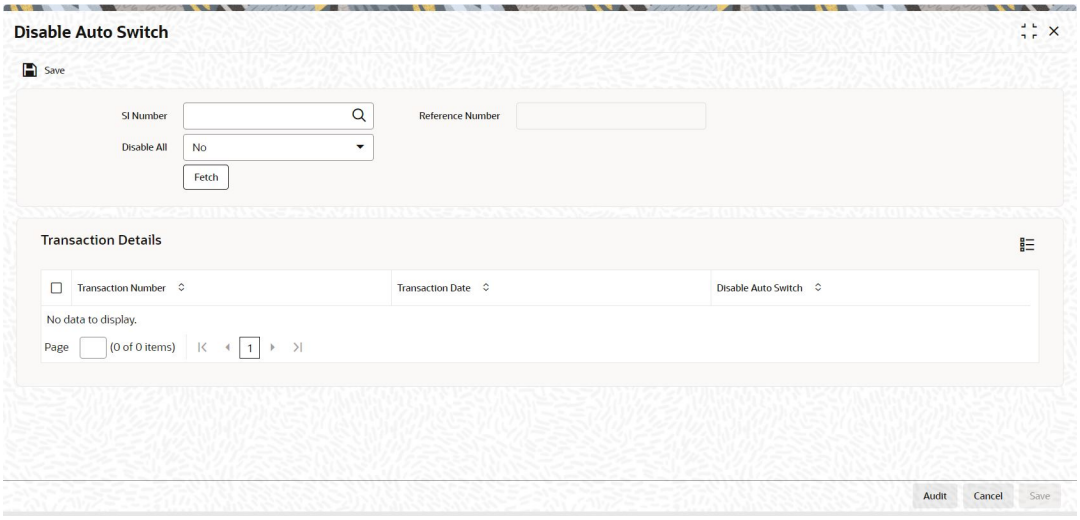
You can view all subscription transactions as part of pseudo switch to target fund for which yield computation will be performed. The system will fetch the data based on the SI number entered.

You can disable a transaction from considering for yield computation. Once disabled, the transaction will not appear in this screen when fetched again. Also you cannot enable a transaction once it is disabled.

1. On **Home** screen, type **UTDAUSWB** in the text box, and click **Next**.

   The **Disable Auto Switch** screen is displayed.

Figure 4-37 Disable Auto Switch



2. On **Disable Auto Switch** screen, specify the fields.

   For more information about the fields, refer the field description table.

Table 4-50 Disable Auto Switch

Field	Description
SI Number	*Alphanumeric; 16 Characters; Mandatory* Specify the SI number of the transactions to be disabled. Alternatively, you can select the SI number from the option list. The list displays all valid SI number maintained in the system.
Reference Number	*Display* The system displays the reference number to maintain data for disabling transactions.

Table 4-50 (Cont.) Disable Auto Switch

Field	Description
Disable All	*Optional* Select if the transaction has to disable or not from the drop-down list. The list displays the following values: • **Yes** • **No** Click **Fetch** button to view the transaction details.

Table 4-51 Disable Auto Switch - Transaction Details

Field	Description
Transaction Number	*Display* The system displays the transaction number.
Transaction Date	*Display* The system displays the transaction Date.
Auto Switch Status	*Optional* Select the auto switch status from the drop-down list. The list displays the following values: • **Disable** - Select this option to disable the transactions for yield computation.

4.41.2 BOD Batch

This topic provides the information about BOD Batch details.

For investment via automated switching mandate with specified yield, the system will process auto switch generation using a BOD batch process. This batch will compute the yield percentage and trigger auto switch back transaction if yield is met.

Yield Computation

Program Name: SPComputeYield

EOD batch process will pick all active switch back standing instruction which are eligible for yield computation.

The system uses the following formula to calculate yield:

[(No of Units * Current NAV Price) - (Cost of each switch transaction)]

_____ x 100%

(Cost of each switch transaction)

For determining if yield % is achieved, the system will execute the job at the beginning of each business (T) day by comparing the cost against the latest price available as on T. If price of T-1 is available, then system will execute the comparison and generation of transactions for funds with NAV prices available for the same business day (T).

For instance, for on-shore (local assets) funds, NAV prices will be available on T-1, say on 27 Jun EOD (8 pm). The system will compare the cost against 27 Jun NAV price or the latest available NAV price on 28 Jun BOD. The system will trigger the transaction for the transaction date 28th Jun.

The cost in Target fund should be the net amount (i.e. switch-in amount less switch-in fee) and captured at each switch order (F1) and is checked against daily market value to monitor the yield movements against the pre-defined yield.

If the expected yield percentage is reached system to generate the switch back transactions on the same business day.

If Target fund has reached the target yield and system day is a fund holiday day for Target fund, system will not generate switch back from Target fund to Source fund. The system will continue to compute the yield from the next business day.

Yield % computation will be computed on fund working day for each F1 transaction and continue to happen till yield % is reached or F2 is terminated.

Even if switch (F1) is terminated, the system will continue to compute yield % till the auto switch back is generated for every F1 transaction or F2 is terminated

Auto Switch Back

Program Name: SPAutoSwitch

The switch back transaction will be always unit based. Auto termination is not applicable for switch back transaction generation (F2).

You can terminate Auto switch back (F2) by updating Enable Auto Switch field as No in SI Maintenance screen to stop generating the switch back transactions. This will only disable switch back of transactions generated after SI amendment date.

In order to disable any generated transaction from switching back, you meed to disable F1 transaction from ‘Disable Auto Switch’ (UTDAUSWB) screen.

Reinvested units in Target fund are classified as lump sum subscription (user-triggered non\u0002short trade units). These reinvested units will not be included in the yield comparison and will not be switched back to Source fund.

The system will consider only redeemable units in target fund for switch back to source fund. Those units in target fund which has been blocked by user for whatever reason should not be switched back to source funds even if the yield is met.

If Source fund does not accept subscriptions and switch-in, switch-out from Source fund to Target fund (F1) should still be allowed.But switch-back from Target fund to Source fund (F2) should not be allowed.

If Target fund does not accept subscriptions and switch-in, switch-out from Source fund to Target fund (F1) should not be allowed. But switch-back from Target fund to Source fund (F2) should be allowed.

You can reverse switch from source to target, provided the units are available in target fund and switch-in is not linked to any outflow. The reversal will be carried out separately for in leg and out leg.

The switch in date of the target yield switch (F2) can be different from switch out date. Same for F1 switch.

The switch back transaction (F2) once generated will be executed even though the yield is below the target yield on date of execution

You can generate switch in transaction on allocation of switch out leg or settlement of switch out leg or a defined dealing cycle (taking into account lag maintenance) depending on the parameterization. Switch-in transaction date will be derived based on the pseudo switch lag maintenance in UTDSWLAG.

Short trade does not apply to the switch-in units in both Source fund and Target fund. No short trade penalty will be levied if the units are redeemed within the short trade period.

Any failure of F1 or F2 transaction generation will be logged in a database table with reason for failure.

> **Note:**
>
> In BOD new package pkgfmggenps_wrapper will be invoked for Pseudo Switch In leg generation. A new parameter PSCHUNKSIZE is been added with default value 1 business can modify to any valid values.

4.41.3 Process Transactions Logic

This topic provides the information about Processing Transactions Logic.

In case of expiry of the risk profile of unit holder, the system will execute standing instruction for switch into target fund (To fund) whose risk rating is low. In case of High or Medium risk rated fund the standing instruction into such funds will fail.

If the risk profile of unit holder is expired, then the system will execute standing instruction for switch-from target (**to fund**) to source fund (**from fund**) whose risk rating is low. In case of High or Medium risk rated source funds the auto-switch will fail.

Pseudo switch transactions generated as part of SI will have a new ref type in system as **44**

If SI from source to target fund fails consecutively for defined count in **SI Auto-Termination Consecutive Counter**, the system will automatically terminate the switch SI mandates. The auto switch back will remain valid and system will continue to check the yield until the transaction is disabled for yield check from **Disable Auto Switch** (**UTDAUSWB**) screen.

You can maintain SI Auto-Termination Consecutive Counter at fund/transaction type level or SI level only.

The system displays the total number of consecutive failures till date in ‘Number of Consecutive Failure’ field in ‘SI Maintenance’ (**UTDSIN**) screen. The system will also log any failures in auto switch back transaction with reason for failure.

In case of a partial redemption on any switch transactions of Target fund, the residual units remain to be covered in the scheme for comparison and will be switched back to Source fund when the yield is reached.

You can reverse switch from ‘Source to target’ and vice-versa based on the availability of units. For instance, if the units in the target fund are either blocked or redeemed and there are no free units available, then the system will not allow the reversal from source to target/ target to source.

For Pseudo switch, you can reverse from transaction screen for Switch (**UTDTXN04**).

The reversal will be carried out separately for in leg and out leg. You can reverse switch from source to target.The system will not validate the availability of units in target fund Switch in reversal provided the switch in is not linked to any outflow.

The switch in date of the target yield switch (F2) can be different from switch out date.

In case of fund merge/ liquidation/ split/ reverse split/ transfer in the Source fund and / or Target fund, the system can terminate the affected funds in the scheme

Fees are NLTP.

In case of cross currency transactions, the system will use the latest FX rate maintained in **UTDEXCRM** (Exchange Rate Maintenance) for arriving at the amount.

In case of non daily priced funds, the switch out and switch in funds will follow respective calendars and maintenances setup and transactions will be generated accordingly

Changing any parameter (manually or by system defaulting) related to SI can result in an SI generation or auto switch back failure. For instance, Investor risk level or fund risk level will be validated as part of SI maintenance. Assume that you reduce the investor risk level to low after SI maintenance, In this case, during SI generation when system again validates the investor risk level and fund risk level, it will not fall in the eligible criteria and transaction generation will fail.

4.41.4 Recomputing NAV

This topic provides information about recomputing NAV.

The system will recompute the yield from the NAV effected period if NAV used for yield computation is corrected. If the revised NAV does not meet the yield, then

- If switch back transaction has not been allocated, it will be reversed by system
- If the transaction has been allocated, it will be reversed subject to availability of units in source fund.
- NAV correction should not regenerate the switch back transaction based on corrected NAV, only reversal will happen.
- Reversals will be logged in a data source for tracking purpose.
- Auto switch back will be enabled.

The system will re-compute the yield based on the revised NAV and compare with the revised NAV and if the revised NAV meets the yield, F2 will not be generated and should be handled operationally by capturing through Switch transaction screen (UTDTXN04). Such transactions will not be subject to short trade,

Example

Table 4-52 Example of Recomputing NAV

Txn No:	Fund	Transaction Date	NAV	Units
PSWI01	EQF1	8-Jan-16	10	1000
PSWI02	EQF1	8-Feb-16	11	1000
PSWI03	EQF1	8-Mar-16	12	1000

Assume the yield % maintained is 30%. On 25-Mar-2016 NAV has reached 13 and yield is met for PSWI01 and a switch back transaction is generated on 26-Mar-2016

If a NAV correction happened for 25-Mar-2016 NAV on 28-Mar-2016;

Case 1: If NAV is corrected to 12.5, recomputed yield will not meet the yield % maintained;

The system will reverse the transaction generated on 26-Mar-2016,if source fund has units available.

The reversed units will be considered for yield computation from 29-Mar-2016.

Case 2: If NAV is corrected to 13.5, recomputed yield will still meet yield % maintained. So no action to be taken as the switch back transaction was already generated on 26-Mar-2016.

Assume the yield % maintained is 30%. On 25-Mar-2016 NAV has reached 12.5, since yield is not met for any inflow no switch back transaction is generated on 26-Mar-2016.

If a NAV correction happened for 25-Mar-2016 on 28-Mar-2016, system will not be re-computing the yield based on new NAV value.

4.41.5 EAR Marking

This topic provides information about EAR Marking.

Holdings in the fund will be earmarked when **Source to Fund** or **Target to Source** switch is generated as follows:

Whenever an outflow transaction is captured, the system will check the unit balance including unallocated units from any other outflow transaction of the same fund. If the unit balance thus calculated is less than the transaction value, the transaction generation will fail for **Insufficient Unit Balance**.

In case of an unallotted unit based or percentage based transactions, the system will identify unallocated units from the transaction details.

In case of an unalloted amount based transaction, system will compute the unalloted units as follows:

Unallotted units = Amount / (Latest Available NAV * (1- Fluctuation %)

> **Note:**
>
> Fluctuation % is a system level param value that can be maintained in Parameter Maintenance Screen (UTDPARAM) considering the maximum load and maximum fluctuation in price that can happen. The systme will maintain the param code as **FLUCTUATIONPERCENT**.

When yield is met for a specific lot of transaction (x units), system will check if the unit balance calculated as mentioned above and will generate the switch back for “x” units or calculated UH balance, whichever is less.

Example

Scenario 1: Balance check for unit based unallocated transaction and EQF1 (Target Fund)

Table 4-53 Example on Balance check for unit based unallocated transaction

Date	Transaction	Units	Comments
1-Oct-16	Pseudo Switch In	100	-
5-Oct-16	Redemption	30	This redemption to be allocated on 07-Oct-2016
-	30 units in this transaction will be ear marked	-	-
6-Oct-17	Pseudo Switch Out	70	Yield is met, switch back generated for (100-30) un

Scenario 2: Balance check for amount based unallocated transaction and EQF1 (Target Fund)

Table 4-54 Example on Balance check for amount based unallocated transaction

Date	Transaction	Units	Comments
1-Oct-16	Pseudo Switch In	100	-
5-Oct-16	Redemption for TWD 300 using latest NAV as 10. Hence 30 units would be ear marked.	30	This redemption to be allocated on 07-Oct-2016
6-Oct-17	Pseudo Switch Out	70	Yield is met, switch back generated for (100-30) units

During actual allocation of Redemption transaction in above examples, if the allocated units are;

Greater than calculated units (30 units), auto switch back or redemption will fail for insufficient balance error based on which transaction is allocated first.

Less than calculated units (30 units), the particular lot will have residual units which will not be considered for yield computation and will not be switched back.

Scenario 3: Balance check for unit based unallocated transaction with Transaction types and EQF1 (Target Fund)

Table 4-55 Example on Balance check for unit based unallocated transaction with Transaction types

Txn types	Date	Transaction	Units	Comments
SWI1	1-Oct-16	Pseudo Switch In	100	-
SUB1	2-Oct-16	Subscription	50	-
RED1	5-Oct-16	Redemption	30	This redemption to be allocated on 07-Oct-2016 and aged against SWI1
SWO1	6-Oct-17	Pseudo Switch Out	70	Yield is met, switch back generated for (100-30) units

Scenario 4: Balance check for unit based unallocated transaction with Transaction types and EQF1 (Target Fund) along with order of allocation

Table 4-56 Example on Balance check for unit based unallocated transaction with Transaction types and EQF1 (Target Fund) along with order of allocation

Txn types	Date	Transaction	Units	Comments
SWI1	1-Oct-16	Pseudo Switch In	100	-
SUB1	5-Oct-16	Subscription	50	Allotted
RED1	6-Oct-16	Redemption	20	Allotted
RED1	7-Oct-16	Redemption	30	Unallotted
SWO1	10-Oct-17	Pseudo Switch Out	50	Remaining units from SWI1
RED1	15-Oct-16	Redemption	50	-

In this scenario SWO1 may fail during allocation depending on the order of allocation of SWO1 and RED3.

Scenario 5

Table 4-57 Scenario 5

Txn types	Txn Date	Transaction	Units	Comments
SUB1	10-Oct-16	Lump sum	500	-
SWI1	15-Oct-16	RIS - Switch-in	100	-
RED1	17-Oct-16	Redemption	120	Unallotted
SWO1	20-Oct-17	Auto-switch	100	-

Scenario 5 - Case 1

Table 4-58 Scenario 5 - Case 1

Ageing Sequence	Units
RSP	1
Lump sum	2
RIS	3

Auto-switch will be successful

Scenario 5 - Case 2

Table 4-59 Scenario 5 - Case 2

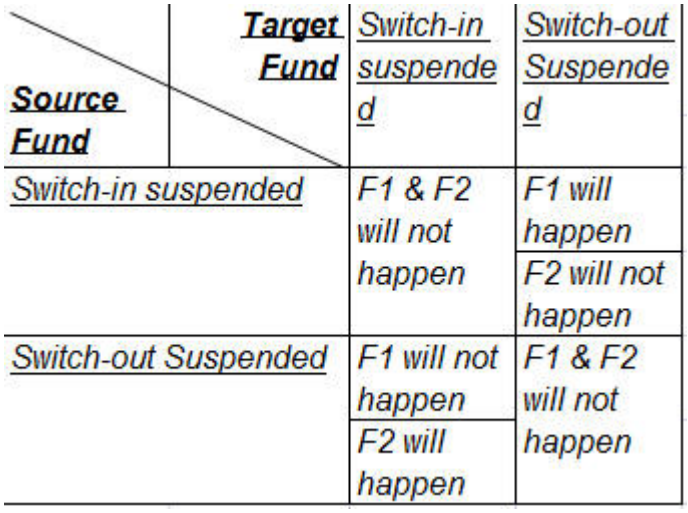
Ageing Sequence	Units
RIS	1
Lump sum	2
RSP	3

Auto-switch may fail, because redemption may age out from RIS

Fund Suspension

If either source fund or target fund is suspended, neither **source to target switch** nor **target to source switch** will happen.

Figure 4-38 Transaction Suspension



Source Fund \ Target Fund	Switch-in suspended	Switch-out Suspended
Switch-in suspended	F1 & F2 will not happen	F1 will happen F2 will not happen
Switch-out Suspended	F1 will not happen F2 will happen	F1 & F2 will not happen

4.41.6 Validations

This topic provides information about Validations.

- The limit check for switch into source funds will follow the fund rule maintenance (Transaction Limit maintained in Transaction Processing Rule). The system will check if the inflow limit validations is maintained at the fund rules
- Events such as insufficient units, minimum holdings check failure and investor risk level check failure will trigger failure on switch-out of Source fund. These failures will increment the Number of consecutive failures count.
- The system will check for the unit holder risk rating with target fund during execution of F1 (Source to Target switch) and with source fund during execution of F2 (Target to Source) of standing instructions (SI's).
- The system will check for the expiry date of the unit holder risk profile.
- The system will perform the standard checks on the switch-out leg (for instance, minimum redemption, minimum holding, etc) and switch-in leg (for instance minimum subscription, etc) for F1(Source to Target switch).

4.42 Disable Auto Switch Summary

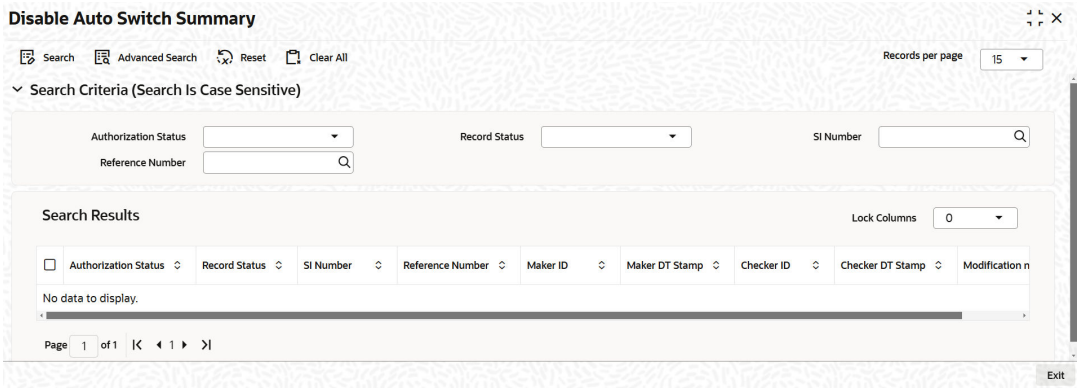
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Disable Auto Switch

1. On **Home** screen, type **UTSAUSWB** in the text box, and click **Next**.

   The **Disable Auto Switch Summary** screen is displayed.

Figure 4-39 Disable Auto Switch Summary



2. On **Disable Auto Switch Summary** 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**
   - **SI Number**
   - **Reference Number**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input Fund ID
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list.

- Edit Disable Auto Switch Record
  This topic provides the systematic instructions to edit Disable Auto Switch Record.
- View Disable Auto Switch Record
  This topic provides the systematic instructions to view Disable Auto Switch Record.
- Delete Disable Auto Switch Record
  This topic provides the systematic instructions to delete Disable Auto Switch Record.
- Authorize Disable Auto Switch Record
  This topic provides the systematic instructions to authorize Disable Auto Switch Record.

4.42.1 Edit Disable Auto Switch Record

This topic provides the systematic instructions to edit Disable Auto Switch Record.

Modify the details of a cheque book request record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **Disable Auto Switch Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Disable Auto Switch Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Disable Auto Switch Detail** screen is closed and the changes made are reflected in the **Disable Auto Switch Summary** screen.

4.42.2 View Disable Auto Switch Record

This topic provides the systematic instructions to view Disable Auto Switch Record.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **Disable Auto Switch Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Disable Auto Switch Detail** screen is displayed.

4.42.3 Delete Disable Auto Switch Record

This topic provides the systematic instructions to delete Disable Auto Switch Record.

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

1. Start the **Disable Auto Switch Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Disable Auto Switch Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.42.4 Authorize Disable Auto Switch Record

This topic provides the systematic instructions to authorize Disable Auto Switch Record.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **Disable Auto Switch Summary** 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. Double-click the record that you wish to authorize.

   The **Disable Auto Switch Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

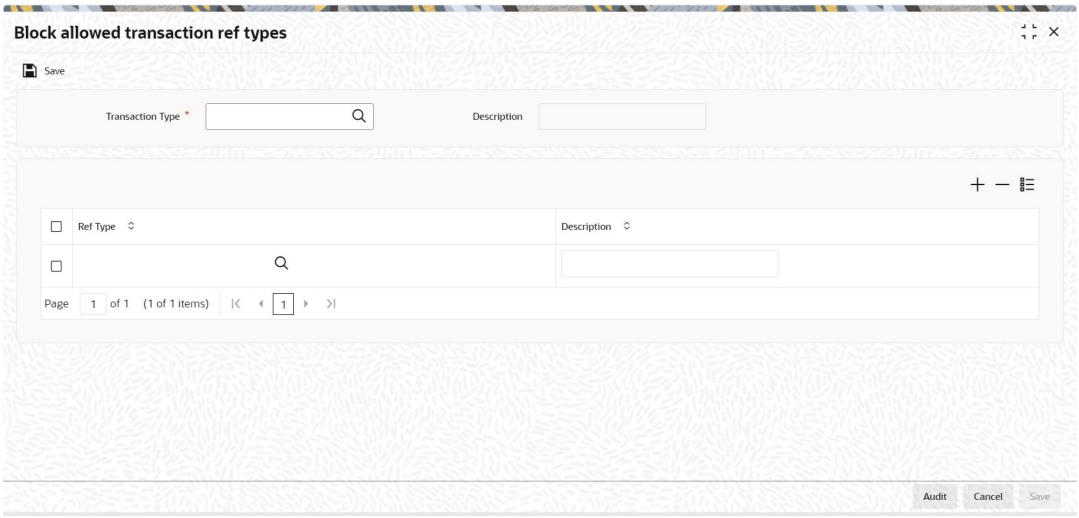
4.43 Process Block Allowed Transaction Ref Types

This topic provides the instructions to configure the Ref types pertaining to IPO subscription and subscription transaction types for amount block reference types in FCIS system.

1. On **Home** screen, type **UTDREFMA** in the text box, and click **Next**.

   The **Block Allowed Transaction Ref Types** screen is displayed.

Figure 4-40 Block Allowed Transaction Ref Types



2. On **Block Allowed Transaction Ref Types** screen, specify the fields.

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

Table 4-60 Block Allowed Transaction Ref Types

Field	Description
Transaction Type	*Alphanumeric; 2 Characters; Mandatory* Select the transaction type for which system is sending block request. Alternatively, you can select type of transaction from the option list. The list displays all valid transaction type maintained in the system.
Description	*Display* The system displays the description for the selected transaction type.
Ref Type	*Alphanumeric; 2 Characters; Mandatory* Select the ref type. Alternatively, you can select ref type from the option list. The list displays all valid transaction type maintained in the system.
Description	*Display* The system displays the description for the selected ref type.

4.44 Block Allowed Transaction Ref Types Summary

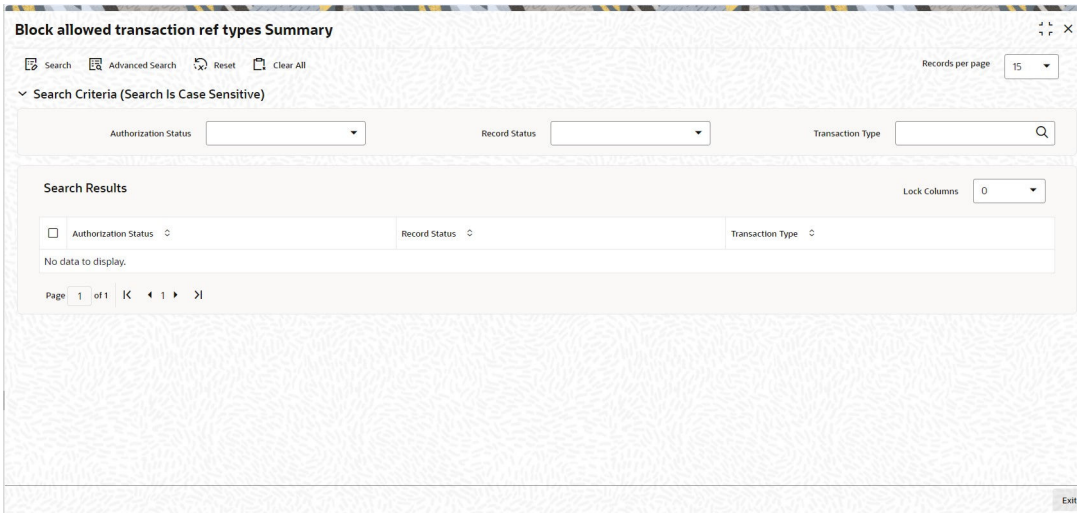
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Block Allowed Transaction Ref Types

1. On **Home** screen, type **UTSREFMA** in the text box, and click **Next**.

   The **Block Allowed Transaction Ref Types Summary** screen is displayed.

Figure 4-41 Block Allowed Transaction Ref Types Summary



2. On **Block Allowed Transaction Ref Types Summary** screen, specify any or all of the following details in the corresponding fields:
   - The status of the record in the **Authorized** field. If you choose the `Blank Space` option, then all the records are retrieved.
   - The status of the record in the **Open** field. If you choose the `Blank Space` option, then all records are retrieved.
   - **Transaction Type**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input the Transaction Type
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list.

- Edit Block Allowed Transaction Ref Type Record
  This topic provides the systematic instructions to edit Block Allowed Transaction Ref Type record.
- View Block Allowed Transaction Ref Type Record
  This topic provides the systematic instructions to view Block Allowed Transaction Ref Type record.
- Delete Block Allowed Transaction Ref Type Record
  This topic provides the systematic instructions to delete Block Allowed Transaction Ref Type record.

- Authorize Block Allowed Transaction Ref Type Record
  This topic provides the systematic instructions to authorize Block Allowed Transaction Ref Type record.
- Amend Block Allowed Transaction Ref Type Record
  This topic provides the systematic instructions to amend Block Allowed Transaction Ref Type record.
- Authorize an Amended Block Allowed Transaction Ref Type Record
  This topic provides the systematic instructions to authorize amended Block Allowed Transaction Ref Type record.

4.44.1 Edit Block Allowed Transaction Ref Type Record

This topic provides the systematic instructions to edit Block Allowed Transaction Ref Type record.

Modify the details of a cheque book request record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **Block Allowed Transaction Ref Types Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Block Allowed Transaction Ref Types Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Block Allowed Transaction Ref Types Detail** screen is closed and the changes made are reflected in the **Block Allowed Transaction Ref Types Summary** screen.

4.44.2 View Block Allowed Transaction Ref Type Record

This topic provides the systematic instructions to view Block Allowed Transaction Ref Type record.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **Block Allowed Transaction Ref Types Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Block Allowed Transaction Ref Types Detail** screen is displayed.

4.44.3 Delete Block Allowed Transaction Ref Type Record

This topic provides the systematic instructions to delete Block Allowed Transaction Ref Type record.

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

1. Start the **Block Allowed Transaction Ref Types Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Block Allowed Transaction Ref Types Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.44.4 Authorize Block Allowed Transaction Ref Type Record

This topic provides the systematic instructions to authorize Block Allowed Transaction Ref Type record.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **Block Allowed Transaction Ref Types Summary** 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. Double-click the record that you wish to authorize.

   The **Block Allowed Transaction Ref Types Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

4.44.5 Amend Block Allowed Transaction Ref Type Record

This topic provides the systematic instructions to amend Block Allowed Transaction Ref Type 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 **Block Allowed Transaction Ref Types Summary** 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. Double-click the record that you wish to amend.

   The **Block Allowed Transaction Ref Types Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.44.6 Authorize an Amended Block Allowed Transaction Ref Type Record

This topic provides the systematic instructions to authorize amended Block Allowed Transaction Ref Type record.

1. Authorize an amended Cheque Book Request record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The process of subsequent authorization is the same as that for normal transactions.

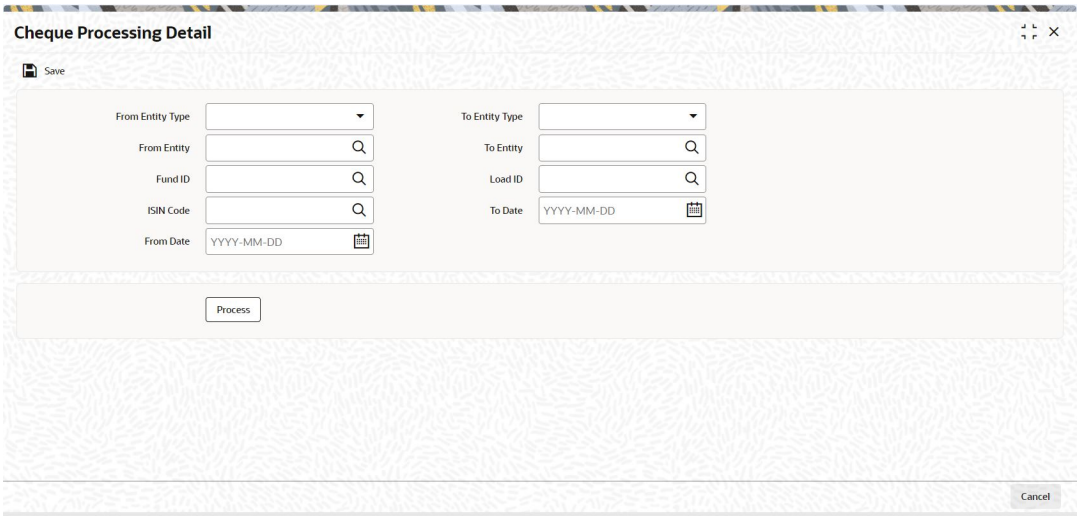
4.45 Process Cheque Processing Detail

This topic provides the instructions to process cheques.

1. On **Home** screen, type **UTDCHEQP** in the text box, and click **Next**.

   The **Cheque Processing Detail** screen is displayed.

Figure 4-42 Cheque Processing Detail



2. On **Cheque Processing Detail** screen, specify the fields.

   For information on fields, refer the field description table.

Table 4-61 Cheque Processing Detail

Field	Description
From Entity Type	*Optional* Select the entity type from which the cheque processing is initiating from the drop-down list. The list displays the following values: • **AMC** • **Distributor** • **Fund**
To Entity Type	*Optional* Select the entity type to which the cheque amount is being played from the drop-down list. The list displays the following values: • **Agent** • **AMC** • **Branch** • **Distributor** • **Registrar** • **Trustee Agent** • **AMC** • **Branch** • **Distributor** • **Registrar** • **Trustee**
From Entity	*Alphanumeric; 12 Characters; Optional* Specify the entity from which the cheque processing is initiating. Alternatively, you can select **From Entity ID** from the option list. The list displays valid From Entity ID maintained in the system.
To Entity	*Alphanumeric; 12 Characters; Optional* Specify the entity to which the cheque amount is being payed. Alternatively, you can select **To Entity ID** from the option list. The list displays valid To Entity ID maintained in the system.

Table 4-61 (Cont.) Cheque Processing Detail

Field	Description
Fund ID	*Alphanumeric; 12 Characters; Optional* Specify the fund ID. Alternatively, you can select Fund ID from the option list. The list displays valid Fund ID maintained in the system.
ISIN Code	*Alphanumeric; 25 Characters; Optional* The system displays the ISIN code if you have specified the fund ID. Else, specify the ISIN code. Alternatively, you can select ISIN code from the option list. The list displays valid ISIN code maintained in the system. The system displays the ISIN code if you have specified the fund ID and vice versa.
Load ID	*Numeric; 5 Characters; Optional* Specify the load ID for the cheque processing. Alternatively, you can select Load ID from the option list. The list displays valid Load ID maintained in the system.
From Date	*Date Format; Optional* Select the date from which the cheques are to be processed from the adjoining calendar.
To Date	*Date Format; Optional* Select the date to which the cheques are to be processed from the adjoining calendar. You can initiate the cheque processing activity by clicking the **Process** button.

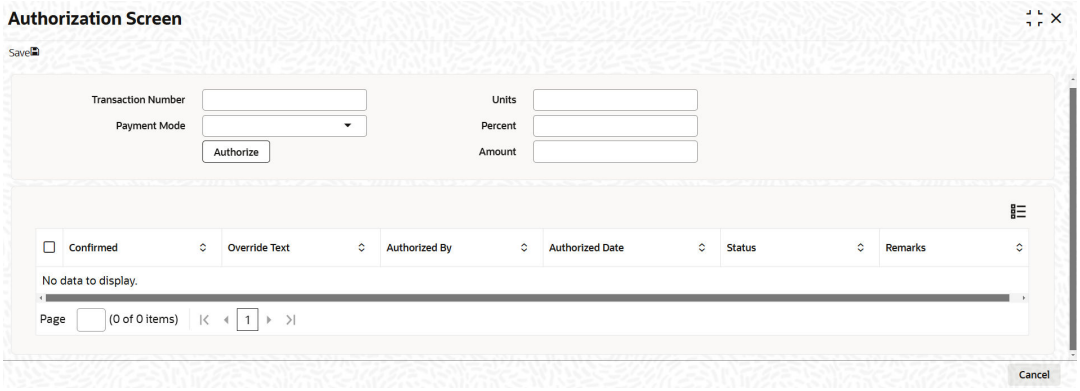
4.46 Process Authorization

This topic provides the instructions to process Authorization.

1. On **Home** screen, type **UTDTXNAU** in the text box, and click **Next**.

   The **Authorization Screen** is displayed.

Figure 4-43 Authorization Screen



2. On **Authorization Screen** screen, specify the fields.

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

Table 4-62 Authorization Screen

Field	Description
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number to be queried and worked upon.
Payment Mode	*Optional* Select the mode of payment from the drop-down list. The list displays the following values: • **Cash** • **Demand Draft** • **Pay Order** • **Against Payment** • **Inkind Payment** • **CMA Cheque** • **Broker Cheque** • **Cashier Cheque** • **Foreign Cheque** • **Government Cheque** • **Other Institution Cheque** • **Local Cheque** • **Out of Town Cheque** • **Payroll Deduction** • **Cheque** • **Reserve Bank Cheque** • **Debit Card** • **Credit Card** • **Advice**
Units	*Numeric; 27 Characters; Optional* Specify the units applied.
Percent	*Numeric; 9 Characters; Optional* Specify the units applied.
Amount	*Numeric; 18 Characters; Optional* Specify the units applied. Click **Authorize** button to authorize the transaction. The system displays the following values: • **Confirmed** • **Override Text** • **Authorized By** • **Authorized Date** • **Status** • **Remarks**

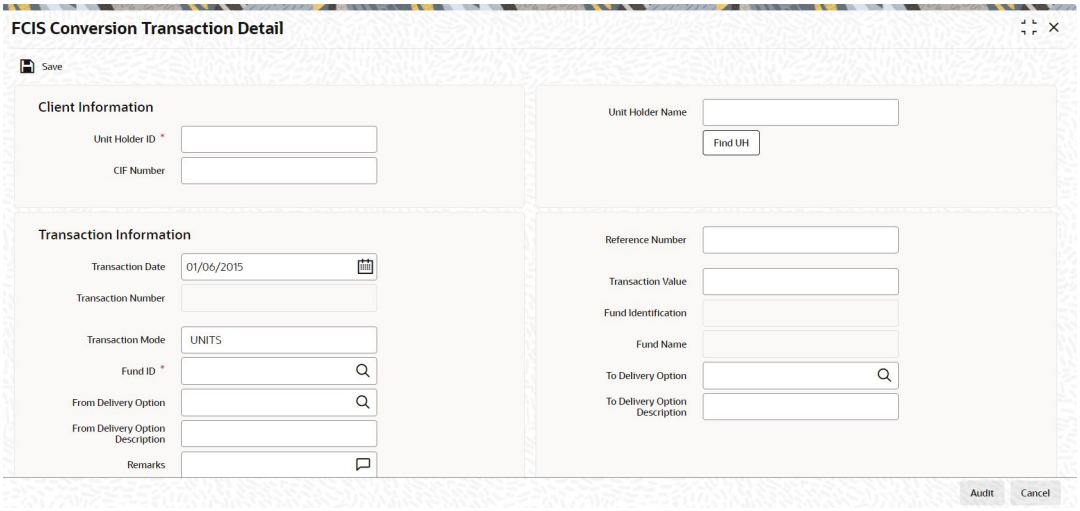
4.47 Process FCIS Conversion Transaction Detail

This topic provides the instructions to process FCIS Conversion Transaction Detail.

1. On **Home** screen, type **UTDCNVTX** in the text box, and click **Next**.

   The **FCIS Conversion Transaction Detail** screen is displayed.

Figure 4-44 FCIS Conversion Transaction Detail



2. On **FCIS Conversion Transaction Detail** screen, specify the fields.

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

Table 4-63 FCIS Conversion Transaction Detail - Client Information

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder ID. You can query for unit holder ID by clicking **Find UH** button.
Unit Holder Name	*Display* The system displays the name of the selected unit holder ID.
CIF Number	*Display* The system displays the CIF number for the selected unit holder ID.

Table 4-64 FCIS Conversion Transaction Detail - Transaction Information

Field	Description
Transaction Date	*Date Format; Mandatory* The system displays the transaction date. However, you can amend the transaction date from the adjoining calendar.
Transaction Number	*Display* The system displays the transaction number.
Reference Number	*Alphanumeric; 16 Characters; Optional* Specify the reference number
Transaction Value	*Alphanumeric; 27 Characters; Mandatory* Specify the value of the transaction.

Table 4-64 (Cont.) FCIS Conversion Transaction Detail - Transaction Information

Field	Description
Currency Name	*Mandatory* Select the mode in which the transaction value will be reckoned from the drop-down list. The list displays the following values: • **Amount** • **Percent** • **Units** **Note:** Transaction Mode will be enabled for only Pseudo switch transactions.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Fund Identification	*Display* The system displays the Fund Identification Number for the selected fund ID.
Fund Name	*Display* The system displays the name of the selected fund ID.
From Delivery Option	*Alphanumeric; 1 Character; Optional* Specify **From Delivery Option**. Alternatively, you can select **From Delivery Option** code from the option list. The list displays all valid **From Delivery Option** maintained in the system.
From Delivery Option Description	*Display* The system displays the name of the selected **From Delivery Option** code.
To Delivery Option	*Alphanumeric; 1 Character; Optional* Specify To delivery option. Alternatively, you can select **To Delivery Option** code from the option list. The list displays all valid **To Delivery Option** maintained in the system.
From Delivery Option Description	*Display* The system displays the name of the selected **To Delivery Option** code.
Remarks	*Alphanumeric; 255 Characters;* Optional Specify remarks, if any.

- From Delivery Details Tab
  This topic explains the From Delivery Details tab of **FCIS Conversion Transaction Detail** screen.
- To Delivery Details
  This topic explains the To Delivery Details tab of **FCIS Conversion Transaction Detail** screen.

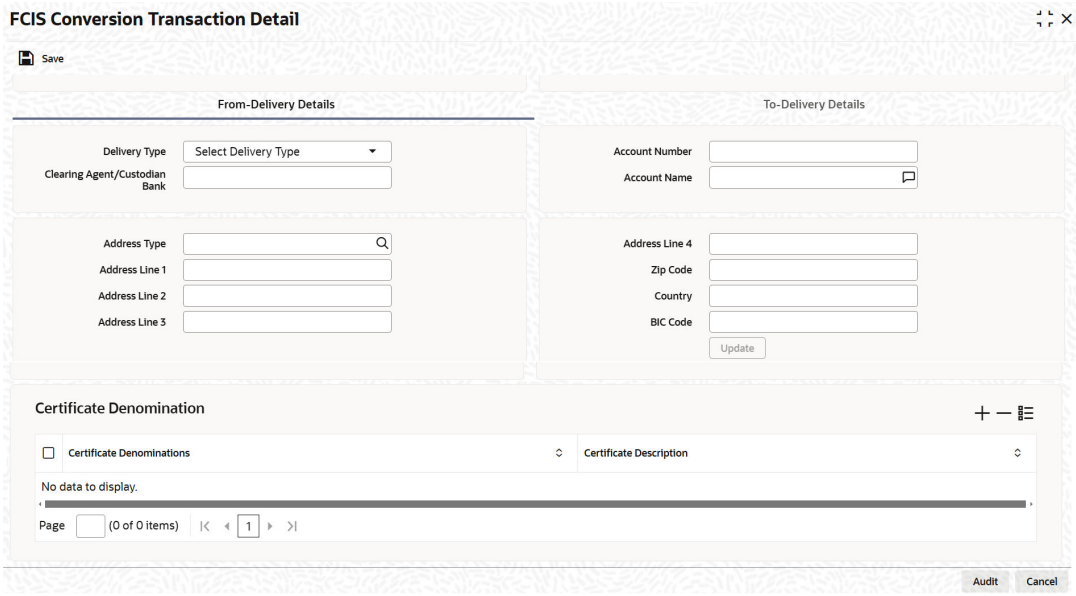
4.47.1 From Delivery Details Tab

This topic explains the From Delivery Details tab of **FCIS Conversion Transaction Detail** screen.

1. On **FCIS Conversion Transaction Detail**, click **From Delivery Details** tab to view the following details.

   The **FCIS Conversion Transaction Detail - From Delivery** details are displayed.

Figure 4-45 From Delivery Details



2. On the **From Delivery Details** tab, specify the fields.

   For more information, refer to the field description table.

Table 4-65 From Delivery Details Tab

Field	Description
Delivery Type	*Display* Select the type of delivery from the drop-down list. The list displays the following values: • **Self** • **Third Party**
Custodian Agent/ Custodian Bank	*Alphanumeric; 12 Characters; Optional* Specify the custodian agent or custodian bank details.
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
Account Name	*Alphanumeric; 140 Characters; Optional* Specify the name of the account holder.
Address Type	*Alphanumeric; 2 Characters; Optional* Specify the type of address. Alternatively, you can select address type ID from the option list. The list displays all valid address maintained in the system.
Address Line 1-4	*Alphanumeric; 105 Characters; Optional* Specify the address details of the customer.
Zip Code	*Alphanumeric; 10 Characters; Optional* Specify zip code details.
Country	*Alphanumeric; 3 Characters; Optional* Specify the country code.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the BIC Code.

Table 4-66 From Delivery Details - Certificate Denomination

Field	Description
Certificate Denominations	*Alphanumeric; 200 Characters; Optional* Specify the certificate denomination details.
Certificate Description	*Alphanumeric; 34 Characters; Optional* The system displays the transaction number.

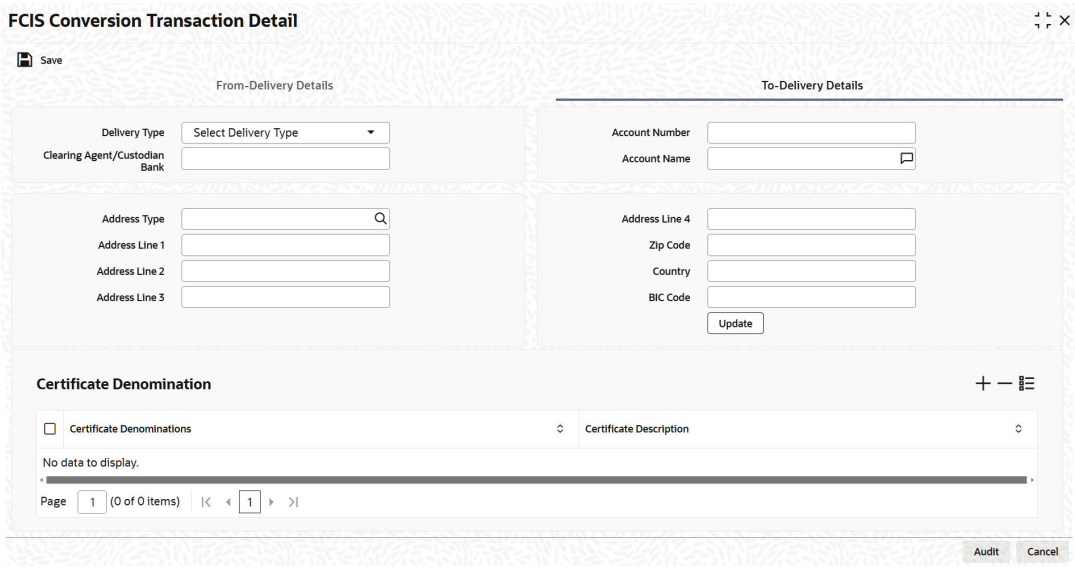
4.47.2 To Delivery Details

This topic explains the To Delivery Details tab of **FCIS Conversion Transaction Detail** screen.

1. Click the **To Delivery Details** tab in the **FCIS Conversion Transaction Detail** screen to specify the delivery details.

   The **To Delivery Details** are displayed in the **FCIS Conversion Transaction Detail** screen.

Figure 4-46 To Delivery Details



2. On the **To Delivery Details** tab, specify the fields.

   For more information, refer to the field description table.

Table 4-67 To Delivery Details Tab

Field	Description
Delivery Type	*Display* Select the type of delivery from the drop-down list. The list displays the following values: • **Self** • **Third Party**
Custodian Agent/ Custodian Bank	*Alphanumeric; 12 Characters; Optional* Specify the custodian agent or custodian bank details.

Table 4-67 (Cont.) To Delivery Details Tab

Field	Description
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
Account Name	*Alphanumeric; 140 Characters; Optional* Specify the name of the account holder.
Address Type	*Alphanumeric; 2 Characters; Optional* Specify the type of address. Alternatively, you can select address type ID from the option list. The list displays all valid address maintained in the system.
Address Line 1-4	*Alphanumeric; 105 Characters; Optional* Specify the address details of the customer.
Zip Code	*Alphanumeric; 10 Characters; Optional* Specify zip code details.
Country	*Alphanumeric; 3 Characters; Optional* Specify the country code.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the BIC Code.

Table 4-68 To Delivery Details - Certificate Denomination

Field	Description
Certificate Denominations	*Alphanumeric; 200 Characters; Optional* Specify the certificate denomination details.
Certificate Description	*Alphanumeric; 34 Characters; Optional* The system displays the transaction number.

4.48 FCIS Conversion Transaction Summary

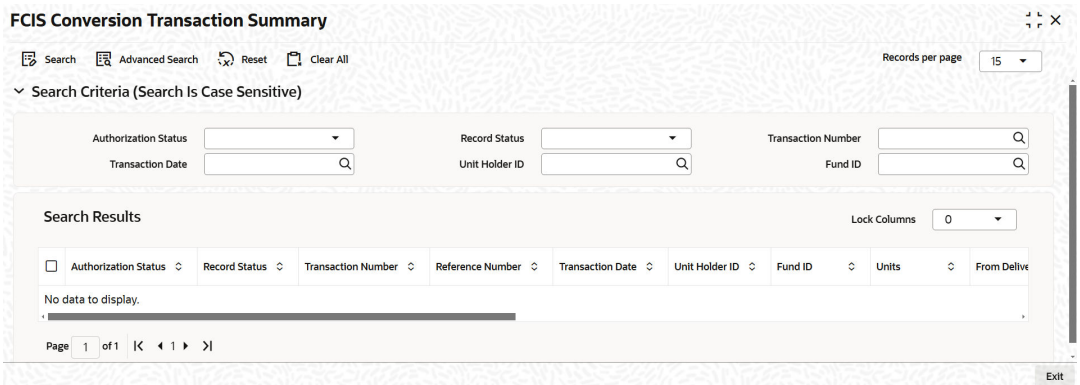
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Conversion Transaction Record in Summary

1. On **Home** screen, type **UTSCNVTX** in the text box, and click **Next**.

   The **FCIS Conversion Transaction Summary** screen is displayed.

Figure 4-47 FCIS Conversion Transaction Summary



2. On **FCIS Conversion Transaction Summary** 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**
   - **Transaction Number**
   - **Transaction Date**
   - **Unit Holder ID**
   - **Fund ID**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input Fund ID
> - Press F8

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 % and alphanumeric value.

- View Conversion Transaction Record
  This topic provides the systematic instructions to view Conversion Transaction record.
- Delete Conversion Transaction Record
  This topic provides the systematic instructions to delete Conversion Transaction record.
- Authorize Conversion Transaction Record
  This topic provides the systematic instructions to authorize Conversion Transaction record.
- Amend Conversion Transaction Record
  This topic provides the systematic instructions to amend Conversion Transaction record.
- Authorize an Amended Conversion Transaction Record
  This topic provides the systematic instructions to authorize an amended Conversion Transaction record.

4.48.1 View Conversion Transaction Record

This topic provides the systematic instructions to view Conversion Transaction record.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **FCIS Conversion Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Conversion Transaction Detail** screen is displayed.

4.48.2 Delete Conversion Transaction Record

This topic provides the systematic instructions to delete Conversion Transaction record.

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

1. Start the **FCIS Conversion Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Conversion Transaction Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

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

4.48.3 Authorize Conversion Transaction Record

This topic provides the systematic instructions to authorize Conversion Transaction record.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **FCIS Conversion Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Conversion Transaction Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

4.48.4 Amend Conversion Transaction Record

This topic provides the systematic instructions to amend Conversion Transaction 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 **FCIS Conversion Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Conversion Transaction Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.48.5 Authorize an Amended Conversion Transaction Record

This topic provides the systematic instructions to authorize an amended Conversion Transaction record.

1. Authorize an amended Cheque Book Request record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The process of subsequent authorization is the same as that for normal transactions.

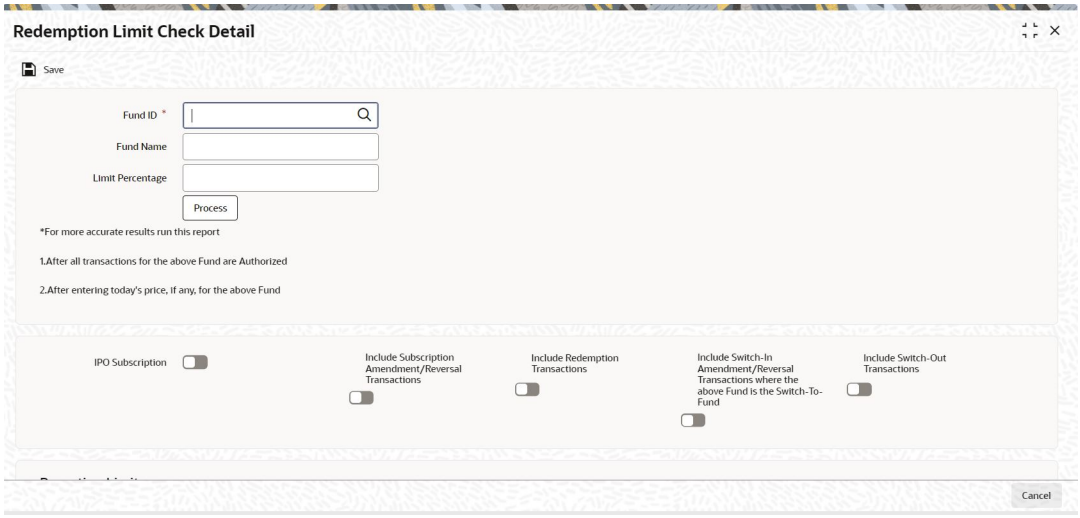
4.49 Process Redemption Limit Check Detail

This topic provides the instructions to process Redemption Limit Check Detail.

1. On **Home** screen, type **UTDREDLC** in the text box, and click **Next**.

   The **Redemption Limit Check Detail** screen is displayed.

Figure 4-48 Redemption Limit Check Detail



2. On **Redemption Limit Check Detail** screen, specify the fields.

   For more information, refer to the field description table.

Table 4-69 Redemption Limit Check Detail

Fields	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund IDs maintained in the system.
Fund Name	*Display* The system displays the name of the selected fund ID.
Limit Percentage	*Alphanumeric; 3 Characters; Mandatory* Specify the limit percentage details. Check the required check boxes in the following list and click **Process** button: • IPO Subscription • Include Subscription Amendment/Reversal Transactions • Include Redemption Transactions • Include Switch-In Amendment/Reversal Transactions where the above Fund is the Switch-To-Fund • Include Switch-Out Transactions.

3. You can view the following values once the report is processed.

   The system displays the following values:

   Reporting Limit

   - Fund ID
   - Fund Name
   - Unit Holder ID
   - Transaction Number
   - Units Allotted
   - Projected Units

- Outstanding Units
- Limit Percentage
- Units Allowed to be Allotted
- Limit Exceeded
- Limit Exceeded By
- Limit Exceeded By %

However, you can amend these values.

5

Adjustment and Amount Block Transactions

This topic provides information about Adjustment and Amount Block Transactions.

The system provides a facility to capture transactions for which a specific price, other than the prevalent transaction base price at the time of entry, is applicable. These transactions are typically representative of holdings of an investor in any external agency of any kind, which need to be reflected in the system. They are known as adjustment transactions.

Typically, for such transactions, no processing is done in the system with respect to computation of charges or fund prices. All these computations are done externally and the information is only captured as data in the FC-IS system.

This topic contains the following sub-topics:

- Adjustment Redemption Transaction Detail
  This topic provides the systematic instructions to process Adjustment Redemption Transaction Detail.
- Adjustment Redemption Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Adjustment Subscription Transaction Detail
  This topic provides the systematic instructions to process Adjustment Subscription Transaction Detail.
- Adjustment Subscription Transaction Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Amount Block Detail
  This topic provides the instructions to process Block Transactions by Amounts.
- Process FCIS Amount Unblock Detail
  This topic provides the instructions to process Unblock Transactions by Amounts.
- Redeem Units for Unblocked Amounts
  This topic provides information on Redeem Units for Unblocked Amounts.
- Process Amount Block Log Details
  This topic provides the instructions to log amount block details.

5.1 Adjustment Redemption Transaction Detail

This topic provides the systematic instructions to process Adjustment Redemption Transaction Detail.

This topic contains the following sub-topics:

- Process Adjustment Redemption Transaction Detail
  This topic provides the instructions to capture new adjustment transactions through the Adjustment Subscription (for subscriptions into the fund) and the Adjustment Redemption screens (for redemption from the fund).

- Transaction Intermediary
  This topic explains the Transaction Intermediary button of the Transaction screen.
- Transaction Add Info
  This topic explains the Transaction Add Info button of the Transaction screen.
- Load Details
  This topic explains the Load Details button of the Transaction screen.
- Document Details
  This topic explains the Document Details button of the Transaction screen.
- Payment Details
  This topic explains the Document Details button of the Transaction screen.

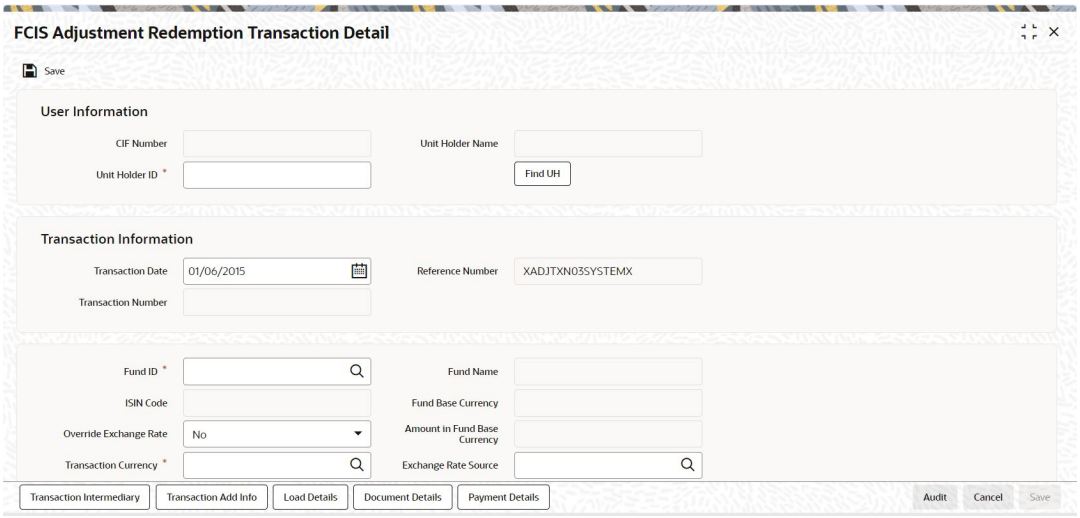
5.1.1 Process Adjustment Redemption Transaction Detail

This topic provides the instructions to capture new adjustment transactions through the Adjustment Subscription (for subscriptions into the fund) and the Adjustment Redemption screens (for redemption from the fund).

1. On **Home** screen, type **UTDADJ03** in the text box, and click **Next**.

   The **FCIS Adjustment Redemption Transaction Detail** screen is displayed.

Figure 5-1 FCIS Adjustment Redemption Transaction Detail



2. On **FCIS Adjustment Redemption Transaction Detail** screen, specify the fields.

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

Table 5-1 FCIS Block Transaction Detail - User Information

Field	Description
CIF Number	*Display* The system displays the CIF number.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder for whom the transaction request is being entered. You can also query for unit holder ID by clicking **Find UH** button.

Table 5-1 (Cont.) FCIS Block Transaction Detail - User Information

Field	Description
Unit Holder Name	*Display* The system displays the name of the selected unit holder ID.

Table 5-2 FCIS Block Transaction Detail - Transaction Details

Field	Description
Transaction Date	*Date Format; Optional* Specify the date on which the adjustment transaction is accepted in the system. By default, the application date is displayed here. If backdating is allowed for the fund, then the user can enter a date that is between the application date and the backdating limit specified for the Fund in the Transaction Processing Rules setup for this transaction type. Further, if the back dating period is specified for the fund, then this limit will override the limit specified for the fund.
Transaction Number	*Display* The system displays the transaction number.
Reference Number	*Display* For all adjustment transactions, the system affixes the following alphanumeric value as the reference number: **XADJTXN02SYSTEMX** (For subscription adjustment transactions) **XADJTXN03SYSTEMX** (For redemption adjustment transactions) The reference number will be used to identify the adjustment transaction uniquely in the system.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Select the name of the fund in which the specified unit holder wishes to subscribe, from the list provided. The drop-down list is populated based on the unit holder specified, in the following manner: The nationality of the specified unit holder is reckoned from the information provided in the unit holder's account profile. Only those funds that contain the country of domicile of the unit holder in their Fund Residency list are populated here. Only funds that belong to the AMC of the specified unit holder are populated here.
Fund Name	*Display* The system displays the fund name for the selected fund ID.
ISIN Code	*Display* The system displays the ISIN code for the selected fund ID.
Fund Base Currency	*Display* The base currency of the specified fund is displayed here.
Override Exchange Rate?	*Optional* Select **Yes**, from the drop-down list if you want to override the computed exchange rate. Else select **No**.
Amount in Fund Base Currency	*Display* The system displays the amount in fund base currency.

Table 5-2 (Cont.) FCIS Block Transaction Detail - Transaction Details

Field	Description
Transaction Currency	*Alphanumeric; 3 Characters; Mandatory* Select the currency in which the payments for the adjustment transaction will be made or accepted. The drop down list contains currencies that are valid as transaction currencies for the fund, from the Fund Transaction Currency list. If the specified unit holder's currency is a valid transaction currency for the fund, it is displayed here by default. If not, the **Fund Base Currency** is displayed here by default. In either case, the unit holder can alter the currency and specify any currency from the list.
Currency Name	*Display only* Once you have specified the Transaction currency applicable for the adjustment transaction, the name of the currency is displayed in this field.
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Select the exchange rate source from which the exchange rates are to be derived for the adjustment transaction. The default source for the AMC is displayed here, from the Defaults Maintenance.
Exchange Rate Applied	*Numeric; 21 Characters; Optional* Specify the exchange rate applied. To compute the exchange rate that will be applied for the adjustment transaction, click **Calculate** button. The system computes the exchange rate and displays it in the Exchange Rate Applied field.
Remarks	*Alphanumeric; 255 Characters; Optional* Enter any text explaining or relating to the adjustment transaction.
Adjustment Price	*Numeric; 9 Characters; Mandatory* Specify the adjustment price.
Units	*Numeric, 27 Characters; Mandatory* Specify the number of units applied for by the unit holder in the adjustment transaction.
Amount	*Numeric, 18 Characters; Mandatory* When you specify the units applied and the adjustment price, the system computes the adjustment transaction amount and displays it in this field.
Age Out Preference	*Alphanumeric; 1 Character; Optional* Specify the age out preference details. Alternatively, you can select age out preference from the option list. The list displays all valid age out preference details maintained in the system.
Age out Preference Description	*Display* The system displays the description for the selected age out preference code.
Amount in Fund Base Currency	*Display* Only When you specify an amount as the transaction value, the system computes the equivalent of the same in the base currency of the selected fund and displays it here.
Adjustment Type	*Alphanumeric; 1 Character; Optional* Specify the mode in which the units have resulted (or the origin of the units).
Adjustment Type Description	*Display* The system displays the description for the selected adjustment type code.

Table 5-2 (Cont.) FCIS Block Transaction Detail - Transaction Details

Field	Description
Payment Mode	*Alphanumeric; 1 Character; Optional* Select the mode in which the payment must be made or received, from the drop down list. If the adjustment transaction currency is **EURO**, then the mode chosen cannot be **Cash**. If the mode of payment chosen here is cash, all the bank details fields and the check or credit card related fields will be disabled.
Payment Mode Description	*Display* The system displays the description for the selected payment mode.

Table 5-3 FCIS Bulk Transaction - Transaction Details - Transaction Value

Field	Description
Transaction Mode	*Mandatory* Select the transaction mode from the drop-down list. Following are the options available in the drop-down list: • **Amount** • **Units**
Amount Applied	*Numeric; 27 Characters; Optional* Specify the amount applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Amount**. Else, while clicking **Enrich Transaction** button, the system will display an error message.
Units Applied	*Numeric; 27 Characters; Optional* Specify the units applied details. You should specify the details in this field only if you have selected **Transaction Mode** field as **Units**. Else, while clicking **Enrich Transaction** button, the system will display an error message.

3. Click the **Enrich Transaction** button after entering all details in **Transaction Information** section.

   The list of transactions applicable for the Unit Holder selected is defaulted in **UH and Fund** section.

5.1.2 Transaction Intermediary

This topic explains the Transaction Intermediary button of the Transaction screen.

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

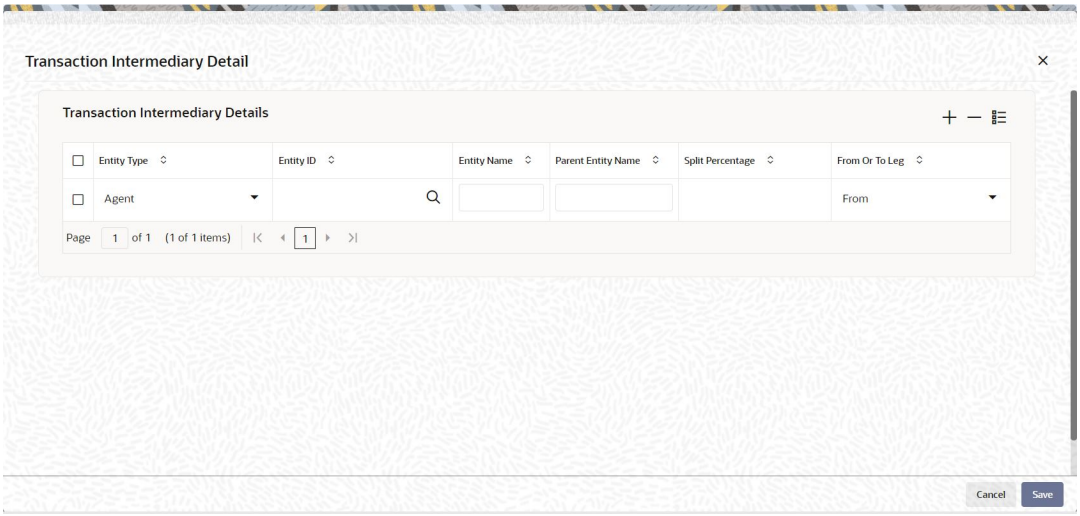
If brokers are designated as mandatory for the fund in which the transaction is being put through, then you must specify at least one broker as mandatory information in this section. If brokers are not mandatory for the fund, and you do not specify any broker in this section, then the system reckons the broker as DIRECT and designates the same as the default broker.

To enter a block transaction request into the system, perform the following sequence of steps:

1. Click the **Transaction Intermediary** button in the Transaction screen.

   The **Transaction Intermediary Detail** screen is displayed.

Figure 5-2 Transaction Intermediary Detail



2. On **Transaction Intermediary Detail** screen, specify the fields.

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

Table 5-4 Transaction Intermediary Detail

Field	Description
Entity Type	*Mandatory* Select the entity type from the drop-down list.The list displays the following values: • **Agent** • **Branch Code** • **IFA** • **Account Officer** • **Broker**
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the entity ID. Alternatively, you can select entity ID from the option list. The list displays all valid entity ID maintained in the system.
Entity Name	*Display* The system displays the name of the selected entity ID.
Parent Entity Name	*Display* The system displays the name of the parent entity.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the split percentage.
From Or To Leg	*Mandatory* Select From or To Leg from the drop-down list. The list displays the following values: • **From Leg** • **To Leg**

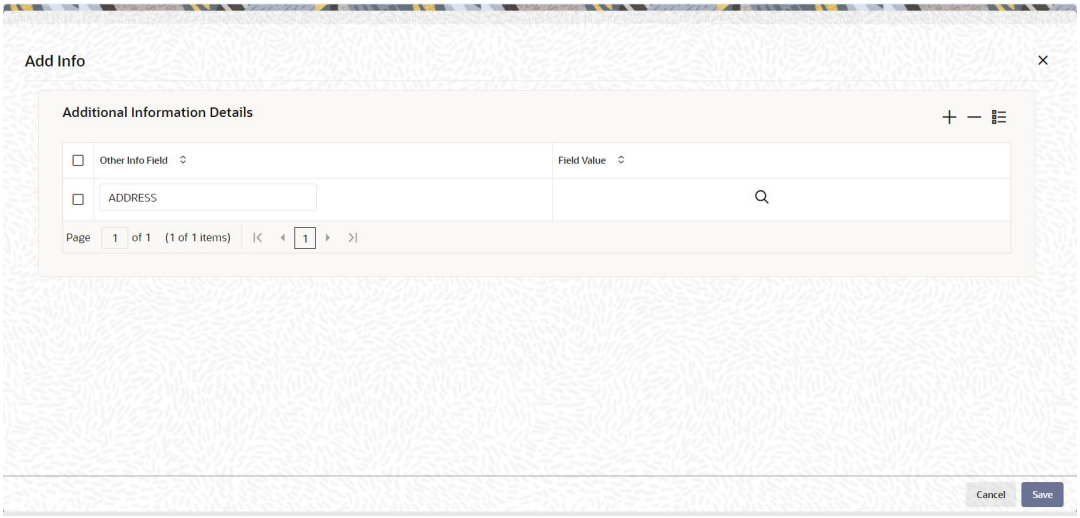
5.1.3 Transaction Add Info

This topic explains the Transaction Add Info button of the Transaction screen.

1. Click the **Transaction Add Info** button in the Transaction screen.

   The **Add Info** screen is displayed.

Figure 5-3 Transaction Add Info



2. On **Add Info** screen, specify the fields.

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

Table 5-5 Transaction Add Info

Field	Description
Other Info Field	*Display* The system displays the other information.
Field Value	*Alphanumeric; 60 Characters; Optional* Specify the field value.

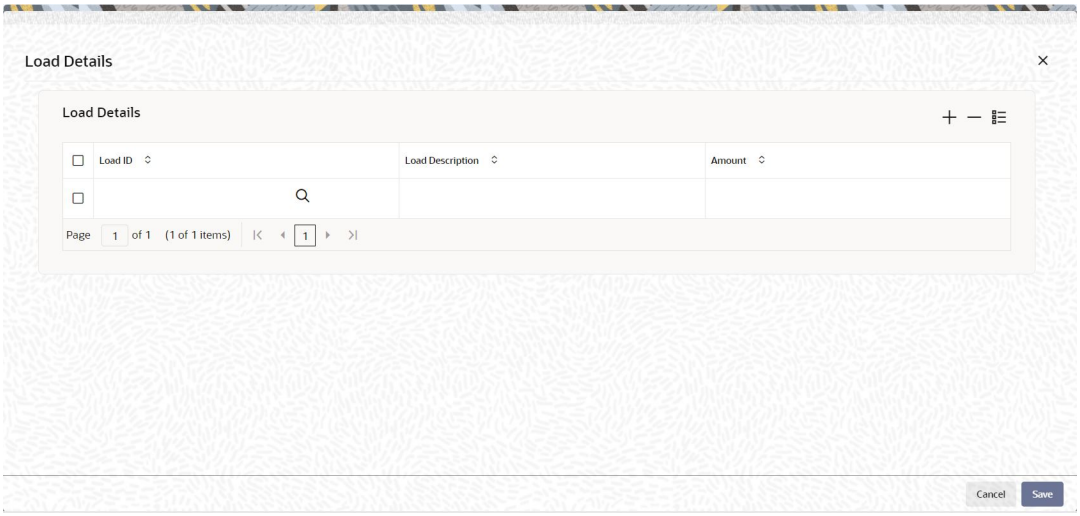
5.1.4 Load Details

This topic explains the Load Details button of the Transaction screen.

1. Click the **Load Details** button in the Transaction screen.

   The **Load Details** screen is displayed.

Figure 5-4 Transaction Load Details



2. On **Load Details** screen, specify the fields.

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

Table 5-6 Transaction Load Details

Field	Description
Load ID	*Numeric; 5 Characters; Mandatory* Specify the load ID.
Load Description	*Alphanumeric, 60 Characters; Mandatory* Select the load that is applicable for the adjustment transaction. When you specify the fund in the **Fund** field, all loads mapped to the selected fund with processing frequency that is different from transaction time loads and allocation time loads (i.e., with processing frequency as **F**), are populated in this field.
Amount	*Numeric; 30 Characters; Mandatory* Specify the load amount applicable for the selected load description, for the adjustment transaction. If you do not enter a load amount in this field, the system reckons the load to have a zero value. The load amounts that you specify here will not be processed at the time when the adjustment transaction record is inserted into the allocation tables.

5.1.5 Document Details

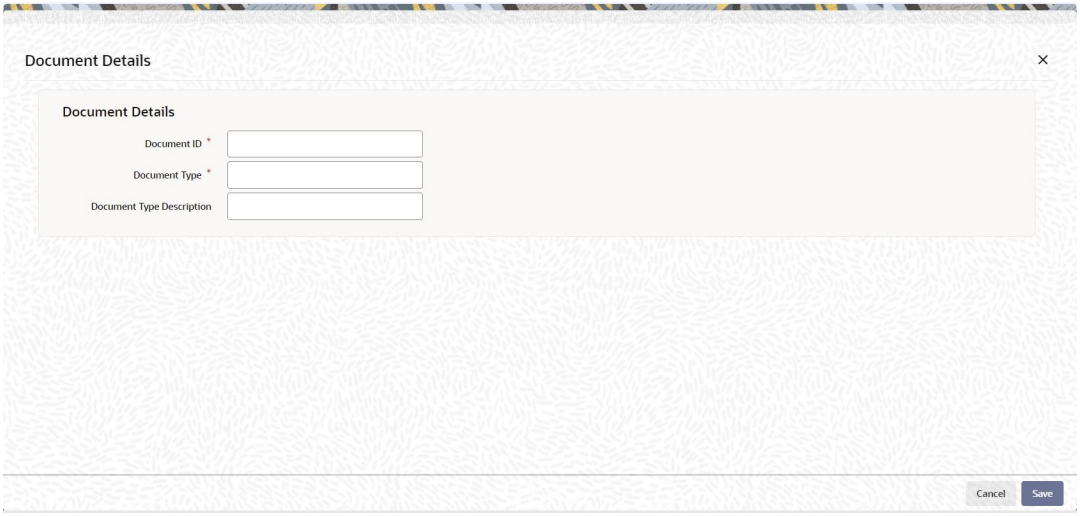
This topic explains the Document Details button of the Transaction screen.

Document Management System (DMS) is used to scan and store documents like Account Opening form, Transaction form, Identity Proof etc. In this section, you can specify the document type for the unit holder. The document types can be maintained in the **System Parameters Maintenance** screen.

1. Click the **Document Details** button in the Transaction screen.

   The **Document Details** screen is displayed.

Figure 5-5 Document Details



> **Note:**
>
> The Document Details Section will be enabled only if your installation is integrated with DMS.

2. On **Document Details** screen, specify the fields.

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

Table 5-7 Document Details

Field	Description
Document ID	*Alphanumeric; 25 Characters; Mandatory* Specify the document ID.
Document Type	*Alphanumeric; 4 Characters; Mandatory* Specify the document type.
Document Type Description	*Alphanumeric; 60 Characters; Mandatory* Specify the document type description.

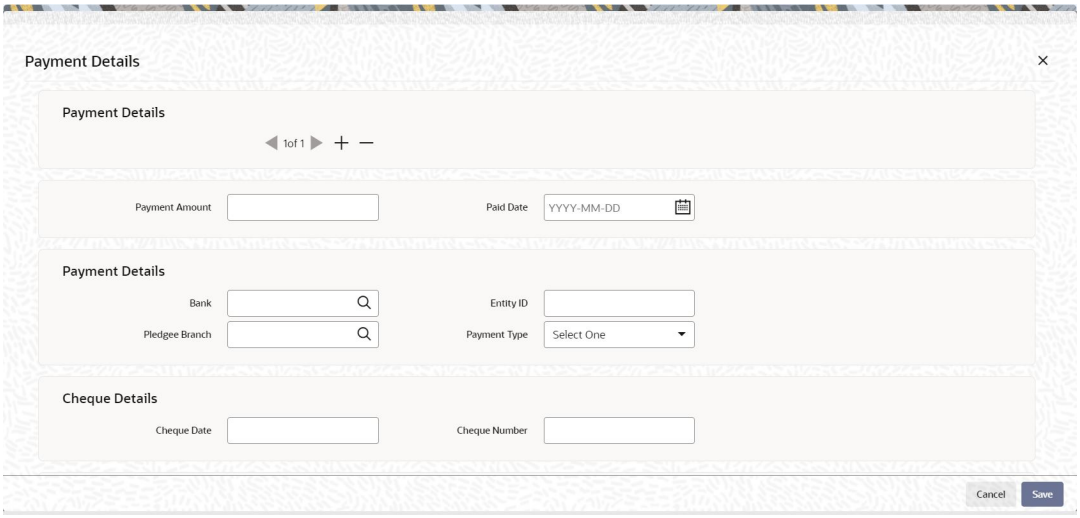
5.1.6 Payment Details

This topic explains the Document Details button of the Transaction screen.

1. Click the **Payment Details** button in the Transaction screen.

   The **Payment Details** screen is displayed.

Figure 5-6 Payment Details



2. On **Payment Details** screen, specify the fields.

For more information on fields, refer the field description table.
Capture the following details if the mode of payment chosen is **check**, **credit card** or **demand draft**.

Table 5-8 Cheque Details

Field	Description
Cheque Date	*Date Format; Optional* Specify the date on which the cheque is drawn.
Cheque Number	*Alphanumeric; 16 Characters; Optional* Specify the cheque number.

Table 5-9 Card Details

Field	Description
Credit Card Ref Number	*Alphanumeric; 16 Characters; Optional* Specify the credit card reference number.

Table 5-10 FCIS Adjustment Redemption Transaction Detail - Account Details

Field	Description
Account Currency	*Alphanumeric; 3 Characters; Optional* Specify the account currency. Alternatively, you can select account currency code from the option list. The list displays all valid account currency code maintained in the system.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the name of the account holder.

Table 5-10 (Cont.) FCIS Adjustment Redemption Transaction Detail - Account Details

Field	Description
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number. Alternatively, you can select account number from the option list. The list displays all valid account number maintained in the system. **Note:** Based on the account number selected, the system displays the account currency, account holder name, account type, and IBAN details.
Account Type	*Alphanumeric; 1 Character; optional* Specify the type of account. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.

Table 5-11 FCIS Adjustment Redemption Transaction Detail - Third Party Details

Field	Description
Third Party Address	*Alphanumeric; 255 Characters; Optional* Specify the third party address details.
Third Party Reference	*Alphanumeric; 255 Characters; Optional* Specify the third party reference details.
Third Party US State	*Alphanumeric; 1 Character; Optional* Specify the third party US state code.
Third Party Zip Code	*Alphanumeric; 255 Characters; Optional* Specify the third party zip code.

5.2 Adjustment Redemption Transaction Summary

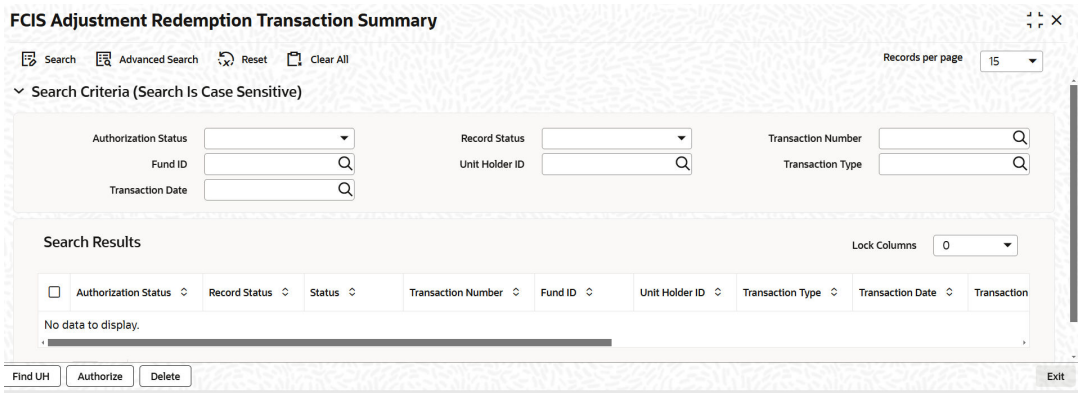
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve a Record in Adjustment Redemption Transaction Summary

1. On **Home** screen, type **UTSADJ03** in the text box, and click **Next**.

   The **Adjustment Redemption Transaction Summary** screen is displayed.

Figure 5-7 Adjustment Redemption Transaction Summary



2. On **Adjustment Redemption Transaction Summary** 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**
   - **Transaction Number**
   - **Transaction Date**
   - **Transaction Type**
   - **Unit Holder ID**
   - **Fund ID**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input Fund ID
> - Press F8

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 % and alphanumeric value.

- Edit Adjustment Redemption Transaction Record
  This topic provides the systematic instructions to edit Adjustment Redemption Transaction record.
- View Adjustment Redemption Transaction Record
  This topic provides the systematic instructions to view Adjustment Redemption Transaction record.

- Delete Adjustment Redemption Transaction Record
  This topic provides the systematic instructions to delete Adjustment Redemption Transaction record.
- Authorize Adjustment Redemption Transaction Record
  This topic provides the systematic instructions to authorize Adjustment Redemption Transaction record.
- Amend Adjustment Redemption Transaction Record
  This topic provides the systematic instructions to amend Adjustment Redemption Transaction record.
- Authorize an Amended Adjustment Redemption Transaction Record
  This topic provides the systematic instructions to authorize amended Adjustment Redemption Transaction record.

5.2.1 Edit Adjustment Redemption Transaction Record

This topic provides the systematic instructions to edit Adjustment Redemption Transaction record.

Modify the details of a Adjustment Redemption Transaction record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **Adjustment Redemption Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **Adjustment Redemption Transaction Summary** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Adjustment Redemption Transaction Detail** screen is closed and the changes made are reflected in the **Adjustment Redemption Transaction Summary** screen.

5.2.2 View Adjustment Redemption Transaction Record

This topic provides the systematic instructions to view Adjustment Redemption Transaction record.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **Adjustment Redemption Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **Adjustment Redemption Transaction Detail** screen is displayed.

5.2.3 Delete Adjustment Redemption Transaction Record

This topic provides the systematic instructions to delete Adjustment Redemption Transaction record.

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

1. Start the **Adjustment Redemption Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **Adjustment Redemption Transaction Summary** screen is displayed.

5. Select **Delete** operation from the Action list.

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

5.2.4 Authorize Adjustment Redemption Transaction Record

This topic provides the systematic instructions to authorize Adjustment Redemption Transaction record.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **Adjustment Redemption Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **Adjustment Redemption Transaction Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

5.2.5 Amend Adjustment Redemption Transaction Record

This topic provides the systematic instructions to amend Adjustment Redemption Transaction 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 **FCIS Conversion Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Conversion Transaction Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

5.2.6 Authorize an Amended Adjustment Redemption Transaction Record

This topic provides the systematic instructions to authorize amended Adjustment Redemption Transaction record.

1. Authorize an amended Adjustment Redemption Transaction record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The process of subsequent authorization is the same as that for normal transactions.

5.3 Adjustment Subscription Transaction Detail

This topic provides the systematic instructions to process Adjustment Subscription Transaction Detail.

This topic contains the following sub-topics:

- Process Adjustment Subscription Transaction Detail
  This topic provides the instructions to process Adjustment Subscription Transaction Detail Screen.
- Transaction Intermediary
  This topic explains the Transaction Intermediary button of the Transaction screen.
- Transaction Add Info
  This topic explains the Transaction Add Info button of the Transaction screen.
- Load Details
  This topic explains the Load Details button of the Transaction screen.

- Document Details
  This topic explains the Document Details button of the Transaction screen.
- Payment Details
  This topic explains the Document Details button of the Transaction screen.

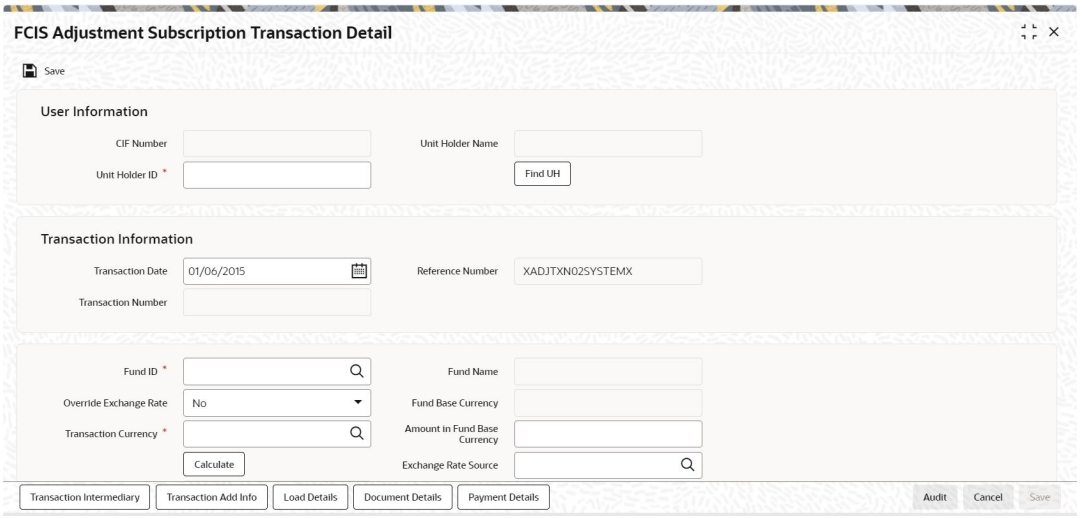
5.3.1 Process Adjustment Subscription Transaction Detail

This topic provides the instructions to process Adjustment Subscription Transaction Detail Screen.

1. On **Home** screen, type **UTDADJ02** in the text box, and click **Next**.

   The **FCIS Adjustment Subscription Transaction Detail** screen is displayed.

Figure 5-8 FCIS Adjustment Subscription Transaction Detail



2. On **FCIS Adjustment Subscription Transaction Detail** screen, specify the fields.

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

Table 5-12 FCIS Adjustment Subscription Transaction Detail

Field	Description
CIF Number	*Display* The system displays the CIF number.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder for whom the transaction request is being entered. You can also query for unit holder ID by clicking **Find UH** button.
Unit Holder Name	*Display* The system displays the name of the selected unit holder ID.

Table 5-13 FCIS Block Transaction Detail - Transaction Details

Field	Description
Transaction Date	*Date Format; Optional* Specify the date on which the adjustment transaction is accepted in the system. By default, the application date is displayed here. If backdating is allowed for the fund, then the user can enter a date that is between the application date and the backdating limit specified for the Fund in the Transaction Processing Rules setup for this transaction type. Further, if the back dating period is specified for the fund, then this limit will override the limit specified for the fund.
Transaction Number	*Display* The system displays the transaction number.
Reference Number	*Display* For all adjustment transactions, the system affixes the following alphanumeric value as the reference number: XADJTXN02SYSTEMX (For subscription adjustment transactions) XADJTXN03SYSTEMX (For redemption adjustment transactions) The reference number will be used to identify the adjustment transaction uniquely in the system.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Select the name of the fund in which the specified unit holder wishes to subscribe, from the list provided. The drop-down list is populated based on the unit holder specified, in the following manner: The nationality of the specified unit holder is reckoned from the information provided in the unit holder's account profile. Only those funds that contain the country of domicile of the unit holder in their Fund Residency list are populated here. Only funds that belong to the AMC of the specified unit holder are populated here.
Fund Name	*Display* The system displays the fund name for the selected fund ID.
ISIN Code	*Display* The system displays the ISIN code for the selected fund ID.
Fund Base Currency	*Display* The base currency of the specified fund is displayed here.
Override Exchange Rate	*Optional* Select **Yes**, from the drop-down list if you want to override the computed exchange rate. Else select **No**.
Amount in Fund Base Currency	*Display* The system displays the amount in fund base currency.
Transaction Currency	*Alphanumeric; 3 Characters; Mandatory* Select the currency in which the payments for the adjustment transaction will be made or accepted. The drop down list contains currencies that are valid as transaction currencies for the fund, from the Fund Transaction Currency list. If the specified unit holder's currency is a valid transaction currency for the fund, it is displayed here by default. If not, the Fund Base Currency is displayed here by default. In either case, the unit holder can alter the currency and specify any currency from the list.
Exchange Rate Source	*Alphanumeric; 6 Characters; Optional* Select the exchange rate source from which the exchange rates are to be derived for the adjustment transaction. The default source for the AMC is displayed here, from the Defaults Maintenance.

5.3.2 Transaction Intermediary

This topic explains the Transaction Intermediary button of the Transaction screen.

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

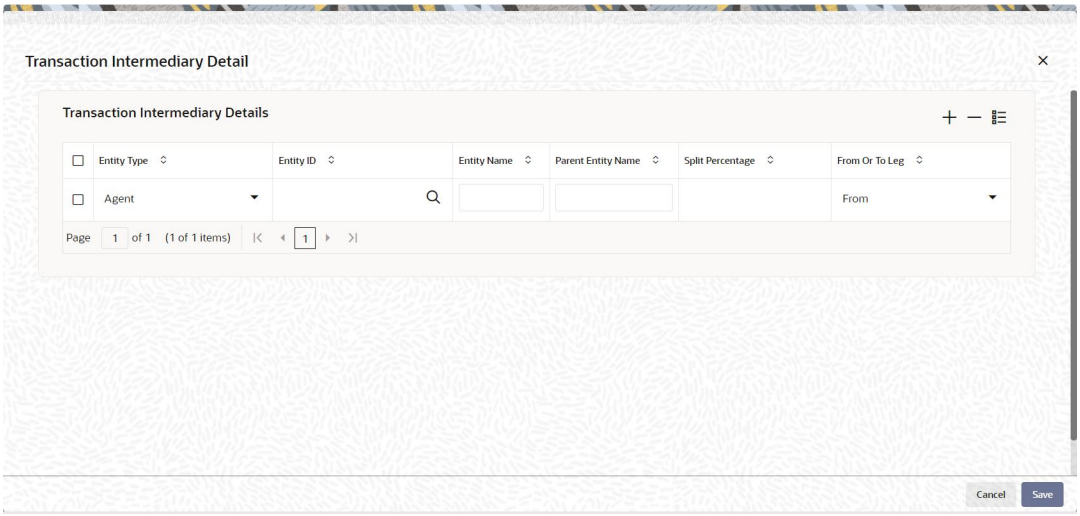
If brokers are designated as mandatory for the fund in which the transaction is being put through, then you must specify at least one broker as mandatory information in this section. If brokers are not mandatory for the fund, and you do not specify any broker in this section, then the system reckons the broker as DIRECT and designates the same as the default broker.

To enter a block transaction request into the system, perform the following sequence of steps:

1. Click the **Transaction Intermediary** button in the Transaction screen.

   The **Transaction Intermediary Detail** screen is displayed.

Figure 5-9 Transaction Intermediary Detail



2. On **Transaction Intermediary Detail** screen, specify the fields.

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

Table 5-14 Transaction Intermediary Detail

Field	Description
Entity Type	*Mandatory* Select the entity type from the drop-down list.The list displays the following values: • **Agent** • **Branch Code** • **IFA** • **Account Officer** • **Broker**

Table 5-14 (Cont.) Transaction Intermediary Detail

Field	Description
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the entity ID. Alternatively, you can select entity ID from the option list. The list displays all valid entity ID maintained in the system.
Entity Name	*Display* The system displays the name of the selected entity ID.
Parent Entity Name	*Display* The system displays the name of the parent entity.
Split Percentage	*Numeric; 5 Characters; Optional* Specify the split percentage.
From Or To Leg	*Mandatory* Select From or To Leg from the drop-down list. The list displays the following values: • **From Leg** • **To Leg**

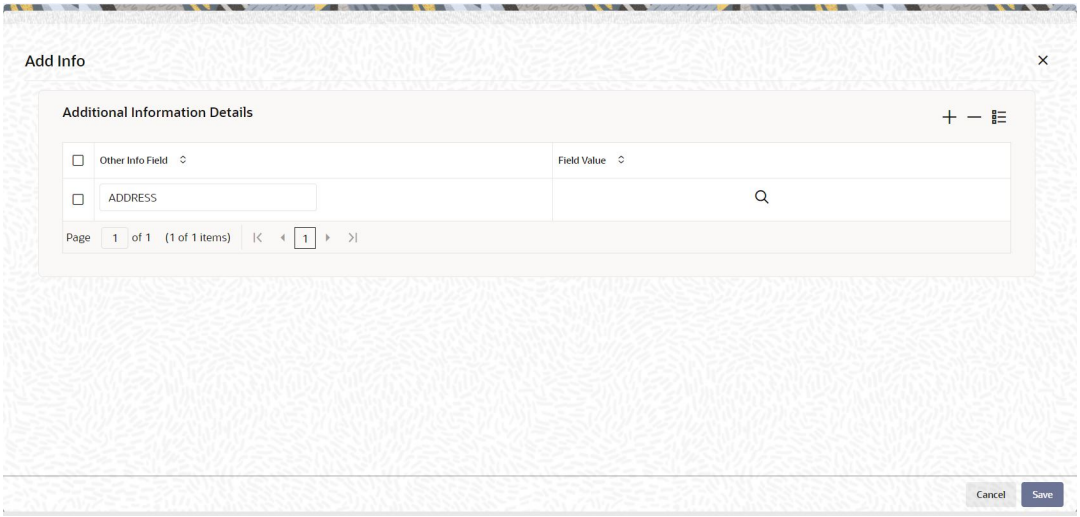
5.3.3 Transaction Add Info

This topic explains the Transaction Add Info button of the Transaction screen.

1. Click the **Transaction Add Info** button in the Transaction screen.

   The **Add Info** screen is displayed.

Figure 5-10 Transaction Add Info



2. On **Add Info** screen, specify the fields.

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

Table 5-15 Transaction Add Info

Field	Description
Other Info Field	*Display* The system displays the other information.
Field Value	*Alphanumeric; 60 Characters; Optional* Specify the field value.

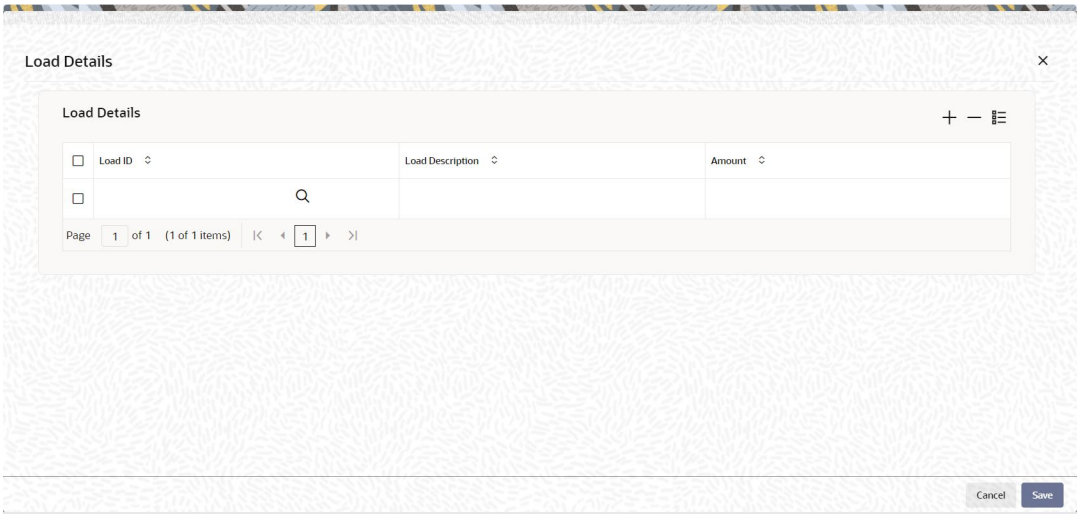
5.3.4 Load Details

This topic explains the Load Details button of the Transaction screen.

1. Click the **Load Details** button in the Transaction screen.

   The **Load Details** screen is displayed.

Figure 5-11 Transaction Load Details



2. On **Load Details** screen, specify the fields.

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

Table 5-16 Transaction Load Details

Field	Description
Load ID	*Numeric; 5 Characters; Mandatory* Specify the load ID.
Load Description	*Alphanumeric, 60 Characters; Mandatory* Select the load that is applicable for the adjustment transaction. When you specify the fund in the **Fund** field, all loads mapped to the selected fund with processing frequency that is different from transaction time loads and allocation time loads (i.e., with processing frequency as **F**), are populated in this field.

Table 5-16 (Cont.) Transaction Load Details

Field	Description
Amount	*Numeric; 30 Characters; Mandatory* Specify the load amount applicable for the selected load description, for the adjustment transaction. If you do not enter a load amount in this field, the system reckons the load to have a zero value. The load amounts that you specify here will not be processed at the time when the adjustment transaction record is inserted into the allocation tables.

5.3.5 Document Details

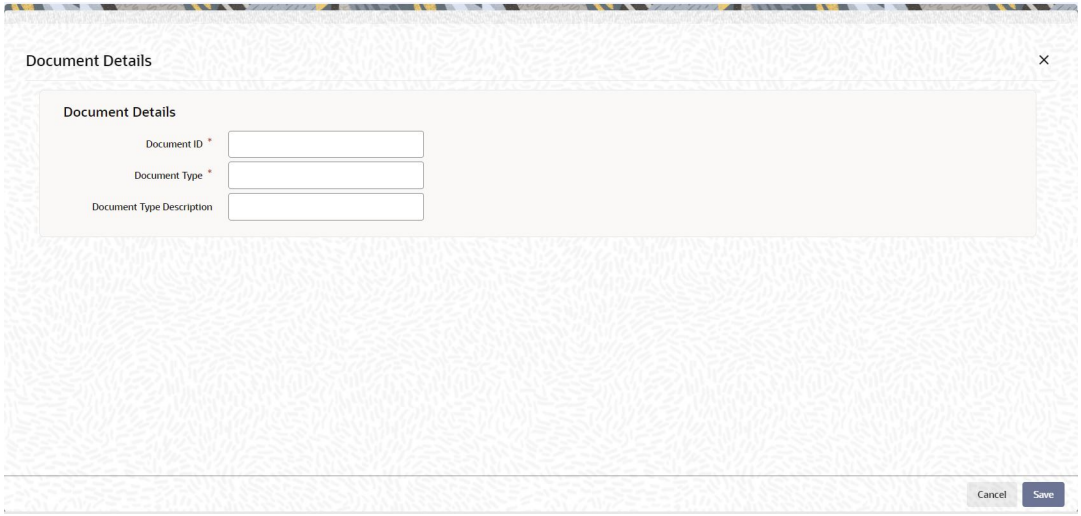
This topic explains the Document Details button of the Transaction screen.

Document Management System (DMS) is used to scan and store documents like Account Opening form, Transaction form, Identity Proof etc. In this section, you can specify the document type for the unit holder. The document types can be maintained in the **System Parameters Maintenance** screen.

1. Click the **Document Details** button in the Transaction screen.

   The **Document Details** screen is displayed.

Figure 5-12 Document Details



> **Note:**
>
> The Document Details Section will be enabled only if your installation is integrated with DMS.

2. On **Document Details** screen, specify the fields.

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

Table 5-17 Document Details

Field	Description
Document ID	*Alphanumeric; 25 Characters; Mandatory* Specify the document ID.
Document Type	*Alphanumeric; 4 Characters; Mandatory* Specify the document type.
Document Type Description	*Alphanumeric; 60 Characters; Mandatory* Specify the document type description.

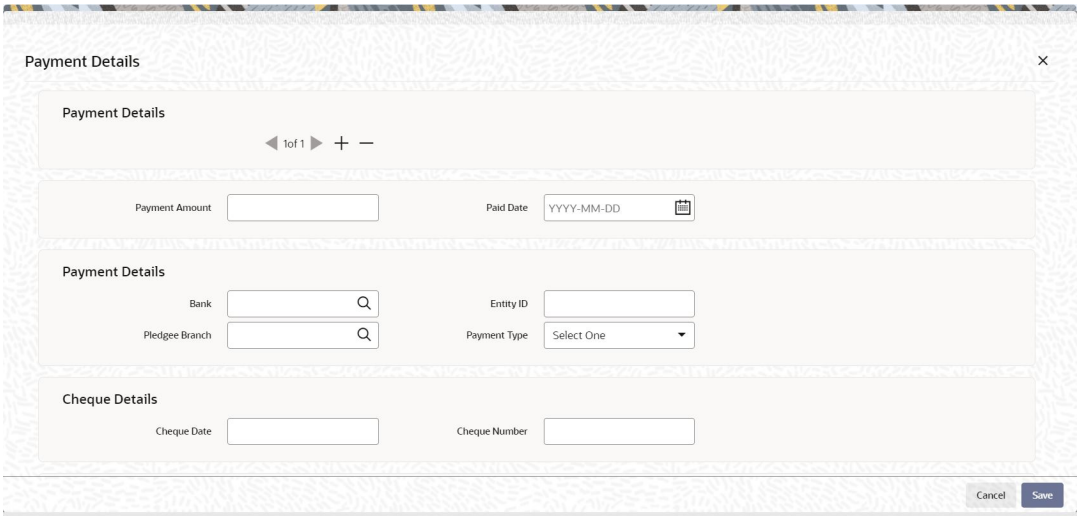
5.3.6 Payment Details

This topic explains the Document Details button of the Transaction screen.

1. Click the **Payment Details** button in the Transaction screen.

   The **Payment Details** screen is displayed.

Figure 5-13 Payment Details



2. On **Payment Details** screen, specify the fields.

   For more information on fields, refer the field description table.
   Capture the following details if the mode of payment chosen is **check**, **credit card** or **demand draft**.

Table 5-18 Cheque Details

Field	Description
Cheque Date	*Date Format; Optional* Specify the date on which the cheque is drawn.
Cheque Number	*Alphanumeric; 16 Characters; Optional* Specify the cheque number.

Table 5-19 Card Details

Field	Description
Credit Card Ref Number	*Alphanumeric; 16 Characters; Optional* Specify the credit card reference number.

Table 5-20 FCIS Adjustment Redemption Transaction Detail - Account Details

Field	Description
Account Currency	*Alphanumeric; 3 Characters; Optional* Specify the account currency. Alternatively, you can select account currency code from the option list. The list displays all valid account currency code maintained in the system.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the name of the account holder.
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number. Alternatively, you can select account number from the option list. The list displays all valid account number maintained in the system. **Note:** Based on the account number selected, the system displays the account currency, account holder name, account type, and IBAN details.
Account Type	*Alphanumeric; 1 Character; optional* Specify the type of account. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.

Table 5-21 FCIS Adjustment Redemption Transaction Detail - Third Party Details

Field	Description
Third Party Address	*Alphanumeric; 255 Characters; Optional* Specify the third party address details.
Third Party Reference	*Alphanumeric; 255 Characters; Optional* Specify the third party reference details.
Third Party US State	*Alphanumeric; 1 Character; Optional* Specify the third party US state code.
Third Party Zip Code	*Alphanumeric; 255 Characters; Optional* Specify the third party zip code.

5.4 Adjustment Subscription Transaction Summary

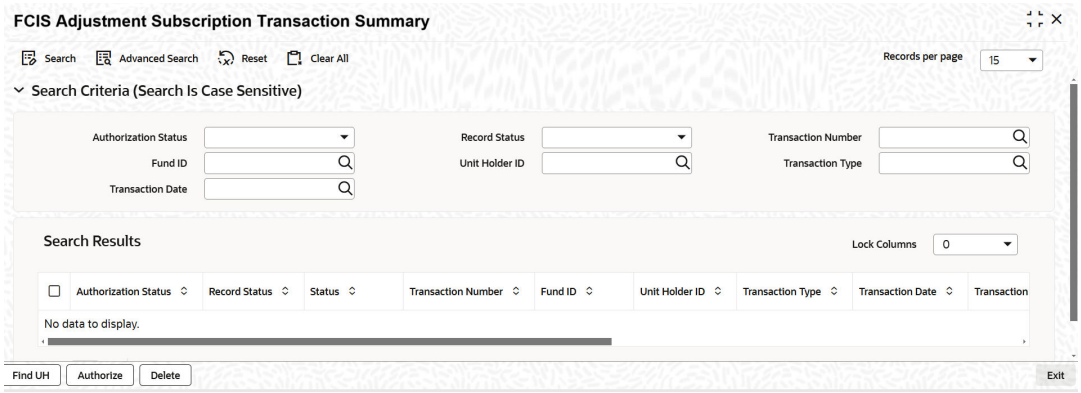
This topic provides the systematic instructions to perform the basic operations on the selected records.

The adjustment screen also provides you with ability to perform actions on previously stored or incomplete transactions. You can perform the actions of editing, viewing, authorizing, the details of a transaction. You can also authorize a previously saved adjustment transaction and apply a modification to an authorized transaction.

1. On **Home** screen, type **UTSADJ02** in the text box, and click **Next**.

   The **FCIS Adjustment Subscription Transaction Summary** screen is displayed.

Figure 5-14 FCIS Adjustment Subscription Transaction Summary



Retrieve Transaction in Transaction Summary

2. On **FCIS Adjustment Subscription Transaction Summary** 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**
   - **Transaction Number**
   - **Transaction Date**
   - **Transaction Type**
   - **Unit Holder ID**
   - **Fund ID**
3. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list.

- Edit Adjustment Transaction
  This topic provides the systematic instructions to edit Adjustment Transaction.
- View Adjustment Transaction
  This topic provides the systematic instructions to view Adjustment Transaction.
- Delete Adjustment Transaction
  This topic provides the systematic instructions to delete Adjustment Transaction.
- Authorize Adjustment Transactions
  This topic provides the systematic instructions to authorize Adjustment Transaction.
- Amend Adjustment Transaction
  This topic provides the systematic instructions to amend Adjustment Transaction.

5.4.1 Edit Adjustment Transaction

This topic provides the systematic instructions to edit Adjustment Transaction.

Modify the details of a Adjustment Transaction record that you have already entered into the system, provided it has not been subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Adjustment Subscription Transaction Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Adjustment Subscription Transaction Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Adjustment Subscription Transaction Detail** screen is closed and the changes made are reflected in the **FCIS Adjustment Subscription Transaction Summary** screen.

5.4.2 View Adjustment Transaction

This topic provides the systematic instructions to view Adjustment Transaction.

View a record that you have previously input by retrieving the same in the Cheque Book Request Summary screen. Perform this operation as follows:

1. Start the **FCIS Adjustment Subscription Transaction Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Adjustment Subscription Transaction Detail** screen is displayed.

5.4.3 Delete Adjustment Transaction

This topic provides the systematic instructions to delete Adjustment Transaction.

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

1. Start the **FCIS Adjustment Subscription Transaction Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Adjustment Subscription Transaction Summary** screen is displayed.
5. Select **Delete** operation from the Action list.

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

5.4.4 Authorize Adjustment Transactions

This topic provides the systematic instructions to authorize Adjustment Transaction.

Authorize an unauthorized Purge Frequency in the system for it to be processed as follows:

1. Start the **FCIS Adjustment Subscription Transaction Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Adjustment Subscription Transaction Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

5.4.5 Amend Adjustment Transaction

This topic provides the systematic instructions to amend Adjustment Transaction.

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 **FCIS Adjustment Subscription Transaction Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Adjustment Subscription Transaction Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

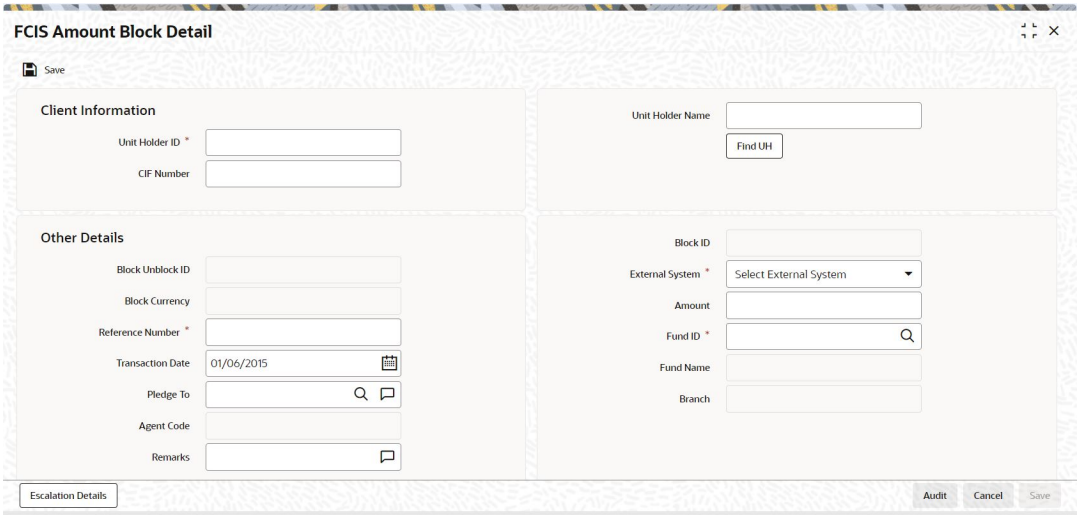
5.5 Process FCIS Amount Block Detail

This topic provides the instructions to process Block Transactions by Amounts.

1. On **Home** screen, type **UTDAMT06** in the text box, and click **Next**.

   The **FCIS Amount Block Detail** screen is displayed.

Figure 5-15 FCIS Amount Block Detail



2. On **FCIS Amount Block Detail** screen, specify the fields.

   For more information on fields, refer to field description table.
   In this section, specify the details of the CIF customer or the investor that has requested for the amount block or unblock transaction.

Table 5-22 FCIS Amount Block Detail - Client Information

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* If the transaction is being entered for a unit holder that is not under a CIF Number, specify the same in this field. You can also query for unit holder ID by clicking **Find UH** button. If you have selected a unit holder using the Find link, the number of the selected unit holder is displayed here. If you have specified a CIF Number and selected a unit holder for the CIF, then the selected unit holder number is displayed here. It cannot be changed. The unit holder specified here must belong to the same agency branch from where the adjustment transaction is being entered, if cross branching is not allowed for the agency branch.
Unit Holder Name	*Display* The system displays the name of the unit holder.
CIF Number	*Alphanumeric; 20 Characters; Mandatory* If the unit holder that has requested for the transaction is attached to a CIF Customer, specify the number of the CIF customer in this field. The system retrieves the name of the CIF customer and displays it alongside this field. If the unit holder ID is specified, then the system displays the CIF number and vice versa.

Table 5-23 FCIS Amount Block Detail - Other Details

Field	Description
Block Unblock ID	*Display* Each amount block transaction that you enter is also given what is called a Block / Unblock ID, which is used to track any future amount unblock transactions that would be requested against this amount block transaction. At the time of transaction entry of an amount block transaction, it is the same as the Block ID, and is generated using the same logic as the Block ID. For a single Block ID, multiple unblock transactions can be entered and processed. At the time of entering an amount unblock transaction, the Block ID will be available for selection in the drop-down (Block ID) after selecting the external system and after the saving of Unblock Transaction, the Unblock ID is generated by the system.

Table 5-23 (Cont.) FCIS Amount Block Detail - Other Details

Field	Description
Block ID	*Display* This is a unique number automatically assigned to each amount block transaction by the system. It is internally generated upon successful entry of the transaction and after all validations have been made. Therefore, when you enter a new amount block transaction, this field is disabled. The transaction number generated by the system is in the format TT-YYYY-JJJ-NNNNNNN Where, **TT-Transaction type** (**11** for amount block transactions, **12** for amount unblock transactions) **YYYY-Year** of processing **JJJ- Julian date** **NNNNNNN-Running sequence number** for the day If an agency branch goes offline during transaction entry, the validations cannot be made and the transaction number cannot be generated. In such a case, the reference number is the identification for the transaction till the system goes online and the validations can be made. **Note:** For a single Block ID, multiple unblock transactions can be entered and processed. When you are entering an amount unblock transaction, the Block ID field is enabled and you can select the Block ID against which the unblock transaction is being entered, from the drop down list.
Block Currency	*Display* The system displays the currency of the amount that is allocated for the amount block.
External System	*Mandatory* Select the external system from the drop-down list. The list displays the following values: • **Online** • **FCC** The option list should be parameterized in the system parameters under **Amount Block External System Code**.
Reference Number	*Alphanumeric; 16 Characters; Mandatory* Specify a unique reference number that will be used to identify the amount block transaction in the system. Typically, this number is the number of the application that is used to enter this transaction. It will be the initial identification for the transaction, before the actual Block ID is generated by the system. If the reference number is designated to be a system-generated number in the **Defaults Maintenance**, the system will internally generate and display this number when the transaction screen is opened, and this field is disabled.
Amount	*Alphanumeric; 30 Characters; Mandatory* Specify the amount to be blocked against this amount block or unblock transaction. For amount block transactions, this is the amount that will be blocked across all the combination of fund and unit holder, in which the investor retains holdings. For amount unblock transactions, this is the amount that will be unblocked against the selected Block ID.

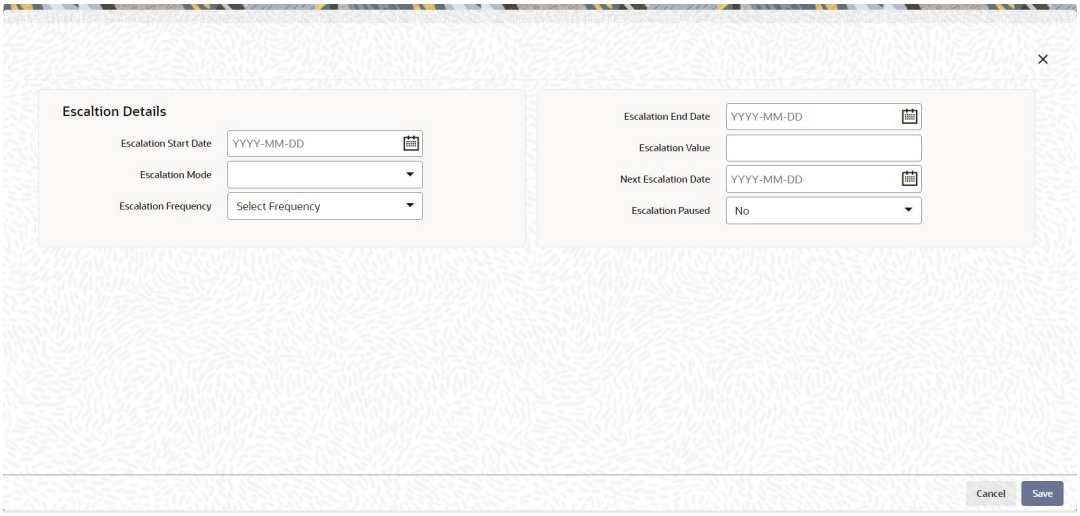
Table 5-23 (Cont.) FCIS Amount Block Detail - Other Details

Field	Description
Transaction Date	*Date Format; Mandatory* This is the date on which you enter the amount block transaction into the system. It is reckoned to be the application date, which is displayed here. For amount unblock transactions, you can specify either the application date or a future date.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Select the fund for which the amount needs to be blocked from the list which displays all the funds for which amount blocking is allowed. This field is only applicable for amount unblock transactions and is not visible in the case of amount block transactions. Specify the fund from which units must be redeemed (if any) for the selected unit holder when you initiate the amount unblock transaction. You will be allowed to specify only one fund here. You must specify a fund in which the unit holder will possess holdings to the extent of the unblocked amount, after the unblock transaction has been allocated. If you do not specify any fund in this field, then no redemption will take place in any fund, against the unblocked amount. Refer to the topic **Redeeming Units for Unblocked Amounts** that is found later in this chapter, for a full discussion of the redemption process.
Fund Name	*Display* The system displays the fund name.
Pledged To	*Alphanumeric; 255 Characters; Mandatory* Specify the entity that the blocked amount is pledged to (i.e., the pledgor). This pledgor entity that you specify here must be the same for all amount block transactions that you enter for the unit holder that you have entered in the Unit Holder field. This means that for all amount block transactions entered into by a single unit holder, the pledgor entity specified must be the same. On the first occasion that you enter an amount block transaction for a unit holder, the pledgor that you specify will be taken as the pledgor for the subsequent amount block transactions for the same unit holder, and will be displayed by default in this field. When you are entering an amount unblock transaction, the pledgor details that you specified for the selected Block ID are displayed here, and cannot be changed.
Agent Code	*Display* The code of the Agent where the transaction is accepted is displayed here.
Branch	*Display* The name of the Agency Branch where the transaction is accepted is displayed here.
Remarks	*Alphanumeric; 255 Characters; Mandatory* Specify if there are any remarks. You can view the **Escalation Detail Section** provided the client country parameter **SICREDSPECIFIC** is set to **False** for the installation in your bank.

3. On **FCIS Amount Block Detail** screen, click the **Escalation Details** button.

   The **Escalation Details** screen is displayed.

Figure 5-16 Escalation Details



Sometimes an investor may instruct the AMC to increase the blocked or unblocked amounts at pre-defined intervals. Such increase patterns are termed as escalation details.

You can maintain the pattern of escalation for the amount block or unblock transaction.

> **Note:**
>
> This is optional, but if you make an entry in any field here, then all the other fields will be mandatory and you must then make your specifications in all the fields.

4. On the **Escalation Details** screen, specify the fields.

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

Table 5-24 Escalation Details

Field	Description
Escalation Start Date	*Date Format; Optional* Specify the date on which the first increase or first escalation must occur. Beginning from this date, the blocked (or unblocked) amount will be increased as specified, at intervals determined by the pre-defined frequency that you specify in the **Escalation Frequency** field.
Escalation End Date	*Date Format; Optional* Specify the date on which the last increase or escalation must occur. The start date and end date taken together signify a period during which escalation of the blocked (or unblocked) amount will occur at the frequency that you define in the **Escalation Frequency** field.
Escalation Mode	*Optional* Select whether the increase is an amount-based escalation or percentage escalation the drop-down list. The list displays the following values: • **Amount** • **Percentage**

Table 5-24 (Cont.) Escalation Details

Field	Description
Escalation Value	*Numeric; 30 Characters; Optional* Enter the value by which the blocked (or unblocked) amount must be increased. At each instance when the escalation comes into effect, the blocked amount will be increased by this value.
Escalation Frequency	*Optional* Select the frequency at which the escalation must occur from the drop down list. The list displays the following values: • **Daily** • **Weekly** • **Bi-Weekly** • **Monthly** • **Quarterly** • **Half-Yearly** • **Yearly**
Next Escalation Date	*Date Format; Optional* Specify the date on which the next escalation will take place. For records retrieved in the Amend mode, this date may be altered in the amend session.
Escalation Paused	*Optional* If you want the escalation to be halted for a while or a hiatus to occur, then select **Yes** from the drop-down list. Else select **No**. For further details, please refer **Process Amount Unblock Detail** topic in this User Manual.

5.6 Process FCIS Amount Unblock Detail

This topic provides the instructions to process Unblock Transactions by Amounts.

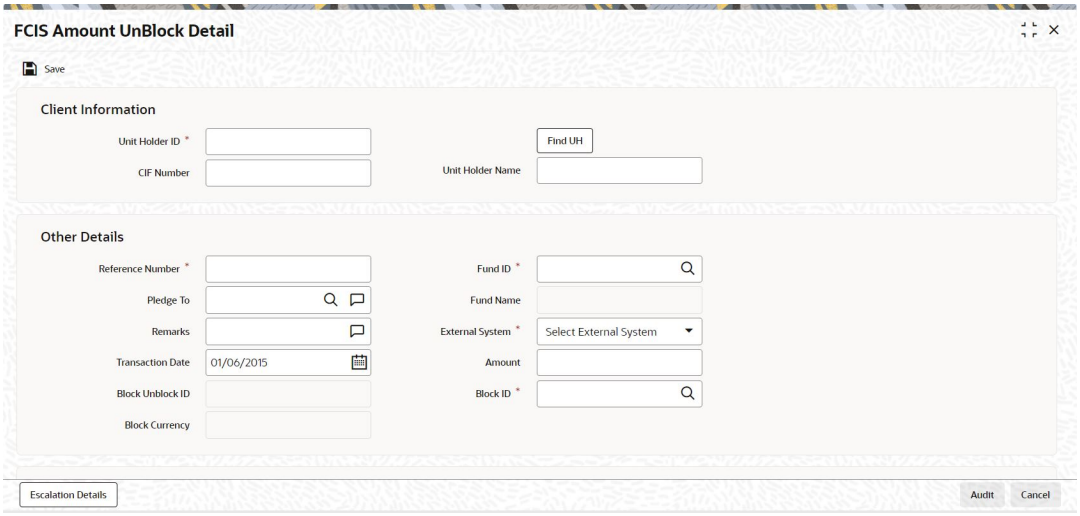
The **FCIS** system provides the facility of accepting and processing block or unblock transactions that involve amounts across funds. It means that a specific amount portion of the investor's holdings across funds can be blocked in the system.

You can also increase (i.e.,escalate) the blocked amounts at a given frequency. Also, upon specific instructions from the investor, you can also reduce the blocked amounts for the purpose of unblocking. The unblocking could also be facilitated at any point of time and escalated at a designated frequency.

1. On **Home** screen, type **UTDAMT07** in the text box, and click **Next**.

   The **FCIS Amount UnBlock Detail** screen is displayed.

Figure 5-17 FCIS Amount UnBlock Detail



2. On **FCIS Amount UnBlock Detail** screen, specify the fields.

   The **FCIS Amount UnBlock Detail** screen is displayed.
   To enter an amount block or unblock transaction in the detail screen,

   - Specify the CIF to which the unit holder for whom the transaction is being entered belongs. Then select the unit holder account.
   - If you are unblocking against a previously blocked amount transaction, specify the date of the unblocking transaction.
   - Specify a unique reference number for the transaction.
   - If you are entering a block transaction, specify the pledgor, if any, to whom the amount is pledged.
   - Specify the amount to be blocked or unblocked for the transaction.
   - If you are unblocking against a previously blocked amount transaction, specify the fund from which the units may be redeemed.
   - Specify any relevant details of escalation for the amounts, as well as any payment details (for the redemption of units due to unblocking)
   - Click **Ok** button to save the transaction.

   Specify the details of the CIF customer or the investor that has requested for the amount block or unblock transaction.

> **Note:**
>
> - To retrieve a CIF customer number or a unit holder number, click the **Find UH** button.
> - To enter a transaction for an investor that is attached to a CIF customer, first specify the number of the CIF customer in the **CIF Number** field, and then specify the identity number of the required unit holder in the **Unit Holder ID** field.
> - To enter a transaction for an investor that is not attached to a CIF customer, specify the number of the required unit holder in the **Unit Holder** field.

3. On the **FCIS Amount UnBlock Detail** screen, specify the fields.

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

Table 5-25 FCIS Amount UnBlock Detail - Client Information

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Select the unit holder for whom the transaction request is being entered. You can query for unit holder ID by selecting the **Find UH** button.
Unit Holder Name	*Display* The system displays the name of the selected unit holder ID.
CIF Number	*Alphanumeric; 20 Characters; Mandatory* If the unit holder that has requested for the transaction is attached to a CIF Customer, specify the number of the CIF customer in this field. The system retrieves the name of the CIF customer and displays it alongside this field. If you specify the unit holder ID details, then the system displays the CIF number and vice versa.

Table 5-26 FCIS Amount UnBlock Detail - Other Details

Field	Description
Reference Number	*Alphanumeric; 16 Characters; Mandatory* Specify a unique reference number that will be used to identify the amount block transaction in the system. Typically, this number is the number of the application that is used to enter this transaction. It will be the initial identification for the transaction, before the actual Block ID is generated by the system. If the reference number is designated to be a system-generated number in the Defaults Maintenance, the system will internally generate and display this number when the transaction screen is opened, and this field is disabled.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Select the fund for which the amount needs to be blocked from the list which displays all the funds for which amount blocking is allowed.
Fund Name	*Display* The system displays the fund name.
Pledged To	*Alphanumeric; 255 Characters; Mandatory* Specify the entity that the blocked amount is pledged to (i.e., the pledgor). This pledgor entity that you specify here must be the same for all amount block transactions that you enter for the unit holder that you have entered in the Unit Holder field. This means that for all amount block transactions entered into by a single unit holder, the pledgor entity specified must be the same. On the first occasion that you enter an amount block transaction for a unit holder, the pledgor that you specify will be taken as the pledgor for the subsequent amount block transactions for the same unit holder, and will be displayed by default in this field. When you are entering an amount unblock transaction, the pledgor details that you specified for the selected Block ID are displayed here, and cannot be changed.

Table 5-26 (Cont.) FCIS Amount UnBlock Detail - Other Details

Field	Description
Remarks	*Alphanumeric; 255 Characters; Mandatory* Specify the remarks, if any.
External System	*Mandatory* Select the external system from the drop-down list. The list displays the following values: • **Online** • **FCC** The option list should be parameterized in the system parameters under 'Amount Block External System Code '.
Transaction Date	*Date Format; Mandatory* This is the date on which you enter the amount block transaction into the system. It is reckoned to be the application date, which is displayed here. For amount unblock transactions, you can specify either the application date or a future date.
Block Unblock ID	*Display* Each amount block transaction that you enter is also given what is called a Block / Unblock ID, which is used to track any future amount unblock transactions that would be requested against this amount block transaction. At the time of transaction entry of an amount block transaction, it is the same as the Block ID, and is generated using the same logic as the Block ID. For a single Block ID, multiple unblock transactions can be entered and processed. At the time of entering an amount unblock transaction, the Block ID will be available for selection in the drop-down (Block ID) after selecting the external system and after the saving of Unblock Transaction, the Unblock ID is generated by the system.
Amount	*Numeric; 30 Characters; Mandatory* Specify the amount to be blocked against this amount block or unblock transaction. For amount block transactions, this is the amount that will be blocked across all the combination of fund and unit holder, in which the investor retains holdings. For amount unblock transactions, this is the amount that will be unblocked against the selected Block ID.
Block Currency	*Display* The currency of the amount that is allocated for the amount block.

Table 5-26 (Cont.) FCIS Amount UnBlock Detail - Other Details

Field	Description
Block ID	*Alphanumeric; 16 Characters; Mandatory* This is a unique number automatically assigned to each amount block transaction by the system. It is internally generated upon successful entry of the transaction and after all validations have been made. Therefore, when you enter a new amount block transaction, this field is disabled. The transaction number generated by the system is in the format TT-YYYY-JJJ-NNNNNNN Where, **TT-Transaction type** (**11** for amount block transactions, **12** for amount unblock transactions) **YYYY-Year of processing** **JJJ- Julian date** **NNNNNNN-Running sequence number for the day** If an agency branch goes offline during transaction entry, the validations cannot be made and the transaction number cannot be generated. In such a case, the reference number is the identification for the transaction till the system goes online and the validations can be made. **Note:** For a single Block ID, multiple unblock transactions can be entered and processed. When you are entering an amount unblock transaction, the Block ID field is enabled and you can select the Block ID against which the unblock transaction is being entered, from the drop down list.
Agent Code	*Display* The code of the Agent where the transaction is accepted is displayed here.
Branch	*Display* The name of the Agency Branch where the transaction is accepted is displayed here.
Remarks	*Alphanumeric; 255 Characters; Mandatory* Specify if there are any remarks. You can view the **Escalation Detail Section** provided the client country parameter **SICREDSPECIFIC** is set to False for the installation in your bank.

Table 5-27 FCIS Amount UnBlock Detail - Types

Field	Description
Mode of Payment	*Optional* Select the mode of payment from the drop-down list. The list displays the following values: • **Money Transfer** • **Cheque**
Payment Type	*Optional* Select the type of payment from the drop-down list. The list displays the following values: • **Self** • **Third Party**

Table 5-27 (Cont.) FCIS Amount UnBlock Detail - Types

Field	Description
Sub Payment Mode	*Alphanumeric; 2 Characters; Optional* Specify the sub payment mode.
Payment Mode Description	*Display* The system displays the description for the selected mode of payment.

Table 5-28 FCIS Amount UnBlock Detail - Bank Details

Field	Description
Account Type	*Display* The system displays the account type.
Account Number	*Display* The system displays the account number.
Branch Code	*Display* The system displays the branch code.
Account Currency	*Display* The system displays the account currency.
Bank	*Alphanumeric; 12 Characters; Optional* Specify the bank details.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the account holder name.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details..

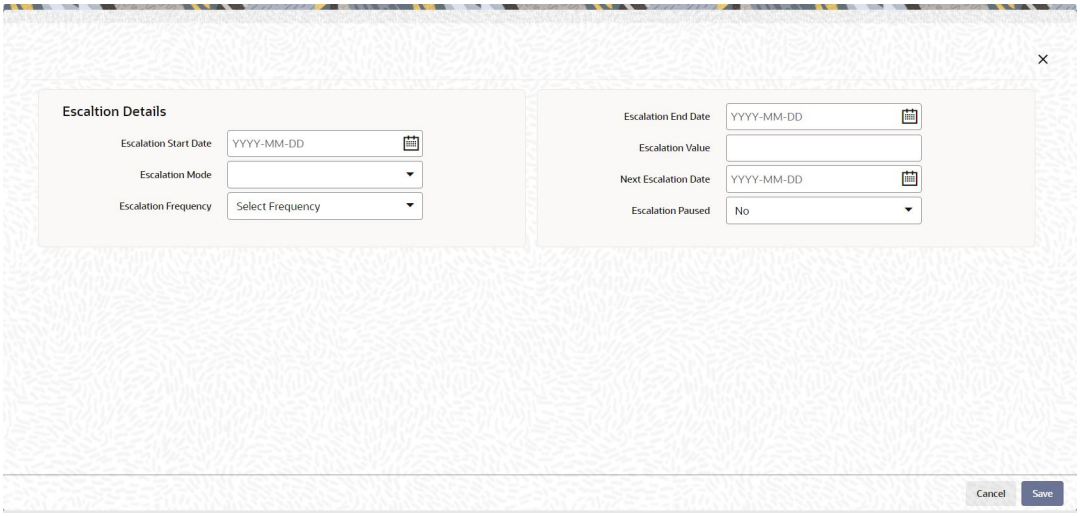
Table 5-29 FCIS Amount UnBlock Detail - Third Party Details

Field	Description
Third Party Reference	*Alphanumeric; 255 Characters; Optional* Specify the third party reference details.
US State/ Non-US State	*Alphanumeric; 20 Characters; Optional* Specify the US/ non-US state details.
Address	*Alphanumeric; 255 Characters; Optional* Specify the address details.
City	*Alphanumeric; 20 Characters; Optional* Specify the city details.
ZIP Code	*Alphanumeric; 10 Characters; Optional* Specify the ZIP code.
US State	*Display* The system displays the US state details. You can view the **Escalation Detail Section** provided the client country parameter **SICREDSPECIFIC** is set to False for the installation in your bank.

4. On **FCIS Amount UnBlock Detail** screen, click **Escalation Details** button.

   The **Escalation Details** screen is displayed.

Figure 5-18 Escalation Details



Sometimes an investor may instruct the AMC to increase the blocked or unblocked amounts at pre-defined intervals. Such increase patterns are termed as escalation details.

You can maintain the pattern of escalation for the amount block or unblock transaction.

> **Note:**
>
> This is optional, but if you make an entry in any field here, then all the other fields will be mandatory and you must then make your specifications in all the fields.

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

Table 5-30 Escalation Details

Field	Description
Escalation Start Date	*Date Format; Optional* Specify the date on which the first increase or first escalation must occur. Beginning from this date, the blocked (or unblocked) amount will be increased as specified, at intervals determined by the pre-defined frequency that you specify in the Escalation Frequency field.
Escalation End Date	*Date Format; Optional* Specify the date on which the last increase or escalation must occur. The start date and end date taken together signify a period during which escalation of the blocked (or unblocked) amount will occur at the frequency that you define in the Escalation Frequency field.
Escalation Mode	*Optional* Select whether the increase is an amount-based escalation or percentage escalation the drop-down list. The list displays the following values: • **Amount** • **Percentage**

Table 5-30 (Cont.) Escalation Details

Field	Description
Escalation Value	*Numeric; 30 Characters; Optional* Enter the value by which the blocked (or unblocked) amount must be increased. At each instance when the escalation comes into effect, the blocked amount will be increased by this value.
Escalation Frequency	*Optional* Select the frequency at which the escalation must occur from the drop down list. The list displays the following values: • **Daily** • **Weekly** • **Bi-Weekly** • **Monthly** • **Quarterly** • **Half-Yearly** • **Yearly**
Next Escalation Date	*Date Format; Optional* Specify the date on which the next escalation will take place. For records retrieved in the Amend mode, this date may be altered in the amend session.
Escalation Paused	*Optional* If you want the escalation to be halted for a while or a hiatus to occur, then select **Yes** from the drop-down list. Else select **No**.

5.7 Redeem Units for Unblocked Amounts

This topic provides information on Redeem Units for Unblocked Amounts.

This topic contains the following sub-topics:

- Process Redemption Transactions against Unblocked Amounts
  This topic provides information on processing Redemption Transactions against Unblocked Amounts.
- FCIS Amount Block or Unblock Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

5.7.1 Process Redemption Transactions against Unblocked Amounts

This topic provides information on processing Redemption Transactions against Unblocked Amounts.

FCIS provides the facility of redeeming the resulting units for a unit holder when an unblock amount transaction is put through against a Block ID.

When you enter an unblock transaction for a unit holder against a Block ID, you can also specify the fund from which the units may be redeemed when the unblock transaction is authorized and allocated.

> **Note:**
>
> In an amount unblock transaction, the amount unblocked could be unblocked against a Block ID, across all the funds in which the amount was blocked. The redemption against this unblock amount can only be initiated in a single specified fund.

To enable the redemption of units in this way,

When you enter the unblock transaction in the Adjustment Unblock Amount Transaction screen against a Block ID, specify the fund in which the redemption must occur for the unit holder.

Specify the details of payment for the redemption transaction, in the Payment Details section.

When the amount unblock transaction is authorized on the date of entry, a redemption transaction for the unblocked amount is initiated in the system for the specified unit holder, in the specified fund. The date of this redemption transaction is the date of authorization of the amount unblock transaction.

> **Note:**
>
> If the amount unblock transaction is a future-dated transaction, the redemption transaction would be initiated by a **Beginning of Day (BOD)** process on the transaction date. The date for the redemption transaction would then be the transaction date of the amount unblock transaction.

The redemption transaction is allocated by the **End of Day (EOD)** process on the redemption transaction date. The NAV considered for the allocation is the prevalent NAV on the redemption transaction date.

When an unblock escalation occurs, a redemption transaction is inserted for the unblocked amount by the BOD process on the date of escalation, and allocated by the EOD process on the date of escalation. The NAV considered for the allocation is the prevalent NAV on the date of escalation.

5.7.2 FCIS Amount Block or Unblock Summary

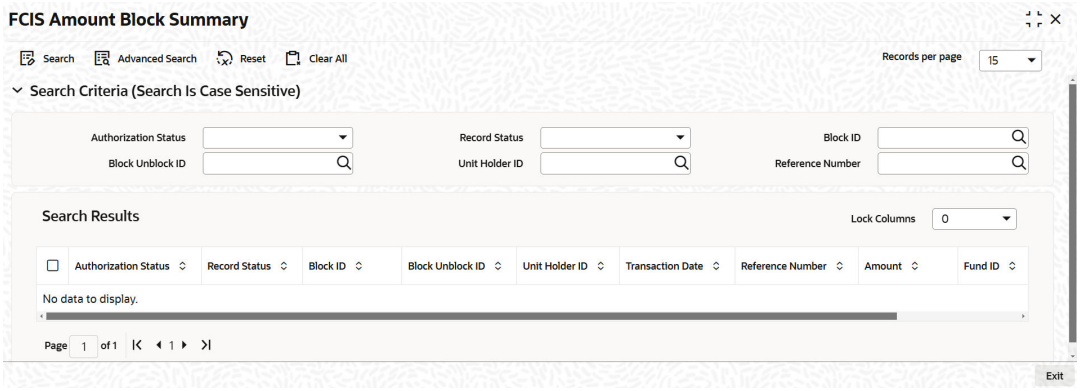
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Amount Block or Unblock Summary

1. On **Home** screen, type **UTSAMT06** or **UTSAMT07** in the text box and click **Next**.

   The **FCIS Amount Unblock Summary** screen is displayed.

Figure 5-19 FCIS Amount Block or Unblock Summary



2. On **FCIS Amount Unblock Summary** screen, specify any or all of the following details in the corresponding fields:
   - The status of the record in the **Authorized** field. If you choose the `Blank Space` option, then all the records are retrieved.
   - The status of the record in the **Open** field. If you choose the `Blank Space` option, then all records are retrieved.
   - **Block ID**
   - **Block Unblock ID**
   - **Unit Holder ID**
   - **Reference Number**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** 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 as follows:
   - Search by A%: System will fetch all the records whose unit holder ID starts from Alphabet **A**. For Example: AGC17, AGVO6, AGC74 and so forth.
   - Search by %7: System will fetch all the records whose unit holder ID ends by numeric value' 7'. For Example: AGC17, GSD267, AGC77 and so forth.
   - Search by %17%:- System will fetch all the records whose unit holder ID contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.

- Edit Amount Block or Unblock Transaction
  This topic provides the systematic instructions to edit Amount Block or Unblock Transaction.
- View Amount Block or Unblock Transaction
  This topic provides the systematic instructions to view Amount Block or Unblock Transaction.
- Delete Amount Block or Unblock Transaction
  This topic provides the systematic instructions to delete Amount Block or Unblock Transaction.
- Authorize Amount Block or Unblock Transactions
  This topic provides the systematic instructions to authorize Amount Block or Unblock Transaction.
- Amend Amount Block or Unblock Transactions
  This topic provides the systematic instructions to amend Amount Block or Unblock Transaction.
- Authorize Amended Amount Block or Unblock Transactions
  This topic provides the systematic instructions to authorize amended Amount Block or Unblock Transaction.

5.7.2.1 Edit Amount Block or Unblock Transaction

This topic provides the systematic instructions to edit Amount Block or Unblock Transaction.

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

1. Start the **FCIS Amount Unblock Summary** 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. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Amount Unblock Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Amount Unblock Detail** screen is closed and the changes made are reflected in the **FCIS Amount Unblock Summary** screen.

5.7.2.2 View Amount Block or Unblock Transaction

This topic provides the systematic instructions to view Amount Block or Unblock Transaction.

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

1. Start the **FCIS Amount Unblock Summary** 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. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Amount Unblock Detail** screen is displayed.

5.7.2.3 Delete Amount Block or Unblock Transaction

This topic provides the systematic instructions to delete Amount Block or Unblock Transaction.

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

1. Start the **FCIS Amount Unblock Summary** 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. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Amount Unblock Summary** screen is displayed.
5. Select **Delete** operation from the Action list.

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

5.7.2.4 Authorize Amount Block or Unblock Transactions

This topic provides the systematic instructions to authorize Amount Block or Unblock Transaction.

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

1. Start the **FCIS Amount Unblock Summary** 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. Double-click the record that you wish to authorize.

   The **FCIS Amount Unblock Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

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

5.7.2.5 Amend Amount Block or Unblock Transactions

This topic provides the systematic instructions to amend Amount Block or Unblock Transaction.

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 **FCIS Amount Unblock Summary** 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. Double-click the record that you wish to amend.

   The **FCIS Amount Unblock Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

5.7.2.6 Authorize Amended Amount Block or Unblock Transactions

This topic provides the systematic instructions to authorize amended Amount Block or Unblock Transaction.

- Authorize an amended Third Party Entity Record for the amendment to be made effective in the system.

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

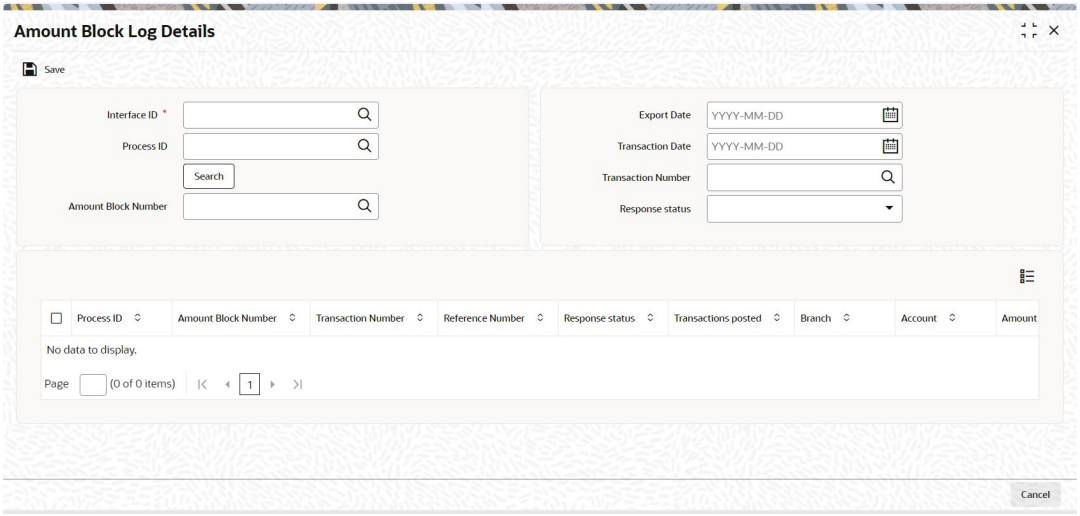
5.8 Process Amount Block Log Details

This topic provides the instructions to log amount block details.

1. On **Home** screen, type **UTDAMLOG** in the text box, and click **Next**.

   The **Amount Block Log Details** screen is displayed.

Figure 5-20 Amount Block Log Details



2. On **Amount Block Log Details** screen, specify the fields.

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

Table 5-31 Amount Block Log Details

Field	Description
Interface ID	*Alphanumeric, 16 Characters; Mandatory* Specify the interface ID. Alternatively, you can select interface ID from the option list. The list displays only the **Import From External System to Amount Block** interface.
Process ID	*Alphanumeric, 50 Characters; Optional* Specify the Process ID. Alternatively, you can select process ID from the option list. The list displays all process IDs for which import for amount block is done.
Export Date	*Date Format; Mandatory* Select date of export from the adjoining calendar.
Transaction Date	*Date Format; Optional* Select date of transaction from the adjoining calendar.
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number. Alternatively, you can select transaction number from the option list. The list displays all transaction number maintained in the system.
Amount Block Number	*Alphanumeric; 35 Characters; Optional* Specify the amount block number. Alternatively, you can select amount block number from the option list. The list displays all amount block number maintained in the system.

Table 5-31 (Cont.) Amount Block Log Details

Field	Description
Response Status	*Alphanumeric; Optional* Specify the response status. Click the **Search** button after specifying the necessary details. The system displays the following values: • **Process ID** • **Amount Block Number** • **Transaction Number** • **Reference Number** • **Response status** • **Transactions posted** • **Branch** • **Account** • **Amount** • **Export Date** • **Error Code** • **Error Description** • **Remarks**

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