Oracle® FLEXCUBE Investor Servicing

Cheque Writing User Guide

Release 14.7.7.0.0

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Oracle FLEXCUBE Investor Servicing Cheque Writing User Guide, Release 14.7.7.0.0

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Contents

Preface

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

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

This topic contains the following sub-topics:

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

Purpose

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

Audience

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

Documentation Accessibility

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

Access to Oracle Support

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

Critical Patches

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

Diversity and Inclusion

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

Conventions

The following text conventions are used in this document:

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

Screenshot Disclaimer

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

Acronyms and Abbreviations

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

Table Acronyms and Abbreviations

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

Table (Cont.) Acronyms and Abbreviations

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

Symbols and Icons

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

Table Symbols and Icons

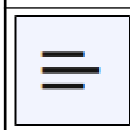
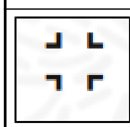
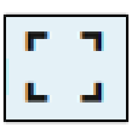
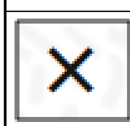
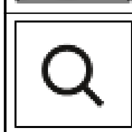
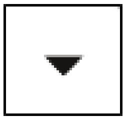
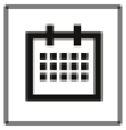
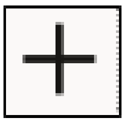
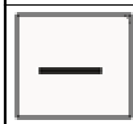
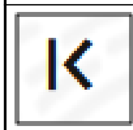
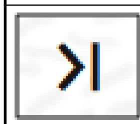
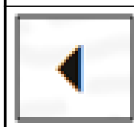
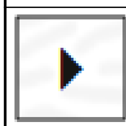
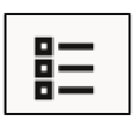
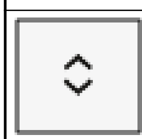
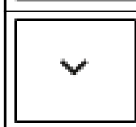
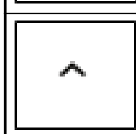
Symbol/Icon	Function
	Lists all records maintained
	Minimize
	Maximize
	Close
	Perform Search

Table (Cont.) Symbols and Icons

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

Basic Actions

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

Table Basic Actions

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

Table (Cont.) Basic Actions

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

Getting Help

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

Prerequisite

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

1 Process Cheque Book Requests

This topic explains the process to avail cheque books and their maintenance for the fund.

An investor could avail the use of cheque books for a fund. You can maintain details of cheque books requested by an investor, as well as the status of individual cheques in a cheque book that has been issued.

This topic contains the following sub-topics:

- Maintenance before Entering Cheque Book Request
  This topic provides the instructions to maintain the required details before entering Cheque Book Request.
- Enter Cheque Book Request Details
  This topic provides the instructions to enter the following details in the Cheque Book Request.
- Process Cheque Book Request Detail
  This topic provides the systematic instructions to maintain details of requested cheque books and update the status of cheques in each issued cheque book.
- Send Details of Cheque Book Requests
  This topic provides the instructions to send details of Cheque Book Request.
- Receive Details of Printed Cheque Books
  This topic provides the instructions to receive details of Cheque Book Request.
- Cheque Book Request Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Status of an Individual Cheque
  This topic briefs on different status of a cheque in the system.
- Process Cheque Status Summary
  This topic provides the systematic instructions to monitor the status of a cheque in the system.
- Process Cheque Writing Status Detail
  This topic provides the systematic instructions to maintain cheque writing status.
- Cheque Writing Status Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

1.1 Maintenance before Entering Cheque Book Request

This topic provides the instructions to maintain the required details before entering Cheque Book Request.

1. Avail the use of cheque books for a fund of only those investors for whom the cheque writing facility has been allowed in their account profiles.

   Also, maintain the rules for the cheque writing facility for the fund for which the cheque books has been requested by the investor.

2. Typically, cheque books requested by investors for a fund are printed by external agencies known as **cheque vendors** that enter into an agreement with the AMC, to print the cheques on the investor's behalf.
3. You must maintain a record for each cheque vendor with whom the AMC has entered into such an agreement, as an entity in the **Entity Maintenance** in **FCIS**.
4. You must also associate each cheque vendor with the funds for which the vendor can print cheques.

   You can do this in the **Fund Entity** screen.

1.2 Enter Cheque Book Request Details

This topic provides the instructions to enter the following details in the Cheque Book Request.

Specify the following details to enter a cheque book request in the **Cheque Book Request Detail** screen.

Specify the unit holder

1. Specify the unit holder who has requested the use of a cheque book. Only those unit holders, for whom cheque writing is allowed, as part of their account profiles, may avail the use of a cheque book.

Specify the fund

2. Specify the fund for which the unit holder has requested the use of a cheque book. Rules for cheque writing should already have been maintained for such a fund.

Specify the cheque vendor

3. Specify the cheque vendor who will print the cheque books on behalf of the investor. Only those cheque vendors associated with the selected fund for which the cheque book is being requested, can be specified.

Specify cheque book details

4. Specify the details of the cheque book being printed, such as the number of the cheque book, the currency in which it is being issued and any remarks.

Specify the status of a cheque book request

5. You must mark the status of the cheque book as **Cheque book Applied** when a new cheque book request is being filled in this screen.

   The interface that you have defined for exporting details for cheque book requests to the designated vendors, when executed, will only pick up those requests whose status is **Cheque book Applied**.

   The status of the requests processed is automatically marked as **Sent to Vendor** after the interface is successfully executed.
6. Change the status to **Discrepancy Noticed**, by either editing or amending the request manually after a cheque book request has been sent to the designated cheque vendor, if there is any discrepancy reported by the vendor while downloading the cheque book request.
7. Mark the status of all issued cheque books as **Cheque Status Maintained** when the details of cheque books printed and issued against each request are received from the vendors and uploaded into the system.

   In this status, the details of all cheques that are part of the issued cheque book are maintained in the system.

8. Mark the status of the book as **Cheque Book Exhausted** when all cheques in the cheque book have been used up.

   You will need to either edit or amend the record to mark this status. In this status, all cheques contained in the book are marked **Invalid**.

9. If, for any reason, the cheque book stands cancelled, and you have received notification to that effect, you must edit or amend the cheque book request and mark the status as **Cancelled**.

   All cheques contained in the book are marked **Invalid** in this status.

10. Monitor the status of individual cheques in the cheque book through the **Cheque Status Summary** screen.

1.3 Process Cheque Book Request Detail

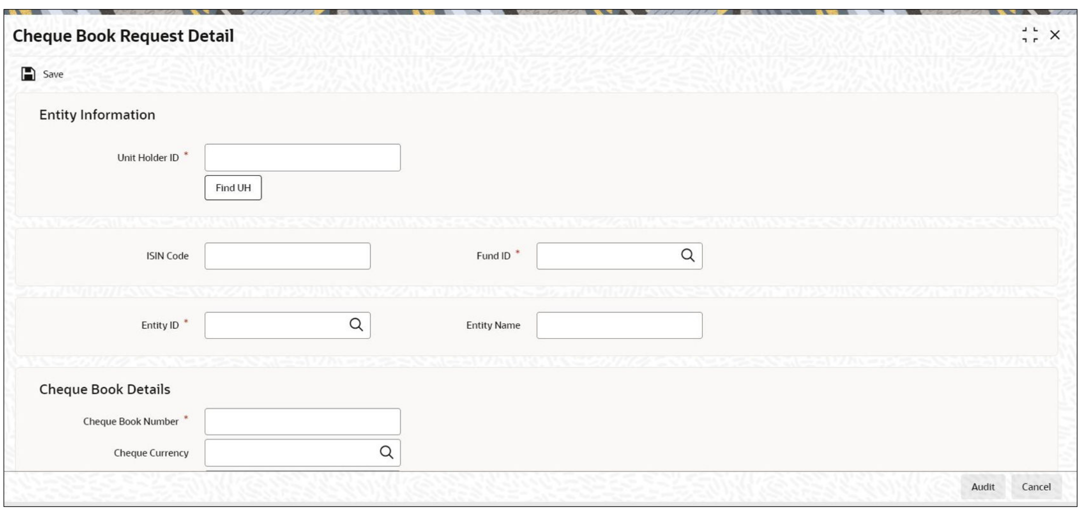
This topic provides the systematic instructions to maintain details of requested cheque books and update the status of cheques in each issued cheque book.

Cheque Book Request Detail

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

   The **Cheque Book Request Detail** screen is displayed.

Figure 1-1 Cheque Book Request Detail



2. On **Cheque Book Request Detail** screen, click **New** to enter the details.

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

Table 1-1 Cheque Book Request Detail - Field Description

Field	Description
Entity Information	This section displays the following details to be specified.

Table 1-1 (Cont.) Cheque Book Request Detail - Field Description

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters Maximum; Mandatory* In this field, you can indicate the unit holder for whom the cheque book request is being entered. You can use the **Find UH** button to view a list of unit holders for whom the cheque writing facility has been allowed in their account profiles, and select the required unit holder from this list. You cannot enter a cheque book request for a unit holder for whom the cheque writing facility is not allowed, in the account profile.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* In this field, you can indicate the fund for which the unit holder made the cheque book request. You cannot enter a cheque book request for a unit holder in a fund for which rules for cheque writing facility have not been defined. When you specify the ID of the fund, the ISIN code of the fund is displayed in the **ISIN Code** field.
ISIN Code	*Alphanumeric; 25 Characters; Optional* Select the ISIN code of the selected fund. If you specify the **ISIN Code** of a fund, the ID of the fund is displayed in the **Fund ID** field.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Indicate the cheque vendor to whom the cheque book request will be sent for printing. You can select the list of cheque vendors associated with the selected fund, select the required vendor from the option list.
Entity Name	*Display* The name of the vendor that you select is displayed in the **Entity Name** field.
Cheque Book Details	This section displays the following cheque book details to enter a cheque book request.
Cheque Book Number	*Alphanumeric; 16 Characters; Mandatory* Specify the number of the cheque book that has been requested. This is the identification for the cheque book in the system. The number you specify here must not be used to identify any other cheque book in the system, for the same unit holder and fund combination.
Cheque Currency	*Alphanumeric; 3 Characters; Optional* In this field, you can indicate the currency in which the cheque amounts will be expressed, on a cheque issued from the requested cheque book. All currencies allowed for the selected fund (in the Fund Transaction Currency Rule) are displayed in the option list.

Table 1-1 (Cont.) Cheque Book Request Detail - Field Description

Field	Description
Status	*Alphanumeric; 50 Characters; Optional* This field is used to assign a status to a cheque book. The individual cheque in the book may have different statuses, which are different from the status of the cheque book. You can choose the status of the cheque book that is being requested from the drop-down list. The list contains statuses defined to be applicable to cheque books, in the System Parameters. The following statuses are possible for a cheque book: • **Cheque Book Applied:** You must mark this status when a cheque book request is entered for the first time in this screen. This is the only status you can assign when you are entering a new request in this screen. • **Sent to Vendor:** The system automatically marks this status for all cheque book requests that are sent to the designated vendor for printing. • **Discrepancy Noticed:** You can mark this status when a vendor reports a discrepancy in a cheque book request, while processing it. You can only mark this status by editing or amending the cheque book request with the status **Sent to Vendor**. • **Cheque Status Maintained:** The system automatically marks this status when the file containing details of printed and issued cheque books is received from the vendor and uploaded into the system. In this status, details of each cheque in the cheque book are maintained in the system. • **Cheque Book Exhausted:**You can mark this status when all the cheques in a cheque book have been used up. In this status, all cheques in the book are marked **Invalid**. You can only mark this status by editing or amending the cheque book request with the status **Cheque Status Maintained**. • **Cancelled:** You can mark this status when notification is received that the cheque book stands cancelled. In this status, all cheques in the book are marked **Invalid**. You can only mark this status by editing or amending the cheque book request.
Remarks	*Alphanumeric; 200 Characters; Optional* You can specify any relevant narrative regarding the requested cheque book in this field.

1.4 Send Details of Cheque Book Requests

This topic provides the instructions to send details of Cheque Book Request.

1. You must define an interface through the **Interface Definition** facility to send details of cheque book requests entered into the system through the **Cheque Book Request Detail** screen to the designated cheque vendors.
2. Execute the interface on a given business day, that sends all authorized cheque book requests with status **Cheque book Applied**, received during the day, as an export file, to the designated cheque vendors.
3. You must manually execute the interfaces on each business day. If you fail to do so, the pre-end of day cheques performed by the system prompts you to do so.
4. Use the **Online Execution of Interfaces** menu option to execute the interfaces.

1.5 Receive Details of Printed Cheque Books

This topic provides the instructions to receive details of Cheque Book Request.

1. You must define an interface through the **Interface Definition** facility to upload details of cheque books printed by vendors against requests received.

   The cheque books are uploaded as authorized records.

2. Execute the interface on a given business day, that uploads all authorized cheque books printed by vendors against requests received during the day, from an import file sent by the vendors.
3. You must manually execute the interfaces on each business day. If you fail to do so, the pre-end of day cheques performed by the system prompts you to do so.
4. Use the **Online Execution of Interfaces** menu option to execute the interfaces.

1.6 Cheque Book Request Summary

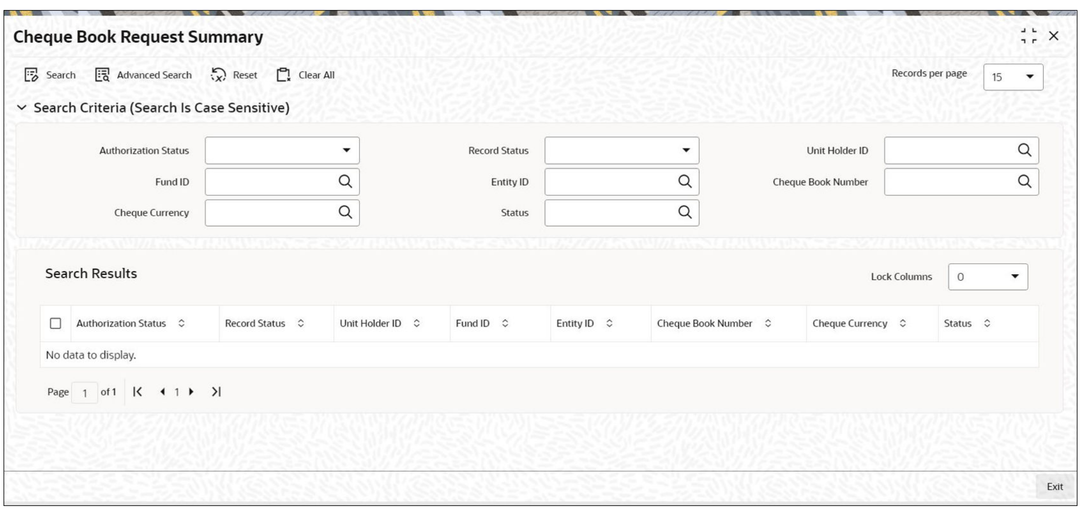
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Cheque Book Request Record

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

   The **Cheque Book Request Summary** screen is displayed.

Figure 1-2 Cheque Book Request Summary



2. You can make changes both before the request is authorized, and also after. You can change the following details:
   - Cheque Book Number
   - Cheque vendor
   - Cheque book status
   - Cheque book issue currency

3. On **Cheque Book Request Summary** screen, you can select a cheque book request for which you want to make changes by specifying any or all of the following details:
   - The ID of the unit holder who requested the cheque book
   - The ID and ISIN Code of the fund for which the cheque book request was made
   - The cheque vendor to whom the cheque book request was sent for printing
   - The number of the cheque book
4. On **Cheque Book Request 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**
   - **Fund ID**
   - **Entity ID**
   - **Cheque Book Number**
   - **Cheque Currency**
   - **Status**
5. 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 the **Fund ID**
   > - Press F8

6. 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.

   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 Book Request Record
  This topic provides the systematic instructions to edit Cheque Book Request record.

- View Cheque Book Request Record
  This topic provides the systematic instructions to view Cheque Book Request record.
- Delete Cheque Book Request Record
  This topic provides the systematic instructions to delete Cheque Book Request record.
- Authorize Cheque Book Request Record
  This topic provides the systematic instructions to authorize Cheque Book Request record.
- Amend Cheque Book Request Record
  This topic provides the systematic instructions to amend Cheque Book Request record.
- Authorize Amended Cheque Book Request Record
  This topic provides the systematic instructions to authorize amended Cheque Book Request record.

1.6.1 Edit Cheque Book Request Record

This topic provides the systematic instructions to edit Cheque Book Request 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 Book Request 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 screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Cheque Book Request 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 Book Request Detail** screen is closed and the changes made are reflected in the **Cheque Book Request Summary** screen.

1.6.2 View Cheque Book Request Record

This topic provides the systematic instructions to view Cheque Book Request 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 Book Request 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 and click **Search** button.

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

4. Double-click the record that you want to view in the list of displayed records.

   The **Cheque Book Request Detail** screen is displayed.

1.6.3 Delete Cheque Book Request Record

This topic provides the systematic instructions to delete Cheque Book Request record.

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

1. Start the **Cheque Book Request 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 screen.

4. Double-click the record that you want to delete in the list of displayed records.

   The **Cheque Book Request 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.

1.6.4 Authorize Cheque Book Request Record

This topic provides the systematic instructions to authorize Cheque Book Request record.

Authorize an unauthorized cheque book request in the system for it to be processed as follows:

1. Start the **Cheque Book Request 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 screen.

4. Double-click the record that you wish to authorize.

   The **Cheque Book Request 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.

1.6.5 Amend Cheque Book Request Record

This topic provides the systematic instructions to amend Cheque Book Request 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 Book Request Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization.

   You can only amend authorized records.
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 screen.
4. Double-click the record that you wish to amend.

   The **Cheque Book Request 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.

1.6.6 Authorize Amended Cheque Book Request Record

This topic provides the systematic instructions to authorize amended Cheque Book Request record.

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.

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

1.7 Status of an Individual Cheque

This topic briefs on different status of a cheque in the system.

Monitor Status of an Individual Cheque

A unit holder who uses the cheque writing facility could issue cheques to third parties for a transaction.

The bank at which the cheque is presented communicates with the AMC and sends the cheque details to the AMC. A redemption transaction is initiated for the unit holder who issued the cheque, in the fund for which the cheque was issued.

The used cheque details are typically sent to the AMC as a file, the contents of which may be uploaded into the system. You must define an interface that will upload the details from the file and also automatically trigger the generation of redemption transactions based on the cheque details.

Each cheque in an issued cheque book will pass through different statuses in the cycle of issue through `clearing`. To monitor the status of a cheque in the system, use the **Cheque Status Summary** screen.

The Active Status

When a cheque book is printed and issued against a request, and the details of the cheque book sent by a vendor are uploaded into the system, each cheque in the issued cheque book is marked with the **Active** status. This means that the cheque is now available to the unit holder to be issued to a third party for a transaction.

A stop payment instruction could be issued on an active cheque. An active cheque could also be rendered lost, if the unit holder misplaces it, or a third party to whom it is issued, misplaces it before presenting it at the bank.

You can manually change the status of active cheques in a cheque book as **Stop Payment Issued**, **Lost**, or **Inactive**, as deemed necessary, by amending the cheque status in the **Cheque Status Summary** screen.

A change in status of the original cheque book request could also affect the status of an active cheque in the cheque book. For instance, if the original request is marked with **Cancelled** status, then all cheques in the cheque book would automatically be marked **Invalid**.

The Used Status

Any cheque that has been issued by a unit holder, for which the details have been received by the AMC from the bank or clearing house, and uploaded into the system, is automatically marked as **Used**.

For such cheques, redemption transactions are generated when you execute the interface that you have defined, through the **Online Execution of Interfaces** option.

- If the transaction is generated successfully, the status of the **Used** cheque is marked as **Redemption Cleared**.
- If the redemption transaction fails to be generated successfully, the status of the **Used** cheque is marked as **Redemption Failed**.
- If the redemption transaction generated for the cheque is amended, the status of the **Used** cheque is marked as **Redemption Amended**.

1.8 Process Cheque Status Summary

This topic provides the systematic instructions to monitor the status of a cheque in the system.

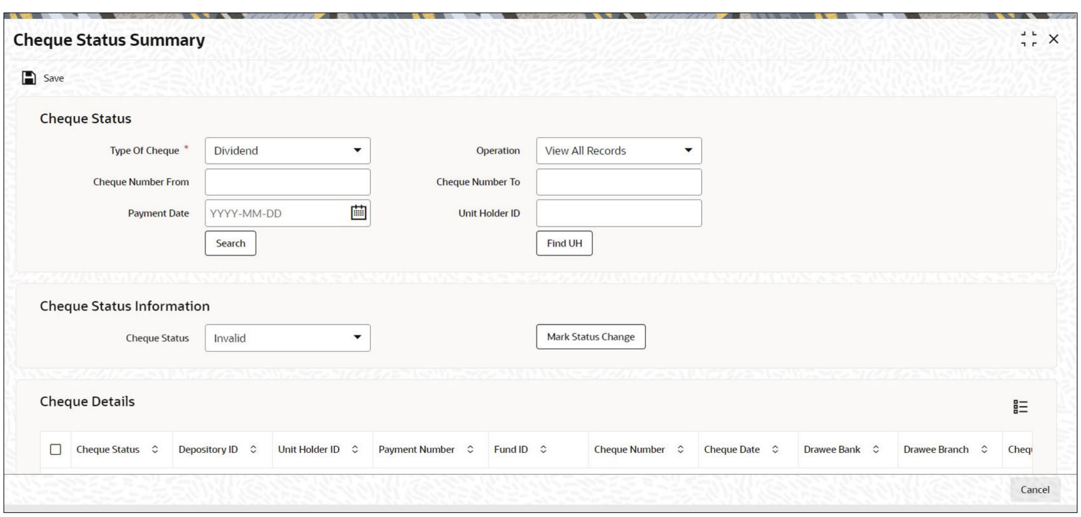
Select a cheque in the Cheque Status Summary

To recall, you can effect manual status changes on an active cheque, in the **Cheque Status Summary** screen. You can also view the status of **Active** or **Used** cheques.

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

   The **Cheque Status Summary** screen is displayed.

Figure 1-3 Cheque Status Summary



2. On **Cheque Status Summary** screen, click **New** to enter the details.
3. You can manually change the status of an active cheque to **Stop Payment Issued** or **Lost** through this screen.
4. You must specify the following details to select a cheque in this screen so that the system will use to identify and retrieve the cheque record.
   - The number of the cheque.
   - The ID of the unit holder who issued the cheque.
   - The ID of the fund for which the cheque was issued, and the ISIN Code for the fund.
   - The number of the redemption transaction that was generated for the cheque.
   - The status of the cheque.
5. You could also specify the number of the cheque book that contained the cheque issued, as well as the ID of the cheque vendor who printed the cheque book.
6. If you do not select any criteria for the search, all the records are displayed.

   The following details are displayed for each cheque:
   - The ID of the unit holder that has issued the cheque.
   - The ID of the fund for which the cheque has been issued.
   - The ID and name of the cheque vendor.
   - The number of the cheque book.
   - The number of the cheque.
   - The date on which the cheque was assigned the present status.
   - The currency in which the cheque book was issued.
   - The transaction number corresponding to the redemption payment made against the cheque.
7. Select **Amend** as the operation to change the status of an active cheque in the **Cheque Status** screen.

   The amended record will be saved as an unauthorized record, which you must authorize to make the change effective.
8. Choose **Authorize** to authorize a cheque status amendment as the operation.
9. Select **View** as the operation to view the status of a cheque.
10. Click **OK** button after you have specified all the details for selecting the cheque and the operation you want to perform.

    The cheques that match the details you have specified are displayed in the lower list portion of the screen.
11. In this screen, the details of the cheque you have selected are displayed in **View** Mode.

    If you have selected an **Operation** to change the status of the cheque, the **Cheque Status** field is enabled, with the current status displayed, and you can select the required status by choosing from the options in the drop-down list.
12. If the **Operation** you have selected is **View**, then none of the details in the **Cheque Status** screen can be changed, including the **Cheque Status**.

    The latest status of the cheque is displayed.
13. On **Cheque Status Summary** screen, specify the fields.

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

Table 1-2   Cheque Status Summary - Field Description

Field	Description
Cheque Status	This section displays the following cheque details.
Type of Cheque	*Mandatory* Specify the type of cheque for which you wish to view details or change the status. The type can be any of the following: • **Redemption** • **Dividend** • **Fee /Incentive** • **Bonus**
Operation	*Mandatory* Select the type of operation you wish to perform from the drop-down list. It includes: • **View all records** • **View Status Change Records** • **Mark Status Change** **Note:** The field **Cheque Status** and the button **Mark Status Change** are enabled only if the type of **Operation** is **Mark Status Change**.
Cheque Number From	*Alphanumeric; 16 Characters; Optional* Enter the cheque number from which you wish to perform the operation specified.
Cheque Number To	*Alphanumeric; 16 Characters; Optional* Enter the Cheque number till which you require the operation you have specified.
Payment Date	*Date Format; Optional* Specify the payment date of the cheque(s).
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the unit holder ID if you want view details/ make changes only for a specific unit holder. Click the **UH Find** button to search for the specific unit holder. Click **OK** after having specified all the relevant details. The system displays all the relevant details in the **Cheque Status Details** section.
Table Name	*Alphanumeric; 50 Characters; Mandatory* Specify the table name.
Cheque Status Information	This section displays the following cheque details.
Cheque Status	*Optional* The current status of the selected cheque is displayed here. It could be any of the following: • **Lost**: Indicates that information has been received from the unit holder that the cheque has been misplaced. • **Invalid**: Indicates that the original cheque book that contained this issued cheque has been marked with the status **Cancelled** or **Cheque Book Exhausted**. Click **Mark Status Change** button to apply the status change to the given cheque.

14. On **Cheque Details** section of the **Cheque Status Summary** screen, view the following details.

    The system displays the following cheque details:

    - **Cheque Status**
    - **Depository ID**
    - **Unit Holder ID**
    - **Payment Number**
    - **Fund ID**
    - **Cheque Number**
    - **Cheque Date**
    - **Drawee Bank**
    - **Drawee Branch**
    - **Cheque Amount**
    - **Transaction Number**

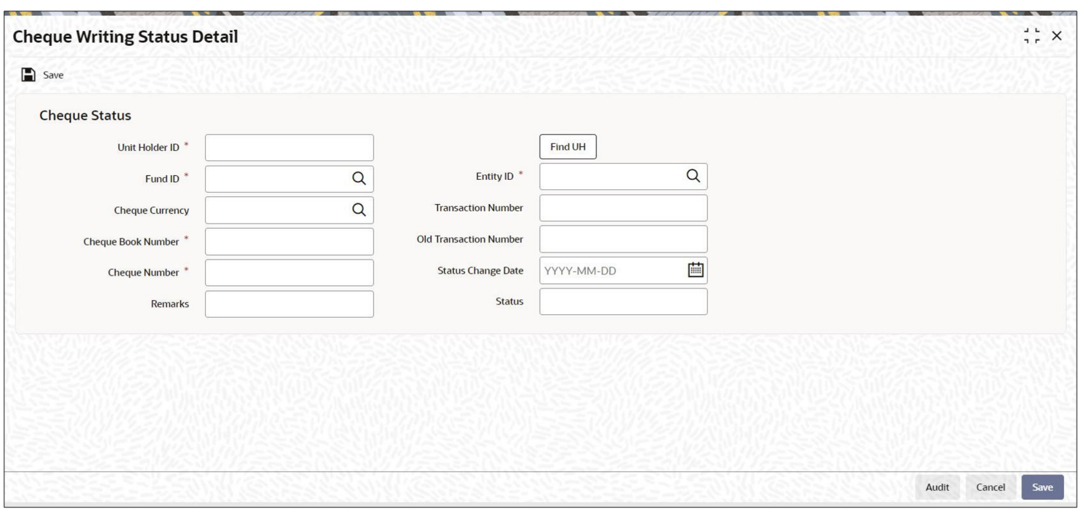
1.9 Process Cheque Writing Status Detail

This topic provides the systematic instructions to maintain cheque writing status.

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

   The **Cheque Writing Status Detail** screen is displayed.

Figure 1-4 Cheque Writing Status Detail



2. On **Cheque Writing Status Detail** screen, click **New** to enter the details.

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

Table 1-3 Cheque Writing Status Detail - Field Description

Field	Description
Unit Holder ID	*Alphanumeric; 16 Characters; Mandatory* Specify the unit holder ID. You can also query for unit holder ID by clicking **Find UH** button.
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.
Cheque Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the cheque currency. Alternatively, you can select cheque currency code from the option list. The list displays all valid cheque currency code maintained in the system.
Cheque Book Number	*Alphanumeric; 16 Characters; Mandatory* Specify the cheque book number.
Cheque Number	*Alphanumeric; 12 Characters; Mandatory* Specify the cheque leaf number.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
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.
Transaction Number	*Alphanumeric; 16 Characters; Mandatory* Specify the transaction number.
Old Transaction Number	*Alphanumeric; 16 Characters; Mandatory* Specify the old transaction number.
Status Change Date	*Date Format; Mandatory* Select the status change date from the adjoining calendar.
Status	*Alphanumeric; 50 Characters; Optional* Specify the status of the cheque.

1.10 Cheque Writing Status Summary

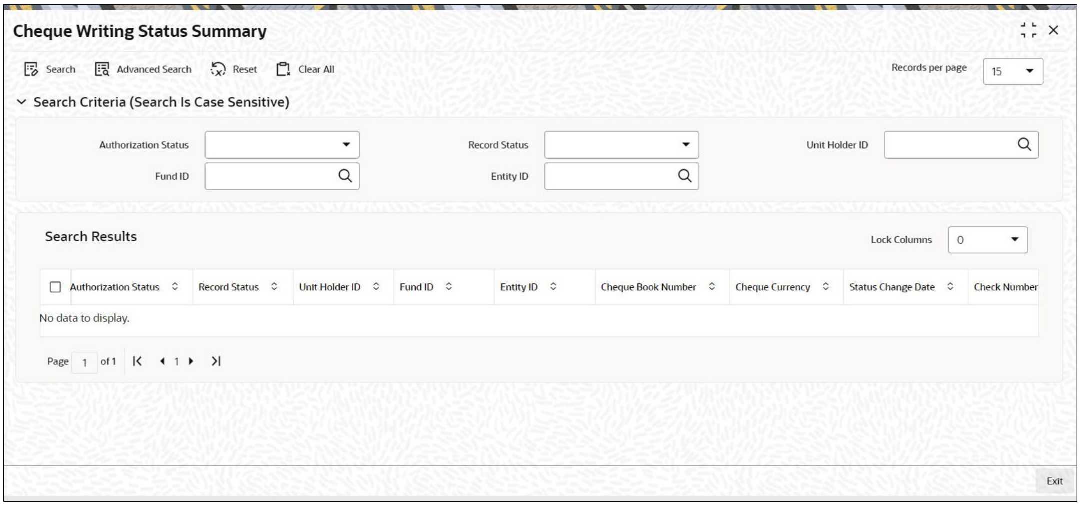
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Cheque Writing Status Record

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

   The **Cheque Writing Status Summary** screen is displayed.

Figure 1-5 Cheque Writing Status Summary



2. On **Cheque Writing Status 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**
   - **Entity ID**
   - **Fund 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 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 % and alphanumeric value.

   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 Writing Status Record
  This topic provides the systematic instructions to edit Cheque Writing Status record.
- View Cheque Writing Status Record
  This topic provides the systematic instructions to view Cheque Writing Status record.
- Delete Cheque Writing Status Record
  This topic provides the systematic instructions to delete Cheque Writing Status record.
- Authorize Cheque Writing Status Record
  This topic provides the systematic instructions to authorize Cheque Writing Status record.
- Amend Cheque Writing Status Record
  This topic provides the systematic instructions to amend Cheque Writing Status record.
- Authorize Amended Cheque Writing Status Record
  This topic provides the systematic instructions to authorize amended Cheque Writing Status record.

1.10.1 Edit Cheque Writing Status Record

This topic provides the systematic instructions to edit Cheque Writing Status 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 **Cheque Writing Status 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 screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Cheque Writing Status 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 Writing Status Detail** screen is closed and the changes made are reflected in the **Cheque Writing Status Summary** screen.

1.10.2 View Cheque Writing Status Record

This topic provides the systematic instructions to view Cheque Writing Status 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 **Cheque Writing Status 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 and click **Search** button.

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

4. Double-click the record that you want to view in the list of displayed records.

   The **Cheque Writing Status Detail** screen is displayed.

1.10.3 Delete Cheque Writing Status Record

This topic provides the systematic instructions to delete Cheque Writing Status record.

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

1. Start the **Cheque Writing Status 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 screen.

4. Double-click the record that you want to delete in the list of displayed records.

   The **Cheque Writing Status 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.

1.10.4 Authorize Cheque Writing Status Record

This topic provides the systematic instructions to authorize Cheque Writing Status record.

Authorize an unauthorized Cheque Writing Status record in the system for it to be processed as follows:

1. Start the **Cheque Writing Status 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 screen.

4. Double-click the record that you wish to authorize.

   The **Cheque Writing Status 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.

1.10.5 Amend Cheque Writing Status Record

This topic provides the systematic instructions to amend Cheque Writing Status 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 Writing Status Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization.

   You can only amend authorized records.
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 screen.
4. Double-click the record that you wish to amend.

   The **Cheque Writing Status 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.

1.10.6 Authorize Amended Cheque Writing Status Record

This topic provides the systematic instructions to authorize amended Cheque Writing Status 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.

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

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