

Oracle® FLEXCUBE Investor Servicing Trade User Guide



Release 14.7.7.0.0
G31919-01
April 2025

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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](#)
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- [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

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

Conventions

The following text conventions are used in this document:

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

Screenshot Disclaimer

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

Acronyms and Abbreviations

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

Table Acronyms and Abbreviations

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

Table (Cont.) Acronyms and Abbreviations

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

Symbols and Icons

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

Table Symbols and Icons

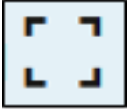
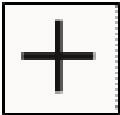
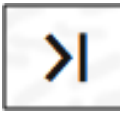
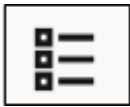
Symbol/Icon	Function
	Lists all records maintained
	Minimize
	Maximize
	Close
	Perform Search

Table (Cont.) Symbols and Icons

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

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

Manage Suspense Accounts, Statutory Accounts and Trading

This topic provides the instructions to manage trading accounts such as the statutory accounts and suspense accounts.

Oracle FLEXCUBE Investor Servicing (FCIS) provides the AMC with the facility to automate the trading on units and the management of trading accounts such as the statutory accounts and suspense accounts. Typically, the AMC trades on units to generate profit and dividend earnings on units in its possession.

This topic contains the following sub-topics:

- [Basic Terms](#)
This topic describes about various terms used in connection with trading.
- [Trading Transactions](#)
This topic provides explanation on trading transactions of the AMC.
- [Trading Functions in FCIS System](#)
This topic provides information on trading functions in the FCIS System.
- [Process UH Mapping Maintenance Detail](#)
This topic provides the systematic instructions to designate a unit holder account that has been set up in the system as the statutory account or the suspense account for the AMC, for the purposes of trading.
- [UH Mapping Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Trading Transaction Maintenance Detail](#)
This topic provides the systematic instructions to initiate any of the trading transactions in the system.
- [Trading Transaction Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.

1.1 Basic Terms

This topic describes about various terms used in connection with trading.

You need to understand a few terms in connection with trading on units clearly before you use the **FCIS** system to automate the same.

Table 1-1 Trading Terms and Descriptions

Trading Terms	Descriptions
Trading Box	The trading box refers to the number of units that are available at any given point of time for the AMC, to do trading. The units in the trading box could be the result of any (or both) of two transactional sources: • Units arising due to the trading done by the AMC itself • Units arising due to inflow and outflow resulting from investors' transactions in the fund. A trading box, therefore, has no physical existence as an actual entity, but is a term used to identify the pool of trading units held by the AMC and available for trading at any given point of time. Any transaction that results in an increment in the number of units in the trading box may be considered as an <code>in</code> transaction, and any transaction that results in depletion in the number of units in the trading box may be considered as an <code>out</code> transaction.
Statutory Account	This account is maintained by the AMC according to the regulatory requirements. It is used by the AMC very much like a reserve account where the AMC can "park" a specified percentage of the units held by it. This specified percentage is by no means constant and the AMC can use the units held in this account for trading purposes, and also generate dividend earnings on them. The statutory account is, therefore, a unit holder account in the system where the AMC can station some of the units held in its possession at any given point of time.
Suspense Account	This account is maintained by the AMC to differentiate its own holdings from the units arising due to inflows or outflows from investor transactions. One of the reasons for this differentiation is to facilitate the generation of dividend earnings for the AMC on its holdings. The suspense account is, therefore, a unit holder account in the system where the AMC actually transfers all its holdings at a given point in time for the purpose of gaining income earnings on them. When a dividend is declared and processed by the AMC, or when an income distribution process is initiated, all its outstanding holdings in a fund must be transferred to the suspense account so that either income distribution earnings or dividend earnings may be availed of by the AMC.

1.2 Trading Transactions

This topic provides explanation on trading transactions of the AMC.

During the course of trading on holdings, the AMC may do any or all of the following transactions:

1. Creation
2. Liquidation
3. Management Transfer transactions
 - a. Management Transfer Out to Statutory Account (MTOST)
 - b. Management Transfer Out to Suspense Account (MTOSU)
 - c. Management Transfer In from Statutory Account (MTIST)
 - d. Management Transfer In from Suspense Account (MTISU)

4. Net Settlement
 - a. Net Settlement In (NSI) transactions
 - b. Net Settlement Out (NSO) transactions

**Note:**

Global Order transactions can also be entered by an AMC. The system also services these transactions. However, the global order feature is only available if your installation has specifically requested for it. An exhaustive note on global order transactions may be found in the Annexure. This chapter only discusses the transaction types mentioned above. Trading box functionality is applicable only for Daily priced funds.

Creation

Creation of units by the AMC is a result of a management decision to **buy** a certain amount of units from the trustees. The units that are bought are either sold to the unit holders at a more favourable price to generate profit, or kept in the suspense account, or both.

Creation of units by the AMC is a typical activity when it is desirous of generating earnings on favourable movement of fund prices.

A creation transaction will have the effect of incrementing the number of units in the trading box, and is considered an `in` transaction.

Liquidation

Liquidation of units by the AMC is a result of a management decision to sell part of its holdings to the trustee, and may occur for any of two reasons:

- To minimize losses on its holdings due to unfavourable movement of fund prices.
- To generate earnings out of an abundance of units in the trading box and a favourable price for liquidation.

A liquidation transaction will have the effect of depleting the number of units in the trading box, and is considered an `out` transaction.

Management Transfer transactions

Any movement of units from or to the statutory account or suspense account, due to management trading decisions, from the trading box, will result in any of the following transactions, as applicable:

- Management Transfer out to Statutory Account (MTOST)
- Management Transfer out to Suspense Account (MTOSU)
- Management Transfer in from Statutory Account (MTIST)
- Management Transfer in from Suspense Account (MTISU)

For more details on components of Management Transfer transactions, refer to the **Movement of Units** table.

Table 1-2 Movement of Units

Movement of Units	Descriptions
Management Transfer out to Statutory Account (MTOST)	This activity is a result of a management decision to transfer part of the AMC's holdings from the trading box to the statutory account. The MTOST transaction has the effect of depleting the number of units in the trading box, and is considered an out transaction.
Management Transfer out to Suspense Account (MTOSU)	This activity is a result of a management decision to transfer part of the AMC's holdings from the trading box to the suspense account. The MTOSU transaction has the effect of depleting the number of units in the trading box, and is considered an out transaction.
Management Transfer in from Statutory Account (MTIST)	This activity is a result of a management decision to transfer part of the AMC's holdings from the statutory account to the trading box. The MTIST transaction has the effect of incrementing the number of units in the trading box, and is considered an in transaction.
Management Transfer in from Suspense Account (MTISU)	This activity is a result of a management decision to transfer part of the AMC's holdings from the suspense account to the trading box. The MTISU transaction has the effect of incrementing the number of units in the trading box, and is considered an in transaction.

Net Settlement

The net number of units that are settled due to the different transactions that occur on a business day is referred to as the **Net Settlement** for the day. This consists of the following two components:

- Net Settlement In or NSI
- Net Settlement Out or NSO

For more details on components of Net Settlement, refer to the **Net Settlement** table.

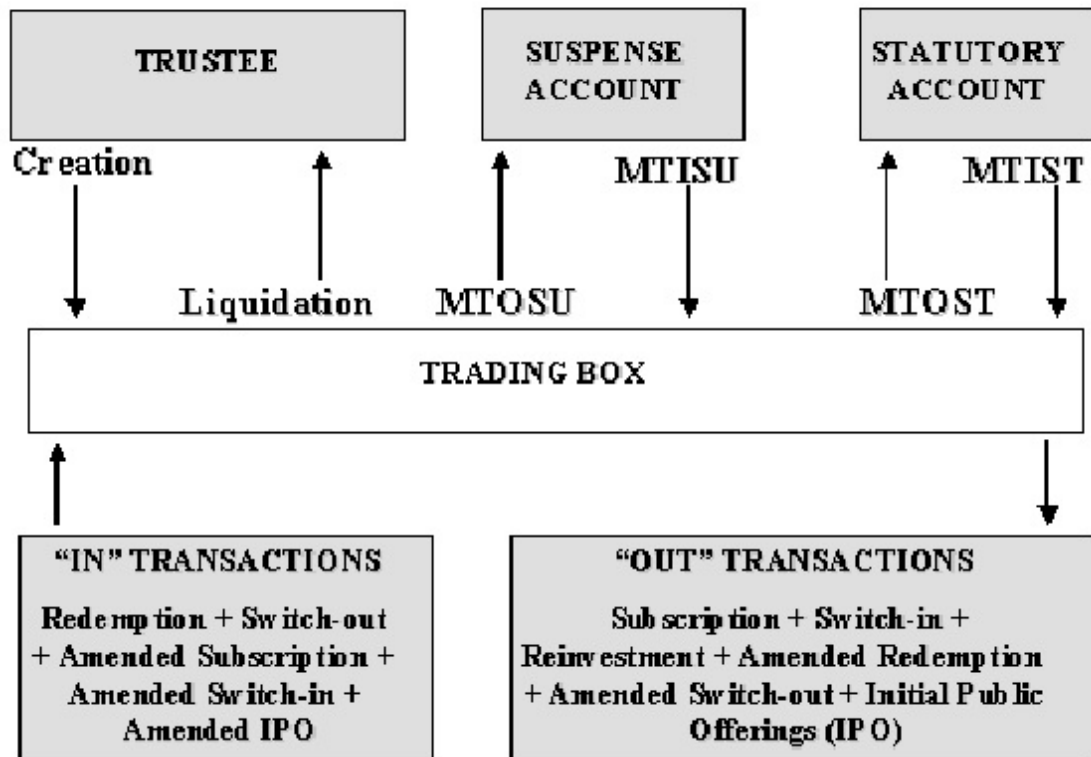
Table 1-3 Net Settlement

Net Settlement	Descriptions
Net Settlement In or NSI	The net number of units flowing into the trading box due to redemption, switch-out, amended switch-in and amended subscription (or initial public offering) transactions. This is called the Net Settlement In or NSI . The NSI transaction has the effect of incrementing the number of units in the trading box, and is considered an in transaction.
Net Settlement Out or NSO	The net number of units flowing out to the trading box due to subscription, initial public offering, switch-in, reinvestment, amended switch-out and amended redemption transactions. This is called the Net Settlement Out or NSO . The NSO transaction has the effect of depleting the number of units in the trading box, and is considered an out transaction. The AMC ensures that the trading box never goes into a negative or a zero position where the net settled units due to out transactions exceed the number of available units in the box.

Trading – Graphical Work-flow View

The following diagram graphically depicts the movement of trading units and the different components of the trading system.

Figure 1-1 Trading_workflow



1.3 Trading Functions in FCIS System

This topic provides information on trading functions in the FCIS System.

Operate Trading Functions in FCIS System

You can automate the trading process of the AMC by using the following screens in the **FCIS** system:

- The **UH Mapping (Detail and Summary)** screens in the **Trading** menu in the Browser.
- The **Trading Transaction Maintenance (Detail and Summary)** screens in the **Trading Transaction Maintenance** menu in the Browser.

For the purpose of enquiry, the following reports are also available:

- The Fund Gross Settlement report
- The Trading Enquiry report
- The Trading Profit/Loss report

You can access all these reports through the **Reports** menu in the Browser.

When you operate the trading functions of the AMC through the **FCIS** system, it is recommended that you perform following processes:

- Set up the unit holders that are to be linked to the statutory and the suspense account for the AMC in the system, using the Unit Holder New Account screen. Authorize them and accept the information in the Registrar component.

- Link the unit holders that you have set up to the desired account type, statutory or suspense account, using the **Unit Holder Trading Account Mapping Detail** screen.
- Obtain the information about the trading position of the AMC through the Fund Gross Settlement report. The gross volume or settlement due to the transactions occurring on any certain business day can be learned from this report.
- Use the **Trading Transaction Maintenance Detail** screen to initiate any of the trading transactions.
- Authorize any initiated trading transactions using the **Trading Transaction Maintenance Summary** screen. The transactions are allocated as soon as they are authorized in the system.

Initiate Net Settlement Transactions

Though you can use the Trading Maintenance screen to initiate any of the trading transactions, the Net Settlement Transactions NSO and NSI cannot be initiated through this screen.

These transactions are automatically triggered by the End of Day process at the end of each working day, and the impact of these transactions is reflected immediately in the accounting and the balance in the trading box for the next working day.

1.4 Process UH Mapping Maintenance Detail

This topic provides the systematic instructions to designate a unit holder account that has been set up in the system as the statutory account or the suspense account for the AMC, for the purposes of trading.

Unit Holder Account as the Statutory Account or the Suspense Account

When you associate an existing unit holder account in this screen as the statutory account or the suspense account, the system maps the **Unit Holder ID** and the **Account Type** and will debit or credit the unit holdings in this account with the impact of all subsequent trading transactions.

Operations

You can subsequently edit or delete the mapping when you have designated a unit holder account as the statutory or suspense account in this screen.

- Edit the mapping by changing the unit holder ID, the AMC ID or the account name
- Delete the mapping, if necessary.

You must remember that if trading has occurred after you have designated the statutory or suspense account in this screen and the trading has impacted either account, and there are holdings in either account, you cannot edit or delete the mapping in this screen.

Checks and Controls

Before you designate a unit holder account as the statutory or suspense account, it is recommended that you must already have set up the desired investor as a unit holder, and subsequently authorized the unit holder account and accepted the same in the Registrar component.

For an AMC, you can only designate one unit holder account as the statutory or suspense account.

Designate Unit Holder Account as Statutory or Suspense Account

Specify the following details to designate a unit holder account as statutory or the suspense account in this screen.

- **AMC ID**
- **Account Name**
- **Unit Holder ID**

Click the **Save** button to save your specifications, or click the **Cancel** button to cancel your specifications and start again.

1. On **Home** screen, type **UTDUHTRD** in the text box, and click **Next**.
The **UH Mapping Maintenance Detail** screen is displayed.

Figure 1-2 UH Mapping Maintenance Detail

2. On **UH Mapping Maintenance Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 1-4 UH Mapping Maintenance Detail - Field Description

Field	Description
Unit holder Trading Account Mapping	This section displays the following details
AMC	Alphanumeric, 12 Characters; Mandatory Select the AMC for which you are designating the statutory or suspense unit holder account.
Trading Agent	Alphanumeric, 12 Characters; Mandatory Select the trading agent from the option list.
Agent	Display The system displays the agent name for the selected trading agent.

Table 1-4 (Cont.) UH Mapping Maintenance Detail - Field Description

Field	Description
Account Type	Alphanumeric, 2 Characters; Mandatory Select the account that you are designating for the AMC. It could be either a statutory account or suspense account.
Unit Holder ID	Alphanumeric, 12 Characters; Mandatory Specify the ID of the unit holder account that you want to designate as the statutory or the suspense account, as applicable. You can also search for unit holder ID by clicking Find UH button. The Find Unit Holder screen is opened, and you can retrieve the required unit holder number by specifying suitable search criteria.
Unit Holder Name	Display When you specify the ID of the unit holder account that you want to designate as the statutory or suspense account, the name of the corresponding unit holder is displayed here.
Installation Type	Display The system displays the installation type.
Global Order Generation Type	This section displays the following details
Global Order Generation Type	Optional Select global order generation type from the drop-down list. The list displays the following values: • User Initiated Generation • Generation at Cut-off Time • Generation in EOD • Generation in Mini-EOD
Generate Consolidated Global Order?	Optional Check this box if consolidated global order has to be generated.
Allocate Txn without GO Confirmation	Optional Check this box to allocate transaction without global order confirmation.
Adjust Box Position?	Optional Check this box to adjust the box position.
Generate Global Order Post Allocation?	Optional Check this box to generate the global order post allocation.
Transaction Level P/L	Optional Check this box to consider transaction level P/L details.
Transaction Mode	Optional Select the mode of transaction from the drop-down list. The list displays the following values: • Amount • Unit • Both
Reversal At Source?	Optional Check this box if transaction has to be reversed at source.
Pre funding?	Optional Check this box if pre-funding is required.

Table 1-4 (Cont.) UH Mapping Maintenance Detail - Field Description

Field	Description
Use Underlying Txn Price?	Optional Check this box to use underlying transaction price.
GO Based On	Optional Select if Global Order is based on Allocation date or input date from the drop-down list.
GO Basis Lag	Numeric; 3 Characters; Optional Specify the global order basis lag.
GO Basis Lag Calendar	Optional Select the type of global order basis lag calendar from the drop-down list. The list displays the following values: • System Calendar • Fund Calendar • Actual Calendar
Trading Box Position	Select the appropriate trading box position by checking the following boxes: • Long • Short • Zero
UH Account Type Mapping Details	This section displays the following details
UH Account Type	Alphanumeric; 2 Characters; Mandatory Specify the UH account type. The adjoining option list displays all the valid UH account types maintained in the system. You can select the appropriate one.
Account Description	Display Upon selection of the UH account types, the system displays the account description of the specified account.

1.5 UH Mapping Maintenance Summary

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

Retrieve UH Mapping Maintenance Record

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

The **UH Mapping Maintenance Summary** screen is displayed.

Figure 1-3 UH Mapping Maintenance Summary

2. On **UH Mapping 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**
 - **AMC**
 - **Account 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 screen.

 Note:

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

- Press F7
- Input the **Unit Holder ID**
- Press F8

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 Unit Holder ID by using the combination of % and alphanumeric value as follows:

- Search by A%: The system will fetch all the records whose Unit Holder ID starts from Alphabet 'A'. Ex: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: The system will fetch all the records whose Unit Holder ID ends by numeric value '7'. Ex: AGC17, GSD267, AGC77 and so forth.

- **Search by %17%:** The system will fetch all the records whose Unit Holder ID contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.
- [Edit UH Mapping Maintenance record](#)
This topic provides the systematic instructions to edit UH Mapping Maintenance record.
- [View UH Mapping Maintenance Record](#)
This topic provides the systematic instructions to view UH Mapping Maintenance record.
- [Delete UH Mapping Maintenance Record](#)
This topic provides the systematic instructions to delete UH Mapping Maintenance record.
- [Authorize UH Mapping Maintenance Record](#)
This topic provides the systematic instructions to authorize UH Mapping Maintenance record.
- [Amend UH Mapping Maintenance Record](#)
This topic provides the systematic instructions to amend UH Mapping Maintenance record.
- [Authorize Amended UH Mapping Maintenance Record](#)
This topic provides the systematic instructions to authorize amended UH Mapping Maintenance record.
- [Copy UH Mapping Maintenance Record](#)
This topic provides the systematic instructions to copy UH Mapping Maintenance record.

1.5.1 Edit UH Mapping Maintenance record

This topic provides the systematic instructions to edit UH Mapping Maintenance record.

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

1. Start the **UH Mapping 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 screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

1.5.2 View UH Mapping Maintenance Record

This topic provides the systematic instructions to view UH Mapping Maintenance record.

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

1. Start the **UH Mapping 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 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 **UH Mapping Maintenance Detail** screen is displayed.

1.5.3 Delete UH Mapping Maintenance Record

This topic provides the systematic instructions to delete UH Mapping Maintenance record.

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

1. Start the **UH Mapping 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 screen.

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

The **UH Mapping 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.

1.5.4 Authorize UH Mapping Maintenance Record

This topic provides the systematic instructions to authorize UH Mapping Maintenance record.

Authorize an unauthorized UH Mapping in the system for it to be processed as follows:

1. Start the **UH Mapping 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 screen.

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

The **UH Mapping 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 UH Mapping Maintenance Record

This topic provides the systematic instructions to amend UH Mapping Maintenance record.

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

1. Start the **UH Mapping 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 screen.
4. Double-click the record that you wish to amend.
The **UH Mapping 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 UH Mapping Maintenance Record

This topic provides the systematic instructions to authorize amended UH Mapping Maintenance record.

Authorize an amended UH Mapping Maintenance 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.

1.5.7 Copy UH Mapping Maintenance Record

This topic provides the systematic instructions to copy UH Mapping Maintenance record.

1. Click **Copy** to create a new **UH Mapping Maintenance** with the same attributes of an existing maintenance.
2. Retrieve the record whose attributes the new UH Mapping should inherit.
You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.
3. Click **Copy**.
Indicate the ID for the new **UH Mapping Maintenance**. You can, however, change the details of the new maintenance. As mentioned earlier, if the designated account has been impacted by subsequent trading, and has holdings, then you cannot edit or delete the mapping in this screen.

1.6 Process Trading Transaction Maintenance Detail

This topic provides the systematic instructions to initiate any of the trading transactions in the system.

1. On **Home** screen, type **UTDTRDTX** in the text box, and click **Next**.
The **Trading Transaction Maintenance Detail** screen is displayed.

Figure 1-4 Trading Transaction Maintenance Detail

Checks and Controls

2. Before initiating trading transactions in this screen, it is recommended that you must already have:
 - a. Identified and marked the funds for which the trading functions must be allowed. When you set up the **General Operating Rules** for each fund in the **General Operating Rules** screen, you must check the **Maintain Trading Box** field.
This indicates to the system that trading functions are allowable for the fund. Subsequently, all the fund rules pertaining to the fund must be authorized.
 - b. You can only initiate trading transactions in this screen for all such funds for which the trading functions are allowable.
 - c. Set up the unit holders that are to be linked to the statutory and the suspense account for the AMC in the system, authorized them and accepted the information in the Registrar component.
 - d. Linked the unit holders that you have set up to the desired account type, statutory or suspense account, using the **Account Unit Holder Information** screen.
3. On **Trading Transaction Maintenance Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 1-5 Trading Transaction Maintenance Detail - Field Description

Field	Description
Trading Maintenance	This section displays the following details.

Table 1-5 (Cont.) Trading Transaction Maintenance Detail - Field Description

Field	Description
Transaction Type	Alphanumeric; 2 Characters; Mandatory Select the type of trading transaction that you are initiating through this screen.
Transaction Mode	Mandatory Select the mode in which the volume of the transaction must be reckoned and the transaction put through from the drop-down list. The list displays the following values: • Amount: The volume of the transaction is specified in terms of an amount. Select this mode for creation and liquidation transactions. It is not allowable for the management transfer transactions. • Units: The volume of the transaction is specified in terms of the number of units requested. Select this mode for liquidation transactions and the management transfer transactions. It is not allowable for creation transactions. • Percentage: The volume of the transaction is specified as a specific percentage of the holdings already held in the specified fund in the trading box. Select this mode, if applicable, only for liquidation transactions. It is not allowable for any other transaction types. When you select the transaction mode in this field, you must specify the actual volume of the transaction in the selected mode in the Amount , Units or Percentage field, as applicable.
AMC ID	Alphanumeric; 12 Characters; Mandatory Select the ID of the AMC that is initiating the trading transaction from the option list.
Fund ID	Alphanumeric; 6 Characters; Mandatory Select the ID of the fund in which the AMC is desirous of initiating the trading transaction, from the drop-down list. When you specify the ID of the fund, the ISIN Code of the fund is displayed in the ISIN Code field.
Percent	Numeric; 5 Characters; Mandatory if the selected Transaction Mode is Percentage Indicate the percentage of the holdings of the investor that is to be deemed as the volume of this transaction.
Units	Numeric; 27 Characters; Mandatory if the selected Transaction Mode is Units Indicate the number of units requested in the transaction.
Amount	Numeric; 27 Characters; Mandatory if the selected Transaction Mode is Amount Indicate the amount involved in the transaction.
Transaction Currency	Alphanumeric; 3 Characters; Mandatory Select the currency in which the transactions will be initiated. When you select a fund in the Fund Name field, the fund transaction currencies that are allowable for transactions into the selected fund are displayed in the drop-down list in this field, from the Fund Transaction Currency fund rule record that has been maintained for the selected fund.

Table 1-5 (Cont.) Trading Transaction Maintenance Detail - Field Description

Field	Description
Pre funding?	Optional Select Yes or No from the drop-down list to specify whether pre-funding is required or not for UH Mapping. The list displays the following values: • Yes • No
Use Underlying Transaction?	Optional Select Yes or No from the drop-down list to specify whether underlying transaction can be used for UH Mapping or not.
Price Date	Date format; Mandatory Indicate the date on which the desired price that is to be reckoned for allocation of the transaction was prevalent. You can specify a past date, but not a future date. If you specify a past date, it must be a date on which the desired authorized fund price was prevalent.
Transaction Number	Display The system displays the transaction number.
FUND ISIN	Alphanumeric; 12 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 field.
Trading Agent Code	Alphanumeric; 12 Characters; Optional Select the trading agent code from the option list.
Transaction Date	Date Format; Mandatory Select the date on which the transaction is initiated into the system from the adjoining calendar. You can only initiate trading transactions on the application date, and you cannot initiate trading transactions on a future date or a past date.
Payment Details	This section displays the following details.
Bank	Alphanumeric; 12 Characters; Mandatory Specify the bank name of the customer.
Branch Code	Alphanumeric; 12 Characters; Mandatory Specify the branch code of the customer.
Account Currency	Alphanumeric; 3 Characters; Mandatory Specify the account currency code used by the customer.
Account Type	Alphanumeric; 1 Character; Mandatory Specify the account type.
Account Number	Alphanumeric; 34 Characters; Mandatory Specify the account number of the customer.
Account Holder Name	Alphanumeric; 100 Characters; Mandatory Specify the account holder name.
Payment Mode	Alphanumeric; 1 Character; Mandatory Specify the mode of payment.

Table 1-5 (Cont.) Trading Transaction Maintenance Detail - Field Description

Field	Description
Payment Type	Optional Select the type of payment from the drop-down list. The list displays the following values: • Self • Third Party
Clearing Date	Date Format; Optional Select the clearing date from the adjoining calendar.
Transfer Reference Number	Alphanumeric; 20 Characters; Optional Specify the transfer reference number.
IBAN	Alphanumeric; 40 Characters; Optional Specify the International Bank Account Number (IBAN) of the account holder. By default, the price date is reckoned to be the application date. In such a case, the prevalent price as on the application date need not be available at the time of initiating the trading transaction in this screen, but it must be available when the authorization of the trading transaction is done.

1.7 Trading Transaction Maintenance Summary

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

Retrieve Trading Transaction

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

The **Trading Transaction Maintenance Summary** screen is displayed.

Figure 1-5 Trading Transaction Maintenance Summary

The screenshot displays the 'Trading Transaction Maintenance Summary' interface. At the top, there are search controls including 'Search', 'Advanced Search', 'Reset', and 'Clear All' buttons, along with a 'Records per page' dropdown set to 15. Below these is a 'Search Criteria (Search Is Case Sensitive)' section with several input fields: 'Authorization Status' (dropdown), 'Record Status' (dropdown), 'Transaction Number' (text with search icon), 'AMC ID' (text with search icon), 'Fund ID' (text with search icon), 'Transaction Date' (calendar icon), and 'Transaction Type' (text with search icon). Underneath the search criteria is a 'Search Results' section with a 'Lock Columns' dropdown set to 0. This section contains a table with columns: 'Authorization Status', 'Record Status', 'Transaction Number', 'AMC ID', 'Fund ID', 'Transaction Type', 'Transaction Date', 'Price Date', and 'Transaction Mode'. The table currently shows 'No data to display.' At the bottom, there is a 'Page 1 of 1' indicator and navigation arrows. An 'Exit' button is located in the bottom right corner.

2. On **Trading Transaction 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**
 - **Transaction Number**
 - **AMC ID**
 - **Fund ID**
 - **Transaction Type**
 - **Transaction Date**
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%: The system will fetch all the records whose Fund Id starts from Alphabet A'. Ex: AGC17, AGVO6, AGC74 and so forth.
 - Search by %7: The system will fetch all the records whose Fund Id ends by numeric value '7'. Ex: AGC17, GSD267, AGC77 and so forth.
 - Search by %17%: The system will fetch all the records whose Fund Id contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.
- [Edit Trading Transaction Maintenance Record](#)
This topic provides the systematic instructions to edit Trading Transaction Maintenance record.
 - [View Trading Transaction Maintenance Record](#)
This topic provides the systematic instructions to view Trading Transaction Maintenance record.
 - [Delete Trading Transaction Maintenance Record](#)
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- [Amend Trading Transaction Maintenance Record](#)
This topic provides the systematic instructions to amend Trading Transaction Maintenance record.
- [Authorize Amended Trading Transaction Maintenance Record](#)
This topic provides the systematic instructions to authorize amended Trading Transaction Maintenance record.

1.7.1 Edit Trading Transaction Maintenance Record

This topic provides the systematic instructions to edit Trading Transaction Maintenance record.

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

1. Start the **Trading Transaction 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 screen.
5. Double-click the record that you want to modify in the list of displayed records.
The **Trading Transaction 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 **Trading Transaction Maintenance Detail** screen is closed and the changes made are reflected in the **Trading Transaction Maintenance Summary** screen.

1.7.2 View Trading Transaction Maintenance Record

This topic provides the systematic instructions to view Trading Transaction Maintenance record.

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

1. Start the **Trading Transaction 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 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 **Trading Transaction Maintenance Detail** screen is displayed.

1.7.3 Delete Trading Transaction Maintenance Record

This topic provides the systematic instructions to delete Trading Transaction Maintenance 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 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 screen.

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

The **Trading Transaction 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 Trading Transaction Maintenance Record

This topic provides the systematic instructions to authorize Trading Transaction Maintenance record.

Authorize an unauthorized Trading Transaction in the system for it to be processed as follows:

1. Start the **Trading Transaction 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 screen.

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

The **Trading Transaction 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 Trading Transaction Maintenance Record

This topic provides the systematic instructions to amend Trading Transaction Maintenance record.

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

1. Start the **Trading Transaction 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 screen.
4. Double-click the record that you wish to amend.
The **Trading Transaction 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 Trading Transaction Maintenance Record

This topic provides the systematic instructions to authorize amended Trading Transaction Maintenance record.

Authorize an amended Trading Transaction 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.

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