

Oracle® FLEXCUBE Investor Servicing Entities User Guide



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Preface

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

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

This topic contains the following sub-topics:

- [Purpose](#)
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- [Diversity and Inclusion](#)
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Purpose

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

Audience

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

Documentation Accessibility

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Diversity and Inclusion

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

Conventions

The following text conventions are used in this document:

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.
<i>italic</i>	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
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 1 Acronyms and Abbreviations

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

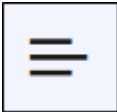
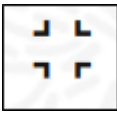
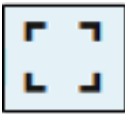
Symbol/Icon	Function
	Lists all records maintained
	Minimize
	Maximize

Table 2 (Cont.) Symbols and Icons

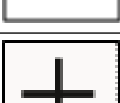
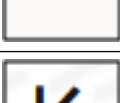
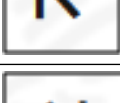
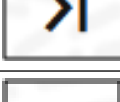
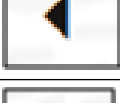
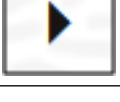
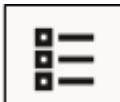
Symbol/Icon	Function
	Close
	Perform Search
	Open a list
	Select a Date
	Add a new row to enter details in a record.
	Delete a row, which is already added.
	Navigate to the first record
	Navigate to the last record
	Navigate to the previous record
	Navigate to the next record
	View a single record
	Sort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

Table 2 (Cont.) Symbols and Icons

Symbol/Icon	Function
	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 3 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.

Table 3 (Cont.) Basic Actions

Action	Description
Approve	Used to approve the initiated report. This button is displayed, once the user click Authorize .
Authorize	Used to authorize the report created. A maker of the screen is not allowed to authorize the report. Only a checker can authorize a report, created by a maker.
Confirm	Used to confirm the performed action.
OK	Used to confirm the details in the screen.
Reject	Used to reject the report created. A maker of the screen is not allowed to authorize the report. Only a checker can reject a report, created by a maker.
View	Used to view the report details in a particular modification stage. This button is displayed, once the user click Authorize .

Getting Help

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

Prerequisite

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

1

Entities - Maintain Customer Information

This topic explains the maintenance of customer accounts for CIF customers.

Oracle FLEXCUBE Investor Servicing provides the facility of maintaining information profiles for customers of your bank. The profile consists of personal as well as business information.

A customer may also wish to invest in the funds of the AMC. In such a case, you can create and maintain one or more investor accounts for the customer in the AMC FCIS database.

This topic deals with the maintenance of customer profiles and creation of investor accounts for your customers in the AMC FCIS database.

This topic contains the following sub-topics:

- [Process Customer Maintenance Detail](#)
This topic provides the systematic instructions to maintain CIF profile for a customer.
- [Customer Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Service Location Maintenance](#)
This topic provides the systematic instructions to maintain time zone for a particular service location.
- [Service Location Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process CIF Address Detail](#)
This topic provides the systematic instructions to maintain as many addresses as required for a given CIF.
- [CIF Address Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process CIF Address - Fund Maintenance Detail](#)
This topic provides the systematic instructions to map the list of funds in which the unit holder has invested to the addresses that have been maintained for a given CIF.
- [CIF Address - Fund Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process CIF-UH Mapping Detail](#)
This topic provides the systematic instructions to map customer unit holder.
- [CIF-UH Mapping Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process FCIS CIF Merge Change Hierarchy Detail](#)
This topic provides the systematic instructions to maintain CIF Merge or hierarchy change details.

- [FCIS CIF Merge Change Hierarchy Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Customer Find Screen Detail](#)
This topic provides the systematic instructions to query for customer details.
- [Process Customer Log Details](#)
This topic provides the systematic instructions to view the status of the CIF moving from **FCUBS** to **FCIS** when integration is enabled.
- [Process Customer Accessibility Mapping Detail](#)
This topic provides the systematic instructions to map customer number to AGY modules.
- [Customer Accessibility Mapping Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process CIF Conversion Maintenance Detail](#)
This topic provides the systematic instructions for conversion of **From AGY Module ID** investors to **To AGY Module ID** investors.
- [CIF Conversion Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process CIF Conversion Execution](#)
This topic provides the systematic instructions to move the CIF from Source branch to Destination Branch and also transferring holdings of Underlying UH from Source AGY module ID to Destination AGY module ID.

1.1 Process Customer Maintenance Detail

This topic provides the systematic instructions to maintain CIF profile for a customer.

When you authorize a CIF profile for a customer in the **Customer Maintenance Detail** screen, the following events take place:

- The CIF record is now effective in the database as an authorized record.
- More importantly, a single, initial unit holder account is created for the CIF customer in the **Oracle FLEXCUBE Investor Servicing (FCIS)** database. The details of the unit holder account are defaulted from the investment details entered for the CIF profile, as well as from the default information maintained for the **FCC Bulk Client Code** in the Bulk Clients Defaults Maintenance record in **FCIS**. The unit holder account is created as an unauthorized or an authorized account, depending upon the specification for the same in the **Bulk Clients Defaults Maintenance**.

This initial unit holder account may need to be altered subsequently:

- If it is created as an unauthorized account, you can edit it through the **Unit Holder New Account Summary** screen.
- If it is created as an authorized account, you can perform an information change through the **Unit Holder Information Change** menu option.

In either case, the Unit Holder record must be authorized after it is edited or changed through an info change, to take effect.

After the creation of the first unit holder account for the CIF profile, you can create as many unit holder accounts as necessary for the same CIF profile, through the **UH New Account** screen.

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

Figure 1-1 Customer Maintenance Detail

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

Table 1-1 Customer Maintenance Detail - Field Description

Field	Description
Customer No	<i>Display</i> The customer number that you specified for the new CIF customer, in the new customer number screen, is displayed here.
Customer Category	<i>Alphanumeric; 10 Characters; Mandatory</i> Specify the investor tax category corresponding to the CIF customer. Use the option list to make your choice.
Description	<i>Display</i> The system displays the description for the selected customer category.
Customer Type	<i>Optional</i> Indicate whether the customer is an Individual , Corporate or bank customer from the drop-down list.
Fee Category	<i>Alphanumeric; 3 Characters; Optional</i> Select the fee category to be deemed applicable for the customer whose account you are creating from the list provided.
Fee Sub Category	<i>Alphanumeric; 6 Characters; Optional</i> Select the fee subcategory to be deemed applicable for the customer whose account you are creating from the list provided.
Joint Account	<i>Mandatory</i> Select Yes to indicate that the customer is a joint account holder. If you select Yes, you must indicate whether the customer is a Primary or Secondary joint account holder.

Table 1-1 (Cont.) Customer Maintenance Detail - Field Description

Field	Description
Joint Holder Type	<i>Optional</i> Select whether Primary or Secondary joint account holder from the drop-down list. Note: After authorization, the Identification Details (Identification Type, Identification Number and Place of Issue) of a Joint-Secondary customer alone can be modified in the Customer Information Screen.
Protected Investor Level	<i>Optional</i> Select protected investor level from the drop-down list. The list displays the following values: • Classified • Unclassified With Right to Access Classified Information, you can create CIF with Classified and Unclassified protection level. With No Right to Access Classified Information, you can create CIF only with Unclassified protection level. Note: If the CIF is created through FCUBS-FCIS integration, the system will default Protected Investor Level depending upon the user mapped in the maintenance. If user mapped has Right to Access Classified Information then the system will default it to Classified else it will be defaulted to Unclassified. Protected Investor Level field can be modified till record is authorized once. Once authorized, Protected Investor Level is not amendable.

- [Individual Dtls Tab](#)
This topic explains the individual details tab of **Customer Maintenance Detail** screen.
- [Corporate Dtls Tab](#)
This topic explains the corporate details tab of **Customer Maintenance Detail** screen.
- [Corresponding Address Dtls Tab](#)
This topic explains the corresponding address details tab of **Customer Maintenance Detail** screen.
- [Permanent and Registration Address Tab](#)
This topic explains the permanent/registration address tab of **Customer Maintenance Detail** screen.
- [Client Preferences Tab](#)
This topic explains the client preferences tab of **Customer Maintenance Detail** screen.
- [Identification Dtls Tab](#)
This topic explains the identification details tab of **Customer Maintenance Detail** screen.
- [Alternate Language Dtls Tab](#)
This topic explains the alternate language details tab of **Customer Maintenance Detail** screen.

1.1.1 Individual Dtls Tab

This topic explains the individual details tab of **Customer Maintenance Detail** screen.

1. On **Customer Maintenance Detail** screen, click **Individual Dtls** tab to enter the details.
The **Individual Details** are displayed.

Figure 1-2 Customer Maintenance Detail_Individual Dtls Tab

Customer Maintenance Detail

Save

Individual Dtls Corporate Dtls Corr.Address Dtls Permanent/Registration Address Client Preferences Identification Dtls Alternate Language Dtls

Customer individual

Title: Mr. [Search] Sex: Male [Dropdown]

First Name: [Text] Date Of Birth: YYYY-MM-DD [Calendar]

Middle Name: [Text] Country of Birth: [Search]

Last Name: [Text] Country of Birth Description: [Text]

Minor: No [Dropdown] Father/Spouse Name: [Text]

Guardian Name: [Text] Beneficiary: [Text]

Marital Status: M [Search] Relationship: [Search]

Marital Status Description: [Text] Relationship Description: [Text]

Audit Cancel

- On **Individual Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-2 Individual Details - Field Description

Field	Description
Title	<i>Alphanumeric; 15 Characters; Optional</i> Select the title of the customer.
First Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the first name of the customer.
Middle Name and Last Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the middle and last names of the customer.
Minor	<i>Optional</i> Select Yes from drop-down list to indicate that the customer is a minor. Else select No.
Guardian Name	<i>Alphanumeric; 105 Characters; Mandatory for minor customers</i> Specify the name of the guardian for the minor customer.
Marital Status	<i>Alphanumeric; 1 Character; Optional</i> Specify the marital status of the customer.
Marital Status Description	<i>Display</i> The system displays the description for the selected marital status.
Sex	<i>Optional</i> Select the sex of the customer from the drop-down list.
Date of Birth	<i>Date format; Mandatory only for minor customers</i> Specify the date of birth of the customer.
Country of Birth	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of birth from the adjoining option list.
Country of Birth Description	<i>Display</i> The system displays the description for the selected country of birth.
Father/ Spouse Name	<i>Alphanumeric; 105 Characters; Optional</i> Enter the name of the customer's father or spouse.

Table 1-2 (Cont.) Individual Details - Field Description

Field	Description
Beneficiary	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the preferred beneficiary of the individual customer.
Relationship	<i>Alphanumeric; 20 Characters; Optional</i> Specify the relationship between the beneficiary and the customer.
Relationship Description	<i>Display</i> The system displays the description for the selected relationship status.

1.1.2 Corporate Dtls Tab

This topic explains the corporate details tab of **Customer Maintenance Detail** screen.

1. On **Customer Maintenance Detail** screen, click **Corporate Dtls** tab to enter the details.
The **Corporate details** are displayed.

Figure 1-3 Customer Maintenance Detail_Corporate Dtls Tab

2. On **Customer Maintenance Detail** screen under **Corporate details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-3 Corporate Details - Field Description

Field	Description
Corporate Details	This section displays the following fields.
Corporate Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the corporation here.
Incorporation Date	<i>Date Format; Optional</i> Specify the date on which the company was incorporated.

Table 1-3 (Cont.) Corporate Details - Field Description

Field	Description
Capital	<i>Numeric; 22 Characters; Optional</i> Enter the capital (amount) of the corporation.
Business Description	<i>Alphanumeric; 255 Characters; Optional</i> Specify the Business Description .
National ID	<i>Alphanumeric; 20 Characters; Optional</i> Specify the National ID of the customer.
Net Worth	<i>Numeric; 22 Characters; Optional</i> Specify the net worth of the corporation.
Incorporation Country	<i>Alphanumeric; 3 Characters; Optional</i> Specify the country of incorporation for the customer.
Contact Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the contact person for the corporation.
Base Currency	<i>Alphanumeric; 3 Characters; Optional</i> Specify the base currency of operation for the customer.
Corporation Type	<i>Alphanumeric; 3 Characters; Optional</i> Indicate the corporate type for the customer. The system displays the description.
Corporation Type Description	<i>Display</i> The system displays the description for the selection corporation type.
Signature Details	This section displays the following fields.
Sequence Number	<i>Alphanumeric; 3 Characters; Mandatory</i> Specify the order of sequence.
Director ID	<i>Alphanumeric; 12 Characters; Optional</i> Specify the director identification from the adjoining option list.
Director Name	<i>Display</i> The system displays the name of the corresponding director.
Designation	<i>Alphanumeric; 100 Characters; Mandatory</i> Specify the Designation .
Date of Birth	<i>Date Format; Optional</i> Specify the Date of Birth .
Gender	<i>Optional</i> Select the gender from the adjoining drop-down list.
ID Type	<i>Alphanumeric; 3 Characters; Optional</i> Select the identification type from the adjoining option list.
Address Line 1	<i>Alphanumeric; 255 Characters; Optional</i> Specify the contact address.
Address Line2	<i>Alphanumeric; 255 Characters; Optional</i> Specify the contact address.
City	<i>Alphanumeric; 105 Characters; Optional</i> Select the city from the adjoining option list.

Table 1-3 (Cont.) Corporate Details - Field Description

Field	Description
State	<i>Alphanumeric; 105 Characters; Optional</i> Select the state from the adjoining option list.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Select the country from the adjoining option list.
Zip Code	<i>Alphanumeric; 10 Characters; Optional</i> Specify the Zip Code .
Email	<i>Alphanumeric; 255 Characters; Optional</i> Specify the Email ID .
Contact Person	<i>Alphanumeric; 160 Characters; Optional</i> Specify the Contact Person .
Bank	<i>Alphanumeric; 12 Characters; Optional</i> Select the bank from the adjoining option list.
Branch	<i>Alphanumeric; 12 Characters; Optional</i> Select the branch from the adjoining option list.
Account Type	<i>Alphanumeric; 1 Character; Optional</i> Select the account type from the adjoining option list.
Account Currency	<i>Alphanumeric; 3 Characters; Optional</i> Select the currency of the account from the adjoining option list.
Account Number	<i>Alphanumeric; 34 Characters; Optional</i> Specify the Account Number .
Account Name	<i>Alphanumeric; 140 Characters; Optional</i> Specify the name in the account.
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the IBAN number.
Percentage Holding	<i>Numeric; 5 Characters; Optional</i> Specify the percentage of holding.
FATCA Classification	<i>Display</i> The system displays the FATCA classification type.
US Indicia Available	<i>Display</i> On saving the record, the system defaults US Indicia Available as Yes or No depending on the following values: • The nationality is US • The dual nationality is US • The substantial stay is in US • The country of birth is US • The country of domicile is US • The country of incorporation is US • The country of correspondence or alternate address is US • The country code of the telephone number is 01

Table 1-3 (Cont.) Corporate Details - Field Description

Field	Description
FATCA Status	<i>Display</i> The system defaults the FATCA Status as: • Compliant • Recalcitrant • Pending Classification • Not Applicable based on the FATCA maintenance

1.1.3 Corresponding Address Dtls Tab

This topic explains the corresponding address details tab of **Customer Maintenance Detail** screen.

1. On **Customer Maintenance Detail** screen, click **Corresponding Address Dtls** tab to enter the details.

The **Corresponding Address Dtls** are displayed.

Figure 1-4 Customer Maintenance Detail_Corresponding Address Dtls Tab

The screenshot displays the 'Customer Maintenance Detail' window with the 'Corr.Address Dtls' tab active. The interface includes a top navigation bar with tabs: Individual Dtls, Corporate Dtls, Corr.Address Dtls (selected), Permanent/Registration Address, Client Preferences, Identification Dtls, and Alternate Language Dtls. Below the tabs, the 'Address Details' section contains input fields for Address Line 1, Address Line 2, City, and Country, each with a magnifying glass icon. To the right, there are input fields for Int. Dialing Code, Telephone, Int. Dialing Code, Fax Number, and E-Mail, also with magnifying glass icons. At the bottom right, there are 'Audit' and 'Cancel' buttons.

2. On the **Corresponding Address Dtls** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-4 Corresponding Address Details Tab - Field Description

Field	Description
Address Line 1	<i>Alphanumeric; 105 Characters; Mandatory</i> Enter the address details of the customer.
Address Line 2	<i>Alphanumeric; 105 Characters; Optional</i> Specify the address details.

Table 1-4 (Cont.) Corresponding Address Details Tab - Field Description

Field	Description
City	<i>Alphanumeric; 105 Characters; Optional</i> You can select the city name. The available options depend on the values defined at the params maintenance. If the city is not available in the list, you can specify the city in the field provided alongside.
Country	<i>Alphanumeric; 3 Characters; Mandatory</i> Specify the country code.
Country Description	<i>Display</i> The system displays the description of the selected country code.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code for telephone.
Telephone	<i>Numeric; 60 Characters; Optional</i> Enter the telephone number of the customer.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code for faxing.
Fax Number	<i>Numeric; 60 Characters; Optional</i> Enter the fax number of the customer.
E-Mail	<i>Alphanumeric; 255 Characters; Optional</i> Enter the E-mail ID of the customer.

1.1.4 Permanent and Registration Address Tab

This topic explains the permanent/registration address tab of **Customer Maintenance Detail** screen.

1. On **Customer Maintenance Detail** screen, click **Permanent/Registration Address** tab to enter the details.

The **Permanent/Registration Address** details are displayed.

Figure 1-5 Customer Maintenance Detail_Permanent and Registration Address Tab

The screenshot displays the 'Customer Maintenance Detail' window. At the top, there are fields for 'Fee Sub Category' and 'Protected Investor Level' (set to 'Unclassified'). Below these are several tabs: 'Individual Dtls', 'Corporate Dtls', 'Corr.Address Dtls', 'Permanent/Registration Address' (which is selected), 'Client Preferences', 'Identification Dtls', and 'Alternate Language Dtls'. The 'Permanent/Registration Address' tab contains the following fields: 'Address Line 1' (with a red asterisk), 'Address Line 2', 'City', 'Country' (with a red asterisk), and 'Country Description'. Each of the first four fields has a small speech bubble icon to its right. At the bottom right of the window are 'Audit' and 'Cancel' buttons.

- On **Permanent/Registration Address** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-5 Permanent/Registration Address Tab - Field Description

Field	Description
Address Line 1 and 2	<i>Alphanumeric; 105 Characters; Mandatory</i> Enter the address details of the customer. You can select the city from the drop down list provided. The available options depend on the values defined at the params maintenance. If the city is not available in the list, you can specify the city in the field provided alongside.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the city details of the customer.
Country	<i>Alphanumeric; 3 Characters; Mandatory</i> Specify the country details of the customer.
Country Description	<i>Display</i> The system displays the description for the selected country code.

1.1.5 Client Preferences Tab

This topic explains the client preferences tab of **Customer Maintenance Detail** screen.

- On **Customer Maintenance Detail** screen, click **Client Preferences** tab.
The **Client Preferences** details are displayed.

Figure 1-6 Customer Maintenance Detail_Client Preferences Tab

The screenshot shows the 'Customer Maintenance Detail' window with the 'Client Preferences' tab selected. The form contains the following fields and values:

- Account Currency ***: [Empty]
- Resident Status**: Resident
- Allow ROA at CIF Level ***: No
- Language ***: 1033
- Language Description**: English(United States)
- External Reference Number**: [Empty]
- Nationality ***: RSA
- Nationality Description**: SOUTH AFRICA
- Dual Nationality**: [Empty]
- Dual Nationality Description**: [Empty]
- Default Broker**: [Empty]
- Broker Name**: [Empty]
- Country Of Domicile ***: [Empty]
- Country Of Domicile Description**: [Empty]
- Substantial Stay in US**: No
- Service Location**: [Empty]
- Service Location Description**: [Empty]

Buttons at the bottom right: Audit, Cancel.

- On **Client Preferences** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-6 Client Preferences - Field Description

Field	Description
Client Preferences	This section displays the following fields.
Account Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the default account currency for the CIF customer from the option list.
Resident Status	<i>Optional</i> Specify whether the customer is a resident or a foreigner from the drop-down list.
Allow ROA at CIF Level	<i>Mandatory</i> Select if Rights of Accumulation (ROA) must be made applicable to all unit holders that will have an account under this CIF customer record.
Language	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the preferred language of the customer.
Language Description	<i>Display</i> The system displays the description for the selected language code.
External Reference Number	<i>Alphanumeric; 50 Characters; Optional; Amendable</i> Enter the External Reference Number and it is an informational field.
Nationality	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the nationality of the customer from the option list.
Nationality Description	<i>Display</i> The system displays the description for the selected nationality code.
Dual Nationality	<i>Alphanumeric; 3 Characters; Optional</i> Select the dual nationality from the adjoining option list.
Dual Nationality Description	<i>Display</i> The system displays the description for the selected dual nationality code.
Default Broker	<i>Alphanumeric; 9 Characters; Optional</i> Select the default broker for the CIF customer from the option list.
Broker Name	<i>Display</i> The system displays the broker name for the selected default broker.
Country of Domicile	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of domicile of the customer.
Country of Domicile Description	<i>Display</i> The system displays the description for the selected country of domicile.
Substantial Stay in US	<i>Optional</i> Indicate your substantial stay in US from the adjoining drop-down list. the options available are: • Yes • No
Service Location	<i>Alphanumeric; 50 Characters; Optional; Amendable</i> Specify the service location of the customer. Alternatively, you can select service location from the LOV. The list displays all the valid service location of the customer maintained in the system.

Table 1-6 (Cont.) Client Preferences - Field Description

Field	Description
Service Location Description	<i>Display</i> The system displays the description for the selected service location.

1.1.6 Identification Dtls Tab

This topic explains the identification details tab of **Customer Maintenance Detail** screen.

1. On **Customer Maintenance Detail** screen, click **Identification Dtls** tab.

The **Identification Dtls** are displayed.

Figure 1-7 Customer Maintenance Detail_Identification Dtls Tab

The screenshot shows the 'Customer Maintenance Detail' window with the 'Identification Dtls' tab active. The form includes the following fields:

- Identification Type * (text input with search icon)
- Identification Type Description (text input)
- Identification Number * (text input with search icon)
- Date of Issue (YYYY-MM-DD date picker)
- Date of Expiry (YYYY-MM-DD date picker)
- Place of Issue * (text input with search icon)
- Place of Issue Description (text input)
- US Indicia Available (No)
- FATCA Status (text input)
- Tax Deducted at Source (No dropdown)
- Tax ID (text input with search icon)
- Employer ID Number (EIN) (text input)
- Tax Circle (text input)
- Tax Category (text input with search icon)
- LBL_TAXCAT_DESCRIPTION (text input)
- Tax Certificate Effective Date (YYYY-MM-DD date picker)
- Tax Certificate Expiry Date (YYYY-MM-DD date picker)
- Portfolio Manager ID (text input)

Buttons at the bottom right include 'Audit' and 'Cancel'.

2. On the **Identification Dtls** tab, specify the fields.

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

Table 1-7 Identification Details - Field Description

Field	Description
Identification Type	<i>Alphanumeric; 15 Characters; Mandatory</i> Select the type of identification that is being provided by the customer from the list. The identification type is the mode in which the unit holder will furnish an identification document or proof, and could be a Personnel ID, License, Birth Certificate, etc. This is used for identifying the unit holder during all subsequent transactions.
Identification Type Description	<i>Display</i> The system displays the description for the selected identification type.
Identification Number	<i>Alphanumeric; 50 Characters; Mandatory</i> Specify the number or ID of the identification document or proof that is furnished by the unit holder.

Table 1-7 (Cont.) Identification Details - Field Description

Field	Description
Date of Issue	<i>Date Format; Optional</i> Specify the date of issue of the identification document or proof that is furnished by the unit holder. The date of issue that you specify here must not be later than the date of opening the account.
Date of Expiry	<i>Date Format; Optional</i> Specify the date of expiry of the identification document or proof. It must be later than the date of issue and the application date.
Place of Issue	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the place of issue of the identification type from the option list. Once authorized, this field cannot be modified.
Place of Issue Description	<i>Display</i> The system displays the description for the selected place of issue.
US Indicia Available	<i>Display</i> The system defaults US Indicia Available as Yes or No depending on the following: • The nationality is US • The dual nationality is US • The substantial stay in US • The country of birth is US • The country of domicile is US • The country of incorporation is US • The country of correspondence or alternate address is US • The country code of the telephone number is 01
FATCA Status	<i>Display</i> The system displays the FATCA status based on the FATCA maintenance.
FATCA Classification	<i>Display</i> The system displays the FATCA classification type.
FATCA Classification Description	<i>Display</i> The system displays the description for the selected FATCA classification.
Tax Deducted at Source	<i>Mandatory</i> Select Yes if tax has to be deducted at source for the customer. If you select Yes , you can specify the following information: • The tax ID of the customer, in the Tax ID field. • The tax circle that corresponds to the customer, in the Tax Circle field. • The tax category that corresponds to the customer, in the Tax Category field.
Tax ID	<i>Alphanumeric; 50 Characters; Optional</i> Specify the tax identification number or tax ID for the customer.
Employer ID Number (EIN)	<i>Alphanumeric; 50 Characters; Optional</i> Specify the Employer Identification Number (EIN) .
Tax Circle	<i>Alphanumeric; 15 Characters; Optional</i> Specify the tax circle to which the unit holder belongs.

Table 1-7 (Cont.) Identification Details - Field Description

Field	Description
Tax Category	<i>Alphanumeric; 10 Characters; Optional</i> Select the tax category under which the customer will be placed in the system.
Tax Category Description	<i>Display</i> The system displays the description for the selected tax category.
Tax Certificate Effective Date	<i>Date Format; Optional</i> Specify the date from which the tax certificate is effective.
Tax Certificate Expiry Date	<i>Date Format; Optional</i> Specify the expiry date of the tax certificate.
Portfolio Manager ID	<i>Alphanumeric; 16 Characters; Optional</i> Specify the portfolio manager's ID here.

1.1.7 Alternate Language Dtls Tab

This topic explains the alternate language details tab of **Customer Maintenance Detail** screen.

- On **Customer Maintenance Detail** screen, click **Alternate Language Dtls** tab.
The **Alternate Language Dtls** are displayed.

Figure 1-8 Customer Maintenance Detail_Alternate Language Dtls Tab

The screenshot shows the 'Customer Maintenance Detail' window with the 'Alternate Language Dtls' tab selected. The window has a title bar with a 'Save' icon and a close button. Below the title bar, there are several tabs: 'Individual Dtls', 'Corporate Dtls', 'Corr.Address Dtls', 'Permanent/Registration Address', 'Client Preferences', 'Identification Dtls', and 'Alternate Language Dtls'. The 'Alternate Language Dtls' tab is active, showing a form with the following sections:

- Individual Details:** Contains input fields for 'First name', 'Middle Name', and 'Last Name'.
- Correspondence Address:** Contains input fields for 'Address Line 1', 'Address Line 2', and 'City'.
- Registration Address:** This section is currently empty.

At the bottom right of the form, there are 'Audit' and 'Cancel' buttons.

- On the **Alternate Language Dtls** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-8 Alternate Language Details - Field Description

Field	Description
Individual Details	This section displays the following fields.

Table 1-8 (Cont.) Alternate Language Details - Field Description

Field	Description
First Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the first name of the customer in the desired alternate language if the customer is an individual. If the customer is a corporate, then specify the corporate name.
Middle Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the middle name of the customer if the customer is an individual in the desired alternate language.
Last Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the last name of the customer if the customer is an individual in the desired alternate language.
Correspondence Address	This section displays the following fields.
Address Line 1 & 2	<i>Alphanumeric; 105 Characters; Optional</i> Enter the correspondence address details of the customer in the alternate language.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the city details.
Registration Address	This section displays the following fields.
Address Line 1 & 2	<i>Alphanumeric; 105 Characters; Optional</i> Enter the permanent address details of the customer if the customer is an individual. In case of corporate customer, enter the registration address details in the alternate language.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the city details.

1.2 Customer Maintenance Summary

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

Retrieve CIF Profile before Authorization

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

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

Figure 1-9 Customer Maintenance Summary

2. On **Customer 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**
 - **Customer No.**
 - **Customer Name**
 - **Customer Type**
 - **Customer Category**
 - **Identification Number**
 - **Identification Type**
 - **Country of Domicile**
 - **External Reference Number**
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 **Identification Number**
- 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.

You can search the record for Identification Number by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose Identification Number starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose Identification Number ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose Identification Number contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit CIF Profile](#)
This topic provides the systematic instructions to edit CIF Profile.
- [View CIF Profile](#)
This topic provides the systematic instructions to view CIF Profile.
- [Delete CIF Profile](#)
This topic provides the systematic instructions to delete CIF Profile.
- [Authorize CIF Profile](#)
This topic provides the systematic instructions to authorize CIF Profile.
- [Amend CIF Profile](#)
This topic provides the systematic instructions to amend CIF Profile.
- [Authorize Amended CIF Profile](#)
This topic provides the systematic instructions to authorize amended CIF Profile.
- [Save CIF Profile](#)
This topic provides the systematic instructions to save CIF Profile.

1.2.1 Edit CIF Profile

This topic provides the systematic instructions to edit CIF Profile.

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

1. Start the **Customer 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 **Customer 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 **Customer Maintenance Detail** screen is closed and the changes made are reflected in the **Customer Maintenance Summary** screen.

1.2.2 View CIF Profile

This topic provides the systematic instructions to view CIF Profile.

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

1. Start the **Customer Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the **Unauthorized/Authorized** option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

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

1.2.3 Delete CIF Profile

This topic provides the systematic instructions to delete CIF Profile.

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

1. Start the **Customer 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 **Customer 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.

1.2.4 Authorize CIF Profile

This topic provides the systematic instructions to authorize CIF Profile.

Authorize an unauthorized customer maintenance in the system for it to be processed as follows:

1. Start the **Customer Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.
3. Specify any or all of the details and click **Search** button.

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

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

The **Customer 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.

1.2.5 Amend CIF Profile

This topic provides the systematic instructions to amend CIF Profile.

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 **Customer 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 want to amend.

The **Customer 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.

1.2.6 Authorize Amended CIF Profile

This topic provides the systematic instructions to authorize amended CIF Profile.

Authorize an amended customer 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.

1.2.7 Save CIF Profile

This topic provides the systematic instructions to save CIF Profile.

In the **Customer Maintenance Detail** screen, to set up a CIF customer and enable the creation of a mutual fund investor account:

1. Click **Add** button.

The New **Customer No** screen is opened.

2. Specify a unique identifier in the **Customer Code** field for the CIF customer for whom you are setting up a profile, and click **OK**.

The basic details screen is displayed, in readiness for you to enter the details for a new CIF customer.

3. In this screen, specify the following as mandatory information.
In the **Customer Maintenance** section, specify the following details:
 - Indicate whether the customer is an **Individual** customer or **Corporate** customer by choosing the appropriate option in the **Customer Type** field.
 - Indicate the investor tax category corresponding to the CIF customer in the field **Customer Category**.
 - Indicate the **Fee Category** and **Fee Sub Category** in the respective fields.
4. In the **Customer Details** section, specify the following details:
 - The name of the customer in the **First Name**, **Middle Name** and **Last Name** fields.
 - The title of the customer in the **Title** field.
5. Indicate whether the customer is a minor, in the **Minor** field. If the customer is a minor, enter the name of the guardian in the **Legal Guardian** field.
 - The marital status of the customer.
 - The gender of the customer.
6. Indicate the date of birth of the customer. This is mandatory if the customer is a minor.
7. Indicate the name of the father or spouse of the customer.
The name of the beneficiary of the customer and his/her relationship with the customer.
8. In the **Address Details** section, enter the correspondence and permanent address details.
9. In the **Client Preferences** section, specify the following details:
 - The account currency of the customer.
 - The preferred language of the customer.
 - The resident status of the customer, his/her nationality and country of domicile.
 - The default broker and whether the customer has rights of accumulation.
10. In the **Identification Details** section, specify the identification type of the customer and the details of the same. Also specify whether tax is to be deducted at source.
11. In the **Account Operation Details** section, specify whether the customer is a joint account holder.
12. In the **Alternate Language Details** section, specify the customer details in the desired alternate language.
13. Click **Save** button to save the profile of your customer.

1.3 Process Service Location Maintenance

This topic provides the systematic instructions to maintain time zone for a particular service location.

It is available in FMG module.

1. On **Home** screen, type **UTDSERLC** in the text box, and click **Next**.
The **Service Location Maintenance** screen is displayed.

Figure 1-10 Service Location Maintenance

- On **Service Location Maintenance** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 1-9 Service Location Maintenance - Field Description

Field	Description
Service Location	<i>Alphanumeric; 50 Characters; Mandatory</i> Specify the service location of the customer.
Service Location Description	<i>Alphanumeric; 255 Characters; Mandatory</i> Specify the service location description of the customer.
Description	<i>Display</i> The system displays the description for the selected customer category.
Time Zone	<i>Alphanumeric; 12 Characters; Optional</i> Specify the time zone as maintained in the Time Zone Maintenance screen. Alternatively, you can also select time zone from the LOV list.
Time Zone Description	<i>Display</i> The system displays the description of the time zone maintained.

1.4 Service Location Maintenance Summary

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

Retrieve Service Location Record

- On **Home** screen, type **UTSSERLC** in the text box, and click **Next**.
The **Service Location Maintenance Summary** screen is displayed.

Figure 1-11 Service Location Maintenance Summary

2. On **Service Location 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**
 - **Time Zone**
 - **Service Location**
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 Service Location/Time Zone
- Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Close**, and **Reopen** operations by selecting the desired operation from the Action list.
To edit and amend a record, a user has to click **Unlock** button under Action menu. If service location of the customer is already linked with UH, then the user cannot use the **Close** operation. You can also search a record by using a combination of % and alphanumeric value.
 - [Edit Service Location Record](#)
This topic provides the systematic instructions to edit Service Location record.
 - [View Service Location Record](#)
This topic provides the systematic instructions to view Service Location record.

- [Delete Service Location Record](#)
This topic provides the systematic instructions to delete Service Location record.
- [Authorize Service Location Record](#)
This topic provides the systematic instructions to authorize Service Location record.
- [Amend Service Location Record](#)
This topic provides the systematic instructions to amend Service Location record.
- [Authorize Amended Service Location Record](#)
This topic provides the systematic instructions to authorize amended Service Location record.

1.4.1 Edit Service Location Record

This topic provides the systematic instructions to edit Service Location record.

You can modify the details of service location maintenance parameters that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

1. Start the **Location Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorized** 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 **Service Location 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 **Service Location Detail** screen is closed and the changes made are reflected in the **Service Location Maintenance Summary** screen.

1.4.2 View Service Location Record

This topic provides the systematic instructions to view Service Location record.

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

1. Start the **Service Location Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click **Search** button.
All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.
The **Service Location Maintenance** screen is displayed.

1.4.3 Delete Service Location Record

This topic provides the systematic instructions to delete Service Location record.

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

1. Start the **Service Location 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 **Service Location Maintenance** screen is displayed.
5. Select **Delete** operation from the Action list.
The system prompts you to confirm the deletion and the record is physically deleted from the system database.

1.4.4 Authorize Service Location Record

This topic provides the systematic instructions to authorize Service Location record.

Authorize an unauthorized service location record in the system for it to be processed as follows:

1. Start the **Service Location 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 want to authorize.
The **Service Location Maintenance** screen is displayed.
5. Select **Authorize** operation from the Action List.
When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

1.4.5 Amend Service Location Record

This topic provides the systematic instructions to amend Service Location 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 **Service Location 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 want to amend.
The **Service Location Maintenance** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

1.4.6 Authorize Amended Service Location Record

This topic provides the systematic instructions to authorize amended Service Location record.

Authorize an amended service location record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module.

1.5 Process CIF Address Detail

This topic provides the systematic instructions to maintain as many addresses as required for a given CIF.

It is also allowed to specify the media for the address.

1. On **Home** screen, type **UTDCADD** in the text box, and click **Next**.
The **CIF Address Detail** screen is displayed.

Figure 1-12 CIF Address Detail

The screenshot displays the 'CIF Address Detail' window. At the top left is a 'Save' button. Below it is the 'CIF Address Maintenance' section. The form is organized into two columns of input fields. The left column includes: 'CIF Number' (with a search icon), 'Customer Name', 'Media' (with a search icon), 'Location' (with a search icon), 'Address Line 1' (with a search icon), 'Address Line 2' (with a search icon), 'City' (with a search icon), and 'State' (with a search icon). The right column includes: 'Zip Code', 'Country' (with a search icon), 'Country Name', 'Contact Person' (with a search icon), 'Telephone1' (with a search icon), 'Telephone2' (with a search icon), and 'Cell Phone Number' (with a search icon). At the bottom right of the window are 'Audit' and 'Cancel' buttons.

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

Table 1-10 CIF Address Detail - Field Description

Field	Description
CIF Address Maintenance	The section displays the following fields.
CIF Number	<i>Alphanumeric; 20 Characters; Mandatory</i> Specify the CIF number of the unit holder.
Customer Name	<i>Display</i> The system displays the name of the customer for the selected CIF number.
Media	<i>Alphanumeric; 15 Characters; Mandatory</i> Indicate the medium of communication you wish to avail, from the drop-down list. You could choose the Mail media. The List of values in drop-down are parameterized in System Parameters under CIFMEDIA .
Location	<i>Alphanumeric; 15 Characters; Mandatory</i> Specify the location for correspondence with the unit holder.
Address Line 1-2	<i>Alphanumeric; 105 Characters; Mandatory</i> Specify the postal address that is to be used for correspondence with the unit holder.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the city of residence of the unit holder.
State	<i>Alphanumeric; 105 Characters; Optional</i> Specify the state in which the city of residence of the unit holder is located.
Zip Code	<i>Alphanumeric; 10 Characters; Optional</i> Specify the zip code of the specified city of residence of the unit holder.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Select the country in which the investor is domiciled, from the drop-down list.
Country Name	<i>Display</i> The system displays the name of the country for the selected country code.
Contact Person	<i>Alphanumeric; 160 Characters; Optional</i> Specify the name of the contact person at the unit holder's residence.
Telephone Number 1-2	<i>Alphanumeric; 60 Characters; Optional</i> Enter the contact telephone numbers of the unit holder.
Cell Phone Number	<i>Alphanumeric; 105 Characters; Optional</i> Specify the cell phone number of the unit holder. Note: If customer address is maintained for any CIF at FMG , then only the same CIF address can be accessed in respective branches.

1.6 CIF Address Summary

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

Retrieve CIF Address before Authorization

1. On **Home** screen, type **UTSCADD** in the text box, and click **Next**.
The **CIF Address Summary** screen is displayed.

Figure 1-13 CIF Address Summary

CIF Address Summary

Search Advanced Search Reset Clear All Records per page 15

Search Criteria (Search Is Case Sensitive)

Authorization Status Record Status CIF Number Media Location

Search Results Lock Columns 0

Authorization Status	Record Status	CIF Number	Media	Location
No data to display.				

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Exit

2. On **CIF Address 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**
 - **CIF Number**
 - **Media**
 - **Location**
3. Click **Advanced Search** button for advanced level of query where records can be retrieved based on specific fields.
4. Click **Reset** button, so that the entire search criteria will be cleared for a new level of search.
5. Click **Search** button to view the records. All records with the specified details are retrieved and displayed in the screen.
6. Click **Refresh** button, so that the search criteria will be refreshed based on existing criteria.

Note

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

- Press F7
- Input the **CIF Number**
- Press F8

7. 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 **CIF Number** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **CIF Number** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **CIF Number** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **CIF Number** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit CIF Address](#)
This topic provides the systematic instructions to edit CIF Address.
- [View CIF Address](#)
This topic provides the systematic instructions to view CIF Address.
- [Delete CIF Address](#)
This topic provides the systematic instructions to delete CIF Address.
- [Authorize CIF Address](#)
This topic provides the systematic instructions to authorize CIF Address.
- [Amend CIF Address](#)
This topic provides the systematic instructions to amend CIF Address.
- [Authorize Amended CIF Address](#)
This topic provides the systematic instructions to authorize amended CIF Address.

1.6.1 Edit CIF Address

This topic provides the systematic instructions to edit CIF Address.

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

1. Start the **CIF Address 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 **CIF Address 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 **CIF Address Detail** screen is closed and the changes made are reflected in the **CIF Address Summary** screen.

1.6.2 View CIF Address

This topic provides the systematic instructions to view CIF Address.

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

1. Start the **CIF Address Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **CIF Address Detail** screen is displayed.

1.6.3 Delete CIF Address

This topic provides the systematic instructions to delete CIF Address.

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

1. Start the **CIF Address 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 **CIF Address 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 CIF Address

This topic provides the systematic instructions to authorize CIF Address.

Authorize an unauthorized **CIF Address** in the system for it to be processed as follows:

1. Start the **CIF Address 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 want to authorize.

The **CIF Address 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 CIF Address

This topic provides the systematic instructions to amend CIF Address.

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 **CIF Address 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 want to amend.

The **CIF Address 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 CIF Address

This topic provides the systematic instructions to authorize amended CIF Address.

Authorize an amended CIF Address 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 Process CIF Address - Fund Maintenance Detail

This topic provides the systematic instructions to map the list of funds in which the unit holder has invested to the addresses that have been maintained for a given CIF.

Provided the unit holder specifies the valid combination of the CIF Number, Media and Location as already maintained in the **CIF Address Detail** screen, you will allowed to select all or a list of funds for which this combination would be applicable.

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

The **CIF Address - Fund Maintenance Detail** screen is displayed.

Figure 1-14 CIF Address - Fund Maintenance Detail

2. On **CIF Address - Fund Maintenance Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 1-11 CIF Address - Fund Maintenance Detail - Field Description

Field	Description
CIF Address - Details	This section displays the following fields.
CIF Number	<i>Alphanumeric; 20 Characters; Mandatory</i> Select the CIF number of the unit holder for the adjoining list. All enabled addresses of customer will be listed along with location and media and maintained from FCC.
Media	<i>Alphanumeric; 15 Characters; Mandatory</i> Specify the Media of communication as maintained in the CIF Address - Fund Maintenance Detail screen. Alternatively, you can also select media of communication from the option list.
Location	<i>Display</i> The system displays the location for correspondence with the unit holder as maintained in the CIF Address - Fund Maintenance Detail screen.
Customer Name	<i>Display</i> The system displays the name of the customer for the selected CIF number.
Address1-2	<i>Display</i> The system displays the postal address that is to be used for correspondence with the unit holder.
City	<i>Display</i> The system displays the name of the city of residence of the unit holder.
State	<i>Display</i> The system displays the state in which the city of residence of the unit holder is located.

Table 1-11 (Cont.) CIF Address - Fund Maintenance Detail - Field Description

Field	Description
Zip Code	<i>Display</i> The system displays the zip code of the specified city of residence of the unit holder.
Country	<i>Display</i> The system displays the country in which the investor is domiciled, from the drop-down list.
Contact Person	<i>Display</i> The system displays the name of the contact person at the unit holder's residence.
Cell Phone Number	<i>Display</i> The system displays the cell phone number of the unit holder.
TelephoneNumber1-2	<i>Display</i> The system displays the contact telephone numbers of the unit holder.
CIF Address – Fund Mapping	Select the Fund ID for which you wish the specified address details to be applicable. Once you select the Fund ID , the system displays the fund name and the fund identification number.
Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Specify the Fund ID .
Fund Name	<i>Display</i> The system displays the name of the fund for the selected Fund ID .
Fund Identification Number	<i>Display</i> The system displays the fund identification number. Note: If customer Address is maintained for any CIF and mapped to fund at FMG , then only the same CIF address fund mapping details can be accessed in respective branches.

1.8 CIF Address - Fund Summary

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

Retrieve CIF Address - Fund Record for Customer

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

The **CIF Address - Fund Summary** screen is displayed.

Figure 1-15 CIF Address - Fund Summary

2. On **CIF Address - Fund 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**
 - **CIF Number**
 - **Media**
 - **Location**
 - **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 **CIF Number**
- 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.

You can search the record for CIF Number by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **CIF Number** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **CIF Number** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.

- Search by %17%: System will fetch all the records whose **CIF Number** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit CIF Address - Fund Record for Customer](#)
This topic provides the systematic instructions to edit CIF Address - Fund record for customer.
- [View CIF Address - Fund Record for Customer](#)
This topic provides the systematic instructions to view CIF Address - Fund record for customer.
- [Delete CIF Address - Fund Record for Customer](#)
This topic provides the systematic instructions to delete CIF Address - Fund record for customer.
- [Authorize CIF Address - Fund Record for Customer](#)
This topic provides the systematic instructions to authorize CIF Address - Fund record for customer.
- [Amend CIF Address - Fund Record for Customer](#)
This topic provides the systematic instructions to amend CIF Address - Fund record for customer.
- [Authorize Amended CIF Address - Fund Record for Customer](#)
This topic provides the systematic instructions to authorize amended CIF Address - Fund record for customer.

1.8.1 Edit CIF Address - Fund Record for Customer

This topic provides the systematic instructions to edit CIF Address - Fund record for customer.

Modify the details of **CIF Address - Fund** record for customer that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **CIF Address - Fund 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 **CIF Address - Fund 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 **CIF Address - Fund Maintenance Detail** screen is closed and the changes made are reflected in the **CIF Address - Fund Summary** screen.

1.8.2 View CIF Address - Fund Record for Customer

This topic provides the systematic instructions to view CIF Address - Fund record for customer.

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

1. Start the **CIF Address - Fund Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **CIF Address - Fund Maintenance Detail** screen is displayed.

1.8.3 Delete CIF Address - Fund Record for Customer

This topic provides the systematic instructions to delete CIF Address - Fund record for customer.

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

1. Start the **CIF Address - Fund 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 **CIF Address - Fund 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.

1.8.4 Authorize CIF Address - Fund Record for Customer

This topic provides the systematic instructions to authorize CIF Address - Fund record for customer.

Authorize an unauthorized **CIF Address - Fund** record for customer in the system for it to be processed as follows:

1. Start the **CIF Address - Fund 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 want to authorize.

The **CIF Address - Fund 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.

1.8.5 Amend CIF Address - Fund Record for Customer

This topic provides the systematic instructions to amend CIF Address - Fund record for customer.

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 **CIF Address - Fund 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 want to amend.
The **CIF Address - Fund 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.

1.8.6 Authorize Amended CIF Address - Fund Record for Customer

This topic provides the systematic instructions to authorize amended CIF Address - Fund record for customer.

Authorize an amended 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.

1.9 Process CIF-UH Mapping Detail

This topic provides the systematic instructions to map customer unit holder.

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

Figure 1-16 CIF-UH Mapping Detail

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

Table 1-12 CIF-UH Mapping Detail - Field Description

Field	Description
Customer Unit Holder Mapping	The section displays the following fields.
Reference Number	<i>Display</i> The system displays the reference number.
Unit Holder Details	The section displays the following fields.
Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the Unit Holder ID .
Unit Holder Name	<i>Display</i> The system displays the name of the specified unit holder ID.
CIF Number	<i>Display</i> The system displays the CIF number based on the unit holder selected. You can also search for unit holder by clicking UH Find button.
Re-Mapping Details	The section displays the following fields.
New CIF Number	<i>Alphanumeric; 20 Characters; Mandatory</i> Specify the new CIF number that needs to be re-mapped.
Customer Name	<i>Display</i> The system displays the name of the customer for the selected new CIF number. You can also search for CIF number by clicking Find CIF button. Note: The system will validate to restrict the UH mapping to new CIF will happen only when the UH Protection level and CIF protection level are same.

1.10 CIF-UH Mapping Summary

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

Retrieve CIF-UH Mapping Record

1. On **Home** screen, type **UTSCIFUH** in the text box, and click **Next**.
The **CIF-UH Mapping Summary** screen is displayed.

Figure 1-17 CIF-UH Mapping Summary

2. On **CIF-UH Mapping Summary** screen, specify any or all of the following details in the corresponding fields:
 - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
 - **Record Status**
 - **Unit Holder ID**
 - **New CIF Number**
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**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
- [Edit CIF-UH Mapping Record](#)
This topic provides the systematic instructions to edit CIF-UH Mapping record.
- [View CIF-UH Mapping Record](#)
This topic provides the systematic instructions to view CIF-UH Mapping record.
- [Delete CIF-UH Mapping Record](#)
This topic provides the systematic instructions to delete CIF-UH Mapping record.
- [Authorize CIF-UH Mapping Record](#)
This topic provides the systematic instructions to authorize CIF-UH Mapping record.
- [Amend CIF-UH Mapping Record](#)
This topic provides the systematic instructions to amend CIF-UH Mapping record.
- [Authorize Amended CIF-UH Mapping Record](#)
This topic provides the systematic instructions to authorize amended CIF-UH Mapping record.

1.10.1 Edit CIF-UH Mapping Record

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

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

1. Start the **CIF-UH Mapping 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 **CIF-UH Mapping Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

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

1.10.2 View CIF-UH Mapping Record

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

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

1. Start the **CIF-UH Mapping Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **CIF-UH Mapping Detail** screen is displayed.

1.10.3 Delete CIF-UH Mapping Record

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

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

1. Start the **CIF-UH Mapping 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 **CIF-UH Mapping Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

1.10.4 Authorize CIF-UH Mapping Record

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

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

1. Start the **CIF-UH Mapping 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 want to authorize.

The **CIF-UH Mapping Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

1.10.5 Amend CIF-UH Mapping Record

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

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

1. Start the **CIF-UH Mapping 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 want to amend.
The **CIF-UH Mapping Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

1.10.6 Authorize Amended CIF-UH Mapping Record

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

Authorize an amended CIF-UH Mapping record for the amendment to be made effective in the system.

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

1.11 Process FCIS CIF Merge Change Hierarchy Detail

This topic provides the systematic instructions to maintain CIF Merge or hierarchy change details.

1. On **Home** screen, type **UTDCMHCH** in the text box, and click **Next**.
The **FCIS CIF Merge Change Hierarchy Detail** screen is displayed.

Figure 1-18 FCIS CIF Merge Change Hierarchy Detail

2. On **FCIS CIF Merge Change Hierarchy Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 1-13 FCIS CIF Merge Change Hierarchy Detail - Field Description

Field	Description
CIF Merge Change Hierarchy	The section displays the following fields.
Operation Type	<i>Mandatory</i> Select the type of operation from the drop-down list. The list displays the following values: • Hierarchy Change • CIF Merge
Serial Number	<i>Display</i> The system displays the serial number by clicking the Populate button.
From CIF Number	<i>Alphanumeric; 20 Characters; Mandatory</i> Specify the From CIF Number .
To CIF ID	<i>Alphanumeric; 20 Characters; Mandatory</i> Specify the To CIF ID . You can also search for From CIF Number and To CIF ID by clicking Find button. Note: In case of CIF merger, From CIF and To CIF should be of the same protection level.
Level of Hierarchy Change	<i>Optional</i> Select the level of hierarchy change from the drop-down list. The list displays the following values: • Agent • Agent Branch • Account Officer • IFA

Table 1-13 (Cont.) FCIS CIF Merge Change Hierarchy Detail - Field Description

Field	Description
Close Account Post Merge	<i>Optional</i> Select if the account has to be closed post merge operation or not from the drop-down list. The list displays the following values: • Yes • No
Merge Change/Hierarchy Status	<i>Optional</i> Select the merge change or hierarchy status from the drop-down list. The list displays the following values: • Generated • Reversed Click Populate button after specifying all the necessary details. The system displays the following values: • Unit Holder ID • Fund ID • Unit Balance • Product ID • Policy Number • Agent Code • Branch • Account Officer • IFA Merge Or Not? • To Agent Code • To Branch Code • To Account Officer • To IFA
To UnitHolder ID	<i>Alphanumeric; 16 Characters; Optional</i> Specify the To UnitHolder ID . You can also select To UnitHolder ID by selecting Find UH button.
Merger or Not	<i>Optional</i> Check this box if the details has to be merged.
To Agent Code	<i>Alphanumeric; 12 Characters; Optional</i> Specify the To Agent Code .
To Branch Code	<i>Alphanumeric; 12 Characters; Optional</i> Specify the To Branch Code .
To Account Officer	<i>Alphanumeric; 12 Characters; Optional</i> Specify the To Account Officer details.
To IFA	<i>Alphanumeric; 12 Characters; Optional</i> Specify the To IFA details. Note: CIF Merge cannot be combined with distributor change. This would mean that during CIF Merge operation, the distributor details for the From Hierarchy and To Hierarchy would be the same.

1.12 FCIS CIF Merge Change Hierarchy Summary

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

Retrieve FCIS CIF Merge Change Hierarchy Record

1. On **Home** screen, type **UTSCMHCH** in the text box, and click **Next**.
The **FCIS CIF Merge Change Hierarchy Summary** screen is displayed.

Figure 1-19 FCIS CIF Merge Change Hierarchy Summary

2. On **FCIS CIF Merge Change Hierarchy 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**
 - **Serial Number**
 - **CIF Number**
 - **Operation Type**
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 **CIF Number**
- Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
 - [Edit FCIS CIF Merge Change Hierarchy Record](#)
This topic provides the systematic instructions to edit FCIS CIF Merge Change Hierarchy record.

- [View FCIS CIF Merge Change Hierarchy Record](#)
This topic provides the systematic instructions to view FCIS CIF Merge Change Hierarchy record.
- [Delete FCIS CIF Merge Change Hierarchy Record](#)
This topic provides the systematic instructions to delete FCIS CIF Merge Change Hierarchy record.
- [Authorize FCIS CIF Merge Change Hierarchy Record](#)
This topic provides the systematic instructions to authorize FCIS CIF Merge Change Hierarchy record.
- [Amend FCIS CIF Merge Change Hierarchy Record](#)
This topic provides the systematic instructions to amend FCIS CIF Merge Change Hierarchy record.
- [Authorize Amended FCIS CIF Merge Change Hierarchy Record](#)
This topic provides the systematic instructions to authorize amended FCIS CIF Merge Change Hierarchy record.

1.12.1 Edit FCIS CIF Merge Change Hierarchy Record

This topic provides the systematic instructions to edit FCIS CIF Merge Change Hierarchy record.

Modify the details of **FCIS CIF Merge Change Hierarchy** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS CIF Merge Change Hierarchy 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 **FCIS CIF Merge Change Hierarchy Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

The **FCIS CIF Merge Change Hierarchy Detail** screen is closed and the changes made are reflected in the **FCIS CIF Merge Change Hierarchy Summary** screen.

1.12.2 View FCIS CIF Merge Change Hierarchy Record

This topic provides the systematic instructions to view FCIS CIF Merge Change Hierarchy record.

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

1. Start the **FCIS CIF Merge Change Hierarchy Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **FCIS CIF Merge Change Hierarchy Detail** screen is displayed.

1.12.3 Delete FCIS CIF Merge Change Hierarchy Record

This topic provides the systematic instructions to delete FCIS CIF Merge Change Hierarchy record.

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

1. Start the **FCIS CIF Merge Change Hierarchy 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 **FCIS CIF Merge Change Hierarchy 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.

1.12.4 Authorize FCIS CIF Merge Change Hierarchy Record

This topic provides the systematic instructions to authorize FCIS CIF Merge Change Hierarchy record.

Authorize an unauthorized **FCIS CIF Merge Change Hierarchy** record in the system for it to be processed as follows:

1. Start the **FCIS CIF Merge Change Hierarchy 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 want to authorize.

The **FCIS CIF Merge Change Hierarchy Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

1.12.5 Amend FCIS CIF Merge Change Hierarchy Record

This topic provides the systematic instructions to amend FCIS CIF Merge Change Hierarchy record.

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

1. Start the **FCIS CIF Merge Change Hierarchy 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 want to amend.
The **FCIS CIF Merge Change Hierarchy 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.

1.12.6 Authorize Amended FCIS CIF Merge Change Hierarchy Record

This topic provides the systematic instructions to authorize amended FCIS CIF Merge Change Hierarchy record.

Authorize an amended FCIS CIF Merge Change Hierarchy record for the amendment to be made effective in the system.

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

Note

In case of batch screen or batch activity, there will be no restriction on fetching protected UH/CIF.

Screen or Process where there will be no restriction applicable are as follows:

Table 1-14 Batch Activity and Function ID

Batch Activity	Function ID
EOD activity	UTDEODEX
Mini EOD activity	UTDEODMI
Pre EOD check	UTDPREOD
Branch Sign Off/On	UTDBSNOF
Process Dividend Payment	UTDDIPMT
Process Dividend Reinvestments	UTDPRRIN
Mock Dividend	UTDMOCKD
Mock Dividend Execute	UTDMCKDV
Mass Amendment	UTDMASAM

Table 1-14 (Cont.) Batch Activity and Function ID

Batch Activity	Function ID
Selected UH Dividend Reversal	UTDSELUH
Dividend Reversal/Mass Reprocess	UTDMASRE

1.13 Process Customer Find Screen Detail

This topic provides the systematic instructions to query for customer details.

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

The **Customer Find Screen Detail** screen is displayed.

Figure 1-20 Customer Find Screen Detail

Customer Find Screen Detail

Quick find Options

CIF Number: %
 External Reference Number:
 Date Of Birth: YYYY-MM-DD
 Incorporation Date: YYYY-MM-DD
 Country Of Domicile:
 First name:
 Last Name:
 Middle Name:
 Company Name:
 Nationality:
 Investor Type: Both
 Tax ID:
 National ID:
 IdentificationNumber:
 Find

> Advanced Find Options

Find Results

	Investor Type	First name	Last Name	Middle Name	Company Name	Customer No.	Tax ID	IdentificationNumber	Country Of
☐									

Exit

2. On **Customer Find Screen Detail** screen, click **New** to enter the details.

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

Table 1-15 Customer Find Screen Detail - Field Description

Field	Description
Quick Find Options	The section displays the following fields.
CIF Number	<i>Alphanumeric; 20 Characters; Optional</i> Specify the CIF number of the customer.
External Reference Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the external reference number of the customer.
Date Of Birth	<i>Date Format; Optional</i> Select the date of birth of the customer from the adjoining calendar.
Incorporation Date	<i>Date Format; Optional</i> Select the date of incorporation from the adjoining calendar.
Country Of Domicile	<i>Alphanumeric; 3 Characters; Optional</i> Specify the country of domicile of the customer.

Table 1-15 (Cont.) Customer Find Screen Detail - Field Description

Field	Description
First Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the first name of the customer.
Last Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the last name of the customer.
Middle Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the middle name of the customer.
Company Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the company name.
Nationality	<i>Alphanumeric; 3 Characters; Optional</i> Specify the nationality of the customer.
Investor Type	<i>Optional</i> Select the type of investor from the drop-down list. The list displays the following values: • Individual • Corporate • Both
Tax ID	<i>Alphanumeric; 50 Characters; Optional</i> Specify the Tax ID number.
National ID	<i>Alphanumeric; 3 Characters; Optional</i> Specify the National ID of the customer.
Identification Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the Identification Number .
Advanced Find Options	The section displays the following fields.
Address Line 1	<i>Alphanumeric; 35 Characters; Optional</i> Specify the Address Line 1 of the customer.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Specify the country name of the customer.
Employer Identification Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the Employer Identification Number of the customer.

3. View the following values in the **Find Results** section.

The system displays the following values:

- **Investor Type**
- **First Name**
- **Last Name**
- **Middle Name**
- **Company Name**
- **Customer No.**
- **Tax ID**
- **Identification Number**
- **Country Of Domicile**

- **Date Of Birth**
- **Incorporation Date**
- **National ID**
- **Address Line 1**
- **Country**
- **Nationality**
- **Employer Identification Number**
- **External Reference Number**

1.14 Process Customer Log Details

This topic provides the systematic instructions to view the status of the CIF moving from **FCUBS** to **FCIS** when integration is enabled.

1. On **Home** screen, type **UTDCIFLG** in the text box, and click **Next**.
The **Customer Log Details** screen is displayed.

Figure 1-21 Customer Log Details

2. On **Customer Log Details** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 1-16 Customer Log Details - Field Description

Field	Description
Customer No	<i>Alphanumeric; 11 Characters; Mandatory</i> Specify the customer number. Alternatively, you can select customer number from the option list. The list displays all valid customers moving from FCUBS to FCIS .
Error Code	<i>Display</i> The system displays the error code for the customer number if any error occurs while customer is moving from FCUBS to FCIS .

Table 1-16 (Cont.) Customer Log Details - Field Description

Field	Description
Error Description	<i>Display</i> The system displays the description of the error code.

- Click **Search** button after specifying the customer number.

The system displays the following values:

- **Error Code**
- **Error Description**

1.15 Process Customer Accessibility Mapping Detail

This topic provides the systematic instructions to map customer number to AGY modules.

It is available only in the FMG Module and it should be used only in GTA setup.

- On **Home** screen, type **UTDCIFAC** in the text box, and click **Next**.

The **Customer Accessibility Mapping Detail** screen is displayed.

Figure 1-22 Customer Accessibility Mapping Detail

- On **Customer Accessibility Mapping Detail** screen, click **New** to enter the details.

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

Table 1-17 Customer Accessibility Mapping Detail - Field Description

Field	Description
CIF Number	<i>Alphanumeric; 20 Characters; Mandatory</i> Specify the CIF number of the unit holder.
From Module ID	<i>Alphanumeric; 30 Characters; Mandatory</i> Specify the From Module ID . Alternatively, you can select From Module ID from the LOV. The list displays the module ID maintained in the system.

Table 1-17 (Cont.) Customer Accessibility Mapping Detail - Field Description

Field	Description
AGY Module Mapping	AGY Module mapping is used to map customer with one or more AGY. It includes the following fields: • AGY Module ID • Agent Code • Branch Code
AGY Module ID	<i>Alphanumeric; 30 Characters; Mandatory</i> The system displays the AGY Module ID .
Agent Code	<i>Display; Optional</i> The system displays the default agent code for the selected Module ID .
Branch Code	<i>Display; Optional</i> The system displays the default branch code for the selected Module ID .

Field name and Data Masking Pattern

- For Field name and Data Masking Pattern, refer to the table below,

Note

PII information of the associated Investor will be masked while displaying in LOV.

Table 1-18 Field name and Data Masking Pattern

Field name	Data Masking Pattern
Beneficiary Name	Except First two characters remaining characters will be masked.
Date of birth	Date and month will be masked. Date will be masked as 01 and month will be 01.
Address Line1, Address Line 2, City, Email	Except First two characters remaining characters will be masked.
US indicia Available	Always will be defaulted to No.
Country of Domicile, Country of Birth, Country	Except First character remaining characters will be masked.

1.16 Customer Accessibility Mapping Summary

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

Retrieve Customer Accessibility Mapping Record

- On **Home** screen, type **UTSCIFAC** in the text box, and click **Next**.

The **Customer Accessibility Mapping Summary** screen is displayed.

Figure 1-23 Customer Accessibility Mapping Summary

2. On **Customer Accessibility Mapping Summary** screen, specify any or all of the following details in the corresponding fields:

- **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
- **Record Status**
- **From Module ID**
- **CIF Number**

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

All the records with the specified details are retrieved and displayed in the screen. You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
- Input From **Module ID** and **CIF Number**
- Press F8

Note

You can also search the record by using combination of % and alphanumeric value.

- The **New** operation is supported only for individual customer.
- During CIF Accessibility maintenance to other **AGY Modules**, by default CIF accessibility mapping will be provided for the **From AGY Module**.

- [View Customer Accessibility Mapping Record](#)

This topic provides the systematic instructions to view Customer Accessibility Mapping record.

- [Delete Customer Accessibility Mapping Record](#)

This topic provides the systematic instructions to delete Customer Accessibility Mapping record.

- [Authorize Customer Accessibility Mapping Record](#)
This topic provides the systematic instructions to authorize Customer Accessibility Mapping record.

1.16.1 View Customer Accessibility Mapping Record

This topic provides the systematic instructions to view Customer Accessibility Mapping record.

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

1. Start the **Customer Accessibility Mapping Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **Customer Accessibility Mapping Detail** screen is displayed.

1.16.2 Delete Customer Accessibility Mapping Record

This topic provides the systematic instructions to delete Customer Accessibility Mapping record.

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

1. Start the **Customer Accessibility Mapping 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 **Customer Accessibility Mapping Detail** screen is displayed.

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

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

1.16.3 Authorize Customer Accessibility Mapping Record

This topic provides the systematic instructions to authorize Customer Accessibility Mapping record.

Authorize an unauthorized **Customer Accessibility Mapping** record in the system for it to be processed as follows:

1. Start the **Customer Accessibility Mapping 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 **Customer Accessibility Mapping Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

1.17 Process CIF Conversion Maintenance Detail

This topic provides the systematic instructions for conversion of **From AGY Module ID** investors to **To AGY Module ID** investors.

The Conversion of **From AGY Module ID** investors to **To AGY Module ID** investors can be considered as a two-step process:

1. The first step is CIF Conversion maintenance. The CIF details which need to undergo CIF conversion process is captured in this step and this step will also identify and list out pending business for the CIF to user.
2. The second step involves the actual conversion process.

For CIF Conversion maintenance, follow the steps given below:

- Click **Find CIF** button.
 - Input or Choose **CIF Number**.
 - Choose **To AGY Module ID** from LOV List.
 - Click the **Fetch Pre Check Details** button, the system will identify the pending business for the Customer /underlying UH in the **From AGY Module ID** and will display the results to the user in all three tabs.
1. On **Home** screen, type **UTDCIFCM** in the text box, and click **Next**.
The **CIF Conversion Maintenance Detail** screen is displayed.

Figure 1-24 CIF Conversion Maintenance Detail

- On **CIF Conversion Maintenance Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 1-19 CIF Conversion Maintenance Detail - Field Description

Field	Description
Reference Number	<i>Display</i> It is the number auto generated on click of New button.
CIF Number	<i>Alphanumeric; 20 Characters; Mandatory</i> Specify the CIF number to be promoted.
Find CIF Button	Click the Find CIF button to find the CIF Number and CIF Name .
CIF Name	<i>Display</i> The system displays the name of the CIF.
From AGY Module ID	<i>Display</i> The system displays the created module ID of the CIF.
To AGY Module ID	<i>Alphanumeric; 30 Characters; Mandatory</i> Specify the target Module ID. Alternatively, you can select the Module ID from the option list. The list displays all valid Module IDs maintained in the system.
Status	By default, the status displays as Not Started . However, you can select the status from the drop-down list. The list displays the following values: • Not Started • Readiness Checks Pending • Ready for Conversion • Conversion Successful • Conversion Failure

- Click the **Fetch Pre Check Details** button to identify the pending business for the CIF.
 - [Pre Check Tab](#)
This topic explains the pre check details of CIF Conversion maintenance detail screen.
 - [Linked Entities Tab](#)
This topic explains the linked entities details of CIF Conversion maintenance detail screen.
 - [Related Entities Tab](#)
This topic explains the related entities details of **CIF Conversion Maintenance Detail** screen.
 - [UH Details Tab](#)
This topic explains the UH entities details of **CIF Conversion Maintenance Detail** screen.

1.17.1 Pre Check Tab

This topic explains the pre check details of CIF Conversion maintenance detail screen.

The system will list out the pending business available in the system for the CIF in this tab.

- On **CIF Conversion Maintenance Detail** screen, click **Pre Check** tab to view the following details.
The **Pre Check** details are displayed.

Figure 1-25 CIF Conversion Maintenance Detail_Pre Check Tab

- On the **Pre Check** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-20 Pre Check - Field Description

Field	Description
Serial Number	<i>Display</i> The system displays the serial number.
Description	<i>Display</i> The system displays the description for the respective serial number.
Mandatory	<i>Display</i> Pending checks have been classified as Mandatory/Optional . The user has to clear all the Mandatory checks to proceed with the Ready for conversion Status.
Record Count	<i>Display</i> This will list the number of records available for each Pre-check sequence.

- Click **Details** button to get more information on the records.

1.17.2 Linked Entities Tab

This topic explains the linked entities details of CIF Conversion maintenance detail screen.

Linked Entities refers to entities available locally in the particular branch alone. The system will identify and list out all the entities linked to the particular CIF in this tab.

- On **CIF Conversion Maintenance Detail** screen, click **Linked Entities** tab to view the following details.

The **Linked Entities** details are displayed.

Figure 1-26 CIF Conversion Maintenance Detail_Linked Entities Tab

- On the **Linked Entities** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-21 Linked Entities - Field Description

Field	Description
Serial Number	<i>Display</i> The system displays the serial number.
Description	<i>Display</i> The system displays the description for the selected category.
Record Count	<i>Display</i> This will list the number of records available for each Pre-check sequence.

- Click **Details** button to get more information on the records.

1.17.3 Related Entities Tab

This topic explains the related entities details of **CIF Conversion Maintenance Detail** screen.

Related Entities displays the details where the promoted CIF is a linked entity for other CIF/ UH. The system will identify and list out all the related entities to the particular CIF in this tab.

- On **CIF Conversion Maintenance Detail** screen, click **Related Entities** tab to view the following details.

The **Related Entities** details are displayed.

Figure 1-27 CIF Conversion Maintenance Detail_Related Entities Tab

2. On the **Related Entities** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 1-22 Related Entities - Field Description

Field	Description
Serial Number	<i>Display</i> The system displays the serial number.
Description	<i>Display</i> The system displays the description for the selected category.
Record Count	<i>Display</i> This will list the number of records available for each pre-check sequence.

3. Click **Details** button to get more information on the records.
 - [Pre-Checklist](#)
This topic gives the lists of Pre-Checklist and its description.
 - [Error Message on Validations in CIF Conversion Maintenance Detail](#)
This topic gives the lists of error messages on validations in the **CIF Conversion Maintenance Detail** screen.

1.17.3.1 Pre-Checklist

This topic gives the lists of Pre-Checklist and its description.

User will find the following Pre-Checklist.

Table 1-23 Pre-Checklist and Description

Serial Number	Description	Mandatory /Optional	Tab Name
1	Number of Unauthorized Transactions for the Unitholders	Mandatory	Pre Check

Table 1-23 (Cont.) Pre-Checklist and Description

Serial Number	Description	Mandatory /Optional	Tab Name
2	Number of Unallotted/ Unsettled Transactions for the Unitholders	Mandatory	Pre Check
3	Number of Redemptions due for confirmation	Mandatory	Pre Check
4	Number of Ungenerated Pseudo Switch Transactions	Mandatory	Pre Check
5	Number of Ungenerated BnB Switch Transactions	Mandatory	Pre Check
6	Number of Ungenerated Twitch Transactions	Mandatory	Pre Check
7	Number of Block Transactions available for the unitholder	Mandatory	Pre Check
8	Number of Transactions which are yet to be completed	Mandatory	Pre Check
9	Number of Unprocessed dividend reinvestments	Mandatory	Pre Check
10	Number of Periodic Load commission record for which Transactions is yet to be generated	Mandatory	Pre Check
11	Number of Multiswitch Transactions for which residual is yet to be generated	Mandatory	Pre Check
12	Number of Unauthorized CIFMerge/ HierarchyChange	Mandatory	Pre Check
13	Number of Unitholder's Fund not mapped to Destination Branch	Mandatory	Pre Check
14	Number of Unitholder's Fund in book closing period for Corporate Actions	Mandatory	Pre Check
15	Number of Active Standing Instruction for the unitholder	Mandatory	Pre Check
16	Number of Local Entities Linked to underlying Unitholder as Transaction Intermediary Agents	Mandatory	Pre Check
17	Number of Local Entities Linked to underlying Unitholder as Transaction Intermediary BranchCode	Mandatory	Pre Check

Table 1-23 (Cont.) Pre-Checklist and Description

Serial Number	Description	Mandatory /Optional	Tab Name
18	Number of Local Entities Linked to underlying Unitholder as Transaction Intermediary Account Officer	Mandatory	Pre Check
19	Number of Local Entities Linked to underlying Unitholder as Transaction Intermediary IFA	Mandatory	Pre Check
20	Number of Deals in which the Unitholder or CIF is Linked	Optional	Pre Check
21	Number of LOI setup in which the Unitholder or CIF is Linked	Optional	Pre Check
22	Number of IDS setup in which the Unitholder is Linked	Optional	Pre Check
23	Number of Limit orders for Unitholder which is setup but not executed	Optional	Pre Check
24	Number of Reinvestment setup in which the Unitholder is Linked	Optional	Pre Check
25	Number of Unitholder COE setup in which the Unitholder is Linked	Optional	Pre Check
26	Number of Unitholder NPI setup in which the Unitholder is Linked	Optional	Pre Check
27	Number of Unit Holder Non Tax Limits setup in which the Unitholder is Linked	Optional	Pre Check
28	Number of Unit Holder IRRF Preference setup in which the Unitholder is Linked	Optional	Pre Check
29	Number of Unit Holder Dividend Component Override setup in which the Unitholder is Linked	Optional	Pre Check
30	Number of Unprocessed dividends for the Unitholder's Fund for which freezeholdings is done	Optional	Pre Check
31	Number of Standing Instruction paused for the unitholder	Optional	Pre Check

Table 1-23 (Cont.) Pre-Checklist and Description

Serial Number	Description	Mandatory /Optional	Tab Name
32	Number of Standing instruction with DRSP enabled for Unitholder	Optional	Pre Check
33	Number of Standing instruction with RIS enabled for Unitholder	Optional	Pre Check
34	Number of Standing Instruction which are going to be generated the next day	Optional	Pre Check
35	Number of Local Entities Linked to underlying Unitholder as Banks	Optional	Linked Entities
36	Number of Local Entities Linked to underlying Unitholder as Branches	Optional	Linked Entities
37	Number of Local Entities Linked to underlying Unitholder Intermediaries as Agents	Optional	Linked Entities
38	Number of Local Entities Linked to underlying Unitholder Intermediaries as Branches	Optional	Linked Entities
39	Number of Local Entities Linked to underlying Unitholder Intermediaries as AccountOfficer	Optional	Linked Entities
40	Number of Local Entities Linked to underlying Unitholder Intermediaries as IFA	Optional	Linked Entities
41	Number of Local Entities Linked to underlying Unitholder as Nominees	Optional	Linked Entities
42	Number of Local Entities Linked to underlying Unitholder as Joint Holders	Optional	Linked Entities
43	Number of Local Entities Linked to underlying Unitholder as Beneficiaries	Optional	Linked Entities
44	Number of Local Entities Linked to underlying Unitholder as Related parties	Optional	Linked Entities

Table 1-23 (Cont.) Pre-Checklist and Description

Serial Number	Description	Mandatory /Optional	Tab Name
45	Number of Local Entities Linked to underlying Unitholder as Directors	Optional	Linked Entities
46	Number of Local Entities Linked to underlying Unitholder as Legal Entities in KYC section	Optional	Linked Entities
47	Number of Local Entities Linked to underlying Unitholder as AMC	Optional	Linked Entities
48	Number of Local Entities Linked to Promoted CIF as Directors	Optional	Linked Entities
49	Number of Unitholders having Conversion CIF as Nominee	Optional	Linked Entities
50	Number of Unitholders having Conversion CIF as Joint Holder	Optional	Linked Entities
51	Number of Unitholders having Conversion CIF as Related Entity	Optional	Linked Entities
52	Number of Unitholders having Conversion CIF as Beneficiary	Optional	Linked Entities
53	Number of Unitholders having Conversion CIF as Directors	Optional	Linked Entities

1.17.3.2 Error Message on Validations in CIF Conversion Maintenance Detail

This topic gives the lists of error messages on validations in the **CIF Conversion Maintenance Detail** screen.

User will find the following error messages on validations.

Table 1-24 Error Messages on Validations in CIF Conversion Maintenance Detail

Sl. No.	Validation	Error Message
1	When user tries to provide same From AGY Module ID and To AGY Module ID	From AGY Module ID and To AGY Module ID cannot be same
2	When user tries to provide same From UnitHolder ID and To UnitHolder ID	From UnitHolder ID and To UnitHolder ID cannot be same
3	When user tries to provide same To UnitHolder ID for multiple From Unitholders	To UnitHolder ID should not be duplicated
4	When user tries to provide To UnitHolder ID having Fund UnitBalance	To UnitHolder is having fund unitbalance, CIF conversion not allowed

Table 1-24 (Cont.) Error Messages on Validations in CIF Conversion Maintenance Detail

Sl. No.	Validation	Error Message
5	When user tries to provide To UnitHolder's CIF is having other than mentioned UnitHolders	To unitholder's CIF linked with other unitholder(s), CIF conversion not allowed

1.17.4 UH Details Tab

This topic explains the UH entities details of **CIF Conversion Maintenance Detail** screen.

1. On **CIF Conversion Maintenance Detail** screen, click **Fetch UH** button to fetch the **From Unitholder ID** and **From Unitholder Name** for the CIF to be promoted.

The **UH Details** are displayed.

Figure 1-28 CIF Conversion Maintenance Detail_UH Details Tab

2. On **CIF Conversion Maintenance Detail** screen under **UH Details** tab, specify the fields. For more information on fields, refer to the field description table.

Table 1-25 UH Details - Field Description

Field	Description
From Unitholder ID	<i>Display</i> The system displays the From Unitholder ID.
From Unitholder Name	<i>Display</i> The system displays the From Unitholder Name.
To UnitHolder ID	Specify the To UnitHolder ID from Find UH button or it can be given manually.

Table 1-25 (Cont.) UH Details - Field Description

Field	Description
To UnitHolder Name	<i>Display</i> The system displays the To Unitholder Name. Note: • New Unitholder cannot be created for the CIF in normal AGY branch. • Underlying UH for the CIF in normal AGY branch cannot be amended. • Transaction cannot be captured for Underlying UH in normal AGY branch. • Existing Transactions belonging to UH cannot be reversed in normal AGY branch. • To Unitholder ID cannot be duplicated. • From Unitholder ID and To Unitholder ID cannot be same.

1.18 CIF Conversion Maintenance Summary

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

Retrieve CIF Conversion Maintenance Record

1. On **Home** screen, type **UTSCIFCM** in the text box, and click **Next**.
The **CIF Conversion Maintenance Summary** screen is displayed.

Figure 1-29 CIF Conversion Maintenance Summary

2. On **CIF Conversion 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**
 - **Reference Number**

- **CIF Number**
 - **From AGY Module ID**
 - **To AGY Module ID**
 - **Status**
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 **Reference Number**
- Press F8

4. Perform **Edit, Delete, Query, Amend, Authorize, Close, and Reopen** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
- [Edit CIF Conversion Maintenance Record](#)
This topic provides the systematic instructions to edit CIF Conversion Maintenance record.
 - [View CIF Conversion Maintenance Record](#)
This topic provides the systematic instructions to view CIF Conversion Maintenance record.
 - [Delete CIF Conversion Maintenance Record](#)
This topic provides the systematic instructions to delete CIF Conversion Maintenance record.
 - [Authorize CIF Conversion Maintenance Record](#)
This topic provides the systematic instructions to authorize CIF Conversion Maintenance record.
 - [Amend CIF Conversion Maintenance Record](#)
This topic provides the systematic instructions to amend CIF Conversion Maintenance record.
 - [Authorize Amended CIF Conversion Maintenance Record](#)
This topic provides the systematic instructions to authorize amended CIF Conversion Maintenance record.

1.18.1 Edit CIF Conversion Maintenance Record

This topic provides the systematic instructions to edit CIF Conversion Maintenance record.

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

1. Start the **CIF Conversion 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 **CIF Conversion 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 **CIF Conversion Maintenance Detail** screen is closed and the changes made are reflected in the **CIF Conversion Maintenance Summary** screen.

1.18.2 View CIF Conversion Maintenance Record

This topic provides the systematic instructions to view CIF Conversion Maintenance record.

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

1. Start the **CIF Conversion Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **CIF Conversion Maintenance Detail** screen is displayed.

1.18.3 Delete CIF Conversion Maintenance Record

This topic provides the systematic instructions to delete CIF Conversion Maintenance record.

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

1. Start the **CIF Conversion 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 **CIF Conversion 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.

1.18.4 Authorize CIF Conversion Maintenance Record

This topic provides the systematic instructions to authorize CIF Conversion Maintenance record.

Authorize an unauthorized **CIF Conversion Maintenance** record in the system for it to be processed as follows:

1. Start the **CIF Conversion 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 want to authorize.
The **CIF Conversion Maintenance Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

1.18.5 Amend CIF Conversion Maintenance Record

This topic provides the systematic instructions to amend CIF Conversion 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 **CIF Conversion 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 want to amend.
The **CIF Conversion 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.

1.18.6 Authorize Amended CIF Conversion Maintenance Record

This topic provides the systematic instructions to authorize amended CIF Conversion Maintenance record.

Authorize an amended **CIF Conversion Maintenance** record for the amendment to be made effective in the system.

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

1.19 Process CIF Conversion Execution

This topic provides the systematic instructions to move the CIF from Source branch to Destination Branch and also transferring holdings of Underlying UH from Source AGY module ID to Destination AGY module ID.

CIF Conversion involves moving the CIF from Source branch to Destination Branch and also transferring holdings of Underlying UH from Source AGY module ID to Destination AGY module ID. This screen is used to trigger CIF conversion process.

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

The **CIF Conversion Execution** screen is displayed.

Figure 1-30 CIF Conversion Execution

2. On **CIF Conversion Execution** screen, click **New** to enter the details.

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

Table 1-26 CIF Conversion Execution - Field Description

Field	Description
Reference Number	<i>Alphanumeric; 16 Characters; Optional</i> Specify the reference number of the CIF conversion maintenance for the customer.
From AGY Module ID	<i>Optional</i> Specify the current module ID of the CIF.
Process	Select if records to be processed or not from the drop-down list. The list displays the following values: • Yes • No
CIF Number	<i>Alphanumeric; 20 Characters; Optional</i> Specify the CIF number of the unit holder.

Table 1-26 (Cont.) CIF Conversion Execution - Field Description

Field	Description
To AGY Module ID	<i>Optional</i> Specify the target Module ID. Alternatively, you can select the Module ID from the option list. The list displays all valid Module IDs maintained in the system.

3. Click the **Populate** button. You can specify any of the above filter criteria.
4. CIF conversion records having status as **Ready for Conversion** and **Conversion Failure** will be eligible for listing in this screen.

The following values are displayed:

- **Reference Number**
 - **CIF Number**
 - **CIF Name**
 - **From AGY Module ID**
 - **To AGY Module ID**
 - **Process**
5. User needs to select the **Process** as **Yes** for at least one record before clicking **Submit** button.

Process flow in CIF Conversion Execution screen

On click of **Submit** button in **CIF Conversion Execution** screen, below is the process flows:

6. Calculate Transaction wise Unutilized balances to be carried forward to **To AGY Module ID**.
 - At the high-level, transactions are grouped at LinkTransactionNumber and LinkTransactionDate to derive Unutilized balance.
 - Additional Grouping criteria are derived based on one or more parameter like Aging Policy, RDR category, Unit classification and Hierarchy Intermediaries, etc.,
7. Post Adjustment Subscription for newly created UH in **To AGY Module ID** and allocation entries also.
8. Post Adjustment Redemption in **From AGY Module ID** for Unutilized balances and allocation entries.
9. Unprocessed Limit order transactions will be marked as canceled in the source branch.
10. Unprocessed dividend records in which freeze-holding is completed at source branch, will be processed for the corresponding unitholders mapped at the destination branch module.
11. For equalization enabled funds, source branch equalization details(G1 units and G2 units) will be carried forward to the respective transactions of destination branch.
12. The ISA Limit utilization details for the source branch investor will be carried forward to the respective investor account created in the destination branch.
13. Newly created unitholders in **To AGY Module ID** will be linked to the promoted CIF.
14. Close the **From AGY Module ID** unitholder linked to CIF with remarks **CIF Conversion**.
15. CIF will be Linked to **To AGY Module ID**.
16. Grant CIF Accessibility to **From AGY Module ID** on promoted CIF(Reverse Mapping).

17. On successful completion of CIF Conversion, the system will update status to **Conversion Success**.
18. In case of failures during CIF Conversion, the system will update status to **Conversion Failure**.

Note

- CIF Conversion Subscription transaction will have **Transaction Type** as 02 and **Ref Type** as 93.
- CIF Conversion Redemption transaction will have **Transaction Type** as 03 and **Ref Type** as 93.

2

Entities - Manage Investor Accounts

This topic explains the setting up of investor accounts and the management of these accounts.

This topic contains the following sub-topics:

- [Customer Information](#)
- [Process Unit Holder Maintenance Detail](#)
This topic provides the systematic instructions to create a new unit holder account in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system for an investor.
- [Unit Holder Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process UnitHolder Find Options](#)
This topic provides the systematic instructions to find unitholder using **UnitHolder Find Options** screen.
- [Process UH Category Parameter](#)
This topic provides the systematic instructions to define the maximum number of calendar days a user can remain inactive in the system.
- [UH Category Parameter Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Account Type Maintenance Detail](#)
This topic provides the systematic instructions to capture account type level rules/limits.
- [Account Type Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Financial Intelligence Centre Act \(FICA\)](#)
This topic provides information on Financial Intelligence Centre Act (FICA).
- [Escheatment Tracking](#)
This topic provides information on escheatment tracking.
- [Export of Unit Holder Information](#)
This topic gives information to export unit holder account master information in respect of all valid unit holders in the system as on a given date, to external agencies.
- [Process KYC Chasing Details](#)
This topic provides the systematic instructions to override the chasing details mentioned in KYC details at **Unit Holder Maintenance** using **KYC Chasing Details** screen even when Unit Holder is at unauthorized stage.
- [KYC Chasing Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Unit Holder Currency of Expression](#)
This topic provides the systematic instructions to specify the currency of expression for the unit holder fund combination by selecting the fund price currency/fund base currency as **Unit Holder Currency of Expression (UHC OE)**.

- [Unit Holder Currency of Expression Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Investor Commitment Detail](#)
This topic provides the systematic instructions to capture the investor's commitments details for a closing call of the fund.
- [Investor Commitment Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Capital Call Clearing Detail](#)
This topic provides the systematic instructions to track the collections made against the tranches done.

2.1 Customer Information

This topic explains the customer information of investor accounts.

Oracle FLEXCUBE Investor Servicing provides the facility of maintaining information profiles for customers of your bank. The profile consists of personal as well as business information.

A customer may also wish to invest in the funds of the AMC. In such a case, you can create and maintain one or more investor accounts for the customer in the AMC FCIS database.

This topic deals with the maintenance of customer profiles and creation of investor accounts for your customers in the AMC FCIS database.

This topic contains the following sub-topics:

- [Maintain Customer Information](#)
This topic provides instructions to maintain customer information.
- [Maintain Investor Accounts](#)
This topic provides instructions to maintain investor accounts.
- [Identify Unit Holder Account in System](#)
This topic provides instructions to identify unit holder account that is maintained for an investor in the system.
- [Specify Mandatory Information for New Account](#)
This topic provides instructions to specify mandatory information for new account.
- [Defaulting of Information for CIF Unit Holder Accounts](#)
This topic provides instructions on defaulting of information for CIF Unit Holder accounts.
- [Specify Additional Information for New Account](#)
This topic provides instructions to specify additional information for new account.
- [Choose Template for Automatic Replication](#)
This topic provides instructions to choose template for automatic replication.
- [Maintain Stop Status on Unit Holder Account](#)
This topic provides instructions to maintain Stop Status on Unit Holder Account.
- [Maintain IRS Notifications on Unit Holder Account](#)
This topic provides instructions to maintain IRS notifications on Unit Holder account.
- [Save New Account](#)
This topic provides instructions to save a new account.

2.1.1 Maintain Customer Information

This topic provides instructions to maintain customer information.

Each individual or company that transacts with your bank becomes your customer. In the **Oracle FLEXCUBE Investor Servicing (FCIS)** system, a **customer information file (or CIF)** is maintained for each customer.

A customer may desire to invest in the funds of the AMC, and have an investment account. In such a case, an investment account known as a unit holder account is maintained for such customers. A customer can have more than one investment account.

A customer account or a CIF account is created in the **FCIS** system in either of the following ways:

1. At installations where the **Oracle FLEXCUBE Corporate (FCC)** and **Oracle FLEXCUBE Retail (FCR)** applications are also present, an interface is defined between either (or both) of these applications and **FCIS**. The CIF account for the customer is created in either of these applications. Whenever a **CIF** account is authorized with investment details in either **FCC** or **FCR** systems, the interface propagates the details of the **CIF** account to the **FCIS** system, where an initial, single unit holder account is created for the **CIF** account. The unit holder ID created in **FCIS** will be identical to the account number in **FCC**. Subsequently, any number of unit holder accounts may be created in **FCIS** for the **CIF** account.
 - If a **CPNJ** number is linked to a **CIF** in **FCC**, then a unitholder of the type '**Corporate**' will be created in **FCIS** for that customer.
 - Similarly, if a **CPF** number is linked to a **CIF** in **FCC**, then a unitholder of the type '**Individual**' will be created in **FCIS** for that customer. Any modification to the customer account details in **FCC** will be propagated to **FCIS**.
2. At installations where **FCC** and **FCR** are both not present, a **CIF** account for a customer can be created in **FCIS** through the **Customer Maintenance** menu in the Browser. An initial, single unit holder account is created for the **CIF** account. Again, subsequently, any number of unit holder accounts may be created in **FCIS** for the **CIF** account. Edition and Amendment (through Information Change) of the unit holder accounts can only be performed through the **FCIS** system.

For a fuller discussion of how **CIF** accounts are created in **FCIS** system, refer topic *Maintaining Customer Information*.

After a **CIF** account is created along with a single, initial unit holder account, in either of the ways described above, you can create any number of unit holder accounts for the **CIF** account in the **FCIS** system.

2.1.2 Maintain Investor Accounts

This topic provides instructions to maintain investor accounts.

Any individual or company that invests capital in any investment avenue with a view to receive greater returns and appreciation of invested capital is known as an investor.

When an investor invests in a mutual fund or any of the funds floated by an AMC, the fund gives the investor a certain number of investment units that are indicative of the investor's stake in the fund money pool. The investor is known as a unit holder and is said to have holdings in the fund.

In **Oracle FLEXCUBE Investor Servicing**, all details regarding each unit holder that invests in the AMC are maintained in the system database, in the account created for the unit holder.

This account is known as the unit holder account, and it is the single repository in the system database from where any information regarding the unit holder can be queried for, retrieved as well as updated.

Though a single account can be typically created for each unit holder, multiple accounts can also be maintained for **Customer Information File (CIF)** customers of your bank or AMC.

This chapter deals with all aspects of the creation and maintenance of unit holder and **CIF** unit holder accounts in the **FCIS** system.

After you open a unit holder account for a new investor, you can perform any of the following maintenance operations:

- Authorize the account
- Make changes to the account in any way
- Close the account
- Query the database for any information regarding the account at any time
- Set up different investment preferences for the investor, as and when requested

Whenever an investor requests for a transaction, the system uses the unit holder account as the identification for the investor, while putting the transaction through. The effect of the transaction on the balance holdings of the investor in a fund is also reflected in the account.

2.1.3 Identify Unit Holder Account in System

This topic provides instructions to identify unit holder account that is maintained for an investor in the system.

The unit holder account that is maintained for an investor in the system database can be uniquely identified in the system by the following two identifiers:

- **The Reference Number:**
The reference number is a unique alphanumeric identifier for the account. It could be the serial number that is given on the application form through which the investor has invested in the AMC. It could also be any alphanumeric value given by the AMC or the investor, to identify the account.

The reference number can be used to query the database for information regarding the account.

- **The Unit Holder ID (or Number)**
Like the reference number, the unit holder ID is also a unique alphanumeric identifier for the account. Either you can specify the unit holder ID or it can be generated by the system when you create the account and enter all the necessary details into the system. The unit holder ID has a generation logic that can be defined by the AMC for each of its branches. Thus, the unit holder ID is the most important identifier for the account in the system.

Like the reference number, the unit holder ID can also be used to query the database regarding the account.

Before you begin to set up any new unit holder accounts for investors that are desirous of investing in the funds of the AMC, you must ensure that the following static information sets have already been set up and entered into the system database and the required authorizations done:

- All necessary **CIF** accounts have been created in the system, either through the interface with **FCC** or **FCR**, or through the Customer Maintenance.

- All reference data that is typically defined in the Data Entry menu item in the Fund Manager component. This includes:
- All static information such as required entities (agents, branches, agency branches, brokers, AMCs, registrars, trustees), countries, corporation types, investor categories, occupation types, identification types, banks and their branches, mode of payment types, currencies, additional information heads, fee categories and subcategories.
- Authorized funds with all the necessary fund rules, agency branches, brokers, countries of domicile, account types, currencies and so on.

For a detailed account of this information, refer to the Fund Manager.

2.1.4 Specify Mandatory Information for New Account

This topic provides instructions to specify mandatory information for new account.

In the **UH New Account Detail** screen, you must specify the following details about the investor as mandatory information when you are creating a new unit holder account:

- The CIF Number of the customer for whom the unit holder account is being created, in the CIF Number field. This is mandatory information for all unit holder accounts.

Note

If you wish to copy the unit holder details from that of an existing unit holder account, use the Copy UH link alongside the CIF Number field.

- For a non-CIF investor, the reference number for the unit holder account, in the Reference Number field.
- The ID of the AMC/ Distributor, the funds of which the investor has chosen to invest in, in the AMC ID field.
- The type of investor for whom the account is being created, (either Individual or Corporate) in the Investor Type field.
- The date on which the account is to be created, in the Account Opening Date field. By default, this is deemed by the system to be the application date, but you can specify an earlier date.
- The option of dealing with the AMC either through self or an authorized representative. If dealing through an authorized representative, specify the same in the Dealing Type field, and select an authorized representative, as mandatory information, in the Auth Rep ID field. If you are maintaining a depositary as a unit holder, you must select '**Depositary**' as the dealing type.

For individual investors, specify the following details as mandatory information:

- The name of the investor. You must specify at least the first name of the investor in the First Name field.
- The Fee Category in the Fee Category field.
- The gender of the investor, in the Sex field.
- The option chosen by the investor of operating the account either singly or as a joint account, in the Account Operation Type field. If the account is to be a joint account, you must specify the name of at least one of the joint unit holders, in the Joint CIF Details section. In this screen you can specify the Joint Holder's ID, Joint Type and Address details. Once authorized, this field cannot be modified.

For corporate investors, specify the following details as mandatory information:

- The name of the company, in the Company Name field.
- The type of corporation, in the Corporation Type field.
- The contact address of the investor, in the Address field under the Default Address header.
- The type of identification, number of the identification document and its place of issue provided by the investor, in the fields Identification Type, Identification Number and Place of Issue respectively. Once authorized, these fields cannot be modified.
- Specifying the details of a bank account for an investor is not mandatory. If you wish to indicate them, any number of bank accounts can be designated, for each currency. You can also indicate a default bank account for each currency. During transaction entry, the payment bank account to be used for the unit holder will be picked up based on the transaction currency. The default bank account defined for the unit holder, for the transaction currency, is used.
- The code of at least one intermediary designated for the investor, in the Intermediary field in the Intermediary Details section. You must also specify the commission percentage that the intermediary is to receive, in the Split Percent field. The sum of all split percentages for the specified intermediaries must not exceed one hundred percent. The broker details and the split percentages are used as default information during the entry of transactions for the investor.

2.1.5 Defaulting of Information for CIF Unit Holder Accounts

This topic provides instructions on defaulting of information for CIF Unit Holder accounts.

As mentioned earlier, when a CIF account is authorized in either **FCC** or **FCR** at an installation, a single, initial unit holder account is created in **FCIS** for the CIF account. The following information is defaulted for the unit holder account in **FCIS**:

- The account operation type is deemed to be single.
- The dealing type for the unit holder is deemed to be **Self**.
- The account is deemed for an initial investor.
- For corporate investors, the minimum number of corporate signatories is deemed by default to be 1.
- The unit holder is not deemed to be a minor.
- The account is created as an open and enabled account and not as a closed one.
- The account is created without a specification for YTD account statements.
- The account is created as an unauthorized account in the **FCIS** system.
- The ID assigned to the unit holder in the **FCIS** system will be identical to the **FCC** account number.
- The **FCC** account details will be the default bank details of the unit holder account in **FCIS**.
- The identification number submitted by the unit holder.

These default specifications cannot be changed when the first, initial unit holder account is created for the CIF account in the **FCIS** system. To change any of these details, an information change must be done. However, you cannot change the defaulted identification number.

Subsequently, after the creation of the first, initial unit holder, whenever you create another unit holder account for the CIF in **FCIS** in the UH New Account screen, the specifications that were

used as defaults for the creation of the first account, as shown above, are defaulted again. However, these can be changed at the time of creation of a new unit holder. Depending on the specifications at the **FCC** installation, you can add the **FCC** account details as unit holder account bank details in **FCIS** or create another unit holder account for the CIF in **FCIS**.

Whenever an **FCC** account undergoes number modification, **FCIS** will perform an information change to the unit holder account record. On **FCC** account closure, the status of the unit holder account will be changed to **Pending for Closure** and no outflows will be allowed from the account.

2.1.6 Specify Additional Information for New Account

This topic provides instructions to specify additional information for new account.

After you have specified all the mandatory information, you are ready to save your specifications so that the account can be entered into the database.

You can, additionally, specify any of the following information as applicable before you actually save the record:

- Any personal details for an individual investor, such as the name of the father or spouse, the date of birth, the marital status, and any beneficiary designated for the investor. You can also specify whether the investor is a minor and also specify the designated guardian for the same.
- To make these specifications, click the **Individual Details** link in the screen, and enter the details in the corresponding fields.
- For a corporate investor, the name of a contact person as well as authorized signatories for the company.
- To make these specifications, click the **Corporate Details** link in the screen, and enter the details in the corresponding fields.
- Any contact details such as alternative addresses, city, state, zip code, as well as telephone or fax numbers, and E-mail IDs, if any.
- To make these specifications, click the **Contact Details** link in the screen, and enter the details in the corresponding fields.
- If you designate that tax is deemed to be deducted at source for the unit holder, the tax details applicable for the investor, such as the tax ID, tax circle and tax category. You can specify the PAN of the investor.
- To make these specifications, click the **Identification Details** link in the screen, and enter the details in the corresponding fields.
- Preferences opted for by the investor, concerning any or all of the following:
 - Currency, both for transactions and for account statements
 - Frequency of receiving account statements
 - The nationality, country of domicile, language and resident status
 - Preferred mode of mailing
 - Default mode of receiving redemption payments
 - Applicability of Rights of Accumulation benefits
 - Registration details
 - Applicability of making redemption and switch requests over telephone
 - Applicability of indexation for the computation of capital gains income

- KYC Details

- To make these specifications, click the **Client Preferences** link in the screen, and enter the details in the corresponding fields.
- You can also indicate whether check writing facility is allowed for the investor, and specify the signatories for check writing. The investor can avail of check book facility in any fund in which the investor holds unit balances.
- Any additional information under the heads defined for the AMC. Click the **Additional Information** link in the screen, and enter the details in the corresponding fields.
- If the account is a retirement type of account, additional details for the individual investor, such as the retirement age, date of retirement and if the investor has expired; the date and cause of death.

To make these specifications, click the **Member Details** link in the screen, and enter the details in the corresponding fields.

2.1.7 Choose Template for Automatic Replication

This topic provides instructions to choose template for automatic replication.

Modifications made to a unit holder account under a CIF, through an Information Change operation, might require to be replicated to all unit holder accounts under the CIF. **Oracle FLEXCUBE Investor Servicing** provides the facility of configuring the system so that automatic replication could be achieved, through automatic replication templates.

When an information change to a unit holder account under a CIF is authorized, a template for automatic replication could be chosen. Any changes that have been made through Information Change, to any of the fields defined in the template, are replicated to all unit holder accounts belonging to the CIF, when the Information Change is authorized. The replication occurs at the level defined for the template – CIF level (changes made to CIF fields are replicated) or Identification Type level (changes made to Identification Type fields are replicated).

Template ID

Optional

Select the automatic replication template that is to be used for replication of changes made to the unit holder account through Information Change, to all unit holder accounts belonging to the CIF.

Any changes that have been made through Information Change, to any of the fields defined in the template, are replicated to all unit holder accounts belonging to the CIF, when the Information Change is authorized. The replication occurs at the level defined for the template – CIF level (changes made to CIF fields are replicated) or Identification Type level (changes made to Identification Type fields are replicated).

2.1.8 Maintain Stop Status on Unit Holder Account

This topic provides instructions to maintain Stop Status on Unit Holder Account.

A stop could be placed on a unit holder account for a number of reasons. Such a stop typically results in restrictions being placed on the account, in terms of inflows and outflows, with regard to the following events:

- Any inflow and outflow transactions
- Standing instructions

- Tax deduction
- Dividend payment

A unit holder account can be rendered as restricted in an operation through a stop, due to any of the following:

- An IRS notification on the account. This could be due either to non-payment of tax, or incorrect reporting of the Tax ID.
- The **Stop Code** being assigned to the account, for escheatment tracking.
- [Specify the Stop Instruction](#)
This topic provides instruction to specify the Stop Instruction.
- [The Stop Account Code](#)
This topic provides instructions to indicate the stop instruction status of the account.

2.1.8.1 Specify the Stop Instruction

This topic provides instruction to specify the Stop Instruction.

You can place a stop on an account in the system by performing an information change and specifying the following information in the **Client Preferences** field:

- The IRS Notification assigned to the account, if any, in the **IRS Notification** field.
- The stop code assigned to the account, if any, in the **Stop Code** field.
- The date of release of the account from the stop status.

For details, refer to the topics *Maintain IRS Notifications on Unit Holder Account* and *Escheatment Tracking* in this User Guide.

When you specify this information, the system marks the account with a stop status. The **Stop Account** box in the **Client Preferences** section is checked, and the stop account code is assigned by the system, using the information provided.

2.1.8.2 The Stop Account Code

This topic provides instructions to indicate the stop instruction status of the account.

When you specify a stop instruction through an information change, the system automatically assigns a 20-character code that indicates the stop instruction status of the account, known as the **Stop Account Code**. Any account that has a stop account code assigned to it due to a stop instruction, is restricted in operation.

To recall, an account can be rendered restricted in operation due to any of the following:

- An IRS notification on the account. This could also be for notifications such as Sections 54E (A) or 54E (B).
- The Stop Code being assigned to the account.

Both IRS notifications as well as Stop Codes can be assigned to an account through an information change.

The stop account code consists of 20 characters or **Bits**. Each character denotes a restriction on any of the following operations:

- Bit 1 is for IPO Subscription Transactions. Bit 2 is for Redemption Transactions.
- Bit - 13 for Redemption Payment Restrictions
- Bit - 14 for Dividend Payment Restrictions

- Block and unblock transactions (Bit 3)
- Standing instructions (Bit 4)
- Tax deduction (Bit 5)
- Dividend payment (Bit 6)
- Subscription transactions (Bit 7)
- Switch Out transactions (Bit 8)
- Transfer Out transactions (Bit 9)
- Switch In transactions (Bit 10)
- Transfer transactions (Bit 11)
- Dividend payment (Bit 12)

Each character could have a value of 0,1 or 2. The values are interpreted as follows:

Table 2-1 Values Interpretation

Stop account bit position	Interpretation		
	When bit value = 0	When bit value = 1	When bit value = 2
1	Allow all IPO Subscription Transactions	Stop all IPO Subscription Transactions	Warning
2	Allow all Redemption Transactions	Stop all Redemption Transactions	Warning
3	Unblock all transactions	Block all transactions	Warning
4	Pause all standing instructions		
5	Deduct all dividend tax		
6	Dividend reinvestment only		
7	Allow all subscription transactions	Stop all subscription transactions	Warning
8	Allow all Switch Out transactions	Stop all Switch Out Transactions	Warning
9	Allow all Transfer Out transactions	Stop all Transfer Out transactions	Warning
10	Allow all Switch In transactions	Stop all Switch In transactions	Warning
11	Allow all Transfer In transactions	Stop all Transfer In transactions	Warning
12	Dividend payout only. The 6th bit will take precedence over the 12th bit if the value of both is specified as 1.		

Note

The remaining 8 characters in the stop account code are not currently used, and are reserved for future usage.

2.1.9 Maintain IRS Notifications on Unit Holder Account

This topic provides instructions to maintain IRS notifications on Unit Holder account.

An IRS notification is typically issued on a unit holder account in the event of non-payment of tax or due to incorrect reporting of the **Tax ID**.

You can capture the IRS notification by performing an information change on the unit holder account. In the Client Preferences section, select the notification that is applicable, in the **IRS Notification** field.

If the notification pertains to an incorrect reporting of **Tax ID**, select it from the drop-down list. If the notification pertains to non-payment of tax, select the option **Under Reporting**. When this notification is chosen, all outflows from the account are frozen, but inflows due to standing instructions are allowed. Also, dividend is compulsorily reinvested, and tax is compulsorily deducted, regardless of the TDS setup.

2.1.10 Save New Account

This topic provides instructions to save a new account.

After you have specified all the information that is mandatory for the account, (and any further information, if any, as applicable) click the **Save** link at the bottom of the Detail screen to save your specifications. The system validates all the information and saves the record into the database. The unit holder ID for the account is generated and displayed if you have not specified it. In case you have input the unit holder ID, the system validates it.

Along with the confirmation details, links to Subscription and IPO transaction screens are also displayed. If you call the transaction screens directly from here, the new Unit holder ID will be defaulted in the transaction screens. Transactions thus saved will be unauthorized and have to be manually authorized. However, if the user has Auto -Authorization roles enabled when a new Unit holder is created and when a transaction is done, both, Unit holder record and transaction will be authorized automatically.

The unit holder account has now been created successfully in the system database. You can now perform any of the following operations:

- Accept a transaction request for the investor immediately and enter it into the system, without authorizing the account.
- Edit any of the details that you have specified for the account, before it is authorized.
- You can have a different user authorize the account.

2.2 Process Unit Holder Maintenance Detail

This topic provides the systematic instructions to create a new unit holder account in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system for an investor.

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

The **Unit Holder Maintenance Detail** screen is displayed.

Figure 2-1 Unit Holder Maintenance Detail

2. In the **Unit Holder Maintenance Detail** screen, you create the account by:
 - a. Specify information that will form a profile of the investor. This includes, first, all the mandatory information that is required, and then, any further specifications you might want to make.

Note

You can also copy the details of an existing unit holder, and then modify the copied details as required, by using the **Copy UH** link.

- b. Save your specifications.
3. On **Unit Holder Maintenance Detail** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-2 Unit Holder Maintenance Detail - Field Description

Field	Description
Unit Holder ID	<i>Display</i> The system displays the unique number assigned to each unit holder account. In case you have input the unit holder ID, the system checks if: • The number of characters in the value input is less than 12. • The value specified is unique. • The last 2 characters (which are the check digits) of the value input are valid using the check digit algorithm for generating unit holder ID. If you input the last two characters as 04, the system displays an error message and you are required to enter a new value for the unit holder ID. In the case of system-generated ID, the automatic generation of unit holder ID takes place after you have specified all mandatory details for a new account, and clicked the Save button at the Client Information section. All your specifications are validated, and upon successful validation, the generated unit holder ID for the account is displayed. The logic governing the generation of unit holder ID's would have been defined for the agency branch where you have created the account, in the agency branch maintenance record. This field is not visible when you are creating a new account in the Detail screen. If you are viewing, editing, deleting or amending a previously created unit holder record, then the ID of the account is displayed here, and is non-editable. If the unit holder account is being created for a CIF account in FCC, then the unit holder number will be identical to the FCC account number. Note: You should define the following System Parameters to enable the generation and validation of unit holder ID: • WEIGHTFACTOR • MODULAR • UHPREFIX
Reference Number	<i>Alphanumeric; 12 Characters; Optional</i> Specify the reference number.
CIF Number	<i>Alphanumeric; 20 Characters; Optional</i> Specify the CIF number of the customer for whom you are creating a unit holder account. You can also query for CIF number by clicking Find UH button. When you specify the CIF number, the name of the corresponding CIF customer is retrieved from the database and displayed alongside the field. Also, the default information from the initial unit holder account created for the CIF account is displayed in the fields of this screen. You can override any of these if necessary, and make necessary specifications.
First / Company Name	<i>Alphanumeric; 105 Characters; Mandatory</i> Enter the First or Company name.

Table 2-2 (Cont.) Unit Holder Maintenance Detail - Field Description

Field	Description
AMC ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the code of the AMC/ Distributor in whose funds the investor wishes to invest, from the list provided. You capture this information for the purpose of identifying the AMC/ Distributor to which the unit holder belongs, and in whose database the unit holder account will reside.
AMC Description	<i>Display</i> The system displays the description for the selected AMC ID .
Investor Type	<i>Mandatory</i> Select the type of investor from the drop-down list and the default value displayed is Individual . The list displays the following values: • Individual • Corporate
Find UH	Click Find UH button to search for Unit Holder ID .
Find CIF	Click Find CIF button to search for CIF Number .
The Copy CIF Button	If you wish to copy the unit holder details from that of an existing unit holder account, click Copy CIF button alongside the CIF Number field. The Unit Holder Find screen is opened, and you can select the unit holder whose details you wish to copy. When you have selected the required unit holder, the details of the selected account are written into the respective fields in the UH New Account Detail screen. You can make changes to the copied details, if required, and save your changes to create the unit holder account. This feature can only be invoked in the New Mode. While creating a unit holder account using the Copy UH link, the system will not copy the KYC details. You need to provide new KYC details as per category selected.
Copy UH Without KYC button	<i>Optional</i> This button will be enabled upon Query operation. If you click this the system will copy the previous unit holder along with KYC details. When the KYC details are copied from the parent UH the All requested KYC documentation has been received field will be defaulted to No . If you want to copy the UH but not KYC details of the previous UH then click Copy UH without KYC . The system will not copy the KYC from the parent UH.

- [Account Details Tab](#)
This topic explains the account details tab of the **Unit Holder Maintenance Detail** screen.
- [Individual Dtls Tab](#)
This topic provides the systematic instructions to specify the personal details for individual investors in the **Unit Holder Maintenance Detail** screen.
- [Corporate Dtls Tab](#)
This topic provides the systematic instructions to specify the company details for corporate investors in the **Unit Holder Maintenance Detail** screen.
- [Contact Dtls Tab](#)
This topic provides the systematic instructions to specify the contact details for corporate investors in the **Unit Holder Maintenance Detail** screen.

- [Client Preferences Tab](#)
This topic provides the systematic instructions to specify the client preferences for corporate investors in the **Unit Holder Maintenance Detail** screen.
- [ID Details Tab](#)
This topic provides the systematic instructions to specify the ID details for corporate investors in the **Unit Holder Maintenance Detail** screen.
- [Bank Dtls Tab](#)
This topic provides the systematic instructions to specify the bank details for corporate investors in the **Unit Holder Maintenance Detail** screen.
- [Intermediary Dtls Tab](#)
This topic explains the intermediary details tab of **Unit Holder Maintenance Detail** screen.
- [KYC Details Tab](#)
This topic provides the systematic instructions to maintain KYC details in the **Unit Holder Maintenance Detail** screen.
- [Document Dtls tab](#)
This topic provides the systematic instructions to maintain document details in the **Unit Holder Maintenance Detail** screen.
- [Add Info tab](#)
This topic provides the systematic instructions to maintain additional Info details in the **Unit Holder Maintenance Detail** screen.
- [UH Signature Tab](#)
This topic provides the systematic instructions to upload the document containing unit holder's signature using the **UH Signature tab** in the **Unit Holder Maintenance Detail** screen.
- [Related Parties tab](#)
This topic provides the systematic instructions to maintain related parties details in the **Unit Holder Maintenance Detail** screen.
- [FATCA Audit Log tab](#)
This topic provides the systematic instructions to maintain FATCA audit log details in the **Unit Holder Maintenance Detail** screen.
- [UH KIID Compliance Tab](#)
This topic provides the systematic instructions to maintain UH KIID compliance details in the **Unit Holder Maintenance Detail** screen.
- [Delivery Dtls Button](#)
This topic provides the systematic instructions to capture the delivery details in the **Unit Holder Maintenance Detail** screen.
- [Beneficiary Dtls Button](#)
This topic provides the systematic instructions to capture the beneficiary details button in the **Unit Holder Maintenance Detail** screen.
- [Joint Holder Dtls Button](#)
This topic provides the systematic instructions to specify the names of any joint unit holders to be considered for joint unitholder accounts, or **Either** or **Survivor** accounts.
- [Nominee Dtls Button](#)
This topic provides the systematic instructions to specify the details of one or more nominees, if any, for the unit holder. A nominee could be an existing unitholder in the system or could be an external entity.

- [Member Dtls Button](#)
This topic provides the systematic instructions to capture additional investor details pertaining to retirement accounts if the account is of type **Retirement** in the **Member Details** screen.
- [Alternate Language Dtls Button](#)
This topic provides the systematic instructions to specify the customer details and customer contact details in the desired alternate language.
- [Director Details Button](#)
This topic provides the systematic instructions to maintain the details of boards of directors for a corporate unitholder.
- [Tax Compliance Button](#)
This topic provides the systematic instructions to enter the tax compliance details.
- [Multiple Tax Details Button](#)
This topic provides the systematic instructions to enter the multiple tax details.
- [Subscription Button](#)
This topic explains the subscription button in the **Unit Holder Maintenance Detail** screen.

2.2.1 Account Details Tab

This topic explains the account details tab of the **Unit Holder Maintenance Detail** screen.

1. On **Unit Holder Maintenance Detail** screen, click **Account Details** tab.

The **Account Details** are displayed.

Figure 2-2 Unit Holder Maintenance Detail_Account Details Tab

The screenshot shows the 'Unit Holder Maintenance Detail' screen with the 'Account Details' tab selected. The screen is divided into several sections:

- Top Section:** Contains a 'Save' button, a 'CIF Number' input field, an 'AMC Description' input field with a comment icon, an 'Investor Type' dropdown menu (set to 'Individual'), and two buttons: 'Copy CIF' and 'Copy UH without KYC'.
- Tab Bar:** A horizontal bar with tabs: 'Account Details' (selected), 'Individual Dtls', 'Corporate Dtls', 'Contact Dtls', 'Client Preferences', 'ID Details', 'Bank Dtls', 'Intermediary Dtls', 'KYC Details', and 'Docu'.
- Main Form Area:** A grid of input fields for account details:
 - Dealing Type * (S), Dealing Type Desc (Self), A/C Opening Date (01/06/2015), Segment ID, Template ID.
 - Auth Rep ID, Auth Rep ID Desc, UH Category *, Category Description, Protected Investor Level (Unclassified).
 - Fee Category, Fee Category Desc, Fee Sub Category, Fee Sub Category Desc, Remarks.
- Bottom Bar:** A row of buttons: '<', 'Nominee Dtls', 'Member Dtls', 'Alternate Language Dtls', 'Director Details', 'Tax Compliance', 'Multiple Tax Details', 'Subscr', '>', 'Audit', and 'Cancel'.

2. On the **Account Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 2-3 Account Details - Field Description

Field	Description
Dealing Type	<i>Alphanumeric, 1 Character; Mandatory</i> Indicate whether the investor wishes to deal with the AMC either directly (as self) or through a designated authorized representative, by choosing the appropriate option from the option list. If you choose the authorized representative option here, then you must specify the ID of the designated authorized representative in the Auth Rep ID field as mandatory information for the account. If you are maintaining a depositary as a unit holder in the system, you must select the dealing type as Depositary.
Dealing Type Desc	<i>Display</i> The system displays the description for the selected dealing type.
A/C Opening Date	<i>Date Format, Mandatory</i> Specify the date on which you are creating the account. The application date is displayed here by default, and will be reckoned as the opening date for the account if you do not specify any other date in this field. You can specify an earlier date, if necessary.
Segment ID	<i>Alphanumeric; 12 Characters; Optional; Non Amendable</i> Specify the segment ID. Alternatively, you can select segment ID from the LOV. The list displays all the valid segment ID of current Installation maintained in the system. The segment ID maintenance should be done as following: - For Non-Global Transfer Agency Setup, Segment ID should not be maintained. - For Global Transfer Agency Setup, Branch without Cross Branching and Segment ID will be defaulted as per Defaults maintenance and cannot be modified. - For Global Transfer Agency Setup, Branch with Cross Branching and Segment ID should be selected by the User from LOV.
Template ID	<i>Alphanumeric; 6 Characters; Optional</i> Specify the template ID. Alternatively, you can select template ID from the option list. The list displays all valid template ID maintained in the system. On modify operation, if the template ID is given a override message as Auto-information change will happen for underlined unitholders for CIF/ Identification based on the template ID will be shown and on authorization informations will be replicated. On New operation, if the template ID is given, the system display an error message as Template ID should be entered only during modification. <i>In this field, indicate the reasons for which the account is being created, if necessary.</i>
Auth Rep ID	<i>Alphanumeric; 12 characters; Mandatory only for unit holders dealing through authorized representative</i> For investors dealing through authorized representative, select the ID of the preferred representative using the list button alongside.
Auth Rep ID Desc	<i>Display</i> The system displays the description for the selected fee category.

Table 2-3 (Cont.) Account Details - Field Description

Field	Description
UH Category	<i>Alphanumeric; 2 Characters; Mandatory</i> Specify the unit holder category.
Category Description	<i>Display</i> The system displays the description for the selected UH category.
Protected Investor Level	<i>Optional</i> Select protected investor level from the drop-down list. The list displays the following values: • Classified • Unclassified
Fee Category	<i>Alphanumeric; 3 Characters; Optional</i> Select the fee category to be deemed applicable for the investor whose account you are creating from the list provided.
Fee Category Desc	<i>Display</i> The system displays the description for the selected fee category.
Fee Sub Category	<i>Alphanumeric; 6 Characters; Optional</i> Select the fee subcategory to be deemed applicable for the investor whose account you are creating from the list provided.
Fee Sub Category Desc	<i>Display</i> The system displays the description for the selected fee category.
Remarks	<i>Alphanumeric; 255 Characters; Optional</i> Specify any narrative, or descriptive text, if any, concerning the account.

2.2.2 Individual Dtls Tab

This topic provides the systematic instructions to specify the personal details for individual investors in the **Unit Holder Maintenance Detail** screen.

Note

After you have specified the details in this section for an individual investor, all your specifications will be lost if you change the investor type from **Individual** to **Corporate**.

1. On **Unit Holder Maintenance Detail** screen, click **Individual Details** tab.

The **Individual Details** are displayed.

Figure 2-3 Unit Holder Maintenance Detail_Individual Details Tab

- On the **Individual Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 2-4 Individual Details - Field Description

Field	Description
Last Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the Last Name .
Middle Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the middle name of the individual investor.
Title	<i>Alphanumeric; 15 Characters; Optional</i> Select the applicable title for the name of the individual investor from the list provided. If you do not find the option you are looking for in the list, maintain the same in the System Parameters Maintenance screen. Refer the topic <i>Maintain System Parameters</i> for further information.
Initials	<i>Alphanumeric; 10 Characters; Optional</i> The system uses the first character in the First Name and Middle Name of the Unit Holder and displays it as Initials. You can however, change the initials if required. Consider the investors with names Lee-Ann Burrows and Shawn David James Burrows. The table below illustrates how the system arrives at the Initials for the above two names: For more information about Investor examples, refer Investor Examples.
Minor	<i>Optional</i> Select Yes to indicate that the investor is a minor. If so, you must specify the following as mandatory information for such an investor: - The date of birth for the same, in the Date of Birth field. - The name of the designated guardian, in the Guardian field. - The relationship of the designated guardian with the investor, in the Relationship field.

Table 2-4 (Cont.) Individual Details - Field Description

Field	Description
Guardian Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the designated guardian for the minor investor.
Relationship	<i>Alphanumeric; 70 Characters; Optional</i> Specify the relationship between the designated guardian and the minor investor.
Description	<i>Display</i> The system displays the description for the selected relationship status.
Sex	<i>Alphanumeric; 1 Character; Optional</i> Indicate the gender of the individual investor by choosing either the Male or Female option, as applicable. The default option displayed in this field is Male , and will be considered to be the gender of the investor if you do not select an option.
Guardian PAN/GIR No.	<i>Alphanumeric; 15 Characters; Optional</i> Enter PAN/ GIR number.
Guardian MFIN	<i>Alphanumeric; 15 Characters; Optional</i> In case the unit holder is a minor and the client country parameter is set to SHOWPANINFO for your bank, specify the MFIN details of the unit holder's guardian here.
Health Status	<i>Alphanumeric; 1 Character; Optional</i> Specify the health status. Alternatively, you can select health status from the option list. The list displays all valid health status maintained in the system.
Father/ Spouse Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the father or spouse of the individual investor.
Date of Birth	<i>Date Format; Optional (Mandatory for minor investors)</i> Specify the date of birth of the investor. Although you need not specify this as mandatory information for non-minor investors, it is recommended that you do so. You must specify the date of birth as mandatory information for investors that are minors.
Beneficiary	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the preferred beneficiary of the individual investor.
Marital Status	<i>Alphanumeric; 1 Character; Optional</i> Indicate the marital status of the individual investor by choosing either the Single or Married option, as applicable. The default option displayed in this field is Single , and will be considered to be the marital status of the investor if you do not select an option.
Marital Status Description	<i>Display</i> The system displays the description for the selected marital status.
Occupation	<i>Alphanumeric; 1 Character; Optional</i> Indicate the occupation of the individual investor by selecting the applicable option from the list provided.

Table 2-4 (Cont.) Individual Details - Field Description

Field	Description
Occupation Description	<i>Display</i> The system displays the occupation description for the selected occupation code.
A/c Operation Type	<i>Alphanumeric; 1 Character; Optional</i> Indicate the manner in which the investor wishes to operate the account, from the options in the list provided. The investor may choose to operate the account in any of the following ways: • Single • Joint • Either or Survivor If you choose the Joint option, then you must specify the name of atleast one of the preferred joint unit holders in the Joint CIF Details section in this screen. You are also allowed to specify the details of the joint account holders in the Joint UnitHolder Details screen which can be invoked by clicking the Joint UnitHolder Details hyperlink which appears once the Joint option is selected. You can modify the account operation type after authorization.
Account Operation Type	<i>Display</i> The system displays the type of account operation.
Guardian Form 60/61 Available?	<i>Optional</i> If you want Guardian Form 60/61 to be available, select Yes. Else select No.

Table 2-5 Investor Examples

First Name	Middle Name	Last Name	Initials
Lee-Ann	-	Burrows	L
Shawn	David James	Burrows	SDJ

2.2.3 Corporate Dtls Tab

This topic provides the systematic instructions to specify the company details for corporate investors in the **Unit Holder Maintenance Detail** screen.

1. On **Unit Holder Maintenance Detail** screen, click **Corporate Details** tab.

The **Corporate Details** are displayed.

Figure 2-4 Unit Holder Maintenance Detail_Corporate Details Tab

The screenshot shows the 'Unit Holder Maintenance Detail' window with the 'Corporate Dtls' tab selected. The form contains the following fields and controls:

- Top Section:**
 - Unit Holder ID, Reference Number, CIF Number (text boxes)
 - First / Company Name * (text box)
 - AMC ID * (text box with search icon)
 - AMC Description (text box with search icon)
 - Investor Type * (dropdown menu set to 'Corporate')
 - Buttons: Find UH, Find CIF, Copy CIF, Copy UH without KYC
- Navigation Bar:** Individual Dtls, **Corporate Dtls**, Contact Dtls, Client Preferences, ID Details, Bank Dtls, Intermediary Dtls, KYC Details, Document Dtls
- Corporate Details Section:**
 - Authorized Signatory 1, 2, 3 (text boxes)
 - Min No. of Signatories (text box)
 - Corporation Type (text box with search icon)
 - Description (text box)
 - Country Of Incorporation (text box with search icon)
 - Description (text box)
- Bottom Bar:** Nominee Dtls, Member Dtls, Alternate Language Dtls, Director Details, Tax Compliance, Multiple Tax Details, Subscr, Audit, Cancel

- On the **Corporate Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 2-6 Corporate Details - Field Description

Field	Description
Authorized Signatory 1, 2 and 3	<i>Alphanumeric; 105 Characters; Optional</i> Specify the names of any authorized signatories that must be deemed as valid for the company.
Minimum No of Signatories	<i>Numeric; 22 Characters; Optional</i> Specify the minimum number of signatories.
Corporation Type	<i>Alphanumeric; 3 Characters; Optional</i> Select the type of the corporation that the company is to be deemed, from the list provided.
Description	<i>Display</i> The system displays the description for the selected corporation type.
Country of Incorporation	<i>Alphanumeric; 3 Characters; Optional</i> Specify the incorporation country from the adjoining option list. Note: After you have specified the details in this section for a corporate investor, all your specifications will be lost if you change the investor type from Corporate to Individual .
Description	<i>Display</i> The system displays the description for the selected country code.

2.2.4 Contact Dtls Tab

This topic provides the systematic instructions to specify the contact details for corporate investors in the **Unit Holder Maintenance Detail** screen.

You can specify at least two addresses, and designate one as the default mailing address to be used for correspondence with the investor, and the other as the alternate address.

Specify the default address under the **Correspondence Address** tab, and the alternate address under the **Alternate Address** tab. You can also maintain the SWIFT Address for the unit holder, in the **SWIFT Address** tab.

1. On **Unit Holder Maintenance Detail** screen, click **Contact Details** tab.

The **Contact Details** tab is displayed.

Figure 2-5 Unit Holder Maintenance Detail_Contact Details Tab

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

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

Table 2-7 Contact Details - Field Description

Field	Description
Correspondence Address Section	The following fields comprise the correspondence address information, in the Correspondence Address section.
Address Lines 1-2	<i>Alphanumeric; 105 Characters; Mandatory</i> Specify the default postal address that is to be used for correspondence with the investor.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the city of residence of the investor. You can select the city from the drop down list provided. The available options depend on the values defined at the PARAMS Maintenance . If the city is not available in the list, you can specify the city in the field provided alongside. The list of cities available in the system will be a one time upload into the system.
US State	<i>Optional</i> You can select one of the two values from the drop-down list: • Yes • No If you select Yes, then only the system can accept US state code in State . If you select No, then system can accept any value for State . By default, the system displays No.

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

Field	Description
State	<i>Alphanumeric; 80 Characters; Optional</i> Specify the state in which the city of residence of the investor is located. You can select the state of residence from the drop down list provided. The available options depend on the values defined at the PARAMS Maintenance . If the state is not available in the list, you can specify the city in the field provided alongside.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Select the country in which the investor is domiciled, from the drop-down list. When you specify the address of the investor, the country (if any) indicated in the address is displayed here by default.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialing code.
Telephone 1	<i>Alphanumeric; 60 Characters; Optional</i> Enter the contact telephone numbers of the investor.
Zip Code	<i>Alphanumeric; 10 Characters; Optional</i> Specify the zip code of the specified city of residence of the investor.
E-Mail	<i>Alphanumeric; 255 Characters; Optional</i> Specify the E-mail address of the investor.
Contact Person	<i>Alphanumeric; 160 Characters; Optional</i> For corporate investors, enter the name of the contact person at the unit holder office.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialing code.
Telephone 2	<i>Alphanumeric; 60 Characters; Optional</i> Enter the contact telephone numbers of the investor.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialing code.
Cell Phone Number	<i>Numeric; 60 Characters; Optional</i> Specify the cell phone number of the investor.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialing code.
Fax Number	<i>Numeric; 60 Characters; Optional</i> Specify the fax number of the investor.
Alternate Address Section	The Alternate Address section captures the same details as the Correspondence Address tab. However, you can specify a date range within which the alternate address would be in effect.
Address Line 1-2	<i>Alphanumeric; 105 Characters; Mandatory</i> Specify the default postal address that is to be used for correspondence with the investor.

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

Field	Description
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the city of residence of the investor. You can select the city from the drop down list provided. The available options depend on the values defined at the PARAMS Maintenance. If the city is not available in the list, you can specify the city in the field provided alongside. The list of cities available in the system will be a one time upload into the system.
US State	<i>Optional</i> You can select one of the two values from the drop-down list: • Yes • No If you select Yes, then only the system can accept US State code in State. If you select No, then system can accept any value for State. By default, the system displays No.
State	<i>Alphanumeric; 80 Characters; Optional</i> Specify the state in which the city of residence of the investor is located. You can select the state of residence from the option list provided. The available options depend on the values defined at the PARAMS Maintenance. If the state is not available in the list, you can specify the city in the City field provided alongside.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Select the country in which the investor is domiciled, from the option list.
Zip Code	<i>Alphanumeric; 10 Characters; Optional</i> Specify the zip code of the specified city of residence of the investor.
Effective From Date	<i>Date Format, Optional</i> Specify the date that marks the beginning of the period for which the specified alternate address is in effect.
Effective To Date	<i>Date Format, Optional</i> Specify the date that marks the end of the period for which the specified alternate address is in effect.
E-Mail	<i>Alphanumeric; 255 Characters; Optional</i> Specify the E-mail address of the investor.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialing code.
Telephone 1	<i>Alphanumeric; 60 Characters; Optional</i> Enter the contact telephone numbers of the investor.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialing code.
Telephone 2	<i>Alphanumeric; 60 Characters; Optional</i> Enter the contact telephone numbers of the investor.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialing code.

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

Field	Description
Fax Number	<i>Alphanumeric; 60 Characters; Optional</i> Enter the fax number of the investor.
SWIFT Address Section	The following fields comprise the SWIFT address information, in the SWIFT Address section.
Address Lines 1-2	<i>Alphanumeric; 105 Characters; Optional</i> Enter the SWIFT address of the investor. You can enter up to 4 lines of address information.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the city of the SWIFT address for the investor.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Specify the country of the SWIFT address for the investor.
Country Name	<i>Display</i> The system displays the name of the country for the selected country code.
BIC Code	<i>Alphanumeric; 16 Characters; Optional</i> Specify the Bank Identifier Code (BIC) of the investor.

2.2.5 Client Preferences Tab

This topic provides the systematic instructions to specify the client preferences for corporate investors in the **Unit Holder Maintenance Detail** screen.

1. On **Unit Holder Maintenance Detail** screen, click **Client Preferences** tab.
The **Client Preferences** details are displayed.

Figure 2-6 Unit Holder Maintenance Detail_Client Preferences Tab

The screenshot displays the 'Unit Holder Maintenance Detail' screen with the 'Client Preferences' tab selected. The 'Mandatory' section contains the following fields:

- Preferred Currency ***: Searchable text field.
- Base Currency Desc**: Text field.
- A/C Statement Currency ***: Searchable text field.
- Accnt Stmt Currency**: Text field.
- A/C Statement Frequency ***: Searchable text field.
- Account Statement Frequency**: Text field.
- A/c Type ***: Searchable text field.
- Account Type**: Text field.
- NRI**: Dropdown menu with 'No' selected.
- Nationality ***: Searchable text field with 'RSA' entered.
- Nationality**: Text field with 'SOUTH AFRICA' entered.
- Country Of Domicile ***: Searchable text field.
- Country Of Domicile Description**: Text field.
- Preferred Language ***: Searchable text field with '1033' entered.
- Preferred Language Desc**: Text field with 'English(United States)' entered.
- Resident Status ***: Searchable text field with 'R' entered.
- Redemption Payment ***: Searchable text field with 'T' entered.
- Redemption Pymt Default**: Text field with 'Transfer' entered.
- Dual Nationality**: Searchable text field.
- Dual Nationality Description**: Text field.
- Substantial Stay in US**: Dropdown menu with 'No' selected.
- Investor Risk Level**: Searchable text field.
- Investor Risk Level Description**: Text field.
- Risk Expiry Date**: Date field with 'YYYY-MM-DD' placeholder.

At the bottom, there are navigation buttons: < Nominee Dtls Member Dtls Alternate Language Dtls Director Details Tax Compliance Multiple Tax Details Subscr > Audit Cancel.

2. On the **Client Preferences** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 2-8 Client Preferences - Field Description

Field	Description
Preferred Currency	<i>Alphanumeric; 3 Characters; Optional</i> Select the currency in which the investor prefers to transact with the AMC from the list. The preferred currency is the currency in which the investor or unit holder prefers to make any payments involving transactions or receive any dividend income payments. The currency you select here will be deemed as the default currency for all payments from or to the investor. If the Payment Mode chosen is Transfer, the system allows you to successfully save the unit holder details only if you maintain a bank account for the preferred currency or multi-currency. You can also choose Fund Base Currency (FBC) as your preferred currency (for unit holders only). In this case, you will be allowed to proceed with saving unit holder details without maintaining an account for FBC. You can save transactions for unit holders with FBC as preferred currency, but these transactions will be marked incomplete. You can complete such transactions by specifying unit holder Bank details for the unit holder and for the transactions (in the Payments Details section). The system processes payments on the basis of the currency for each fund for the FBC option. In case an account exists for the FBC, the system picks it up for payments or else it picks up the default multi-currency account for the unit holder. If neither is available, the system displays an error message. The investor can, if need be, choose to transact in a currency different from the one you specify here, for any transaction. Note: When you specify the country in which the investor is domiciled, in the Country of Domicile field, the currency associated with the specified country is retrieved from the Country Currency Maintenance record in the system and displayed in this field by default. If you do not select any currency here, then the displayed default currency will be deemed as the preferred currency for the investor.
Base Currency Desc	<i>Display</i> The system displays the description for the selected base currency.
A/C Statement Currency	<i>Alphanumeric; 3 Characters; Optional</i> Select the currency for account statements for the investor, from the drop-down list. If you do not make any selection, this will be deemed as the account statement currency for the unit holder.
Accnt Stmt Currency	<i>Display</i> The system displays the account statement currency for the selected account statement currency.

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
A/C Statement Frequency	<i>Alphanumeric; 1 Character; Mandatory</i> Select the frequency at which the investor wishes to receive periodic statement of accounts from the AMC. This could be: • Monthly • Daily • Yearly • Half-Yearly • Bi-Weekly • Quarterly • Weekly
Account Statement Frequency	<i>Display</i> The system displays the account statement frequency.
A/C Type	<i>Alphanumeric; 2 Characters; Optional</i> Specify whether the account is to be a Voluntary account or a Retired account. Once authorized, this field cannot be modified from the list.
Account Type	<i>Display</i> The system displays the type of account for the selected account type.
Preferred Mailing Mode	<i>Alphanumeric; 2 Characters; Mandatory</i> Select the mailing mode in which the investor prefers to receive correspondence from the AMC from the list. If you wish to suppress the printing of contract notes in respect of the unit holder during execution of End of Day processes, you must select the File option in this field.
Preferred Mailing Mode Description	<i>Display</i> The system displays the description for the selected preferred mailing mode.
NRI	<i>Optional</i> Select if the investor is NRI or not from the drop-down list. The list displays the following values: • Yes • No
Nationality	<i>Alphanumeric; 15 Characters; Mandatory</i> Select the nationality of the investor for whom you are creating the account from the list. When you specify the country in which the investor is domiciled, in the Country of Domicile field, the nationality of the specified country is displayed in this field by default. If you do not make any selection in this field, then the displayed default nationality will be deemed as the nationality of the investor.
Nationality	<i>Display</i> The system displays the nationality description.
Country of Domicile	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the country where the investor is domiciled from the list provided. If you do not make a selection, then this default Country of Domicile is reckoned for the investor account in the database.

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
Country Of Domicile Description	<i>Display</i> The system displays the description for the selected Country of Domicile .
Preferred Language	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the language preferred by the investor for correspondence and communication from the list.
Preferred Language Desc	<i>Display</i> The system displays the description for the selected preferred language.
Resident Status	<i>Alphanumeric; 1 Character; Mandatory</i> Indicate whether the investor resides in the selected country of domicile or not, by selecting either the Resident or the Non-Resident option.
Resident Status	<i>Display</i> The system displays the description for the selected resident status.
Redemption Payment	<i>Alphanumeric; 1 Character; Optional</i> Select the default mode of payment that is to be used for paying out the proceeds of any redemption transactions for the investor. The two modes of payment supported in the system are: • Check • Transfer
Redemption Pymt Default	<i>Display</i> The system displays the description for the selected redemption payment.
Dual Nationality	<i>Alphanumeric; 3 Characters; Optional</i> Select the dual nationality from the adjoining option list.
Dual Nationality Description	<i>Display</i> The system displays the description for the selected dual nationality.
Substantial Stay in US	<i>Optional</i> Indicate your Substantial Stay in US from the adjoining drop-down list. The options available are: • Yes • No

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
Investor Risk Level	<i>Numeric; 3 Characters; Optional</i> Select the Investor Risk Level from the option list. Alternatively, you can select Investor Risk Level from the option list. The system displays all valid Investor Risk Level maintained in the system. If investor with any risk level (including null) tries to invest in a fund with Restricted fund as Yes, then the system will display warning message as Fund is restricted for investment from selected transaction type/ref type combination. The error message will be displayed based on Restriction applicable field, based on ref types mapped into Fund Restriction screen. Note: You can configure Fund risk level and investor risk level at PARAMS Maintenance for FUNDRISKPROFILE and INVRISKPROFILE param codes respectively. The system will validate the fund risk for an investor in Investor Fund Risk Rating Mapping screen. This validation is also applied to electronic deals (bulk upload/ SWIFT/gateway), light weight screens and bulk transaction screens. For light weight screen and bulk upload, the warning/ error messages will be logged and cannot be viewed on the screen. The warning messages will be generated during the Save, Edit and Modify operations for the transactions captured manually. If the SI ref type is mapped, the system will generate warning message on the RSP transaction while saving. During authorization, the warning messages will appear for confirmation and the checker will have to accept the warnings to complete the transaction authorization.Note: The above validations are also applicable for transactions that are uploaded through FCIS Bulk Upload, SWIFT and gateway services.(Create/ Modify for IPO Subscription/ Subscription/ Switch/ Transfer).
Investor Risk Level Description	<i>Display</i> The system displays the description for the selected investor risk level.
Risk Expiry Date	<i>Date Format; Optional</i> Select the expiry for the risk rating captured for the UH from the adjoining calendar. When investor or guardian of minor account reaches 70 years old, the system will automatically update investor risk level to '10' ['conservative/ low'] and expiry date field will not be updated. This check and risk profile updating will be handled by a BOD batch job. This job will be sequenced before SI generation job. Age at which the risk profile defaults to 10 is configurable in Parameter Maintenance Screen with Param Code as RISKPROFILEEXPIRYAGE. This job for resetting risk profile can be scheduled as part of mini EOD for the required AMC's also. When expiry date is crossed, the system will consider the investor risk level as 10 [Low] irrespective of the investor risk level maintained. The system will not update the investor risk level field to 10 [Low] in this case.
Latest Assessment Date	<i>Date Format; Optional</i> Select the date on which investor risk profile was last assessed from the adjoining calendar.

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
Check Writing Facility	<i>Optional</i> You can use this field to indicate that the investor is allowed to avail check writing facility on any funds of the AMC in which the investor holds unit balances. Typically, in money market funds, investors could be issued deposit slips for subsequent purchases. They could also write checks to any external entity/ individual, which are reckoned as redemption from the investor account, when produced by the external entity individual, to the AMC.
Telephone Redemption	<i>Optional</i> Select Yes to indicate that telephonic requests from the investor for redemption transactions must be accepted.
Telephone Switch	<i>Optional</i> Select Yes to indicate that telephonic requests from the investor for switch transactions must be accepted. Note: If you select both Telephone Redemption and Telephone Switch fields as Yes, then the system will accept redemption and switch transaction requests with telephone as the means of purchase.
Registration Type	<i>Alphanumeric; 2 Characters; Optional</i> For investors requesting NSCC or Wire Order transactions, indicate whether the registration of certificates issued, if any, must be in the investor's name (Individual Name) or registration name specified for the broker dealer (Street Name).
Registration Type Desc	<i>Display</i> The system displays the description for the selected registration type.
Place of Birth	<i>Alphanumeric; 80 Characters; Optional</i> Enter the place of birth of the investor. This is mandatory if you have not specified the Tax ID.
Dispatch Date	<i>Date Format; Optional</i> Enter the dispatch date.
Trail Commission Preference	<i>Optional</i> Select the trail commission preference from the drop-down list. The list displays the following values: • Payout • Reinvestment

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
Preferred Fund ID for Redemption	<i>Alphanumeric; 6 Characters; Optional</i> The fund you select in this field will be the one from which management fee will be recovered and into which any incentives will be credited. When an incentive is being credited, the system will first consider the fund you have selected here, in the field Preferred Fund ID. If you have selected a fund here, the incentive will be credited into this fund. If you have not selected a fund, the incentive will be credited into the fund for which a fund-load mapping has been done. Consider the following cases during the redemption of a fee: Case 1 – Periodic Fee maintained at the product level If the periodic load is maintained at the product level, redemption will happen from the fund indicated here, only if the fund has sufficient balance. If the fund does not have sufficient balance, the system will consider the funds that you have selected through the Management Fee Applicability screen. For further information on the Management Fee Applicability screen, refer topic <i>Management Fee</i> in the <i>LEP User Manual</i>. Case 2 – Period Fee maintained at the fund level If the periodic load is maintained at the fund level, the redemption will happen in the following manner: The system will first consider the fund you have selected here, in the field Preferred Fund ID. If there is sufficient balance, the redemption will happen from this fund. If the balance is not sufficient, or you have not selected a fund (this field being optional), the system will consider the fund for which a fund-load mapping has been done. If there is sufficient balance in this fund, the redemption will be carried out from this fund. If, in this fund, the balance is not sufficient, the system will carry out the redemption from any other fund that the Unit Holder has invested into, in the appropriate ratio. The funds, from which the fee amount is redeemed, may not be in the same currency. If the funds have different base currencies, the mid rate will be used as the exchange rate to arrive at the amount to be redeemed, in the fee currency. Note: If the fee needs to be accrued in a certain currency, the transaction will need to be generated in the same currency. Hence, if the base currency of a certain fund is not that particular currency and it does not allow any transaction in that currency, the fund will not be considered for redemption of the fee amount. This can be illustrated with the following example: Example The base currency of the fund where the fee is accrued is RAND. After apportioning, the system will generate a redemption transaction in three funds with base currency and the restrictions as follows: F1: Base Currency – RAND; Allowed Currencies: RAND, USD and GBP F2: Base Currency – USD; Allowed Currencies: USD, INR and GBP F3: Base Currency – GBP; Allowed Currencies: USD and GBP In this case since the fee is accrued in RAND, the redemption transactions need to be generated in RAND. In the above case, F2 does not allow a RAND transaction. The system in such a case will raise an error.

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
Transaction Delivery Preferences	<i>Alphanumeric; 1 Character; Optional</i> Select the transaction delivery preferences from the option list.
Cert Delivery Preference	<i>Display</i> The system displays the certificate delivery details for the selected transaction delivery preferences.
Registration Name	<i>Alphanumeric; 50 Characters; Optional</i> For street name registrations, specify the registration name to be displayed on the certificates. Typically, this is the dealer name of the corresponding broker dealer.
Pay by FEDWIRE / ACH	<i>Optional</i> Select Yes to indicate that payment by FEDWIRE or ACH is to be accepted for the investor.
Apply Indexation on CGT?	<i>Optional</i> You can use this field to indicate whether indexation is to be applied on capital gains tax computation, for the investor. Select this option to indicate application of indexation. Leave it unchecked to indicate that indexation is not applicable. To indicate application of indexation, you must also specify it as applicable for the capital gains load, when you associate the load with a fund in the Fund Load Setup. Indexation is applied only if it is specified both in this Unit Holder New Account screen (for the investor's profile) as well as in the Fund Load Setup, for the fund.
Country of Birth	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of birth of the investor. This is mandatory if you have not specified the Tax ID from the list.
Country of Birth Description	<i>Display</i> The system displays the description for the selected country code.
Returned Date	<i>Date Format; Optional</i> Enter the returned date.
All Signatories Sign Required	<i>Mandatory if check writing is allowed</i> For joint accounts in which the unit holder is availing the check-writing facility, use this field to indicate whether the signatures of all joint unit holders must be required on issued checks.
ROA Investor	<i>Optional</i> Select Yes to indicate that the investor prefers to avail of the Rights of Accumulation (ROA) facility.
Country Type	<i>Alphanumeric; 1 Character; Optional</i> Specify the country type. The adjoining option list displays all valid county codes maintained in the system. You can choose the appropriate one.
Country Type Description	<i>Display</i> The system displays the description for the selected country type code.

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
Campaign Code	<i>Alphanumeric; 6 Characters; Optional</i> You can link the campaign to the unit holder. Specify the campaign to be mapped. You can also select the campaign code from the option list. The campaign codes with the start and the end date in between the unit holder account opening date is displayed in the option list. You can modify the campaign even after the authorisation.
Stop Account	The section displays the following fields.
IRS Notification on A/C	<i>Alphanumeric; 10 Characters; Mandatory</i> Specify IRS notification details on account. The adjoining option list displays all valid IRS Notification ID maintained in the system. You can choose the appropriate one.
IRS Notification	<i>Display</i> The system displays the description for the selected IRS Notification ID.
Stop Code	<i>Alphanumeric; 25 Characters; Optional</i> Specify the Stop Code . The adjoining option list displays all valid stop code maintained in the system. You can choose the appropriate one. If multiple stop codes are mapped to the unit holder, the highest stop account restriction will be considered for the unit holder status and the system will display the warning message as Unit Holder is mapped with the stop account code at transaction level.
Stop Code Description	<i>Display</i> The system displays the description for the selected stop code.
Stop Account Reason	<i>Alphanumeric; 255 Characters; Optional</i> Specify the reason for stopping an account.
Stop Account Effective Date	<i>Date Format; Optional</i> Specify the effective date to stop an account. The stop code effective date can be a future dated. However, the system will validate only those stop codes which has the effective date less than or equal to the application date and lesser than release date for current transactions. The system will not validate the stop codes which has effective date greater than the application date. For backdated transactions, - In case of single stop code for the UH, the system will pick up the stop account restriction applicable for that period of time. However, in case of multiple stop codes, based on the transaction type (whether IPO, Subscription, Redemption etc), the system will check each bit for the respective stop codes available for that time and will take the highest preference stop account restriction. - For both single and multiple stop codes, the system will pick up the stop account restriction if the transaction date is greater than or equal to the stop account effective date but less than the stop account release date. The system will not allow you to add any stop code effective date for the backdated and display an error message as Stop Code effective date cannot be a backdated.

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
Stop Account Release Date	<i>Date Format; Optional</i> Specify the stop account release date. Note: Stop code will remain available in the system and will not be made to null.
Stop Account	<i>Optional</i> Select stop account status from the adjoining drop-down list. Following are the options available: • Yes • No
Stop Account Restrictions	<i>Display</i> The stop account restrictions box gets populated with according to the stop code mapped to UH.
Client Communication Restrictions	The section displays the following fields.
Contract Notes	<i>Optional</i> Select if contract notes are applicable or not from the adjoining drop-down list. Following are the options available: • Applicable • Not Applicable
Account Statement	<i>Optional</i> Select if account statement is applicable or not from the adjoining drop-down list. Following are the options available: • Applicable • Not Applicable
Communication Mode Restrictions	The section displays the following fields.
Communication Mode	<i>Alphanumeric; 2 Characters; Optional</i> Specify the communication mode. The adjoining option list displays all valid communication mode maintained in the system. You can choose the appropriate one. For communication mode, the system will restrict the param value to the length of 2 characters. The system will validate the applicable communication mode in UH screen against the communication mode in the transaction screen.
Communication Mode Description	<i>Display</i> The system displays the description for the selected communication mode.

Table 2-8 (Cont.) Client Preferences - Field Description

Field	Description
Restriction	<i>Optional</i> Select if restriction is applicable or not from the adjoining drop-down list. Following are the options available: • Applicable • Not Applicable Once the communication mode is restricted, the system will not allow you to enter the trades using the specific communication mode including uploads and will display an error message as The communication mode is restricted for the UH. If you try to map the restricted communication mode again to the UH then the system will display an error message as Communication mode is already restricted for the UH. If you try to capture the transaction for the UH where the defined communication mode is restricted, then the system will display an error message as Communication mode is restricted for the UH.
Beneficiary Payout	You can direct redemption and dividend proceeds to beneficiaries by specifying the following preferences
Redemption Payout	<i>Optional</i> Check this option to indicate that the proceeds of a redemption transaction should be transferred to the beneficiaries mentioned. If you select this option, you need to maintain a minimum of one beneficiary along with the percentage to be awarded for the beneficiary in the Beneficiary Dtls screen. It is also essential that the beneficiary be an existing Unit Holder and not a third party beneficiary.
Dividend Payout	<i>Optional</i> Check this option to indicate that dividends should be transferred to the beneficiaries specified. If you select this option, you need to maintain a minimum of one beneficiary along with the percentage to be awarded for the beneficiary in the Beneficiary Dtls screen. It is also essential that the beneficiary be an existing unitholder and not a third party beneficiary. When you have multiple beneficiaries for a payout (dividend or redemption), you can amend the percentage to be given to each, as and when required. If the total percentage awarded to the beneficiaries does not add up to 100%, the remaining payout will be done to the primary unitholder. The amount paid out to the beneficiary will be net of withholding tax, which will be derived on the basis of the tax for the unitholder – Beneficiary Country combination.

2.2.6 ID Details Tab

This topic provides the systematic instructions to specify the ID details for corporate investors in the **Unit Holder Maintenance Detail** screen.

You can specify details of any identification provided by the investor. You also indicate the applicability of tax being deducted at source for the investor and the required tax details.

1. On **Unit Holder Maintenance Detail** screen, click **ID Details** tab.

The **ID Details** are displayed.

Figure 2-7 Unit Holder Maintenance Detail_ID Details Tab

Unit Holder Maintenance Detail

Save

Identification

Identification Type *

Description

Identification Number *

Date of Issue

Date of Expiry

EUSD Options

Place of Issue *

Place Of Issue Description

UH BIC Code

Recover CGT?

Tax

Tax ID

Tax Deducted at * Source

Tax Certificate Effective Date

Tax Certificate Expiry Date

Form 60/61 Available?

Tax Exempted

Tax Circle

MFIN

US Indicia Available

FATCA Status

Secondary Identification

Secondary Identification Type

Secondary Identification Description

Secondary Identification Number

Date Of Issue

Date Of Expiry

Place Of Issue

Place Of Issue Description

MIFID Applicability

MIFID Classification

MIFID Classification Description

< Nominee Dtls Member Dtls Alternate Language Dtls Director Details Tax Compliance Multiple Tax Details Subscr >

Audit Cancel

- On the **ID Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 2-9 ID Details - Field Description

Field	Description
Identification Type	<i>Alphanumeric; 20 Characters; Mandatory</i> Select the type of identification that is being provided by the investor from the list. The identification type is the mode in which the unit holder will furnish an identification document or proof, and could be a Personnel ID, License, Birth Certificate, etc. This is used for identifying the unit holder during all subsequent transactions. You can capture NRIC Number as the identification type for a unit holder account. If you have selected NRIC Number as the Identification Type for the account, you can specify the applicable NRIC Number as the Identification Number. Once authorized, this field cannot be modified.
Description	<i>Display</i> The system displays the description for the selected identification type.
Identification Number	<i>Alphanumeric; 50 Character; Mandatory</i> Specify the number or ID of the identification document or proof that is furnished by the unit holder. Once authorized, this field cannot be modified.
Date of Issue	<i>Date Format, Optional</i> Specify the date of issue of the identification document or proof that is furnished by the unit holder. The date of issue that you specify here must not be later than the date of opening the account.
Date of Expiry	<i>Date Format; Optional</i> Specify the date of expiry of the identification document or proof. It must be later than the date of issue and the application date.

Table 2-9 (Cont.) ID Details - Field Description

Field	Description
EUSD Option	<i>Optional</i> Select the European Union Savings Directive (EUSD) option from the drop-down list. The list displays the following values: • With Holding Tax • Exchange of Information • Tax Exemption Certificate Note: If EUSD option is not applicable at the segment level, then you will not be allowed to specify any option here.
Place of Issue	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the place of issue of the identification type from the option list. Once authorized, this field cannot be modified.
Place of Issue Description	<i>Display</i> The system displays the description for the selected place of issue.
UH BIC Code	<i>Display</i> The system displays the Bank Identification Code (BIC) of the unit holder, in case of financial institutional unit holders.
Recover CGT?	<i>Optional</i> Select Yes option, if the tax on capital gain has to be deducted from the transaction (Redemption, Transfer and Switch).
FATCA Classification	<i>Display</i> If the ID selected is an existing entity in the system then system displays FATCA Classification type.
Description	<i>Display</i> The system displays the description of FATCA classification.
Tax ID	<i>Alphanumeric; 50 Characters; Optional (Mandatory if tax is specified to be deducted at source)</i> Specify the tax identification number or tax ID for the investor. You can use this field to capture the PAN number of the unit holder. For any transactions entered into by the unit holder in any fund, which involve volumes that exceed the minimum amount for Tax ID specified in the fund rules, the system validates the availability of the PAN number.
Tax Deducted at Source	<i>Mandatory</i> Select Yes to indicate that tax must be deducted at source for the investor. If you select Yes at source, then you must specify the following mandatory information: • The tax ID of the investor, in the Tax ID field. • The tax circle that corresponds to the investor, in the Tax Circle field. • The tax category that corresponds to the investor, in the Category field.
Tax Certificate Effective Date	<i>Date Format; Optional</i> Specify the date from when the tax certificate is effective.
Tax Certificate Expiry Date	<i>Date Format; Optional</i> Specify the date on which the tax certificate expires. It is mandatory for you to specify the expiry date if you chosen Tax Exemption Certificate as the EUSD option.

Table 2-9 (Cont.) ID Details - Field Description

Field	Description
Form 60/ 61 Available?	<i>Optional</i> If form 60/ 61 is available, select Yes. Else select No.
Tax Exempted	<i>Optional</i> You can use this field to indicate that the investor is the recipient of a special exemption from tax. Check this box to indicate such an exemption. If you have maintained any tax details for such an investor, they will be disabled, and not used.
Tax Circle	<i>Alphanumeric; 15 Characters; Optional (Mandatory if tax is specified to be deducted at source)</i> Specify the tax circle to which the unit holder belongs.
MFIN	<i>Alphanumeric; 15 Characters; Optional</i> Specify the MFIN details of the unit holder, provided the client country parameter is set to SHOWPANINFO for your bank. You will however not be allowed to enter the MFIN details if the unit holder is a minor.
US Indicia Available	<i>Display</i> The system defaults US Indicia Available as Yes or No depending on the following: • The nationality is US • The dual nationality is US • The country of birth is US • The country of domicile is US • The country of incorporation is US • The substantial stay in US is true • The country of correspondence or alternate address is US • The country code of the telephone number is 01 • The country code of the bank branch address is US
FATCA Status	<i>Display</i> The system displays the FATCA status based on the FATCA maintenance. On authorization, the system will validate all FATCA related validations and update the FATCA status accordingly, provided, the FATCA client country is Yes.
FATCA DiMinimus Check	<i>Display</i> The system checks this field for investors having US Indicia but whose investments are below a certain maintainable threshold amount. This field will be unchecked for investors having US Indicia but whose investments are above a certain maintainable threshold amount. FATCA DiMinimus batch will check and uncheck this field.
Secondary Identification Type	<i>Alphanumeric; 12 Characters; Optional</i> Specify the secondary identification type. you can also select the valid secondary identification details from the adjoining option list.
Secondary Identification Description	<i>Display</i> The system displays the description for the selected secondary identification type.
Secondary Identification Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the secondary identification number.

Table 2-9 (Cont.) ID Details - Field Description

Field	Description
Date of Issue	<i>Date Format; Optional</i> Specify the date of issue of the second identification document or proof that is furnished by the unit holder. The date of issue that you specify here must not be later than the date of opening the account.
Date of Expiry	<i>Date Format; Optional</i> Specify the date of expiry of the second identification document or proof. It must be later than the date of issue and the application date.
Place of Issue	<i>Alphanumeric; 3 Characters; Optional</i> Specify the place of issue of the second identification type. You can also select the valid place of issue of the identification type from the adjoining option list. Once authorized, this field cannot be modified.
Place of Issue Description	<i>Display</i> The system displays the place of issue description for the selected place of issue.
MIFID Applicability	<i>Optional</i> Select the MIFID applicability status from the drop-down list. The list displays the following values: • Yes • No
MIFID Classification	<i>Alphanumeric; 2 Characters; Optional</i> Specify the MIFID classification details.
MIFID Classification Description	<i>Display</i> The system displays the description for the selected MIFID classification.

2.2.7 Bank Dtls Tab

This topic provides the systematic instructions to specify the bank details for corporate investors in the **Unit Holder Maintenance Detail** screen.

You can specify any number of preferred bank accounts for an investor, for each currency, but you must designate one of these to be used by the investor as the default bank account for making or receiving payments for a combination of payment mode, transaction type, fund Id and transaction currency.

You can also specify the bank details for a combination of payment mode, fund, transaction type and currency for each unit holder maintained in the system. In addition, you can also maintain the routing details for the combination.

During transaction entry, the payment bank details to be used for the unit holder will be picked up based on the combination of payment mode, fund, transaction type and transaction currency.

1. On **Unit Holder Maintenance Detail** screen, click **Bank Dtls** tab.

The **Bank Details** are displayed.

Figure 2-8 Unit Holder Maintenance Detail_Bank Details Tab

The screenshot displays the 'Unit Holder Maintenance Detail' window with the 'Bank Dtls' tab active. The form includes the following fields and controls:

- Save** button at the top left.
- Tabbed menu: Account Details, Individual Dtls, Corporate Dtls, Contact Dtls, Client Preferences, ID Details, **Bank Dtls**, Intermediary Dtls, KYC Details, Docu.
- Navigation: 1 of 1, +, -
- Fund ID**: Text input with a search icon.
- Default ***: Dropdown menu with 'Yes' selected.
- Transaction Type**: Text input with a search icon.
- Direct Debit Applicable**: Dropdown menu with 'No' selected.
- Bank ***: Text input with a search icon.
- Branch ***: Text input with a search icon.
- Bank Details** and **Routing Details** expandable sections on the left.
- Bottom navigation: < Nominee Dtls Member Dtls Alternate Language Dtls Director Details Tax Compliance Multiple Tax Details Subscr >
- Audit** and **Cancel** buttons at the bottom right.

- On **Bank Dtls** tab, specify the fields.

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

Table 2-10 Bank Dtls - Field Description

Field	Description
Fund ID	<i>Alphanumeric; 6 Characters; Optional</i> Select the ID of the fund.
Transaction Type	<i>Alphanumeric; 3 Characters; Optional (Mandatory if Fund ID is specified)</i> Specify the type of transaction. Alternatively, you can select the transaction type from the option list. The list displays all valid transaction type maintained in the system. Note: - If no IDs is maintained for the Unit Holder, then system will take the banking instructions for dividend payment maintained at Unit Holder Maintenance Detail screen (UTDUH). - If no Dividend Payment banking instructions is maintained for the Unit Holder in Unit Holder Maintenance Detail screen (UTDUH) then the system will take the banking instructions for All transaction types/funds.
Bank	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the name of the bank in which the account is held from the list.
Branch	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the name of the branch of the bank in which the account is held from the list.

Table 2-10 (Cont.) Bank Dtls - Field Description

Field	Description
Default	<i>Mandatory</i> Use this check box to identify the bank account that is to be reckoned as the default bank account for the investor in the system. In the desired row, check this box. Note: For HSBC customers, accounts for a specific currency and payment type combination can be marked as default accounts only if they are maintained for All funds and All transaction types. Also, for a currency where the default has already been specified, other accounts maintained for specific funds and specific transaction types for the same currency cannot be designated as the default account for that currency. In case the default account for a particular payment type and currency combination has not been maintained and you designate an account maintained for a specific fund and transaction type as the default account, the system displays the following message (at the time of saving unit holder details) Default accounts can be maintained only for fund All and transaction type All. For Default Account Maintenance for various Currency and Payment Type, refer to the table Table 2-11.
Direct Debit Applicable	<i>Optional</i> Select Yes to indicate if whether direct debits are allowed for the account.
Bank Details	The section displays the following fields.
Account Type	<i>Alphanumeric; 1 Character; Mandatory</i> Select the nature of the account held by the investor from the list. The list provides all account types that have been set up in the Account Type Maintenance records.
Account Type Description	<i>Display</i> The system displays the description for the selected account type.
Account Number	<i>Alphanumeric; 34 Characters; Mandatory</i> Specify the number of the account held by the unit holder in the selected bank.
Payment Type	<i>Optional</i> You can select the payment type whether it is Self or Third Party from the drop-down list.
Last Name	<i>Alphanumeric; 105 Characters; Optional</i> If you select the Account Category field as Self then the Last Name and Initials will be defaulted.
Identification Type	<i>Alphanumeric; 20 Characters; Optional</i> Select the identification type from the option list.
Identification Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the identification number of the identification type.
Relationship	<i>Alphanumeric; 40 Characters; Optional</i> The system displays the relationship status.
Description	<i>Display</i> The system displays the description for the selected relationship status.

Table 2-10 (Cont.) Bank Dtls - Field Description

Field	Description
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the International Bank Account Number (IBAN) of the account holder. Note: If you select the Account Category field as Third Party , the system will not verify the third party bank accounts using the details such as Initials, Identification Number and so forth.
Account Name	<i>Alphanumeric; 140 Characters; Mandatory</i> Specify the name in which the investor holds the specified bank account. By default, the system reckons this to be the specified name of the unit holder, and the same is displayed here. It will be accepted into the database as the account holder's name if you do not specify any other.
Account Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the currency of the bank accounts that you are designating for the unit holder. You can maintain any number of accounts in each currency; however, you must designate one default bank account for each currency. The system also allows you to maintain Multi-Currency (MCY) accounts for unit holders/ agents. The system uses this account if payment currency account is not available. As with accounts in other currencies, you can have multiple accounts for MCY. You should, however, specify one as the default one to be used for payments.
Account Currency Description	<i>Display</i> The system displays the description for the selected account currency.
Initials	<i>Alphanumeric; 10 Characters; Optional</i> Specify the initials of the unit holder.
UH BIC Code	<i>Alphanumeric; 24 Characters; Optional</i> Specify the UH BIC Code .
Routing Details	FCIS provides the option to capture the bank routing details as well while maintaining the bank details. At the time of transaction input, the routing details specified here are picked up for the combination of fund, transaction type and transaction currency.
Swift Format	<i>Optional</i> Select the format of the Swift message from the drop-down list. The options are: • MT 103 • MT 202
Bank Charged	<i>Optional</i> Indicate whether the bank charges must be levied upon the beneficiary, the emitter or must be shared between the two.
Beneficiary Account Category	The section displays the following fields.
Beneficiary	<i>Alphanumeric; 35 Characters; Optional</i> Specify the beneficiary details.
Beneficiary Address1-3	<i>Alphanumeric; 105 Characters; Optional</i> Enter beneficiary address.

Table 2-10 (Cont.) Bank Dtls - Field Description

Field	Description
Beneficiary IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the beneficiary IBAN details.
Beneficiary BIC Code	<i>Alphanumeric; 24 Characters; Optional</i> Enter beneficiary BIC code.
Beneficiary Account Number	<i>Alphanumeric; 34 Characters; Optional</i> Enter beneficiary Account Number.
Beneficiary Code	<i>Alphanumeric; 24 Characters; Optional</i> Enter beneficiary code.
Beneficiary Info	<i>Alphanumeric; 100 Characters; Optional</i> Enter beneficiary information.
Intermediary Details	The section displays the following fields.
Intermediary	<i>Alphanumeric; 35 Characters; Optional</i> Enter the intermediary details.
Intermediary Address 1-3	<i>Alphanumeric; 105 Characters; Optional</i> Enter intermediary address.
Intermediary IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Enter intermediary IBAN details.
Intermediary BIC Code	<i>Alphanumeric; 24 Characters; Optional</i> Enter intermediary BIC code.
Intermediary Account Number	<i>Alphanumeric; 34 Characters; Optional</i> Enter intermediary account number.
Intermediary Code	<i>Alphanumeric; 24 Characters; Optional</i> Enter intermediary code.
Intermediary Info	<i>Alphanumeric; 100 Characters; Optional</i> Enter intermediary information.
Further Credit Details	The section displays the following fields.
Further Credit Name	<i>Alphanumeric; 35 Characters; Optional</i> Enter further credit name.
Further Credit Account Number	<i>Alphanumeric; 35 Characters; Optional</i> Enter further credit account number.
Reference Section	The section displays the following fields.
Reference 1-2	<i>Alphanumeric; 35 Characters; Optional</i> Enter the reference details.

Example on Default Account Maintenance for various Currency and Payment Type

Consider the following table which shows the default account maintenance for various currency and payment type combinations.

Table 2-11 Default Account Maintenance for various Currency and Payment Type

Payment Mode	Fund ID	Transaction Type	Currency	Default Account?
Transfer	ALL	ALL	HKD	Yes
Transfer	ALL	ALL	MCY	Yes
Payment Mode	Fund ID	Transaction Type	Currency	Default Account?
Transfer	Fund 1	02	HKD	No
Transfer	Fund 1	02	MCY	No

Here, for the currencies HKD and MCY and payment mode transfer, you can maintain different accounts as the default account (for the **All** funds and **All** transaction type combination).

You cannot, however, maintain the account specified for Fund 1 and Transaction type **02** as the default account for the currencies MCY and HKD and Payment mode **Transfer**.

2.2.8 Intermediary Dtls Tab

This topic explains the intermediary details tab of **Unit Holder Maintenance Detail** screen.

At the time of saving the investor's account, if the client country parameter **Verification of Bank Accounts** is applicable, the system will save the account with the status **Un-Verified**. If the client country parameter is not applicable, the account will be saved as **Verified**.

If the client country parameter **Third Party Bank Details** is applicable, the system will not allow you to capture random bank details.

In this section, specify the intermediaries (with the respective hierarchies) that will represent the investor in transactions with the AMC. You can also specify applicable commission percentages that each is to receive.

1. On **Unit Holder Maintenance Detail** screen, click **Intermediary Dtls** tab to enter the details.

The **Intermediary Dtls** are displayed.

Figure 2-9 Unit Holder Maintenance Detail_Intermediary Details Tab

Unit Holder Maintenance Detail

Save

Account Details Individual Dtls Corporate Dtls Contact Dtls Client Preferences ID Details Bank Dtls **Intermediary Dtls** KYC Details Docu >

▼ Broker Details

☐	Broker ID	Broker Name	Parent Broker Name	Split Percentage	Default	Advise Mode
☐					Yes	Select One

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▼ Intermediary

< Nominee Dtls Member Dtls Alternate Language Dtls Director Details Tax Compliance Multiple Tax Details Subscr > Audit Cancel

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

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

Table 2-12 Intermediary Dtls - Field Description

Field	Description
Broker Details Section	The section displays the following fields.
Broker ID	<i>Alphanumeric; 12 Characters; Optional</i> Select the Broker ID preferred by the investor, from the list. The corresponding information regarding the Broker Name and Parent Broker Name will automatically be populated in the adjoining fields on selection of the Intermediary. The broker can be selected by specifying the broker code or the name (or part of the name) and click on the adjacent option list. System will search for brokers with broker code or name having the given search string. In addition system will have a search option based on the legacy code in the option list.
Broker Name	<i>Display</i> The system displays the broker name for the selected Broker ID.
Parent Broker Name	<i>Display</i> The system displays the parent broker name for the selected Broker ID.
Split Percentage	<i>Numeric; 5 Characters; Mandatory if you select any broker in the Intermediary field.</i> Specify the percentage of the commission that the selected broker is entitled to receive on any transactions put through for the investor. This percentage must not exceed one hundred percent. Note: If you specify more than one broker in this section, then the split percentages for all brokers, when summed up, must not exceed or fall below one hundred percent.
Default	<i>Optional</i> Select Yes to identify the broker that is to be reckoned as the default broker for the investor in the system. In the desired row, check this box.
Advise Mode	<i>Optional</i> Select the mode of advise from the adjoining drop-down list. Following are the options available: • Select One • Independent • Advised
Intermediary Details	If the client country parameter TXNBROKERS is set to false for your installation, you can enter agent-agency branch as Intermediary. You can select at least one set of Agent, Agency branch, Account Officer and IFA combination as part of unit holder. The intermediaries maintained during unit holder creation get defaulted during Transaction, Bulk Transactions and Standing Instruction maintenance and can be overridden.
Entity Type	<i>Alphanumeric; 1 Character; Optional</i> Select the entity type that has been identified as the intermediary for the transaction.

Table 2-12 (Cont.) Intermediary Dtls - Field Description

Field	Description
Entity ID	<i>Alphanumeric; 12 Characters; Optional</i> For each Entity Type , specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field. While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.
Entity Name	<i>Display</i> The system displays the name of the entity for the selected Entity ID .
Split Percentage	<i>Numeric; 5 Characters; Optional</i> Specify the percentage of the commission that the selected intermediary is entitled to receive on any transactions put through for the investor.
Default	<i>Optional</i> Select Yes to identify the intermediary that is to be reckoned as the default intermediary for the investor in the system.
Advise Mode	<i>Optional</i> Select the advise mode from the drop-down list. The list displays the following values: • Advised Business • Independent

2.2.9 KYC Details Tab

This topic provides the systematic instructions to maintain KYC details in the **Unit Holder Maintenance Detail** screen.

Depending on the type of country marked for the investor and the investor category, Unit Holder KYC list maintained for that type of country and investor category is displayed. If you have maintained a document list for a specific country, the system defaults the documents based on the country, country type and investor category combination.

You can check the documents received from the investor and link the KYC list to the unit holder being created.

1. On **Unit Holder Maintenance Detail** screen, click **KYC Details** tab.

The **KYC Details** are displayed.

Figure 2-10 Unit Holder Maintenance Detail_KYC Details Tab

2. Click **Default KYC** button to default the KYC details.
3. On the **KYC Details** tab, specify the fields.

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

Table 2-13 KYC Details - Field Description

Field	Description
KYC Details	The section displays the following fields.
Chasing Date	<i>Date Format; Optional</i> Specify the Chasing Date . Chasing date can be backdated.
Chased By	<i>Alphanumeric; 255 Characters; Optional</i> Specify the user ID if chasing date is maintained.
Chased Method	<i>Optional</i> Select the chased method from the adjoining drop-down list. Following are the options available: • EM for E-mail • FA for FAX • TL for Telephone
Additional Comments	<i>Alphanumeric; 255 Characters; Optional</i> Specify additional comments, if any.
All the Requested KYC Documentation has been received	<i>Optional</i> Select if all the requested KYC documentation has been received or not from the adjoining drop-down list. Following are the options available: • Yes • No
KYC Purchase Limit	<i>Numeric; 30 Characters; Optional</i> Specify the KYC purchase limits.
KYC Annual Debit Order Limit	<i>Numeric; 30 Characters; Optional</i> Specify KYC annual debit order limit details.

Table 2-13 (Cont.) KYC Details - Field Description

Field	Description
Due Diligence Level	<i>Optional</i> Select due diligence level from the adjoining drop-down list. Following are the options available: • Simplified • Standard • Enhanced
Review By	<i>Alphanumeric; 255 Characters; Optional</i> Specify the details of the reviewer.
Last Reviewed Date	<i>Date Format; Optional</i> Specify the Last Reviewed Date .
Retain Trade Acknowledgements	<i>Optional</i> Check this box to retain trade acknowledgements.
Retain Contract Notes	<i>Optional</i> Check this box to retain contract notes.
Outstanding KYC requirements not to be reported on Trade Acknowledgments.	<i>Optional</i> Check this box if outstanding KYC requirements are not to be reported on trade acknowledgments.
Names Check Search	The section displays the following fields.
Options	<i>Optional</i> Select one of the options available for checking the names from the adjoining drop-down list. Following are the options available: • No Match • Yes • Yes (PEP, SCC)
Comments	<i>Alphanumeric; 255 Characters; Optional</i> Specify comments, if any. Note: Documents defaulted from KYC maintenance cannot be deleted. However, Additional documents added during UH creation can be deleted before checking the All the requested KYC documents has been received option.

4. Click the **Chasing History** button.

The **KYC Chasing History** screen is displayed.

Figure 2-11 Unit Holder Maintenance Detail_KYC Details Tab_Chasing History Button

KYC Chasing History

Unit Holder ID

☐ Chasing Date	Chased By	Chased Method	Comments
No data to display.			

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Cancel

5. The following details will be displayed:
 - **Unit Holder ID**
 - **Chasing Date**
 - **Chased By** - which will display the user ID
 - **Chased Method** such as E-mail, Fax and Phone
 - **Comments**
 - [Application Form Details](#)
This topic gives details on the application form for which Application Form mapping is done.

2.2.9.1 Application Form Details

This topic gives details on the application form for which Application Form mapping is done.

1. You can differentiate between legal entities and share classes for the KYC documents.
The system will track whether application form is received at fund family, legal entity or fund level at the maintenance level.
2. The application form can be mapped to multiple funds, multiple fund families and multiple legal entities.

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

Table 2-14 Application Form Details - Field Description

Field	Description
Applicable Level	<i>Optional</i> Select the applicable level from the adjoining drop-down list. Following are the options available: • Legal Entity • Fund Family • Fund

Table 2-14 (Cont.) Application Form Details - Field Description

Field	Description
Applicable Entity ID	Alphanumeric; 12 Characters; Optional Specify the Applicable Entity ID .
Copy Received	Optional Check this box if copy of application form is received.
Original Received	Optional Check this box if original details are received, If Original Received field is unchecked and the transaction is captured in the fund/fund family/ legal entity for which Application Form mapping is done, then the system will display warning message as Missing Application Form applicable for Fund/Fund Family/Legal Entity. This warning message is raised for Subscription, Redemption, Transfers, IPO, Normal Switch, Pseudo Switch transactions, if the original Application Form is not received at any of the levels (Fund/ Fund Family/Legal Entity) for which the Application Form mapping is done. The system will perform the following validations: • The system will first check if the maintenance is done for Fund Level (i.e. application form shows as applicable to Fund). If Yes, system will check if the original Application Form has been received. If it is not received, then the system will display warning message as Missing Application Form applicable for Fund/Fund Family/Legal Entity. No further checks will be performed. • If there is no maintenance done for Fund Level, the system will check if a maintenance is done for Fund Family Level. If Yes, then check if the original Application Form has been received. If it is not received, then the system will display warning message as Missing Application Form applicable for Fund/Fund Family/ Legal Entity. No further checks will be performed. • If there is no maintenance done for Fund and Fund Family Level, the system will check if a maintenance is done for Legal Entity Level. If Yes, then check if the original Application Form has been received. If it is not received, then the system will display warning message as Missing Application Form applicable for Fund/Fund Family/Legal Entity. No further checks will be performed. You can override the warning message and continue with the transaction. Application form validation will be applied to both From Fund and To Fund in case of Normal Switch and Pseudo Switch. For bulk upload and gateway, the same validations will take place as mentioned above. Transaction will be created as Authorized/ Unauthorized depending on maintenance in the system and during the view of the transaction in the Transaction Summary screen. The warning messages attached to the transaction can be viewed through override warning button available in the summary screen. Upon save, the system will check the Fund Structure Applicable and Auto Settle Switch Transaction fields are applicable only for Entity Type given is AMC. This field will not be available for user input for other entity types.

2.2.10 Document Dtls tab

This topic provides the systematic instructions to maintain document details in the **Unit Holder Maintenance Detail** screen.

Document Management System (DMS) is used to scan and store documents like Account Opening form, Transaction form, Identity Proof etc. In this section, you can specify the document type for the unit holder. The document types can be maintained in the **System Parameters Maintenance** screen.

Refer the topic *Maintain System Parameters* for further information on maintenance of system parameters.

1. On **Unit Holder Maintenance Detail** screen, click **Document Details** tab.

The **Document Details** are displayed.

Figure 2-12 Unit Holder Maintenance Detail_Document Details Tab

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

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

Table 2-15 Document Details - Field Description

Field	Description
Document ID	<i>Alphanumeric; 25 Characters; Mandatory</i> You can either enter the document id in this field or choose the document id from the option list.
Document Type	<i>Alphanumeric; 4 Characters; Mandatory</i> Specify the document type.

2.2.11 Add Info tab

This topic provides the systematic instructions to maintain additional Info details in the **Unit Holder Maintenance Detail** screen.

If the AMC has designated any additional information heads for investors, you can indicate the relevant information applicable to the investor under each head, in this section.

1. On **Unit Holder Maintenance Detail** screen, click **Add Info** tab.
The **Additional Information** details are displayed.

Figure 2-13 Unit Holder Maintenance Detail_Add Info Tab

2. On the **Add Info** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 2-16 Add Info - Field Description

Field	Description
Other Info Field	<i>Display</i> The system displays the other info field
Field Value	<i>Alphanumeric; 60 Characters; Optional</i> Select the field value from the option list.

2.2.12 UH Signature Tab

This topic provides the systematic instructions to upload the document containing unit holder's signature using the **UH Signature** tab in the **Unit Holder Maintenance Detail** screen.

1. On **Unit Holder Maintenance Detail** screen, click **UH Signature** tab.
The **Unit Holder Maintenance Detail** screen with the **Show image** button is displayed.

Figure 2-14 Unit Holder Maintenance Detail_UH Signature Tab

Unit Holder Maintenance Detail

Save

Unit Holder ID

Reference Number

CIF Number

First / Company Name *

AMC ID *

AMC Description

Investor Type *

Find UH

Find CIF

Copy CIF

Copy UH without KYC

< D Details Bank Dtls Intermediary Dtls KYC Details Document Dtls Add Info **UH Signature** Related Parties FATCA Audit Log UH KIID Compl

Show Image

< Nominee Dtls Member Dtls Alternate Language Dtls Director Details Tax Compliance Multiple Tax Details Subscr >

Audit Cancel

- Click **Show image** button to invoke the **Image Upload** screen.
The **Image Upload** screen is displayed.

Figure 2-15 Unit Holder Maintenance Detail_UH Signature Tab_Show Image Button

Image Upload

Browse Select file.. Upload

Zoom In Zoom Out Rotate

Exit Ok

- Browse for the required document or image in the **Image Upload** screen.

4. Click **Upload** button in the **Image Upload** screen.
5. Click OK to save after uploading the document or click **Exit** to exit the **Image Upload** screen.

2.2.13 Related Parties tab

This topic provides the systematic instructions to maintain related parties details in the **Unit Holder Maintenance Detail** screen.

You can link authorized **Related Parties** entity with unitholder at the time of unitholder creation. You can link multiple **Related Parties** and add, modify or delete the linked related parties. These details are used to send unitholder reports to the linked entities. The report sent is based on the reporting level selected while creating unitholder.

Note

Related Parties are captured for informational purpose only and no processing impact is associated.

1. On **Unit Holder Maintenance Detail** screen, click **Related Parties** tab.
The **Related Parties** details are displayed.

Figure 2-16 Unit Holder Maintenance Detail_Related Parties Tab

2. On the **Related Parties** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 2-17 Related Parties - Field Description

Field	Description
Entity Type	Alphanumeric; 2 Characters; Mandatory Select the Entity Type . Alternatively, you can select entity type from the option list. The list displays all valid entity types maintained in the system.

Table 2-17 (Cont.) Related Parties - Field Description

Field	Description
Entity Type Description	<i>Display</i> The system displays the description for the selected entity type.
Entity ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the Entity ID from the option list. These entities are based on the Entity Type chosen.
Entity Name	<i>Display</i> The entity name gets displayed on selection of Entity ID .
Relationship	<i>Alphanumeric; 10 Characters; Optional</i> Specify the relationship status.
Reporting Level	<i>Alphanumeric; 1 Character; Mandatory</i> Select the reporting level from the list. The following are the reporting levels: • A: All Reports • C: Contract notes and trade acknowledgement • V: Valuations and statements • N: No Reporting By default, the system defaults Reporting Level as ALL .
Preferred Mailing Mode	<i>Alphanumeric; 1 Character; Mandatory</i> Select the preferred mailing mode from the option list. The following are the preferred mailing modes: • Mail • E-Mail • Fax • SWIFT
Link Notes	<i>Alphanumeric; 255 Characters; Optional</i> The link notes stores free format text which is used to explain the reason for linking the entity with the unit holder. Note: Related Parties are captured for informational purpose only and no processing impact is associated.
Related Party Level	<i>Mandatory</i> Select the related party level from the adjoining drop-down list. Following are the options available: • All • Fund • Fund Family • Legal Entity • AMC
Related Party Value	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the related party value. The adjoining option list displays all valid related party values maintained in the system. You can choose the appropriate one. If you select All in Related Party Level field, then you need to select All from the adjoining option list in Related Party Level field as well. The system will not allow any more records to be added if ALL has been selected in the Related Party Level field for a particular Entity ID and Entity Type combination. The system will consider the correspondence address for all the entities for report generation.

2.2.14 FATCA Audit Log tab

This topic provides the systematic instructions to maintain FATCA audit log details in the **Unit Holder Maintenance Detail** screen.

1. On **Unit Holder Maintenance Detail** screen, click **FATCA Audit Log** tab.
The **FATCA Audit Log** details are displayed.

Figure 2-17 Unit Holder Maintenance Detail_FATCA Audit Log Tab

2. On the **FATCA Audit Log** tab, specify the fields.
The system will display the data in the descending order of date logged latest one first. For more information on fields, refer to the field description table.

Table 2-18 FATCA Audit Log - Field Description

Field	Description
Log Date	<i>Display</i> The system displays the date on which the customer record was logged for further checking.
Logging Reason	<i>Display</i> The system displays the reason for logging the record.
Criteria Matched	<i>Display</i> The system displays the US Indicia satisfying matching criteria for the customer. From the list of several criteria defined for identifying the US Indicia of a customer, the system will record one of the matching criteria which establishes the presence of US Indicia for the customer.
US Indicia Updated	<i>Display</i> The system displays the US Indicia Updated status.
FATCA status	<i>Display</i> The system displays the FATCA Status .

2.2.15 UH KIID Compliance Tab

This topic provides the systematic instructions to maintain UH KIID compliance details in the **Unit Holder Maintenance Detail** screen.

1. On **Unit Holder Maintenance Detail** screen, click **UH KIID Compliance** tab.

The **Unit Holder Maintenance Detail** screen with the **UH KIID Compliance** details are displayed.

Figure 2-18 Unit Holder Maintenance Detail_UH KIID Compliance Tab

2. On **UH KIID Compliance** tab under **UCITS Fund Mapping Details** section, specify the fields.

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

Table 2-19 UH KIID Compliance - Field Description

Field	Description
UCITS Fund Mapping Details	The section displays the following fields.
Fund ID	<i>Alphanumeric; 6 Characters; Optional</i> Specify the Fund ID . This adjoining option list displays all Fund ID maintained in the system. You can choose the appropriate one.
Fund Name	<i>Display</i> The system displays the fund name for the selected Fund ID .
Effective Date	<i>Date Format; Optional</i> Specify the Effective Date . Effective date can be less than or equal to system date.

2.2.16 Delivery Dtls Button

This topic provides the systematic instructions to capture the delivery details in the **Unit Holder Maintenance Detail** screen.

1. On **Unit Holder Maintenance Detail** screen, click **Delivery DtIs** button.
The **Delivery Details** screen is displayed.

Figure 2-19 Unit Holder Maintenance Detail_Delivery Details Button

2. On **Delivery Details** screen , specify the fields.
For more information on fields, refer to the field description table.

Table 2-20 Delivery Details - Field Description

Field	Description
Account Name	<i>Alphanumeric; 140 Characters; Mandatory</i> Specify the Account Name .
Account Number	<i>Alphanumeric; 34 Characters; Mandatory</i> Specify the Account Number .
UH A/C Type	<i>Alphanumeric; 1 Character; Mandatory</i> Specify the unit holder account type.
Default	<i>Optional</i> Select the default option from the drop-down list.
Custodian/Clearing Agent	<i>Alphanumeric; 105 Characters; Mandatory</i> Specify the custodian or clearing agent details.

2.2.17 Beneficiary DtIs Button

This topic provides the systematic instructions to capture the beneficiary details button in the **Unit Holder Maintenance Detail** screen.

This topic also helps to capture the details of one or more beneficiaries, if any, for the unit holder

A beneficiary could be an existing unitholder in the system or could be an external entity.

1. On **Unit Holder Maintenance Detail** screen, click **Beneficiary DtIs** button.
The **Beneficiary Details** screen is displayed.

Figure 2-20 Unit Holder Maintenance Detail_Beneficiary Details Button

Beneficiary Details

Beneficiary Details

Existing UH/CIF	Beneficiary Type	Beneficiary ID	Beneficiary Name	Date Of Birth	Country of Birth	Gender	ID Type
☐ Yes	Primary			YYYY-MM		Male	

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Cancel Save

- On **Beneficiary Details** screen , specify the fields.
For more information on fields, refer to the field description table.

Table 2-21 Beneficiary Details - Field Description

Field	Description
Existing UH/ CIF	<i>Optional</i> Select if the unit holder or CIF is existing or not from the drop-down list. The list displays the following values: Yes No
Beneficiary Type	<i>Mandatory</i> Specify whether the beneficiary is a Primary or Secondary holder.
Beneficiary ID	<i>Alphanumeric; 12 Characters; Mandatory</i> If the beneficiary is an existing unit holder, you can invoke the Find Options screen to specify the desired unit holder, by using the search criteria. Else, specify the same.
Beneficiary Name	<i>Display</i> The system displays the name of the beneficiary.
Date of Birth	<i>Date format, Optional</i> Enter the date of birth of beneficiary.
Country of Birth	<i>Display</i> The system displays the country of birth of beneficiary.
Gender	<i>Optional</i> Select the gender of the beneficiary from the drop-down list. The list displays the following values: Male Female
ID Type	<i>Alphanumeric; 3 Characters; Optional</i> Select the identification type of the beneficiary from the drop-down list. If the beneficiary is a valid unitholder, the identification type will be displayed.

Table 2-21 (Cont.) Beneficiary Details - Field Description

Field	Description
ID Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the identification number of the identification type of the beneficiary. If the beneficiary is a valid Unit Holder, the identification number will be displayed.
Relation	<i>Alphanumeric; 70 Characters; Optional</i> Specify the relationship of the beneficiary with the unit holder. If the beneficiary is a valid Unit Holder, the relationship will be displayed.
Award %	<i>Alphanumeric; 5 Characters; Optional</i> Specify the percentage of the unit holder's holdings that belongs to the beneficiary. The award should sum up to 100.
Country Of Domicile	<i>Alphanumeric; 5 Characters; Optional</i> Specify the Country of Domicile Details .
Address Line 1 - 2	<i>Alphanumeric; 105 Characters; Optional</i> Specify the contact address of the beneficiary.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the city name of the beneficiary.
State	<i>Alphanumeric; 5 Characters; Optional</i> Specify the state name of the beneficiary.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Specify the country name of the beneficiary.
Zip Code	<i>Alphanumeric; 3 Characters; Optional</i> Specify the Zip Code .
Email	<i>Alphanumeric; 255 Characters; Optional</i> Specify the e-mail details of the beneficiary.
Contact Person	<i>Alphanumeric; 60 Characters; Optional</i> Specify the contact person details.
Bank	<i>Alphanumeric; 12 Characters; Optional</i> Specify the bank code of the beneficiary's bank. You can select the same from the option list, if the bank code is a valid code in the system.
Branch	<i>Alphanumeric; 12 Characters; Optional</i> Specify the branch of the bank that you have selected. You can select the same from the option list, if the branch is a valid one in the system.
Account Type	<i>Alphanumeric; 1 Character; Optional</i> Select the nature of the account held by the beneficiary from the list.
Account Currency	<i>Alphanumeric; 3 Characters; Optional</i> Select the currency of the bank accounts that you are designating for the beneficiary.
Account Number	<i>Alphanumeric; 34 Characters; Optional</i> Specify the number of the account held by the beneficiary in the selected bank.
Account Name	<i>Alphanumeric; 140 Characters; Optional</i> Specify the name in which the beneficiary holds the specified bank account.

Table 2-21 (Cont.) Beneficiary Details - Field Description

Field	Description
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the International Bank Account Number (IBAN) of the account holder.
US Indicia	<i>Display</i> The system defaults US Indicia Available as Yes if any of the below mentioned values are true: • The nationality is US • The dual nationality is US • The substantial stay is in US • The country of birth is US • The country of domicile is US The country of incorporation is US • The country of correspondence or alternate address is US • The country code of the telephone number is 01 • The bank branch address country code is US • The director % of holding is more than 10% If the primary UH has linked entities like Joint holder/joint holders, Auth rep, related party (Auth Rep, Nominee and Joint Holder), beneficiary and for any one of them US Indicia Available is YES, and if the primary UH US Indicia Available is No then the system will display the following message: US Indicia Available is No for UnitHolder but US Indicia Available is YES at Joint Holder/ Auth Rep/Beneficiary/Related Party(Auth Rep, Nominee and Joint Holder) (any one) The system will change the US Indicia Available as YES and save the record automatically.
FATCA Classification	<i>Display</i> If the beneficiary selected is an existing entity in the system, then system displays FATCA classification type.
FATCA Status	<i>Display</i> If the beneficiary selected is an existing entity in the system, then the system displays FATCA status based on FATCA maintenance. Note: The fields PAN/GIR Number , MFIN and Form 60/61 will be displayed only if the client country option SHOWPANINFO is set to True for your bank.

2.2.18 Joint Holder Dtls Button

This topic provides the systematic instructions to specify the names of any joint unit holders to be considered for joint unitholder accounts, or **Either** or **Survivor** accounts.

You must specify the name of at least one joint unitholder for such an account, as mandatory information for accounts with the operation type as either **Joint** or **Survivor**.

1. On **Unit Holder Maintenance Detail** screen, click **Joint Holder Dtls** button.

The **Joint Holder Details** screen is displayed.

Figure 2-21 Unit Holder Maintenance Detail_Joint Holder Details Button

Joint Holder Details

☐ Existing UH/CIF	Joint Holder Type	Joint Holder ID	Joint Holder Name	Date Of Birth	Country of Birth	Gender	PAN/GIR Num
☐ Yes	First			YYYY-MM-		Male	

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Cancel Save

- On **Joint Holder Details** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-22 Joint Holder Details - Field Description

Field	Description
Existing UH/ CIF	<i>Optional</i> Select if the unit holder or CIF is existing or not from the drop-down list. The list displays the following values: Yes No
Joint Holder Type	<i>Mandatory</i> Select the Type of joint account from the drop-down list. The list displays the following values: First Second Third
Joint Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the ID of the joint account holder from the list of IDs available.
Joint Holder Name	<i>Display</i> The system displays the name of the Joint Holder.
Date of Birth	<i>Date format, Optional</i> Enter the joint account holder's date of birth.
Country of Birth	<i>Display</i> The system displays the country of birth mapped for the UH.
Gender	<i>Optional</i> Specify the gender of the joint account holders.
PAN/GIR Number	<i>Alphanumeric; 15 Characters; Optional</i> Specify the Permanent Account Number (PAN) of the joint account holders in the respective text boxes.

Table 2-22 (Cont.) Joint Holder Details - Field Description

Field	Description
Form 60/61 Available?	<i>Optional</i> Indicate whether Form 60/61 is available for the joint holders in case they don't have a PAN.
MFIN	<i>Alphanumeric; 15 Characters; Optional</i> Specify the MFIN of the joint account holder.
Recover CGT?	<i>Optional</i> Select Yes option, if the tax on capital gain has to be deducted from the transaction (Redemption, Transfer and Switch).
Country Of Domicile	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of domicile from the option list provided; these details are maintained as part of Country Maintenance.
Address Line 1 and Address Line 2	<i>Alphanumeric; 105 Characters; Optional</i> Click Address Details link to view the Address text box. Here you can enter the address of the joint account holder.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the city name of the joint holder.
State	<i>Alphanumeric; 5 Characters; Optional</i> Specify the state name of the joint holder.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Specify the country name of the joint holder.
Zip Code	<i>Alphanumeric; 3 Characters; Optional</i> Specify the Zip Code .
E-mail	<i>Alphanumeric; 255 Characters; Optional</i> Specify the E-mail details of the joint holder.
Contact Person	<i>Alphanumeric; 60 Characters; Optional</i> Specify the contact person details.
Telephone 1 and 2	<i>Alphanumeric; 60 Characters; Optional</i> Specify the telephone number.
Cellphone Number	<i>Alphanumeric; 60 Characters; Optional</i> Specify the Cellphone Number .
Fax	<i>Alphanumeric; 60 Characters; Optional</i> Specify the fax number.
US Indicia	<i>Display</i> The system defaults the US Indicia Available as Yes or No based on the existing UH/CIF maintained. If the existing UH/CIF is Yes, then the system defaults the US Indicia Available . If the existing UH/CIF is No, then the system derives the US Indicia Available based on the country, country of domicile and bank branch country.
FATCA Classification	<i>Display</i> If the joint selected is an existing entity in the system, then system displays FATCA classification type.

Table 2-22 (Cont.) Joint Holder Details - Field Description

Field	Description
FATCA Status	<i>Display</i> If the joint selected is an existing entity in the system, then system displays FATCA status based on FATCA maintenance. Note: The fields PAN/GIR Number, MFIN and Form 60/61 will be displayed only if the client country SHOWPANINFO is set to True for your bank.

2.2.19 Nominee Dtls Button

This topic provides the systematic instructions to specify the details of one or more nominees, if any, for the unit holder. A nominee could be an existing unitholder in the system or could be an external entity.

1. On **Unit Holder Maintenance Detail** screen, click **Nominee Dtls** button.

The **Nominee Details** screen is displayed.

Figure 2-22 Unit Holder Maintenance Detail_Nominee Details Button

Nominee Details

Existing UH/CIF	Nominee Type	Nominee ID	Nominee Name	Date Of Birth	Country of Birth	Gender	ID Type	ID N
☐ Yes	First			YYYY-MM		Male		

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Cancel Save

2. On the **Nominee Details** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-23 Nominee Details - Field Description

Field	Description
Existing UH/ CIF	<i>Optional</i> Select if the unitholder or CIF is existing or not from the drop-down list. The list displays the following values: • Yes • No

Table 2-23 (Cont.) Nominee Details - Field Description

Field	Description
Nominee Type	<i>Mandatory</i> Select the type of nominee from the drop-down list. The list displays the following values: • First • Second • Third • Others
Nominee ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the Nominee ID .
Nominee Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the nominee.
Date of Birth	<i>Date format, Optional</i> Specify the date of birth of the designated nominee.
Country of Birth	<i>Display</i> The system displays the country of birth mapped for the UH.
Gender	<i>Optional</i> Select the gender of the nominee from the option-down list. The list displays the following values: • Male • Female
ID Type	<i>Alphanumeric; 3 Characters; Optional</i> Specify the identification type of the nominee. If the nominee is a valid unitholder, the identification type will be displayed.
ID Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the identification number of the identification type of the nominee. If the nominee is a valid unitholder, the identification ID will be displayed.
PAN/GIR Number	<i>Alphanumeric; 15 Characters; Optional</i> Specify the Permanent Account Number (PAN) of the nominees in the respective text boxes.
Form 60/61 Available?	<i>Optional</i> Indicate whether Form 60/61 is available for the nominees in case they don't have a PAN.
Relation	<i>Alphanumeric; 70 Characters; Optional</i> Specify the relationship of the nominee with the unit holder. If the nominee is a valid unitholder, the relationship will be displayed.
Award %	<i>Numeric; 5 Characters; Optional</i> Specify the percentage of the investor's holdings that belongs to the nominee. The award should sum up to 100.
Country Of Domicile	<i>Alphanumeric; 3 Characters; Optional</i> Specify the Country of Domicile .
Address Line 1 and 2	<i>Alphanumeric; 105 Characters; Optional</i> Enter the address of the nominee.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the city name of the nominee.

Table 2-23 (Cont.) Nominee Details - Field Description

Field	Description
State	<i>Alphanumeric; 5 Characters; Optional</i> Specify the state name of the nominee.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Specify the country name of the nominee.
Zip Code	<i>Alphanumeric; 3 Characters; Optional</i> Specify the Zip Code .
E-mail	<i>Alphanumeric; 255 Characters; Optional</i> Specify the E-mail details of the nominee.
Contact Person	<i>Alphanumeric; 160 Characters; Optional</i> Specify the contact person details.
Bank	<i>Alphanumeric; 12 Characters; Optional</i> Specify the bank details.
Branch	<i>Alphanumeric; 12 Characters; Optional</i> Specify the branch code.
Account Type	<i>Alphanumeric; 1 Character; Optional</i> Specify the type of account.
Account Currency	<i>Alphanumeric; 3 Characters; Optional</i> Specify the account currency code.
Account Number	<i>Alphanumeric; 34 Characters; Optional</i> Specify the account number details.
Account Name	<i>Alphanumeric; 140 Characters; Optional</i> Specify the name of the account holder.
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the International Bank Account Number (IBAN) of the account holder.
US Indicia	<i>Display</i> The system defaults the US Indicia Available as Yes or No based on the existing UH/CIF maintained. If the existing UH/CIF is Yes, then the system defaults the US Indicia Available . If the existing UH/CIF is No, then the system displays the US Indicia Available based on the country, country of domicile and bank branch country.
FATCA Classification	<i>Display</i> The system displays the FATCA classification type.
FATCA Status	<i>Display</i> The system displays the FATCA status based on the FATCA maintenance.

2.2.20 Member DtIs Button

This topic provides the systematic instructions to capture additional investor details pertaining to retirement accounts if the account is of type **Retirement** in the **Member Details** screen.

1. On **Unit Holder Maintenance Detail** screen, click **Member DtIs** button.

The **Member Details** screen is displayed.

Figure 2-23 Unit Holder Maintenance Detail_Member Details Button

The screenshot shows a web application window titled "Member Details" with a close button (X) in the top right corner. The window contains two main sections of input fields. The left section includes: "Date Member became Contributory" (YYYY-MM-DD format with a calendar icon), "Employee Retirement Age" (text input), "Date of death" (YYYY-MM-DD format with a calendar icon), and "Area Code" (text input with a search icon). The right section includes: "Date Member details were transferred" (YYYY-MM-DD format with a calendar icon), "Date of Retirement" (YYYY-MM-DD format with a calendar icon), and "Cause of Death" (text input with a speech bubble icon). At the bottom right of the window are "Cancel" and "Save" buttons.

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

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

Table 2-24 Member Details - Field Description

Field	Description
Date Member became Contributory	<i>Date Format; Optional</i> Enter the date on which the investment account was created, i.e., the date on which the investor made the first contribution towards the retirement plan.
Date Member details were transferred	<i>Date Format; Optional</i> If the retirement account was transferred from a different AMC, then specify the date of account transfer.
Employee Retirement Age	<i>Numeric; 5 Characters; Optional</i> Specify the age that will be considered as retirement age for this unit holder.
Date of Retirement	<i>Date Format; Optional</i> Specify the date of retirement of an investor.
Date of Death	<i>Date format, Optional</i> If the unit holder is deceased, enter the date on which the unit holder died.
Cause of Death	<i>Alphanumeric; 250 Characters; Optional</i> If the investor is deceased, then specify the cause of death here.
Area Code	<i>Alphanumeric; 10 Characters; Optional</i> If the unit holder is deceased, select the area code of the unit holder's residence from the available list of values. The list displays all the values maintained for the parameter AREACODE in the Parameters Maintenance . Note: You are allowed to invoke the Member Details screen only if the client country parameter RETIREMENTCHK has been set to TRUE for your bank.

2.2.21 Alternate Language Dtls Button

This topic provides the systematic instructions instructions to specify the customer details and customer contact details in the desired alternate language.

1. On **Unit Holder Maintenance Detail** screen, click **Alternate Language Dtls** button to capture the alternate language details.

The **Alternate Language Details** screen is displayed.

Figure 2-24 Unit Holder Maintenance Detail_Alternate Language Details Button

2. On **Alternate Language Details** screen, specify the fields.
In case of individual customers the following fields are displayed.

Table 2-25 Alternate Language Details - Field Description

Field	Description
Alternate Language Dtls	The section displays the following fields.
First/ Company Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the first name of the individual investor or company name for the corporate account.
Middle Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the middle name of the individual investor in the desired alternate language.
Last Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the last name of the individual investor in the desired alternate language. In case of a corporate customer, you need to enter the following information instead of the investor name:
Authorized Signatory 1, 2, 3	<i>Alphanumeric; 70 Characters; Optional</i> Specify the names of any authorized signatories that must be deemed as valid for the company in the desired alternate language.
Correspondence Address	The section displays the following fields.

Table 2-25 (Cont.) Alternate Language Details - Field Description

Field	Description
Address Lines 1-2	<i>Alphanumeric; 105 Characters; Optional</i> Specify the default postal address that is to be used for correspondence with the investor in the desired alternate language.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the city of residence of the investor in the desired alternate language.
State	<i>Alphanumeric; 80 Characters; Optional</i> Specify the state in which the city of residence of the investor is located in the desired alternate language.
Alternate Address	The section displays the following fields.
Contact Person	<i>Alphanumeric; 160 Characters; Optional</i> Specify the name of the contact person for the company in the desired alternate language.
Address Lines 1-2	<i>Alphanumeric; 105 Characters; Optional</i> Specify the alternate postal address that is to be used for correspondence with the investor in the desired alternate language.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the name of the city of residence of the investor in the desired alternate language.
State	<i>Alphanumeric; 80 Characters; Optional</i> Specify the state in which the city of residence of the investor is located in the desired alternate language.

2.2.22 Director Details Button

This topic provides the systematic instructions to maintain the details of boards of directors for a corporate unitholder.

1. On **Unit Holder Maintenance Detail** screen, click **Director Details** tab.

The **Director Details** screen is displayed.

Figure 2-25 Unit Holder Maintenance Detail_Director Details Button

Director Details

☐	Existing UH/CIF	Director ID	Director Name	Designation	Date Of Birth	Country of Birth	Gender	ID Type	ID Num
☐	Yes				YYYY-MM		Male		

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Cancel Save

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

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

Table 2-26 Director Details - Field Description

Field	Description
Existing UH/ CIF	<i>Optional</i> Indicate whether you are existing UH/CIF.
Director ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the director identification from the adjoining option list. This is applicable only if you are an existing UH/CIF.
Director Name	<i>Alphanumeric; 105 Characters; Optional</i> The system displays the name of the director for the selected director ID. However, you can amend this value.
Designation	<i>Alphanumeric; 100 Characters; Optional</i> Specify the Designation .
Date of Birth	<i>Date format, Optional</i> Specify the Date of Birth .
Country of Birth	<i>Display</i> The system displays the country of birth mapped for the UH.
Gender	<i>Optional</i> Select the gender from the adjoining drop-down list.
ID Type	<i>Alphanumeric; 3 Characters; Optional</i> Select the identification type of the director from the option list.
ID Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the identification number of the director.
Address Line 1	<i>Alphanumeric; 105 Characters; Optional</i> Specify the contact address of the director.
Address Line 2	<i>Alphanumeric; 105 Characters; Optional</i> Specify the contact address of the director.
City	<i>Alphanumeric; 105 Characters; Optional</i> Specify the city details.
State	<i>Alphanumeric; 80 Characters; Optional</i> Select the state from the adjoining option list.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Select the country from the adjoining option list.
Zip Code	<i>Alphanumeric; 10 Characters; Optional</i> Specify the zip code.
Email	<i>Alphanumeric; 255 Characters; Optional</i> Specify the e-mail ID.
Contact Person	<i>Alphanumeric; 160 Characters; Optional</i> Specify the contact person details.
Bank	<i>Alphanumeric; 12 Characters; Optional</i> Select the bank from the adjoining option list.

Table 2-26 (Cont.) Director Details - Field Description

Field	Description
Branch	<i>Alphanumeric; 12 Characters; Optional</i> Select the branch from the adjoining option list.
Account Type	<i>Alphanumeric; 1 Character; Optional</i> Select the account type from the adjoining option list.
Account Currency	<i>Alphanumeric; 3 Characters; Optional</i> Select the currency of the account from the adjoining option list.
Account Number	<i>Alphanumeric; 34 Characters; Optional</i> Specify the account number details.
Account Name	<i>Alphanumeric; 140 Characters; Optional</i> Specify the name in the account.
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the International Bank Account Number (IBAN) of the account holder.
Country of Domicile	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of domicile from the adjoining option list.
Percentage Holding	<i>Numeric; 5 Characters; Optional</i> Specify the percentage of holding.
US Indicia	<i>Display</i> The system defaults the US Indicia Available as Yes or No based on the existing UH/CIF maintained. If the existing UH/CIF is Yes, then the system defaults the US Indicia Available . If the existing UH/CIF is No, then the system displays the US Indicia Available based on the country, country of domicile and bank branch country and the director percentage of holding. The UH will be US Indicia as Yes, if the percentage of holdings is greater than maintained for the system parameter FATCAMINPCNTHLDG . Note: For Corporate UH, if address or the country code or telephone number of the Director is maintained as US and the director percentage of holding is greater than or equal to the percentage maintained at system parameter, then the Corporate UH is marked US Indicia as Yes.
FATCA Classification	<i>Display</i> If the director selected is an existing entity in the system then system displays FATCA classification type.
FATCA Status	<i>Display</i> If the director selected is an existing entity in the system then system displays FATCA status based on the FATCA maintenance.
Controlling Person	<i>Optional</i> Select if the director is an active entity or not from the drop-down list. The list displays the following values: • Yes • No

2.2.23 Tax Compliance Button

This topic provides the systematic instructions to enter the tax compliance details.

Once a new unit holder is created in the system, and on saving the unitholder; indicia checks are triggered. If Indicia are identified for the unit holder, the details are updated in **Tax Compliance** screen. If indicia is not triggered for the unitholder created then this sub screen will be blank.

1. On **Unit Holder Maintenance Detail** screen, click **Tax Compliance** button.

The **Tax Compliance** screen is displayed.

Figure 2-26 Unit Holder Maintenance Detail_Tax Compliance Button

The screenshot shows a web application window titled "Tax Compliance". Inside, there is a table with the following headers: "Tax Compliance", "Description", "Tax Jurisdiction", "Description", "Indicia", and "Compliance Status". Below the table, a message states "No data to display." and a pagination bar shows "Page 1 (0 of 0 items)". At the bottom right of the window, there are "Cancel" and "Save" buttons.

2. On **Tax Compliance** screen, specify the fields.

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

Table 2-27 Tax Compliance - Field Description

Field	Description
Tax Compliance	<i>Display</i> The system displays the tax compliance for which the indicia is identified.
Description	<i>Display</i> The system displays the description of the tax compliance.
Tax Jurisdiction	<i>Display</i> The system displays the country code for which indicia attributes are identified.
Description	<i>Display</i> The system displays the country name.
Indicia	<i>Display</i> The system displays the indicia value as Yes.

Table 2-27 (Cont.) Tax Compliance - Field Description

Field	Description
Compliance Status	<i>Display</i> The system displays the tax compliance status of the account for the TAX jurisdiction where indicia identified. Note: If indicia is found for a unitholder then the Tax jurisdiction for indicia is identified will be updated with indicia as Yes and Compliance Status field value will be set to Reportable.

2.2.24 Multiple Tax Details Button

This topic provides the systematic instructions to enter the multiple tax details.

1. On **Unit Holder Maintenance Detail** screen, click **Multiple Tax Details** button.
The **Multiple Tax Details** screen is displayed.

Figure 2-27 Unit Holder Maintenance Detail_Multiple Tax Details Button

Multiple Tax Details

Issuing jurisdiction code	Description	Tax Identification	Issue Date	Expiry Date
			YYYY-MM-DD	YYYY-MM-DD

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Cancel Save

2. On **Multiple Tax Details** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-28 Multiple Tax Details - Field Description

Field	Description
Issuing Jurisdiction Code	<i>Alphanumeric; 3 Characters; Optional</i> Specify the Issuing Jurisdiction Code. Alternatively, you can select issuing jurisdiction code from the option list. The list displays all issuing jurisdiction code maintained in the system.
Description	<i>Display</i> The system displays the description for the selected issuing jurisdiction code.
Tax Identification	<i>Alphanumeric; 50 Characters; Optional</i> Specify the tax identification code.

Table 2-28 (Cont.) Multiple Tax Details - Field Description

Field	Description
Issue Date	<i>Date Format; Optional</i> Select the issue date from the adjoining calendar.
Expiry Date	<i>Date format; Optional</i> Select the expiry date from the adjoining calendar.

2.2.25 Subscription Button

This topic explains the subscription button in the **Unit Holder Maintenance Detail** screen.

On **Unit Holder Maintenance Detail** screen, click **Subscription** button. The **FCIS Subscription Transaction Detail** screen is displayed.

Figure 2-28 FCIS Subscription Transaction Detail

Refer the topic *Processing transaction requests* of the *Transaction User Manual* for a detailed discussion of the subscription transaction detail screen.

2.3 Unit Holder Maintenance Summary

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

Retrieve Unit Holder Maintenance Record

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

The **Unit Holder Maintenance Summary** screen is displayed.

Figure 2-29 Unit Holder Maintenance Summary

2. On **Unit Holder 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**
 - **CIF Number**
 - **Reference Number**
 - **First Name**
 - **Tax ID**
 - **Last Name**
 - **Auth Rep ID**
 - **Unit Holder ID**
 - **Identification Number**
 - **Investor Type**
 - **Middle Name**
 - **Stop Account**
 - **A/C Opening Date**
 - **Segment 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.

You can search the record for **Unit Holder ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Unit Holder ID** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Unit Holder ID** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Unit Holder ID** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit Unit Holder Maintenance Record](#)
This topic provides the systematic instructions to edit Unit Holder Maintenance record.
- [View Unit Holder Maintenance Record](#)
This topic provides the systematic instructions to view Unit Holder Maintenance record.
- [Delete Unit Holder Maintenance Record](#)
This topic provides the systematic instructions to delete Unit Holder Maintenance record.
- [Authorize Unit Holder Maintenance Record](#)
This topic provides the systematic instructions to authorize Unit Holder Maintenance record.
- [Amend Unit Holder Maintenance Record](#)
This topic provides the systematic instructions to amend Unit Holder Maintenance record.
- [Authorize Amended Unit Holder Maintenance Record](#)
This topic provides the systematic instructions to authorize amended Unit Holder Maintenance record.

2.3.1 Edit Unit Holder Maintenance Record

This topic provides the systematic instructions to edit Unit Holder Maintenance record.

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

Note

If you change a previously designated individual investor to a corporate investor, all the details specific to individual investors that you had specified earlier will be lost, and cannot be retrieved, or vice versa.

1. Start the **Unit Holder 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 **Unit Holder 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 **Unit Holder Maintenance Detail** screen is closed and the changes made are reflected in the **Unit Holder Maintenance Summary** screen.

2.3.2 View Unit Holder Maintenance Record

This topic provides the systematic instructions to view Unit Holder Maintenance record.

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

1. Start the **Unit Holder Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **Unit Holder Maintenance Detail** screen is displayed.

2.3.3 Delete Unit Holder Maintenance Record

This topic provides the systematic instructions to delete Unit Holder Maintenance record.

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

1. Start the **Unit Holder 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 **Unit Holder 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.

2.3.4 Authorize Unit Holder Maintenance Record

This topic provides the systematic instructions to authorize Unit Holder Maintenance record.

Authorize an unauthorized **Unit Holder Maintenance** record in the system for it to be processed as follows:

1. Start the **Unit Holder 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 want to authorize.
The **Unit Holder Maintenance Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.
When the checker authorizes a transaction, details of validations, if any, that were overridden by the maker of the transaction during the **Save** operation, are displayed. If any of these overrides results in an error, the checker must reject the transaction. You can authorize more than one account at a time.

2.3.5 Amend Unit Holder Maintenance Record

This topic provides the systematic instructions to amend Unit Holder Maintenance record.

The event of making changes to an authorized unit holder account is known as an **Information Change** in the system. A unit holder account that has undergone an information change in this manner is reverted back to the unauthorized status, with the changed information, in the database. You must authorize the information change by subsequently authorizing the changed account, for the changed information to be effectively reflected in the system database.

Consider the following example:

You have created an individual unit holder account in the system for Mr. Philip Green, identifying Messrs. ABF Finance as the designated intermediary. At the time of creation, the system saved the account with the unit holder ID generated as 700700000034.

Subsequently, this account number 700700000034 was authorized by the Supervisor user (or a user other than you, who has authorization rights in the user profile).

After this, Mr. Philip requested that the designated intermediary on his account be changed to Far Eastern Finance.

You will perform an information change to the account 700700000034, through the **Unit Holder Maintenance Summary** screen, and change the intermediary to Far Eastern Finance, and save your changes.

The system now maintains the status of the account number 700700000034, unit holder Mr. Philip Green, as an unauthorized account with the designated intermediary as Far Eastern Finance.

Now, the Supervisor user must authorize the information change that you made to account 700700000034 in the UH Info Change Summary field, for it to be reflected as an authorized record in the database.

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 **Unit Holder 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 want to amend.
The **Unit Holder 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.

2.3.6 Authorize Amended Unit Holder Maintenance Record

This topic provides the systematic instructions to authorize amended Unit Holder Maintenance record.

Authorize an amended unit holder 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.

You can allow the cheque writing facility for an investor during an information change. If already allowed, you can disallow it through an information change. If the cheque writing facility is disallowed, any cheque presented after the information change has been authorized will not be processed.

If you need to make changes to the signatories for cheque writing that have been specified for an investor, you can do so through an information change.

2.4 Process UnitHolder Find Options

This topic provides the systematic instructions to find unitholder using **UnitHolder Find Options** screen.

1. On **Home** screen, type **UTCUFND** in the text box, and click **Next**.
The **UnitHolder Find Options** screen is displayed.

Figure 2-30 UnitHolder Find Options

2. On **UnitHolder Find Options** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-29 UnitHolder Find Options - Field Description

Field	Description
Quick Find Options	The section displays the following fields.
Unit Holder ID	<i>Alphanumeric; 12 Characters; Optional</i> Specify the Unit Holder ID .
Reference Number	<i>Alphanumeric; 12 Characters; Optional</i> Specify the Reference Number .
CIF Number	<i>Alphanumeric; 20 Characters; Optional</i> Specify the CIF Number .
Auth Rep ID	<i>Alphanumeric; 12 Characters; Optional</i> Specify the Auth Rep ID .
First Name	<i>Alphanumeric; 100 Characters; Optional</i> Specify the First Name .
Last Name	<i>Alphanumeric; 40 Characters; Optional</i> Specify the Last Name .
Middle Name	<i>Alphanumeric; 40 Characters; Optional</i> Specify the Middle Name .
Date Of Birth	<i>Date Format; Optional</i> Specify the Date of Birth .
Tax ID	<i>Alphanumeric; 50 Characters; Optional</i> Specify the Tax ID .
Identification Type	<i>Alphanumeric; 3 Characters; Optional</i> Specify the identification type.
Identification Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the Identification Number .
Advanced Find Options	The section displays the following fields.

Table 2-29 (Cont.) UnitHolder Find Options - Field Description

Field	Description
Auth Status	<i>Optional</i> Select the authorization status and the default value been displayed as Both . The list displays the following values: • Authorized • Unauthorized • Both
A/C Opening From Date	<i>Date Format; Optional</i> Specify the account opening from date.
A/C Opening To Date	<i>Date Format; Optional</i> Specify the account opening to date.
Country Of Domicile	<i>Alphanumeric; 3 Characters; Optional</i> Specify the country of domicile details.
Occupation	<i>Alphanumeric; 3 Characters; Optional</i> Specify the Occupation .
Joint UnitHolder Name	<i>Alphanumeric; 60 Characters; Optional</i> Specify the joint unit holder name.
Signatory Name	<i>Alphanumeric; 70 Characters; Optional</i> Specify the Signatory Name .
Investor Type	<i>Optional</i> Select the investor type from the drop-down list and the default value been displayed as Both . The list displays the following values: • Individual • Corporate • Both
Category	<i>Alphanumeric; 2 Characters; Optional</i> Specify the category details.
Corporation Type	<i>Alphanumeric; 3 Characters; Optional</i> Specify the Corporation Type .
A/C Operation Type	<i>Optional</i> Select the account operation type. The default value that has been displayed as Not Selected . The list displays the following values: • Single • Joint • Either/Survivor
Investment Type	<i>Alphanumeric; 2 Characters; Optional</i> Specify the Investment Type .
US Indicia Available	<i>Optional</i> Select if US Indicia is available or not from the drop-down list and the default value been displayed as Not Selected . The list displays the following values: • Yes • No

Table 2-29 (Cont.) UnitHolder Find Options - Field Description

Field	Description
Stop Account	<i>Optional</i> Select if account has to be stopped or not from the drop-down list and the stop account by default is Not Selected . The list displays the following values: • Yes • No
AMC ID	<i>Alphanumeric; 12 Characters; Optional</i> Specify the AMC ID .
Module ID	<i>Alphanumeric; 30 Characters; Optional</i> Specify the Module ID .
Find Type	<i>Optional</i> Select the find type from the drop-down list and the default value been displayed as Not Selected . The list displays the following values: • Local • Global
Account Number	<i>Alphanumeric; 34 Characters; Optional</i> Specify the Account Number .
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the IBAN number.
Broker	<i>Alphanumeric; 12 Characters; Optional</i> Specify the broker code.

3. Click **Find** button after specifying the necessary details.

The system displays the following values:

- **CIF Number**
- **Unit Holder ID**
- **Identification Number**
- **Reference Number**
- **Unit Holder Name**
- **Address**
- **Investor Type**
- **Status**
- **Type Closed**

2.5 Process UH Category Parameter

This topic provides the systematic instructions to define the maximum number of calendar days a user can remain inactive in the system.

An investor account can be closed automatically if the accounts remain inactive without any transactions being processed for a defined period of time. The status of the investor accounts will be changed from **Active** to **Inactive/Close** automatically after the defined period.

1. On **Home** screen, type **UTDUHPRD** in the text box, and click **Next**.
The **UH Category Parameter** screen is displayed.

Figure 2-31 UH Category Parameter

The screenshot shows the 'UH Category Parameter' window. It includes a 'Save' button at the top left. The form contains four fields: 'UH Category' (a text box with a magnifying glass icon), 'Category Description' (a text box with a list icon), 'Inactive' (a numeric input field showing '1'), and 'Reminder period' (a numeric input field showing '0'). At the bottom right, there are 'Audit' and 'Cancel' buttons.

2. On **UH Category Parameter** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-30 UH Category Parameter - Field Description

Field	Description
UH Category	<i>Alphanumeric; 2 Characters; Mandatory</i> Select the unit holder category from the adjoining option list. The option list displays all the valid UH categories maintained in the system.
Category Description	<i>Display</i> The system displays the description for the selected UH category code.
Inactive	<i>Numeric; 5 Characters; Mandatory</i> Specify the number of days an investor belongs to the specified UH category can remain inactive in the system.
Reminder Period	<i>Numeric; 5 Characters; Mandatory</i> Specify the number of calendar days the system should log a warning message, before actually closing the account. The warning message is logged into the system based on the following: Units balance = zero (Maximum Inactive period limit – Reminder Period) >= (App Date – Last transaction Date for the unit holder) All the unit holder accounts that violating the criteria maintained in this screen will be closed automatically while executing the Automatic Account Closure of Inactive Unit holders batch.

2.6 UH Category Parameter Summary

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

Retrieve UH Category Parameter Record

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

The **UH Category Parameter Summary** screen is displayed.

Figure 2-32 UH Category Parameter Summary

2. On **UH Category Parameter 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**
 - **UH Category**
 - **Inactive**
 - **Reminder Period**
3. Click **Search** button to view the records.
All the records with the specified details are retrieved and displayed in the screen.
 - [Edit UH Category Parameter Record](#)
This topic provides the systematic instructions to edit UH Category Parameter record.
 - [Delete UH Category Parameter Record](#)
This topic provides the systematic instructions to delete UH Category Parameter record.
 - [Authorize UH Category Parameter Record](#)
This topic provides the systematic instructions to authorize UH Category Parameter record.

2.6.1 Edit UH Category Parameter Record

This topic provides the systematic instructions to edit UH Category Parameter record.

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

1. Start the **UH Category Parameter 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 Category Parameter** 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 Category Parameter** screen is closed and the changes made are reflected in the **UH Category Parameter Summary** screen.

2.6.2 Delete UH Category Parameter Record

This topic provides the systematic instructions to delete UH Category Parameter record.

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

1. Start the **UH Category Parameter 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 Category Parameter** 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.

2.6.3 Authorize UH Category Parameter Record

This topic provides the systematic instructions to authorize UH Category Parameter record.

Authorize an unauthorized **UH Category Parameter** in the system for it to be processed as follows:

1. Start the **UH Category Parameter 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 want to authorize.
The **UH Category Parameter** screen is displayed.
5. Select **Authorize** operation from the Action List.

2.7 Process Account Type Maintenance Detail

This topic provides the systematic instructions to capture account type level rules/limits.

You can maintain preferences for account type using **Account Type Maintenance Detail** screen.

1. On **Home** screen, type **UTDACTYP** in the text box, and click **Next**.
The **Account Type Maintenance Detail** screen is displayed.

Figure 2-33 Account Type Maintenance Detail

2. On **Account Type Maintenance Detail** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-31 Account Type Maintenance Detail - Field Description

Field	Description
Account Type	<i>Alphanumeric; 2 Characters; Mandatory</i> Specify the account type. This adjoining option list displays all valid account type maintained in the system. You can choose the appropriate one.
Account Description	<i>Display</i> The system displays the description for the selected account type.
Effective Date	<i>Date Format; Mandatory</i> Specify the date from which the setup is applicable.
Min Age In Years	<i>Numeric; 3 Characters; Optional</i> Specify minimum age validated during UH creation for individuals. This adjoining option list displays the minimum age in years options maintained in the system. You can choose the appropriate one. The minimum age maintained will be validated during account creation.
Max Age In Years	<i>Numeric; 3 Characters; Optional</i> Specify maximum age validated during inflow transaction for individuals. This adjoining option list displays the maximum age in years options maintained in the system. You can choose the appropriate one.
Joined Holding Allowed	<i>Optional</i> Select if the joined holding is allowed or not from the adjoining drop-down list. Following are the options available: • Yes • No
Non residents Allowed	<i>Optional</i> Select if the non residents are allowed or not from the adjoining drop-down list. Following are the options available: • Yes • No
Investor Type	<i>Optional</i> Select the investor type from the drop-down list. The list displays the following values: • Individual • Corporate • Both
Details	The section displays the following fields.
Investor Type	<i>Optional</i> Select the investor type from the drop-down list. The list displays the following values: • Individual • Corporate
From Date	<i>Date Format; Optional</i> Specify From date .

Table 2-31 (Cont.) Account Type Maintenance Detail - Field Description

Field	Description
To Date	<i>Date Format; Optional</i> Specify To date. The investment amounts maintained here will be validated against the total investment made using this account type between From and To date. Once this account is created, you will not be able to open another account with same account type under CIF within the From and To date range. However, you can map to another joint account, either, secondary or third holder. This field will be validated only for first holder.
Currency	<i>Alphanumeric; 3 Characters; Optional</i> Specify the currency details. This adjoining option list displays the valid currency code maintained in the system. You can choose the appropriate one.
Min Inv Amt	<i>Alphanumeric; 30 Characters; Optional</i> Specify minimum investment amount validated during inflow transactions applicable for date range between from and to date.
Max Inv Amt	<i>Alphanumeric; 30 Characters; Optional</i> Specify maximum investment amount validated during inflow transactions applicable for date range between from and to date.
Min RSP Amount	<i>Alphanumeric; 30 Characters; Optional</i> Specify minimum RSP amount validated during RSP transactions applicable for date range between from and to date.
No of Accounts Permitted	<i>Numeric; 22 Characters; Optional</i> Specify the number of accounts that can be opened between from and to date range. Select one of the following options to select if ref type should be included or not: • Exclude • Include
Applicable Inflow and Outflow Ref Types	The section displays the following fields.
Transaction Type	<i>Alphanumeric; 2 Characters; Mandatory</i> Specify the transaction type to be considered for limit check. This adjoining option list displays the valid transaction type maintained in the system. You can choose the appropriate one.
Transaction Type Description	<i>Display</i> The system displays the description for the selected transaction type.
Ref Type	<i>Alphanumeric; 2 Characters; Mandatory</i> Specify the ref type to be considered for limit check. This adjoining option list displays the valid ref type maintained in the system. You can choose the appropriate one.
Ref Type Description	<i>Display</i> The system displays the description for the selected ref type.

2.8 Account Type Maintenance Summary

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

Retrieve Account Type Maintenance Record

1. On **Home** screen, type **UTSACTYP** in the text box, and click **Next**.
The **Account Type Maintenance Summary** screen is displayed.

Figure 2-34 Account Type Maintenance Summary

2. On **Account Type 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**
 - **Account Type**
 - **Effective Date**
 - **Joint Holding Allowed**
 - **Non Residents Allowed**
 - **Investor Type**
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 **Account Type**
- Press F8

4. Perform **Edit**, **Delete**, **Authorize**, 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 **Account Type** by using the combination of % and alphanumeric value as follows:

- Search by A%: The system will fetch all the records whose **Account Type** starts from Alphabet 'A'. For example, AGC17, AGVO6, AGC74 and so forth.
- Search by %7: The system will fetch all the records whose **Account Type** ends by numeric value '7'. For example, AGC17, GSD267, AGC77 and so forth.
- Search by %17%: The system will fetch all the records whose **Account Type** contains the numeric value 17. For example, GSD217, GSD172, AGC17 and so forth.
- [View Account Type Maintenance Record](#)
This topic provides the systematic instructions to view Account Type Maintenance record.
- [Delete Account Type Maintenance Record](#)
This topic provides the systematic instructions to delete Account Type Maintenance record.
- [Authorize Account Type Maintenance Record](#)
This topic provides the systematic instructions to authorize Account Type Maintenance record.

2.8.1 View Account Type Maintenance Record

This topic provides the systematic instructions to view Account Type Maintenance record.

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

1. Start the **Account Type Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **Account Type Maintenance Detail** screen is displayed.

2.8.2 Delete Account Type Maintenance Record

This topic provides the systematic instructions to delete Account Type Maintenance record.

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

1. Start the **Account Type 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 **Account Type 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.

2.8.3 Authorize Account Type Maintenance Record

This topic provides the systematic instructions to authorize Account Type Maintenance record.

Authorize an unauthorized **Account Type Maintenance** record in the system for it to be processed as follows:

1. Start the **Account Type 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 want to authorize.
The **Account Type 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.

2.9 Financial Intelligence Centre Act (FICA)

This topic provides information on Financial Intelligence Centre Act (FICA).

This topic contains the following sub-topics:

- [Maintain Financial Intelligence Centre Act](#)
This topic provides information on maintaining Financial Intelligence Centre Act (FICA).
- [Subscription Transaction Rule](#)
This topic provides information on subscription transaction rule.

- [Redemption Transaction Rule](#)
This topic provides information on redemption transaction rule.
- [Transfer Transaction Rule](#)
This topic provides information on transfer transaction rule.
- [System Validations](#)
This topic provides information on system validations.

2.9.1 Maintain Financial Intelligence Centre Act

This topic provides information on maintaining Financial Intelligence Centre Act (FICA).

The **Financial Intelligence Centre Act (FICA)** came into full operation on 30 June 2003. FICA enforces the fund houses to produce identity to their customers. The identity can be produced based on the information given by the customer such as some identification document, residential address via utility bills or any other legal rental/ lease agreements and so forth. The non-FICA customers are constrained to only certain transactions. Following are the list of transactions that are restricted to non-FICA customers.

2.9.2 Subscription Transaction Rule

This topic provides information on subscription transaction rule.

As per Subscription Transaction rule, the following conditions are applied:

1. Individual subscription/purchase transaction value should not exceed 50,000 ZAR.
2. In case of recurring premiums/ debit order setups should not exceed 25,000 ZAR per year.

2.9.3 Redemption Transaction Rule

This topic provides information on redemption transaction rule.

As per Redemption Transaction rule, the following conditions are applied:

1. If the first investment is done within a year from the redemption transaction date, then the redemption transaction will not be allowed for the non-FICA customers.
2. If the purchase transaction exceeds FICA limit 50k ZAR or any debit order captured exceeds the limit of 25k ZAR p.a., then the redemption transaction will not be allowed for the non-FICA customers.

2.9.4 Transfer Transaction Rule

This topic provides information on transfer transaction rule.

There are two transactions in the Transfer Transaction rule, namely, Transfer Out and Transfer In. As per the Transfer Transaction rule, Transfer Out follows **Redemption Transaction Rule** and Transfer In follows **Subscription Transaction Rule**. During the Unit Holder Amendment, if you change the Correspondence address or the last name, the system would reset the KYC. You need to manually set it again. However, a warning message will be put up before resetting.

The following information needs to be entered in the **KYC DtIs** in the **UH Maintenance** screen:

- KYC Purchase Limit
- KYC Annual Debit Order Limit

2.9.5 System Validations

This topic provides information on system validations.

Table 2-32 System Validations

Type of Transaction	System Validation
Policy Capture	If Initial Investment is available within the KYC Redemption Period, then warning message will be displayed, else the conditions specified below should be checked: • If there are any top ups exceeding the KYC Purchase Limit, warning message will be displayed. • If there is any active Policy Premium whose annualized amount exceeds KYC Annual Debit Order Limit, then warning message will be displayed?
Policy Top Up	If the client is not KYC compliant and Product is KYC applicable, Top Up Investment KYC Purchase Limit.
Policy SI Generation	No Validation and premium/ annuities would generate irrespective of the KYC checks.
Subscription	If client is not KYC compliant, Subscription Amount KYC Purchase Limit.
Switch	No Validation
Transfer	This mode will follow Redemption validation for the From Unit Holder and Subscription for the To Unit Holder .
Subscription Debit Order Generation	No Validation
Policy surrender	If Client is KYC compliant, no validation will take place. If Client is not KYC Compliant and Product Level if KYC is applicable, validation is true. If any initial investment is applicable within the KYC Redemption period, the transaction capture is not allowed; else the following conditions will be checked: • If the KYC Purchase Limit within KYC Redemption period exceeds the top ups, then transaction capture will not be allowed. • If the Start Date of the new Policy Premium is within the KYC Redemption Period, and the annual amount exceeds the KYC Annual Debit Order Limit, transaction capture is not allowed. • Pseudo switch in transactions will be ignored for validation.

Table 2-32 (Cont.) System Validations

Type of Transaction	System Validation
Redemption	Pseudo switch transactions to be ignored for validation Flow of validations: Clients is KYC compliant – No validation Client is not KYC compliant If any Initial Investment (Identified by Transaction Sub Type) is available within the KYC Redemption Period, then a warning message will be displayed, else the conditions specified below should be checked: • If there is any subscription that exceeds the KYC Purchase Limit, then a warning message will be displayed. • If there is any new debit order whose annualized amount exceeds KYC Annual Debit Order Limit, then a warning message will be displayed.

Example

Let, KYC Purchase Limit = R 50000

KYC Annual Debit Order Limit = R 25000

KYC Redemption Period (In months) = 12

Assuming UH1 is not KYC Compliant and Product OMPR1 is KYC Applicable.

- **Case 1:**
User tries to capture policy with initial investment of R 55000 for UH1 in OMPR1 – System would restrict this as it breaches the limit of R 50000
- **Case 2:**
User tries to capture initial investment of R 45000 for UH1 in OMPR1 with premium amount as R 2500 per month – System would restrict this as the annualized premium amount i.e. $R\ 2500 \times 12 = R\ 30000$ exceeds the KYC Annual Debit Order Limit.
- **Case 3:**
UH1 is KYC compliant and below are the transaction details:

Table 2-33 Transaction details

Date	Transaction Type	Product	Amount
1/1/2007	Initial Investment	OMGR1	45000
1/4/2007	Top Up	OMGR1	55000

On 1st Jun 2007 user changes clients name which makes the client KYC Non compliant.

User tries to capture surrender transaction on 1/Sep/2007 for UH1 in OMPR1 for R 40000. This operation would fail as there is a Top Up transaction within the KYC Redemption Period of 12 months that breaches the limit of R 50000.

- **Case 4:**

UH1 is KYC compliant and below are the transaction details:

Table 2-34 Transaction details

Date	Transaction Type	Product	Amount
1/1/2007	Initial Investment	OMGR1	45000

There is a monthly premium starting from 1st Feb 2007 and ending on 1st Feb 2009 for R 3000.

On 1st Jun 2007 user changes clients name which makes the client KYC Non compliant.

User tries to capture surrender transaction on 1/Sep/2007 for UH1 in OMPR1 for R 40000. This operation would fail as there is a policy premium that is captured within the KYC Redemption Period for which annualized amount is R 36000 and this exceeds the KYC Annual Debit Order Limit.

- **Case 5:**

UH1 is KYC compliant and below are the transaction details:

Table 2-35 Transaction details

Date	Transaction Type	Product	Amount
1/1/2006	Initial Investment	OMGR1	45000

There is a monthly premium starting from 1st Feb 2006 and ending on 1st Feb 2009 for R 3000.

On 1st Jun 2007 user changes clients name which makes the client KYC Non compliant.

User tries to capture surrender transaction on 1/Sep/2007 for UH1 in OMPR1 for R 40000. This operation would be allowed as there is no Top Up or Policy Premium captured within the KYC Redemption Period i.e. 1st Sep 2006 onwards.

Basis date for the validations would be transaction date.

2.10 Escheatment Tracking

This topic provides information on escheatment tracking.

Tracking Escheatment Process

Escheatment Tracking is the process by which a unit holder who is inaccessible is located. In such a case, the contact information of the unit holder does not reflect the current location, which is not known. In such a case, an **Stop Code** must be assigned to the unit holder account, and certain stop instructions are also placed on the account.

To assign an **Stop Code** for escheatment tracking, you must perform an information change on the unit holder account. In the **Client Preferences** section, select the appropriate **Stop Code** in the **Stop Code** field.

The implications of assigning either an **IRS Notification** or an **Stop Code** to the account are shown below:

Table 2-36 Implications of assigning IRS Notification or Stop Code

Account Characteristics (in Client Preferences)	Value	Inflow	Outflow	Standing Instructions Status	Tax	Dividend payment
Stop code	StopCode1	Allowed	Not allowed	Paused	Based on TDS	Based on Income Distribution Setup
Stop code	StopCode2	Not allowed	Not allowed	Paused	Tax deducted	Reinvestment
IRS notification	Incorrect reporting of Tax ID	Allowed	Not allowed	-	Tax deducted	Reinvestment only
IRS Notification	Under Reporting	Allowed	Not allowed	-	Tax deducted	Reinvestment only

For an **IRS Notification** or **Stop Code**, you must specify the date up to which the stop status on the account will prevail. The BOD process on the next business date after this date will unlock the account and revoke its frozen status.

In case of multiple stop codes mapped to the Unit Holder as per below scenario where both **Forced Dividend Reinvestment** and **Forced Dividend Payout** are **Applicable** then **Forced Dividend Reinvestment** will have preference over **Forced Dividend Payout**.

Table 2-37 Stop Code and Restriction

Stop Code	Restriction
Stop Code 1	Forced Dividend Reinvestment - Applicable
Stop Code 2	Forced Dividend Payment – Applicable

In case of multiple stop codes mapped to the unit holder as per below scenario where both **Forced Dividend Reinvestment** and **Forced Dividend Payout** are **Not Applicable** then system will consider the UH IDS and if no UH IDS available for the UH, then system will consider the fund.

Table 2-38 Stop Code and Restriction

Stop Code	Restriction
Stop Code 1	Forced Dividend Reinvestment - Not Applicable
Stop Code 2	Forced Dividend Payment – Not Applicable

2.11 Export of Unit Holder Information

This topic gives information to export unit holder account master information in respect of all valid unit holders in the system as on a given date, to external agencies.

Oracle FLEXCUBE Investor Servicing provides interfaces that would enable export of unit holder account master information in respect of all valid unit holders in the system as on a given date, to external agencies.

The interfaces facilitate the export of the following information:

- Complete and exhaustive unit holder account information for all valid unit holders as on the export date, which would comprise all fields in the New Account Detail screen.
- Complete information for all valid unit holders, whose accounts have been modified and then authorized, on the export date.

The implementers at your installation configure these interfaces according to your requirements. You can use Online Execution of Interfaces menu item in the **Batch** menu to execute these interfaces and perform the export.

2.12 Process KYC Chasing Details

This topic provides the systematic instructions to override the chasing details mentioned in KYC details at **Unit Holder Maintenance** using **KYC Chasing Details** screen even when Unit Holder is at unauthorized stage.

For any modification of KYC details at **Unit Holder Maintenance** screen, the system will create a new KYC chasing details in **KYC Chasing Detail** screen.

If any unauthorized chasing information already exists in **KYC Chasing Detail** screen, you cannot create a new chasing information. The system will display Unauthorized chasing information record already exists error message.

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

The **KYC Chasing Details** screen is displayed.

Figure 2-35 KYC Chasing Details

- On **KYC Chasing Details** screen, specify the fields.

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

Table 2-39 KYC Chasing Details - Field Description

Field	Description
Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the Unit Holder ID . Click Find UH button to query unit holder ID.
Chasing Date	<i>Date Format; Mandatory</i> Specify the Chasing Date . The Chasing Date can be backdated.
Chased By	<i>Alphanumeric; 255 Characters; Mandatory</i> Specify the user ID.
Chased Method	<i>Mandatory</i> Select the chased method from the adjoining drop-down list. The following are the options available: • Fax • E-mail • Phone
Comments	<i>Alphanumeric; 255 Characters; Optional</i> Specify comments, if any.

2.13 KYC Chasing Summary

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

Retrieve KYC Chasing Record

- On **Home** screen, type **UTSKYCCD** in the text box, and click **Next**.

The **KYC Chasing Summary** screen is displayed.

Figure 2-36 KYC Chasing Summary

KYC Chasing Summary

Search Advanced Search Reset Clear All Records per page 15

Search Criteria (Search Is Case Sensitive)

Authorization Status Record Status Unit Holder ID

Search Results Lock Columns 0

Authorization Status	Record Status	Unit Holder ID	Chasing Date	Chased By	Chased Method	Comments
No data to display.						

Page 1 of 1 | < 1 >

Exit

2. On **KYC Chasing 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**
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.

You can search the record for **Unit Holder ID** by using the combination of % and alphanumeric value as follows:

 - Search by A% :- System will fetch all the records whose **Unit Holder ID** starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
 - Search by %7 :- System will fetch all the records whose **Unit Holder ID** ends by numeric value '7' . For example: AGC17, GSD267, AGC77 etc.
 - Search by %17%:- System will fetch all the records whose **Unit Holder ID** contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc.
- [Edit KYC Chasing Record](#)

This topic provides the systematic instructions to edit KYC Chasing record.
- [View KYC Chasing Record](#)

This topic provides the systematic instructions to view KYC Chasing record.
- [Delete KYC Chasing Record](#)

This topic provides the systematic instructions to delete KYC Chasing record.
- [Authorize KYC Chasing Record](#)

This topic provides the systematic instructions to authorize KYC Chasing record.
- [Amend KYC Chasing Record](#)

This topic provides the systematic instructions to amend KYC Chasing record.
- [Authorize Amended KYC Chasing Record](#)

This topic provides the systematic instructions to authorize amended KYC Chasing record.

2.13.1 Edit KYC Chasing Record

This topic provides the systematic instructions to edit KYC Chasing record.

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

1. Start the **KYC Chasing 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 **KYC Chasing 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 **KYC Chasing Detail** screen is closed and the changes made are reflected in the **KYC Chasing Summary** screen.

2.13.2 View KYC Chasing Record

This topic provides the systematic instructions to view KYC Chasing record.

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

1. Start the **KYC Chasing Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **KYC Chasing Detail** screen is displayed.

2.13.3 Delete KYC Chasing Record

This topic provides the systematic instructions to delete KYC Chasing record.

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

1. Start the **KYC Chasing 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 **KYC Chasing 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.

2.13.4 Authorize KYC Chasing Record

This topic provides the systematic instructions to authorize KYC Chasing record.

Authorize an unauthorized **KYC Chasing** record in the system for it to be processed as follows:

1. Start the **KYC Chasing 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 want to authorize.
The **KYC Chasing 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.

2.13.5 Amend KYC Chasing Record

This topic provides the systematic instructions to amend KYC Chasing 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 **KYC Chasing 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 want to amend.
The **KYC Chasing 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.

2.13.6 Authorize Amended KYC Chasing Record

This topic provides the systematic instructions to authorize amended KYC Chasing record.

Authorize an amended product 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.

2.14 Process Unit Holder Currency of Expression

This topic provides the systematic instructions to specify the currency of expression for the unit holder fund combination by selecting the fund price currency/fund base currency as **Unit Holder Currency of Expression (UHCOE)**.

Unit Holder Currency of Expression (UHCOE) will default on authorization of Transactions of COE funds.

This maintenance is a multi-grid and you can maintain multiple funds and the corresponding fund price currency as currency of expression for a unit holder.

1. On **Home** screen, type **UTDUHCOE** in the text box, and click **Next**.
The **Unit Holder Currency of Expression** screen is displayed.

Figure 2-37 Unit Holder Currency of Expression

2. On **Unit Holder Currency of Expression** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-40 Unit Holder Currency of Expression - Field Description

Field	Description
Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the unit holder ID. Alternatively, you can select unit holder ID by clicking Find UH button.
Unit Holder Name	<i>Display</i> The system displays the unit holder name.
Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Specify the Fund ID . Alternatively, you can select fund ID from the option list. The list displays all valid Currency of Expression(COE) enabled fund ID maintained in the system. Based on the fund ID selected corresponding list of currencies will be displayed in the option list. (Fund Base Currency and Fund Price Currency for the fund selected).
Fund Name	<i>Display</i> The system displays the fund name for the selected fund ID.
Currency of Expression	<i>Alphanumeric; 3 Characters; Mandatory</i> Specify the currency of expression. Alternatively, you can select currency of expression from the option list. The list displays all valid currency of expression maintained in the system. You can maintain only one currency, i.e., either Fund Base currency or any of the fund price currencies for that fund as currency of expression for a UH-Fund combination. The record can be modified or deleted post maintenance. The system will validate this while saving and displays an error message as Only Fund Base Currency or Fund Price Currency can be selected.
Currency Name	<i>Display</i> The system displays the currency name for the selected currency of expression ID. After maintaining the Unit Holder Currency of Expression (UHCOE) , if one of the FPC is removed and that currency is UHCOE for a UH, then defaulting at Transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC. At the UHCOE maintenance this can be operationally controlled. Note: If there is no Unit Holder Currency of Expression (UHCOE) maintained, then the system will default a currency for the UH and Fund combination.

2.15 Unit Holder Currency of Expression Summary

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

Retrieve Unit Holder Currency of Expression Details

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

The **Unit Holder Currency of Expression Summary** screen is displayed.

Figure 2-38 Unit Holder Currency of Expression Summary

2. On **Unit Holder Currency of Expression 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**
 - **Unit Holder Name**
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**, and **Authorize** 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 **Unit Holder ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Unit Holder ID** starts from Alphabet 'A'. For example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Unit Holder ID** ends by numeric value '7'. For example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Unit Holder ID** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.

- [Edit Unit Holder Currency of Expression Details](#)
This topic provides the systematic instructions to edit Unit Holder Currency of Expression details.
- [View Unit Holder Currency of Expression Details](#)
This topic provides the systematic instructions to view Unit Holder Currency of Expression details.
- [Delete Unit Holder Currency of Expression Details](#)
This topic provides the systematic instructions to delete Unit Holder Currency of Expression details.
- [Authorize Unit Holder Currency of Expression Details](#)
This topic provides the systematic instructions to authorize Unit Holder Currency of Expression details.
- [Amend Unit Holder Currency of Expression Details](#)
This topic provides the systematic instructions to amend Unit Holder Currency of Expression details.
- [Authorize Amended Unit Holder Currency of Expression Details](#)
This topic provides the systematic instructions to authorize amended Unit Holder Currency of Expression details.

2.15.1 Edit Unit Holder Currency of Expression Details

This topic provides the systematic instructions to edit Unit Holder Currency of Expression details.

Modify the details of **Unit Holder Currency of Expression** details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Unit Holder Currency of Expression 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 **Unit Holder Currency of Expression** 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 **Unit Holder Currency of Expression** screen is closed and the changes made are reflected in the **Unit Holder Currency of Expression Summary** screen.

2.15.2 View Unit Holder Currency of Expression Details

This topic provides the systematic instructions to view Unit Holder Currency of Expression details.

View a record that you have previously input by retrieving the same in the **Unit Holder Currency of Expression Summary** screen. Perform this operation as follows:

1. Start the **Unit Holder Currency of Expression Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **Unit Holder Currency of Expression** screen is displayed.

2.15.3 Delete Unit Holder Currency of Expression Details

This topic provides the systematic instructions to delete Unit Holder Currency of Expression details.

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

1. Start the **Unit Holder Currency of Expression 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 **Unit Holder Currency of Expression** 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.

2.15.4 Authorize Unit Holder Currency of Expression Details

This topic provides the systematic instructions to authorize Unit Holder Currency of Expression details.

Authorize an unauthorized **Unit Holder Currency of Expression** details in the system for it to be processed as follows:

1. Start the **Unit Holder Currency of Expression 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 want to authorize.

The **Unit Holder Currency of Expression** 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.

2.15.5 Amend Unit Holder Currency of Expression Details

This topic provides the systematic instructions to amend Unit Holder Currency of Expression details.

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

1. Start the **Unit Holder Currency of Expression 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 want to amend.

The **Unit Holder Currency of Expression** 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.

2.15.6 Authorize Amended Unit Holder Currency of Expression Details

This topic provides the systematic instructions to authorize amended Unit Holder Currency of Expression details.

Authorize an amended **Unit Holder Currency of Expression** detail 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.

2.16 Process Investor Commitment Detail

This topic provides the systematic instructions to capture the investor's commitments details for a closing call of the fund.

Investors commitment is captured against a Closing Call. It is available in AGY module. Gateway and REST features are supported.

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

The **Investor Commitment Detail** screen is displayed.

Figure 2-39 Investor Commitment Detail

- On **Investor Commitment Detail** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-41 Investor Commitment Detail - Field Description

Field	Description
Commitment Details	The section displays the following fields.
Commitment Number	<i>Display</i> It displays the system generated commitment number.
Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the Unit Holder ID of the commitment. Enter either any of the values or all values. Click Find UH button to find the unitholder options.
Unit Holder Name	<i>Display</i> It displays the name of the unitholder.
Fund ID	<i>Mandatory</i> Specify the fund Id of the closing call. It fetches the fund that are only maintained in the fund capital call.
Fund Name	<i>Display</i> It displays the fund name of the closing call.
Commitment Currency	<i>Display</i> It displays the fund capital call currency.
Purpose	<i>Alphanumeric; 255 Characters; Mandatory</i> Specify the purpose of the commitment.
Closing Call Number	<i>Numeric; Mandatory</i> Specify the closing call number and it displays eligible closing call number.

Table 2-41 (Cont.) Investor Commitment Detail - Field Description

Field	Description
Status	<i>Mandatory</i> Specify the status of the commitment from the drop-down list and the default value displayed is Active. The list displays the following values: • Active • Closed • Outstanding • Completed
Active	It is the default value of the system.
Closed	The user can mark the status as Closed when unitholder wants to move out. The status cannot be changed from Closed to Active.
Outstanding	The system will update the status as outstanding when payment is rejected. Note: In case any investor has not made payment against any Tranche, UH commitment Status will be updated as Outstanding either on. • Tranche closing date + Grace days as part of FMG EOD Batch (or) • During Next tranche creation whichever is the earliest.
Completed	The system will update the status as Completed when the entire amount committed is paid by the investor. Note: System driven status change during EOD Batch, • Status can be changed from Active to Outstanding. • Status can be changed from Active to Completed. User driven status change, • Status can be changed from Active to Closed. • Status can be changed from Outstanding to Closed.
Commitment Amount	<i>Numeric; Optional</i> Specify the commitment amount of the investor on the fund.
Other Details	The section displays the following fields.
Commitment Type	<i>Mandatory</i> Specify the type of the commitment from the drop-down list and the default value displayed is New. The list displays the following values: • New • Take Over Note: In case of Take Over commitments, commitment amount will be derived by the system.
Transferred From UH	<i>Alphanumeric; 12 Characters; Optional</i> Specify the Transferred from UH. Click Find UH button to find the unitHolder options. Note: In case Commitment Type is Take Over, Transferred from UH will be mandatory. From UH Commitment Status should be Closed.
Transferred From UH Name	<i>Display</i> It displays the Transferred From UH Name.

Table 2-41 (Cont.) Investor Commitment Detail - Field Description

Field	Description
Commitment Utilized	<i>Display</i> Commitment utilized is derived as sum of the amount of Cleared capital call Tranche transactions for the investor. It displays the commitment utilized.
Commitment Unutilized	<i>Display</i> Commitment unutilized is derived as (Investor commitment - Commitment utilized). It displays the commitment unutilized.
Commitment Utilized Percentage	<i>Display</i> Commitment utilized percentage is computed as (Commitment utilized/ Investor commitment)*100. It displays the commitment utilized percentage.

2.17 Investor Commitment Summary

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

Retrieve Investor Commitment Record

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

The **Investor Commitment Summary** screen is displayed.

Figure 2-40 Investor Commitment Summary

2. On **Investor Commitment 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**

- **Commitment Number**
 - **Closing Call Number**
 - **Fund ID**
 - **Unit Holder ID**
 - **Commitment Type**
 - **Status**
 - **Transferred From UH**
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 applicable values
- Press F8

4. Perform **Edit**, **Delete**, **Copy**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
- [Edit Investor Commitment Record](#)
This topic provides the systematic instructions to edit Investor Commitment record.
 - [View Investor Commitment Record](#)
This topic provides the systematic instructions to view Investor Commitment record.
 - [Delete Investor Commitment Record](#)
This topic provides the systematic instructions to delete Investor Commitment record.
 - [Authorize Investor Commitment Record](#)
This topic provides the systematic instructions to authorize Investor Commitment record.
 - [Amend Investor Commitment Record](#)
This topic provides the systematic instructions to amend Investor Commitment record.
 - [Authorize Amended Investor Commitment Record](#)
This topic provides the systematic instructions to authorize amended Investor Commitment record.

2.17.1 Edit Investor Commitment Record

This topic provides the systematic instructions to edit Investor Commitment record.

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

1. Start the **Investor Commitment 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 **Investor Commitment 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 **Investor Commitment Detail** screen is closed and the changes made are reflected in the **Investor Commitment Summary** screen.

2.17.2 View Investor Commitment Record

This topic provides the systematic instructions to view Investor Commitment record.

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

1. Start the **Investor Commitment Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **Investor Commitment Detail** screen is displayed.

2.17.3 Delete Investor Commitment Record

This topic provides the systematic instructions to delete Investor Commitment record.

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

1. Start the **Investor Commitment 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 **Investor Commitment 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.

2.17.4 Authorize Investor Commitment Record

This topic provides the systematic instructions to authorize Investor Commitment record.

Authorize an unauthorized **Investor Commitment** record in the system for it to be processed as follows:

1. Start the **Investor Commitment 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 want to authorize.

The **Investor Commitment 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.

2.17.5 Amend Investor Commitment Record

This topic provides the systematic instructions to amend Investor Commitment 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 **Investor Commitment 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 want to amend.

The **Investor Commitment 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.

2.17.6 Authorize Amended Investor Commitment Record

This topic provides the systematic instructions to authorize amended Investor Commitment record.

Authorize an amended **Investor Commitment** for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module.

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

2.18 Process Capital Call Clearing Detail

This topic provides the systematic instructions to track the collections made against the tranches done.

It is available in AGY module. In case of LCL and GLB payments, the respective AGY to be logged in for payment clearing.

1. On **Home** screen, type **UTDCCCLR** in the text box, and click **Next**.
The **Capital Call Clearing Detail** screen is displayed.

Figure 2-41 Capital Call Clearing Detail

2. On **Capital Call Clearing Detail** screen, specify the fields.
For more information on fields, refer to the field description table.

Table 2-42 Capital Call Clearing Detail - Field Description

Field	Description
Tranche Number	<i>Alphanumeric; 16 Characters; Mandatory</i> Specify the tranche number. Alternatively, you can select tranche number from LOV which list all the values available in the system.
Fund ID	<i>Alphanumeric; 6 Characters; Optional</i> Specify the fund ID of the tranche.
Tranche Reference Number	<i>Alphanumeric; 16 Characters; Optional</i> Specify the Tranche Reference Number .
Unit Holder ID	<i>Alphanumeric; 12 Characters; Optional</i> Specify the Unit Holder ID of the tranche. Click Find UH button to list all unitholders available in the system.

Table 2-42 (Cont.) Capital Call Clearing Detail - Field Description

Field	Description
Operation Type	<i>Alphanumeric; 3 Characters; Optional</i> Specify the operation type of clearing and the default value displayed is View All. The list displays the following values: • View All • View Cleared • View Rejected • Clearing - Pending Clearing • Authorize - Unauthorized Cleared/Rejected • View Tranche Revoked • Delete Clearing
Show Details button	Click Show Details button to display the eligible tranche transaction records available for the operations to perform. User can choose either Cleared or Rejected option for any record that has not been Cleared/Rejected/Tranche Revoked and the default Payment Status for this will be Pending Clearing. when the operation is Clearing - Pending Clearing, following fields are enabled, • Clearing Date • Payment Status • Remarks • Late Paid • Number of Days Delayed • Penalty Interest

Table 2-42 (Cont.) Capital Call Clearing Detail - Field Description

Field	Description
Submit button	Click Submit button to perform Clear, Authorize, or Reject operation. This button will be disabled for all sort of view operations. Once the record is Cleared/Rejected, records will be available for authorize operation. Before authorization of a record, if the maker wishes to reset the payment status for that record, then it can be done through Delete Clearing operation. Once cleared records are Authorized, system will generate the transactions with following attributes: • Ref Type – CC • Transaction Mode will be Amount based • Gross Type • Payment Mode as Transfer • Auto Authorized • Remarks – Capital Call Transaction • Transaction Sub Type – (P - Capital Call) Clearing Date will be taken as user overridden transaction date that excludes cutoff time derivation on the transaction date. Investor should have a Default Bank account for fund base currency and the system will validate it before clearing the records. Even if transaction date basis is closing date, paid date and settlement date will be the actual clearing date. Transaction will be auto/system generated with the transaction date being equal to the clearing date or closing date. This will be based on fund capital call maintenance. Maker ID/ Checker ID will be authorizer ID of clearing record. Clearing Date must be less than or equal to Application Date. In GTA Setup, Clearing has to be done from their respective AGY branches. Transaction number will be visible once the transaction is successfully generated. Capital Call transactions will be allocated with Allocation Price maintained in tranche maintenance screen during subsequent EOD. Factors such as Allocation Lag, Price Lag and Specific Fund Price - Cut off are not considered for the same. Capital Call transactions are excluded as Part of NAV correction process. Except Allocation and NAV correction, there is no impact on other process like Dividend processing, Corporate Actions, etc., Reversal of UT or Modification of UT transaction will not impact commitment utilization. In case of failure, error message and its reason will be displayed in the screen. During clearing of UH commitment record, If (amount already utilized + Capital Call Threshold amount) > = Current UH commitment amount. Then system will mark the record as complete. Capital Call Threshold Amount is maintained as a parameter in the system. Clearing cannot be executed at same time for same fund from two different AGY branches. Pre-EOD check is done at AGY Level and Branch Sign off Level to validate Number of Unauthorized Capital Call Clearing records.
Reset button	Click this button to reset the given values.

Table 2-42 (Cont.) Capital Call Clearing Detail - Field Description

Field	Description
Clearing Details	The section displays the following fields.
Process	It displays if process for clearing details is applicable or not from the drop-down list. The list displays the following values: • Yes • No
Authorization Status	<i>Display</i> It displays the status of the capital call clearing record.
Clearing Date	Specify the clearing date of the unitholder commitment record.
Payment Status	<i>Display</i> It displays the payment status of the unitholder commitment record.
Remarks	Specify the remarks of the unitholder commitment record.
Commitment Number	<i>Display</i> It displays the commitment number.
Unit Holder ID	<i>Display</i> It displays the unitholder ID.
Unitholder Tranche Amount	<i>Display</i> It displays the unitholder tranche amount.
Capital Call Currency	<i>Display</i> It displays the fund capital call currency.
Late Paid	Select if user has cleared payment lately or not from the drop-down list. The list displays the following values: • Yes • No
Number of days delayed	Specify the number of days delayed.
Penalty Interest	Specify the number of days penalty interest for late payment.
Transaction Number	<i>Display</i> It displays the UT transaction number.
Transaction Result	<i>Display</i> It displays the UT transaction generation result.
Failure Reason	<i>Display</i> It displays the failure reason.

3

Entities - Set Up Investor Preferences

This topic explains about setting up of income distribution options, specifying the applicability of the Letter of Intent facility, setting up a negotiated deal, specifying non-tax limits for exemption eligible investors.

After you have created an authorized unit holder account for an investor, you can set up any or all of the following investment preferences for the same, as and when requested.

- Setting up of income distribution options for a combination of funds, policy and products the investor has invested in.
- Specifying the applicability of the Letter of Intent facility, at the investor's behest.
- Setting up a negotiated deal for the investor.
- Specifying non-tax- limits for exemption eligible investors.

You set up these preferences at the investor's behest, and these will govern the maintenance of the investor's account and processing aspects of any transactions requested by the investor.

This topic contains the following sub-topics:

- [Process Income Distribution Setup Detail](#)
This topic provides the systematic instructions to setup the income distribution option for an investor.
- [Income Distribution Setup Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Unitholder Deal Maintenance Detail](#)
This topic provides the systematic instructions to set up a deal for an investor.
- [Unitholder Deal Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Letters of Intent](#)
This topic provides information on letters of intent.
- [Process Unit Holder LOI Setup Detail](#)
This topic provides the systematic instructions to set up the options requested by the investor for a **Letter of Intent**.
- [Unit Holder LOI Setup Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Perform LOI Adjust Proc](#)
This topic provides the systematic instructions to process LOI Adjustment.
- [Process UH Non Tax Limits Detail](#)
This topic provides the systematic instructions to set up the prescribed limits for taxable holdings for an eligible investor.

- [UH Non Tax Limits Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Unit Holder IRRF Preference Detail](#)
This topic provides the systematic instructions to set up unit holder preferences for the IRRF component.
- [Unit Holder IRRF Preference Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Unit Holder NPI Preference Detail](#)
This topic provides the systematic instructions to set up an Unit Holder NPI payment preference.
- [Unit Holder NPI Preference Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Fund UH Category Minimum Holding Period Detail](#)
This topic provides the systematic instructions to capture the minimum holding period at Fund/ UH category/Transaction Type level.
- [Fund UH Category Minimum Holding Period Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process UnitHolder Status Change Detail](#)
This topic provides the systematic instructions to close an unit holder account.
- [UnitHolder Status Change Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Auth Rep Maintenance Detail](#)
This topic provides the systematic instructions to set up a new authorized representative in the system and associate this representative with the unit holder.
- [Auth Rep Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Notepad of Entities Detail](#)
This topic provides the systematic instructions to use the Entity Notepad facility.
- [Notepad of Entities Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Agency Branch Account Officer Maintenance Detail](#)
This topic provides the systematic instructions to map the Agency branch and Account officer to the respective agent code.
- [Agency Branch Account Officer Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Account Officer IFA Maintenance Detail](#)
This topic provides the systematic instructions to map the Account Officer and the IFA.
- [Account Officer IFA Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.

- [Process Agent Price Basis Detail](#)
This topic provides the systematic instructions to maintain component details for the required fund, transaction type, agent code and account type combination for formula based funds.
- [Agent Price Basis Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process AMC Agent SLA Maintenance Summary](#)
This topic provides the systematic instructions to set the distribution hierarchy for the agent in a AMC.
- [Process Tax Credit](#)
This topic provides the systematic instructions to maintain tax credit details.

3.1 Process Income Distribution Setup Detail

This topic provides the systematic instructions to setup the income distribution option for an investor.

When investors put their capital into any funds of the AMC, they derive earnings out of any dividend declared by the fund at any juncture.

Also, an intermediary (such as a broker) designated for a fund derives commission earnings from the transactions in the fund.

Investors may wish to choose the manner in which they could use the dividend income. Similarly, brokers could wish to choose the manner in which they could use their commission earnings.

They could wish to:

- Receive the entire earnings, dividend or commission, as payment, either entirely through checks or account transfer, or a combination of both.
- Not receive the earnings by way of payment, but invest the earnings back into the funds of the AMC. This is known as **Reinvestment**. The earnings could be reinvested either back into the same fund, or different funds. Also, the reinvestment could be made into any other investor's account too.
- Receive a portion of the earnings by way of payment, and reinvest the remaining portion.

The option chosen by the investor to use dividend or commission earnings, as the case may be, is known as the **Income Distribution Setup (IDS)** option for the investor or broker.

Income distribution options can be set up for both;

- UT transactions
- Policy transactions

You can capture this option for any investor or broker for a combination of fund, policy and product in the **Oracle FLEXCUBE Investor Servicing** system.

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

The **Income Distribution Setup Detail** screen is displayed.

Figure 3-1 Income Distribution Setup Detail

2. You can set up the IDS option in this screen.

Specify the investor for whom the option is being set up, by indicating the CIF account associated with the unit holder, or the unit holder ID.

Note

Income distribution options are only setup at a unit holder account level, and not at a CIF account level.

- Specify the fund for which the option is applicable, in the **Fund ID** field. You can also specify the **ISIN Code** for the fund. For LEP transactions, you can specify a combination of fund, policy and product, for which the option is applicable. The option you will set up will be applied only for dividend earnings on the fund/ combination of fund, product and policy you select here.
 - Specify the broker for whom the pattern is being setup, in the **Broker Code** field.
 - Specify the mode of distribution, in the **Distribution Mode** field.
 - Specify the percentages that represent the portions of dividend earnings to be paid and reinvested, as desired by the investor, in the **Payment Percentage** and **Reinvestment Percentage** fields.
 - Specify the payment details for the paid portion, in the **Payment Details** section, and the reinvestment details, for the reinvestment portion, in the **Reinvestment Details** section.
 - Save your changes.
3. On **Income Distribution Setup Detail** screen, click **New** to enter the details.
- For more information on fields, refer to the field description table.

Table 3-1 Income Distribution Setup Detail - Field Description

Field	Description
Client Information	Select the ID of the unit holder for whom you are creating an income distribution setup record in this section.

Table 3-1 (Cont.) Income Distribution Setup Detail - Field Description

Field	Description
Unit Holder	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the CIF unit holder for whom you are creating an income distribution setup record from the list.
CIF Number	<i>Display</i> The system displays the number of the CIF Account under which the unit CIF Number is displayed when you select/ locate a unit holder by clicking Find UH button.
UH Name	<i>Display</i> The system displays name of the unit holder. Click Find UH button to query for unit holder details.
Rule Effective Date	<i>Date Format; Mandatory</i> Select rule effective date from the adjoining calendar.
Details	In this section, you can indicate the fund, policy and product, the income earnings from which will be distributed according to the IDS options you are creating for the selected unit holder. Various combinations at which the Unitholder IDS options can be set up, in order of preference are: Product + Policy + Fund level Product + Fund level In case of LEP transactions, if the UH IDS is not available, the dividend earnings will be reinvested into the default reinvestment fund maintained for the product in the Product Maintenance Detail screen. However, if the reinvestment fund is not defined, then the dividend is reinvested into the source fund itself. You can also indicate the manner in which the income must be distributed.
Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Select the ID of the fund from which the selected investor derives income, which will be distributed according to the IDS options you are creating in this screen. If the selected investor receives income from many funds, then you must create the IDS options for the income from each fund in this screen as applicable, if so requested by the investor. When you specify the ID of the fund, the ISIN code of the fund is displayed in the ISIN Code field.
ISIN Code	<i>Display</i> The system displays the ISIN Code for the selected Fund ID .
Product ID	<i>Alphanumeric; 10 Characters; Optional</i> Select the ID of product from which the investor derives income, which will be distributed according to the IDS options you are creating in this screen. This field is not applicable if you are setting up IDS options for UT transactions.
Product Name	<i>Display</i> The system displays the name of the product for the selected product ID.

Table 3-1 (Cont.) Income Distribution Setup Detail - Field Description

Field	Description
Policy Number	<i>Alphanumeric; 16 Characters; Optional</i> Select the policy from which the investor derives income, which will be distributed according to the IDS options you are creating in this screen. This field is not applicable if you are setting up IDS options for UT transactions.
Distribution Mode	<i>Mandatory</i> Indicate the manner in which the selected investor prefers to avail of income earned in the selected fund from the list. This could be any of the following: Full Payment: Choose this option to indicate that the investor prefers to receive the entire income derived from an income distribution cycle in the selected fund as a payment. Further, the investor can choose to avail of payment either in the form of a check, or an account transfer. Full Reinvestment: Choose this option to indicate that the investor prefers to reinvest the entire income derived from an income distribution cycle in the selected fund into another fund. In such a case, the fund into which the earned income is reinvested must belong to the same fund family as the fund from which the income was earned. Further, the investor can choose to have the income reinvested either in the investor's own unit holder account or the account of another investor. In the latter case, the investor in whose account the reinvestment is proposed (i.e., the Reinvestment Unit Holder) must belong to the same AMC as the source investor. Both: Choose this option to indicate that the investor prefers to have the income derived from an entire income distribution cycle in the selected fund divided into two portions, receive one portion as payment, and reinvest the remaining portion. Note: - In some funds in which reinvestment is not allowed, according to the Corporate Action profile for the fund, the investor cannot choose to have income earnings reinvested. In such cases, this field is validated with the Full Payment option displayed as a non-editable default option. Also, the Payment Percentage field is locked with a default, non-editable value of one hundred percent displayed, and the Reinvestment Percentage field is locked with a default, non-editable value of zero percent displayed. - If you have chosen the distribution mode as Full Reinvestment or Both, and the reinvestment fund has a restriction on the nationality of the investor as maintained in the Fund Residency Restriction list, then reinvestment is not allowed at all. For some funds, the option of allowing the investor to decide the income distribution mode is restricted. The default distribution mode specified in the fund rules is considered for such funds, and an investor cannot decide the same at account level by making a specification in this field.

Table 3-1 (Cont.) Income Distribution Setup Detail - Field Description

Field	Description
Payment Percentage	<i>Numeric; 5 Characters; Optional (Mandatory if distribution mode is either Both or Full Payment)</i> Specify the percentage of income earned that the investor prefers to receive by way of payment. - If the distribution mode chosen is Both, specify a percentage that is below one hundred percent. - If the distribution mode chosen is Full Payment, this field contains one hundred percent as a default value. If so, you cannot specify any other value. - If the distribution mode chosen is Full Reinvestment, and the reinvestment is disallowed for the selected fund, this field contains one hundred percent as a default value. If so, you cannot change it.
Reinvestment Percentage	<i>Display</i> The system displays the percentage of income earned that the investor prefers to reinvest into another fund. - If the distribution mode chosen is Both, the system displays a percentage that is below one hundred percent. - If the distribution mode chosen is Full Reinvestment, this field contains one hundred percent as a default value. If so, you cannot specify any other value. - If the distribution mode chosen is Full Reinvestment, and the reinvestment is disallowed for the selected fund, this field contains zero as a default value. If so, you cannot change it.
Payment Currency	<i>Alphanumeric; 3 Characters; Optional</i> Select the currency in which the unit holder wishes the payment to be made. All currencies maintained in the system are available for selection. In case Payment Mode is transfer then the system looks for a bank account in the opted payment currency for the unit holder. If such an account does not exist, you can choose (in Transfer Details section) any multi-currency account maintained for the unit holder subject to the following conditions: - The Distribution Mode is Full Payment/ Both - The Mode of Payment is Transfer - The Payment Type is Self Also the fund should have a bank account in this currency. In the event of failure of any one of the two criteria an error will be displayed. Note: The default value here would be the unit holder base currency.
Currency Name	<i>Display</i> The system displays the name of the currency for the selected payment currency. Note: If client country UHFUNDRESTRICT is turned ON, the system will validate: - The investor for whom income distribution setup is done (Unit Holder) must belong to the same AMC as the fund from which income is derived. - The investor in whose account the reinvestment is proposed (Examples, the Reinvestment Unit Holder) must belong to the same AMC as the fund from which income is derived.

- [Payment Details Tab](#)
This topic explains the payment details tab of **Income Distribution Setup Detail** screen.
- [Reinvestment Details Tab](#)
This topic explains the reinvestment details tab of **Income Distribution Setup Detail** screen.
- [Routing Details Tab](#)
This topic explains the routing details tab of **Income Distribution Setup Detail** screen.

3.1.1 Payment Details Tab

This topic explains the payment details tab of **Income Distribution Setup Detail** screen.

1. On **Income Distribution Setup Detail** screen, click **Payment Details** tab.
The **Payment Details** are displayed.

Figure 3-2 Income Distribution Setup Detail_Payment Details Tab

2. On the **Payment Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 3-2 Payment Details - Field Description

Field	Description
Payment Mode	<i>Optional</i> Select the mode in which the investor prefers to receive the paid portion of the income earned – either in the form of a check or an account transfer from the drop-down list. The list displays the following values: • Cheque-Cheque • Transfer-Transfer

Table 3-2 (Cont.) Payment Details - Field Description

Field	Description
Payment Type	<i>Optional</i> Indicate whether the check payment instrument must be addressed to the investor (self) or a third party from the drop-down list. The list displays the following values: • Self • Third Party • Entity You can also indicate that the payment check must be addressed to a broker, by selecting the Entity option. If you choose this option, you must indicate the broker to which the payment must be made. From the list, indicate whether the account transfer payment must be made to one of the investor's preferred bank accounts (self) or to the bank account of a third party. You can also indicate that the transfer payment must be made to the bank account of a designated broker, by selecting the Entity option in this field. If you select the Self option in this field, all the preferred bank accounts specified for the investor in the unit holder account are listed in the Bank Account field. The default designated account is displayed in the bank account fields, and will be reckoned as the account to which the transfer payment must be made. You can choose any of these preferred bank accounts, as requested by the investor. If you select the Third Party option in this field, then you must specify the bank account details of the third party account to which the transfer must be made, in the bank account fields in this section. If you select the Entity option, specify the broker into whose bank account the transfer payment must be made, in the Broker field.
A/C Opening Date	<i>Date Format, Mandatory</i> Specify the date on which you are creating the account. The application date is displayed here by default, and will be reckoned as the opening date for the account if you do not specify any other date in this field. You can specify an earlier date, if necessary.
Third Party Details	Note: The payment of income to a third party (i.e. a bank account that is not the investor account or a check that is not in favor of the investor) can be made only if such an installation level option is available.
Third Party Reference	<i>Alphanumeric; 255 Characters; Mandatory for 'Third Party' payment</i> Specify the name or reference of the third party for which the check instrument must be made out.
Address	<i>Alphanumeric; 255 Characters; Mandatory for 'Third Party' payment</i> Specify the address of the third party for which the check instrument must be made out.
City	<i>Alphanumeric; 20 Characters; Mandatory for 'Third Party' payment</i> Select the city of residence of the third party for which the check instrument must be made out.
US State/Non-US State	<i>Alphanumeric; 20 Characters; Mandatory for 'Third Party' payment</i> Select the state of residence of the third party for which the check instrument must be made out, if the state is a US State.

Table 3-2 (Cont.) Payment Details - Field Description

Field	Description
Zip Code	<i>Alphanumeric; 20 Characters; Mandatory for 'Third Party' payment</i> Specify the zip code of the city of residence of the third party for which the check instrument must be made out.
Entity Details	The section displays the following fields.
Entity Type	<i>Optional</i> Select the entity type from the drop-down list. The list displays the following values: Broker
Entity ID	<i>Alphanumeric; 12 Characters; Optional</i> If you have indicated that the payment (check or transfer) is to be made to a broker, specify the broker in this field. The name of the selected broker is displayed in the entity name field.
Entity Name	<i>Display</i> The entity name will be displayed for the entity type selected.
Transfer Details	The section displays the following fields.
Bank	<i>Alphanumeric; 12 Characters; Mandatory for Self payment type</i> Select the bank account to which the transfer payment of the income must be made. The details of the account you select are displayed in the bank account details fields. You must select a bank account for which the currency is a valid fund bank account currency so that the income payment transfer can be affected. If the payment type is Self, the bank account associated with the investor is defaulted from the unit holder level. If you have chosen Third Party as the payment type, select the name of the bank in which the transfer account is present, from the drop down list.
Branch	<i>Alphanumeric; 12 Characters; Mandatory for Third Party transfer payment</i> If the payment type is Self, the branch associated with the investor account is defaulted from the unit holder level. If you have chosen Third Party as the payment type, Specify the branch name of the bank in which the transfer account is present.
A/c Type	<i>Alphanumeric; 1 Character; Mandatory for Third Party transfer payment</i> Select the account type (Fixed, Savings or Current) of the transfer account.
A/c No	<i>Alphanumeric; 16 Characters; Mandatory for Third Party transfer payment</i> Specify the number of the transfer account.
A/c Ccy	<i>Alphanumeric; 3 Characters; Mandatory for Third Party transfer payment</i> Specify the currency of the transfer account. The currency specified here must be a valid fund bank account currency.

Table 3-2 (Cont.) Payment Details - Field Description

Field	Description
A/c Holder Name	<i>Alphanumeric; 100 Characters; Mandatory for Third Party transfer payment</i> Specify the name of the holder of the third party account.
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the International Bank Account Number (IBAN) of the account holder.

3.1.2 Reinvestment Details Tab

This topic explains the reinvestment details tab of **Income Distribution Setup Detail** screen.

1. On **Income Distribution Setup Detail** screen, click **Reinvestment Details** tab.
The **Reinvestment Details** are displayed.

Figure 3-3 Income Distribution Setup Detail_Reinvestment Details Tab

2. On the **Reinvestment Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 3-3 Reinvestment Details - Field Description

Field	Description
Reinvestment Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the ID of the unit holder in whose account the income is to be reinvested. When you select the ID of the reinvestment unit holder, the name of the unit holder is displayed in the Reinvestment Unit Holder Name field.
Reinvestment Unit Holder Name	<i>Display</i> The system displays the reinvestment unit holder name for the selected reinvestment unit holder ID.

Table 3-3 (Cont.) Reinvestment Details - Field Description

Field	Description
Reinvestment Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Select the ID of the fund in which the income is to be reinvested. The fund that you select here should be part of the same fund family as the fund from which the income was derived.
Split Percentage	<i>Numeric; 5 Characters; Mandatory</i> Specify the percentage of the derived income that is to be reinvested in the specified reinvestment unit holder's account, in the specified reinvestment fund. You can make any number of such entries, specifying a percentage for each combination. The sum total of all split percentages for all reinvestment unit holder – reinvestment fund ID combinations you have specified must be equal to one hundred percent. In this section, you can define the option in which the investor can reinvest income earnings from the selected fund. The investor can reinvest earned income in any of the following ways: - Reinvest either in the investor's own unit holder account, or another investor's account. In the latter case, the investor in whose account the reinvestment is proposed (that is, the Reinvestment Unit Holder) must belong to the same AMC as the source investor. - Reinvest the income in any other fund. If the investor desires to do this, the reinvestment fund must belong to the same fund family as the fund from which the income is derived. - Reinvest the income in as many target fund/unit holder combinations, subject to the constraints expressed above. This is again subject to the consideration that the sum of the percentages of reinvestment in all these combinations must be equal to 100. Note: The payment of income to a third party (i.e. a bank account that is not the investor account or a check that is not in favor of the investor) can be made only if such an installation level option is available. If you have chosen either Both or Full Reinvestment as the Distribution Mode, you must specify all information that is mandatory in this section. Note: In GTA setup and in Reinvestment Case: - In AGY without cross branching, Fund ID and Reinvestment Fund ID fields can have funds selected only within same segment. Unitholder ID and Reinvestment Unitholder ID fields can have UH selected only within same segment. - In AGY with cross branching, Fund ID and Reinvestment Fund ID fields can have funds selected across segments. Unitholder ID and Reinvestment Unitholder ID fields can have UH selected only within same segment.

3.1.3 Routing Details Tab

This topic explains the routing details tab of **Income Distribution Setup Detail** screen.

1. On **Income Distribution Setup Detail** screen, click **Routing Details** tab.

The **Routing Details** are displayed.

Figure 3-4 Income Distribution Setup Detail_Reinvestment Details Tab

Income Distribution Setup Detail

Save

Payment Details Reinvestment Details Routing Details

SWIFT format: Select Bank Charged: Select

Beneficiary Details

Beneficiary:

Beneficiary BIC Code:

Beneficiary Acct No:

Beneficiary Add1:

Beneficiary Add2:

Beneficiary Add3:

Beneficiary Code:

Beneficiary Info:

Beneficiary IBAN:

Audit Cancel

- On the **Routing Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 3-4 Routing Details - Field Description

Field	Description
Swift Format	<i>Optional</i> At the time of transaction input, the routing details specified here are picked up for the combination of fund, transaction type and transaction currency. The drop-down list displays the following values: • MT103 • MT202
Bank Charged	<i>Optional</i> Indicate whether the bank charges must be levied upon the beneficiary, the remitter or must be shared between the two. The drop-down list displays the following values: • Shared • Remit • Beneficiary
Beneficiary Details	The section displays the following fields.
Beneficiary	<i>Alphanumeric; 35 Characters; Optional</i> Specify the beneficiary name.
Beneficiary Add 1, 2, 3	<i>Alphanumeric; 105 Characters; Optional</i> Specify the beneficiary address. There are three lines available for the same.
Beneficiary BIC Code	<i>Alphanumeric; 24 Characters; Optional</i> Specify the BIC code of the beneficiary.
Beneficiary Acct No	<i>Alphanumeric; 34 Characters; Optional</i> Specify the account number of the beneficiary.
Beneficiary Code	<i>Alphanumeric; 24 Characters; Optional</i> Specify the code of the beneficiary.

Table 3-4 (Cont.) Routing Details - Field Description

Field	Description
Beneficiary Info	<i>Alphanumeric; 100 Characters; Optional</i> Enter more information about the beneficiary.
Beneficiary IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify beneficiary IBAN details.
Intermediary Details	The section displays the following fields.
Intermediary	<i>Alphanumeric; 35 Characters; Optional</i> Specify the intermediary detail.
Intermediary Add 1, 2, 3	<i>Alphanumeric; 105 Characters; Optional</i> Specify the intermediary address. There are three lines available for the same.
Intermediary BIC Code	<i>Alphanumeric; 24 Characters; Optional</i> Specify the BIC code of the Intermediary.
Intermediary Acct No	<i>Alphanumeric; 34 Characters; Optional</i> Specify the account number of the Intermediary.
Intermediary Code	<i>Alphanumeric; 34 Characters; Optional</i> Specify the code of the Intermediary.
Intermediary Info	<i>Alphanumeric; 100 Characters; Optional</i> Enter more information about the Intermediary.
Intermediary IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify intermediary IBAN details.
Further Credit Details	The section displays the following fields.
Further Credit Name	<i>Alphanumeric; 35 Characters; Optional</i> Specify Further Credit Name .
Further Credit Acct No	<i>Alphanumeric; 35 Characters; Optional</i> Specify further credit account number.
Reference	The section displays the following fields.
Reference1	<i>Alphanumeric; 35 Characters; Optional</i> Specify the reference details.
Reference2	<i>Alphanumeric; 35 Characters; Optional</i> Specify the reference details. Click Save to save all the details to proceed or click Cancel button to cancel the operation. Note: Only Query option is available for UTDFHIDS (Income Distribution Setup Detail) screen.

3.2 Income Distribution Setup Summary

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

Retrieve Income Distribution Setup Record

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

The **Income Distribution Setup Summary** screen is displayed.

Figure 3-5 Income Distribution Setup Summary

2. On **Income Distribution Setup 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**
 - **Entity Type**
 - **Product ID**
 - **Policy Number**
 - **Fund ID**
 - **Rule Effective Date**
 - **Latest Rule**
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 **Product 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.

You can search the record for **Product ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Product ID** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Product ID** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Product ID** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit Income Distribution Setup Record](#)
This topic provides the systematic instructions to edit Income Distribution Setup record.
- [View Income Distribution Setup Record](#)
This topic provides the systematic instructions to view Income Distribution Setup record.
- [Delete Income Distribution Setup Record](#)
This topic provides the systematic instructions to delete Income Distribution Setup record.
- [Authorize Income Distribution Setup Record](#)
This topic provides the systematic instructions to authorize Income Distribution Setup record.
- [Amend Income Distribution Setup Record](#)
This topic provides the systematic instructions to amend Income Distribution Setup record.
- [Authorize Amended Income Distribution Setup Record](#)
This topic provides the systematic instructions to authorize amended Income Distribution Setup record.

3.2.1 Edit Income Distribution Setup Record

This topic provides the systematic instructions to edit Income Distribution Setup record.

Modify the details of **Income Distribution Setup** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Income Distribution Setup 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 **Income Distribution Setup 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 **Income Distribution Setup Detail** screen is closed and the changes made are reflected in the **Income Distribution Setup Summary** screen.

3.2.2 View Income Distribution Setup Record

This topic provides the systematic instructions to view Income Distribution Setup record.

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

1. Start the **Income Distribution Setup Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **Income Distribution Setup Detail** screen is displayed.

3.2.3 Delete Income Distribution Setup Record

This topic provides the systematic instructions to delete Income Distribution Setup record.

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

1. Start the **Income Distribution Setup 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 **Income Distribution Setup Detail** screen is displayed.

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

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

3.2.4 Authorize Income Distribution Setup Record

This topic provides the systematic instructions to authorize Income Distribution Setup record.

Authorize an unauthorized **Income Distribution Setup** record in the system for it to be processed as follows:

1. Start the **Income Distribution Setup 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 want to authorize.

The **Income Distribution Setup Detail** screen is displayed.

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

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

3.2.5 Amend Income Distribution Setup Record

This topic provides the systematic instructions to amend Income Distribution Setup 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 **Income Distribution Setup 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 want to amend.

The **Income Distribution Setup 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.

When you retrieve an IDS setup record for the purpose of amendment in this screen, it is displayed in the **Income Distribution Setup Detail** screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

Note

When you make changes to any authorized record in the system database through the amendment operation, the record with the amended information is saved as an unauthorized record in the system. For your amendment changes to be effective, the amended record must be subsequently authorized. When it is authorized, it is saved in the system database as an authorized record with the amendment information, and is effective.

3.2.6 Authorize Amended Income Distribution Setup Record

This topic provides the systematic instructions to authorize amended Income Distribution Setup record.

Authorize an amended Income Distribution Setup record for the amendment to be made effective in the system. The authorization of amended records can be done only from Agency Branch module.

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

3.3 Process Unitholder Deal Maintenance Detail

This topic provides the systematic instructions to set up a deal for an investor.

Process Unitholder Deal Maintenance Detail

1. On **Home** screen, type **UTDUHDEL** in the text box, and click **Next**.
The **Unitholder Deal Maintenance Detail** screen is displayed.

Figure 3-6 Unitholder Deal Maintenance Detail

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

Table 3-5 Unitholder Deal Maintenance Detail - Field Description

Field	Description
Client Information	In this section, select the ID of the unit holder for whom you are specifying deal options. You can create deals for both authorized and unauthorized unit holders/CIF. If a deal is created for an unauthorized unit holder, the unit holder/CIF record must be authorized before the deal authorization process is put through. Else, the unit holder deal cannot be authorized.
Unit Holder/ CIF Number	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the unit holder or CIF account number for whom you are creating the deal options from the list. When you specify the CIF number, the name of the corresponding CIF account is retrieved from the database and displayed alongside the field.
Name	<i>Display</i> The system displays the name of the ID of the non-CIF unit holder for whom you are setting up the deal in this screen. You can search unit holder or CIF number by clicking Find Unit Holder button.

Table 3-5 (Cont.) Unitholder Deal Maintenance Detail - Field Description

Field	Description
Deal Details	In this section, specify the level at which the deal must be applied for the selected unit holder.
Deal Transaction Number	<i>Display</i> The system displays the deal transaction number of the deal while saving.
Status	<i>Mandatory</i> By default, the status of all newly created deals in this screen is Active . However, you can select the status from the drop-down list. The list displays the following values: • Active • Cancelled
Apply at CIF Level	<i>Mandatory</i> Select Yes to indicate that the deal options you are setting up must be applicable to all unit holder accounts under the selected CIF customer account. Note: When the deal is applied at CIF level, a similar set up is not possible at unit holder account level for the same fund / group and load, and vice versa.
Apply Deal At	<i>Mandatory</i> Select and indicate whether the deal must be applied on a single load (Load Level), a particular load for a fund (Fund Level), all funds in a load group (Load Group Level) or a Product (Product Level) from the list. The options in the drop-down list are as follows: • Load Level • Load Group Level • Fund Level • Product Level Note: If you select the option Product Level or Fund Level, the fields Fund and ISIN Code will be displayed. These two fields are explained below.
Product ID	<i>Alphanumeric; 10 Characters; Optional</i> Specify the product for which the deal is to be applied.
Product Name	<i>Display</i> The system displays the name of the product for the selected product ID.
Fund ID	<i>Alphanumeric; 6 Characters; Optional if Product Level, Mandatory if Fund Level</i> This field will be displayed only if you have selected the option Product Level or Fund Level against the field Apply At . If you have selected the option Product Level, you can set up a deal for the investor at the Product level. You have the option of specifying a particular fund to which the Load that you select applies. If you do not select a fund, the load that you select will be applicable to all funds mapped to the Product. If you have selected the option Fund Level, from the list, select the fund for which the deal would apply, for the selected unit holder.
Fund Name	<i>Display</i> The system displays the name of the fund for the selected fund ID.

Table 3-5 (Cont.) Unitholder Deal Maintenance Detail - Field Description

Field	Description
Deal Based On	<i>Alphanumeric; 1 Character; Optional</i> Select the deal based on from the following options maintained: Inclusion Percentage, then the calculation of taxes are as follows: - Basis Annual Tax = Gross Annualized Amount * Load Return Value - Annual Tax = Apply the Product With Holding Tax slab basis load on Basis Annual Tax Flat Rate Percentage, then the annual tax is calculated as: Annual Tax = Policy Annuity Value * Load Return Value Flat Rate Amount, then the annual tax is calculated as: - Basis Amount = Load Return Value * 12 and - Effective Rate = Basis Amount * 100 / Gross Annualized Amount - Annual Tax = (Gross Annualized Amount * Effective Rate) / 100 Note: An option All is also available to map a load across all the products for a Policy Holder. If All is selected, then the funds cannot be selected.
Description	<i>Display</i> The system displays the description for the selected deal based on details.
Policy Number	<i>Alphanumeric; 16 Characters; Optional</i> Specify the policy for which the deal is to be applied.
Effective Start Date	<i>Date Format, Mandatory</i> Enter the date from which the deal is to be effective. Specify the date on and following which, the deal options must be applied for transactions for the selected unit holder, in the manner indicated in this record.
Effective End Date	<i>Date Format, Mandatory</i> Enter the date to which the deal is to be effective. Specify the last date on which, the deal options must be applied for transactions for the selected unit holder, in the manner indicated in this record.
Tax Type	<i>Optional</i> You will be able to select the tax type only if you have selected Apply At as Product Level. The investor will be charged for tax and the tax rate will be calculated based on the method of tax calculation you specify. Following are the options available in the adjoining drop-down list: Directives Instructions Aggregation

Table 3-5 (Cont.) Unitholder Deal Maintenance Detail - Field Description

Field	Description
Directives	Tax Directives is the tax rate provided by the SARS to the investors. The investors, in turn will instruct the tax that has to be deducted. Accordingly, the system will deduct the tax rate specified by the investor instead of the tax slab that is maintained in the Withholding Tax Setup screen. Refer the topic <i>Maintain Reference Information</i> for details on maintaining tax slabs. Based on the tax directive submitted by the investor at the UH level, the UH deal for the tax load will be maintained.
Instructions	Tax Instructions is the tax rate suggested by the investors to deduct the tax. However, the system will compare the suggested tax rate with that of the tax slabs maintained. If the value of the suggested tax rate is lower than the maintained tax slab, the system can apply the higher value of the tax rate. Note: The tax directive or the tax instruction is at the policy level and not at the UH level.

Table 3-5 (Cont.) Unitholder Deal Maintenance Detail - Field Description

Field	Description
Aggregation	This is allowed only if Tax Aggregation is allowed at product level. If Product ID is selected as All in UH deal then the system will look at those products where Tax Aggregation is checked for the product. If tax directive is maintained in UH-Deal then tax instruction or tax aggregation will not be allowed to maintain for the same deal effective period. Tax instruction and tax directive are mutually exclusive. When a tax directive is maintained in UH-Deal then existing tax instruction or tax aggregation (for the same UH/product/policy/deal effective period), if any, will be marked as cancelled. You cannot maintain multiple directives/instructions/aggregation for the same deal effective period. When directive is maintained in UH deal, the system will directly use this value to compute WHT. When tax instruction or aggregated value is maintained then system will project WHT based on Tax-instruction and aggregation, higher of these will be used for WHT deduction. Internally, the system will track whether slab or directive or instruction or Aggregation was applied for each annuity. When deal is based on flat rate amount, then it needs to apply directly to the Annuity irrespective of the frequency. The return value would be tax amount payable per annuity frequency and not the annualized value. If both Tax Aggregation and Instructions are maintained then the system will take the rate with higher tax outgo. In Product maintenance if Annuity Tax Computation basis is Policy, then rebate also will be at Policy level. In case of any UH deal (Directive/Aggregation/Instruction) rebate will not be given. It will be applied only on Default slab. If Unit Holder has multiple policies under one product and the deal based on is selected as Flat rate percentage and UH Deal Tax Type is Directive, then the annuity tax must be calculated at each policy gross annualized annuity amount level. For instance, If POL1 and POL2 are two policies under a UH, with 3000 and 2000 as respective annuities and assuming 10% is the flat rate deal maintained at the UH deal level, then the system should charge an annuity tax of 300 and 200 respectively each month. When Annuity Tax Computation Basis at product Level is Policy Holder and the UH Deal Tax Type is Directive (Deal Based On is selected as Flat Rate), the system calculates the annual tax on each policy's gross annualized annuity amount, if UH has many policies under the same product. Multiple deals for same deal type/ UH/Product/policy combination will not be supported. Note: Unit Holder can have multiple policies under one product and if the UH Deal Tax Type is Directive (Deal Based On is selected as Flat Rate), the system will compute annuity tax on each policy's gross annualized annuity amount.
Group ID	<i>Alphanumeric; 16 Characters; Optional</i> Select the load for which you want to specify the new return value as required for the deal from the list. For all transactions for the selected unit holder in the selected fund, that occur between the deal start and end dates, for which the selected load is applicable, the deal will be applied.

Table 3-5 (Cont.) Unitholder Deal Maintenance Detail - Field Description

Field	Description
Load ID	<i>Numeric, 5 Characters; Mandatory if the deal is to be applied for all funds in a load group (Load Group Level)</i> Select the load group for which the deal would apply, for the selected unit holder from the list. For all transactions for the selected unit holder in any fund belonging to this load group, that occur between the deal start and end dates, the deal will be applied on the selected load.
Load Description	<i>Display</i> The system displays the description for the selected load ID.
Load Calculation Method	<i>Display</i> The system displays the Load method that is used for calculating the Load when you choose the load ID.
Amount or Percentage	<i>Display</i> This field is defaulted depending on whether the load ID selected is an amount based load or a percentage based load.

3. Specify the altered return value for the selected load that is applicable as required for the deal in the **Load Details** section.
4. Click **Default Load Details** button.
The **Load Details** that are maintained gets defaulted in this tab.
5. View the following details for each load that you select in the **Load** field in the **Deal Details** section.

The following details are displayed in this section, in display mode:

- **Slab Sequence No**, if any and their applicable boundaries.
 - **From Date**
 - **To Date**
 - **From Amount**
 - **To Amount**
 - **From Units**
 - **To Units**
 - **From Period**
 - **To Period**
 - **Return Value**: The original **Return Value** for the load.
 - **Override To**
6. View the following details in the **Derived Load Details** section.
The following details are displayed:
 - **Load ID**
 - **Description**
 - **Load Percentage: Amount or Percentage** (this is the basis on which the return value for the selected load is derived)
 - **Override To**

7. Specify the new return value applicable for the load, as required for the deal, in the **Override To** field and click **Exit** button.

This topic contains the following sub-topics:

- [Set Up Deal for Investor](#)
This topic provides the systematic instructions to set up deal for investor.
- [Set Up the Deal](#)
This topic provides the systematic instructions to set up the deal.

3.3.1 Set Up Deal for Investor

This topic provides the systematic instructions to set up deal for investor.

When you map a charge (or load) to a fund, or a load group, the loads are applied to transactions requested by all investors that transact in the fund or load group subject to the evaluated criteria of the loads matching the unit holder and the transaction.

In some cases, the AMC may wish to offer a special, unique load option to be applied on all transactions involving a specific CIF Account or unit holder. This could also be at the request of the investor. This special load option would override the existing load option mapped to the fund or load group. Such a load option is called a **deal** for an investor.

The deal consists of specifying a new return value for any or all of the loads mapped to the fund or load group. You specify the new return value against an existing return value that is based on a percentage or a fixed amount for the load.

You can set up a deal:

- For a specific unit holder under a CIF customer account.
- For all unit holders under a CIF account.
- For a single, non-CIF unit holder.
- To be applicable to all transactions of the selected unit holder/ CIF unit holder in a specific fund.
- To be applicable to all transactions of the selected unit holder/ CIF unit holder in any or all of the funds under a specific load group.
- To be applicable on a specific load that has been mapped to a fund or load group.

The usage of a negotiated deal is different from an over-the-counter load override. Negotiated deals are generally done for special customers with pre-defined business agreements that are exceptional to the normal business rules.

3.3.2 Set Up the Deal

This topic provides the systematic instructions to set up the deal.

Set up the deal in the **UH Deal Setup Detail** screen as follows:

- Select the investor (or CIF Account) for whom the deal is being setup, in the **CIF Number** or the **Unit Holder ID** field.
- Select the level at which the deal is to be applied.
- To set a deal as applicable to all unit holders under a CIF, check the **Apply at CIF Level** check box.
- To set a deal as applicable at either a load level, fund/product level or load group level, choose the desired option in the **Apply Deal at** field.

- Specify the period, during which the deal is applicable, by indicating the start and end dates, in the **Effective Start Date** and **Effective End Date** fields.
- If the deal is applicable for a fund, select the desired fund in the **Fund ID** field, and the **ISIN Code** of the fund, in the **ISIN Code** field.
- If the deal is applicable for a load group, select the desired load group in the **Load Group** field.
- If the deal is applicable for a specific load that is mapped to the selected fund or load group, select the desired load in the **Load ID** field.
- In the **Load Details** section, specify the overridden return value that is to be deemed applicable for the required slab, in the **Override To** field.
- Save your changes.

3.4 Unitholder Deal Summary

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

Retrieve Unitholder Deal Record

You can perform any of the following operations before the record is authorized, after you set up the **Deal** options for an investor in the **UH Deal Setup Detail** screen:

- Edit the specified options in the setup. At this stage, you can alter any of the details.
- Delete the setup.

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

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

Figure 3-7 Unitholder Deal Summary

2. On **Unitholder Deal Summary** screen, specify any or all of the following details in the corresponding fields:
 - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
 - **Record Status**

- **Unit Holder/ CIF Number**
 - **Apply At CIF Level**
 - **Apply Deal At**
 - **Load ID**
 - **Effective Start Date**
 - **Effective End Date**
3. Click **Search** button to view the records.

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

Note

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

- Press F7
- Input the **Load 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.

You can search the record for **Load ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Load ID** starts from Alphabet 'A'. For example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Load ID** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Load ID** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit Unitholder Deal Record](#)
This topic provides the systematic instructions to edit Unitholder Deal record.
- [View Unitholder Deal Record](#)
This topic provides the systematic instructions to view Unitholder Deal record.
- [Delete Unitholder Deal Record](#)
This topic provides the systematic instructions to delete Unitholder Deal record.
- [Authorize Unitholder Deal Record](#)
This topic provides the systematic instructions to
- [Amend Unitholder Deal Record](#)
This topic provides the systematic instructions to amend Unitholder Deal record.
- [Authorize Amended Unitholder Deal Record](#)
This topic provides the systematic instructions to authorize amended Unitholder Deal record.

3.4.1 Edit Unitholder Deal Record

This topic provides the systematic instructions to edit Unitholder Deal record.

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

1. Start the **Unitholder Deal Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

You can only modify records that are unauthorized. Accordingly, choose the **Unauthorized** option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

All unauthorized records with the specified details are retrieved and displayed in the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

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

3.4.2 View Unitholder Deal Record

This topic provides the systematic instructions to view Unitholder Deal record.

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

1. Start the **Unitholder Deal Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

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

3.4.3 Delete Unitholder Deal Record

This topic provides the systematic instructions to delete Unitholder Deal record.

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

1. Start the **Unitholder Deal Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.
All records with the specified fields are retrieved and displayed in the screen.
4. Double-click the record that you want to delete in the list of displayed records.
The **Unitholder Deal 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.

3.4.4 Authorize Unitholder Deal Record

This topic provides the systematic instructions to

Authorize an unauthorized **Unitholder Deal** record in the system for it to be processed as follows:

1. Start the **Unitholder Deal Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.
3. Specify any or all of the details and click **Search** button.
All records with the specified details that are pending authorization are retrieved and displayed in the screen.
4. Double-click the record that you want to authorize.
The **Unitholder Deal Maintenance Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.
When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

3.4.5 Amend Unitholder Deal Record

This topic provides the systematic instructions to amend Unitholder Deal 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 **Unitholder Deal Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.
You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

3.4.6 Authorize Amended Unitholder Deal Record

This topic provides the systematic instructions to authorize amended Unitholder Deal record.

1. Authorize an amended **Unitholder Deal** 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.

2. When you retrieve a deal record for the purpose of amendment in this screen, it is displayed in the **UH Deal Setup Detail** screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

Note

When you make changes to any authorized record in the system database through the amendment operation, the record with the amended information is saved as an unauthorized record in the system. For your amendment changes to be effective, the amended record must be subsequently authorized. When it is authorized, it is saved in the system database as an authorized record with the amendment information, and is effective.

3. Cancel an existing negotiated deal if needed by changing the status to cancel. When you authorize this change, the deal set up is nullified.

3.5 Letters of Intent

This topic provides information on letters of intent.

An investor may promise to invest a certain volume of capital in the funds of the AMC within a certain period. Sometimes, the AMC offers the investor a reduced commission or charge for such investment. Such indemnification from the investor is known as a **Letter of Intent (LOI)**.

Any investor that chooses to invest using a **Letter of Intent** is known as an **LOI investor** in the system.

Example

An investor, Mrs. Frances Smith, promises to bring in investment worth 500000 USD to the Terry Wynan Growth Fund floated by your AMC, within the space of 3 months dating from 5th May 2003. She indemnifies this through a Letter of Intent. On 5th May 2003, she makes her first investment of 100000 USD.

This means that by the 4th of August, 2003, Mrs. Smith promises to invest the remaining indemnified amount (i.e., 500000 USD – 100000 USD = 400000 USD) in the said fund. She could do so in one transaction worth 400000 USD, or a series of transactions cumulatively worth 400000 USD.

Let us suppose the following charge option for the Terry Wynan Growth Fund, as defined by your AMC for normal investment:

Table 3-6 Example

Slab	From Amount	To Amount	Charge percentage per transaction
1	0	100000	5
2	100000	200000	4
3	200000	300000	3
4	300000	400000	2
5	400000	500000	1

Let us suppose that Mrs. Smith fulfills her Letter of Intent investment in the pattern specified below after 5th May 2003.

Table 3-7 Example

Transaction Reference Number	Transaction Date	Transaction Amount
LOIREF1	05-05-2003	100000
LOIREF2	20-05-2003	100000
LOIREF3	05-06-2003	100000
LOIREF4	20-06-2003	100000
LOIREF5	05-07-2003	100000

For the transaction LOIREF1, the charge percentage actually applied would be as follows:

Slab for LOIREF1, as a normal transaction: Slab 1

Charge Percentage for normal investment transaction, as per charge setup: 5%

LOI Amount: 500000 USD

Slab for LOI Amount: Slab 5.

Charge Percentage actually applied for LOIREF1: 1% of transaction amount = 1% of 100000 USD.

Similarly, the applicable charge percentages for each of the LOI fulfillment transactions are derived, and they are displayed below:

Table 3-8 Example on LOI Fulfillment Transactions Are Derived

Transaction Reference Number	Transaction Date	Transaction Amount	Charge actually applied
LOIREF1	05-05-2003	100000	1%
LOIREF2	20-05-2003	100000	1%
LOIREF3	05-06-2003	100000	1%
LOIREF4	20-06-2003	100000	1%
LOIREF5	05-07-2003	100000	1%

Each investment made by Mrs. Smith after 5th May 2003 into the fund, will reduce the **Letter of Intent** amount remaining to be fulfilled. The amount remaining to be fulfilled is known as the **Used Up** amount.

With the last investment on 5th July 2003, the **Letter of Intent** amount is fulfilled, or is said to be **Used Up**.

An investor that has opted to invest through a **Letter of Intent** can reduce the used up Letter of Intent amount within the defined period, by any of the following transactions:

- IPO or subscription transactions
- Standing instructions that result in subscription, switch or redemption transactions.
- Switch transactions
- Redemption transactions
- Transactions resulting from reinvestment of income.

This topic contains the following sub-topics:

- [Non-fulfilling of Letter of Intent](#)
This topic provides information on non-fulfilling of letter of intent.
- [Prior Warning Report](#)
This topic provides information on prior warning report.
- [Post-Adjustment Report](#)
This topic provides information on post-adjustment report.

3.5.1 Non-fulfilling of Letter of Intent

This topic provides information on non-fulfilling of letter of intent.

If an investor does not bring in the investment amount promised in a letter of intent, before the expiry of the **Letter of Intent**, it constitutes non-fulfillment, and the AMC can recover the applicable commission that would have been due without the **Letter of Intent**.

The system monitors the fulfillment of **Letter of Intent**.

The following facilities are available in the system:

3.5.2 Prior Warning Report

This topic provides information on prior warning report.

On the date that marks the beginning of the start of the lead time period for the lead group, a prior warning report is generated by the system during the **Beginning of Day (BOD)** process. This report contains information about those **Letter of Intent** that have not been fulfilled as on that date.

For instance, if the letter of intent expires on 15th June 2002 and the lead-time specified for the lead group is 10 days, a BOD process is executed on 5th June 2002 to ascertain whether the investor has satisfied the letter of intent amount agreed upon. This verification is performed for all **Letter of Intent**.

The report identifies and displays the following information for each **Letter of Intent** for any investor which is unfulfilled as on the date that marks the beginning of the lead time period:

- LOI Number
- LOI start date

- LOI end date (expiry date)
- LOI amount
- Amount fulfilled or used up as on the current date.
- Amount remaining unfulfilled as on the current date. This is computed as the difference between the LOI amount and the Amount Used Up as on the current date.
- The Load Group to which the fund belongs, for which the LOI has been set up for the investor.
- The lead time period specified for the load group.

3.5.3 Post-Adjustment Report

This topic provides information on post-adjustment report.

In the event of non-fulfillment of a **Letter of Intent**, you can obtain a report (known as the post adjustment report) that displays the actual commission that would have been due on any transactions entered into by the investor, had the **Letter of Intent** not been applied.

3.6 Process Unit Holder LOI Setup Detail

This topic provides the systematic instructions to set up the options requested by the investor for a **Letter of Intent**.

In **Oracle FLEXCUBE Investor Servicing**, you can set up any or all of the following options for investors who choose to invest through a **Letter of Intent**, at the investor's behest:

1. The period during which the **Letter of Intent** will be fulfilled.
2. The amount indemnified in the **Letter of Intent**.
3. The load group in which the investor seeks to invest, through a **Letter of Intent**.
4. The applicability of standing instruction transactions as a means of fulfilling **Letter of Intent** (i.e., reducing the LOI used up amount).
5. The applicability of transactions put through earlier than the **Letter of Intent** period start date, as a means of reducing the **Letter of Intent** used up amount. Any period earlier than the start date is known as a **Prior Period**.
6. The duration of a prior period, if applicable.
7. For an LOI investor, you can designate any transaction requested by the investor as an LOI transaction, at the investor's request. By so doing, the transaction will be taken into account to reduce the used up **Letter of Intent** amount.

Note

For an investor, you can only set up one **Letter of Intent** options record for a load group.

1. On **Home** screen, type **UTDUHLOI/ UTDUHLOA** in the text box, and click **Next**.
The **Unit Holder LOI Setup Detail** screen is displayed.

Figure 3-8 Unit Holder LOI Setup Detail

- On **Unit Holder LOI Setup Detail** screen, click **New** to enter the details.

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

Table 3-9 Unit Holder LOI Setup Detail - Field Description

Field	Description
Apply At	<i>Mandatory</i> Select the applicability of the Letter of Intent setup to all unit holders under a CIF Account from the drop-down list. The list displays the following values: • UH Level • CIF Level
First Name	<i>Display</i> The system displays the first name of the unit holder.
UHID/CIF No.	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the CIF unit holder for whom you are creating the Letter of Intent options from the list. When you specify the CIF number, the name of the corresponding CIF account is retrieved from the database and displayed alongside the field. All the unit holder accounts under the CIF account that you have selected are listed in the option list in the unit holders for CIF field.
LOI Number	<i>Alphanumeric; 12 Characters; Optional</i> Specify the LOI Number .
LOI End Date	<i>Date Format; Mandatory</i> Indicate the latest date by which the investor would fulfill the amount indemnified in the Letter of Intent .
LOI Start Date	<i>Date Format; Mandatory</i> Indicate the date on which the period of the Letter of Intent commences. Following this date, the investor will have to fulfill the Letter of Intent . If a prior period is applicable, then the duration of the prior period is reckoned from the date you specify here.

Table 3-9 (Cont.) Unit Holder LOI Setup Detail - Field Description

Field	Description
Prior Period Applicable	<i>Mandatory</i> Select if prior period is applicable or not from the drop-down list. The list displays the following values: • Yes • No
Prior Period Duration	<i>Numeric; 3 Characters; Mandatory</i> Specify the duration of the prior period (in days), to be reckoned from the Letter of Intent period start date. If a prior period is specified, the used up amount on an LOI must be updated during authorization, based on the transactions that have been allocated before the LOI start date, within the prior period.
LOI Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Specify the LOI currency in which the Letter of Intent amount will be deemed.
Currency Name	<i>Display</i> The system displays the name of the currency for the selected LOI currency code.
LOI Amount	<i>Numeric; 18 Characters; Mandatory</i> Specify the LOI Amount.
Include Standing Instructions	<i>Mandatory</i> Select the applicability of standing instruction transactions as a means of reducing the Letter of Intent used up amount from the drop-down list. The list displays the following values: • Yes • No
Group ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Specify the load group in which the investor seeks to invest, through the Letter of Intent.
LOI Status	<i>Mandatory</i> Select the LOI status from the drop-down list. The list displays the following values: • Active • Cancel
Remarks	<i>Alphanumeric; 255 Characters; Optional</i> Specify remarks, if any.
Used-up Amount	<i>Numeric; 30 Characters; Optional</i> On any given date after the LOI start date, specify the amount that reflects the portion of the Letter of Intent amount that the investor has already fulfilled as on that date. When you are creating the Letter of Intent options for the investor for the first time, this field contains a Zero value. After making your specifications, save your changes by clicking the Save button. This setup must be authorized for it to be effective.

3.7 Unit Holder LOI Setup Summary

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

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

The **Unit Holder LOI Setup Summary** screen is displayed.

Figure 3-9 Unit Holder LOI Setup Summary

2. On **Unit Holder LOI Setup Summary** screen, specify any or all of the following details in the corresponding fields:
 - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
 - **Record Status**
 - **Unit Holder/ CIF Number**
 - **Apply At**
 - **LOI Start Date**
 - **LOI End Date**
 - **LOI Currency**
 - **Group 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 **Group 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.

You can search the record for **Group ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Group ID** starts from Alphabet A'. For example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Group ID** ends by numeric value '7'. For example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%:- System will fetch all the records whose **Group ID** contains the numeric value. For example: GSD217, GSD172, AGC17 and so forth.
- [Edit Unit Holder LOI Setup Record](#)
This topic provides the systematic instructions to edit Unit Holder LOI Setup record.
- [View Unit Holder LOI Setup Record](#)
This topic provides the systematic instructions to view Unit Holder LOI Setup record.
- [Delete Unit Holder LOI Setup Record](#)
This topic provides the systematic instructions to delete Unit Holder LOI Setup record.
- [Authorize Unit Holder LOI Setup Record](#)
This topic provides the systematic instructions to authorize Unit Holder LOI Setup record.
- [Amend Unit Holder LOI Setup Record](#)
This topic provides the systematic instructions to amend Unit Holder LOI Setup record.
- [Authorize Amended Unit Holder LOI Setup Record](#)
This topic provides the systematic instructions to authorize amended Unit Holder LOI Setup record.

3.7.1 Edit Unit Holder LOI Setup Record

This topic provides the systematic instructions to edit Unit Holder LOI Setup record.

Modify the details of **Unit Holder LOI Setup** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Unit Holder LOI Setup 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 **Unit Holder LOI Setup 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 **Unit Holder LOI Setup Detail** screen is closed and the changes made are reflected in the **Unit Holder LOI Setup Summary** screen.

3.7.2 View Unit Holder LOI Setup Record

This topic provides the systematic instructions to view Unit Holder LOI Setup record.

View a record that you have previously input by retrieving the same in the **Unit Holder LOI Setup Summary** screen. Perform this operation as follows:

1. Start the **Unit Holder LOI Setup Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.
You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.
All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.
The **Unit Holder LOI Setup Detail** screen is displayed.

3.7.3 Delete Unit Holder LOI Setup Record

This topic provides the systematic instructions to delete Unit Holder LOI Setup record.

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

1. Start the **Unit Holder LOI Setup 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 **Unit Holder LOI Setup Detail** screen is displayed.
5. Select **Delete** operation from the Action list.
The system prompts you to confirm the deletion and the record is physically deleted from the system database.

3.7.4 Authorize Unit Holder LOI Setup Record

This topic provides the systematic instructions to authorize Unit Holder LOI Setup record.

Authorize an unauthorized **Unit Holder LOI Setup** record in the system for it to be processed as follows:

1. Start the **Unit Holder LOI Setup 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 want to authorize.

The **Unit Holder LOI Setup Detail** screen is displayed.

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

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

3.7.5 Amend Unit Holder LOI Setup Record

This topic provides the systematic instructions to amend Unit Holder LOI Setup record.

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

- a. Start the **Unit Holder LOI Setup Summary** screen from the Browser.
- b. Select the status of the record that you want to retrieve for amendment.

You can only amend authorized records.

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

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

- d. Double-click the record that you want to amend.

The **Unit Holder LOI Setup Detail** screen is displayed.

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

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

2. When you retrieve an LOI record for the purpose of amendment in this screen, it is displayed in the **Unit Holder LOI Setup Detail** screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

Note

When you make changes to any authorized record in the system database through the amendment operation, the record with the amended information is saved as an unauthorized record in the system. For your amendment changes to be effective, the amended record must be subsequently authorized. When it is authorized, it is saved in the system database as an authorized record with the amendment information, and is effective.

3. **The Effect of Amending Letter of Intent Options:** You can amend an LOI setup record for an investor even after the LOI amount fulfillment has begun. During the amendment, if you change the LOI amount, then the charges applicable as well as the used up LOI amount are reckoned from the new, amended LOI amount.
4. **The Effect of Amending a Letter of Intent Fulfillment Transaction:** If you amend the amount involved in an LOI transaction for an investor, then the used up LOI amount is computed using the amended transaction amount.

Note

Once a transaction for an LOI investor is designated as an LOI transaction and subsequently authorized, it cannot be re-designated as a non-LOI transaction during amendment.

5. **Canceling the Letter of Intent Options during Amendment:** When you amend the **Letter of Intent** options for an investor, you can cancel the applicability of the options by choosing the **Cancel** option in the **LOI Status** field, and saving your changes. If you do so, then the **Letter of Intent** is invalid and will not be validated for during subsequent transactions for the investor.

3.7.6 Authorize Amended Unit Holder LOI Setup Record

This topic provides the systematic instructions to authorize amended Unit Holder LOI Setup record.

Authorize an amended Unit Holder LOI Setup record for the amendment to be made effective in the system. The authorization of amended records can be done only from Agency Branch module.

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

3.8 Perform LOI Adjust Proc

This topic provides the systematic instructions to process LOI Adjustment.

To obtain such a report, you must trigger the computation and storing of the actual commission data, from the system database.

1. On **Home** screen, type **UTDLOIPR** in the text box, and click **Next**.
The **LOI Adjust Proc** screen is displayed.

Figure 3-10 LOI Adjust Proc

The screenshot shows a web application window titled "LOI Adjust Proc". At the top left, there is a "Save" button with a document icon. Below this, a section titled "LOI Adjustment Processing" contains a search bar labeled "LOI Number" with a magnifying glass icon. At the bottom right of the window, there are "Cancel" and "Save" buttons.

2. On **LOI Adjust Proc** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 3-10 LOI Adjust Proc - Field Description

Field	Description
LOI Number	<i>Alphanumeric; 25 Characters; Optional</i> Specify the LOI number of the corresponding letter of intent, on the next business date after the expiry date of the letter of intent. Alternatively, if you do not specify the number, you can trigger the computation of commission data for all such letters of intent that are unfulfilled, after the expiry date. After you have triggered the computation of commission data, in the LOI Adjustment Processing screen, you can use the LOI Non-Fulfillment menu item in the Batch menu to obtain the actual report. This report contains details of the actual commission due on each of the transactions without considering the letter of intent. This amount must be recovered from the unit holder by the AMC. The following details are displayed in the report for each letter of intent for any investor which is unfulfilled as on the next business date after the expiry date: • LOI Number • Letter of intent amount agreed (LOI amount). • Letter of intent amount fulfilled (used up amount). • ID of the load group to which the fund belongs, for which the LOI was set up for the investor. • The funds in the load group. • Transaction number, for each transaction designated as an LOI transaction. • Commission collected for the transaction. • Actual commission that should have been collected had there been no letter of intent. • The loss borne by the AMC, which is computed as the difference between the commission collected and commission that should have been collected had there been no LOI. The commission for each of the LOI transactions entered into during the LOI period is recomputed as if there had been no letter of intent. For each transaction, the actual commission collected and the commission that should have been collected without the LOI is displayed. The sum of the commissions will be subtracted from the actual commission collected and the difference is reported through the report. LOI investors have the option of designating any single transaction they enter into, as a Letter of Intent transaction. If so designated, the transaction amount in such transactions will reduce the Letter of Intent used up amount.

3.9 Process UH Non Tax Limits Detail

This topic provides the systematic instructions to set up the prescribed limits for taxable holdings for an eligible investor.

Process UH Non Tax Limits Detail

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

The **UH Non Tax Limits Detail** screen is displayed.

Figure 3-11 UH Non Tax Limits Detail

UH Non Tax Limits Detail

Save

Client Information

Unit Holder ID *

CIF Number *

First Name Find

System Limit

Limit Currency * TWD

Limit Amount 50000

Basic Details

Allowed Limit 0 Identification Details * 2

Military Soldier

Audit Cancel

- On **UH Non Tax Limits Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 3-11 UH Non Tax Limits Detail - Field Description

Field	Description
Client Information	In this section, select the ID of the unit holder for whom you are specifying non-tax limit options.
Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Enter the CIF unit holder ID for whom you are creating the non-tax limit options.
First Name	<i>Display</i> Specify the ID of the non-CIF unit holder for whom you are setting up the non-tax limit options in this screen. The name of the unit holder that you select is displayed alongside the field.
CIF Number	<i>Alphanumeric; 20 Characters; Mandatory for setting up non-tax limit options for a unit holder under a CIF Account</i> Select or specify the number of the CIF account under which the unit holder for whom you are creating the non-tax limit options is found. When you specify the CIF number, the name of the corresponding CIF account is retrieved from the database and displayed alongside the field. All the unit holder accounts under the CIF account that you have selected are listed in the drop down list in the unit holders for CIF field. You can query unit holder ID and CIF number by clicking Find button.
System Limit	The section displays the following fields.
Limit Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> This is parameterized at the system level. However, you can amend this value.
Limit Amount	<i>Numeric; 22 Characters; Mandatory</i> This is parameterized at the system level. However, you can amend this value.

Table 3-11 (Cont.) UH Non Tax Limits Detail - Field Description

Field	Description
Basic Details	In this section, you can indicate the total sanctioned limit across all funds for the investor.
Allowed Limit	<i>Numeric; 28 Characters; Mandatory</i> Specify the total non-tax limit that is applicable for investments in the selected accumulated fund, for the investor. This amount must not be higher than the total sanctioned limit across all funds, which you specified in the Basic Details section in this screen. The sum of the allowed limits for each accumulated fund must not exceed that portion of the total sanctioned limit available for accumulated funds.
Identification Details	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the type of identification document that is being provided for the non-tax limits option being set up for the unit holder. The system displays the description in the adjacent field. The identification could be provided as any of the following documents: • Nominee Document • Handicap Document • Death Certificate
Sanction Status	<i>Mandatory</i> At any given date after you set up the non-tax limits for an investor in this screen, select the sanction status from the drop-down list. The list displays the following values: • Active • Cancel When you are creating the non-tax limit options for the investor for the first time, the Active option is displayed in this field. If you have cancelled the non-tax limit through an amendment, the Cancel option is displayed in this field. In this state, the limit is no longer valid and will not be validated for during any transactions of the investor. You cannot alter the status displayed in this field at any juncture.

Table 3-11 (Cont.) UH Non Tax Limits Detail - Field Description

Field	Description
UH Info Change Status	<i>Numeric; 1 Character; Mandatory</i> Specify the UH info change status. The system displays the description in the adjacent field. The Maruyu Eligibility Status option is mandatory while setting up a new non-tax record. While setting up a new non-tax limits record in this screen, you must select the Maruyu Eligibility Status option and specify the date on which the eligibility status document was received, as mandatory information. This date is typically defaulted to the application date. The system displays the description in the adjacent field. While specifying any changes to the non-tax limits record during an amendment in this screen, you can select the type of change document that has been received, from the list. The following options are available: • Change Limit Status: Select this option to indicate that the non-tax limit has been legally revised, and the document for the change has been received. The changed limit must also be specified in the Sanctioned Limit field. Note: When a transfer transaction is entered for a unit holder with a non-tax limits record, the limit tracking for the amount is done based on the Average Cost and not the Transaction Base Price. Therefore, there could be a residual value for the non-taxable holdings, even if the actual number of units has come down to zero. Only transfer by units (All Units) and percentage (by 100%) transactions may be entered for unit holders with non-tax limits records. Transfer transactions by amount cannot be entered for such unit holders in the case of change in status. • Stop Using Status: Select this option to indicate that the non-tax limit has been withdrawn or stopped for the investor and the corresponding document to this effect this has been received. The available limit must be set to zero, in the Sanctioned Limit field. Authorization of this status change will result in an automatic transfer of non-taxable holdings to taxable holdings, for the concerned unit holder. • Loss of Eligibility Status: Select this option to indicate that the investor has been legally made ineligible to avail of the non-tax limit, and the corresponding document to this effect has been received. The available limit must be set to zero, in the Sanctioned Limit field. Authorization of this status change will result in an automatic transfer of nontaxable holdings to taxable holdings, for the concerned unit holder. • Death Status: Select this option to indicate that the non-tax limit has been withdrawn or stopped for the investor, due to death of the investor and the corresponding document to this effect this has been received. The available limit must be set to zero, in the Sanctioned Limit field. When an information change has been effected to the unit holder account for which the non-tax limits are being set up, the system prompts you to confirm the change for the non-tax limit investor, and to confirm the receipt of the supporting document. Based on this, it also updates the option in this field as Change Information Status option, and defaults the Document Received Date as the application date of the change.

Table 3-11 (Cont.) UH Non Tax Limits Detail - Field Description

Field	Description
Document Received Date	<i>Date Format; Mandatory</i> Specify the date on which the following documents are received: - For a new non-tax limits record, the Maruyu Eligibility Status. - For a non-tax limit amendment, the Change Limit Status, Stop Using Status, Loss of Eligibility Status or Death Status. By default, the application date is reckoned as the date on which the corresponding document is received. You must specify this date as mandatory information for either a new non-tax limits record or during amendment.
Date of Death	<i>Date Format, Mandatory if the Death Status option is chosen in the Change Information Status field.</i> During amendment, if you are entering the change information as Death Status in the Change Information Field, specify the date of death in this field.
Non-Taxable Limits for Accumulated Funds	In this section, you specify the portion of the total non-taxable limit that is applicable for investments in accumulated funds, for the unit holder. You can define individual limits for individual funds.
Fund ID	<i>Alphanumeric; 6 Characters; Optional</i> Select the fund for which you want to indicate a non-taxable limit for the investor.
Allowed Limit	<i>Numeric; 28 Characters; Optional</i> Specify the total non-tax limit that is applicable for investments across all non-accumulated funds, for the investor. This amount must not be higher than the total sanctioned limit across all funds that you specified in the previous section in this screen.
Utilized Limit	<i>Display</i> At any given date after you have created the non-taxable limit for a unit holder, the value displayed in this field reflects the portion of the limit defined for the selected accumulated fund that has been used up, as on the date, in investments in the fund. You cannot change this value at any juncture.
Fund Base Currency	<i>Display</i> The value displayed in this field reflects the portion of the limit, in fund base currency, defined for the selected accumulated fund that has been used up, as on the date of viewing, in investments in the fund. You cannot change this value at any juncture.
Non-Taxable Limits for Non-Accumulated Funds	In this section, you specify the portion of the total non-taxable limit that is applicable for investments in non-accumulated funds, for the unit holder.
NonAcc Allowed Limit	<i>Numeric; 22 Characters; Mandatory</i> Specify the non accumulated allowed limit.
Utilized Amount	<i>Display</i> At any given date after you have created the non-taxable limit for a unit holder, the value displayed in this field reflects the portion of the limit defined for non-accumulated funds that have been used up, as on the date, in investments in non-accumulated funds. You cannot change this value at any juncture.

This topic contains the following sub-topics:

- [Set up Non-Tax Limits for Eligible Investors](#)
This topic provides the systematic instructions to Set up non-tax limits for eligible investors.
- [Process Non-Tax Limits for Investors](#)
This topic provides the systematic instructions to process non-tax limits for investors.

3.9.1 Set up Non-Tax Limits for Eligible Investors

This topic provides the systematic instructions to Set up non-tax limits for eligible investors.

In some cases, investors can avail of tax exemption on their holdings in funds, up to certain prescribed limits, based on their eligibility for these exemptions. The limits would apply to holdings in both accumulated and non-accumulated funds. Whenever the prescribed limits are exceeded, the excess holdings would be subject to taxation.

Example

Let us suppose that an investor, Mr. Robert Brown, is eligible for exemption on tax to a limit of 100000 USD, on all his holdings in the AMC, in the following pattern:

Limit in accumulated funds: 20000 USD

Limit in non-accumulated funds:: 80000 USD

Mr. Brown is eligible up to the following limits in the following accumulated funds:

Carey Bugle Memorial Fund :10000 USD

Eastern Capital Income Fund :10000 USD

This would mean that if his investment holdings in any of these funds exceed these prescribed limits, the spillover holdings would attract taxation.

In **Oracle FLEXCUBE Investor Servicing**, you can maintain any such limits for eligible investors. By maintaining these limits and validating them whenever a transaction request is received from such an eligible investor, you can maintain the investor's taxable and nontaxable holdings separately.

To set up the limits in this screen,

- Select the unit holder for whom you want to set up the non-tax limits, in the **Client Information** section.
- Specify the total tax-exemption limit applicable for the investor, in all funds both accumulative and non-accumulative, in the **Total Sanctioned Limit** field.
- Specify the identification document for the non-tax limits that are being set up.
- If the eligibility document for the non-tax limits option has been received, select the **Maruyu Eligibility Status** option in the **Change Information Status** field, and specify the date on which the document was received, in the **Document Received Date** field. Typically, the **Document Received Date** is defaulted to the application date.
- Specify the break up of the total limit that would be applicable, in accumulated and non-accumulated funds.
- In the **Non-Taxable Limits for Non-Accumulated Funds** section, indicate the limit for such funds.
- In the **Non-Taxable Limits for Accumulated Funds** section, select each of the funds for which the limit must be applicable in the **Fund ID** field, and specify the limit for each in the **Allowed Limit** field.
- Save your specifications.

3.9.2 Process Non-Tax Limits for Investors

This topic provides the systematic instructions to process non-tax limits for investors.

In some cases, investors can avail of tax exemption on their holdings in funds, up to certain prescribed limits, based on their eligibility for these exemptions. The limits would apply to holdings in both accumulated and non-accumulated funds. Whenever the prescribed limits are exceeded, the excess holdings would be subject to taxation.

Example

Let us suppose that an investor, Mr. Robert Brown, is eligible for exemption on tax to a limit of 100000 USD, on all his holdings in the AMC, in the following pattern:

Limit in accumulated funds: 20000 USD

Limit in non-accumulated funds:: 80000 USD

Mr. Brown is eligible up to the following limits in the following accumulated funds:

Carey Bugle Memorial Fund :10000 USD

Eastern Capital Income Fund :10000 USD

This would mean that if his investment holdings in any of these funds exceed these prescribed limits, the spillover holdings would attract taxation.

In **Oracle FLEXCUBE Investor Servicing**, you can maintain any such limits for eligible investors. By maintaining these limits and validating them whenever a transaction request is received from such an eligible investor, you can maintain the investor's taxable and nontaxable holdings separately.

To set up the limits in this screen,

- Select the unit holder for whom you want to set up the non-tax limits, in the **Client Information** section.
- Specify the total tax-exemption limit applicable for the investor, in all funds both accumulative and non-accumulative, in the **Total Sanctioned Limit** field.
- Specify the identification document for the non-tax limits that are being set up.
- If the eligibility document for the non-tax limits option has been received, select the **Maruyu Eligibility Status** option in the **Change Information Status** field, and specify the date on which the document was received, in the **Document Received Date** field. Typically, the **Document Received Date** is defaulted to the application date.
- Specify the break up of the total limit that would be applicable, in accumulated and non-accumulated funds.
- In the **Non-Taxable Limits for Non-Accumulated Funds** section, indicate the limit for such funds.
- In the **Non-Taxable Limits for Accumulated Funds** section, select each of the funds for which the limit must be applicable in the **Fund ID** field, and specify the limit for each in the **Allowed Limit** field.
- Save your specifications.

3.10 UH Non Tax Limits Summary

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

Retrieve UH Non Tax Limits Record

1. On **Home** screen, type **UTSUHNTX/ UTSURATX** in the text box, and click **Next**.
The **UH Non Tax Limits Summary** screen is displayed.

Figure 3-12 UH Non Tax Limits Summary

2. On **UH Non Tax Limits 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**
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.

You can search the record for **Unit Holder ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Unit Holder ID** starts from Alphabet 'A'. For example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Unit Holder ID** ends by numeric value '7'. For example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Unit Holder ID** contains the numeric value 17. For example: GSD217, GSD172, AGC17 and so forth.
- [Edit UH Non Tax Limits Record](#)
This topic provides the systematic instructions to edit UH Non Tax Limits record.
- [View UH Non Tax Limits Record](#)
This topic provides the systematic instructions to view UH Non Tax Limits record.
- [Delete UH Non Tax Limits Record](#)
This topic provides the systematic instructions to delete UH Non Tax Limits record.
- [Authorize UH Non Tax Limits Record](#)
This topic provides the systematic instructions to authorize UH Non Tax Limits record.
- [Amend UH Non Tax Limits Record](#)
This topic provides the systematic instructions to amend UH Non Tax Limits record.
- [Authorize Amended UH Non Tax Limits Record](#)
This topic provides the systematic instructions to authorize amended UH Non Tax Limits record.

3.10.1 Edit UH Non Tax Limits Record

This topic provides the systematic instructions to edit UH Non Tax Limits record.

Modify the details of **UH Non Tax Limits** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **UH Non Tax Limits 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 Non Tax Limits 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 Non Tax Limits Detail** screen is closed and the changes made are reflected in the **UH Non Tax Limits Summary** screen.

3.10.2 View UH Non Tax Limits Record

This topic provides the systematic instructions to view UH Non Tax Limits record.

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

1. Start the **UH Non Tax Limits Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **UH Non Tax Limits Detail** screen is displayed.

3.10.3 Delete UH Non Tax Limits Record

This topic provides the systematic instructions to delete UH Non Tax Limits record.

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

1. Start the **UH Non Tax Limits 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 Non Tax Limits Detail** screen is displayed.

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

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

3.10.4 Authorize UH Non Tax Limits Record

This topic provides the systematic instructions to authorize UH Non Tax Limits record.

Authorize an unauthorized **UH Non Tax Limits** record in the system for it to be processed as follows:

1. Start the **UH Non Tax Limits 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 want to authorize.

The **UH Non Tax Limits Detail** screen is displayed.

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

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

3.10.5 Amend UH Non Tax Limits Record

This topic provides the systematic instructions to amend UH Non Tax Limits record.

1. Modify the details of an authorized record using the **Unlock** operation from the Action List. To make changes to a record after authorization:
 - a. Start the **UH Non Tax Limits Summary** screen from the Browser.
 - b. Select the status of the record that you want to retrieve for amendment.
You can only amend authorized records.
 - c. Specify any or all of the details and click **Search** button.
All records with the specified details are retrieved and displayed in the screen.
 - d. Double-click the record that you want to amend.
The **UH Non Tax Limits Detail** screen is displayed.
 - e. Select **Unlock** operation from the Action List to amend the record.
 - f. Amend the necessary information and click **Save** to save the changes.
2. When you retrieve a Non Tax limits record for the purpose of amendment in this screen, it is displayed in the **UH Non Tax Limits Setup Detail** screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

Note

When you make changes to any authorized record in the system database through the amendment operation, the record with the amended information is saved as an unauthorized record in the system. For your amendment changes to be effective, the amended record must be subsequently authorized. When it is authorized, it is saved in the system database as an authorized record with the amendment information, and is effective.

If you change the Non Tax limits at any level during amendment, the altered value must not fall below the utilized portion of the limits, as on the date of amendment. At any level, the utilized portion of the limits as on the date of viewing or amendment, are displayed in the **Utilized Limit** (or Amount) field on the screen.

3. **Change of Information for a Non Tax Limit Record through Amendment:** Changes to the Non Tax limit record will be necessary in the following situations:
 - a. The unit holder's Non Tax limit has changed.
 - b. The unit holder has been made legally ineligible for the Non Tax limit, or the eligibility has been legally stopped or withdrawn.
 - c. The death of the unit holder.

4. During amendment, you can specify the change that has been made, in the **Change Information Status** field. You must also specify the date on which the supporting documents for the change were received, in the **Document Received Date** field.
5. If the unit holder has been made legally ineligible to avail the Non Tax limit, or the eligibility has been legally stopped, you must specify the Non Tax limit to zero, in the **Total Sanctioned Limit** field.

3.10.6 Authorize Amended UH Non Tax Limits Record

This topic provides the systematic instructions to authorize amended UH Non Tax Limits record.

1. When an amendment is made to a Non Tax limits record for a unit holder, it must be authorized for the information change to take effect in the system and for the resultant processes to be initiated.
2. When an amendment resulting from the unit holder's Non Tax limit being brought down to zero (i.e., the unit holder has been made legally ineligible or the eligibility has been stopped or withdrawn) is being authorized, the system displays a message stating that the Non Taxable holdings of the unit holder will be converted to taxable holdings.
3. If the authorization is confirmed, the system triggers transactions that will convert the nontaxable units to taxable units. If any provisional holdings are present, the system forces the user to either confirm or reject the same. Redemptions will go through the normal taxation.
4. **The Inheritance Process (Return of Death Status):** In the event of the death of the unit holder for whom a Non Tax limit is in operation, you must specify the death, date of death and the receipt of the death certificate in the Non Tax limits record, through an amendment. The **Date of death** must be specified as mandatory information.
5. In the event of death of a unit holder with a Non Tax limits record, you must manually enter redemption transactions or transfer transactions, before you specify the return of death status in the Non Tax limits record. By this process, the Non Taxable units held by the deceased unit holder are either redeemed, or transferred to the account of the legal heir, through a normal transfer transaction. If transferred, the system checks for the Non Tax limit eligibility of the transferee unit holder. If the resulting transfer transaction exceeds the Non Tax limit specified for the transferee unit holder, the spillover balance is added to the transferee's taxable holdings. Redemptions will go through the normal taxation.

3.11 Process Unit Holder IRRF Preference Detail

This topic provides the systematic instructions to set up unit holder preferences for the IRRF component.

Process Unit Holder IRRF Preference Detail

1. On **Home** screen, type **UTDUHIOF** in the text box, and click **Next**.
The **Unit Holder IRRF Preference Detail** screen is displayed.

Figure 3-13 Unit Holder IRRF Preference Detail

Unit Holder IRRF Preference Detail

Save

Client Information

Unit Holder ID * Unit Holder Name

CIF Number

IRRF Details

Fund ID * ISIN Code

Fund Name Load ID

Load Description

Load Details

- On **Unit Holder IRRF Preference Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 3-12 Unit Holder IRRF Preference Detail - Field Description

Field	Description
Client Information	The section displays the following fields.
Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the ID of the unit holder ID for whom IRRF details are being maintained.
Unitholder Name	<i>Display</i> The name of the unit holder is defaulted here once the unit holder ID is provided.
CIF Number	<i>Display</i> The system displays the CIF number of the customer for the selected unit holder ID. You can query unit holder ID by clicking Find UH button.
IRRF Details	The section displays the following fields.
Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Specify the fund ID. All the pension funds with a valid fund ID maintained through the General Operating Rules screen for IOF / IRRF Ageing based funds are displayed in the option list.
Fund Name	<i>Display</i> The system displays the name of the fund for the selected fund ID.
ISIN Code	<i>Display</i> The system displays the ISIN code of the selected fund.
Load ID	<i>Numeric; 5 Characters; Mandatory</i> Select the IRRF load id from the option list which displays all the IRRF loads which mapped to the fund.

Table 3-12 (Cont.) Unit Holder IRRF Preference Detail - Field Description

Field	Description
Load Description	<i>Display</i> On selection of the Fund ID and ISIN code, the system automatically displays the description of the fund. On selection of the IRRF Load the Load Details section is displayed. Note: You are allowed to opt for optional IRRF load only within the stipulated number of days as specified in PARAMS Maintenance.
Load Details	Click Load Details button to view the following details.
Load Calculation Method	<i>Display</i> The system displays the load maintained. This is same as one available in Load Details section in FMG and it defaults from the load maintained.
Amount Or Percentage	<i>Display</i> The system displays the amount or percentage value. This is same as one available in Load Details section in FMG and it defaults from the load maintained. The Load Details section displays the following: • Slab Sequence No • From Period • To Period • Period Basis • Return Value Note: You cannot amend the unit holder IRRF preferences once it is maintained in the system.

- [Set up IRRF Preferences for a Unit Holder](#)
This topic provides information on set up IRRF preferences for a unit holder.

3.11.1 Set up IRRF Preferences for a Unit Holder

This topic provides information on set up IRRF preferences for a unit holder.

IRRF is equivalent of the income tax, and is paid as the percentage of the profit made post the application of IOF which is a tax paid for the profit made by the Unitholder, if a Unitholder redeems the funds within a stipulated time. Unit Holder IRRF preferences are applicable only for pension funds.

IRRF is usually paid on the last working day of May and November. Apart from paying IRRF on these fixed dates, IRRF is also paid during redemption. Any advance IRRF paid by the customer are adjusted while calculating the IRRF during redemption.

You can opt for optional IRRF load only within the stipulated number of days as specified in **PARAMS Maintenance**. If the IRRF preferences have not been setup from the date of first subscription for a given combination of unit holder and fund within the stipulated number of days, default IRRF will be considered. Whenever judicial blocking or redemption occurs before the preferences have been setup in the system, default IRRF load will be considered for IRRF calculation and you will not be allowed to maintain the preferences then on.

Note

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

3.12 Unit Holder IRRF Preference Summary

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

1. On **Home** screen, type **UTSUHIOF** in the text box, and click **Next**.
The **Unit Holder IRRF Preference Summary** screen is displayed.

Figure 3-14 Unit Holder IRRF Preference Summary

2. On **Unit Holder IRRF Preference 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**
 - **Load 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.

You can search the record for **Unit Holder ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Unit Holder ID** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Unit Holder ID** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Unit Holder ID** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit Unit Holder IRRF Preference Record](#)
This topic provides the systematic instructions to edit Unit Holder IRRF Preference record.
- [View Unit Holder IRRF Preference Record](#)
This topic provides the systematic instructions to view Unit Holder IRRF Preference record.
- [Delete Unit Holder IRRF Preference Record](#)
This topic provides the systematic instructions to delete Unit Holder IRRF Preference record.
- [Authorize Unit Holder IRRF Preference Record](#)
This topic provides the systematic instructions to authorize Unit Holder IRRF Preference record.
- [Amend Unit Holder IRRF Preference Record](#)
This topic provides the systematic instructions to amend Unit Holder IRRF Preference record.
- [Authorize Amended Unit Holder IRRF Preference Record](#)
This topic provides the systematic instructions to authorize amended Unit Holder IRRF Preference record.

3.12.1 Edit Unit Holder IRRF Preference Record

This topic provides the systematic instructions to edit Unit Holder IRRF Preference record.

Modify the details of **Unit Holder IRRF Preference** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:.

1. Start the **Unit Holder IRRF Preference 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 **Unit Holder IRRF Preference 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 **Unit Holder IRRF Preference Detail** screen is closed and the changes made are reflected in the **Unit Holder IRRF Preference Summary** screen.

3.12.2 View Unit Holder IRRF Preference Record

This topic provides the systematic instructions to view Unit Holder IRRF Preference record.

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

1. Start the **Unit Holder IRRF Preference Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **Unit Holder IRRF Preference Detail** screen is displayed.

3.12.3 Delete Unit Holder IRRF Preference Record

This topic provides the systematic instructions to delete Unit Holder IRRF Preference record.

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

1. Start the **Unit Holder IRRF Preference 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 **Unit Holder IRRF Preference Detail** screen is displayed.

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

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

3.12.4 Authorize Unit Holder IRRF Preference Record

This topic provides the systematic instructions to authorize Unit Holder IRRF Preference record.

Authorize an unauthorized **Unit Holder IRRF Preference** record in the system for it to be processed as follows:

1. Start the **Unit Holder IRRF Preference 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 want to authorize.

The **Unit Holder IRRF Preference Detail** screen is displayed.

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

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

3.12.5 Amend Unit Holder IRRF Preference Record

This topic provides the systematic instructions to amend Unit Holder IRRF Preference 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 **Unit Holder IRRF Preference 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 want to amend.

The **Unit Holder IRRF Preference Detail** screen is displayed.

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

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

3.12.6 Authorize Amended Unit Holder IRRF Preference Record

This topic provides the systematic instructions to authorize amended Unit Holder IRRF Preference record.

Authorize an amended Unit Holder IRRF Preference 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.

3.13 Process Unit Holder NPI Preference Detail

This topic provides the systematic instructions to set up an Unit Holder NPI payment preference.

As per Shariah principle of **cleansing** the fund of **impure** income the earnings derived out of any dividend exceeding a certain benchmark cannot be reinvested. This portion of the earnings is classified as **Non Permissible Income (NPI)**. The investor can either choose to receive the NPI component as income or pay the same to a trust.

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

The **Unit Holder NPI Preference Detail** screen is displayed.

Figure 3-15 Unit Holder NPI Preference Detail

2. On **Unit Holder NPI Preference Detail** screen, click **New** to enter the details.

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

Table 3-13 Unit Holder NPI Preference Detail - Field Description

Field	Description
Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the ID of the unit holder for whom you are maintaining the NPI preferences in this screen. You can also query for unit holder ID by clicking Find UH button.
CIF Number	<i>Display</i> The system displays the CIF number.
Unit Holder Name	<i>Display</i> The system displays the name of CIF unit holder for the selected unit holder ID.

Table 3-13 (Cont.) Unit Holder NPI Preference Detail - Field Description

Field	Description
NPI Payment	<i>Mandatory</i> If the investor opts to receive the NPI Payment as income, then select Pay to Unit Holder from drop-down list.
Remarks	<i>Alphanumeric; 255 Characters; Optional</i> You can enter any applicable narrative or descriptive text here.

3.14 Unit Holder NPI Preference Summary

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

1. On **Home** screen, type **UTSUHNPI** in the text box, and click **Next**.
The **Unit Holder NPI Preference Summary** screen is displayed.

Figure 3-16 Unit Holder NPI Preference Summary

2. On **Unit Holder NPI Preference 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**
 - **Load 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.

You can search the record for **Unit Holder ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Unit Holder ID** starts from Alphabet 'A'. For example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Unit Holder ID** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%:- System will fetch all the records whose **Unit Holder ID** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit Unit Holder NPI Preference Record](#)
This topic provides the systematic instructions to Edit Unit Holder NPI Preference Record
- [View Unit Holder NPI Preference Record](#)
This topic provides the systematic instructions to view Unit Holder NPI Preference record.
- [Delete Unit Holder NPI Preference Record](#)
This topic provides the systematic instructions to delete Unit Holder NPI Preference record.
- [Authorize Unit Holder NPI Preference Record](#)
This topic provides the systematic instructions to authorize Unit Holder NPI Preference record.
- [Amend Unit Holder NPI Preference Record](#)
This topic provides the systematic instructions to amend Unit Holder NPI Preference record
- [Authorize Amended Unit Holder NPI Preference Record](#)
This topic provides the systematic instructions to authorize amended Unit Holder NPI Preference record.

3.14.1 Edit Unit Holder NPI Preference Record

This topic provides the systematic instructions to Edit Unit Holder NPI Preference Record

Modify the details of **Unit Holder NPI Preference** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Unit Holder NPI Preference 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 **Unit Holder NPI Preference 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 **Unit Holder NPI Preference Detail** screen is closed and the changes made are reflected in the **Unit Holder NPI Preference Summary** screen.

3.14.2 View Unit Holder NPI Preference Record

This topic provides the systematic instructions to view Unit Holder NPI Preference record.

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

1. Start the **Unit Holder NPI Preference Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.
You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.
All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.
The **Unit Holder NPI Preference Detail** screen is displayed.

3.14.3 Delete Unit Holder NPI Preference Record

This topic provides the systematic instructions to delete Unit Holder NPI Preference record.

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

1. Start the **Unit Holder NPI Preference 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 **Unit Holder NPI Preference Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.14.4 Authorize Unit Holder NPI Preference Record

This topic provides the systematic instructions to authorize Unit Holder NPI Preference record.

Authorize an unauthorized **Unit Holder NPI Preference** record in the system for it to be processed as follows:

1. Start the **Unit Holder NPI Preference 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 want to authorize.

The **Unit Holder NPI Preference Detail** screen is displayed.

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

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

3.14.5 Amend Unit Holder NPI Preference Record

This topic provides the systematic instructions to amend Unit Holder NPI Preference 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 **Unit Holder NPI Preference 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 want to amend.

The **Unit Holder NPI Preference Detail** screen is displayed.

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

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

3.14.6 Authorize Amended Unit Holder NPI Preference Record

This topic provides the systematic instructions to authorize amended Unit Holder NPI Preference record.

Authorize an amended Unit Holder NPI Preference 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.

3.15 Process Fund UH Category Minimum Holding Period Detail

This topic provides the systematic instructions to capture the minimum holding period at Fund/ UH category/Transaction Type level.

1. On **Home** screen, type **UTDMINHL** in the text box, and click **Next**.
The **Fund UH Category Minimum Holding Period Detail** screen is displayed.

Figure 3-17 Fund UH Category Minimum Holding Period Detail

2. On **Fund UH Category Minimum Holding Period Detail** screen, click **New** to enter the details.

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

Table 3-14 Fund UH Category Minimum Holding Period Detail - Field Description

Field	Description
Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Specify the fund of the unit holder. You can also select the fund from the option list provided. The list consists of valid and authorized funds maintained in the system.
Fund Name	<i>Display</i> Based on the ID selected, the name of the fund is displayed.
Transaction Type	<i>Alphanumeric; 2 Characters; Mandatory</i> Specify the type of the transaction. You can also select the transaction type from the option list provided.
Description	<i>Display</i> The description of the transaction type is displayed.

Table 3-14 (Cont.) Fund UH Category Minimum Holding Period Detail - Field Description

Field	Description
Rule for SI	<i>Optional</i> Select any of the following option from the drop-down list: • First SI Transaction Date – On selecting this option, the system validates the minimum holding period by considering the SI first generation date i.e. the transaction date of the first transaction generated by the SI, which has not been reversed. • Default – On selecting this option, the minimum holding period will be validated considering last inflow date of transaction and current transaction date.
Details	The section displays the following fields.
UH Category	<i>Alphanumeric; 2 Characters; Mandatory</i> Specify the category of the unit holder. You can also select the UH category from the option list provided. The list consists of valid and authorized UH Categories maintained in the system.
Description	<i>Display</i> The description of the selected category is displayed.
Minimum Holding Period	<i>Numeric; 5 Characters; Optional</i> Indicate the number of days required for minimum holding.
Mandatory	<i>Optional</i> Check this option to indicate that the minimum holding period for fund/UH category wise is mandatory.

3. If this **Mandatory** option is checked, then on violating minimum holding period, the system displays an error message and the transaction will not be saved.
4. Click **Cancel** to cancel the operation.
5. Click **Save** to save the details and the following message will be shown.
The system displays the confirmation message as Record Successfully Saved.
6. Click **Ok** and in the main screen click **Exit** button to exit.
The system displays the error message as Failed to Save the Record.
7. If this **Mandatory** option is unchecked, then on violating minimum holding period, an overriding message is triggered. However, you can save the transaction by overriding the message.

On saving the redemption/switch/transfer transaction, the system checks if any of the allotted inflow transaction (like subscription, switch in, transfer in) has been captured within the minimum holding period (based on the difference of the transaction date). If it exists, then a overriding message There are some inflow transactions with in the Minimum Holding Period is displayed along with any other warnings, if applicable.

Note

Checking **Minimum Holding Period** maintained at the UH Category level is independent of checking **Minimum Holding Period** at fund level.

Example

- **Case 1:**

Inflow involves transactions like subscriptions, switch-in, SI etc

Current Redemption Transaction Date: 10-May-2008

Minimum Holding Period at Fund/UH Category: 30

Last inflow transaction date for this Fund: 18-Apr-2008

No. of Days elapsed from date of last inflow transaction (10/May/08 -18/Apr/08): 22

Since the difference between last inflow date of the transaction and the current transaction date is less than Minimum Holding period, the system triggers a warning message There are some inflow transactions with in the Minimum Holding Period. This transaction is saved only if the warning is accepted.

If the number of days elapsed from the date of last inflow transaction to current redemption transaction date is more than the minimum holding period defined at Fund/UH Category for redemption transaction type, the system will save the transaction without the above warning message.

- **Case 2:**

Inflow is only because of SI transaction

Rule for SI set up in new maintenance : First SI Transaction Date

The First SI subscription date for this fund: 10-Apr-2008

Current Normal Redemption transaction date: 05-May-2008

Minimum Holding Period for the Fund/UH Cat.: 30

Whether any inflow transactions other than SI: No

No. of Days elapsed from the first SI subscription transaction date (05/May/08 -10/Apr/08): 25

Since the difference between last inflow date of the transaction and the current transaction date is less than Minimum Holding period, the system triggers a warning message There are some inflow transactions with in the Minimum Holding Period. This transaction is saved only if the warning is accepted.

If the outflow is because of the SI redemption transaction, the system will save the transaction without any warning.

If there were some other inflow transactions other than SI with in this period, then system will consider Last inflow transaction date instead of the first SI subscription transaction date for arriving at the no. of days elapsed.

3.16 Fund UH Category Minimum Holding Period Summary

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

Retrieve Fund UH Category Minimum Holding Period Record

The minimum holding period defined at the fund/UH category/ transaction type level must be authorized by another user. You can use the **Fund UH Category Minimum Holding Period Summary** screen to perform the following operations:

- **Retrieve**
- **Edit**
- **Delete**
- **Authorize**

- **Amend**
1. On **Home** screen, type **UTSMINHL** in the text box, and click **Next**.
The **Fund UH Category Minimum Holding Period Summary** screen is displayed.

Figure 3-18 Fund UH Category Minimum Holding Period Summary

2. On **Fund UH Category Minimum Holding Period Summary** screen, specify any or all of the following details in the corresponding fields:
 - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
 - **Record Status**
 - **Fund ID**
 - **Transaction Type**
 - **Rule for SI**
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.
- [Edit Fund UH Category Minimum Holding Period Record](#)
This topic provides the systematic instructions to edit Fund UH Category Minimum Holding Period record.

- [View Fund UH Category Minimum Holding Period Record](#)
This topic provides the systematic instructions to view Fund UH Category Minimum Holding Period record.
- [Delete Fund UH Category Minimum Holding Period Record](#)
This topic provides the systematic instructions to delete Fund UH Category Minimum Holding Period record.
- [Authorize Fund UH Category Minimum Holding Period Record](#)
This topic provides the systematic instructions to authorize Fund UH Category Minimum Holding Period record.
- [Amend Fund UH Category Minimum Holding Period Record](#)
This topic provides the systematic instructions to amend Fund UH Category Minimum Holding Period record.

3.16.1 Edit Fund UH Category Minimum Holding Period Record

This topic provides the systematic instructions to edit Fund UH Category Minimum Holding Period record.

Modify the details of **Fund UH Category Minimum Holding Period** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Fund UH Category Minimum Holding Period 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 **Fund UH Category Minimum Holding Period 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 **Fund UH Category Minimum Holding Period Detail** screen is closed and the changes made are reflected in the **Fund UH Category Minimum Holding Period Summary** screen.

3.16.2 View Fund UH Category Minimum Holding Period Record

This topic provides the systematic instructions to view Fund UH Category Minimum Holding Period record.

View a record that you have previously input by retrieving the same in the **Fund UH Category Minimum Holding Period Summary** screen. Perform this operation as follows:

1. Start the **Fund UH Category Minimum Holding Period Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **Fund UH Category Minimum Holding Period Detail** screen is displayed.

3.16.3 Delete Fund UH Category Minimum Holding Period Record

This topic provides the systematic instructions to delete Fund UH Category Minimum Holding Period record.

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

1. Start the **Fund UH Category Minimum Holding Period 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 **Fund UH Category Minimum Holding Period Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.16.4 Authorize Fund UH Category Minimum Holding Period Record

This topic provides the systematic instructions to authorize Fund UH Category Minimum Holding Period record.

Apart from the maker, someone else must authorize an unauthorized broker deal in the system for it to be processed. Authorize an unauthorized **Fund UH Category Minimum Holding Period** record in the system for it to be processed as follows:

1. Start the **Fund UH Category Minimum Holding Period 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 want to authorize.

The **Fund UH Category Minimum Holding Period Detail** screen is displayed.

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

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

3.16.5 Amend Fund UH Category Minimum Holding Period Record

This topic provides the systematic instructions to amend Fund UH Category Minimum Holding Period 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 **Fund UH Category Minimum Holding Period 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 want to amend.

The **Fund UH Category Minimum Holding Period Detail** screen is displayed in amendment mode.

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

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

3.17 Process UnitHolder Status Change Detail

This topic provides the systematic instructions to close an unit holder account.

Process UnitHolder Status Change Detail

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

The **UnitHolder Status Change Detail** screen is displayed.

Figure 3-19 UnitHolder Status Change Detail

2. On **UnitHolder Status Change Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 3-15 UnitHolder Status Change Detail - Field Description

Field	Description
Unit Holder ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the ID of the non-CIF unit holder whose account you are closing. The name of the unit holder that you select is displayed alongside the field.
CIF Number	<i>Display</i> The system displays the CIF number for the selected unit holder ID.
Unit Holder Name	<i>Display</i> The system displays the name of CIF unit holder for the selected unit holder ID. You can query for unit holder ID by clicking Find UH button.
A/C Status Date	<i>Date Format; Optional</i> Select the account status date on which the account closure request is entered from the adjoining calendar.
Closure Remarks	<i>Alphanumeric; 70 Characters; Optional</i> Specify the reason for closing the account.
Closure Reference No	<i>Alphanumeric; 12 Characters; Optional</i> Specify the reference number of the unit holder account that you are closing.
UH Status	<i>Optional</i> Specify the status for the unit holder whose account is being processed. The statuses are: • Active • Closed To close an account select Closed; to reopen a closed account select Active.

Table 3-15 (Cont.) UnitHolder Status Change Detail - Field Description

Field	Description
Current Status	<i>Display</i> The system will display the current status of the unit holder account. You can reopen a closed account only if the current status of the account is Pending for Closure .

- [Closing an Unit Holder Account](#)
This topic provides information on closing an unit holder account.

3.17.1 Closing an Unit Holder Account

This topic provides information on closing an unit holder account.

The investor may wish at any juncture, to close operations with the AMC. At such a time, the account maintained for the investor in the system database must be closed.

Specify the following information in this screen:

- The ID of the unit holder whose account you want to close.
- The reason for closure or any description / narrative regarding the same, in the **Closure Remarks** field.

In the event of an account closure request, the holdings of the investor in all funds transacted in must be brought down to zero. Therefore, when you close a unit holder account in the system, the following events take place:

- If the unit holder has entered into transactions, then the status of account is marked as **Pending Closure**.
- Subsequently, in this state, this account is still valid in the system, but it cannot be edited or amended (as the case may be), or used to enter into any further transactions. If the unit holder avails the check writing facility, any checks that have been issued through check-writing facility are marked invalid.
- After the transactions are allocated, and the holdings of the unit holder in all the funds that have been transacted in are brought down to zero, the status of the account is marked as **Closed**, and the account is then no longer valid in the system.

You can close any unit holder account, except in the following circumstances:

- The account is an unauthorized account in any way. The account closure facility applies only to authorized accounts. There must not be any details (whether new or amended) pending authorization.
- The agency branch from which the closure request is being made is not the one where the account was created. An account can be closed only in the branch where it was opened.

3.18 UnitHolder Status Change Summary

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

Retrieve UnitHolder Status Change Record

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

The **UnitHolder Status Change Summary** screen is displayed.

Figure 3-20 UnitHolder Status Change Summary

2. On **UnitHolder Status Change 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**
 - **Closure Remarks**
 - **Closure Reference No**
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.

You can search the record for **Unit Holder ID** by using the combination of % and alphanumeric value as follows:

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

- Search by %17%: System will fetch all the records whose **Unit Holder ID** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit UnitHolder Status Change Record](#)
This topic provides the systematic instructions to edit UnitHolder Status Change record.
- [View UnitHolder Status Change Record](#)
This topic provides the systematic instructions to view UnitHolder Status Change record.
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- [Authorize UnitHolder Status Change Record](#)
This topic provides the systematic instructions to authorize UnitHolder Status Change record.
- [Amend UnitHolder Status Change Record](#)
This topic provides the systematic instructions to amend UnitHolder Status Change record.
- [Authorize Amended UnitHolder Status Change Record](#)
This topic provides the systematic instructions to authorize amended UnitHolder Status Change record.

3.18.1 Edit UnitHolder Status Change Record

This topic provides the systematic instructions to edit UnitHolder Status Change record.

Modify the details of **UnitHolder Status Change** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **UnitHolder Status Change 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 **UnitHolder Status Change Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

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

3.18.2 View UnitHolder Status Change Record

This topic provides the systematic instructions to view UnitHolder Status Change record.

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

1. Start the **UnitHolder Status Change Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **UnitHolder Status Change Detail** screen is displayed.

3.18.3 Delete UnitHolder Status Change Record

This topic provides the systematic instructions to delete UnitHolder Status Change record.

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

1. Start the **UnitHolder Status Change 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 **UnitHolder Status Change Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.18.4 Authorize UnitHolder Status Change Record

This topic provides the systematic instructions to authorize UnitHolder Status Change record.

Authorize an unauthorized **UnitHolder Status Change** record in the system for it to be processed as follows:

1. Start the **UnitHolder Status Change 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 want to authorize.

The **UnitHolder Status Change Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.18.5 Amend UnitHolder Status Change Record

This topic provides the systematic instructions to amend UnitHolder Status Change 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 **UnitHolder Status Change 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 want to amend.
The **UnitHolder Status Change Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.18.6 Authorize Amended UnitHolder Status Change Record

This topic provides the systematic instructions to authorize amended UnitHolder Status Change record.

Authorize an amended UnitHolder Status Change 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.

3.19 Process Auth Rep Maintenance Detail

This topic provides the systematic instructions to set up a new authorized representative in the system and associate this representative with the unit holder.

1. On **Home** screen, type **UTDATREP** in the text box, and click **Next**.
The **Auth Rep Maintenance Detail** screen is displayed.

Figure 3-21 Auth Rep Maintenance Detail

The screenshot shows the 'Auth Rep Maintenance Detail' form. At the top left is a 'Save' button. The form fields are arranged in two main sections. The first section contains: 'Auth Rep ID' (text input), 'Expiry Date' (calendar icon), 'Category' (dropdown menu with 'Individual' selected), 'Title' (text input with a search icon), 'First Name' (text input), 'Middle Name' (text input), 'Last Name' (text input), and 'Date Of Birth' (calendar icon). The second section contains: 'Address Line 1' (text input with a speech bubble icon) and 'Int. Dialing Code +' (text input with a search icon). At the bottom right are 'Audit' and 'Cancel' buttons.

- On **Auth Rep Maintenance Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 3-16 Auth Rep Maintenance Detail - Field Description

Field	Description
Auth Rep ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Indicate a unique ID for the authorized representative.
Expiry Date	<i>Date Format; Optional</i> Specify an expiry date for the unit holder authorizing representative being defined. An error message is displayed on saving the transaction if the expiry date is less than the transaction date.
Category	<i>Mandatory</i> Select the category from the drop-down list. The list displays the following values: • Individual • Corporate
Title	<i>Alphanumeric; 15 Characters; Optional</i> Select the applicable title for the name of the authorized representative from the list provided. If you do not find the option you are looking for in the list, specify the same.
First Name	<i>Alphanumeric; 105 Characters; Mandatory</i> Specify the first name of the authorized representative.
Middle Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the middle name of the authorized representative.
Last Name	<i>Alphanumeric; 105 Characters; Optional</i> Specify the last name of the authorized representative.
Date of Birth	<i>Date Format; Optional</i> Select the date of birth of the guardian from the adjoining calendar. The system will attach this detail to the unit holder account while creating a minor unit holder account.
Address Line 1 and 2	<i>Alphanumeric; 255 Characters; Optional</i> Specify the address of the authorized representative.

Table 3-16 (Cont.) Auth Rep Maintenance Detail - Field Description

Field	Description
City	<i>Alphanumeric; 80 Characters; Optional</i> Specify the name of the city of residence of the authorized representative.
State	<i>Alphanumeric; 20 Characters; Optional</i> If the specified city of residence is located in a state outside of the United States of America, specify the name of the state here.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Select the country code for address from the adjoining option list.
Description	<i>Display</i> The system displays the description for the selected country code.
Zip Code	<i>Alphanumeric; 10 Characters; Optional</i> Specify the zip code of the specified city of residence of the authorized representative.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code.
Telephone 1	<i>Alphanumeric; 15 Characters; Optional</i> Specify the telephone number.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code.
Telephone 2	<i>Alphanumeric; 15 Characters; Optional</i> Specify the alternative telephone number.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code.
Cellphone Number	<i>Alphanumeric; 16 Characters; Optional</i> Specify the Cellphone Number .
Remarks	<i>Alphanumeric; 255 Characters; Optional</i> Specify remarks, if any.
Nationality	<i>Alphanumeric; 3 Characters; Optional</i> Select the nationality from the adjoining option list.
Description	<i>Display</i> The system displays the description for the selected nationality.
Country of Domicile	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of domicile from the adjoining option list.
Description	<i>Display</i> The system displays the description for the selected country of domicile.
Country of Birth	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of birth from the adjoining option list.
Description	<i>Display</i> The system displays the description for the selected country of birth.

Table 3-16 (Cont.) Auth Rep Maintenance Detail - Field Description

Field	Description
US Indicia Available	<i>Display</i> The system defaults US Indicia Available as Yes or No depending on the following: - The nationality is US - The country of birth is US - The country of domicile is US - The country of address is US - The country code of the telephone number is 01
FATCA Status	<i>Display</i> The system displays the FATCA status based on the FATCA maintenance.
FATCA Classification	<i>Display</i> The system displays the FATCA classification type.
Description	<i>Display</i> The system displays the FATCA classification description.

- Click **Show Image** button to upload the necessary documents.
- Click **Browse** button to browse the required documents and then click **Upload** button.
The documents will be uploaded.

3.20 Auth Rep Maintenance Summary

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

Retrieve Auth Rep Maintenance Record

- On **Home** screen, type **UTSATREP** in the text box, and click **Next**.
The **Auth Rep Maintenance Summary** screen is displayed.

Figure 3-22 Auth Rep Maintenance Summary

- On **Auth Rep 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**
 - **Auth Rep 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 **Auth Rep ID**
- Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
- [Edit Auth Rep Maintenance Record](#)
This topic provides the systematic instructions to edit Auth Rep Maintenance record.
 - [View Auth Rep Maintenance Record](#)
This topic provides the systematic instructions to view Auth Rep Maintenance record.
 - [Delete Auth Rep Maintenance Record](#)
This topic provides the systematic instructions to delete Auth Rep Maintenance record.
 - [Authorize Auth Rep Maintenance Record](#)
This topic provides the systematic instructions to authorize Auth Rep Maintenance record.
 - [Amend Auth Rep Maintenance Record](#)
This topic provides the systematic instructions to amend Auth Rep Maintenance record.
 - [Authorize Amended Auth Rep Maintenance Record](#)
This topic provides the systematic instructions to authorize amended Auth Rep Maintenance record.

3.20.1 Edit Auth Rep Maintenance Record

This topic provides the systematic instructions to edit Auth Rep Maintenance record.

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

1. Start the **Auth Rep 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 **Auth Rep 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 **Auth Rep Maintenance Detail** screen is closed and the changes made are reflected in the **Auth Rep Maintenance Summary** screen.

3.20.2 View Auth Rep Maintenance Record

This topic provides the systematic instructions to view Auth Rep Maintenance record.

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

1. Start the **Auth Rep Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **Auth Rep Maintenance Detail** screen is displayed.

3.20.3 Delete Auth Rep Maintenance Record

This topic provides the systematic instructions to delete Auth Rep Maintenance record.

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

1. Start the **Auth Rep 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 **Auth Rep 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.

3.20.4 Authorize Auth Rep Maintenance Record

This topic provides the systematic instructions to authorize Auth Rep Maintenance record.

Authorize an unauthorized **Auth Rep Maintenance** record in the system for it to be processed as follows:

1. Start the **Auth Rep 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 want to authorize.

The **Auth Rep 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.

3.20.5 Amend Auth Rep Maintenance Record

This topic provides the systematic instructions to amend Auth Rep 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 **Auth Rep 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 want to amend.

The **Auth Rep 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.

3.20.6 Authorize Amended Auth Rep Maintenance Record

This topic provides the systematic instructions to authorize amended Auth Rep Maintenance record.

Authorize an amended Auth Rep Maintenance 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.

3.21 Process Notepad of Entities Detail

This topic provides the systematic instructions to use the Entity Notepad facility.

You can use the Entity Notepad facility to maintain information about any entity in the system which would be of relevance to the other entities either at the time of transaction input or in general.

1. On **Home** screen, type **UTDNTPE** in the text box, and click **Next**.
The **Notepad of Entities Detail** screen is displayed.

Figure 3-23 Notepad of Entities Detail

2. On **Notepad of Entities Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 3-17 Notepad of Entities Detail - Field Description

Field	Description
Note Number	<i>Display</i> The system displays the unique number for the note.
From Entity Type	<i>Display</i> The system displays the entity type who is creating this information in the form of notepad. This information is taken from the Login Details .
From Entity ID	<i>Display</i> The system displays the entity ID of the entity that is creating this information. This information is taken from the Login Details .

Table 3-17 (Cont.) Notepad of Entities Detail - Field Description

Field	Description
About Entity Type	<i>Mandatory</i> Select the entity about which the information is being entered from the drop-down list. The list displays the following values: • Agent Name • Broker • AMC • Agency Branch • Registrar • Trustee • Unit Holder • Distribution List Type
About Entity ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify entity about whom the notepad is being created.
Notepad	<i>Alphanumeric; 255 Characters; Mandatory</i> Specify a memo text into which information about the entity is keyed in.

3.22 Notepad of Entities Summary

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

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

The **Notepad of Entities Summary** screen is displayed.

Figure 3-24 Notepad of Entities Summary

2. On **Auth Rep 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**
 - **Note Number**
 - **About Entity ID**
 - **About Entity Type**
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 **Note Number**
- 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.

You can search the record for **Note Number** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Note Number** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Note Number** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Note Number** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit Entity Notepad Information](#)
Edit Entity Notepad Information edit Entity Notepad Information.
- [View Entity Notepad Information](#)
This topic provides the systematic instructions to view Entity Notepad Information.
- [Delete Entity Notepad Information](#)
This topic provides the systematic instructions to delete Entity Notepad Information.
- [Authorize Entity Notepad Information](#)
This topic provides the systematic instructions to authorize Entity Notepad Information.
- [Amend Entity Notepad Information](#)
This topic provides the systematic instructions to amend Entity Notepad Information.
- [Authorize Amended Entity Notepad Information](#)
This topic provides the systematic instructions to authorize amended Entity Notepad Information.

3.22.1 Edit Entity Notepad Information

Edit Entity Notepad Information edit Entity Notepad Information.

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

1. Start the **Notepad of Entities 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 **Notepad of Entities 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 **Notepad of Entities Detail** screen is closed and the changes made are reflected in the **Notepad of Entities Summary** screen.

3.22.2 View Entity Notepad Information

This topic provides the systematic instructions to view Entity Notepad Information.

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

1. Start the **Notepad of Entities Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **Notepad of Entities Detail** screen is displayed.

3.22.3 Delete Entity Notepad Information

This topic provides the systematic instructions to delete Entity Notepad Information.

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

1. Start the **Notepad of Entities 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 **Notepad of Entities Detail** screen is displayed.
5. Select **Delete** operation from the Action list.
The system prompts you to confirm the deletion and the record is physically deleted from the system database.

3.22.4 Authorize Entity Notepad Information

This topic provides the systematic instructions to authorize Entity Notepad Information.

Authorize an unauthorized **Entity Notepad Information** in the system for it to be processed as follows:

1. Start the **Notepad of Entities 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 want to authorize.
The **Notepad of Entities Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.
When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

3.22.5 Amend Entity Notepad Information

This topic provides the systematic instructions to amend Entity Notepad Information.

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

3.22.6 Authorize Amended Entity Notepad Information

This topic provides the systematic instructions to authorize amended Entity Notepad Information.

Authorize an amended Entity Notepad Information 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.

3.23 Process Agency Branch Account Officer Maintenance Detail

This topic provides the systematic instructions to map the Agency branch and Account officer to the respective agent code.

1. On **Home** screen, type **UTDAGTAO** in the text box, and click **Next**.
The **Agency Branch Account Officer Maintenance Detail** screen is displayed.

Figure 3-25 Agency Branch Account Officer Maintenance Detail

2. On **Agency Branch Account Officer Maintenance Detail** screen, click **New** to enter the details.

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

Table 3-18 Agency Branch Account Officer Maintenance Detail - Field Description

Field	Description
Basic Information	The section displays the following fields.

Table 3-18 (Cont.) Agency Branch Account Officer Maintenance Detail - Field Description

Field	Description
Agent Code	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the agent code. Alternatively, you can select agent code from the option list. The list displays all valid agent code maintained in the system.
Effective Date	<i>Date Format; Mandatory</i> Select the effective date from the adjoining calendar.
Agency Branch Account Officer Mapping	The section displays the following fields.
Agency Branch	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the agency branch. Alternatively, you can select agency branch code from the option list. The list displays all valid agency branch code maintained in the system.
Account Officer	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the account officer details. Alternatively, you can select account officer details from the option list. The list displays all valid account officer details maintained in the system.
Default	<i>Mandatory</i> Select Yes from drop-down list to select default.
Account Officer Name	<i>Display</i> The system displays the name of the selected account officer.

3.24 Agency Branch Account Officer Maintenance Summary

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

Retrieve Agency Branch Account Officer Maintenance Record

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

The **Agency Branch Account Officer Maintenance Summary** screen is displayed.

Figure 3-26 Agency Branch Account Officer Maintenance Summary

Agency Branch Account Officer Maintenance Summary

Search Advanced Search Reset Clear All Records per page: 15

Search Criteria (Search Is Case Sensitive)

Authorization Status: Record Status: Agent Code:

Agency Branch: Account Officer Name:

Search Results Lock Columns: 0

☐	Authorization Status	Record Status	Agent Code	Agency Branch	Account Officer Name	Effective Date	Account Officer
No data to display.							

Page 1 of 1 < >

Exit

2. On **Agency Branch Account Officer 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**
 - **Agent Code**
 - **Account Officer Name**
 - **Agency Branch**
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 **Agent Code**
- Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
 - [Edit Agency Branch Account Officer Maintenance Record](#)
This topic provides the systematic instructions to edit Agency Branch Account Officer Maintenance record.
 - [View Agency Branch Account Officer Maintenance Record](#)
This topic provides the systematic instructions to view Agency Branch Account Officer Maintenance record.
 - [Delete Agency Branch Account Officer Maintenance Record](#)
This topic provides the systematic instructions to delete Agency Branch Account Officer Maintenance record.
 - [Authorize Agency Branch Account Officer Maintenance Record](#)
This topic provides the systematic instructions to authorize Agency Branch Account Officer Maintenance record.
 - [Amend Agency Branch Account Officer Maintenance Record](#)
This topic provides the systematic instructions to amend Agency Branch Account Officer Maintenance record.
 - [Authorize Amended Agency Branch Account Officer Maintenance Record](#)
This topic provides the systematic instructions to authorize amended Agency Branch Account Officer Maintenance record.

3.24.1 Edit Agency Branch Account Officer Maintenance Record

This topic provides the systematic instructions to edit Agency Branch Account Officer Maintenance record.

Modify the details of **Agency Branch Account Officer Maintenance** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Agency Branch Account Officer 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 **Agency Branch Account Officer 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 **Agency Branch Account Officer Maintenance Detail** screen is closed and the changes made are reflected in the **Agency Branch Account Officer Maintenance Summary** screen.

3.24.2 View Agency Branch Account Officer Maintenance Record

This topic provides the systematic instructions to view Agency Branch Account Officer Maintenance record.

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

1. Start the **Agency Branch Account Officer Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **Agency Branch Account Officer Maintenance Detail** screen is displayed.

3.24.3 Delete Agency Branch Account Officer Maintenance Record

This topic provides the systematic instructions to delete Agency Branch Account Officer Maintenance record.

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

1. Start the **Agency Branch Account Officer 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 **Agency Branch Account Officer 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.

3.24.4 Authorize Agency Branch Account Officer Maintenance Record

This topic provides the systematic instructions to authorize Agency Branch Account Officer Maintenance record.

Authorize an unauthorized **Agency Branch Account Officer Maintenance** record in the system for it to be processed as follows:

1. Start the **Agency Branch Account Officer 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 want to authorize.
The **Agency Branch Account Officer 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.

3.24.5 Amend Agency Branch Account Officer Maintenance Record

This topic provides the systematic instructions to amend Agency Branch Account Officer 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 **Agency Branch Account Officer 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 want to amend.
The **Agency Branch Account Officer 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.

3.24.6 Authorize Amended Agency Branch Account Officer Maintenance Record

This topic provides the systematic instructions to authorize amended Agency Branch Account Officer Maintenance record.

Authorize an amended Agency Branch Account Officer Maintenance 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.

3.25 Process Account Officer IFA Maintenance Detail

This topic provides the systematic instructions to map the Account Officer and the IFA.

1. On **Home** screen, type **UTDAOIFA** in the text box, and click **Next**.
The **Account Officer IFA Maintenance Detail** screen is displayed.

Figure 3-27 Account Officer IFA Maintenance Detail

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

Table 3-19 Account Officer IFA Maintenance Detail - Field Description

Field	Description
Agent Code	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the Agent Code . Alternatively, you can select agent code from the option list. The list displays all valid agent code maintained in the system.
Agent	<i>Display</i> The system displays the description of the selected agent code.
Agency Branch	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the agency branch code. Alternatively, you can select agency branch code from the option list. The list displays all valid agency branch code maintained in the system.
Branch Name	<i>Display</i> The system displays the name of the selected agency branch code.
Effective Date	<i>Date Format; Mandatory</i> Select the effective date from the adjoining calendar.
Account Officer	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the account officer. Alternatively, you can select account officer from the option list. The list displays all valid account officer maintained in the system.
Account Officer Name	<i>Display</i> The system displays the name of the selected account officer ID.
IFA	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the IFA code. Alternatively, you can select IFA code from the option list. The list displays all valid IFA code maintained in the system.
IFA Name	<i>Display</i> The system displays the name of the selected IFA code.
Default	<i>Mandatory</i> Select the default status from the drop-down list. The list displays the following values: • Yes • No

3.26 Account Officer IFA Maintenance Summary

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

Retrieve Account Officer IFA Maintenance Record

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

The **Account Officer IFA Maintenance Summary** screen is displayed.

Figure 3-28 Account Officer IFA Maintenance Summary

2. On **Account Officer IFA 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**
 - **Agent Code**
 - **Effective Date**
 - **IFA**
 - **Agency Branch**
 - **Account Officer**
 - **Default**
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 **Agent Code**
- Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
 - [Edit Account Officer IFA Maintenance Record](#)
This topic provides the systematic instructions to edit Account Officer IFA Maintenance record.

- [View Account Officer IFA Maintenance Record](#)
This topic provides the systematic instructions to view Account Officer IFA Maintenance record.
- [Delete Account Officer IFA Maintenance Record](#)
This topic provides the systematic instructions to delete Account Officer IFA Maintenance record.
- [Authorize Account Officer IFA Maintenance Record](#)
This topic provides the systematic instructions to authorize Account Officer IFA Maintenance record.
- [Amend Account Officer IFA Maintenance Record](#)
This topic provides the systematic instructions to amend Account Officer IFA Maintenance record.
- [Authorize Amended Account Officer IFA Maintenance Record](#)
This topic provides the systematic instructions to authorize amended Account Officer IFA Maintenance record.

3.26.1 Edit Account Officer IFA Maintenance Record

This topic provides the systematic instructions to edit Account Officer IFA Maintenance record.

Modify the details of **Account Officer IFA Maintenance** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Account Officer IFA 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 **Account Officer IFA 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 **Account Officer IFA Maintenance Detail** screen is closed and the changes made are reflected in the **Account Officer IFA Maintenance Summary** screen.

3.26.2 View Account Officer IFA Maintenance Record

This topic provides the systematic instructions to view Account Officer IFA Maintenance record.

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

1. Start the **Account Officer IFA Maintenance Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **Account Officer IFA Maintenance Detail** screen is displayed.

3.26.3 Delete Account Officer IFA Maintenance Record

This topic provides the systematic instructions to delete Account Officer IFA Maintenance record.

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

1. Start the **Account Officer IFA 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 **Account Officer IFA 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.

(Optional) Enter the result of the procedure here.

3.26.4 Authorize Account Officer IFA Maintenance Record

This topic provides the systematic instructions to authorize Account Officer IFA Maintenance record.

Authorize an unauthorized **Account Officer IFA Maintenance** record in the system for it to be processed as follows:

1. Start the **Account Officer IFA 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 want to authorize.

The **Account Officer IFA 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.

3.26.5 Amend Account Officer IFA Maintenance Record

This topic provides the systematic instructions to amend Account Officer IFA 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 **Account Officer IFA 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 want to amend.
The **Account Officer IFA 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.

3.26.6 Authorize Amended Account Officer IFA Maintenance Record

This topic provides the systematic instructions to authorize amended Account Officer IFA Maintenance record.

Authorize an amended Account Officer IFA Maintenance 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.

3.27 Process Agent Price Basis Detail

This topic provides the systematic instructions to maintain component details for the required fund, transaction type, agent code and account type combination for formula based funds.

1. On **Home** screen, type **UTDAGTPR** in the text box, and click **Next**.
The **Agent Price Basis Detail** screen is displayed.

Figure 3-29 Agent Price Basis Detail

Agent Price Basis Detail

Save

Basic Information

Fund ID *

Effective Date YYYY-MM-DD

Transaction Type *

Transaction Name

Agent Code *

Name

Account Type *

Description

Component Information

Component ID *

Component Description

Default Value * No

Audit Cancel

2. On **Agent Price Basis Detail** screen, click **New** to enter the details.

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

Table 3-20 Agent Price Basis Detail - Field Description

Field	Description
Basic Information	The section displays the following fields.
Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Specify the fund code for which you want to maintain the price basis. Alternatively you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Effective Date	<i>Date Format; Mandatory</i> Select the Effective date for which you want to maintain the price basis from the adjoining calendar.
Transaction Type	<i>Alphanumeric; 15 Characters; Mandatory</i> Specify the transaction type for which you want to maintain the price basis. Alternatively you can select transaction type from the option list. The list displays all valid transaction type maintained in the system.
Transaction Name	<i>Display</i> The system displays the name of the selected transaction type.
Agent Code	<i>Alphanumeric; 12 Character; Mandatory</i> Specify the agent code for which you want to maintain the price basis. Alternatively you can select agent code from the option list. The list displays all valid agent code maintained in the system.
Name	<i>Display</i> The system displays the name of the selected agent code.
Account Type	<i>Alphanumeric; 2 Characters; Mandatory</i> Specify the Account type for which you want to maintain the price basis. Alternatively you can select account type from the option list. The list displays all valid account type maintained in the system.
Description	<i>Display</i> The system displays the description of the selected account type.

Table 3-20 (Cont.) Agent Price Basis Detail - Field Description

Field	Description
Component Information	The section displays the following fields.
Component ID	<i>Alphanumeric; 10 Characters; Mandatory</i> Specify the component ID for which you want to maintain the price basis. Alternatively you can select component ID from the option list. The list displays all valid component ID maintained in the system.
Component Description	<i>Display</i> The system displays the description of the selected component ID.
Default Value	<i>Mandatory</i> Select the default value from the drop-down list. The list displays the following values: • No • Yes

3.28 Agent Price Basis Summary

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

Retrieve Agent Price Basis Record

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

The **Agent Price Basis Summary** screen is displayed.

Figure 3-30 Agent Price Basis Summary

2. On **Agent Price Basis Summary** screen, specify any or all of the following details in the corresponding fields:
 - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
 - **Record Status**
 - **Fund ID**

- **Transaction Type**
 - **Account Type**
 - **Effective Date**
 - **Agent Code**
 - **Component 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.
- [Edit Agent Price Basis Record](#)
This topic provides the systematic instructions to edit Agent Price Basis record.
 - [View Agent Price Basis Record](#)
This topic provides the systematic instructions to view Agent Price Basis record.
 - [Delete Agent Price Basis Record](#)
This topic provides the systematic instructions to delete Agent Price Basis record.
 - [Authorize Agent Price Basis Record](#)
This topic provides the systematic instructions to authorize Agent Price Basis record.
 - [Amend Agent Price Basis Record](#)
This topic provides the systematic instructions to amend Agent Price Basis record.
 - [Authorize Amended Agent Price Basis Record](#)
This topic provides the systematic instructions to authorize amended Agent Price Basis record.

3.28.1 Edit Agent Price Basis Record

This topic provides the systematic instructions to edit Agent Price Basis record.

Modify the details of **Agent Price Basis** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Agent Price Basis 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 **Agent Price Basis 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 **Agent Price Basis Detail** screen is closed and the changes made are reflected in the **Agent Price Basis Summary** screen.

3.28.2 View Agent Price Basis Record

This topic provides the systematic instructions to view Agent Price Basis record.

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

1. Start the **Agent Price Basis Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.
You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.
All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.
The **Agent Price Basis Detail** screen is displayed.

3.28.3 Delete Agent Price Basis Record

This topic provides the systematic instructions to delete Agent Price Basis record.

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

1. Start the **Agent Price Basis 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 **Agent Price Basis Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.28.4 Authorize Agent Price Basis Record

This topic provides the systematic instructions to authorize Agent Price Basis record.

Authorize an unauthorized **Agent Price Basis** record in the system for it to be processed as follows:

1. Start the **Agent Price Basis 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 want to authorize.
The **Agent Price Basis Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

3.28.5 Amend Agent Price Basis Record

This topic provides the systematic instructions to amend Agent Price Basis 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 **Agent Price Basis 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 want to amend.
The **Agent Price Basis Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

3.28.6 Authorize Amended Agent Price Basis Record

This topic provides the systematic instructions to authorize amended Agent Price Basis record.

Authorize an amended Agent Price Basis 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.

3.29 Process AMC Agent SLA Maintenance Summary

This topic provides the systematic instructions to set the distribution hierarchy for the agent in a AMC.

1. On **Home** screen, type **UTDAMCSL** in the text box, and click **Next**.
The **AMC Agent SLA Maintenance Summary** screen is displayed.

Figure 3-31 AMC Agent SLA Maintenance Summary

2. On **AMC Agent SLA Maintenance Summary** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 3-21 AMC Agent SLA Maintenance Summary - Field Description

Field	Description
AMC	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the AMC ID for which the Agent hierarchy needs to be mapped. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC ID maintained in the system.
AMC Name	<i>Display</i> The system displays the AMC name of the selected AMC ID .
Agent ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the Agent ID that needs to be mapped with the AMC. Alternatively, you can select Agent ID from the option list. The list displays all valid Agent ID maintained in the system.
Agent Name	<i>Display</i> The system displays the agent name of the selected Agent ID .
SLA Type	<i>Numeric; 22 Characters; Mandatory</i> Specify the SLA type. Alternatively, you can select SLA type from the option list. The list displays all valid SLA type maintained in the system.
SLA Type Description	<i>Display</i> The system displays the description for the selected SLA type.

3.30 Process Tax Credit

This topic provides the systematic instructions to maintain tax credit details.

1. On **Home** screen, type **UTDTAXCR** in the text box, and click **Next**.
The **Tax Credit** screen is displayed.

Figure 3-32 Tax Credit

2. On **Tax Credit** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 3-22 Tax Credit - Field Description

Field	Description
Fund ID	<i>Alphanumeric; 6 Characters; Optional</i> 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.
Account Type	<i>Alphanumeric; 1 Character; Optional</i> Specify the Account Type . Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
Process Mode	<i>Optional</i> Select the mode of processing from the drop-down list. The list displays the following values: • Process • Reverse
Payment Number	<i>Alphanumeric; 1 Character; Optional</i> Specify the Payment Number . Alternatively, you can select payment number from the option list. The list displays all valid payment number maintained in the system.
Tax Credit Date	<i>Display</i> The system displays the tax credited date.

4

Entities - Manage Brokers

This topic explains all aspects of the maintenance of brokers in the system.

Brokers are intermediaries between investors and their investment avenues.

An investor may approach the AMC, seeking to invest in its funds, on the basis of guidance received from a broker. Also, an AMC may contract a broker to market its funds and thereby attract investors.

Being an intermediary, a broker usually receives payments either from investors or the AMC, as the case may be. This payment is known as a commission.

Sometimes, brokers do not act as single entities, but as groups of brokers, in hierarchical structures that entail sharing of profits. The commission earned by a broker may not be credited just to the actual broker for the investment transaction, but could also share with other brokers who are part of the same hierarchical structure.

Oracle FLEXCUBE Investor Servicing enables the AMC to maintain records of brokers and their respective hierarchies in the system database, as well as process and maintain details of commission payments to brokers. This chapter deals with all aspects of maintaining brokers, their hierarchies and processing commission payments in the system.

This topic contains the following subtopics:

- [Process Broker Type Detail](#)
This topic provides the systematic instructions to maintain as many addresses as required for a given CIF.
- [Broker Type Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process FCIS Broker Maintenance Detail](#)
This topic provides the systematic instructions to maintain a record for a broker.
- [FCIS Broker Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Transaction Broker Amendment Detail](#)
This topic provides the systematic instructions to display the Transaction Broker Amendment details.
- [Process FCIS Broker Payment Currency Preference Detail](#)
This topic provides the systematic instructions to specify preferred broker payments in multiple currencies based on the source currency of the commission.
- [FCIS Broker Payment Currency Preference Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process FCIS Broker Migration Detail](#)
This topic provides the systematic instructions to change the default broker, from one broker to the other, for all the unit holders, in bulk.

- [FCIS Broker Migration Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Broker Journal Detail](#)
This topic provides the systematic instructions to maintain a journal of accounting entries for payments to a broker.
- [Broker Journal Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Raise Broker Commission](#)
This topic provides the systematic instructions to raise broker commission.
- [Process FCIS Broker Authorization](#)
This topic provides the systematic instructions to authorize the broker details.
- [Process Commission Payment Status Change](#)
This topic provides the systematic instructions to change the commission payment status.
- [Commission Payment Status Change Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Broker Commission Payment](#)
This topic provides the systematic instructions to determine the date of commission payment for all commission transactions raised from a specific agency branch or across all agency branches.
- [Process FCIS Minimum Commission Payment Amount Maintenance Detail](#)
This topic provides the systematic instructions to maintain a minimum payment amount for each commission payment currency.
- [FCIS Minimum Commission Payment Amount Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.
- [Process Entity Commission Payment Inquiry Detail](#)
This topic provides the systematic instructions to inquire entity commission payment.
- [Process FSA Registration Maintenance Detail](#)
This topic provides the systematic instructions to capture FSA registration number.
- [FSA Registration Maintenance Summary](#)
This topic provides the systematic instructions to perform the basic operations on the selected records.

4.1 Process Broker Type Detail

This topic provides the systematic instructions to maintain as many addresses as required for a given CIF.

In **Oracle FLEXCUBE Investor Servicing**, you can create groups of brokers with common characteristics such as the following:

- Frequencies at which commission payment is received
- Common consultants
- Common contact details

These group sets are known as broker types. Therefore, a broker type is a set of characteristics such as commission payment frequencies, common consultants and contact details, which you expect to be common to a group of brokers for whom you want to maintain records in the database.

Broker types are typically relevant in the case of brokerage firms with many individual brokers operating under them. They are also relevant in the case of countries where the tax is different based on the broker type, that is, the tax for an individual broker is different from the tax charged from the corporate broker.

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

The **Broker Type Detail** screen is displayed.

Figure 4-1 Broker Type Detail

2. Specify the following mandatory information to set up a broker type:
 - A code that will uniquely identify the broker type, in the **Broker Type** field.
 - Descriptive text about the broker type, in the **Description** field.
 - The ID of the AMC for which the broker type is applicable, in the **AMC ID** field.
 - The commission payment frequency that would apply to any broker mapped to the broker type, in the **Payment Details** section. Select either **Monthly** or **Bi-Monthly**, as applicable.
3. Click **Save** button to save your changes after you have specified these details.
4. On **Broker Type Detail** screen, click **New** to enter the details.

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

Table 4-1 Broker Type Detail - Field Description

Field	Description
Basic Information	The section displays the following fields.
Broker Type	<i>Alphanumeric; 6 Characters; Mandatory</i> Specify a unique alphanumeric identifier for the broker type.
Description	<i>Alphanumeric; 255 Characters; Mandatory</i> Specify the description of the broker type.

Table 4-1 (Cont.) Broker Type Detail - Field Description

Field	Description
Distributor ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the ID of the AMC for which you are defining the broker type.
Distributor	<i>Display</i> The system displays the distributor details for the selected distributor ID.
Broker Consultant	<i>Alphanumeric; 40 Characters; Mandatory</i> Specify the name of the designated consultant for the broker type.
Payment Details	In this section, specify the frequency pattern for the payment of commission to any of the brokers that would be mapped to the broker type.
Payment Frequency	<i>Mandatory</i> Select whether a monthly or bimonthly frequency of payment is preferred for brokers under this broker type from the drop-down list. The list displays the following values: • Monthly Payment • Bi-Monthly Payment
First Payment Date No	<i>Optional</i> If the payment frequency you have indicated for the broker type is Monthly , indicate the date of every month on which the commission payment is to be processed for brokers under this broker type, by choosing the appropriate day of the month from the list. If the payment frequency you have indicated for the broker type is Bi-Monthly , indicate the date of every month on which the first commission payment is to be processed for brokers under this broker type, by choosing the appropriate day of the month from the list.
Second Payment Date No	<i>Optional</i> If the payment frequency you have indicated for the broker type is Bi-Monthly , indicate the date of every month on which the second commission payment is to be processed for brokers under this broker type, by choosing the appropriate day of the month from the list. This value must be higher than the one you selected in the First Payment Date No. field.
Last Working Day	<i>Optional</i> Select if the commission payment for brokers mapped to this broker type must be processed on the last working day of the month from the drop-down list. The list displays the following values: • Yes • No
Contact Details	The section displays the following fields.
Contact Details	In this section, specify the means of communication with the main brokerage firm that represents the broker type. You can access this section by clicking the Contact Details link. You can specify at least two addresses, and designate one as the default mailing address to be used for correspondence with the brokerage firm, and the other as the alternate address. Specify the default address under the Default Address tab, and the alternate address under the Alternate Address tab. You can also maintain the SWIFT address for the main brokerage firm of the broker type, in the SWIFT Address tab

Table 4-1 (Cont.) Broker Type Detail - Field Description

Field	Description
Address Type	<i>Mandatory</i> Select the type of address from the drop-down list. The list displays the following values: • Correspondence Address • Alternate Address • SWIFT Address
Address Lines 1-2	<i>Alphanumeric; 80 Characters; Optional (Address Line 1 is Mandatory)</i> Specify the postal address that is to be used for correspondence with the main brokerage firm for this broker type.
City/ Address Line 3	<i>Alphanumeric; 80 Characters; Optional</i> Specify the name of the city of residence of the main brokerage firm for this broker type.
State/ Address Line 4	<i>Alphanumeric; 80 Characters; Optional</i> Specify the state in which the city of residence of the main brokerage firm for this broker type is located.
Zip Code	<i>Alphanumeric; 6 Characters; Optional</i> Specify the zip code of the specified city of residence of the main brokerage firm for this broker type.
Country	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the country in which the main brokerage firm for this broker type is domiciled, from the drop-down list.
Telephone 1-2	<i>Alphanumeric; 15 Characters; Optional</i> Enter the contact telephone numbers of the main brokerage firm for this broker type.
Cell Phone Number	<i>Alphanumeric; 16 Characters; Optional</i> Specify the cell phone number of the main brokerage firm for this broker type.
Fax Number	<i>Alphanumeric; 15 Characters; Optional</i> Enter the fax number of the main brokerage firm for this broker type.
Email	<i>Alphanumeric; 60 Characters; Optional</i> Specify the E-mail address of the main brokerage firm for this broker type.
Contact Person	<i>Alphanumeric; 70 Characters; Optional</i> Specify the name of any contact person or official through whom communication with the main brokerage firm is possible.
Effective From Date	<i>Date Format; Optional</i> Specify the date that marks the beginning of the period for which the specified Correspondence address is valid.
Effective To Date	<i>Date Format; Optional</i> Specify the date that marks the end of the period for which the specified Correspondence address is valid.
BIC Code	<i>Alphanumeric; 12 Characters; Optional</i> Specify Bank Identifier Code (BIC) of the main brokerage firm for this broker type.

4.2 Broker Type Summary

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

Retrieve Broker Type Record

After you have set up a broker type through the **Broker Type Detail** screen, you can:

- Make changes to the record before you authorize it. You can also delete the record, if deemed necessary.
- Have another user authorize it. You cannot map any individual brokers to the broker type until it is authorized.
- Make changes to the authorized record through an amendment operation, and then authorize your amendment changes.

You can also set up a record for each individual broker in the system and map these broker records to the authorized broker type. You can do this using the **FCIS Broker Maintenance Detail** screen, which you can access from the **Broker Maintenance** menu in the Browser.

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

The **Broker Type Summary** screen is displayed.

Figure 4-2 Broker Type Summary

2. On **Broker Type 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**
 - **Broker Type**
 - **Payment Frequency**
 - **Last Working Day**
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 **Broker Type**
- 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.

You can search the record for **Broker Type** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Broker Type** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Broker Type** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Broker type** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit Broker Type Record](#)
This topic provides the systematic instructions to edit Broker Type record.
- [View Broker Type Record](#)
This topic provides the systematic instructions to view Broker Type record.
- [Delete Broker Type Record](#)
This topic provides the systematic instructions to delete Broker Type record.
- [Authorize Broker Type Record](#)
This topic provides the systematic instructions to authorize Broker Type record.
- [Amend Broker Type Record](#)
This topic provides the systematic instructions to amend Broker Type record.
- [Authorize Amended Broker Type Record](#)
This topic provides the systematic instructions to authorize amended Broker Type record.

4.2.1 Edit Broker Type Record

This topic provides the systematic instructions to edit Broker Type record.

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

1. Start the **Broker Type 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 **Broker Type 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 **Broker Type Detail** screen is closed and the changes made are reflected in the **Broker Type Summary** screen.

4.2.2 View Broker Type Record

This topic provides the systematic instructions to view Broker Type record.

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

1. Start the **Broker Type Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.
You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.
All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.
The **Broker Type Detail** screen is displayed.

4.2.3 Delete Broker Type Record

This topic provides the systematic instructions to delete Broker Type record.

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

1. Start the **Broker Type 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 **Broker Type Detail** screen is displayed.
5. Select **Delete** operation from the Action list.
The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.2.4 Authorize Broker Type Record

This topic provides the systematic instructions to authorize Broker Type record.

Authorize an unauthorized **Broker Type** record in the system for it to be processed as follows:

1. Start the **Broker Type 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 want to authorize.

The **Broker Type Detail** screen is displayed.

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

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

4.2.5 Amend Broker Type Record

This topic provides the systematic instructions to amend Broker Type record.

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

1. Start the **Broker Type 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 want to amend.

The **Broker Type Detail** screen is displayed.

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

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

4.2.6 Authorize Amended Broker Type Record

This topic provides the systematic instructions to authorize amended Broker Type record.

Authorize an amended Broker Type 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.

4.3 Process FCIS Broker Maintenance Detail

This topic provides the systematic instructions to maintain a record for a broker.

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

The **FCIS Broker Maintenance Detail** screen is displayed.

Figure 4-3 FCIS Broker Maintenance Detail

2. You can maintain a record in the database for each individual broker who wishes to transact with the AMC in **Oracle FLEXCUBE Investor Servicing** system.

Just as with the unit holder account for an investor, the broker record in the system database is the single repository for all details concerning the broker, including details of commission processing and payment.

In **Oracle FLEXCUBE Investor Servicing**, when a broker wishes to reinvest the commission earnings from any fund back into the funds of the AMC, the reinvestment is effected through a default unit holder account that functions as the broker's investment account in the system database.

3. You can set up a broker in the system database by creating a record for the same in the **FCIS Broker Maintenance Detail** screen.
 - Specify all the mandatory information that is necessary to form a profile of the broker in the database.
 - Save your specifications.
4. You must ensure that the following static information sets have already been set up and entered into the system database and the required authorizations done before you begin to set up any new brokers in the system.
 - All reference data that is typically defined in the **Data Entry** menu item in the **Fund Manager** component.
 - This includes: All static information such as required entities (agents, branches, agency branches, AMCs, registrars, trustees), countries, corporation types, investor categories, occupation types, identification types, banks and their branches, mode of payment types, currencies, additional information heads, fee categories and subcategories.

- Authorized funds with all necessary fund rules, agency branches, brokers, countries of domicile, account types, currencies and so on.

For a detailed account of this information, refer to the **Fund Manager**.

Note

You must also ensure that any broker types necessary for grouping the brokers have been set up and authorized.

5. When you create a record for a broker in the **FCIS Broker Maintenance Detail** screen, you must specify the following data as mandatory information.
 - a. A unique identifier for the broker record in the database, in the **Broker Code** field.
 - b. The name of the broker, in the **Broker Name** field.
 - c. The AMC in which the broker is designated to transact, in the **AMC ID** field.
 - d. The system code of any broker that is designated as the immediate higher broker in the broker hierarchy, in the **Parent Broker Code** field. If the broker is to be designated as the highest in the hierarchy, then specify the code that you specified in the **Broker Code** field.
 - e. If the broker is mapped to a broker type, indicate whether the frequency of commission payment defined for the selected broker type must also be deemed applicable to the broker. Indicate this in the **Use Broker Type Payment Details** field check box. If you select this check box the commission frequency of the broker type chosen will be defaulted for the broker.
 - f. If the broker record has been amended, then indicate the **Rule Effective Date** from which the changes are effective in the system. **Rule Effective Date** cannot be back dated. **Rule Effective Date** can be Future Dated and system would make that rule effective only on that date during BOD.
 - g. You are allowed to amend only the last available record for which Latest Rule is 1. If a transaction exists with that broker on that day, system will not allow you to save the broker details.
 - h. If the status of the broker is to be disabled, indicate this by selecting the option **WEEDDED** in the **Broker Status** field.
 - i. If payment of commission is to be held back for any reason for the broker, indicate this by checking the **Hold Back Payment** field check box.
6. You must specify the default contact address of the broker, in the **Default Address** field of **Contact Details** section.
7. In the **Bank Details** section, you must specify the details of at least one bank account operated by the broker, and at designate at least one of the bank accounts as the default bank account. For each bank account, all the details on the screen are mandatory information.
8. You must specify the following.
 - a. The currency in which the broker would prefer to receive commission payments. Select the preferred currency in the **Payment Currency** field.
 - b. The percentage of earned commission that is to be paid by the broker to the immediate parent broker in the broker hierarchy. Indicate this in the **Hierarchy Commission Percentage** field.

- c. The ID of a unit holder account in the system that will function as the broker's account, typically for reinvestments requested by the broker. Indicate this in the **Default Unit Holder ID** field.
 - d. The frequency at which commission processing and payment must be made for the broker, in the **Payment Frequency** field.
 - e. The earliest future date on which the next commission payment is to be made, in the **Next Payment Date** field.
 - f. For VAT registered brokers, indicate the applicability of VAT by checking the **VAT Registered** field check box in the **VAT Details** section. Also indicate the applicable **VAT Registration Number** for the broker.
9. Click **Save** button to save the record after you have specified all of the mandatory information required for saving a record for a new broker into the database.
- The record of the broker is saved as an unauthorized record in the system database.
10. Alternatively, after you have specified all mandatory information, you can add further data before you save the record, as follows:
- The tax category corresponding to the broker, on the **Broker Category** field.
 - The designated consultant for the broker, in the **Broker Consultant** field.
 - If the broker is to be part of a broker type group, select the same in the **Broker Type** field.
 - Any applicable additional information under any of the defined heads, in the **Additional Information** section.
- [Broker Details Tab](#)
This topic explains the broker details tab of **FCIS Broker Maintenance Detail** screen.
 - [Broker Contact Info Tab](#)
This topic explains all the details of the available modes of communication and correspondence with the broker.
 - [Broker Bank Details Tab](#)
This topic explains the details of any bank accounts operated by the broker, which are preferred for transacting with the AMC.
 - [Broker Legacy Details Tab](#)
This topic explains the broker legacy details tab of **FCIS Broker Maintenance Detail** screen.
 - [Broker Preference Tab](#)
This topic explains the broker preference details tab of **FCIS Broker Maintenance Detail** screen.
 - [Related Parties Tab](#)
This topic explains the related parties tab of **FCIS Broker Maintenance Detail** screen.
 - [Broker Add Info Tab](#)
This topic provides the systematic instruction to indicate the relevant information applicable to the broker under each head if the AMC has designated any additional information heads for brokers in this section.

4.3.1 Broker Details Tab

This topic explains the broker details tab of **FCIS Broker Maintenance Detail** screen.

1. On **FCIS Broker Maintenance Detail** screen, click **Broker Details** tab.

The **Broker Details** are displayed.

Figure 4-4 FCIS Broker Maintenance Detail_Broker Details Tab

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

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

Table 4-2 Broker Details - Field Description

Field	Description
Broker Code	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify an alphanumeric code that would uniquely identify the record of the broker in the system. This would be the identifier that you would use whenever you query the database for any details regarding the broker.
Broker Name	<i>Alphanumeric; 105 Characters; Mandatory</i> Specify the name of the broker for whom you are setting up a record in this screen.
Parent Broker Code	<i>Alphanumeric; 9 Characters; Mandatory</i> Select the broker code of the immediate higher broker to which this broker must report from the option list. When you select a parent broker in this field, you indicate that the broker whose record you are creating now is a sub-broker of an authorized broker already existing in the system. It also means that the broker is part of an existing hierarchy structure. Note: If it is necessary to set up the broker as the highest broker in a new hierarchy, specify the unique code that you entered for this broker in the Broker Code field in the screen. If the broker code and the parent broker code are identical for a broker, then it means that the broker is the highest broker in the hierarchy, and has no parent broker. You can change the parent broker code for a particular broker. The system changes the hierarchy and the level number of the broker and all its sub brokers based on the new parent broker code and level during authorization. The broker commission processing considers the latest broker maintenance for commission sharing.

Table 4-2 (Cont.) Broker Details - Field Description

Field	Description
Parent Broker Name	<i>Display</i> When you select the parent broker for the broker in this field, the name of the selected parent broker is displayed in the Parent Broker Name field. Note: Also, you must authorize a broker before you select the broker as a parent broker for another broker.
Replicate Parent Details	<i>Optional</i> The system defaults the parent broker details, if Replicate Parent Details option is selected. Even if you input the broker details it will be overridden by the parent broker details only for the fields mentioned in the template. During authorization of broker amendment, the system replicates the fields specified in the template of the amended broker to all the sub-brokers for whom the Replicate Parent Details option is selected. If Template ID is given and the Replicate Parent Details is selected as Yes, then click Enrich button to default the parent broker details based on auto replication preference maintenance.
Template ID	<i>Alphanumeric; 6 Characters; Optional</i> Specify the Template ID.
Broker Category	<i>Mandatory</i> Select the tax category applicable for the broker from the drop-down list. The list displays the following values: • Individual • Corporate
Broker Type	<i>Alphanumeric; 6 Characters; Optional</i> Select the broker type to be associated with the broker from the list. You can indicate that the frequency of payment that has been designated for the selected broker type must also apply to the broker, by checking the Use Broker Type Payment Details check box.
Type Description	<i>Alphanumeric; 255 Characters; Optional</i> Provide a description of the broker type.
Broker Base Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Specify the Broker Base Currency. The adjoining option list displays valid broker base currencies maintained in the system. You can choose the appropriate one.
Rule Effective Date	<i>Date Format; Mandatory</i> Specify the date from which the broker is effective in the system. The rule effective date must be equal to or greater than the application date. By default, system will display the application date as the rule effective date.
Broker Status	<i>Alphanumeric; 1 Character; Mandatory</i> Specify the status of the broker. If the broker is to be disabled in the system, select the option WEED from the list.
Status Description	<i>Display</i> The system displays the description for the selected broker status.
Broker Consultant	<i>Alphanumeric; 40 Characters; Optional</i> Specify the name of the consultant preferred by the broker.

Table 4-2 (Cont.) Broker Details - Field Description

Field	Description
AMC	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the AMC in which the broker wishes to transact.
AMC Description	<i>Display</i> The system displays the description for the selected AMC ID .
Level Number	<i>Display Only</i> When you specify the code and the parent broker for the new broker, the level number of the new broker in the broker hierarchy structure is displayed here by the system. If you specified the code of the new broker itself as the parent broker code, (i.e., the new broker has no parent broker) the level number displayed is zero, and so on.
Use Broker Type Payment Details	<i>Optional</i> If you have designated the new broker to be identified under a selected broker type in the system, then you can designate that the frequency of payment identified for the broker type be applicable by default to the new broker too. To do so, check this box.
Hold Back Payment	<i>Mandatory</i> Select Yes from drop-down list to indicate that commission payments to the new broker must be held back and not paid out. The commission payment will be held back and not paid out until the tax liability of the broker falls below the commission earned, for a tax year.
Held From	<i>Date Format; Optional</i> Select Held From date from the adjoining calendar.
Overridden Percent	<i>Numeric; 15 Characters; Optional</i> Specify the overridden percentage. For the purpose of computing and deducting withholding tax, the tax slabs (if any) maintained in the With Holding Tax Input for the broker category under which the broker is placed, are identified. However, you can specify a fixed percentage in this field that will override any slab details maintained for the broker category. Therefore, the percentage that you specify here is used to compute tax, and supersedes any WHT slabs maintained in the With Holding Tax Input screen.

Table 4-2 (Cont.) Broker Details - Field Description

Field	Description
Broker Disable Status	<i>Mandatory</i> Select the broker status from the drop-down list. Select Yes to indicate that the broker whose record you are creating is disabled. If the broker disable status is selected as Yes, then the Broker is marked as Pending Closure on save. The broker needs to be authorized to incorporate the status change of the broker and then it will not be available for the new business. Also the system will check if the broker is associated with any active UH accounts, SI, or policy. If Yes, the system displays the following message Broker has pending transactions/business in the system and broker status is marked as Pending closure. While the Broker is in Pending Status, any commission earned from debit orders is paid, but the Broker Code is not available for any new business. A broker whose record in the system is disabled cannot be designated for an investor or for any transactions, and commission payments for the broker will also not be processed or paid out. Note: You can re-enable the disabled broker if the broker is disabled by mistake.
Employer ID Number	<i>Alphanumeric; 50 Characters; Optional</i> Specify the Employer ID Number.
Tax ID	<i>Alphanumeric; 50 Characters; Optional</i> Specify the tax identification.
Tax Circle	<i>Alphanumeric; 15 Characters; Optional</i> Select the tax circle country from the adjoining option list.
Tax Certificate Effective Date	<i>Date Format; Optional</i> Specify the date from which the tax certificate is effective.
Tax Certificate Expiry Date	<i>Date Format; Optional</i> Specify the expiry date of the tax certificate.
FATCA Sponsor Type	<i>Optional</i> Select the FATCA sponsor type from the adjoining drop down list. The values are: • Sponsoring Entity • Sponsored Entity If you select Sponsoring Entity, you need to specify the sponsoring entity type and sponsoring entity ID. If you select Sponsored Entity, you need not to specify the sponsoring entity type and sponsoring entity ID.
Sponsoring Entity Type	<i>Numeric; 1 Character; Optional</i> Specify the sponsoring entity type. You can also select the valid entity type from the adjoining option list.
GIIN Issue Date	<i>Date Format; Optional</i> Specify the GIIN issue date. The GIIN issue date cannot be greater than the application date.

Table 4-2 (Cont.) Broker Details - Field Description

Field	Description
GIIN Verified Flag	<i>Display</i> System displays the GIIN verified flag based on the GIIN. In case the GIIN is entered and not chosen from the list, the flag GIIN verified will be set to NO. If the GIIN is chosen from the list of values, then GIIN verified flag will be set to YES.
Global Intermediary Identification Number (GIIN)	<i>Alphanumeric; 30 Characters; Optional</i> Specify the Global Intermediary Identification Number.
US Indicia Available	<i>Display</i> The system defaults US Indicia Available as Yes, if any of the below mentioned values are True: • The nationality is US • The country of birth is US • The country of domicile is US • The country of incorporation is US • The country of correspondence or alternate address is US • The country code of the telephone number is 01 • The country code of the bank branch address is US
FATCA Status	<i>Display</i> If the US Indicia Available is True, then the FATCA Status value depends on the FATCA Maintenance. • If the US Indicia Available is false, then the FATCA Status displays Not Applicable. • If the Broker is compliant, then FATCA Status displays Compliant. • If the Broker is non-compliant, then FATCA Status displays Recalcitrant. • If the Broker is yet to be classified, then FATCA Status displays Pending classification.
FATCA Classification	<i>Display</i> The system displays the FATCA classification type.
Description	<i>Display</i> The system displays the description of FATCA classification.
Sponsoring Entity ID	<i>Alphanumeric; 12 Characters; Optional</i> Specify the sponsoring entity for the FATCA entity type. You can also select the valid entity ID from the adjoining option list.
GIIN Expiry Date	<i>Date Format; Optional</i> Specify the GIIN Expiry Date. The GIIN expiry date cannot be lesser than the GIIN issue date.
Individual	The section has the following fields.
Nationality	<i>Alphanumeric; 3 Characters; Optional</i> Select the nationality from the adjoining option list.
Description	<i>Display</i> The system displays the description for the selected nationality.
Country of Domicile	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of domicile from the adjoining option list.

Table 4-2 (Cont.) Broker Details - Field Description

Field	Description
Description	<i>Display</i> The system displays the description for the selected country of domicile.
Country of Birth	<i>Alphanumeric; 3 Characters; Optional</i> Select the country of birth from the adjoining option list.
Description	<i>Display</i> The system displays the description for the selected country of birth.
Corporate	The section has the following fields.
Incorporation Country	<i>Alphanumeric; 3 Characters; Optional</i> Select the Incorporation country from the adjoining option list.
Description	<i>Display</i> The system displays the description for the selected country of incorporation.
Payment Details	The section has the following fields.
Payment Details	In this section, specify the parameters that will govern the processing and payment of commission due the broker. Also, if the broker is VAT registered, indicate the corresponding registration number. You can access this section through the Payment Details link.
Hierarchy Commission Percentage	<i>Numeric; 5 Characters; Mandatory</i> Specify the percentage of the commission received that is to be paid by the broker to the immediate parent broker level. For a given broker hierarchy structure, the commissions received at any level may be shared between the brokers of the hierarchy in a pre-defined manner. For more details, refer to the Table 4-3 .
Payment Frequency	<i>Optional</i> From the drop-down list, indicate the frequency according to which commission payments must be made to the broker. The list displays the following values: • Weekly • Monthly • Quarterly • Half -Yearly • Yearly • Fortnightly If you have designated the broker to be identified under a selected Broker Type , and also checked the Use Broker Type Payment Details check box in this screen, the frequency of payment identified for the selected broker type is also applicable by default for the broker. This frequency is displayed here.
Next Payment Date	<i>Date Format; Optional</i> Specify the earliest future date on which the next commission payment should be made to the broker. Do not specify a designated system holiday in this field. The commissions will be processed based on the new payment date and the frequency specified will be used to make periodic payments.

Table 4-2 (Cont.) Broker Details - Field Description

Field	Description
Last Payment Date	<i>Display</i> The most recent date on which a commission payment was made to this broker is displayed here. When you are creating a new record for a broker in this screen, this field is empty.
Default Unit Holder ID	<i>Alphanumeric; 12 Characters; Optional</i> Select the ID of the unit holder account that is designated to be used as the default account in the system for the broker. This is typically so when the broker prefers that a unit holder receives the proceeds of the commission payments. Whenever the broker opts for reinvestment of earned commission back into the funds of the AMC, (according to the income distribution setup options defined for the broker) the reinvestment will be effected through the unit holder ID you specify here. You can query for unit holder ID by clicking Find UH button.
VAT Details	The section has the following fields.
VAT Registered	<i>Mandatory</i> Select Yes option from the drop-down list to indicate that the broker is a VAT Registered broker.
VAT Registration No.	<i>Alphanumeric; 15 Characters; Optional</i> If the broker is a VAT registered broker, specify the broker's VAT Registration Number.
VAT Registration Date	<i>Date Format; Optional</i> Select the date of VAT registration from the adjoining calendar. VAT Registration date is mandatory if the broker is a VAT registered broker. While processing broker commission, the system computes the VAT amount only if the transaction date is on or after the VAT registration date of the broker. During periodic loan accrual processing, system computes the VAT amount only if the accrual date is on or after the VAT registration date maintained at the broker level.
VAT Expiry Date	<i>Date Format; Optional</i> Select VAT expiry date from the adjoining calendar.

Four-Tier Broker Setup Example

To understand how earned commission would be shared in a hierarchy structure, let us consider an example.

Table 4-3 Four-Tier Broker Setup Example

Broker	Receivable (Currency Units)	Payable (Currency Units)	Net Receivable (Currency Units)
Level 3 Broker	1000	500	500
Level 2 broker	500	250	250
Level 1 broker	250	150	100
Level 0 broker	150	0	150

Consider a **Four-Tier Broker Setup** as given in the table. Let us suppose that the transaction commission processed of a particular subscription transaction must be split amongst the brokers in the following manner.

The Top-Level (Level Zero) parent broker receives 10%

The Level 1 parent broker receives 15%

The Level 2 parent broker receives 25%

The Level 3 parent broker receives 50%

Such a setup entails that a subscription transaction commission of 1000 currency units (initiated by Level 4 broker) must be split amongst this broker hierarchy as follows:

The Top-Level (Level Zero) parent broker receives 100 currency units.

The Level 1 parent broker receives 150 currency units.

The Level 2 parent broker receives 250 currency units.

The Level 3 parent broker receives 500 currency units.

Therefore, this must be the pattern of receivables that must arise from this commission setup, for this hierarchy.

In **Oracle FLEXCUBE Investor Servicing**, to enable this kind of a pattern, the following setup (called the payables method) is used.

Set the commission percentage of Top-Level (Level Zero) parent broker to 0% (i.e., this broker pays nothing to the immediate parent broker as the broker is a level zero broker)

Level 1 parent broker: 60% (Pays 60% of commission received to immediate parent broker)

Level 2 parent broker: 50% (Pays 50% of commission received to immediate parent broker)

Level 3 parent broker: 50% (Pays 50% of commission proceeds to immediate parent broker i.e. Level 2)

As a result of the above setup for the case mentioned above, (subscription commission of 1000 currency units) the split will be as given in the table.

4.3.2 Broker Contact Info Tab

This topic explains all the details of the available modes of communication and correspondence with the broker.

1. On **FCIS Broker Maintenance Detail** screen, click **Broker Contact Info** tab.

The **Broker Contact Info** details are displayed.

Figure 4-5 FCIS Broker Maintenance Detail_Broker Contact Info Tab

2. Specify at least two addresses, and designate one as the default mailing address to be used for correspondence with the broker, and the other as the alternate address. Specify the default address under the **Default Address** head, and the alternate address under the **Alternate Address** head.
3. Maintain the SWIFT Address for the main brokerage firm of the broker type, in the **SWIFT Address** tab.

The following fields comprise the Correspondence; Alternate and SWIFT address information in the **Address Type** tab.

4. On the **Broker Contact Info** tab, specify the fields.

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

Table 4-4 Broker Contact Info - Field Description

Field	Description
Address Type	<i>Mandatory</i> Select the type of address from the drop-down list. The list displays the following values: • Correspondence • Alternate • SWIFT
Address Lines 1-2	<i>Alphanumeric; 80 Characters; Optional (Address Line 1 is Mandatory)</i> Specify the postal address that is to be used for correspondence with the broker.
City	<i>Alphanumeric; 80 Characters; Optional</i> Specify the name of the city of residence of the broker. You can select the city from the drop down list provided. The available options depend on the values defined at the PARAMS Maintenance . If the city is not available in the list, you can specify the City field provided alongside.
Zip Code	<i>Alphanumeric; 10 Characters; Optional</i> Specify the zip code of the specified city of residence of the broker.

Table 4-4 (Cont.) Broker Contact Info - Field Description

Field	Description
US State	<i>Optional</i> Select Yes option from drop-down list to indicate that the specified state is a US (United States) State .
State	<i>Alphanumeric; 80 Characters; Optional</i> Specify the state in which the city of residence of the broker is located. You can select the state of residence from the drop down list provided. The available options depend on the values defined at the PARAMS Maintenance . If the state is not available in the list, you can specify the City field provided alongside.
Country	<i>Alphanumeric; 3 Characters; Optional</i> Select the country in which the broker is domiciled, from the drop-down list.
Contact Person	<i>Alphanumeric; 70 Characters; Optional</i> Specify the name of any contact person or official through whom communication with the broker is possible.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code.
Telephone 1	<i>Alphanumeric; 60 Characters; Optional</i> Enter the contact telephone numbers of the broker.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code.
Telephone 2	<i>Alphanumeric; 60 Characters; Optional</i> Enter the contact telephone numbers of the broker.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code.
Cell Phone Number	<i>Alphanumeric; 60 Characters; Optional</i> Specify the cell phone number of the broker.
Int. Dialing Code +	<i>Alphanumeric; 10 Characters; Optional</i> Specify the international dialling code.
Fax Number	<i>Alphanumeric; 120 Characters; Optional</i> Enter the fax number of the broker.
Email	<i>Alphanumeric; 255 Characters; Optional</i> Specify the E-mail address of the broker.
Effective From Date	<i>Date Format; Optional</i> Specify the date that marks the beginning of the period for which the specified alternate address is valid.
Effective To Date	<i>Date Format; Optional</i> Specify the date that marks the end of the period for which the specified alternate address is valid.
BIC Code	<i>Alphanumeric; 12 Characters; Optional</i> Specify the Bank Identifier Code (BIC) of the broker.

4.3.3 Broker Bank Details Tab

This topic explains the details of any bank accounts operated by the broker, which are preferred for transacting with the AMC.

1. On **FCIS Broker Maintenance Detail** screen, click **Broker Bank Details** tab.

The **Broker Bank Details** are displayed.

Figure 4-6 Broker Bank Details Tab

2. Specify any number of preferred bank accounts for a broker for each currency, but you must designate one of these to be used by the broker as the default bank account for making or receiving payments in transactions in each currency.
3. On **Broker Bank Details** tab, specify the fields.

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

Table 4-5 Broker Bank Details - Field Description

Field	Description
Broker Bank Details	The section displays the following fields.
Bank	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the name of the bank in which the account is held from the list.
Bank Name	<i>Display</i> The system displays the name of the bank for the selected bank code.
Branch	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the name of the branch of the bank in which the account is held from the list.
Account Type	<i>Alphanumeric; 1 Character; Mandatory</i> Select the nature of the account held by the broker from the list. The list provides all account types that have been set up in the Account Type Maintenance records.

Table 4-5 (Cont.) Broker Bank Details - Field Description

Field	Description
Account Number	<i>Alphanumeric; 34 Characters; Mandatory</i> Specify the number of the account held by the broker in the selected bank.
Default	<i>Optional</i> Select Yes to identify the bank account that is to be reckoned as the default bank account for the broker in the system.
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the International Bank Account Number (IBAN) of the account holder.
Account Name	<i>Alphanumeric; 140 Characters; Mandatory</i> Specify the name in which the broker holds the specified bank account. By default, the system reckons this to be the specified name of the broker, and the same is displayed here. It will be accepted into the database as the account holder's name if you do not specify any other.
Account Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the currency of the bank accounts that you are designating for the broker. You can maintain any number of accounts in each currency; however, you must designate one default bank account for each currency. Note: You can make commission payments where the commission currency is different from the broker bank account currency by selecting MCY option from the list of values for account currency.
Direct Debit Allowed	<i>Optional</i> Select Yes to allow the direct debit.
SWIFT format	<i>Optional</i> Select the SWIFT format from the drop-down list. The list displays the following values: • MT103 • MT202
Bank Charged	<i>Optional</i> Select the bank charged details from the drop-down list. The list displays the following values: • Beneficiary • Remitter • Share
Beneficiary Details	The section displays the following fields.
Beneficiary	<i>Alphanumeric; 35 Characters; Optional</i> Specify the beneficiary details.
Beneficiary Add1-3	<i>Alphanumeric; 105 Characters; Optional</i> Enter beneficiary address.
Beneficiary BIC Code	<i>Alphanumeric; 24 Characters; Optional</i> Enter beneficiary BIC Code.
Beneficiary Acct Number	<i>Alphanumeric; 34 Characters; Optional</i> Enter beneficiary Account Number.

Table 4-5 (Cont.) Broker Bank Details - Field Description

Field	Description
Beneficiary Code	<i>Alphanumeric; 24 Characters; Optional</i> Enter Beneficiary Code .
Beneficiary Info	<i>Alphanumeric; 100 Characters; Optional</i> Enter beneficiary information.
Beneficiary IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the beneficiary IBAN details.
Intermediary Details	The section displays the following fields.
Intermediary	<i>Alphanumeric; 35 Characters; Optional</i> Enter the intermediary details.
Intermediary Add 1-3	<i>Alphanumeric; 105 Characters; Optional</i> Enter intermediary address.
Intermediary BIC Code	<i>Alphanumeric; 24 Characters; Optional</i> Enter intermediary BIC Code.
Intermediary Acct Number	<i>Alphanumeric; 34 Characters; Optional</i> Enter intermediary account number.
Intermediary Code	<i>Alphanumeric; 24 Characters; Optional</i> Enter intermediary code.
Intermediary Info	<i>Alphanumeric; 100 Characters; Optional</i> Enter intermediary information.
Intermediary IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Enter intermediary IBAN details.
Further Credit Details	The section displays the following fields.
Further Credit Name	<i>Alphanumeric; 35 Characters; Optional</i> Enter further credit name.
Further Credit Acct Number	<i>Alphanumeric; 35 Characters; Optional</i> Enter further credit account number.
Reference Section	The section displays the following fields.
Reference 1-2	<i>Alphanumeric; 35 Characters; Optional</i> Enter the reference details.

4.3.4 Broker Legacy Details Tab

This topic explains the broker legacy details tab of **FCIS Broker Maintenance Detail** screen.

1. On **FCIS Broker Maintenance Detail** screen, click **Broker Legacy Details** tab.

The **Broker Legacy Details** are displayed.

Figure 4-7 FCIS Broker Maintenance Detail_Broker Legacy Details Tab

2. On **Broker Legacy Details** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 4-6 Broker Legacy Details - Field Description

Field	Description
Legacy Code	<i>Alphanumeric; 12 Characters; Optional</i> Enter any legacy code linked to the broker. The legacy code for each broker must be unique in the system. System will not allow you to store duplicate legacy codes. While processing a transaction, you can search for the broker using the legacy codes specified here.

4.3.5 Broker Preference Tab

This topic explains the broker preference details tab of **FCIS Broker Maintenance Detail** screen.

1. On **FCIS Broker Maintenance Detail** screen, click **Broker Preference** tab.
The **Broker Preference** details are displayed.

Figure 4-8 FCIS Broker Maintenance Detail_Broker Preference Tab

2. On **Broker Preference** tab, specify the fields.

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

Table 4-7 Broker Preference - Field Description

Field	Description
Broker Preference Details	The section displays the following fields.
Feed Type	<i>Alphanumeric; 20 Characters; Optional</i> Select the type of feed the broker wishes to receive from the option list. The various types available are as follows: • Transaction Feeds – All transactions, Subscription, Redemption, Switch, Transfer • Brokerage Payment Feeds • Investor Feeds • NAV Feeds • Scheme Feeds You cannot maintain preferences for a feed type more than once. If a duplicate feed type is selected, then system will throw up an error.
Feed Structure	<i>Alphanumeric; 4 Characters; Optional</i> Specify the format of the file being extracted. The options available in option list are as follows: • DBF • TXT • XLS The available options depend on the values defined in PARAMS Maintenance.
Start Date	<i>Date Format; Optional</i> Specify the date that marks the beginning of the feed period.
Feed Frequency	<i>Alphanumeric; 20 Characters; Optional</i> Indicate the frequency according to which the data feed must be made to the broker from the list.

Table 4-7 (Cont.) Broker Preference - Field Description

Field	Description
Feed Format	<i>Alphanumeric; 6 Characters; Optional</i> Indicate the format of the Feed to be made to the broker. The available options depend on the values defined in PARAMS Maintenance .

4.3.6 Related Parties Tab

This topic explains the related parties tab of **FCIS Broker Maintenance Detail** screen.

1. On **FCIS Broker Maintenance Detail** screen, click **Related Parties** tab.

The **Related Parties** details are displayed.

Figure 4-9 FCIS Broker Maintenance Detail_Related Parties Tab

The screenshot displays the 'FCIS Broker Maintenance Detail' application window. The 'Related Parties' tab is active, showing a table with the following columns: Entity Type, Entity Type Description, Entity ID, Entity Name, Reporting Level, Preferred Mailing Mode, Link Notes, and Related Party Level. The table is currently empty, with a pagination bar at the bottom indicating 'Page 1 of 1 (1 of 1 items)'. The 'Save' button is visible at the top left of the table area. The 'Related Parties' tab is selected, and the 'Broker Add Info' tab is visible on the right.

2. On the **Related Parties** tab, specify the fields.

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

Table 4-8 Related Parties - Field Description

Field	Description
Entity Type	<i>Alphanumeric; 2 Characters; Mandatory</i> Select the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity types maintained in the system.
Entity Type Description	<i>Display</i> The system displays the description for the selected entity type.
Entity ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the entity ID from the option list. These entities are based on the Entity Type chosen.
Entity Name	<i>Display</i> The system displays the name of the entity for the selected entity ID.

Table 4-8 (Cont.) Related Parties - Field Description

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

4.3.7 Broker Add Info Tab

This topic provides the systematic instruction to indicate the relevant information applicable to the broker under each head if the AMC has designated any additional information heads for brokers in this section.

1. On **FCIS Broker Maintenance Detail** screen, click **Broker Add Info** tab.

The **Broker Add Info** details are displayed.

Figure 4-10 FCIS Broker Maintenance Detail_Broker Add Info Tab

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

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

Table 4-9 Broker Add Info - Field Description

Field	Description
Other Info Field	<i>Display</i> It displays the other information in the field.
Field Value	<i>Alphanumeric; 60 Characters; Optional</i> Select the field value from the option list.

4.4 FCIS Broker Maintenance Summary

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

Retrieve FCIS Broker Maintenance Record

After you have set up a record for a broker in the system, you can perform the following maintenance operations, as required:

- Make changes to any information in the record before it is authorized.
 - Have the record authorized by another user. Commission for a broker will only be processed by the system when the broker's maintenance record in the system is authorized.
 - After authorization, you can make further changes to any information in the record through amendment.
1. On **Home** screen, type **UTSBRKMN** in the text box, and click **Next**.

The **FCIS Broker Maintenance Summary** screen is displayed.

Figure 4-11 FCIS Broker Maintenance Summary

2. You can also do the following after a broker record is authorized:
 - a. Set up the preferred currency and income distribution options applicable for the broker. You can do this by accessing the **Broker Payment Currency Preference** screen and **Broker IDS Setup Detail** screen.
 - b. Set up a journal of commission payment details for the broker. This journal can be used to track advance payments of commissions and adjustment of the same. You can use the **Broker Journal Detail** screen from the **Broker Journal** menu in the Browser.
3. On **FCIS Broker 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**
 - **Broker Code**
 - **Broker Name**
 - **AMC**
 - **Level Number**
 - **Rule Effective Date**
 - **Broker Type**
 - **Broker Consultant**
 - **Broker Category**
 - **Hold Back Payment**
 - **Broker Disable Status**
 - **Latest Rule**
4. 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 **Broker Code**
- Press F8

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

You can search the record for **Broker Code** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Broker Code** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Broker Code** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Broker Code** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit FCIS Broker Maintenance Record](#)
This topic provides the systematic instructions to edit FCIS Broker Maintenance record.
- [View FCIS Broker Maintenance Record](#)
This topic provides the systematic instructions to view FCIS Broker Maintenance record.
- [Delete FCIS Broker Maintenance Record](#)
This topic provides the systematic instructions to delete FCIS Broker Maintenance record.
- [Authorize FCIS Broker Maintenance Record](#)
This topic provides the systematic instructions to authorize FCIS Broker Maintenance record.
- [Amend FCIS Broker Maintenance Record](#)
This topic provides the systematic instructions to amend FCIS Broker Maintenance record.
- [Authorize Amended FCIS Broker Maintenance Record](#)
This topic provides the systematic instructions to authorize amended FCIS Broker Maintenance record.
- [Details of Broker Record That Can Be Amended](#)
This topic provides the systematic instructions to details of Broker record that can be amended.
- [Amend the Broker Hierarchy](#)
This topic provides the systematic instructions to amend the Broker Hierarchy.
- [Amend Broker Details after Transaction Unitization](#)
This topic provides the systematic instructions to amending Broker Details after transaction unitization.

4.4.1 Edit FCIS Broker Maintenance Record

This topic provides the systematic instructions to edit FCIS Broker Maintenance record.

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

1. Start the **FCIS Broker 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 **FCIS Broker 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 **FCIS Broker Maintenance Detail** screen is closed and the changes made are reflected in the **FCIS Broker Maintenance Summary** screen.

4.4.2 View FCIS Broker Maintenance Record

This topic provides the systematic instructions to view FCIS Broker Maintenance record.

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

1. Start the **FCIS Broker Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **FCIS Broker Maintenance Detail** screen is displayed.

4.4.3 Delete FCIS Broker Maintenance Record

This topic provides the systematic instructions to delete FCIS Broker Maintenance record.

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

1. Start the **FCIS Broker 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 **FCIS Broker Maintenance Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.4.4 Authorize FCIS Broker Maintenance Record

This topic provides the systematic instructions to authorize FCIS Broker Maintenance record.

Authorize an unauthorized **FCIS Broker Maintenance** record in the system for it to be processed as follows:

1. Start the **FCIS Broker 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 want to authorize.
The **FCIS Broker Maintenance Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

4.4.5 Amend FCIS Broker Maintenance Record

This topic provides the systematic instructions to amend FCIS Broker 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 **FCIS Broker 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 want to amend.
The **FCIS Broker Maintenance Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.4.6 Authorize Amended FCIS Broker Maintenance Record

This topic provides the systematic instructions to authorize amended FCIS Broker Maintenance record.

Authorize an amended FCIS Broker Maintenance 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. The amended record with the changes is saved in the database as an amended, unauthorized record that you must subsequently authorize for your changes to be reflected as authorized in the database.

4.4.7 Details of Broker Record That Can Be Amended

This topic provides the systematic instructions to details of Broker record that can be amended.

You can make changes to any of the following details in a broker record through an amendment operation:

- Broker Hierarchy
- VAT Information
- Next Payment Date
- Commission Information
- Enabling or Disabling brokers
- The status of the broker
- The rule effective date
- Legacy Codes
- Other Information
- Broker Details after transaction unitization

4.4.8 Amend the Broker Hierarchy

This topic provides the systematic instructions to amend the Broker Hierarchy.

If you need to change the reporting structure in a broker hierarchy setup, you can amend the record of one of the concerned brokers and change the parent broker. You can also introduce an intermediate reporting level broker to whom the existing levels must report.

The following examples will make this clear:

- **Example 1:**
The above illustration is a sample Broker Hierarchy Structure that is referred to in the examples 1-3.

Consider the following hierarchy setup for representing a reporting structure:

Let us suppose that the record of broker B1 is amended, and as a result, the broker B1 undergoes a level change and now reports to broker B111. To enable this change, the broker code of broker B1 is altered from B1 (existing) to B111.

On authorization, this change will be interpreted by the system as follows:

Broker B111 will report to himself (become a level zero broker). Broker B1 will report to broker B1. All brokers under broker B111 will report to broker B111. All brokers under B1 broker will report to broker B1.

As a result of the above level changes the new hierarchy will look as follows:

- **Example 2:**

Let us suppose that, in the same original hierarchy structure, (the first figure) the record of the broker B11 is amended, and as a result, the broker B11 undergoes a level change and now reports to broker B111. To enable this change, the broker code of broker B11 is altered from B1 (existing) to B111.

On authorization, this will be interpreted by the system as follows:

Broker B111 will report to the original parent broker of broker B11, i.e., broker B1. Broker B11 reports to broker B111. All brokers under broker B111 will report to broker B111. All brokers under broker B11 will report to broker B11.

As a result of the above level changes the new hierarchy will look as follows:

- **Example 3:**

If a new reporting level has to be incorporated so that an existing level reports to the new broker, the following level changes should be done.

For example, consider the original setup:

Let us suppose that a new broker Bx is required to be inserted as a level 3 broker under broker B111, and that all brokers who are currently reporting to B111 must now be made level 4 brokers who are required to report to broker Bx.

To meet the requirement, the following changes (amendments) must be done in the records of the brokers concerned:

Introduce broker Bx with parent broker as broker B111, and assign the level number 3 to this broker.

In the record of broker B1111, change the parent broker of broker B1111 to broker Bx, and change the level number assigned to broker B1111 from 3 to 4.

Do likewise in the record of broker B1112.

As a result of these amendments, the new reporting structure would look like this:

This structure reflects the desired changes.

Table 4-10 Amendment - Description

Amendment	Description
Amend VAT Information	You can amend a broker record so that the VAT information can be changed. On authorization, this amended record will affect the VAT payment portion for VAT registered brokers. If the VAT Registered option is unchecked, for future payments VAT will not be added.
Next Payment Date	When you amend a broker record, you can alter the Next Payment Date. This possibility can be used in case a broker account is to be closed (disabled permanently) and the commission payable is to be paid out immediately.

Table 4-10 (Cont.) Amendment - Description

Amendment	Description
Commission Information	When you amend a broker record, you can alter the Commission percentage payable by this broker to the immediate parent broker.
Enable or Disable Brokers	When you amend a broker record, you can disable or enable the broker. Therefore, this possibility can be used to disable a broker from initiating further transactions in the system. This restricts the agency branches in selecting the broker code in all the transaction screens. (To revoke the disabling of the broker, enable the broker again and authorize the details).
Amend Other Information	When you desire to change basic details such as addresses, names, contact persons, broker status, rule effective date and so on for a broker, you can amend the broker's record and make the required changes. On Amendment of Broker details, Rule Effective date will be defaulted with the current Application Date.

4.4.9 Amend Broker Details after Transaction Unitization

This topic provides the systematic instructions to amending Broker Details after transaction unitization.

The system allows you to amend the broker details even after a transaction is unitized. If you amend the broker details of a transaction after unitization, the system passes the appropriate broker commission entries for the old and the new broker to the OMIPAY and GL interfaces.

- Re-computation of fees.
- Oracle FLEXCUBE Commission Payments.
- Periodic Loads applied on intermediary transactions.

4.5 Process Transaction Broker Amendment Detail

This topic provides the systematic instructions to display the Transaction Broker Amendment details.

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

Note

The screen restricts to modify transactions linked with single broker. For multiple brokers scenario you can reverse and recapture the transaction.

The **Transaction Broker Amendment Detail** screen is displayed.

Figure 4-12 Transaction Broker Amendment Detail

- On **Transaction Broker Amendment Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 4-11 Transaction Broker Amendment Detail - Field Description

Field	Description
Transaction Option	<i>Mandatory</i> Select transaction option from the drop-down list. The list displays the following values: UT LEP
Transaction Number	<i>Alphanumeric; 16 Characters; Mandatory</i> Enter UT transaction number or policy transaction number for amendment of broker's information.
Old Broker Code	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the Old Broker Code .
New Broker Code	<i>Alphanumeric; 12 Characters; Mandatory</i> Enter the new broker Code.
Broker Name	<i>Display</i> The system displays the broker name for the selected new broker code

- You can view the following details on authorization of the changes to the broker details.
 - The system checks if the transaction is reversed or not. The system allows only non reversed transactions for broker change.
 - The system internally corrects the broker's information for transaction and allocation related data stores and provides an internal log to historical data.

4.6 Process FCIS Broker Payment Currency Preference Detail

This topic provides the systematic instructions to specify preferred broker payments in multiple currencies based on the source currency of the commission.

- On **Home** screen, type **UTDBCYP** in the text box, and click **Next**.

The **FCIS Broker Payment Currency Preference Detail** screen is displayed.

Figure 4-13 FCIS Broker Payment Currency Preference Detail

- On **FCIS Broker Payment Currency Preference Detail** screen, click **New** to enter the details.

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

Table 4-12 FCIS Broker Payment Currency Preference Detail - Field Description

Field	Description
Broker Payment Currency preference	The section displays the following fields.
Broker Code	<i>Alphanumeric; 12 Characters; Mandatory</i> Select unique broker code from the adjoining list.
Broker Name	<i>Display</i> The broker name will be displayed.
Effective Date	<i>Date Format, Mandatory</i> Specify the date from which the broker payment currency is effective in the system.
Broker Preferred Currency	The section displays the following fields.
Source Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Specify the source currency of the payment.
Preferred Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the preferred currency from the option list.

4.7 FCIS Broker Payment Currency Preference Summary

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

Retrieve FCIS Broker Payment Currency Preference Record

- On **Home** screen, type **UTSBCYPR** in the text box, and click **Next**.

The **FCIS Broker Payment Currency Preference Summary** screen is displayed.

Figure 4-14 FCIS Broker Payment Currency Preference Summary

2. On **FCIS Broker Payment Currency Preference 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**
 - **Broker Code**
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 **Broker Code**
- 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.

You can search the record for **Broker Code** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Broker Code** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Broker Code** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Broker Code** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.

- [Edit FCIS Broker Payment Currency Preference Record](#)
This topic provides the systematic instructions to edit FCIS Broker Payment Currency Preference record.
- [View FCIS Broker Payment Currency Preference Record](#)
This topic provides the systematic instructions to view FCIS Broker Payment Currency Preference record.
- [Delete FCIS Broker Payment Currency Preference Record](#)
This topic provides the systematic instructions to delete FCIS Broker Payment Currency Preference record.
- [Authorize FCIS Broker Payment Currency Preference Record](#)
This topic provides the systematic instructions to authorize FCIS Broker Payment Currency Preference record.
- [Amend FCIS Broker Payment Currency Preference Record](#)
This topic provides the systematic instructions to amend FCIS Broker Payment Currency Preference record.
- [Authorize Amended FCIS Broker Payment Currency Preference Record](#)
This topic provides the systematic instructions to authorize amended FCIS Broker Payment Currency Preference record.

4.7.1 Edit FCIS Broker Payment Currency Preference Record

This topic provides the systematic instructions to edit FCIS Broker Payment Currency Preference record.

Modify the details of **FCIS Broker Payment Currency Preference** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Broker Payment Currency Preference 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 **FCIS Broker Payment Currency Preference Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.
The **FCIS Broker Payment Currency Preference Detail** screen is closed and the changes made are reflected in the **FCIS Broker Payment Currency Preference Summary** screen.

4.7.2 View FCIS Broker Payment Currency Preference Record

This topic provides the systematic instructions to view FCIS Broker Payment Currency Preference record.

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

1. Start the **FCIS Broker Payment Currency Preference Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

5. Double-click the record that you want to view in the list of displayed records.
The **FCIS Broker Payment Currency Preference Detail** screen is displayed.

4.7.3 Delete FCIS Broker Payment Currency Preference Record

This topic provides the systematic instructions to delete FCIS Broker Payment Currency Preference record.

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

1. Start the **FCIS Broker Payment Currency Preference 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 **FCIS Broker Payment Currency Preference Detail** screen is displayed.

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

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

4.7.4 Authorize FCIS Broker Payment Currency Preference Record

This topic provides the systematic instructions to authorize FCIS Broker Payment Currency Preference record.

Authorize an unauthorized **FCIS Broker Payment Currency Preference** record in the system for it to be processed as follows:

1. Start the **FCIS Broker Payment Currency Preference 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 want to authorize.
The **FCIS Broker Payment Currency Preference Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.
When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

4.7.5 Amend FCIS Broker Payment Currency Preference Record

This topic provides the systematic instructions to amend FCIS Broker Payment Currency Preference record.

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

1. Start the **FCIS Broker Payment Currency Preference 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 want to amend.
The **FCIS Broker Payment Currency Preference Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.7.6 Authorize Amended FCIS Broker Payment Currency Preference Record

This topic provides the systematic instructions to authorize amended FCIS Broker Payment Currency Preference record.

Authorize an amended FCIS Broker Payment Currency Preference 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.

Note

When a journal entry for a broker is authorized, the process for any adjustments specified in the entry to the next payment cycle or transaction for the broker is begun in the database. Subsequently, you cannot change a journal entry that has been authorized, in any way. The amendment operation is not available on authorized journal entries for brokers.

4.8 Process FCIS Broker Migration Detail

This topic provides the systematic instructions to change the default broker, from one broker to the other, for all the unit holders, in bulk.

Broker merger is a scenario, where source broker code merges with target broker code to form a single entity.

Post RDR, if the broke merger is not due to advise, then the merger is considered as not advised and the new agent/broker will inherit the terms of holdings. Also, is eligible to receive commission.

Once the broker is merged, the commission due to source broker is paid to the target broker for the business mobilized by the source broker. Also, the system transfers the holdings of source broker to target broker. Post merger, if a transaction is received with source broker code, then the transaction is linked to the target broker code.

Merger of brokers is scheduled as a EOD batch process triggered by **Broker Merger** activity on the day the merger is authorized.

Note

- If either the source or target broker is suspended or deceased, then the system disables broker merger.
- If source broker code is UK domiciled and target broker code is non UK domiciled or visa versa, then the system displays the warning message as Source/target broker is UK Domiciled - Do you wish to continue.

Process FCIS Broker Migration Detail

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

The **FCIS Broker Migration Detail** screen is displayed.

Figure 4-15 FCIS Broker Migration Detail

2. The system validates if the source broker status is **Pending Closure** before migration. Only the brokers with disabled status as **No** are mapped as destination brokers.
Only **Save** operation is applicable for the **FCIS Broker Migration Detail** screen.

Note

Duplicate entries with the same source and destination broker with the same effective date are not allowed.

3. On **FCIS Broker Migration Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 4-13 FCIS Broker Migration Detail - Field Description

Field	Description
Source Broker ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Source broker is the broker from whom migration is done. Select the source broker ID of the option list.
Source Broker Name	<i>Display</i> The name of the source broker is displayed.
Destination Broker ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Destination broker is the new broker to whom the details are migrated. Select the destination broker ID of the option list.
Destination Broker Name	<i>Display</i> The name of the destination broker is displayed.
Effective Date	<i>Date Format; Mandatory</i> Specify the date from which the broker migration is effective in the system.
Status	<i>Display</i> The status of broker migration is displayed.

4.9 FCIS Broker Migration Summary

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

Retrieve Broker Migration

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

The **FCIS Broker Migration Summary** screen is displayed.

Figure 4-16 FCIS Broker Migration Summary

2. On **FCIS Broker Migration 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**
 - **Source Broker ID**
 - **Destination Broker ID**
 - **Effective Date**
3. Click **Search** button to view the records.

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

Note

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

- Press F7
- Input the **Source Broker 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.

You can search the record for **Source Broker ID** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Source Broker ID** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Source Broker ID** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Source Broker ID** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [View Broker Migration](#)
This topic provides the systematic instructions to view Broker Migration.

4.9.1 View Broker Migration

This topic provides the systematic instructions to view Broker Migration.

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

1. Start the **FCIS Broker Migration Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **FCIS Broker Migration Detail** screen is displayed.

4.10 Process Broker Journal Detail

This topic provides the systematic instructions to maintain a journal of accounting entries for payments to a broker.

Brokers receive commission payments out of some of the transactions in every fund for which they are designated intermediaries. With regard to commission earnings, brokers could request for:

- Advance payments
- Ad-hoc payments

Oracle FLEXCUBE Investor Servicing enables the AMC to keep track of the processing and actual payment of commission earnings for brokers, by providing an accounting 'journal' facility, which would record each payment made.

Using this journal, you can:

- Make an accounting entry for each payment made to a broker for earnings from a specific transaction in a fund.
 - Maintain the payable and receivables for a broker for earnings from a fund.
 - Adjust the effect of advance payments or ad-hoc payments made to a broker, on any future payments.
 - The journal for a broker is therefore a single repository for all commission payments received by the broker.
1. On **Home** screen, type **UTDBRKJR** in the text box, and click **Next**.
The **Broker Journal Detail** screen is displayed.

Figure 4-17 Broker Journal Detail

2. In the screen, specify the following mandatory information for each accounting entry for a broker, for a transaction in a fund:
 - The date of the entry, in the **Entry Date** field
 - A unique reference number for the journal entry, in the **Reference Number** field.
 - The currency for the journal entry, in the **Journal Currency** field.
 - The payable or receivables resulting from the transaction, in the **Payables** and **Receivables** fields.
 - Whether the entry is to be deemed an adjustment entry, as indicated in the **Adjustment Entry** field.
 - Any applicable descriptive or narrative text qualifying the entry, in the **Remarks** field.
 - The details of the mode of payment, in the **Payment Details** section.
3. Click **Save** button to save your changes after you have specified this data.
You must have another user to authorize a journal entry for the same to be reflected in the database.
4. On **Broker Journal Detail** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 4-14 Broker Journal Detail - Field Description

Field	Description
Basic Information	The section displays the following fields.
Journal Txn Number	<i>Display</i> System displays the automatically generated journal transaction number here.
Entry Date	<i>Date Format; Mandatory</i> Specify the date on which the respective accounting entry was made in this journal. This date cannot be a future date. Note: System computes the VAT amount for the commission only if the broker journal entry date is on or after the broker VAT registration date.
Reference Number	<i>Alphanumeric; 16 Characters; Mandatory</i> Specify a unique alphanumeric identifier for the journal entry. You will use this reference number to track this entry subsequently.
Journal Type	<i>Alphanumeric; 1 Character; Mandatory</i> Select the Journal type from the adjoining drop-down list. This list displays the following values: • General Journal (G): If you select General Journal, the broker code and the journal remarks are mandatory. • Client-Specific Journal (C): If you select Client-Specific Journal, the broker code, UHID and remarks are mandatory. • Transaction-Specific Journal (T): If you select Transaction-Specific Journal, broker code, transaction number, UHID and remarks are mandatory. The system defaults fund ID and unit holder ID on the selection of transaction number.
Broker	<i>Alphanumeric; 9 Characters; Mandatory</i> Select the code of the broker for whom the accounting entry is being recorded in the journal.
Broker Name	<i>Display</i> The broker name will be displayed.
Product ID	<i>Alphanumeric; 10 Characters; Optional</i> Select the product ID from the option list.
Product Name	<i>Display</i> The system displays the name of the product for the selected product ID.
Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> Select the fund ID in which the commission was earned by the broker, resulting in this journal entry. The list contains all funds in which the broker has transacted and received commission, in the AMC. When you specify the fund, the ISIN code of the fund is displayed in the ISIN Code field.
Fund Name Short	<i>Display</i> The system displays the short name of the fund.
ISIN Code	<i>Alphanumeric; 25 Characters; Mandatory</i> Select the ISIN Code of the selected fund. If you specify the ISIN Code of a fund, the fund is displayed in the Fund ID field.

Table 4-14 (Cont.) Broker Journal Detail - Field Description

Field	Description
Transaction Number	<i>Numeric; 16 Characters; Optional</i> Select the transaction number from the adjoining option list. Note: If the transaction number is given then system validates whether the transaction number belongs to the corresponding broker or not, while saving.
Unit Holder ID	<i>Alphanumeric; 12 Characters; Optional</i> The system populates the unit holder ID from the transaction number selected. You can also query unit holder ID by clicking Find UH button.
Unit Holder Name	<i>Display</i> The system defaults the Unit Holder Name as per the Unit Holder ID .
Journal Currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Select the currency for the journal entry. The base currency for the fund is displayed here, but you can choose a different currency.
Payables	<i>Alphanumeric; 18 Characters; Optional</i> Specify the amount that the broker must pay to the AMC, if any, as a result of the transaction.
Receivables	<i>Alphanumeric; 18 Characters; Optional</i> Specify the commission amount that the broker must receive from the AMC, if any, as a result of the transaction.
Adjustment Entry	<i>Mandatory</i> Select the appropriate Adjustment Entry from the adjoining drop-down list to indicate that the payable or receivable amount specified for this journal entry must be adjusted or offset in the next commission payment cycle for the next transaction, for the selected broker. If you select the option VAT Only, then the amount entered against Payables and Receivables is considered as VAT amount payable and receivable. If the Adjustment entry is selected as VAT Only, then the system will make changes only to the VAT amount.
Remarks	<i>Alphanumeric; 255 Characters; Mandatory</i> Specify any narrative or descriptive text qualifying the journal entry. This information is mandatory.
Currency Name	<i>Display</i> The system displays the name of the currency for the selected journal currency.
Payment Details	In this section, specify the details of the mode in which the payable or receivables amount has to be paid out or received by the broker.
Payment Mode	<i>Optional</i> Select the mode in which the payment was made or received, either through check or by account transfer.
Bank	<i>Alphanumeric; 12 Characters; Mandatory</i> Select the code of the bank, in which the transfer account resides, which was used to make the payment.

Table 4-14 (Cont.) Broker Journal Detail - Field Description

Field	Description
Check Number	<i>Alphanumeric; 12 Characters; Mandatory for check payments</i> Specify the number of the check.
Account Currency	<i>Alphanumeric; 3 Characters; Optional</i> Select the currency of the transfer account, which was used to make the payment.
Account Number	<i>Alphanumeric; 34 Characters; Optional</i> Specify the number of the transfer account that was used to make the payment.
IBAN	<i>Alphanumeric; 40 Characters; Optional</i> Specify the International Bank Account Number (IBAN) of the account holder.
Branch	<i>Alphanumeric; 12 Characters; Optional</i> Select the code of the bank, in which the transfer account resides, which was used to make the payment.
Cheque Date	<i>Date Format; Optional</i> Specify the date on which the check was drawn.
Account Type	<i>Alphanumeric; 1 Character; Optional</i> Select the type of the transfer account, which was used to make the payment.
Maintained Bank Accounts	<i>Alphanumeric; 35 Characters; Optional</i> Select the maintained bank accounts from the option list.

4.11 Broker Journal Summary

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

Retrieve Journal Entry

After you have made an accounting entry in a broker journal, you can:

- Make changes to the entry before you authorize it. You can also delete the entry, if deemed necessary.
- Have another user authorize it. Adjustments to the next payment cycle, if any, sought as specified in the entry, can only be effected after it is authorized.

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

The **Broker Journal Summary** screen is displayed.

Figure 4-18 Broker Journal Summary

2. On **FCIS Broker Migration 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**
 - **Journal Txn Number**
 - **Reference Number**
 - **Fund ID**
 - **Broker**
 - **Entry Date**
 - **Receivables**
 - **Product 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 **Journal Txn Number**
- 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.

You can search the record for **Journal Txn Number** by using the combination of % and alphanumeric value as follows:

- Search by A%: System will fetch all the records whose **Journal Txn Number** starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose **Journal Txn Number** ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: System will fetch all the records whose **Journal Txn Number** contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.
- [Edit Journal Entry](#)
This topic provides the systematic instructions to edit Journal Entry.
- [View Journal Entry](#)
This topic provides the systematic instructions to view Journal Entry.
- [Delete Journal Entry](#)
This topic provides the systematic instructions to delete Journal Entry.
- [Authorize Journal Entry](#)
This topic provides the systematic instructions to authorize Journal Entry.

4.11.1 Edit Journal Entry

This topic provides the systematic instructions to edit Journal Entry.

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

1. Start the **Broker Journal 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 **Broker Journal 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 **Broker Journal Detail** screen is closed and the changes made are reflected in the **Broker Journal Summary** screen.

4.11.2 View Journal Entry

This topic provides the systematic instructions to view Journal Entry.

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

1. Start the **Broker Journal Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.
You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.
All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.
The **Broker Journal Detail** screen is displayed.

4.11.3 Delete Journal Entry

This topic provides the systematic instructions to delete Journal Entry.

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

1. Start the **Broker Journal 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 **Broker Journal Detail** screen is displayed.
5. Select **Delete** operation from the Action list.
The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.11.4 Authorize Journal Entry

This topic provides the systematic instructions to authorize Journal Entry.

Authorize an unauthorized **Broker Journal** record in the system for it to be processed as follows:

1. Start the **Broker Journal 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 want to authorize.
The **Broker Journal 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.

When a journal entry for a broker is authorized, the process for any adjustments specified in the entry to the next payment cycle or transaction for the broker is begun in the database. Subsequently, you cannot change a journal entry that has been authorized, in any way. The amendment operation is not available on authorized journal entries for brokers.

4.12 Process Raise Broker Commission

This topic provides the systematic instructions to raise broker commission.

1. On **Home** screen, type **UTDBRAIS** in the text box, and click **Next**.
The **Raise Broker Commission** screen is displayed.

Figure 4-19 Raise Broker Commission

2. On **Raise Broker Commission** screen, click **New** to enter the details.
For more information on fields, refer to the field description table.

Table 4-15 Raise Broker Commission - Field Description

Field	Description
To Date	<i>Date Format; Mandatory</i> Specify the date until which you wish to raise the broker commission. This field is mandatory. If you raise broker commission on current application date, the system will consider all the transactions allotted till the previous day. To date should be less than or equal to the previous working date.
Last Raise Date	<i>Date Format; Optional</i> Select the last raise date when the raise was made from the adjoining calendar.
Broker Type	<i>Alphanumeric; 6 Characters; Optional</i> Specify the broker type for which the commission should be raised.
AMC List	The section displays the following fields.

Table 4-15 (Cont.) Raise Broker Commission - Field Description

Field	Description
AMC ID	<i>Alphanumeric; 6 Characters; Optional</i> Specify the id of the AMC. The adjoining option list displays all valid AMC ids maintained in the system. You can select the appropriate one.
AMC Name	<i>Alphanumeric; 10 characters; Optional</i> When you select the AMC ID , the AMC name automatically gets populated. However, you are allowed to edit the same.
Fund List	The section displays the following fields.
Fund ID	<i>Alphanumeric; 6 characters; Optional</i> Specify the Fund ID . The adjoining option list displays all valid fund ids maintained in the system. You can select the appropriate one.
Fund Name	<i>Display</i> When you select the fund id ,the fund name automatically gets populated. The system logs the VAT amount details along with commission details. The raising of commission is independent of the payment of commission, and the raise of commission and the payment of commission need not occur on the same day. The commission table shows the converted amount if the broker source currency is different from that of the preferred currency. For raise broker commission, previous system date cannot be a holiday.

4.13 Process FCIS Broker Authorization

This topic provides the systematic instructions to authorize the broker details.

1. On **Home** screen, type **UTDBRKAU** in the text box, and click **Next**.
The **FCIS Broker Authorization** screen is displayed.

Figure 4-20 FCIS Broker Authorization

The screenshot shows the 'FCIS Broker Authorization' window. It includes a toolbar with an 'Execute Query' icon. The main form area contains the following fields and controls:

- Broker Code**: A text input field.
- Rule Effective Date**: A date picker showing 'YYYY-MM-DD'.
- Broker Base Currency**: A text input field.
- Broker Name**: A text input field.
- Parent Broker Code**: A text input field.
- AMC ID**: A text input field.
- Buttons**: 'Authorize' and 'View Changes' buttons are located below the 'AMC ID' field.
- Cancel**: A button located at the bottom right of the window.

- On **FCIS Broker Authorization** screen, click **Enter Query** to enter the details.
For more information on fields, refer to the field description table.

Table 4-16 FCIS Broker Authorization - Field Description

Field	Description
Broker Code	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify Broker Code .
Rule Effective Date	<i>Date Format; Mandatory</i> Select the rule effective date from the adjoining calendar. After specifying broker code and rule effective date, click Execute Query button. The system displays the following details:
Broker Name	<i>Display</i> The system displays the broker name of the specified broker code.
Parent Broker Code	<i>Display</i> The system displays the parent broker code of the specified broker code.
Broker Base Currency	<i>Display</i> The system displays the broker base currency code.
AMC ID	<i>Display</i> The system displays the AMC ID .

- Click the **Authorize** button to authorize the broker details after specifying the necessary details.
- Click the **View Changes** button to view the changes.
- You can also process **View Changes** screen by typing **UTDVWCHG** in the text box, and click **Next** to view the changes.

The **View Changes** screen is displayed.

Figure 4-21 FCIS Broker Authorization_View Changes

View Changes

Execute Query

Key Id 1 Key Id 2
Date 1 Date 2

1 of 1

Fields

Field Name	Value 1	Value 2
No data to display.		

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Cancel

4.14 Process Commission Payment Status Change

This topic provides the systematic instructions to change the commission payment status.

This means that you can hold the commission payment for which the commission is raised.

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

The **Commission Payment Status Change** screen is displayed.

Figure 4-22 Commission Payment Status Change

2. On **Commission Payment Status Change** screen, click **New** to enter the details.

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

Table 4-17 Commission Payment Status Change - Field Description

Field	Description
Reference Number	<i>Display</i> The system displays the reference number.
Fund ID	<i>Alphanumeric; 12 Characters; Mandatory</i> Specify the Fund ID .
Transaction Number	<i>Alphanumeric; 16 Characters; Optional</i> Specify the Transaction Number .
From Entity ID	<i>Alphanumeric; 12 characters; Optional</i> Specify the entity from whom the commission is charged.
To Entity ID	<i>Alphanumeric; 15 characters; Optional</i> Specifies the entity for whom the commission is charged. This field is mandatory.
Policy Number	<i>Alphanumeric; 10 characters; Optional</i> Specify the Policy Number . The adjoining option list displays valid policy numbers maintained in the system. You can choose the appropriate one.

Table 4-17 (Cont.) Commission Payment Status Change - Field Description

Field	Description
Current Payment Status	<i>Alphanumeric; 15 Characters; Optional</i> Select the current payment status from the adjoining option list.
Select All	<i>Optional</i> Select if all the records has to be selected or not from the drop-down list. The list displays the following values: • Yes • No Click Show Details button to show all the records with the specified values.
New Payment Status	<i>Alphanumeric; 15 Characters; Optional</i> Specify the new payment status for the commission record. This determines the eligibility for the payment of commission. All commission records that have a Payment Status = P will be eligible for Commission Payment. P means payable. All commission records that have a Payment Status = S will not be eligible for the next commission payment run. After the next commission payment processing, system will update the commission records with Payment Status as S to P, (Payable) status . S means Single Payment Hold Back . All commission records that have a Payment Status = I will not be eligible for a commission payment run. I means Indefinite Hold Back . System will not automatically update the commission records with payment status as I to P. This should be done manually. Select a record and change the exchange rate source or exchange rate or new payment status and click Process button to update the commission record with new payment status, new exchange rate source applied, new exchange rate applied.

- [Search Results Tab](#)
This topic explains the search results tab of **Commission Payment Status Change** screen.
- [Exchange Rate Source Tab](#)
This topic provides the systematic instructions to map the exchange rate source and currency details in the **Commission Payment Status Change** screen.
- [Exchange Rate Maintenance Tab](#)
This topic provides the systematic instructions to maintain the exchange rate in the **Commission Payment Status Change** screen.

4.14.1 Search Results Tab

This topic explains the search results tab of **Commission Payment Status Change** screen.

1. On **Commission Payment Status Change** screen, click **Search Results** tab to view the records for which broker commission is raised.

The **Search Results** details are displayed.

Figure 4-23 Commission Payment Status Change_Search Results Tab

Commission Payment Status Change

Save

Show Details

New Payment Status

Search Results Exchange Rate Source Exchange Rate Maintenance

Detail

Fund ID	Load ID	From Entity	To Entity	Transaction Amount	Load Amount	Commission Currency	Load amount in fee currency
No data to display.							

Page 1 (0 of 0 items) |< < 1 > >|

Audit Cancel

- On **Commission Payment Status Change** screen under **Search Results** tab, you can view the following fields.

The following fields are displayed.

- **Fund ID**
- **Load ID**
- **From Entity**
- **To Entity**
- **Transaction Amount**
- **Load Amount**
- **Commission Currency**
- **Load amount in fee currency**
- **Commission amount in payment currency**
- **Commission Payment Amount**
- **VAT Amount**
- **VAT Amount in Pay CCY**
- **FX Source**
- **FX Rate**
- **Payment Status**
- **Select**

4.14.2 Exchange Rate Source Tab

This topic provides the systematic instructions to map the exchange rate source and currency details in the **Commission Payment Status Change** screen.

- On **Commission Payment Status Change** screen, click **Exchange Rate Source** tab to map the exchange rate source and currency details.

The **Exchange Rate Source** details are displayed.

Figure 4-24 Commission Payment Status Change_Exchange Rate Source Tab

- On **Exchange Rate Source** tab, specify the fields.

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

Table 4-18 Exchange Rate Source - Field Description

Field	Description
Commission Currency	<i>Alphanumeric; 3 Characters; Optional</i> Specify the currency in which the commission is paid.
Currency Name	<i>Display</i> The system display the name of the currency.
New Exchange Rate Source	<i>Alphanumeric; 6 Characters; Optional</i> Select the exchange rate source from which the exchange rates are to be derived for the transaction. For example, If the default source currency is USD and you are required to convert commission from GBP to EUR , then the system first converts from GBP to USD and then from USD to EUR .

4.14.3 Exchange Rate Maintenance Tab

This topic provides the systematic instructions to maintain the exchange rate in the **Commission Payment Status Change** screen.

- On **Commission Payment Status Change** screen, click **Exchange Rate Maintenance** tab to maintain the exchange rate.

The **Exchange Rate Maintenance** details are displayed.

Figure 4-25 Exchange Rate Maintenance Tab

Commission Payment Status Change

Save Show Details

New Payment Status

Search Results Exchange Rate Source Exchange Rate Maintenance

Overriding Exchange Rate Details

☐ Source Currency	☐ Payment Currency	☐ Exchange Rate Source	☐ New Exchange Rate

Page 1 of 1 (1 of 1 items)

Audit Cancel

- On the **Exchange Rate Maintenance** tab, specify the fields.
For more information on fields, refer to the field description table.

Table 4-19 Exchange Rate Maintenance - Field Description

Field	Description
Source Currency	<i>Alphanumeric; 3 Characters; Optional</i> The system displays the source currency, however, you can specify the currency in which the commission is paid from the adjoining option list.
Payment Currency	<i>Alphanumeric; 3 Characters; Optional</i> Specify the currency in which the commission is paid.
Exchange Rate Source	<i>Alphanumeric; 6 Characters; Optional</i> Specify the exchange rate source from which the exchange rates are to be derived for the transaction.
New Exchange Rate	<i>Alphanumeric; 15 Characters; Optional</i> Specify the latest exchange rate maintained for an exchange rate source. Note: Payment status change of a record is also reflected in the Payment Enrichment screen.

4.15 Commission Payment Status Change Summary

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

Retrieve Commission Payment Status Change Record

- On **Home** screen, type **UTSCHPAY** in the text box, and click **Next**.

The **Commission Payment Status Change Summary** screen is displayed.

Figure 4-26 Commission Payment Status Change Summary

Commission Payment Status Change Summary

Search Advanced Search Reset Clear All

Records per page: 15

Lock Columns: 0

Search Results

☐	Authorization Status	Record Status	Reference Number	Fund ID	Transaction Number	From Entity ID	To Entity ID	Policy Number
No data to display.								

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Exit

2. On **Commission Payment Status Change 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**
 - **Commission Payment Status Change**
 - **Payment Frequency**
 - **Last Working Day**
3. Click **Search** button to view the records.
All the records with the specified details are retrieved and displayed in the screen.
4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
 - [Edit Commission Payment Status Change Record](#)
This topic provides the systematic instructions to edit Commission Payment Status Change Record.
 - [View Commission Payment Status Change Record](#)
This topic provides the systematic instructions to view Commission Payment Status Change Record.
 - [Delete Commission Payment Status Change Record](#)
This topic provides the systematic instructions to delete Commission Payment Status Change record.
 - [Authorize Commission Payment Status Change Record](#)
This topic provides the systematic instructions to authorize Commission Payment Status Change record.
 - [Amend Commission Payment Status Change Record](#)
This topic provides the systematic instructions to amend Commission Payment Status Change record.

- [Authorize Amended Commission Payment Status Change Record](#)
This topic provides the systematic instructions to authorize Amended Commission Payment Status Change record.

4.15.1 Edit Commission Payment Status Change Record

This topic provides the systematic instructions to edit Commission Payment Status Change Record.

Modify the details of **Commission Payment Status Change** record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Commission Payment Status Change 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 **Commission Payment Status Change 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 **Commission Payment Status Change Detail** screen is closed and the changes made are reflected in the **Commission Payment Status Change Summary** screen.

4.15.2 View Commission Payment Status Change Record

This topic provides the systematic instructions to view Commission Payment Status Change Record.

View a record that you have previously input by retrieving the same in the **Commission Payment Status Change Summary** screen. Perform this operation as follows:

1. Start the **Commission Payment Status Change Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **Commission Payment Status Change Detail** screen is displayed.

4.15.3 Delete Commission Payment Status Change Record

This topic provides the systematic instructions to delete Commission Payment Status Change record.

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

1. Start the **Commission Payment Status Change 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 **Commission Payment Status Change Detail** screen is displayed.

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

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

4.15.4 Authorize Commission Payment Status Change Record

This topic provides the systematic instructions to authorize Commission Payment Status Change record.

Authorize an unauthorized **Commission Payment Status Change** record in the system for it to be processed as follows:

1. Start the **Commission Payment Status Change 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 want to authorize.

The **Commission Payment Status Change Detail** screen is displayed.

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

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

4.15.5 Amend Commission Payment Status Change Record

This topic provides the systematic instructions to amend Commission Payment Status Change 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 **Commission Payment Status Change 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 want to amend.
The **Commission Payment Status Change Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.15.6 Authorize Amended Commission Payment Status Change Record

This topic provides the systematic instructions to authorize Amended Commission Payment Status Change record.

Authorize an amended Commission Payment Status Change 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.

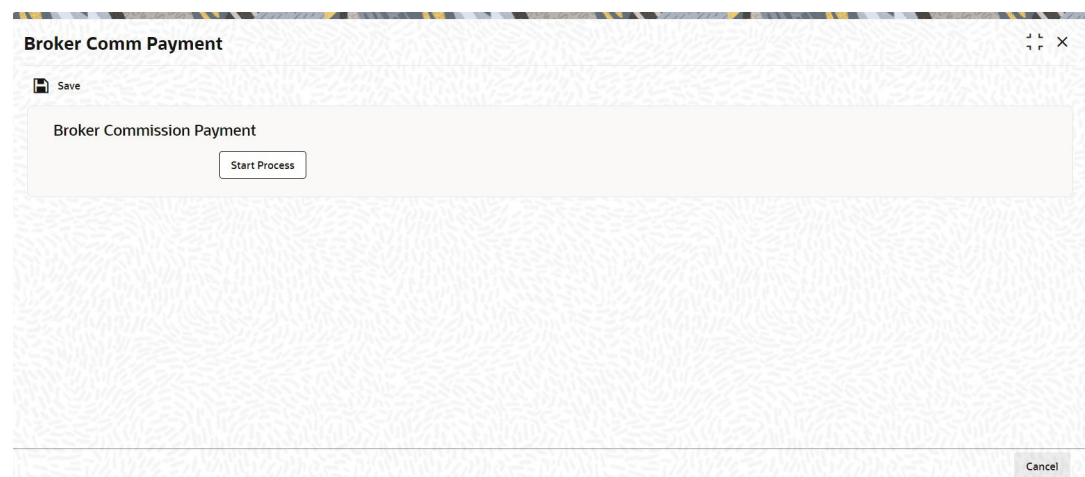
The process of subsequent authorization is the same as that for normal transactions.

4.16 Process Broker Commission Payment

This topic provides the systematic instructions to determine the date of commission payment for all commission transactions raised from a specific agency branch or across all agency branches.

1. On **Home** screen, type **UTDBRCOP** in the text box, and click **Next**.
The **Broker Comm Payment** screen is displayed.

Figure 4-27 Broker Comm Payment



2. Click the **Start Process** button to process the commission payment.

Note

If the amount in payment currency for the broker is greater than the minimum payment amount for payment currency, then all of those commission should be paid. You can make the payment at any time.

4.17 Process FCIS Minimum Commission Payment Amount Maintenance Detail

This topic provides the systematic instructions to maintain a minimum payment amount for each commission payment currency.

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

The **FCIS Minimum Commission Payment Amount Maintenance Detail** screen is displayed.

Figure 4-28 FCIS Minimum Commission Payment Amount Maintenance Detail

The screenshot displays the 'FCIS Min Comm Payment Amt Maintenance Detail' window. At the top left is a 'Save' button. Below it is the 'Effective Date' field, which is currently empty and shows the format 'YYYY-MM-DD' with a calendar icon. The main section is titled 'Detail' and contains a table with two columns: 'Payment Currency' and 'Minimum Payment Amount'. The table has one row with a search icon in the 'Payment Currency' column. Below the table, there is a pagination bar showing 'Page 1 of 1 (1 of 1 items)' and navigation arrows. At the bottom right of the window are 'Audit' and 'Cancel' buttons.

2. On **FCIS Minimum Commission Payment Amount Maintenance Detail** screen, click **New** to enter the details.

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

Table 4-20 FCIS Minimum Commission Payment Amount Maintenance Detail - Field Description

Field	Description
Effective Date	<i>Date Format; Mandatory</i> Specify the date from which the commission payment should be effective in the system.
Details	The section displays the following fields.
Payment currency	<i>Alphanumeric; 3 Characters; Mandatory</i> Select appropriate currency from the adjoining option list.

Table 4-20 (Cont.) FCIS Minimum Commission Payment Amount Maintenance Detail - Field Description

Field	Description
Minimum Payment Amount	<i>Alphanumeric; 25 Characters; Mandatory</i> Specify the minimum payment amount for each commission payment amount. Note: You can maintain a new record, copy, unlock, delete, authorize and reopen a record in this screen.

- [Example on Payment Currency and Minimum Payment Amount Maintenance](#)
This topic gives an example on Payment Currency and Minimum Payment Amount maintenance.

4.17.1 Example on Payment Currency and Minimum Payment Amount Maintenance

This topic gives an example on Payment Currency and Minimum Payment Amount maintenance.

The system validates the minimum payment amount specified for each payment currencies during payment processing.

If minimum payment amount is not maintained then the system considers the minimum amount as zero.

Assume that in **FCIS Minimum Commission Payment Amount Maintenance Detail** screen, the payment currency and minimum payment amount is maintained as follows:

Table 4-21 Example on Payment Currency and Minimum Payment Amount maintenance

Currency	Minimum Payment Amount
ZAR	150
USD	100
GBP	0

Then the system will make the broker commission payment as follows:

- If the commission payment currency is **ZAR**, then system transfers the money to the broker if the commission amount is greater than or equal to 150 ZAR.
- If the commission payment currency is **USD**, then system transfers the money to the broker if the commission amount is greater than or equal to 100 USD.
- If the commission payment currency is **GBP**, then system transfers the money to the broker if the commission amount is greater than Zero.
- If the minimum payment amount is not maintained for any of the currency, then system will pay the broker if the commission amount is greater than Zero.

System uses the default exchange rate for conversion.

4.18 FCIS Minimum Commission Payment Amount Maintenance Summary

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

Retrieve Minimum Commission Payment Amount

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

The **FCIS Minimum Commission Payment Amount Maintenance Summary** screen is displayed.

Figure 4-29 FCIS Minimum Commission Payment Amount Maintenance Summary

2. On **FCIS Minimum Commission Payment Amount 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**
 - **Effective 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 **Effective Date**
- Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
- [Edit Minimum Commission Payment Amount](#)
This topic provides the systematic instructions to edit Minimum Commission Payment Amount.
- [View Minimum Commission Payment Amount](#)
This topic provides the systematic instructions to view Minimum Commission Payment Amount.
- [Delete Minimum Commission Payment Amount](#)
This topic provides the systematic instructions to delete Minimum Commission Payment Amount.
- [Authorize Minimum Commission Payment Amount](#)
This topic provides the systematic instructions to authorize Minimum Commission Payment Amount.
- [Amend Minimum Commission Payment Amount](#)
This topic provides the systematic instructions to amend Minimum Commission Payment Amount.
- [Authorize Amended Minimum Commission Payment Amount](#)
This topic provides the systematic instructions to authorize amended Minimum Commission Payment Amount.

4.18.1 Edit Minimum Commission Payment Amount

This topic provides the systematic instructions to edit Minimum Commission Payment Amount.

Modify the details of **Minimum Commission Payment Amount** that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Minimum Commission Payment Amount 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 **FCIS Minimum Commission Payment Amount 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 **FCIS Minimum Commission Payment Amount Maintenance Detail** screen is closed and the changes made are reflected in the **FCIS Minimum Commission Payment Amount Maintenance Summary** screen.

4.18.2 View Minimum Commission Payment Amount

This topic provides the systematic instructions to view Minimum Commission Payment Amount.

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

1. Start the **FCIS Minimum Commission Payment Amount Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

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

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

The **FCIS Minimum Commission Payment Amount Maintenance Detail** screen is displayed.

4.18.3 Delete Minimum Commission Payment Amount

This topic provides the systematic instructions to delete Minimum Commission Payment Amount.

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

1. Start the **FCIS Minimum Commission Payment Amount 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 **FCIS Minimum Commission Payment Amount Maintenance Detail** screen is displayed.

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

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

4.18.4 Authorize Minimum Commission Payment Amount

This topic provides the systematic instructions to authorize Minimum Commission Payment Amount.

Authorize an unauthorized **Minimum Commission Payment Amount** in the system for it to be processed as follows:

1. Start the **FCIS Minimum Commission Payment Amount 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 want to authorize.

The **FCIS Minimum Commission Payment Amount Maintenance Detail** screen is displayed.

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

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

4.18.5 Amend Minimum Commission Payment Amount

This topic provides the systematic instructions to amend Minimum Commission Payment Amount.

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

1. Start the **FCIS Minimum Commission Payment Amount 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 want to amend.

The **FCIS Minimum Commission Payment Amount Maintenance Detail** screen is displayed.

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

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

4.18.6 Authorize Amended Minimum Commission Payment Amount

This topic provides the systematic instructions to authorize amended Minimum Commission Payment Amount.

Authorize an amended Minimum Commission Payment Amount 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.

4.19 Process Entity Commission Payment Inquiry Detail

This topic provides the systematic instructions to inquire entity commission payment.

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

The **Entity Commission Payment Inquiry Detail** screen is displayed.

Figure 4-30 Entity Commission Payment Inquiry Detail

2. On **Entity Commission Payment Inquiry Detail** screen, click **New** to enter the details.

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

Table 4-22 Entity Commission Payment Inquiry Detail - Field Description

Field	Description
Entity Type	<i>Alphanumeric; 1 Character; Optional</i> Specify the Entity Type . Alternatively, you can select entity type from the option list. The list displays all valid entity type maintained in the system.
Type of Information	<i>Mandatory</i> Select the type of information from the drop-down list. The list displays the following values: • Commission Paid • Commission Accrued
Entity ID	<i>Alphanumeric; 12 Characters; Mandatory</i> 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.

Table 4-22 (Cont.) Entity Commission Payment Inquiry Detail - Field Description

Field	Description
Fund ID	<i>Alphanumeric; 6 Characters; Mandatory</i> 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.
Payment Number	<i>Numeric; 22 Characters; Optional</i> Specify the Payment Number .
Payment From Date	<i>Date Format; Optional</i> Select the date from when the entity commission payment has to be made from the adjoining calendar.
Payment To Date	<i>Date Format; Optional</i> Select the date till when the entity commission payment has to be made from the adjoining calendar.
Transaction Number	<i>Alphanumeric; 16 Characters; Optional</i> Specify the Transaction Number .
Commission Type	<i>Alphanumeric; 16 Characters; Optional</i> Specify the type of commission. Alternatively, you can select commission type from the option list. The list displays all valid commission type maintained in the system.
Accrual Date	<i>Date Format; Optional</i> Select the accrual date from the adjoining calendar.

- [Payable Tab](#)
This topic explains the payable details tab of Entity Commission Payment Inquiry Detail screen.
- [Accrual Tab](#)
This topic explains the accrual details tab of Entity Commission Payment Inquiry Detail screen.

4.19.1 Payable Tab

This topic explains the payable details tab of Entity Commission Payment Inquiry Detail screen.

1. On **Entity Commission Payment Inquiry Detail** screen, click **Payable** tab to view the details.

The **Payable** details are displayed.

Figure 4-31 Entity Commission Payment Inquiry Detail_Payable Tab

Entity Commission Payment Inquiry Detail

Save

Payment Number Transaction Number

Payment From Date MM/DD/YYYY Commission Type

Payment To Date MM/DD/YYYY Accrual Date MM/DD/YYYY

Find

Payable Accrual

Commission Paid

☐ Fund ID	Payment Number	Payment Indicator	Fund Base Currency	Gross Amount	Tax Deducted	Net Amount	Mode of Payment	Instrument Amount
No data to display.								

Page 1 (0 of 0 items) |< < 1 > >|

Cancel

- Click **Find** button after specifying the necessary details in the **Entity Commission Payment Inquiry Detail** screen.

The system displays the following commission paid details:

- **Fund ID**
- **Payment Number**
- **Payment Indicator**
- **Fund Base Currency**
- **Gross Amount**
- **Tax Deducted**
- **Net Amount**
- **Mode of Payment**
- **Instrument Amount**
- **Instrument Currency**
- **Payment Description**
- **View Details**

4.19.2 Accrual Tab

This topic explains the accrual details tab of Entity Commission Payment Inquiry Detail screen.

- On **Entity Commission Payment Inquiry Detail** screen, click **Accrual** tab to view the details.

The **Accrual** details are displayed.

Figure 4-32 Entity Commission Payment Inquiry Detail_Accrual Tab

2. Click **Find** button after specifying the necessary details.

The system displays the following commission accrual details:

- **Fund ID**
- **Commission Amount**
- **Commission Currency**
- **Payment Description**
- **View Details**

4.20 Process FSA Registration Maintenance Detail

This topic provides the systematic instructions to capture FSA registration number.

The system allows the open and closure of the FSA registration maintenance for an entity.

If you close a maintenance and then try to create a new record for that entity, then the system displays an error message stating that the maintenance already exists. You need to reopen the record to reactivate the same.

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

The **FSA Registration Maintenance Detail** screen is displayed.

Figure 4-33 FSA Registration Maintenance Detail

- On **FSA Registration Maintenance Detail** screen, click **New** to enter the details.

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

Table 4-23 FSA Registration Maintenance Detail - Field Description

Field	Description
Entity Type	<i>Alphanumeric; 1 Character; Mandatory</i> Specify the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity type maintained in the system.
Entity Type Description	<i>Display</i> The system displays the description for the selected entity type.
Entity ID	<i>Alphanumeric; 12 Characters; Mandatory</i> The system displays the entity ID based on the entity type selected. However, you can amend this field. Note: If Entity type selected is Broker, Account Officer, or IFA, then the system will not allow to maintain FSA registration for Direct entity.
Entity Name	<i>Display</i> The system displays the name of the selected entity.
Entity Category Type	<i>Display</i> The system displays the entity category type.
FSA Registration Number	<i>Alphanumeric; 8 Characters; Mandatory</i> Specify FSA registration number. FSA Registration Number will be unique across all the entities (Broker/Entity). For Corporate entity, you can enter 7 characters and for Individual entity, you can enter 8 characters.
Hold Client Money	<i>Optional</i> Select Hold Client Money status from the drop-down list. The list displays the following values: - Yes - No

Table 4-23 (Cont.) FSA Registration Maintenance Detail - Field Description

Field	Description
FSA Registration Status	<i>Alphanumeric; 1 Character; Mandatory</i> Specify FSA Registration Number . Alternatively, you can select FSA registration status from the option list. The list displays all valid FSA registration status maintained in the system.
Status Description	<i>Display</i> The system displays the description for the selected FSA registration status.

4.21 FSA Registration Maintenance Summary

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

Retrieve FSA Registration Maintenance Record

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

The **FSA Registration Maintenance Summary** screen is displayed.

Figure 4-34 FSA Registration Maintenance Summary

2. On **FSA Registration 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**
 - **Entity ID**
 - **Entity Type**
 - **FSA Registration Number**
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 **Entity ID** and **Entity Type**
- Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.
- [Edit FSA Registration Maintenance Record](#)
This topic provides the systematic instructions to edit FSA Registration Maintenance record.
 - [View FSA Registration Maintenance Record](#)
This topic provides the systematic instructions to view FSA Registration Maintenance Record.
 - [Delete FSA Registration Maintenance Record](#)
This topic provides the systematic instructions to delete FSA Registration Maintenance record.
 - [Authorize FSA Registration Maintenance Record](#)
This topic provides the systematic instructions to authorize FSA Registration Maintenance record.
 - [Amend FSA Registration Maintenance Record](#)
This topic provides the systematic instructions to amend FSA Registration Maintenance record.
 - [Authorize Amended FSA Registration Maintenance Record](#)
This topic provides the systematic instructions to authorize amended FSA Registration Maintenance record.

4.21.1 Edit FSA Registration Maintenance Record

This topic provides the systematic instructions to edit FSA Registration Maintenance record.

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

1. Start the **FSA Registration 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 **FSA Registration 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 **FSA Registration Maintenance Detail** screen is closed and the changes made are reflected in the **FSA Registration Maintenance Summary** screen.

4.21.2 View FSA Registration Maintenance Record

This topic provides the systematic instructions to view FSA Registration Maintenance Record.

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

1. Start the **FSA Registration Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the **Authorization Status** field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **FSA Registration Maintenance Detail** screen is displayed.

4.21.3 Delete FSA Registration Maintenance Record

This topic provides the systematic instructions to delete FSA Registration Maintenance record.

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

1. Start the **FSA Registration 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 **FSA Registration Maintenance Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

4.21.4 Authorize FSA Registration Maintenance Record

This topic provides the systematic instructions to authorize FSA Registration Maintenance record.

Authorize an unauthorized **FSA Registration Maintenance** record in the system for it to be processed as follows:

1. Start the **FSA Registration 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 want to authorize.

The **FSA Registration Maintenance Detail** screen is displayed.

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

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

4.21.5 Amend FSA Registration Maintenance Record

This topic provides the systematic instructions to amend FSA Registration 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 **FSA Registration 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 want to amend.

The **FSA Registration Maintenance Detail** screen is displayed.

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

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

4.21.6 Authorize Amended FSA Registration Maintenance Record

This topic provides the systematic instructions to authorize amended FSA Registration Maintenance record.

Authorize an amended FSA Registration Maintenance record for the amendment to be made effective in the system. The authorization of amended records can be done only from Agency branch Module.

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

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