# Oracle® FLEXCUBE Investor Servicing

## Interface User Guide


Release 14.8.0.0.0

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Oracle FLEXCUBE Investor Servicing Interface User Guide, Release 14.8.0.0.0

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# Contents

# Preface

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

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

This topic contains the following sub-topics:

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

## Purpose

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

## Audience

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

## Documentation Accessibility

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

### Access to Oracle Support

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

## Critical Patches

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

## Diversity and Inclusion

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

## Conventions

The following text conventions are used in this document:

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

## Screenshot Disclaimer

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

## Acronyms and Abbreviations

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

**Table 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**

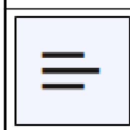
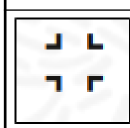
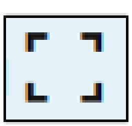
| Symbol/Icon | Function |
| --- | --- |
|  | Lists all records maintained |
|  | Minimize |
|  | Maximize |

**Table 2 (Cont.) Symbols and Icons**

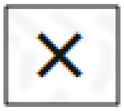
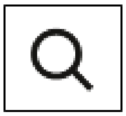
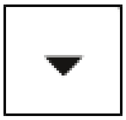
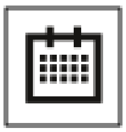
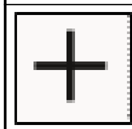
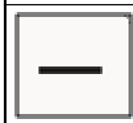
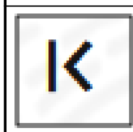
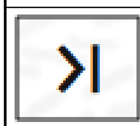
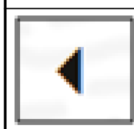
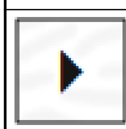
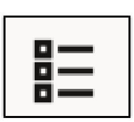
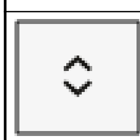
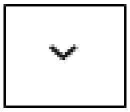
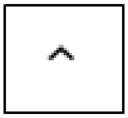
| Symbol/Icon | Function |
| --- | --- |
|  | Close |
|  | Perform Search |
|  | Open a list |
|  | Select a Date |
|  | Add a new row to enter details in a record. |
|  | Delete a row, which is already added. |
|  | Navigate to the first record |
|  | Navigate to the last record |
|  | Navigate to the 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.<br>When the user click **New**, the system displays a new record enabling to specify the required data.<br>**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.<br>This action is available only when a record is created. |
| **Unlock** | Used to update the details of an existing record.<br>System displays an existing record in editable mode. |
| **Print** | Used to print a record.<br>This action is available only when a record is created. |
| **Enter Query** | Used to give details of a saved record in a detail screen.<br>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.<br>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.<br>This button is displayed, once the user click **Authorize**. |
| **Authorize** | Used to authorize the report created.<br>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.<br>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.<br>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**.

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# Create Electronic Fund Transfer Interfaces

This topic provides instruction to create Electronic Fund Transfer interfaces.

Oracle FLEXCUBE Investor Servicing (FC-IS) provides the AMC with the facility of interfacing with external clearing bureaus and clearing banks. The interface is facilitated through electronic funds transfer (EFT), and specific transfer instruction data can be generated as EFT files that are sent to these clearing bureaus.

In the FC-IS system, you can create transfer instructions to be sent to the clearing bank of the AMC from where transfers can be effected to the unit holder bank accounts, for the following business events:

- **Redemption Payments:** For all the payments that need to be effected through transfer to unit holder bank account due to redemption transactions on any given date, you can generate an EFT file in the system with all the relevant transfer instruction data and the amounts. This file can then be exported to the clearing bank of the AMC.
- **Dividend Payments:** For all dividend payments that must be effected through transfer to unit holder bank accounts, on a given date, an EFT file can be generated that contains all the relevant transfer instruction data and the amounts. This file can then be manually transmitted to the clearing bank of the AMC that will actually effect the transfers.
- **Broker Commission Payments:** For all payments through transfer to an agent or broker bank accounts due to commission accrual on any given date, an EFT file can be generated that contains the transfer details and the amounts. This file can be exported to the clearing bank of the AMC.

You can also create transfer instructions to an external clearing bureau for the purpose of debiting the relevant unit holder accounts in the case of debit orders. A hand-off file can be generated with the transfer instruction information that can be sent to an external clearing bureau that will debit the relevant unit holder bank accounts and credit the AMC account as applicable.

In case of NPI payments to a trust, you can generate a single EFT file that contains all the transfer details and the total NPI amount that must be paid to charitable trusts.

This chapter describes the functions in the FC-IS system that you can use to create these transfer instructions EFT files.

This topic contains the following sub-topics:

- Create Transfer Instruction Files
  This topic provides instruction to create Electronic Transfer Instruction Files.
- Few Basic Terms
  This topic provides information on few basic terms to generate the EFT files.
- Generate EFT Files
  This topic provides systematic instruction to generate EFT Files.
- Process EFT Setup Detail
  This topic provides the systematic instructions to generate a batch for an EFT file.

- EFT Setup Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Mark a Batch for Re-Export
  This topic provides the systematic instructions to mark a Batch for Re-Export.
- Process Payment Clearing Detail
  This topic provides the systematic instructions to process payment clearing.
- Payment Clearing Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

# 1.1 Create Transfer Instruction Files

This topic provides instruction to create Electronic Transfer Instruction Files.

The following screens in the system facilitate the creation and generation of these transfer instructions interface files:

- The EFT Setup (Detail and Summary) Screen that you can access from the EFT Setup menu in the Browser.
- The Payment Clearing Screen that you can access from the Payment Clearing menu in the Browser.

# 1.2 Few Basic Terms

This topic provides information on few basic terms to generate the EFT files.

**Batch**

A batch is a logical group of records that forms a single transfer instruction EFT file. Accordingly, one single batch can include transfer instructions records that could apply to any one of the four business events mentioned above – redemption payments, dividend payments, broker commission payments or debit orders, as of the date on which (the effective date) the hand-off files are to be generated.

**Instruction Type**

Each of the four business events that will result in transfer instructions being sent to the clearing bureau (for debit orders) or clearing bank (for redemption payments, dividend payments or broker commission payments), is designated within the system as an instruction type. Therefore, a single batch can contain records that pertain to a single instruction type, for a given date.

**Instruction Medium**

The instruction medium is the method using which the interfacing with the external entity is achieved. Therefore, the medium could be an automated clearing bureau, an electronic funds transfer, a SWIFT interface, and so on.

Taking a typical example, if the generated transfer instruction files are exported to an external clearing bank, they may need to be exported through an electronic funds transfer. In this case, the instruction medium would be EFT or electronic funds transfer.

**Settlements and Link Settlement Numbers**

Settlement of the records in a batch involves the debiting or crediting of the applicable bank accounts. For each account that is impacted by the debit or credit entries due to the settlement, the system generates a number known as the link settlement number. This number is typically used for tracking the record in the different stages of the settlement.

If more than one of the records retrieved for a batch are to be settled by crediting or debiting the same unit holder account, then the system internally deems the settlement to be a single one. It also assesses the number of such settlements, and displays the same.

For example, in the case of redemption payments, let us suppose that a certain unit holder A has performed redemption transactions T1 and T2, and that these transactions have been allocated on the date 3rd – April - 2000. Let us suppose that the only bank account to be credited as a result of these transactions is AC1. When you extract redemption payment records for the date 3rd - April - 2000 in this screen, the system retrieves T1 and T2. When it finds, during the process of extraction, that both the proceeds of both transactions are to be credited to a single account AC1, it deems both the transactions as a single settlement, and assigns a single link settlement number, for both these transactions.

For a single link settlement number, all the underlying transactions must be cleared or rejected together.

## 1.3 Generate EFT Files

This topic provides systematic instruction to generate EFT Files.

Typically, it is recommended that you perform the generation of an EFT batch file after the End of Day process at the Fund Manager has been preformed by the Operator users.

You can create and generate the transfer instruction files in the system by using the following procedures, in sequence:

- For the date on which the hand-off instruction files are to be generated, for sending to the clearing bureau, you must extract the records that must appear in these files. You can use the EFT Batch Maintenance (Detail) screen to do this.
- After you have extracted and saved the batch in the EFT Batch Generation screen, authorize it using the EFT Batch Maintenance (Summary) screen.
- The user that has generated the batch record in the EFT Batch Maintenance (Detail) screen cannot authorize the batch. Typically, a user belonging to the Supervisor user group can authorize the batch in the EFT Batch Maintenance (Summary) screen.
- After authorization, you can generate and export the actual transfer instruction interface file that contains the batch records using the interface processing functions in the system.

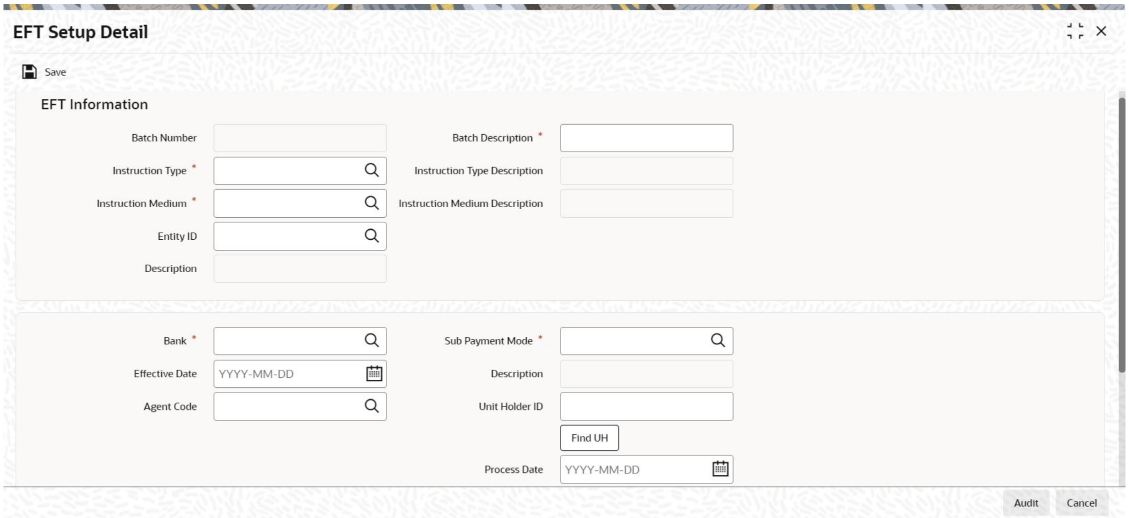
Refer to the Interfaces chapter of this User Manual for a detailed discussion of the interface processing functions.

**Re-exporting Batch EFT File**

Once a batch has been authorized, it cannot be generated again for the same instruction type, for the same date.

If the transmitted EFT batch file is misplaced due to any reason, then you can re-export the same batch again. The saved batch data is exported. You can use the Mark Batch for Re-Export screen to do this. The Interface processing function may be used again to re-transmit the EFT batch file.

**Figure 1-1 EFT Setup Detail**



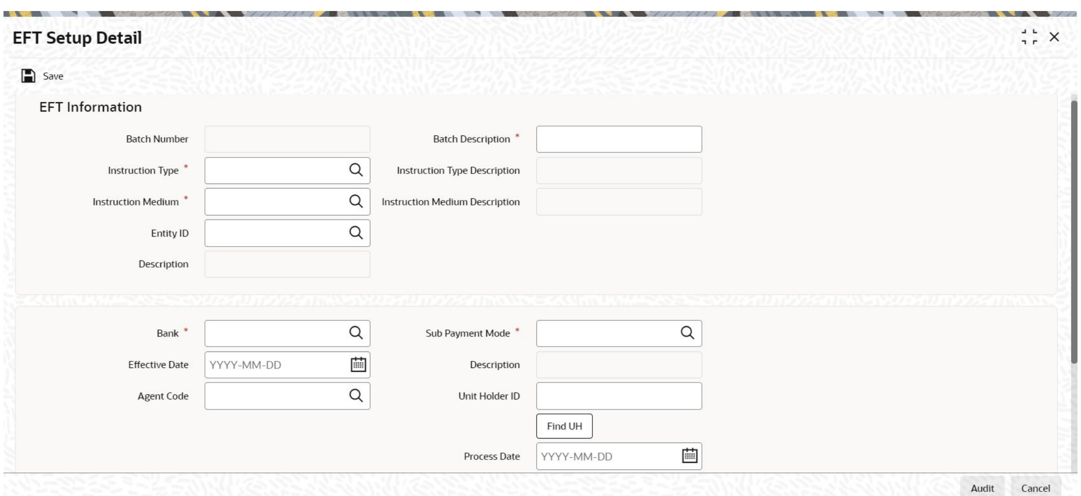

# 1.4 Process EFT Setup Detail

This topic provides the systematic instructions to generate a batch for an EFT file.

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

   The **EFT Setup Detail** screen is displayed.

   **Figure 1-2 EFT Setup Detail**


2. Generate **EFT Batch** in this screen.
3. Specify the following mandatory information to create a batch that can be used for generating and exporting an EFT file, in the applicable fields in the header or main portion of this screen.
   - The **Instruction Type** that will determine the records that must be extracted for this batch.
   - The **Effective Date** for which the records must be extracted for this batch.

- The **Batch Description**.

4. Click **Extract** button. The job is submitted and the corresponding procedure is run.

   The **Asynchronous Process** screen is opened, where the current status of the job is indicated.

5. Extract all the relevant transaction records pertaining to the specified **Instruction Type** and **Effective Date**.

   The amounts involved are summed across all the transaction and displayed in the **Instruction Information** section in the lower portion of the screen. This displayed row will also contain the number of records that are tagged with a link settlement number.

6. Click **View Details** button to view the records in detail, with the actual transaction numbers, and the bank account details.

   The records that make up the batch are displayed transaction-wise in the **Instruction Details** section in the lower portion of the form.

7. Choose **Save** option from the **File** menu or click **Save** button to save the batch.

8. Select **New** from the Actions menu in the Application tool bar or click **New** icon to enter the details of the **EFT Setup Detail** screen.

9. On **EFT Setup Detail** screen, click **New** to enter the details.

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

**Table 1-1 EFT Setup Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Batch Number** | The Batch Number is a unique identifier that is assigned to each batch that is generated in this screen. When you have extracted all the records in this screen, the **Batch Number** is generated when you choose the **Save** option and the system successfully saves the batch.<br>The **Batch Number** consists of a 20-character number, and is generated by the system according to the following logic.<br>• **Characters 1-2** indicate BN<br>• **Characters 3-4** indicate the following,<br>– The instruction type **DO** for debit orders<br>– **RE** for redemption payments<br>– **BC** for broker commission payments<br>– **DI** for dividend payments.<br>• **Characters 5-12** indicate the date stamp (as **yyyymmdd** format)<br>• **Characters 13-20** - indicate a running serial number prefixed with zeros | *Display* |
| **Batch Description** | Specify the batch description. | *Alphanumeric; 30 Characters; Mandatory* |
| **Instruction Type** | Select the type of business event that results in the EFT file transfer to the external bureau in the form of this batch. The records that will be extracted by the system in this screen will be filtered according to the instruction type that you specify here. | *Alphanumeric, 2 Characters; Mandatory* |

**Table 1-1 (Cont.) EFT Setup Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Instruction Type Description** | When you select the instruction type, the description for the respective instruction type is displayed.<br>The following types are available:<br>• **Debit Orders**<br>• **Redemption Payouts**<br>• **Dividend Payouts**<br>• **Broker Commission Payouts**<br>• **NPI Payments to Trust**<br>For instance, if you specify the **Instruction Type** as **Redemption Payouts**, the system will retrieve only records of redemption transactions that have been allocated on the specified date.<br>The drop-down list in this field contains all the instruction types that have been identified for the AMC and the interface. The instruction types are set up in the system by the implementers at installation time. | *Display* |
| **Instruction Medium** | The instruction medium is the method using which the interfacing with the external entity is achieved. Therefore, the medium could be an automated clearing bureau, an electronic funds transfer, a SWIFT interface, and so on.<br>Taking a typical example, if the generated transfer instruction files are exported to an external clearing bank, they may need to be exported through an electronic funds transfer. In this case, the instruction medium would be **EFT** or **Electronic Funds Transfer**.<br>At the time of installation of the system, the implementers set up the different instruction mediums as applicable to the AMC. Each instruction type is mapped to an instruction medium. Therefore, when you specify the instruction type, the instruction medium that is mapped to the selected instruction type is displayed here, and it cannot be altered. | *Alphanumeric; 6 Characters; Mandatory* |
| **Instruction Medium Description** | When you select the instruction medium, the description for the respective instruction medium is displayed for the EFT Setup. | *Display* |
| **Entity ID** | The ID of the entity involved in the transaction is displayed here. | *Alphanumeric; 12 Characters; Optional* |
| **Description** | The system displays the description for the selected entity ID. | *Display* |
| **Bank** | Specify the code of the bank, in which the transfer account is located, from which the settlement will be done for the transaction. | *Alphanumeric; 12 Characters; Mandatory* |
| **Sub Payment Mode** | Select the sub payment mode from the option list. | *Alphanumeric; 2 Characters; Mandatory* |
| **Description** | The system displays the description for the selected sub payment mode. | *Display* |

**Table 1-1 (Cont.) EFT Setup Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Effective Date** | Specify the date for which the records must be extracted for this batch.<br>• For redemption payments, the redemption transactions that have occurred on the date you specify here must have been allocated.<br>• For dividend payments, the following events must have already occurred for the date you specify here:<br>  – The fund dividend should have been declared and authorized for all funds earlier than the date you specify here.<br>  – The dividend that has been declared must already have been processed for the date you specify here.<br>• For broker commissions, the commissions that are accruing to the broker on the date you specify here must already have been processed in the system.<br>• For debit orders, the date you specify here must be the date of generation of the standing instructions transaction. Therefore, it must always be a future date.<br>Therefore, for redemption payments, broker commission payments and dividend payments, the date you specify here can be a past date, subject to the conditions mentioned above. | *Date Format; Mandatory* |
| **Agent Code** | Select the agent code from the option list. | *Alphanumeric; 12 Characters; Optional* |
| **Unit Holder ID** | Select the ID of the respective unit holder from the option list.<br>You can also select unit holder ID by clicking **Find UH** button. | *Alphanumeric; 12 Characters; Optional* |
| **Process Date** | Select the process date from the adjoining calendar.<br>This is the date on which the batch record is saved in this screen. | *Date Format; Mandatory* |
| **Net Amount** | The net amount involved in the transaction is displayed here. | *Display* |
| **Held Back Payment?** | Select **Yes** or **No** from drop-down list to specify whether any payments are held back or not. | *Optional* |
| **Broker Code** | Enter the broker code. | *Alphanumeric; 12 Characters; Optional* |
| **Held From** | Enter from when the payment is held back. | *Date Format; Optional* |
| **Count of Records** | The number of the allotted transaction in the system that has been extracted for this batch is displayed here.<br>For dividend payments and commission payments, it is the corresponding payment number. For redemption transactions, it is the actual redemption transaction number in the system. For debit orders, it is the actual system-generated Standing Instructions transaction number that is assigned when the transaction is actually generated in the system. | *Display* |
| **Mark for Re-Export** | Click **Mark For Re-Export** button to mark the records for re-export | NA |

10. Print Reports on saving EFT Batch.

    When you save an EFT batch in this screen, the following reports are printed:

    - The **Instruction Batch Report**, containing the following details:
      – Batch Number and Description
      – Instruction Description
      – Instruction Medium
      – Net Amount
      – Process Date and Effective Date
      – Authorization Status and Batch Status
      – Rejection Reason, if any.
    - The **EFT Batch Details Report**, containing the following details:
      – The Link Settlement Numbers, if any.
      – The transaction amounts, at the settlement number level, and a sum for the entire batch.
      – The transfer bank account details at the link settlement number level.

# 1.5 EFT Setup Summary

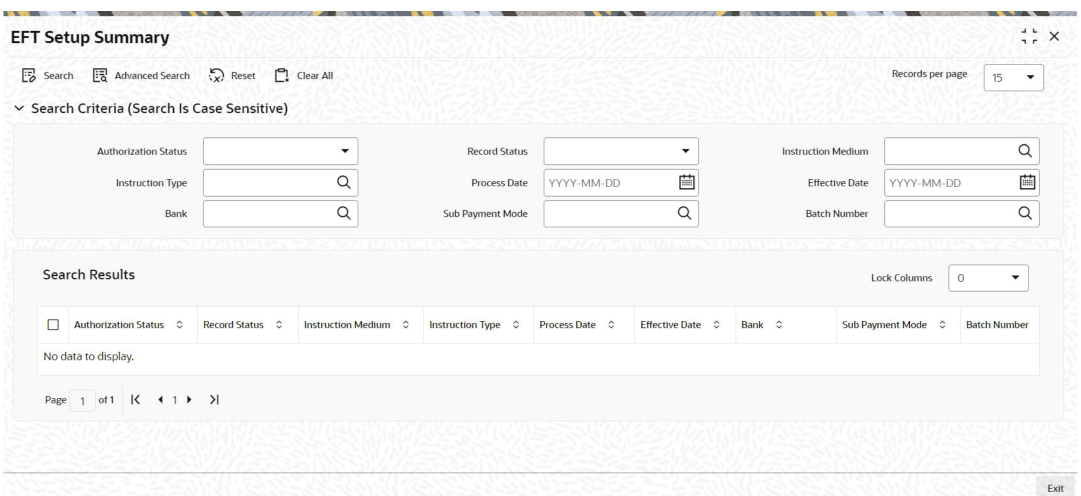
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve EFT Setup Record**

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

   The **EFT Setup Summary** screen is displayed.

**Figure 1-3 EFT Setup Summary**




2. On **EFT 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**
- **Instruction Medium**
- **Instruction Type**
- **Process Date**
- **Effective Date**
- **Bank**
- **Sub Payment Mode**
- **Batch 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 **Instruction 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 Batch Number by using the combination of % and alphanumeric value as follows:

   - Search by A%: System will fetch all the records whose Instruction Type starts from Alphabet 'A'. Ex: AGC17, AGVO6, AGC74 and so forth.
   - Search by %7: System will fetch all the records whose Instruction Type ends by numeric value' 7'. Ex: AGC17, GSD267, AGC77 and so forth.
   - Search by %17%: System will fetch all the records whose Instruction Type contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.

   For more infrormation on operations, refer the following:

- Edit EFT Setup Summary
  This topic provides the systematic instructions to edit EFT Setup Summary record.
- View EFT Setup Summary
  This topic provides the systematic instructions to view EFT Setup Summary record.
- Delete EFT Setup Summary
  This topic provides the systematic instructions to delete EFT Setup Summary record.
- Authorize EFT Setup Summary
  This topic provides the systematic instructions to authorize EFT Setup Summary record.

- Amend EFT Setup Summary
  This topic provides the systematic instructions to amend EFT Setup Summary record.
- Authorize Amend EFT Setup Summary
  This topic provides the systematic instructions to authorize amend EFT Setup Summary record.
- Copy EFT Setup Summary
  This topic provides the systematic instructions to copy EFT Setup Summary record.

## 1.5.1 Edit EFT Setup Summary

This topic provides the systematic instructions to edit EFT Setup Summary record.

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

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

## 1.5.2 View EFT Setup Summary

This topic provides the systematic instructions to view EFT Setup Summary record.

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

1. Start the **EFT 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 **EFT Setup Detail** screen is displayed.

## 1.5.3 Delete EFT Setup Summary

This topic provides the systematic instructions to delete EFT Setup Summary record.

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

1. Start the **EFT 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 **EFT 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.

## 1.5.4 Authorize EFT Setup Summary

This topic provides the systematic instructions to authorize EFT Setup Summary record.

Authorize an unauthorized EFT Setup Record in the system for it to be processed as follows:

1. Start the **EFT 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 wish to authorize.

   The **EFT 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.

## 1.5.5 Amend EFT Setup Summary

This topic provides the systematic instructions to amend EFT Setup Summary 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 **EFT 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 wish to amend.

   The **EFT 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.

## 1.5.6 Authorize Amend EFT Setup Summary

This topic provides the systematic instructions to authorize amend EFT Setup Summary record.

Authorize an amended EFT Setup Record for the amendment to be made effective in the system.

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

## 1.5.7 Copy EFT Setup Summary

This topic provides the systematic instructions to copy EFT Setup Summary record.

1. Click **Copy** to create a new **EFT Setup Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **EFT Setup Record** should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.
3. Click **Copy**.

   Indicate the ID for the new **EFT Setup Record**. You can, however, change the details of the new record.

# 1.6 Mark a Batch for Re-Export

This topic provides the systematic instructions to mark a Batch for Re-Export.

Once a batch has been authorized, it cannot be generated again for the same instruction type, for the same date.

If the data is lost due to any reason, or the EFT file is misplaced, then you can re-export the same batch again. The saved data is exported again. You can use the Mark EFT Batch for Re-Export option in the **Operation** field, in the **EFT Setup Summary** to do this.

Only batches that have been authorized and subsequently processed at least once can be marked for re-export.

**Mark a Batch for Re-Export**
To mark a batch for re-export in the **EFT Setup Summary** screen:

1. Select Mark for Re-Export in the Operation field.
2. Retrieve the batch that you must re-export.
3. Specify the appropriate search criteria, and retrieve the batch.

   When you have successfully retrieved the batch, the details of the batch are displayed in the grid portion of the screen.

The following details are displayed for the batch:

- The Batch ID and description
- The Process Date and the Effective Date for the batch
- The count of the number of link settlements for the batch

4. Check **Re-Export** check box to mark a batch for re-export in the row corresponding to the batch in the grid. Similarly, mark as many batches as required, for Re-Export.
5. Choose **Save** option from the **File** menu or click **Save** button to save the marked batches.

# 1.7 Process Payment Clearing Detail

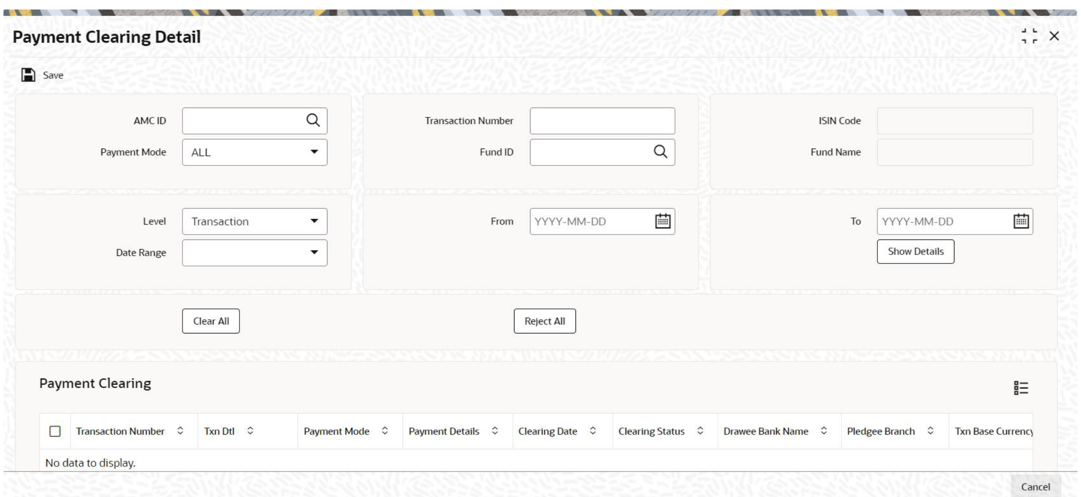
This topic provides the systematic instructions to process payment clearing.

In an exported EFT batch file, if the external clearing bureau directs that some settlements must be reconciled in the system, you can use the **Payment Clearing Detail** screen.

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

   The **Payment Clearing Detail** screen is displayed.

**Figure 1-4 Payment Clearing Detail**




2. On **Payment Clearing Detail** screen, click **New** to enter the details.

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

**Table 1-2 Payment Clearing Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **AMC ID** | Select the **AMC ID** from the option list, for which clearing to be processed. | *Alphanumeric; 12 Characters; Optional* |
| **Transaction Number** | Specify the transaction number for which payment needs to be processed. | *Alphanumeric; 16 Characters; Optional* |

**Table 1-2 (Cont.) Payment Clearing Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Fund ID** | Specify the **Fund ID** for which payment needs to be processed. | *Alphanumeric; 6 Characters; Optional* |
| **ISIN Code** | The system displays the ISIN code for the selected fund ID. | *Display* |
| **Fund Name** | The system displays the fund name for the selected fund ID. | *Display* |
| **Payment Mode** | Select the mode of payment from the drop-down list. The list displays the following values:<br>• **ALL**<br>• **Cheque**<br>• **Demand Draft**<br>• **Transfer**<br>• **Credit Card** | *Optional* |
| **Level** | Select the level of transactions to be selected from the drop-down list. The list displays the following values:<br>• **Transaction**<br>• **Policy**<br>• **Settlement**<br>• **Pre-Settled Trade** | *Optional* |
| **Date Range** | Select the date range to be considered for filtering in from and to date from the drop-down list. The list displays the following values:<br>• **Transaction Date**<br>• **Allocation Date**<br>• **Payment Date** | *Optional* |
| **From** | Specify the from date for which transactions to be filtered based on Date Range selected. | *Date Format; Optional* |
| **To** | Specify the to date for which transactions to be filtered based on Date Range selected. | *Date Format; Optional* |

# 1.8 Payment Clearing Summary

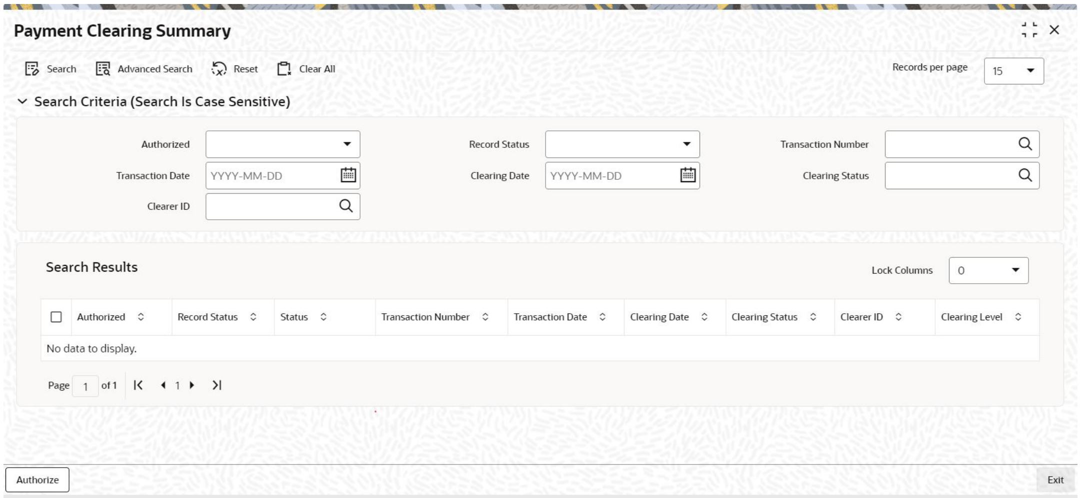
This topic provides the systematic instructions to perform the basic operations on the selected records.

### Retrieve Payment Clearing Record

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

   The **Payment Clearing Summary** screen is displayed.

**Figure 1-5 Payment Clearing Summary**




2. On **Payment Clearing Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record Status**
   - **Transaction Number**
   - **Transaction Date**
   - **Clearing Date**
   - **Clearing Status**
   - **Clearer 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 **Transaction 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 Transaction Number by using the combination of % and alphanumeric value as follows:
   - Search by A%: The system will fetch all the records whose Transaction Number starts from Alphabet ‘A’. Ex: AGC17, AGVO6, AGC74 and so forth.

- Search by %7: The system will fetch all the records whose Transaction Number ends by numeric value' 7'. Ex: AGC17, GSD267, AGC77 and so forth.
- Search by %17%: The system will fetch all the records whose Transaction Number contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.

For more infromation on operations, refer the following:

- Edit Payment Clearing Record
  This topic provides the systematic instructions to edit Payment Clearing record.
- View Payment Clearing Record
  This topic provides the systematic instructions to view Payment Clearing record.
- Delete Payment Clearing Record
  This topic provides the systematic instructions to delete Payment Clearing record.
- Authorize Payment Clearing Record
  This topic provides the systematic instructions to authorize Payment Clearing record.
- Amend Payment Clearing Record
  This topic provides the systematic instructions to amend Payment Clearing record.
- Authorize Amended Payment Clearing Record
  This topic provides the systematic instructions to authorize amended Payment Clearing record.
- Copy Payment Clearing Record
  This topic provides the systematic instructions to authorize Payment Clearing record.
- Clear or Reject Settlement
  This topic provides the systematic instructions to clear or reject the Payment Clearing record.

## 1.8.1 Edit Payment Clearing Record

This topic provides the systematic instructions to edit Payment Clearing record.

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

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

## 1.8.2 View Payment Clearing Record

This topic provides the systematic instructions to view Payment Clearing record.

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

1. Start the **Payment Clearing 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 **Payment Clearing Detail** screen is displayed.

## 1.8.3 Delete Payment Clearing Record

This topic provides the systematic instructions to delete Payment Clearing record.

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

1. Start the **Payment Clearing 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 **Payment Clearing 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 Payment Clearing Record

This topic provides the systematic instructions to authorize Payment Clearing record.

Authorize an unauthorized Payment Clearing Record in the system for it to be processed as follows:

1. Start the **Payment Clearing 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 **Payment Clearing 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 Payment Clearing Record

This topic provides the systematic instructions to amend Payment Clearing 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 **Payment Clearing Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

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

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

   The **Payment Clearing 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 Payment Clearing Record

This topic provides the systematic instructions to authorize amended Payment Clearing record.

Authorize an amended Payment Clearing Record for the amendment to be made effective in the system.

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

## 1.8.7 Copy Payment Clearing Record

This topic provides the systematic instructions to authorize Payment Clearing record.

1. Click **Copy** to create a new **Payment Clearing Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Payment Clearing Record** should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.
3. Click **Copy**.

   Indicate the ID for the new **Payment Clearing Record**. You can, however, change the details of the new record.

## 1.8.8 Clear or Reject Settlement

This topic provides the systematic instructions to clear or reject the Payment Clearing record.

1. Select the **Transaction** option in the **Level** field in the **Payment Clearing Detail** screen.
2. In the **Payment Mode** field, select the **Link Settlement Number** option. You must key in the link settlement number for the settlement that you want to clear or reject in the **Specific Number** field.
3. Click **Show** button to retrieve all the transactions that are to be settled together for the specified **Link Settlement Number**.

   The system retrieves the details for these transactions and displays the same in the lower grid portion of the screen.

   - The **Transaction Number**
   - The **Txn Dtl**
   - The **Payment Mode Description**
   - The **Payment Details**
   - The transfer account details (the **Bank Name**, **Branch Name**, **Account Type**, **Account Number**, **Account Currency** and **Account Name**)
   - The clearing instrument number
4. Specify the clearing date for the settlement in the **Clearing Date** field. In the case of link settlement numbers, all the transactions must be cleared together or rejected together.

   Individual transactions cannot be cleared or rejected in isolation. Therefore, you must specify the clearing dates for all the transactions together.
5. Select **Clear All** option to mark all the transactions for clearing, or **Reject All** option to mark all the transactions for rejection after you have specified the clearing dates for all the transactions.
6. Click **Save** button to actually effect the clearance of the settlement.

2

# Process SWIFT Messages

This topic explains the processes involved in uploading and processing SWIFT messages.

**Process SWIFT Messages at an AMC / Distributor Installation**

The **Oracle FLEXCUBE Investor Servicing (FCIS)** system provides the facility of processing incoming and outgoing messages at an AMC / Distributor installation, over the **Society for Worldwide Inter bank Financial Telecommunication (SWIFT)** network.

This topic contains the following sub-topics:

- Transaction Workflow
  This topic gives on overview on the Transaction Workflow.
- Business Application Header
  This topic provides information on Business Application Header and its tags in messages.
- Process Swift Message Setup Maintenance Detail
  This topic provides the systematic instructions to carry certain maintenances for the generation of SWIFT messages.
- Swift Message Setup Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Swift Element UDF Detail
  This topic provides the systematic instructions to set up UDFs for SWIFT Elements.
- Swift Element UDF Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Manual Message Detail
  This topic provides the systematic instructions to generate an outgoing message manually.
- Process Parameter Setup Detail
  This topic provides the systematic instructions to validate SWIFT messages.
- Process Incoming Message Browser
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Outgoing Message Browser
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Incoming Swift Messages
  This topic provides the systematic instructions to upload incoming messages.
- Process Outgoing Swift Messages
  This topic provides the systematic instructions to generate outgoing messages.
- Set Up Distinguished Name (DN) Address
  This topic provides the instructions to set up Distinguished Name (DN) Address.

- Swift Entity Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Account Opening
  This topic provides the information on account opening.
- Subscription Bulk Order
  This topic provides the information on Subscription Bulk Order.
- Subscription Bulk Order Confirmation
  This topic provides the information on Subscription Bulk Order Confirmation.
- Subscription Bulk Order Cancellation Instruction
  This topic provides the information on Subscription Bulk Order Cancellation Instruction.
- Subscription Multiple Order
  This topic provides the information on Subscription Multiple Order.
- Subscription Multiple Order Confirmation
  This topic provides the information on Subscription Multiple Order Confirmation.
- Subscription Multiple Order Cancellation Instruction
  This topic provides information on Subscription Multiple Order Cancellation Instruction and its tags in messages.
- Redemption Bulk Order
  This topic provides information on Redemption Bulk Order and its tags in messages.
- Redemption Bulk Order Confirmation
  This topic provides information on Redemption Bulk Order Confirmation and its tags in messages.
- Redemption Bulk Order Cancellation Instruction
  This topic provides information on Redemption Bulk Order Cancellation Instruction and its tags in messages.
- Redemption Multiple Order
  This topic provides information on Redemption Multiple Order and its tags in messages.
- Redemption Multiple Order Confirmation
  This topic provides information on Redemption Multiple Order Confirmation and its tags in messages.
- Redemption Multiple Order Cancellation Instruction
  This topic provides information on Redemption Multiple Order Cancellation Instruction and its tags in messages.
- Request for Order Status Report
  This topic provides information on Request for Order Status Report and its tags in messages.
- Order Instruction Status Report
  This topic provides information on Order Instruction Status Report.
- Order Cancellation Status Report
  This topic provides information on Order Cancellation Status Report.
- Switch Order
  This topic provides information on Switch Order and its tags in messages.
- Switch Order Confirmation
  This topic provides information on Switch Order Confirmation and its tags in messages.

- Switch Order Cancellation Instruction
  This topic provides information on Switch Order Cancellation Instruction and its tags in messages.
- Transfer Out Instruction
  This topic provides information on Transfer Out Instruction and its tags in messages.
- Transfer Out Confirmation
  This topic provides information on Transfer Out Confirmation and its tags in messages.
- Transfer Out Cancellation Request
  This topic provides information on Transfer Out Cancellation Request and its tags in messages.
- Transfer Out Confirmation Request
  This topic provides information on Transfer Out Confirmation Request and its tags in messages.
- Reversal of Transfer Out Confirmation
  This topic provides information on Reversal Of Transfer Out Confirmation and its tags in messages.
- Transfer In Instruction
  This topic provides information on Transfer In Instruction and its tags in messages.
- Transfer In Cancellation Request
  This topic provides information on Transfer In Cancellation Request and its tags in messages.
- Transfer In Confirmation
  This topic provides information on Transfer In Confirmation and its tags in messages.
- Reversal of Transfer In Confirmation
  This topic provides information on Reversal Of Transfer In Confirmation and its tags in messages.
- Request for Transfer Status Report
  This topic provides information on Request for Transfer Status Report and its tags in messages.
- Transfer Cancellation Status Report
  This topic provides information on Transfer Cancellation Status Report and its tags in messages.
- Transfer Instruction Status Report
  This topic provides information on Transfer Instruction Status Report and its tags in messages.
- Price Report
  This topic provides information on Price Report and its tags in messages.
- Price Report Cancellation
  This topic provides information on Price Report Cancellation and its tags in messages.
- Fund Estimated Cash Forecast Report
  This topic provides information on Fund Estimated Cash Forecast Report and its tags in messages.
- Fund Confirmed Cash Forecast Report
  This topic provides information on Fund Confirmed Cash Forecast Report and its tags in messages.
- Fund Confirmed Cash Forecast Report Cancellation
  This topic provides information on Fund Confirmed Cash Forecast Report Cancellation and its tags in messages.

- Fund Detailed Estimated Cash Forecast Report
  This topic provides information on Fund Detailed Estimated Cash Forecast Report and its tags in messages.
- Fund Detailed Confirmed Cash Forecast Report
  This topic provides information on Fund Detailed Confirmed Cash Forecast Report and its tags in messages.
- Fund Detailed Confirmed Cash Forecast Report Cancellation
  This topic provides information on Fund Detailed Confirmed Cash Forecast Report Cancellation and its tags in messages.
- Custody Statement of Holdings Report
  This topic provides information on Custody Statement of Holdings Report and its tags in messages.
- Statement of Investment Fund Transactions
  This topic provides information on Statement of Investment Fund Transactions and its tags in messages.
- Account Details Confirmation
  This topic provides information on Account Details Confirmation and its tags in messages.
- Account Modification
  This topic provides information on Account Modification and its tags in messages.
- Get Account Details
  This topic provides information on Get Account Details and its tags in messages.
- Request Account Management Status
  This topic provides information on Request Account Management Status and its tags in messages.
- Account Management Status Report
  This topic provides information on Account Management Status Report and its tags in messages.

# 2.1 Transaction Workflow

This topic gives on overview on the Transaction Workflow.

The workflow involves the following steps:

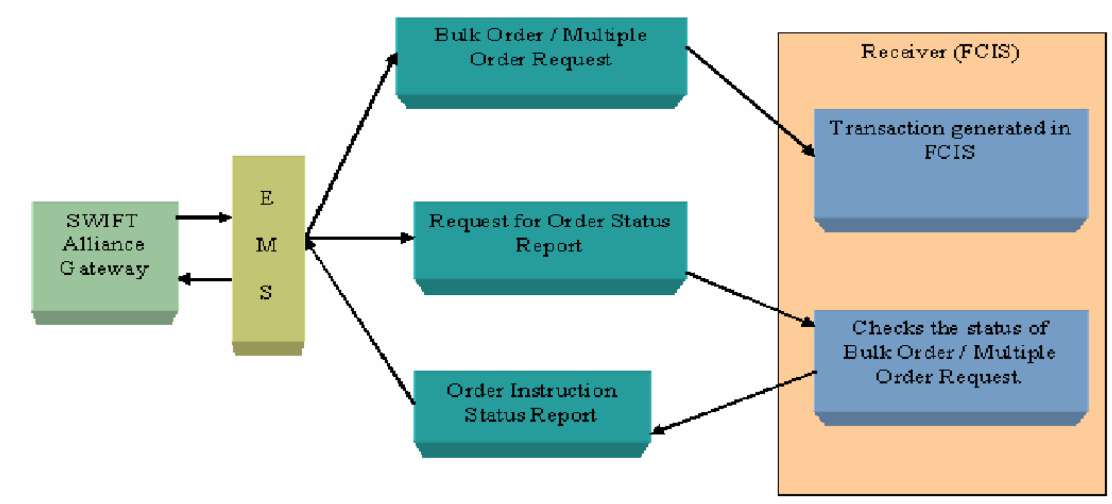
- Incoming SWIFT Bulk/Multiple Orders
- Incoming SWIFT Bulk Order Cancellation
- Outgoing SWIFT Bulk Order Request

> **Note**
>
> Transactions generated through SWIFT can be reversed only using the SWIFT cancellation message.

**Incoming SWIFT Bulk/Multiple Orders**

This image provides information on the processing of Incoming SWIFT Bulk/Multiple Orders.

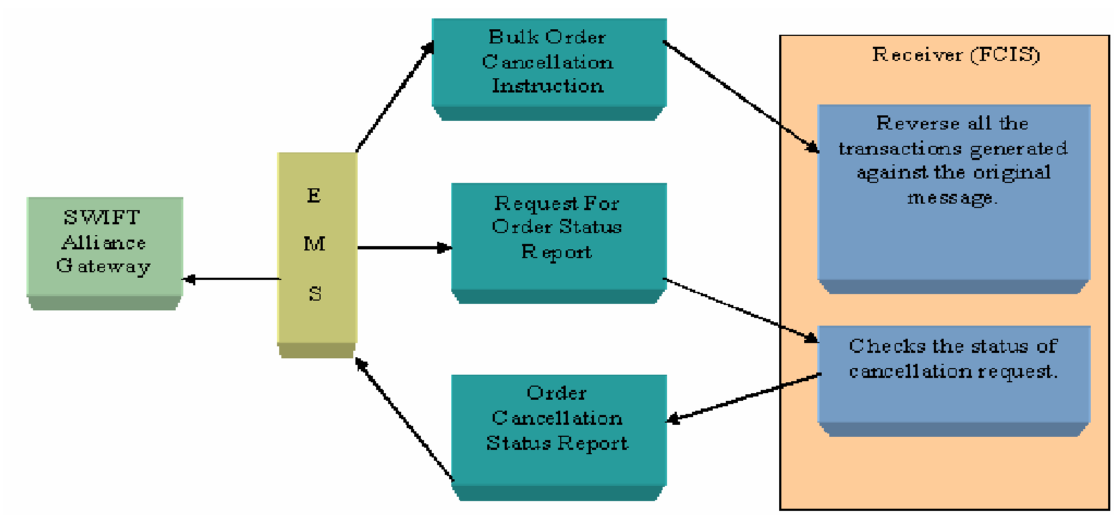
**Figure 2-1 Incoming SWIFT Bulk/Multiple Orders**




### Incoming SWIFT Bulk Order Cancellation

This image provides information on the processing of Incoming SWIFT Bulk Order Cancellation.

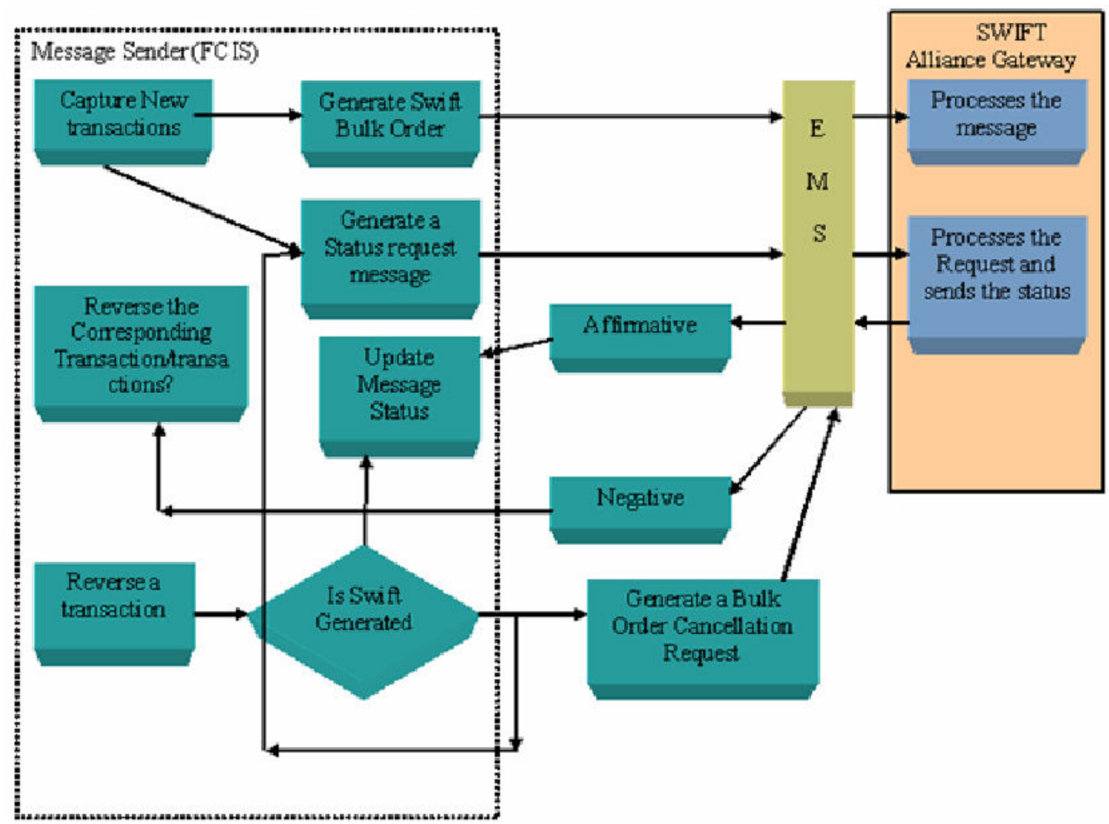
**Figure 2-2 Incoming SWIFT Bulk Order Cancellation**




### Outgoing SWIFT Bulk Order Request

This image provides information on the processing of Outgoing SWIFT Bulk Order Request.

**Figure 2-3    Outgoing SWIFT Bulk Order Request**




# 2.2 Business Application Header

This topic provides information on Business Application Header and its tags in messages.

**Business Application Header**

The **Business Application Header** is a header that has been defined by the ISO 20022 community to form part of the business message. Specifically, the BAH is an ISO20022 message definition which can be combined with any other ISO20022 message definition to form a business message.

It gathers data about the message such as which organization has sent the business message, which organization should be receiving it, the identity of the message itself, the reference for the message and so on.

The purpose of the BAH is to provide a consistent and predictable way for the data to be conveyed with the message, regardless of implementation factors such as the choice of network. This does not prevent such data being conveyed either within the ISO 20022 message definition itself, or as part of a network header.

**BAH IS0 20022 Regulation**

An ISO 20022 message together with its **Business Application Header** forms a business message.

**Figure 2-4 BAH IS0 20022 Regulation**


### IS0 20022 Business Application Structure

The Business Layer deals with business messages. The behaviour of the business messages is fully described by the business transaction and the structure of the business messages is fully described by the message definitions and related message rules, rules and market practices all of which are registered in the ISO 20022 Repository.

- Tags in Messages
  This topic provides information on Business Application Header and its tags in messages

## 2.2.1 Tags in Messages

This topic provides information on Business Application Header and its tags in messages

### Business Application Header

**Table 2-1 Business Application Header**

| Field | Description | Attributes |
| --- | --- | --- |
| **From** | The sending MessagingEndpoint that has created this business message for the receiving MessagingEndpoint will process this business message. | Mandatory |
| **OrganisationIdentification** | This tag is used for the identification of a sender person or an organisation. | Mandatory |
| **Name** | This tag indicates the name by which a sender party is known and which is usually used to identify that party. | Optional |
| **To** | The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this business message. | Mandatory |
| **OrganisationIdentification** | This tag is used for the identification of a receiver person or an organisation. | Mandatory |
| **Name** | This tag indicates the name by which a receiver party is known and which is usually used to identify that party. | Optional |
| **BusinessMessageIdentifier** | This tag unambiguously identifies the business message to the MessagingEndpoint that has created the business message. | Mandatory |

**Table 2-1 (Cont.) Business Application Header**

| Field | Description | Attributes |
|---|---|---|
| **MessageDefinitionIdentifier** | It is the Message Definition Identifier of the business message instance with which this Business Application Header instance is associated. | Mandatory |
| **CreationDate** | It is the date and time when this business message (header) was created.<br>**Note:** CreationDate will be in GMT. | Mandatory |

**Business Application Messages**

**Table 2-2 Business Application Messages**

| MessageElement/ BuildingBlock<XML | <Tag> | Legend | Type | Impact | Comments |
|---|---|---|---|---|---|
| From | <Fr> | [1.1] | | IN | New Tag |
| OrganisationIdentification | <OrgId> | [1.1] | ± | IN | New Tag |
| Name | <Nm> | [0.1] | Max140Text | IN | New Tag |
| To | <To> | [1.1] | | IN | New Tag |
| OrganisationIdentification | <OrgId> | [1.1] | ± | IN | New Tag |
| Name | <Nm> | [0.1] | Max140Text | IN | New Tag |
| BusinessMessageIdentifier | <BizMsgIdr> | [1.1] | Max140Text | IN | New Tag |
| MessageDefinitionIdentifier | <MsgDefIdr> | [1.1] | Max140Text | IN | New Tag |
| CreationDate | <CreDt> | [1.1] | ISODateTime | IN | New Tag |

## 2.3 Process Swift Message Setup Maintenance Detail

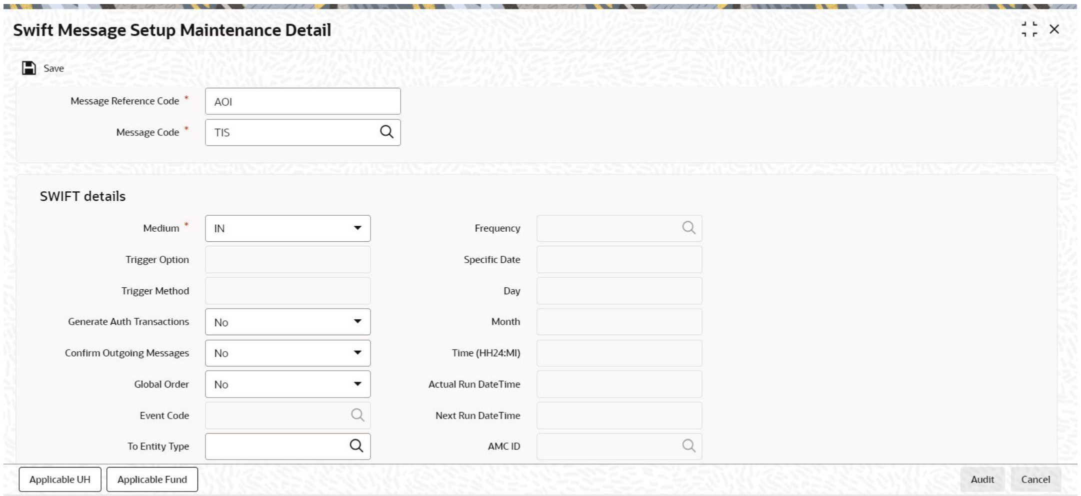
This topic provides the systematic instructions to carry certain maintenances for the generation of SWIFT messages.

This screen can be used to define parameters applicable for individual messages such as the trigger events, entities involved in the communication etc.,

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

   The **Swift Message Setup Maintenance Detail** screen is displayed.

**Figure 2-5 Swift Message Setup Maintenance Detail**




2. On **Swift Message Setup Maintenance Detail** screen, click **New** to enter the details.

> **Note**
>
> Depending on the **Message Type** and **Message Code** that you select, certain fields will be displayed.

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

**Table 2-3 Swift Message Setup Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Swift Details Section** | The section displays the following fields. | *Date Format; Optional* |
| **Message Reference Code** | Enter a unique reference number for the message. | *Alphanumeric; 35 Characters; Mandatory* |
| **Message Code** | Specify the message code.<br>**Note:** Certain other fields will be displayed in this screen, depending on the option you select against the field **Message Code**. | *Alphanumeric; 3 Characters; Mandatory* |
| **SWIFT Details** | The section displays the following fields. | NA |
| **Medium** | Select the option In to indicate the message will be an incoming message. Select the option Out to indicate the message is an outgoing message.<br>**Note:** Certain other fields will be displayed in this screen, depending on the option you select against the field **Message Type**. | *Mandatory* |
| **Trigger Option** | The trigger for generating the message may be an **Auto** or **Manual**. Select the appropriate option from the drop-down list.<br>This field is enabled only if you have selected the **Medium** as **OUT**. | *Optional* |

**Table 2-3 (Cont.) Swift Message Setup Maintenance Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Trigger Method** | Select the trigger method from the drop-down list. The list displays the following values:<br>• **Event Based** - To specify the event<br>• **Time Based** - To specify the Date and Time value<br>This field is enabled only if you have selected the Trigger as **Auto**.<br>In case of event based messages the message will be generated on the occurrence of the event. For instance, if the event is End of Day, then the message will be generated as soon as the system completes the End of Day activity.<br>If the **Trigger Method** is **Time Based**, you can enter a specific business day, say 2nd working day of the month.<br>The system will automatically generate the SWIFT outgoing message as per the frequency or date mentioned if trigger is time-based. In case of time based setup the message will be generated on the occurrence of scheduled date and time. In case of event based setup the message will be generated on the occurrence of the event. | *Optional* |
| **Generate Auth Transactions** | Select Yes from the drop-down list if an incoming transaction request should be created as an authorized transaction.<br>**Note:** This field will be enabled only if the **Message Type** is IN and the **Message Code** is an Order or Cancellation message. | *Optional* |
| **Confirm Outgoing Messages** | Select Yes from the drop-down list to indicate the message needs to be manually confirmed. This is applicable only to **FCIS** initiated messages only and not messages which are in response to SWIFT requests.<br>**Note:** This field will be displayed only if the **Message Type** is OUT. | *Optional* |
| **Global Order** | Global order are orders sent from distributors to AMC to subscribe on behalf of the distributor's customers. Select **Yes** from the drop-down list to indicate a global order should be generated.<br>**Note:** This field will be enabled only if the **Message Type** is OUT and the **Message Code** is a multiple order message. | *Optional* |
| **Event Code** | Select the event upon which the message should be generated.<br>**Note:** This field will be:<br>• Enabled only if you have selected the option Event against the field **Trigger Method**.<br>• Displayed only if the **Message Type** is OUT. | *Alphanumeric; 20 Characters; Mandatory if the Trigger is **Event*** |

**Table 2-3 (Cont.) Swift Message Setup Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **To Entity Type** | Select the entity type for which the message will be generated.<br>**Note:** For all message codes other than **Price Report** messages, the option AMC will be displayed in this field. You will not be allowed to change the same. | *Alphanumeric; 1 Character; Optional* |
| **To Entity ID** | Select the entity for which the message is applicable.<br>**Note:** This field will be displayed only if the **Message Type** is OUT. | *Alphanumeric; 1 Character; Optional* |
| **Split Required** | Select if split is required or not from the drop-down list. The list displays the following values:<br>• **Yes**<br>• **No** | *Optional* |
| **Max Length** | The system displays the message length as **ISO20022 (100000)** and **ISO15022 (10000)**. | *Display* |
| **Frequency** | Specify the frequency code. Alternatively, you can select the frequency code from the option list. The list displays all valid frequency code maintained in the system.<br>This field is enabled only if you have selected the **Trigger Method** as **Time Based**. | *Alphanumeric; 1 Character; Optional* |
| **Specific Date** | Select the specific date from the adjoining calendar. | *Date Format; Optional* |
| **Day** | Select the day from the drop-down list. | *Optional* |
| **Month** | Select the month from the drop-down list. | *Optional* |
| **Time (HH24:MI)** | Specify the time format. | *Time Format; Optional* |
| **Actual Run Date Time** | The system displays the actual run date and time. | *Display* |
| **Next Run Date Time** | The system displays the next run date and time. | *Display* |
| **AMC ID** | Specify the AMC ID.<br>**Note:** Bulk Transaction Defaults should be maintained for one AMC and not for multiple AMC. | *Alphanumeric; 12 Characters; Optional* |
| **Legal Entity** | Specify the legal entity code. | *Alphanumeric; 12 Characters; Optional* |
| **Holiday Rule** | Select the holiday rule from the drop-down list. The list displays the following values:<br>• **Prior**<br>• **Next**<br>• **Ignore** | *Optional* |
| **Split Message by Fund** | Check this box to split the message by fund.<br>This checkbox is enabled only for PriceReportV04 message, i.e., when price report is selected. | *Optional* |
| **Reference Type** | The section displays the following fields. | NA |

**Table 2-3 (Cont.) Swift Message Setup Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Applicable Ref Types** | For **FCIS** initiated orders, you can specify the transaction reference types applicable to the outgoing message. The ones available for selection will be displayed in the adjoining option list. You can choose the appropriate one. | *Alphanumeric; 2 Characters; Optional* |
| **Ref Type Description** | Upon Selection of the applicable reference type, the description of the selected reference type gets displayed. | *Display* |
| **Account Type** | The section displays the following fields. | NA |
| **Applicable Account Types** | For **FCIS** initiated orders, you can specify the account types which are allowed. The ones available for selection will be displayed in the adjoining option list. You can choose the appropriate one. | *Alphanumeric; 2 Characters; Optional* |
| **Account Type Description** | Upon selection of the applicable account type, the description of the selected account type gets displayed. | *Display* |

- Applicable UH Button
  This topic explains the Applicable UH button of Swift Message Setup Maintenance Detail screen.
- Applicable Fund Button
  This topic explains the Applicable Fund button of Swift Message Setup Maintenance Detail screen.

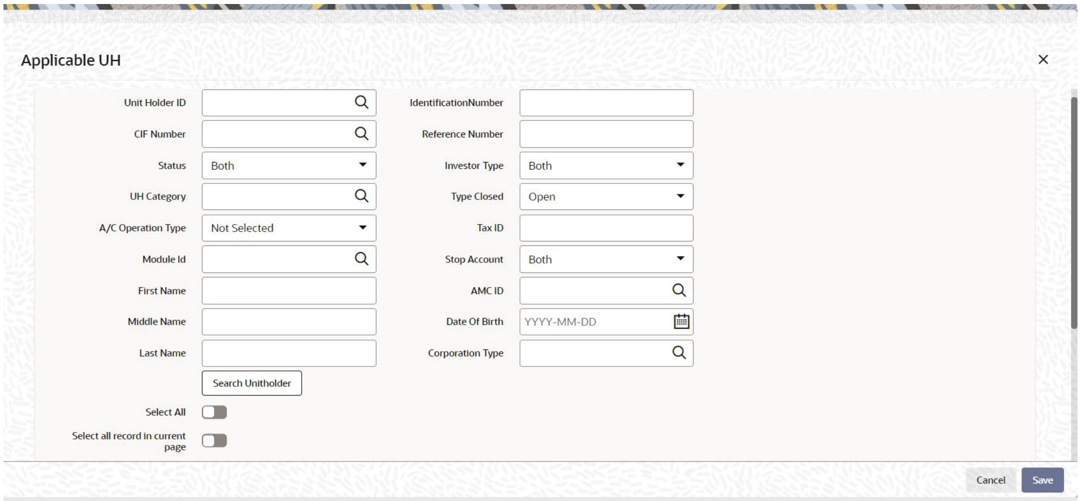
## 2.3.1 Applicable UH Button

This topic explains the Applicable UH button of Swift Message Setup Maintenance Detail screen.

1. On **Swift Message Setup Maintenance Detail** screen, click **Applicable UH** button to select one or multiple unitholder IDs / unitholder Names for which the outgoing message must be generated.

   The **Applicable UH** screen is displayed.

**Figure 2-6 Applicable UH**




2. On **Applicable UH** screen, specify the fields.

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

**Table 2-4 Applicable UH - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Unit Holder ID** | Specify the unit holder ID. Alternatively, you can select the unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **CIF Number** | Specify the CIF number. Alternatively, you can select the CIF number from the option list. The list displays all valid CIDF number maintained in the system. | *Alphanumeric; 20 Characters; Optional* |
| **Status** | Select the status from the drop-down list. The list displays the following values:<br>• **Both**<br>• **Authorized**<br>• **Unauthorized** | *Optional* |
| **UH Category** | Specify the unit holder category. Alternatively, you can select the unit holder category from the option list. The list displays all valid unit holder category maintained in the system. | *Alphanumeric; 2 Characters; Optional* |
| **A/C Operation Type** | Select the account operation type from the drop-down list. The list displays the following details:<br>• **Single**<br>• **Joint**<br>• **Either/Survivor** | *Optional* |
| **Module ID** | Specify the module ID. Alternatively, you can select the module ID from the option list. The list displays all valid module ID maintained in the system. | *Alphanumeric; 30 Characters; Optional* |
| **First Name** | Specify the first name. | *Alphanumeric; 105 Characters; Optional* |
| **Middle Name** | Specify the middle name. | *Alphanumeric; 105 Characters; Optional* |

**Table 2-4 (Cont.) Applicable UH - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Last Name** | Specify the last name. | *Alphanumeric; 105 Characters; Optional* |
| **Identification Number** | Specify the identification number. | *Alphanumeric; 50 Characters; Optional* |
| **Reference Number** | Specify the reference number. | *Alphanumeric; 12 Characters; Optional* |
| **Investor Type** | Select the investor type from the drop-down list. The list displays the following values:<br>• **Individual**<br>• **Corporate**<br>• **Both** | *Optional* |
| **Type Closed** | Select the type closed from the drop-down list. The list displays the following values:<br>• **Open**<br>• **Closed**<br>• **Pending Closed** | *Optional* |
| **Tax ID** | Specify the tax ID. | *Alphanumeric; 50 Characters; Optional* |
| **Stop Account** | Select if the account is stopped or not from the drop-down list. The list displays the following values:<br>• **Yes**<br>• **No**<br>• **Both** | *Optional* |
| **AMC ID** | Specify the AMC ID. Alternatively, you can select the AMC ID from the option list. The list displays all valid AMC ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **Date Of Birth** | Select the date of birth from the adjoining calendar. | *Date Format; Optional* |
| **Corporation Type** | Specify the corporation type. Alternatively, you can select the corporation type from the option list. The list displays all valid corporation type maintained in the system. | *Alphanumeric; 3 Characters; Mandatory* |
| **Select All** | Check this box to select all the records. | *Optional* |
| **Select all record in current page** | Check this box to select all the records in current page.<br>Select **Search Unitholder** button to display unit holder details. | *Optional* |
| **Applicable UH** | The section displays the following fields. | NA |
| **Unitholder ID** | Specify the unit holder ID. Alternatively, you can select the unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system. | *Alphanumeric; 16 Characters; Mandatory* |

**Table 2-4 (Cont.) Applicable UH - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **UH Name** | The system displays the unit holder name for the selected unit holder ID.<br>The system will display the following details:<br>• **Unit Holder ID**<br>• **UH Name**<br>• **Select** | *Display* |

3. You can add single or all the records by clicking **Add** or **Add All** button.
4. You can also remove all the records by clicking **Remove All** button.

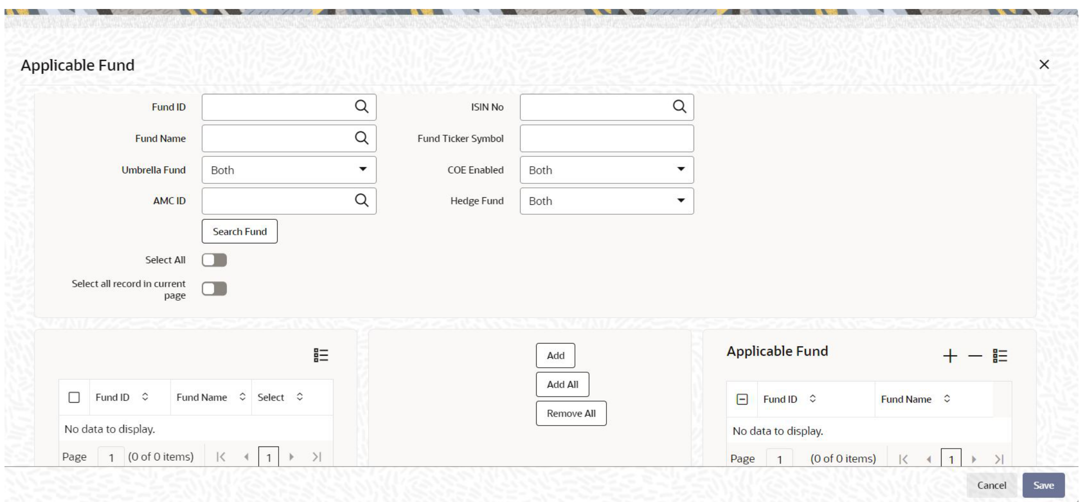
## 2.3.2 Applicable Fund Button

This topic explains the Applicable Fund button of Swift Message Setup Maintenance Detail screen.

1. On **Swift Message Setup Maintenance Detail** screen, click **Applicable Fund** button to select one or multiple funds based on the search criteria.

   The **Applicable Fund** screen is displayed.

**Figure 2-7 Applicable Fund**




2. On **Applicable Fund** screen, specify the fields.

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

**Table 2-5 Applicable Fund - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Fund ID** | 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. | *Alphanumeric; 6 Characters; Optional* |

**Table 2-5 (Cont.) Applicable Fund - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Fund Name** | Specify the fund name. Alternatively, you can select fund name from the option list. The list displays all valid fund name maintained in the system. | *Alphanumeric; 60 Characters; Optional* |
| **Umbrella Fund** | Select the umbrella fund from the drop-down list. The list displays the following values:<br>• **Yes**<br>• **No**<br>• **Both** | *Optional* |
| **AMC ID** | Specify the AMC ID. Alternatively, you can select the AMC ID from the option list. The list displays all valid AMC ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **ISIN No** | Specify the ISIN Number. Alternatively, you can select ISIN number from the option list. The list displays all valid ISIN number maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **Fund Ticker Symbol** | Specify the fund ticker symbol. | *Alphanumeric; 25 Characters; Optional* |
| **COE Enabled** | Select if currency of Expression is enabled or not from the drop-down list. The list displays the following values:<br>• **Yes**<br>• **No**<br>• **Both** | *Optional* |
| **Hedge Fund** | Select if hedge fund is enabled or not from the drop-down list. The list displays the following values:<br>• **Yes**<br>• **No**<br>• **Both** | *Optional* |
| **Select All** | Check this box to select all the records. | *Optional* |
| **Select all record in current page** | Check this box to select all the records in current page.<br>Click **Search Fund** button to display the fund details. | *Optional* |
| **Applicable Fund** | The section displays the following fields. | NA |
| **Fund ID** | Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all valid fund ID maintained in the system. | *Alphanumeric; 6 Characters; Optional* |
| **Fund Name** | The system displays the fund name for the selected fund ID.<br>The system will display the following details:<br>• **Fund ID**<br>• **Fund Name**<br>• **Select** | *Display* |

3. You can add single or all the records by clicking **Add** or **Add All** button.
4. You can also remove all the records by clicking **Remove All** button.

# 2.4 Swift Message Setup Summary

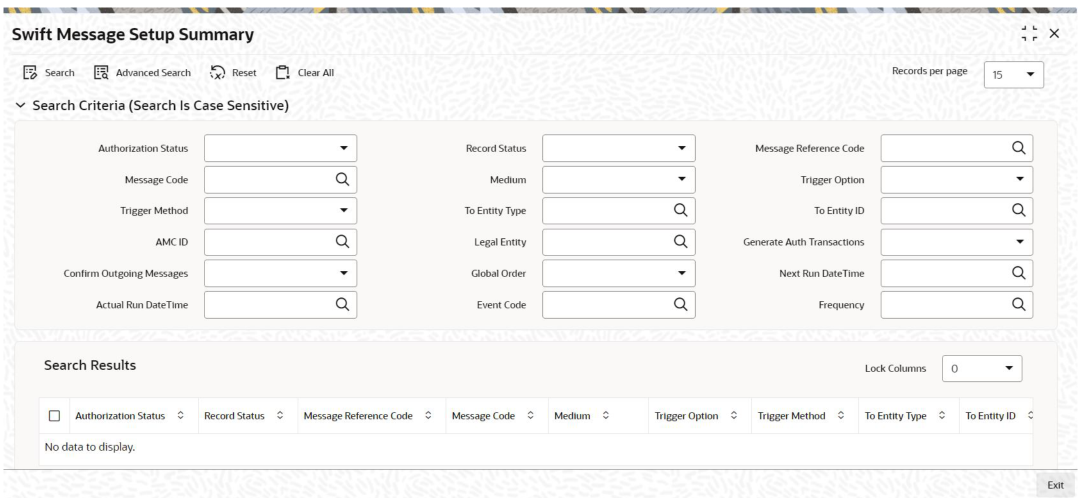
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve Swift Message Setup Record**

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

   The **Swift Message Setup Summary** screen is displayed.

**Figure 2-8 Swift Message Setup Summary**




2. On **Swift Message 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**
   - **Message Reference Code**
   - **Medium**
   - **Trigger Method**
   - **To Entity ID**
   - **Legal Entity**
   - **Confirm Outgoing Messages**
   - **Next Run Date Time**
   - **Event Code**
   - **Message Code**
   - **Trigger Option**
   - **To Entity Type**
   - **AMC ID**

- **Generate Auth Transactions**
- **Global Order**
- **Actual Run DateTime**
- **Frequency**

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 **Message Reference 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 Message Reference Code by using the combination of % and alphanumeric value as follows:

   - Search by A%: System will fetch all the records whose Message Reference Code starts from Alphabet 'A'. Ex: AGC17, AGVO6, AGC74 and so forth.
   - Search by %7: System will fetch all the records whose Message Reference Code ends by numeric value' 7'. Ex: AGC17, GSD267, AGC77 and so forth.
   - Search by %17%: System will fetch all the records whose Message Reference Code contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.

   For more information on operations, refer the following:

- Edit Swift Message Setup Record
  This topic provides the systematic instructions to edit Swift Message Setup record.
- View Swift Message Setup Record
  This topic provides the systematic instructions to view Swift Message Setup record.
- Delete Swift Message Setup Record
  This topic provides the systematic instructions to delete Swift Message Setup record.
- Authorize Swift Message Setup Record
  This topic provides the systematic instructions to authorize Swift Message Setup record.
- Amend Swift Message Setup Record
  This topic provides the systematic instructions to amend Swift Message Setup record.
- Authorize Amended Swift Message Setup Record
  This topic provides the systematic instructions to authorize amended Swift Message Setup record.
- Copy Swift Message Setup Record
  This topic provides the systematic instructions to edit Swift Message Setup record.

## 2.4.1 Edit Swift Message Setup Record

This topic provides the systematic instructions to edit Swift Message Setup record.

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

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

## 2.4.2 View Swift Message Setup Record

This topic provides the systematic instructions to view Swift Message Setup record.

View a record that you have previously input by retrieving the same in the Swift Message Setup Summary screen. Perform this operation as follows:

1. Start the **Swift Message 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 **Swift Message Setup Maintenance Detail** screen is displayed.

## 2.4.3 Delete Swift Message Setup Record

This topic provides the systematic instructions to delete Swift Message Setup record.

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

1. Start the **Swift Message 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 **Swift Message Setup 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.

## 2.4.4 Authorize Swift Message Setup Record

This topic provides the systematic instructions to authorize Swift Message Setup record.

Authorize an unauthorized Swift Message Setup Record in the system for it to be processed as follows:

1. Start the **Swift Message 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 wish to authorize.

   The **Swift Message Setup 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.

## 2.4.5 Amend Swift Message Setup Record

This topic provides the systematic instructions to amend Swift Message 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 **Swift Message 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 wish to amend.

   The **Swift Message Setup 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.

### 2.4.6 Authorize Amended Swift Message Setup Record

This topic provides the systematic instructions to authorize amended Swift Message Setup record.

Authorize an amended Swift Message Setup Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

### 2.4.7 Copy Swift Message Setup Record

This topic provides the systematic instructions to edit Swift Message Setup record.

1. Click **Copy** to create a new **Swift Message Setup Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Swift Message Setup Record** should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.
3. Click **Copy**.

   Indicate the ID for the new **Swift Message Setup Record**. You can, however, change the details of the new record.

> **Note**
>
> - If swift entity maintenance for the DN address is mapped for the agency branches, then the AGY based filter will happen else all will be displayed.
> - If logged in the FMG module, then both FMG and AGY messages will be viewed.
> - If logged in the AGY Module, then AGY module and cross-branching enabled module details will be viewed.
> - Failed swift messages will be shown in FMG module.

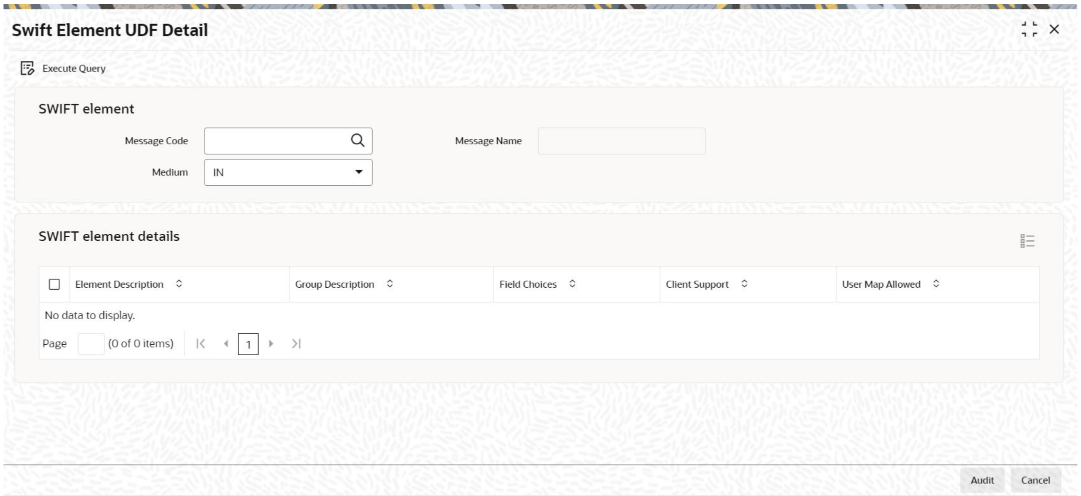
## 2.5 Process Swift Element UDF Detail

This topic provides the systematic instructions to set up UDFs for SWIFT Elements.

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

   The **Swift Element UDF Detail** screen is displayed.

**Figure 2-9 Swift Element UDF Detail**




2. On **Swift Element UDF Detail** screen, click **New** to enter the details.

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

**Table 2-6 Swift Element UDF Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **SWIFT element** | The section displays the following details. | NA |
| **Message Code** | Specify the message code. You can also select message code from the option list. | *Alphanumeric; 3 Characters; Optional* |
| **Message Name** | The system displays the message name for the selected message code. | *Display* |
| **Medium** | Select the medium from the drop-down list. The list displays the following values:<br>• **IN**<br>• **Out**<br>• **Both**<br>The following fields will be displayed: | *Optional* |
| **SWIFT element details** | The section displays the following details. | NA |
| **Element Description** | The elements of the message code will be displayed here. | *Display* |
| **Group Description** | The group description for the element will be displayed here. | *Display* |
| **Field Choices** | If you have selected **Yes** in **Client Support** field for an element, select the field choices that you want to map to the message element. | *Mandatory if you have selected **Yes** in **Client Support** field* |
| **User Map Allowed** | • If its mentioned as **Yes**, it means a user will be allowed to specify the UDF mapping for the elements of a message.<br>• If **No**, the user will not be allowed to specify a UDF mapping. | *Display* |

# 2.6 Swift Element UDF Summary

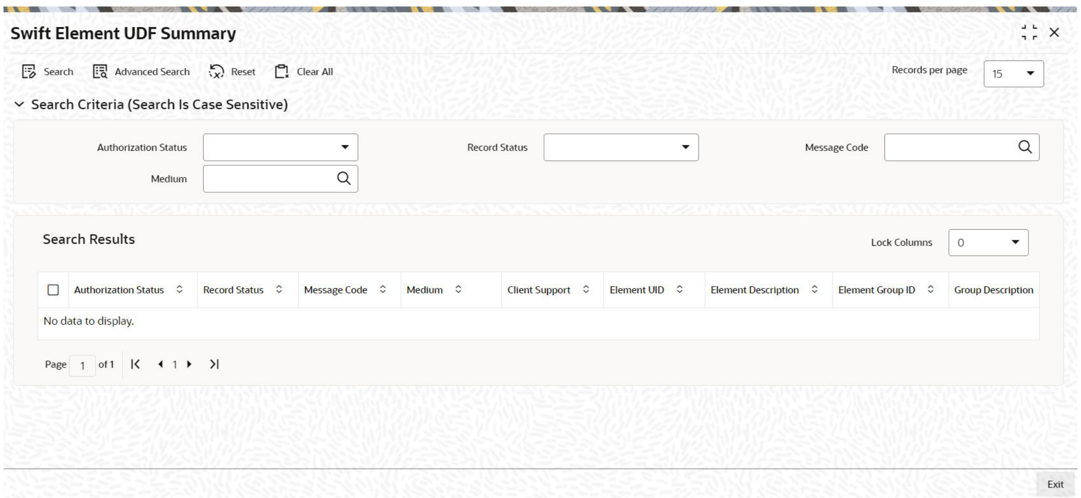
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve Swift Element UDF Record**

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

   The **Swift Element UDF Summary** screen is displayed.

   **Figure 2-10 Swift Element UDF Summary**

2. On **Swift Element UDF 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**
   - **Message Code**
   - **Medium**
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 **Message 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 Message Code by using the combination of % and alphanumeric value as follows:

   - Search by A%: The system will fetch all the records whose Message Code starts from Alphabet 'A'. Ex: AGC17, AGVO6, AGC74 and so forth.
   - Search by %7: The system will fetch all the records whose Message Code ends by numeric value' 7'. Ex: AGC17, GSD267, AGC77 and so forth.
   - Search by %17%: The system will fetch all the records whose Message Code contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.

   For more infromation on operations, refer the following:

- Edit Swift Element UDF Record
  This topic provides the systematic instructions to edit Swift Element UDF record.
- View Swift Element UDF Record
  This topic provides the systematic instructions to view Swift Element UDF record.
- Delete Swift Element UDF Record
  This topic provides the systematic instructions to delete Swift Element UDF record.
- Authorize Swift Element UDF Record
  This topic provides the systematic instructions to amend Swift Element UDF record.
- Amend Swift Element UDF Record
  This topic provides the systematic instructions to amend Swift Element UDF record.
- Authorize Amended Swift Element UDF Record
  This topic provides the systematic instructions to authorize amended Swift Element UDF record.
- Copy Swift Element UDF Record
  This topic provides the systematic instructions to copy Swift Element UDF record.

## 2.6.1 Edit Swift Element UDF Record

This topic provides the systematic instructions to edit Swift Element UDF record.

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

1. Start the **Swift Element UDF 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 **Swift Element UDF 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 **Swift Element UDF Detail** screen is closed and the changes made are reflected in the **Swift Element UDF Summary** screen.

## 2.6.2 View Swift Element UDF Record

This topic provides the systematic instructions to view Swift Element UDF record.

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

1. Start the **Swift Element UDF 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 **Swift Element UDF Detail** screen is displayed.

## 2.6.3 Delete Swift Element UDF Record

This topic provides the systematic instructions to delete Swift Element UDF record.

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

1. Start the **Swift Element UDF 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 **Swift Element UDF 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.

## 2.6.4 Authorize Swift Element UDF Record

This topic provides the systematic instructions to amend Swift Element UDF record.

Authorize an unauthorized Swift Element UDF Record in the system for it to be processed as follows:

1. Start the **Swift Element UDF 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 **Swift Element UDF 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.

## 2.6.5 Amend Swift Element UDF Record

This topic provides the systematic instructions to amend Swift Element UDF 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 **Swift Element UDF Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the screen.
4. Double-click the record that you wish to amend.

   The **Swift Element UDF 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.

## 2.6.6 Authorize Amended Swift Element UDF Record

This topic provides the systematic instructions to authorize amended Swift Element UDF record.

Authorize an amended Swift Element UDF Record for the amendment to be made effective in the system.

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

## 2.6.7 Copy Swift Element UDF Record

This topic provides the systematic instructions to copy Swift Element UDF record.

1. Click **Copy** to create a new **Swift Element UDF Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Swift Element UDF Record** should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.
3. Click **Copy**.

Indicate the ID for the new **Swift Element UDF Record**. You can, however, change the details of the new record.

# 2.7 Process Manual Message Detail

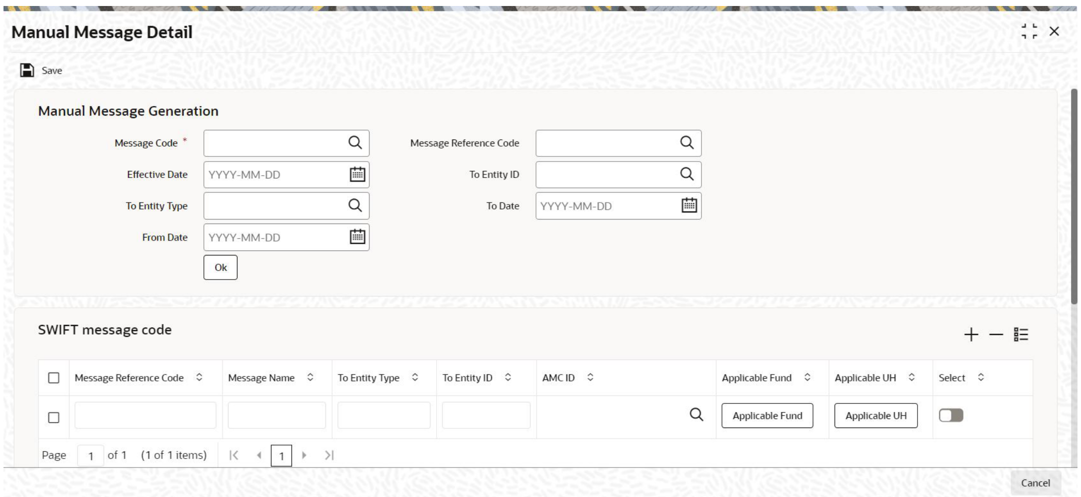
This topic provides the systematic instructions to generate an outgoing message manually.

The **Manual Message Detail** screen helps you locate and retrieve the messages you want to manually generate, from the database.

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

   The **Manual Message Detail** screen is displayed.

**Figure 2-11 Manual Message Detail**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Manual Message Detail** screen, click **New** to enter the details.

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

**Table 2-7 Manual Message Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Message Code** | Select the message code from the drop-down list. | *Alphanumeric; 3 Characters; Mandatory* |
| **Message Reference Code** | Enter a unique reference number for the message. | *Alphanumeric; 3 Characters; Optional* |
| **Effective Date** | Enter the Effective Date for the message. | *Date Format; Optional* |
| **To Entity Type** | Select the Entity Type for which the message will be generated. | *Alphanumeric; 1 Character; Optional* |

**Table 2-7 (Cont.) Manual Message Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **To Entity ID** | Select the entity for which the message is applicable. | *Alphanumeric; 1 Characters; Optional* |
| **From Date** | Enter the **From Date** that marks the beginning of the period for which the manual message generates. | *Date Format; Optional* |
| **To Date** | Enter the **To Date** that marks the end of the period for which the manual message generates.<br>It is mandatory that you specify the **Message Code** as a search criterion. Once you specify the same, you have the option of entering the **Message Reference Code** of the message you want to manually generate. | *Date Format; Optional* |

4. Click **Ok** button once you specify the search criteria.

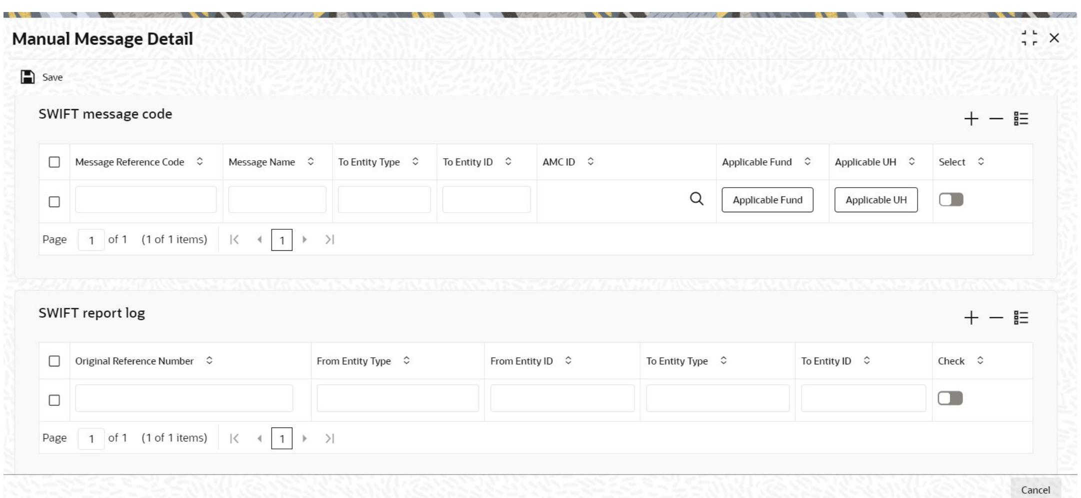
   The records matching your search criteria will be displayed.

5. Check the option **Select** along a message record to indicate the message should be manually generated.

   The following swift message code details will be displayed:

   - **Message Reference Code**
   - **Message Name**
   - **To Entity Type**
   - **To Entity ID**
   - **AMC ID**
   - **Applicable Fund Button**
   - **Applicable UH Button**

**Figure 2-12 Manual Message Detail_SWIFT message code and SWIFT report log**




6. Specify the AMC ID.

   Alphanumeric; 12 Characters; Optional

7. Click **Applicable Fund** button.

   The system displays the **Applicable Fund Details** screen.

8. Click **Applicable UH** button.

   The system displays **Applicable UH Details** screen.

9. Select the option **Check** along a message record to indicate the message should be manually generated.

   The following swift report details will be displayed:

   - **Original Reference number**
   - **From Entity Type**
   - **From Entity ID**
   - **To Entity Type**
   - **To Entity ID**

10. Select **Check** button to check the report log.

11. Click **Process** button to process the record.

- Manual Message Generation
  This topic provides information on manual message generation.
- SWIFT Requested Settlement Currency
  This topic provides information on SWIFT requested settlement currency.
- Commission and Charge Details Override for Swift Orders
  This topic provides information on commission and charge details override for Swift orders.
- Pseudo Switch Validation
  This topic provides information on pseudo switch validation.
- Swift Report Pagination
  This topic provides information on swift report pagination.
- AccountingStatementOfHoldingsV02
  This topic provides information on AccountingStatementOfHoldingsV02.
- SecuritiesMessageRejectionV02
  This topic provides information on SecuritiesMessageRejectionV02.
- PriceReportCancellationV04
  This topic provides information on PriceReportCancellationV04.
- RequestForOrderConfirmationStatusReportV01
  This topic provides information on RequestForOrderConfirmationStatusReportV01.
- PriceReportV04
  This topic provides information on PriceReportV04.

## 2.7.1 Manual Message Generation

This topic provides information on manual message generation.

In **Manual Message Detail** screen, you can select one or multiple funds using **Applicable Fund** button. Those funds that are selected in SWIFT Message setup will be considered for manual generation by default, if you have not selected different set of funds. Fund IDs that are shown in available list will be from the selected AMC ID. The outgoing messages which will be altered to facilitate this requirement are as follows:

- PriceReportV04 (reda.001.001.04)
- SubscriptionBulkOrderConfirmationV04 (setr.009.001.04)
- RedemptionBulkOrderConfirmationV04 (setr.003.001.04)
- RedemptionOrderConfirmationV04 (setr.006.001.04)
- SubscriptionOrderConfirmationV04 (setr.012.001.04)
- SwitchOrderConfirmationV04 (setr.015.001.04)
- FundConfirmedCashForecastReportCancellationV03 (camt.044.001.03)
- FundConfirmedCashForecastReportV04 (camt.041.001.04)
FundDetailedConfirmedCashForecastReportCancellationV03 (camt.045.001.03)
FundDetailedConfirmedCashForecastReportV04 (camt.043.001.04)
- FundDetailedEstimatedCashForecastReportV04 (camt.042.001.04)
- FundEstimatedCashForecastReportV04 (camt.040.001.04)
- CustodyStatementOfHoldingsV02 (semt.002.001.02)
StatementOfInvestmentFundTransactionV03 (semt.006.001.03)
- AccountingStatementOfHoldingsV02 (semt.003.001.02)

**AMC Restriction**

As the DN address of an Agent/Agency Branch/IFA/Account Officer must be maintained for Agent/Agency Branch/IFA/Account Officer and AMC/Legal Entity combination so at the time of SWIFT message set up, the AMC ID must be provided if the **To Entity Type** is Agent/ Agency Branch/IFA/Account Officer. The provided AMC ID will act as the criteria to select the details to be passed to the message. If the **To Entity ID** is selected as AMC or Legal Entity, then that AMC ID or Legal Entity ID will be used as the search criteria to pass the details.

**Unit Holder Restriction**

In **Manual Message Detail** screen, you can select one or multiple unitholder IDs or names using **Applicable UH** button for which the outgoing message must be generated. Those unit holders that are selected in **SWIFT Message Setup Maintenanace Detail** will be considered for manual generation by default if you have not selected different set of unit holders.

If the Entity is an **AMC**, the available UHs will be limited to the UHs for that AMC.

If the Entity is an **Agent**, the available UHs will be limited to the UHs for that Agent in the UH / Agent hierarchy.

If the Entity is an **Agency Branch**, the available UHs will be limited to the UHs for that Agency Branch in the UH /Agent hierarchy.

If the Entity is an **Account Officer**, the available UHs will be limited to the UHs for that Account Officer in the UH /Agent hierarchy.

If the Entity is an **IFA**, the available UHs will be limited to the UHs for that IFA in the UH /Agent hierarchy.

The **Applicable UH** button is enabled for the outgoing messages related to unitholders, for instance, confirmation messages, account statement of holding, custody statement of holding. The fields **AMC ID** and **Fund Selection** will be available for selection for all the messages. For confirmation messages the message will be generated for all AMCs. But you can pass specific fund and unitholder. You can also generate the confirmation message for specific AMC. The unitholder selected list will be used only for the messages where the unitholder related data will be extracted to the XML message.

This requirement will be applicable to the following messages:

- RedemptionOrderConfirmationV04 (setr.006.001.04)
- SubscriptionOrderConfirmationV04 (setr.012.001.04)
- SwitchOrderConfirmationV04 (setr.015.001.04)
- CustodyStatementOfHoldingsV02 (semt.002.001.02)
- StatementOfInvestmentFundTransactionV03 (semt.006.001.03)
- AccountingStatementOfHoldingsV02 (semt.003.001.02)
- PriceReportV04 (reda.001.001.04)
- SubscriptionBulkOrderConfirmationV04 (setr.009.001.04)
- RedemptionBulkOrderConfirmationV04 (setr.003.001.04)
- FundConfirmedCashForecastReportCancellationV03 (camt.044.001.03)
- FundConfirmedCashForecastReportV04 (camt.041.001.04)
- FundDetailedConfirmedCashForecastReportCancellationV03 (camt.045.001.03)
- FundDetailedConfirmedCashForecastReportV04 (camt.043.001.04)
- FundDetailedEstimatedCashForecastReportV04 (camt.042.001.04)
- FundEstimatedCashForecastReportV04 (camt.040.001.04)

If you select different set of fund(s) or unit holder(s) while generating manual message, the system will consider overridden filters only for that particular message generation, however the filters that have setup in SWIFT message setup will not change.

## 2.7.2 SWIFT Requested Settlement Currency

This topic provides information on SWIFT requested settlement currency.

The transaction will be processed as per the information contained in the requested settlement currency tag of the Swift incoming order message <ReqdSttlmCcy>. While processing the order message the system will extract the value of the tag ReqdSttlmCcy from the incoming order messages. The messages which will be enhanced to support the <ReqdSttlmCcy> tag are as follows:

- RedemptionOrderV04 setr.004.001.04
- RedemptionBulkOrderV04 setr.001.001.04
- SubscriptionOrderV04 setr.010.001.04
- SubscriptionBulkOrderV04 setr.007.001.04
- SwitchOrderV04 setr.013.001.04

The tag value of the ReqdSttlmCcy must contain the valid settlement currency code, for instance, HKD, USD etc. If the tag value contains the value other than the maintained currencies in the system, then the transaction will be rejected with the rejection code as **NCRR- Unrecognised or invalid Settlement Amount Currency**.

Upon receipt of the settlement currency code value, the system will check if bank account is maintained at UH level for the currency maintained in the tag. If bank account is not maintained, i.e., default corresponding account is maintained for the unit holder then the system will reject the order instruction with the rejection code as **NCRR- Unrecognised or invalid Settlement Amount Currency**. The order Instruction Status message

(OrderInstructionStatusReportV04 setr.016.001.04) will be generated with the rejection Code as **NCRR**.

If the tag value for **< ReqdSttlmCcy>** is present in the message and bank account is maintained for the UH for the settlement currency present in **< ReqdSttlmCcy>** tag, then the settlement currency code mentioned in the tag **< ReqdSttlmCcy>** will be considered as the transaction currency for the transaction. The system will apply the exchange rate if requested settlement currency is different from the pricing currency.

In case of switch transaction, the above rules will be applied to the redemption leg and the value will override the transaction currency of redemption leg.

The system will consider the default exchange rate source ID maintained at general operating rules level of the fund. If no default exchange rate is maintained at fund general operating rules, then system will consider the segment level default exchange rate source maintained in **Module Defaults Setup** screen. For instance, if the user wants any specific FX rate required for AMG funds then user needs to maintain the default source ID for AMG funds, then that source ID will be used to get the exchange rate. This is applicable for both amount based and unit based transactions.

The **< ReqdSttlmCcy>** tag will be provided for the **<RedLegDtls>** section of the switch confirmation message which contains the Transaction currency.

## 2.7.3 Commission and Charge Details Override for Swift Orders

This topic provides information on commission and charge details override for Swift orders.

The system will override the loads attached to the fund at the time of transaction capture through SWIFT. The system will also override all the loads, if multiple loads are found for **From Entity Type** and **To Entity Type** combinations. If any transaction is generated with warning messages, then the transaction will be generated unauthorized.

> **Note**
>
> For those schemas where the **Transaction Exception Management Queue** is not enabled, transaction will be created as Authorised/ Unauthorised depending on maintenance in system and during the view of the transaction in **Transaction Summary** screen, the warning messages attached to the transaction can be viewed through **Override Warning** button available in the summary screen. This is applicable to all the schemas.

The price basis loads cannot be overridden as the price basis load gets calculated as per the fund formula setup. If such loads are maintained, then the system will not reject the transaction; also, the values in the tags will not override the price basis loads mapped to the fund.The derived loads cannot be overridden, for instance, **AMC to Agent** load derived from **Unitholder to AMC** load cannot be overridden. If such loads are maintained, then the system will not reject the transaction; also, the values in the tags will not override the derived loads mapped to the fund.

**SWIFT Upload**

The tags **<ChrgDtls>** and **<ComssnDtls>** will be extracted from the incoming order messages and will be used to override the loads attached to the fund. The segment level parameter which is currently used for generation of these tags in outgoing order confirmation messages will be re-used here for overriding.

If the parameter is turned **ON**, then the values of these tags will be used to override the loads attached to the fund and as well as the tags get generated in outgoing order confirmation messages.

If the parameter is turned **OFF**, then both the tags will not be used to override the loads attached to the fund and as well as the tags will not be generated in outgoing order confirmation messages.

The incoming messages which will be enhanced are:

- SubscriptionBulkOrderV04 (setr.007.001.04)
- SubscriptionOrderV04 (setr.010.001.04)
- SwitchOrderV04 (setr.013.001.04)
- RedemptionBulkOrderV04 (setr.001.001.04)
- RedemptionOrderV04 (setr.004.001.04)

For the incoming messages listed above, the tags **<ChrgDtls>** and **<ComssnDtls>** will be received by the system and will extract the values present in the sub tags <Tp>, <Amt> or < Rate>.

In switch order SwitchOrderV04 (setr.013.001.04) the tags **<ChrgDtls>** and **<ComssnDtls>** will be present both in the Redemption (Switch Out) and Subscription (Switch In) leg of the transaction.

The <Amt> or <Rate> tag value provided in the main tag **<ChrgDtls>** will be used to override the AMC commission from Unitholder. (Unitholder to AMC). That is, the system will override the discount to UH, if <Tp> present in the main tag **<ChrgDtls>** contain the value as **DISC**. And if the <Tp> contains the value as BEND/FEND then Unitholder to AMC commission will be overridden.

The <Amt> or <Rate> tag value provided in the main tag **<ComssnDtls>** will be used to override the Agent commission from Unitholder. (Unitholder to Agent). If the incoming message does not contain the tags **<ChrgDtls>** and **<ComssnDtls>** at all, then the loads will be not be overridden.

If the incoming message contain the tags **<ChrgDtls>** and **<ComssnDtls>** but with blank values in the sub tag **<Rate>** or **<Amt>**, then the loads will not be overridden. However, if they contain the value as **0** then the load values will be overridden as **0**.

The commission for Unitholder to Agency Branch, Unitholder to Account Officer, Unitholder to IFA and Unitholder to Fund cannot be overridden with the help of the **<ChrgDtls>** and **<ComssnDtls>** tags, since they are out of scope of the requirement. The Loads or Derived Loads maintained in these combinations will be ignored.

If more than one Unitholder to AMC commissions load are mapped to the fund as part of **Fund Load Maintenance**, then all the mapped Unitholder to AMC loads will be overridden with the value present in the tag **<ChrgDtls>**. Since the system cannot determine which load to override, the system will override all the loads applicable to the transaction having **From Entity** as Unitholder and **To Entity** as AMC.

At the time of transaction capture, the system does not perform the criteria evaluation; hence it not possible to override the specific load mapped to the entity which satisfies the load criteria. However, the system will override all the loads mapped to the fund. At the time of allocation, only the loads satisfying the criteria will get calculated.

Similar to **<ChrgDtls>**, if more than one Unitholder to Agent commissions load are mapped to the fund as part of **Fund Load Maintenance**, then the all the mapped Unitholder to Agent loads will be overridden with the value present in the tag **<ComssnDtls>**.

The tags **<ChrgDtls>** and **<ComssnDtls>** must contain either <Amt> or <Rate> Sub tag. Both <Amt> and <Rate> cannot be present together. If both <Amt> and <Rate> tags are present in **<ChrgDtls>** or **<ComssnDtls>** tags, then system will reject the transaction. The Order Instruction Status message OrderInstructionStatusReportV04 (setr.016.001.04) will be generated with the error code as **FEEE**.

If the tags **<ChrgDtls>** and **<ComssnDtls>** contain <Amt> and the load to be overridden is a percentage based load, then the transaction will be rejected. The Order Instruction Status message OrderInstructionStatusReportV04 (setr.016.001.04) will be generated with the error code as **FEEE**.

The <Tp> tag can contain the values of :

- **BEND**
- **FEND**
- **DISC**

The transaction will be rejected if any other value is provided.

The <Tp> tag can contain the values of BEND alone in the redemption orders and switch out leg of the switch order. If system receives values other than BEND, in the redemption order or redemption leg of the switch message, then the transaction will be rejected with the rejection code as FEEE.

The <Tp> tag can contain the values of FEND alone in the redemption orders and switch out leg of the switch order. If system receives values other than FEND, in the subscription order or subscription leg of the switch message, then the transaction will be rejected with the rejection code as FEEE.

The <Tp> tag can contain the values as **DISC** in all the order messages.

If the <Tp> tag present in the main tag **<ChrgDtls>** contains the value as DISC then the discount load from AMC to Unitholder will be overridden. However if <Tp> tag **<ComssnDtls>** contains the value as DISC, then no action is performed.

It is possible that both the **<ChrgDtls>** and **<ComssnDtls>** tag or any one of them can be present in the order messages.

## 2.7.4 Pseudo Switch Validation

This topic provides information on pseudo switch validation.

The system can select the incoming Switch transactions to be handled as Normal Switch or Pseudo Switch using **PSEUDOSWITCHENABLED** parameter.

- If the parameter is turned ON, then the system will process all the incoming Switch transactions as Pseudo Switch.
- If the parameter is turned OFF, then the system will process all the incoming Switch transactions as Pseudo Switch otherwise as Normal Switch.

## 2.7.5 Swift Report Pagination

This topic provides information on swift report pagination.

As per ISO20022 standards, Swift allows only 100,000 characters per message. If message contains more than 100,000 characters it is creating a performance issue. To overcome this issue as part of Swift message maintenance, 3 fields, namely, Split required, Repeated Tag, and

Maximum Length Allowed will be parameterized. The default value for Split required field will be No.

The repeated tag for **Custody Statement of Holdings V02** is < BalForSubAcct>.

The repeated tag for **Accounting Statement of Holdings V02** (unit holder based) is <BalForAcct>.

The repeated tag for **Statement of Investment Fund Transaction V02** is <TxOnSubAcct>.

The repeated tag for **Price Reprot V04** is <PriceValtnDtls>.

The value of parameters will be maintained in the **SWIFTMAINTENANCETBL** as follows:

**Table 2-8 SWIFT Report**

| SWIFT Report | Message Code | Split Required? | Repeated Tag in XML | Maximu m Length allowed |
|---|---|---|---|---|
| AccountingStatementOfHoldingsV02 (Unitholder Based) | semt.003.0 01.02 | Yes | < BalForAcct> | 100000 |
| CustodyStatementOf- HoldingsV02 | semt.002.0 01.02 | Yes | < BalForSubAcct> | 100000 |
| StatementOfInvestmentFundTransactionV03 | semt.006.0 01.03 | Yes | < TxOnSubAcct> | 100000 |
| PriceReportV04 | reda.001.00 1.04 | Yes | <PricValtnDtls> | 100000 |

Initially, the system will check the length of the entire message which includes the count of characters in **Header** section, **Footer** section and **Message body**. If the length is less than 100,000 characters, then system will skip the entire process and proceed for message generation.

In case if the length of the message exceeds the 100,000 characters, then based on each tag (**< BalForAcct>** in case of Accounting Statement of Holdings V02), it will accommodate up to 100,000 characters and rest will be stored in different message. The system will repeat the above process until report is generated.

The system will generate a unique message ID number **<MsgId>** for each split message. The tag **<PgNb>Page No</PgNb>** of the first message will be **1** and it will be incremented by **1** for other messages.

The value of the tag **<LastPgInd>value</LastPgInd>** of the last message will be True and all other messages will be False.

The complete block of the tag will be present in the message and will not get split over to the next message. In case, if report pertaining to one fund is not sufficient to store in the first message itself, then message will not get generated.

For instance, in case of Accounting Statement of Holdings V02 if the message is exceeding the 100,000 characters and based on CIF, if the message can be accommodated in the 1st Message is up to 99,850 characters, then the system will start placing the message information in the 2nd message with **Header**, **Footer** and **Message body** of message. Similarly if in the 2nd message also exceeds 100,000 characters, then it will start placing the remaining message information in 3rd message and so on.

The system will check the **Header**, **Footer** and **Message body** section for each and every split before generating the message.

## 2.7.6 AccountingStatementOfHoldingsV02

This topic provides information on AccountingStatementOfHoldingsV02.

An account servicer, for instance, a transfer agent sends the AccountStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

A Swift message will be maintained in the system named as **AccountingStatementOfHoldingsV02 (semt.003.001.02)**.

- The unitholder who has balance in any of the fund will be extracted.
- The unitholder has no balance but has done transaction in the corresponding month will be extracted.
- The unitholder has no balance and has not done any transaction in the corresponding month will not be extracted.
- The account statement of holding is for Unitholder’s holding for multiple funds. If one fund is holiday other funds might be working. So the statement cannot be generated as per fund holiday.

The new outgoing message can be viewed in the outgoing message browser.

## 2.7.7 SecuritiesMessageRejectionV02

This topic provides information on SecuritiesMessageRejectionV02.

An account servicer, for instance, a registrar, transfer agent or custodian bank, sends the Securities-MessageRejection message to the account owner, for instance, an investor or its authorized agent, to reject a previously received message on which action cannot be taken.

The message is generated when there is a problem in the incoming Message and it gets rejected. SMR will get generated automatically. This message is generated when the Sender’s DN address does not match with the DN address set up. Or the LOB Schema could not be decided with the responder DN Address.

Swift message will be maintained in the system named as **SecuritiesMessageRejectionV03 (semt.001.001.03)**.

This message will be automatically generated when the system rejects a message for non business reasons.

The message will not be sent out in case of a business rule validation.

This message will be generated automatically if any message is rejected for non business reasons by the system. (If incoming SWIFT message is not supported or if reference is invalid or unrecognized).

This message will contain a following reason code that explains why the message is rejected:

- **NALO** – Not Allowed Request (for instance, When Incoming swift message type is not supported.)
- **REFE** – Invalid Or Unrecognized Reference (Incoming message requests like order Cancellation, Order Confirmation Status Report etc., contains an invalid or unrecognized reference number.)

The rejection code **NALO** will be sent in case the message type received in the instruction is not recognized. For instance, if the message type of the incoming message is sent as setr.047.001.01 (**SubscriptionOrderConfirmationCancellationInstructionV01**) which is not supported by the system then the system will validate and reject the message. And the **SecuritiesMessageRejectionV02** message will contain the rejection code as **NALO**.

In case of transaction cancellation or transaction confirmation if the reference number passed in the instruction does not match with the original transaction order reference number then the system will display an error which will be stored. Once this error happens system will generate the **SecuritiesMessageRejectionV02** which can be viewed in the outgoing message browser.

**Incoming Securities Message Rejection**

The message can also be an incoming message. In case of incoming message the referenced message status will be updated. The incoming message can be viewed in incoming message browser. The referenced messages are stored in the system.

## 2.7.8 PriceReportCancellationV04

This topic provides information on PriceReportCancellationV04.

A report provider, for instance, a transfer agent, fund accountant or market data provider, sends the PriceReportCancellation message to the report recipient, for instance, a fund management company, transfer agent, market data provider, regulator or any other interested party to cancel previously sent prices.

## 2.7.9 RequestForOrderConfirmationStatusReportV01

This topic provides information on RequestForOrderConfirmationStatusReportV01.

An executing party, for example, a transfer agent, send the RequestForOrderConfirmationStatusReport message to the instructing party, for instance, an investment manager or its authorized representative, to request the status of one or several order confirmations.

## 2.7.10 PriceReportV04

This topic provides information on PriceReportV04.

A report provider, for instance, a transfer agent, fund accountant or market data provider, sends the PriceReport message to the report recipient, for instance, a fund management company, transfer agent, market data provider, regulator or any other interested party to provide the net asset value and price information for financial instruments on specific trade dates and, optionally, to quote price variation information.

PriceReportIdentification **<PricRptId>** - Unique and unambiguous identifier for the price report, as assigned by the reporting party, support upto 35 char.

The following functions are supported in price report:

**Table 2-9    PriceReportV04**

| Code Name | Name | Definition |
| --- | --- | --- |
| **REPL** | CompleteReplacementPriceReport | The price report conveys the correction of the complete set of prices previously sent for the same price report identification. |

**Table 2-9 (Cont.) PriceReportV04**

| Code Name | Name | Definition |
|---|---|---|
| **NEWP** | NewPriceReport | The price report is **New**, that is the report is not being used as a correction of is not being used as a correction of previously sent prices. |
| **PART** | PartialCorrectionPriceReport | The price report conveys the correction of some of the prices previously sent for the same price report identification. |

Price Report Generation as per the new codes are as follows:

- **NEWP**: This code will be used to generate the price report for the first time in **PRICEREPORTV04**.
- **PART**: After the generation of initial **PRICEREPORTV04** with code **NEWP**, if there happens to be changes in the prices, then **PRICEREORTV04** will be generated with code **PART**.
- **REPL**: This code will be used when a price report is cancelled regenerated again.

Since, the **PriceReportV04** is already generated at 2:00 pm IST, the system will check the history table whether all prices have been changed as per the previous report. In this case, only Fund 4 and Fund 5 have gone change in the prices, the system will consider it as a partial change in the price report and regenerate the **PriceReportV04** with code value **PART** and will include the funds with changes in prices.

Similarly, if prices for all the funds are changed, then the system will check the latest prices in history table and will regenerate the **PriceReportV04** with code value **REPL** which will replace the previous report. All the latest fund prices will be included in new report.

## 2.8 Process Parameter Setup Detail

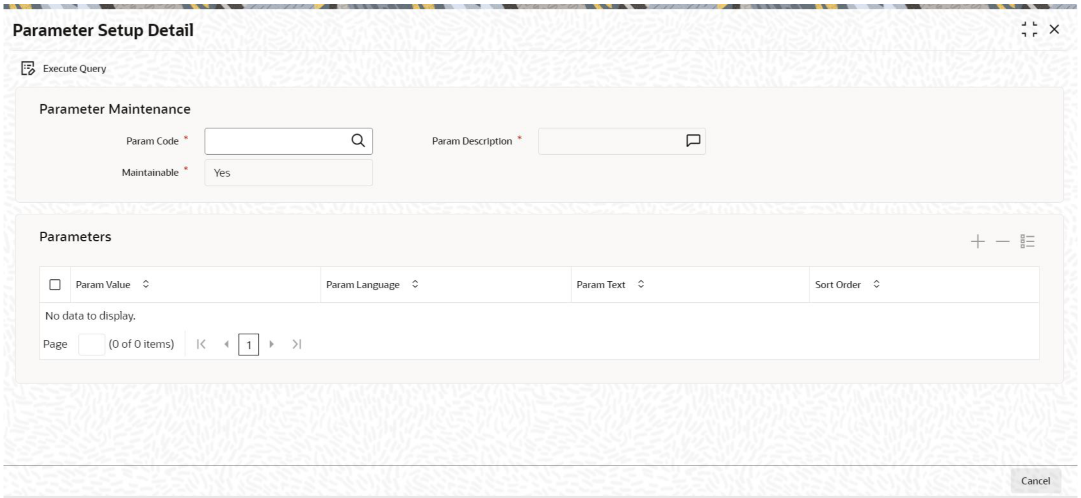
This topic provides the systematic instructions to validate SWIFT messages.

The XML format of SWIFT Messages can be validated. To maintain validation parameters for the XML format, use the **Parameter Setup Detail** screen.

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

   The **Parameter Setup Detail** screen is displayed.

**Figure 2-13 Parameter Setup Detail**




2. When you open the screen, choose the language for which you want to view the maintained codes in the **Language field**.
3. Select the Parameter Code **SWIFTFORMAT** and click **Add** icon to add the parameters.
4. On **Parameter Setup Detail** screen, click **Enter Query** to enter the details.

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

**Table 2-10 Parameter Setup Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Parameter Maintenance** | The section displays the following fields. | NA |
| **Param Code** | Specify the param code. Alternatively, you can select Param code from the option list. | *Alphanumeric; 25 Characters; Mandatory* |
| **Param Description** | The system displays the description for the selected param code. | *Display* |
| **Maintainable** | Select if the record is maintainable or not from the drop-down list. The list displays the following values: <br>• **Yes** <br>• **No** | *Optional* |

5. Click **Execute Query** button after specifying the necessary details.

   The system displays the following values:

   - **Param Value**
   - **Param Language**
   - **Param Text**
   - **Sort Order**

# 2.9 Process Incoming Message Browser

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

You can use the incoming message browser to perform the following functions with respect to an incoming SWIFT message:

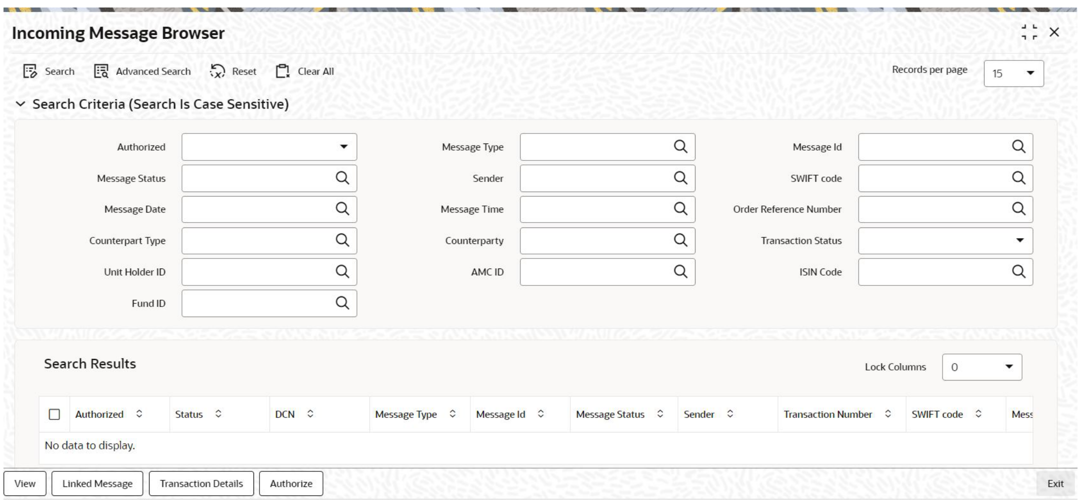
The following functions are view all (or selected) unprocessed, processed, suppressed or repaired messages.

In order to perform any of these functions, you must first retrieve the **In** message and display it in the **Incoming Message Browser** screen.

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

   The **Incoming Message Browser** screen is displayed.

**Figure 2-14    Incoming Message Browser**




2. On **Incoming Message Browser** screen, click **New** to enter the details.

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

**Table 2-11    Incoming Message Browser - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Authorized** | Select the authorization status of the messages that you wish to view from the drop-down list. The list displays the following values:<br>• **Authorized**<br>• **Unauthorized** | *Optional* |
| **Message Type** | Specify the Swift Message type to display the message.<br>For instance, Subscription Bulk Order, Redemption Bulk Order etc., | *Alphanumeric; 100 Characters; Optional* |

**Table 2-11 (Cont.) Incoming Message Browser - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Message ID** | Specify the message ID. Alternatively, you can select message ID from the option list. The list displays all valid message ID maintained in the system. | *Alphanumeric; 35 Characters; Optional* |
| **Message Status** | Specify the status of the message that has to be displayed. The status could be unprocessed, processed, repair, suppressed or all. | *Alphanumeric; 1 Character; Optional* |
| **Sender** | Indicate the sender of the message. | *Alphanumeric; 12 Characters; Optional* |
| **Swift Code** | Specify the Swift code. Alternatively, you can select swift code from the option list. The list displays all valid swift code maintained in the system. | *Alphanumeric; 30 Characters; Optional* |
| **Message Date** | Specify the date range for which the system has to retrieve the messages. | *Date Format; Optional* |
| **Message Time** | Specify the time to retrieve the message.<br>**Note**: If time zone is available in incoming messages, it will be truncated and not stored/ used for processing. | *Time Format; Optional* |
| **Order Reference Number** | Specify the order reference number. Alternatively, you can select order reference number from the option list. The list displays all valid order reference number maintained in the system. | *Alphanumeric; 35 Characters; Optional* |
| **Counterpart Type** | Specify the counterpart type. Alternatively, you can select counterpart type from the option list. The list displays all valid counterpart types maintained in the system. | *Alphanumeric; 1 Character; Optional* |
| **Counterparty** | Specify the counterpart ID. Alternatively, you can select counterpart from the option list. The list displays all valid counterpart ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **Transaction Status** | Select the transaction status from the drop-down list. The list displays the following values:<br>• **No Trade Processed**<br>• **Trade Processed Authorized**<br>• **Trade Processed Unauthorized** | *Optional* |
| **Unit Holder ID** | Specify the unit holder ID. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **AMC ID** | Specify the AMC ID. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **ISIN Code** | Specify the ISIN code. Alternatively, you can select ISIN coder from the option list. The list displays all valid ISIN code maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **Fund ID** | 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. | *Alphanumeric; 6 Characters; Optional* |

3. Click on the message that you wish to operate in the **DCN** field.

The **Incoming Message Browser** screen with the details of the message displayed. All messages matching your criteria are displayed in the screen.

You can view the following details:

- **Authorized**
- **Status**
- **DCN**
- **Message Type**
- **Message ID**
- **Message Status**
- **Sender**
- **Transaction Number**
- **Swift Code**
- **Message Date**
- **Message Time**
- **Message Date Time**
- **Order Reference Number**
- **Counterpart Type**
- **Counterparty**
- **Transaction Status**
- **Unit Holder ID**
- **AMC ID**
- **Fund ISIN Code**
- **Fund ID**
- **Error Code**
- **Error Description**

4. Click **View** button to view the contents of a message.

   The contents of the message is displayed in the **Message Details** screen.

5. Click the following operation buttons to view the details as follows:

   A horizontal array of icons is available for you to perform operations on the message.

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

**Table 2-12 Incoming Message Browser - Field Description**

| Operation | Description |
|---|---|
| **View** | Click this button to view the contents of a message. The contents of the message will be displayed in the Message section of the screen. |
| **Linked Message** | Click this button to view linked messages, if any. |
| **Transaction Details** | Click **Transaction Details** button to view the transaction details. |

**Table 2-12 (Cont.) Incoming Message Browser - Field Description**

| Operation | Description |
|---|---|
| **Authorize** | Click this button to authorize an unauthorized unprocessed message that has been edited; an unauthorized processed message that has been repaired, or an unauthorized suppressed message.<br>If the upload status is **U** (unauthorized) then the message will be received to MSTB_DLY_MSG_IN table as unauthorized. You can authorize the same from message browsers screens and once authorized, only the record will be considered for processing. |

# 2.10 Process Outgoing Message Browser

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

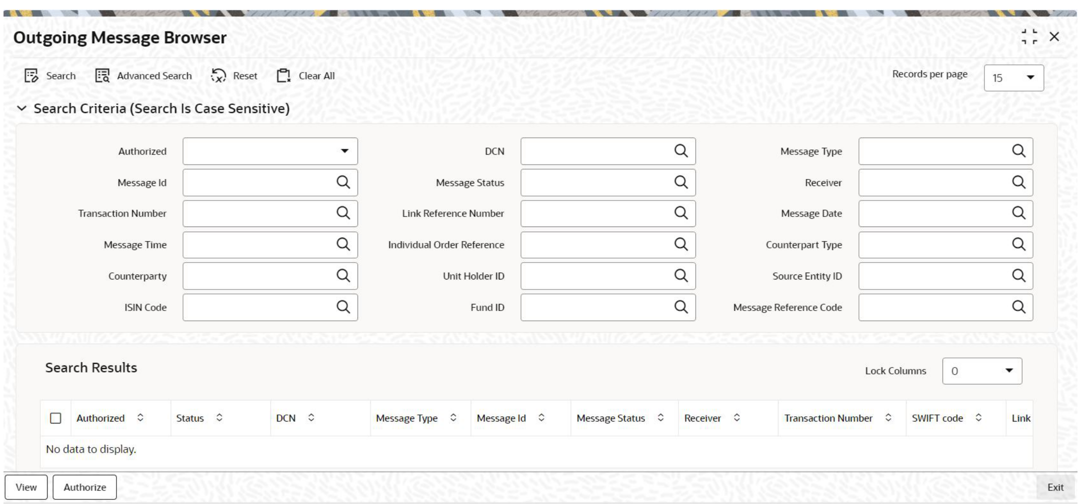
You can use the outgoing message browser to perform the following functions with respect to an outgoing SWIFT message:

- Generate the outgoing message in respect of an un generated message
- Authorize a repaired or edited message
- View all (or selected) outgoing ungenerated, generated, handed off, or repaired messages

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

   The **Outgoing Message Browser** screen is displayed.

**Figure 2-15 Outgoing Message Browser**




2. On **Outgoing Message Browser** screen, click **New** to enter the details.

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

**Table 2-13 Outgoing Message Browser - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Authorized** | Select the authorization status of the messages that you wish to view from the drop-down list. The list displays the following values:<br>• **Authorized**<br>• **Unauthorized** | *Optional* |
| **DCN** | Specify the DCN. | *Alphanumeric; 16 Characters; Optional* |
| **Message Type** | Specify the Swift Message type to display the message.<br>For instance, Subscription Bulk Order, Redemption Bulk Order, etc.,<br>Following are the message types that are maintained:<br>• **RequestedFutureTradeDate**<br>• **RequestedNAVCurrency** | *Alphanumeric; 100 Characters; Optional* |
| **Message ID** | Specify the message ID. Alternatively, you can select message ID from the option list. The list displays all valid message ID maintained in the system. | *Alphanumeric; 35 Characters; Optional* |
| **Message Status** | Specify the status of the message that has to be displayed. The status could be unprocessed, processed, repair, suppressed or all. | *Alphanumeric; 1 Character; Optional* |
| **Receiver** | Specify the receiver details. Alternatively, you can select receiver details from the option list. The list displays all valid receiver details code maintained in the system. | *Alphanumeric; 300 Characters; Optional* |
| **Transaction Number** | Specify the transaction number. Alternatively, you can select transaction number from the option list. The list displays all valid transaction number maintained in the system. | *Alphanumeric; 16 Characters; Optional* |
| **Link Reference Number** | Specify the link reference number. Alternatively, you can select link reference number from the option list. The list displays all valid link reference number maintained in the system. | *Alphanumeric; 35 Characters; Optional* |
| **Message Date** | Specify the date range for which the system has to retrieve the messages from the adjoining calendar. | *Date Format; Optional* |
| **Message Time** | Specify the time to retrieve the message.<br>**Note**: If time zone is available in incoming messages, it will be truncated and not stored/ used for processing. | *Time Format; Optional* |
| **Individual Order Reference** | Specify the individual order reference number. Alternatively, you can select individual order reference number from the option list. The list displays all valid individual order reference number maintained in the system. | *Alphanumeric; 35 Characters; Optional* |
| **Counterpart Type** | Specify the counterpart type. Alternatively, you can select counterpart type from the option list. The list displays all valid counterpart types maintained in the system. | *Alphanumeric; 1 Character; Optional* |

**Table 2-13 (Cont.) Outgoing Message Browser - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Counterparty** | Specify the counterpart ID. Alternatively, you can select counterpart from the option list. The list displays all valid counterpart ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **Unit Holder ID** | Specify the unit holder ID. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **Source Entity ID** | Specify the source entity ID. Alternatively, you can select source entity ID from the option list. The list displays all valid source entity ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **ISIN Code** | Specify the ISIN code. Alternatively, you can select ISIN coder from the option list. The list displays all valid ISIN code maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **Fund ID** | 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. | *Alphanumeric; 6 Characters; Optional* |
| **Message Reference Code** | Specify the message reference code. Alternatively, you can select message reference coder from the option list. The list displays all valid message reference code maintained in the system. | *Alphanumeric; 35 Characters; Optional* |

3. Double-click on any of the records that you wish to operate on, in the **DCN** field.

   The **Outgoing Message Browser** screen with the details of the message displayed. All messages matching your criteria are displayed in the screen.

4. You can view the following details.

   The following details are displayed:

   - **Authorized**
   - **Status**
   - **DCN**
   - **Message Type**
   - **Message ID**
   - **Receiver**
   - **Transaction Number**
   - **Swift Code**
   - **Link Reference Number**
   - **Message Date**
   - **Message Time**
   - **Message Date Time**
   - **Individual Order Reference**
   - **Counterpart Type**
   - **Counterparty**
   - **UnitHolder ID**

- **Source Entity ID**
- **Fund ISIN Code**
- **Fund ID**
- **Declared NAV/Lot**
- **Message Reference Code**
- **Legal Entity**
- **AMC ID**
- **Error Code**
- **Error Description**

5. Click the following operation buttons to view the details as follows:

   A horizontal array of icons is available for you to perform operations on the message.

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

**Table 2-14 Incoming Message Browser - Field Description**

| Operation | Description |
|---|---|
| **View** | Click this button to view the contents of a message. The contents of the message will be displayed in the Message section of the screen. |
| **Authorize** | Click this button to authorize an unauthorized ungenerated message that has been edited or an unauthorized generated message that has been repaired.<br>For out messages, if **Confirm Outgoing Messages** in the **Swift Message Set up** is set as **True**, then the message will be generated and populated to MSTB_DLY_MSG_OUT table as authorized else it will be populated as unauthorized. |

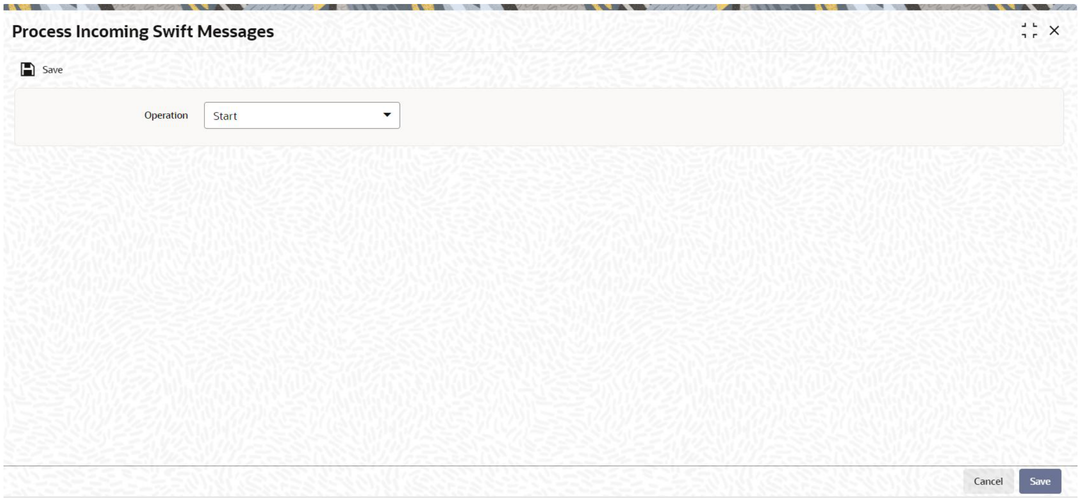
## 2.11 Process Incoming Swift Messages

This topic provides the systematic instructions to upload incoming messages.

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

   The **Process Incoming Swift Messages** screen is displayed.

**Figure 2-16 Process Incoming Swift Messages**




2. On **Process Incoming Swift Messages** screen, click **New** to enter the details.

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

**Table 2-15 Process Incoming Swift Messages - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Operation** | Select the **Operation** as **Start** to trigger the upload process from the drop-down list. The list displays the following values:<br>• **Start** - Select **Start** to start the upload process.<br>• **Stop** - Select **Stop** to stop the already triggered the upload process. | *Optional* |

3. Trigger the upload process in this screen.

   This will move all unprocessed messages collected by the message system from the SWIFT terminal delivery channel to the **Processed** status.

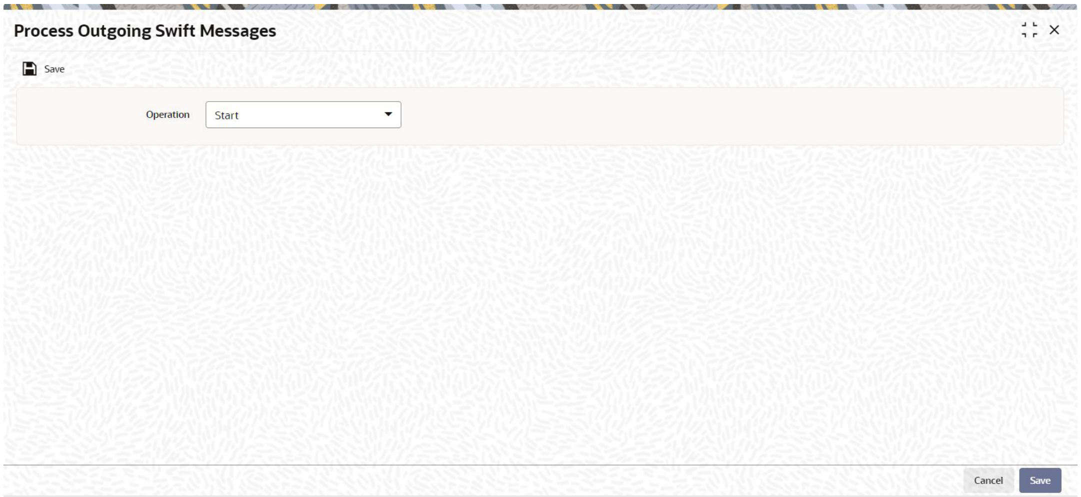
# 2.12 Process Outgoing Swift Messages

This topic provides the systematic instructions to generate outgoing messages.

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

   The **Process Outgoing Swift Messages** screen is displayed.

**Figure 2-17 Process Outgoing Swift Messages**




2. On **Process Outgoing Swift Messages** screen, click **New** to enter the details.

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

**Table 2-16 Process Outgoing Swift Messages - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Operation** | Select the **Operation** as **Start** to trigger the generation process from the drop-down list. The list displays the following values:<br>• **Start** - Select **Start** to start the generation process.<br>• **Stop** - Select **Stop** to stop the already triggered the generation process. | *Optional* |

3. Trigger the generation process in this screen.

   This will move all ungenerated messages, to the **generated** status; and the outgoing messages are generated and moved to the outgoing queue of the appropriate SWIFT terminal delivery channel.

# 2.13 Set Up Distinguished Name (DN) Address

This topic provides the instructions to set up Distinguished Name (DN) Address.

You can maintain the DN address for SWIFT Entities such as Segment, AMC, Legal Entity, Agent, Agency Branch, IFA and Account Officer using **Swift Entity Maintenance** screen.

This topic contains the following sub-topics:

- Maintain DN Address for SWIFT Entries
  This topic gives information on maintaining DN address for SWIFT entries.
- Process DN Messages
  This topic gives information on processing of DN messages.
- Process Swift Entity Maintenance
  This topic provides the systematic instructions to process the Swift Entity.

## 2.13.1 Maintain DN Address for SWIFT Entries

This topic gives information on maintaining DN address for SWIFT entries.

**Maintain DN Address for SWIFT Entries**

You can maintain the DN address for SWIFT Entities such as **Segment**, **AMC**, **Legal Entity**, **Agent**, **Agency Branch**, **IFA** and **Account Officer** using **Swift Entity Maintenance** screen.

The DN address setup for different SWIFT Entities will be maintained as follows.

**For SWIFT Entity - Segment**

If the entity type is selected as **Segment**, the entity ID will be defaulted as installed Entity and mapped entity details will be disabled. Only one DN address will be allowed to be maintained for Segment SWIFT Entity.

The DN address maintained for Segment Entity type is used as **Responder DN** for all incoming messages from different swift entity types for the respective segment and also used as **Requester DN** for all outgoing messages generated from respective segment. If there is more than one schema with same segment level DN address, then the system cannot pass the message received to the intended segment by checking the **Responder DN** address present in the message.

Once the message is received, the system will check whether Related Reference or Previous Reference is available in the message. If it is available then system will find the schema from **mstm_msg_trrack** table. If Related Reference or Previous reference is not available or cannot find schema from **mstm_msg_track** table, then the system will find the schema from DN address maintenance (based on requestor).

The system will also check whether **Responder DN** mentioned in the message is maintained in identified segment. If maintained, the message will consider for processing in that segment.

**For SWIFT Entity Type AMC or Legal Entity**

If the entity type is selected as **AMC** then you must select AMC ID. If the entity type is selected as **Legal Entity** then you must select Legal Entity ID.

For AMC or Legal entity, entity ID will be defaulted as **Installed Entity** and mapped entity details will be disabled.

If Entity Type is **M (AMC)**, then the entity ID option list will list only AMC's.

**For SWIFT Entity Type Agent or Agency Branch/Account Officer/IFA**

If the Entity type is **Agent** or **Agency Branch/Account Officer/IFA**, then you can only select the Entity ID along with the AMC or Legal Entity ID. AMC ID/Legal Entity ID is mandatory when Entity type is **Agent** or **Agency Branch/Account Officer/IFA**. Only one of the DN address maintained for Agent and AMC ID combination can set as Default DN address.

You can enable DBN address. you can also specify whether the DN address is maintained for only outgoing message and no incoming message from that address will be processed in the system using **Outbound Only** checkbox. If this checkbox is checked then no incoming message from that **Requestor DN** address will be processed.

For Segment, AMC, Legal Entity counterparts; there will be only one DN address allowed to be maintained. For **Agent**, **Agency Branch**, **Account Officer** and IFA counterparts; multiple DN addresses for each AMC ID for different communication modes must be able to be maintained.

For message with multiple orders where for one Unitholder more than one transaction will be done for different funds, the system will check the above rules for E-dealing allowed for the legal entities mapped to those funds. If for one of the legal entities, the E-dealing is not allowed, then system will reject only the transactions done to those funds where the mapped legal entity is not checked in **Electronic Deal** field in **Entity Maintenance** screen.

In the case of a swift switch message between two different legal entities, the message will be accepted only if both legal entities allow electronic dealing and the AMC allows electronic dealing.

The validations which will to be applied DN address maintained in **Entity SWIFT Setup** are as follows:

- All segment in the DN address should follow the sequence cn=<name>,ou=<name>,o=<bic8>,o=swift
- All segments should be separated with ‘,’.
- The DN address should have maximum of 100 characters.
- No space is allowed.
- Minimum of 2 and maximum of 10 segments are allowed in a DN address.
- The <name> part must contain minimum of 2 characters and maximum 20 alphanumeric characters. The characters should be in lower case. Only one special character is allowed to be used i.e. ‘-‘(Hypen).
- The DN address will have maximum 2 numbers. The <name> part can contain maximum of 2 numerical digits.

## 2.13.2 Process DN Messages

This topic gives information on processing of DN messages.

Incoming message coming into the system will have the tags <Fr> and <To>. The <To> tag will be the DN address of the specific segment in which the message will be processed. The DN address mentioned in the <Fr> tag will be searched in the DN addresses maintained in the system for all SWIFT Entity Types except where DN address is flagged as Outbound only. If it does not find the corresponding DN Address then the system will generate an outgoing Securities Message Rejection and sent out with rejection code as **NALO**. If the system finds the corresponding DN address then the incoming message will be further validated.

Once the DN address is matched with maintained list, the system will identify the actual entity which is sending the message.

If the identified sender entity is **Agent**, **Agency branch**, **IFA**, **Account Officer**, the corresponding **AMC ID** or **Legal Entity** will be identified based on **Fund ISIN** mentioned in the message.

The system then checks that the DN address received as requester is maintained for that Agent and AMC/Legal Entity combination. If so, the system will further check whether the identified AMC allows the incoming message type based on the list of allowed messages maintained as part of Entity Maintenance.

If the incoming message is not allowed or DN address received in the message does not match with the Agent and AMC/Legal Entity combination setup then system will reject the message and generate an outgoing Securities Message Rejection message with reject code **NALO**.

If the identified sender entity is **AMC** or **Legal Entity**, then the system will further check whether the identified AMC allows the incoming message type based on the list of allowed messages maintained as part of Entity Maintenance. If the incoming message is not allowed then the system will reject the message and generate an outgoing Securities Message Rejection message with reject code**NALO**.

Once the message is processed (i.e. The transaction may or may not been created when the message is processed in **FCIS**) in the system, then the Order Instruction Status message will be generated and will be sent to the same DN address which was present in the incoming message as requester. The same process will apply for the confirmation messages when the transaction is priced. The confirmation message will be generated after the created transaction is allocated in the system. This will also be sent to the same DN address which was present in the incoming message as requestor.

For outgoing messages for which there is no outbound message such as **PriceReportV03 (reda.001.001.03)**, **AccountingStatementOfHoldingsV02 (semt.003.001.02)** for instance, the requester DN will be the DN address of the segment. The Responder DN will be the DN address of the **To Entity ID** maintained as part of the SWIFT Message Setup for the specific outgoing message.

If **To Entity Type** is **Agent/Agency Branch/IFA/Account Officer**, then the system will use the **AMC ID** maintained as part of SWIFT Message setup to derive the respective default DN address for Agent and AMC combination.

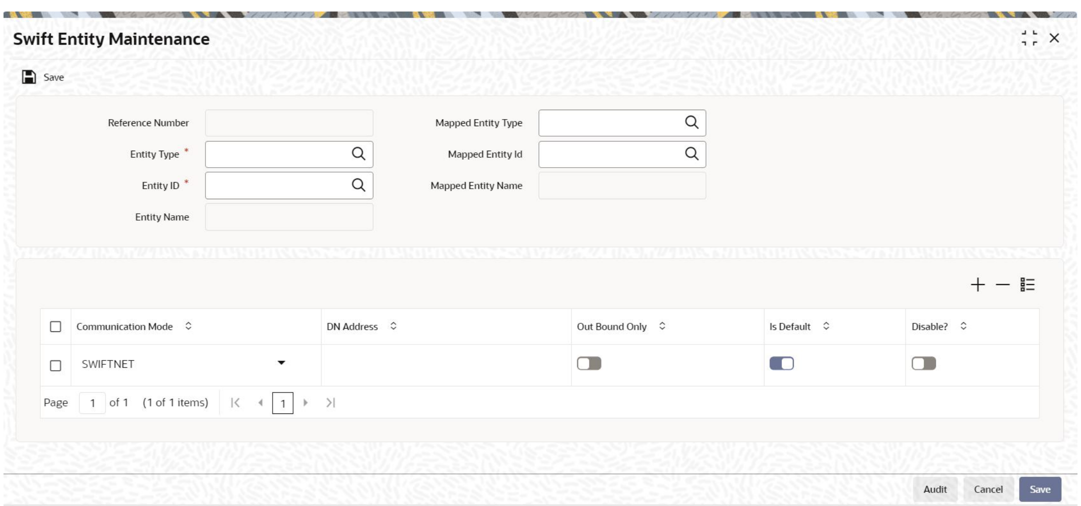
## 2.13.3 Process Swift Entity Maintenance

This topic provides the systematic instructions to process the Swift Entity.

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

   The **Swift Entity Maintenance** screen is displayed.

**Figure 2-18 Swift Entity Maintenance**




2. On **Swift Entity Maintenance** screen, click **New** to enter the details.

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

**Table 2-17 Swift Entity Maintenance - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Reference Number** | The system displays the reference number. | *Display* |
| **Entity Type** | Specify the entity type. Alternatively, you can select the entity type from the option list. The list displays all valid entity type maintained in the system. | *Alphanumeric; 1 Character; Mandatory* |
| **Entity ID** | Specify the entity ID. Alternatively, you can select the entity ID from the option list. The list displays all valid entity ID maintained in the system. | *Alphanumeric; 12 Characters; Mandatory* |
| **Entity Name** | The system displays the entity name for the selected entity ID. | *Display* |
| **Mapped Entity Type** | Specify the mapped entity type. Alternatively, you can select the mapped entity type from the option list. The list displays all valid mapped entity type maintained in the system. | *Alphanumeric; 1 Character; Optional* |
| **Mapped Entity ID** | Specify the mapped entity ID. Alternatively, you can select the mapped entity ID from the option list. The list displays all valid mapped entity ID maintained in the system. | *Alphanumeric; 12 Characters; Optional* |
| **Mapped Entity Name** | The system displays the mapped entity name for the selected mapped entity ID. | *Display* |
| **Communication Mode** | Select the mode of communication from the drop-down list. The list displays the following values:<br>• **SWIFTNET**<br>• **VESTIMA+** | *Optional* |
| **DN Address** | Specify the DN address. | *Alphanumeric; 100 Characters; Mandatory* |
| **Out Bound Only** | Check this box to indicate that the requestor DN address corresponding to this checked record will be used only for outgoing messages and will not be used for incoming messages.<br>If any incoming message is received from the requestor DN address for which **Outbound Only** field is checked, the message will be rejected since that DN address is defined to be used only for outgoing messages.<br>**Note**: The **Outbound Only** checkbox must be flagged against only one DN. This field is not applicable for **Segment** entity type. It will be defaulted as checked. | *Optional* |
| **Is Default** | Check this box to indicate that DN address is defaulted. The **Default** check box must be flagged against only one DN.<br>The **Is Default** checkbox will also be defaulted as **Checked** for the DN address record where **Outbound Only** checkbox is checked. | *Optional* |

**Table 2-17 (Cont.) Swift Entity Maintenance - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Disable?** | Check this box to disable the DN address(s) for a specific Entity.<br>While processing the incoming message only enabled DN addresses present in the system will be matched against the incoming requestor DN address to find out the SWIFT correspondent.<br>If the matched DN address is marked as disabled then the message will not be processed and security rejection message with reason code as NALO will be generated and sent out. | *Optional* |

- SWIFT Routing
  This task provides information on SWIFT routing.

## 2.13.3.1 SWIFT Routing

This task provides information on SWIFT routing.

- The Current Existing screen **SWIFT Entity Maintenance** is used to maintain DN address for SWIFT Entities.
- To support Routing of UH/Transaction SWIFT message. The **Mapped Entity Type** LOV has been enhanced to display a new **Entity Type** 'Z – Agency Branch Module' and **Mapped Entity ID** LOV has been enhanced to list all **Agency Branch Module ID** of the current FMG module.
- The user needs to choose Entity Type – S [Installation ID], pick the Installed Entity ID from LOV and map the associated Agency Branch Module ID to identify DN address in Unitholder SWIFT message Processing.
- DN address used for Agency branch module cannot be duplicated for another Installation [Entity Type- S]. Incoming SWIFT message coming into the system will have the tags **<Requestor>** and **<Responder>**. The **<Responder>** tag is the DN address of the specific module in which the message is processed.
- The DN address mentioned in the **<Responder>** tag to be searched in the DN addresses maintained in the system for SWIFT Entity Type **S**.
- Once the DN address is matched with maintained list, Systems will identify Module ID from the maintenance and process the Unitholder records.
- If there is no module mapping found for DN address, then the system will reject the message.
- During Unit holder creation as part of Swift Processing, **AMC ID/Distributor ID** field is to be derived from the value of **AccountServicer <AcctSvcr><AnyBIC>** tag.
- If the value derived from Account servicer is not matching with entities maintained in the system, then system will raise the error.
- If there is no AccountServicer **<AcctSvcr>** tag as part of incoming message, then the system will derive the value of **AMC ID/Distributor ID** field as below Transaction Processing:

**Table 2-18 Installation Type and Value**

| Installation Type | Value of AMC ID/Distributor ID |
|---|---|
| AMC | Default AMC ID |
| Distributor | Default Distributor ID/ Agent code |

- Agency Branch Module ID derivation for Transaction is based on Client Country **Parameterization**.
- The Client country **SWIFTTXNAGENT** is available in the system and if client country is ON, then system will derive the DN address using Receiver DN and same will be used for transaction processing. If DN address is not matching with maintenance available, then system will raise the error.
- If the client country is switched OFF, then the system will use the UH module to process the transaction.

# 2.14 Swift Entity Maintenance Summary

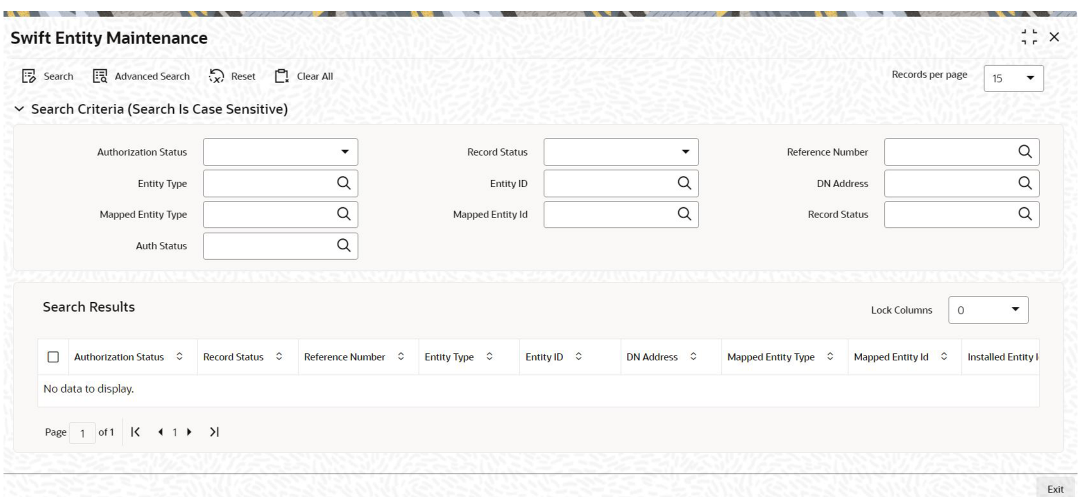
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve Swift Entity Maintenance Record**

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

   The **Swift Entity Maintenance Summary** screen is displayed.

**Figure 2-19 Swift Entity Maintenance Summary**




2. On **Swift Entity 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**

- **Entity ID**
- **Mapped Entity Type**
- **Entity Type**
- **DN Address**
- **Mapped Entity ID**
- **Auth Status**
- **Record 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 **Entity 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 Message Code by using the combination of % and alphanumeric value as follows:

   - Search by A%: System will fetch all the records whose Entity ID starts from Alphabet A'. Ex: AGC17, AGVO6, AGC74 and so forth.
   - Search by %7: System will fetch all the records whose Entity ID ends by numeric value' 7'. Ex: AGC17, GSD267, AGC77 and so forth.
   - Search by %17%: System will fetch all the records whose Entity ID contains the numeric value 17. Ex: GSD217, GSD172, AGC17 and so forth.

   For more infrormation on operations, refer the following:

- Edit Swift Entity Maintenance Record
  This topic provides the systematic instructions to edit Swift Entity Maintenance record.
- View Swift Entity Maintenance Record
  This topic provides the systematic instructions to view Swift Entity Maintenance record.
- Delete Swift Entity Maintenance Record
  This topic provides the systematic instructions to delete Swift Entity Maintenance record.
- Authorize Swift Entity Maintenance Record
  This topic provides the systematic instructions to authorize Swift Entity Maintenance record.
- Amend Swift Entity Maintenance Record
  This topic provides the systematic instructions to amend Swift Entity Maintenance record.

- Authorize Amended Swift Entity Maintenance Record
  This topic provides the systematic instructions to authorize amended Swift Entity Maintenance record.

## 2.14.1 Edit Swift Entity Maintenance Record

This topic provides the systematic instructions to edit Swift Entity Maintenance record.

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

1. Start the **Swift Entity 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 **Swift Entity Maintenance** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Swift Entity Maintenance** screen is closed and the changes made are reflected in the **Swift Entity Maintenance Summary** screen.

## 2.14.2 View Swift Entity Maintenance Record

This topic provides the systematic instructions to view Swift Entity Maintenance record.

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

1. Start the **Swift Entity 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 **Swift Entity Maintenance** screen is displayed.

## 2.14.3 Delete Swift Entity Maintenance Record

This topic provides the systematic instructions to delete Swift Entity Maintenance record.

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

1. Start the **Swift Entity 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 **Swift Entity 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.

## 2.14.4 Authorize Swift Entity Maintenance Record

This topic provides the systematic instructions to authorize Swift Entity Maintenance record.

Authorize an unauthorized Swift Entity Maintenance Record in the system for it to be processed as follows:

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

   All records with the specified details that are pending authorization are retrieved and displayed in the screen.
4. Double-click the record that you wish to authorize.

   The **Swift Entity 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.

## 2.14.5 Amend Swift Entity Maintenance Record

This topic provides the systematic instructions to amend Swift Entity 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 **Swift Entity Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

   The **Swift Entity 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.

### 2.14.6 Authorize Amended Swift Entity Maintenance Record

This topic provides the systematic instructions to authorize amended Swift Entity Maintenance record.

Authorize an amended Swift Entity 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.

## 2.15 Account Opening

This topic provides the information on account opening.

**AccountOpeningInstructionV08:**

The AccountOpeningInstruction is to create new account/unitholder using SWIFT messages as per 2021 SWIFT regulations.

The Account Opening Instruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian or securities depository, to instruct the opening of an account or the opening of an account and the establishment of an investment plan.

While creating a Unitholder through SWIFT, the following derivation will be used for the Segment ID default.

The Param UHDEFAULTSEGMENT is used for segment ID. The maintenance for the same is referred in Param Screen.

The UH AMC which comes as the input is considered and the AMC country code value will be checked across for the maintenance of the Param and the Segment ID will be defaulted.

**Param Maintenance:**

The Param Value is Country Code and the Param Text Value is Segment ID.

Eg. HKG country code is maintained as Param Value and corresponding Param text is HKSEGMENT.

> **Note**
>
> Bulk UH Defaults can be maintained for Multiple AMC with same Bulk Client Code.

**Design Scope:**

This account opening message should create the below maintenances/transactions, if the respective tags are provided.

- Unitholder along with
  - Bank details
  - Intermediaries
- UH IDS Setup for reinvestment details

Confirmation message will be sent on the successful creation of the unitholder in FCIS.

This topic contains the following sub-topics:

- Tags in Message
  This topic provides information on Account Details and its tags in messages.

## 2.15.1 Tags in Message

This topic provides information on Account Details and its tags in messages.

**MX acmt.001.001.08**

The Account Opening Instruction is used to open an account directly or indirectly with the account servicer or an intermediary.

Execution of the Account Opening Instruction is confirmed via an “Account Details Confirmation” message.

The Account Opening InstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks as below,

**Account Opening Instruction**

**Table 2-19 Account Opening Instruction**

| Field | Description | Attributes |
|---|---|---|
| **Account Opening Instruction** | This is the root tag for account opening instruction. | *Mandatory* |

**Message Identification**

**Table 2-20 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time. | *Mandatory* |
| **Identification Creation Date Time**<br>**Identification** | This tag is used for Identification of the message. | *Mandatory* |
| **Creation Date Time** | This tag indicates the date of creation of the message. | *Mandatory* |

### Order Reference

**Table 2-21 Order Reference**

| Field | Description | Attributes |
|---|---|---|
| **Order Reference** | This tag will not be used for the account opening process as per the current scope. | *Optional* |

### Previous Reference

**Table 2-22 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This tag will not be used for the account opening process as per the current scope. | Optional |

### Instruction Details

**Table 2-23 Instruction Details**

| Field | Description | Attributes |
|---|---|---|
| **Instruction Details** | InstructionDetails tag gives information about the opening instruction. This tag is identified by a new element in FCIS. | Mandatory |
| **Instruction Details Opening Type Code**<br>**Opening Type** | It specifies whether the account opening instruction is about a newly created account or a supplementary account. | Mandatory |
| **Code** | Type of account opening instruction is expressed as a code. | Mandatory |

### Investment Account

**Table 2-24 Investment Account**

| Field | Description | Attributes |
|---|---|---|
| **Investment Account** | It gives detailed information about the account to be opened. | NA |
| **Indentification Name Type Code**<br>**Indentification** | This tag denotes Unitholder ID. | Optional |
| **Name** | This tag provides the name of the account. | Optional |
| **Type** | This tag is used to identify the type of account. | Optional |
| **Code** | Type of account is expressed as a code. | Mandatory |
| **Ownership Type Code**<br>**Ownership Type** | This tag denotes ownership status of the account. | Mandatory |
| **Code** | Ownership type is expressed as a code. | Mandatory |
| **Statement Frequency Code**<br>**Statement Frequency** | Frequency at which a statement is issued is denoted by this tag. | Optional |

**Table 2-24 (Cont.) Investment Account**

| Field | Description | Attributes |
|---|---|---|
| **Code** | Statement frequency is expressed as a code. | Mandatory |
| **Reference Currency** | This tag indicates the currency chosen for reporting purposes. | Optional |
| **Language** | Preferred language of the account holder is denoted by this tag. | Optional |
| **Reinvestment Details Financial Instrument Details Identification Other Proprietary Identification ISIN**<br>**Reinvestment Details** | This tag specifies the income on the fund or security that is to be reinvested. | Optional |
| **Financial Instrument Details** | Investment fund for the reinvestment is indicated by this tag. | Mandatory |
| **Identification** | It is the unique and unambiguous identifier of a security. | Mandatory |
| **Other Proprietary Identification** | This will be the proprietary identification of the security assigned by an institution or organisation. | Mandatory |
| **ISIN** | This specifies International Securities Identification Number (ISIN). | Mandatory |
| **Ticker Symbol** | These are letters that identify a stock traded on a stock exchange. | Mandatory |
| **Reinvestment Percentage** | It denotes the percentage of the reinvestment. | Mandatory |
| **Opening Date Date**<br>**Opening Date** | It denotes legal opening date for the account and the account opening date cannot be backdated. | Optional |
| **Date** | Legal opening date for the account. | Optional |

### Account Parties

**Table 2-25 Account Parties**

| Field | Description | Attributes |
|---|---|---|
| **Account Parties** | It gives confirmation of information related to parties of the account, for example, primary account owner. This is a new element in FCIS,<br>These are the additional details of the unitholder. | Mandatory |
| **Principal Account Party Primary Owner Party Organisation**<br>**Principal Account Party** | Main party associated with the account is given by this tag. | Mandatory |
| **Primary Owner** | This tag denotes the owner of the account. | Mandatory |
| **Party** | Information about the organisation or individual person is given by this tag. | Mandatory |
| **Organisation Registration Country Postal Address Postal Address Address Line Country**<br>**Organisation** | This will be the organised structure that is been set up for a particular purpose. i.e.,) Corporate account. | Mandatory |

**Table 2-25 (Cont.) Account Parties**

| Field | Description | Attributes |
|---|---|---|
| **Registration Country** | Country in which the organisation is registered is specified by this tag. | Optional |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Address Line** | This is the information that locates and identifies a specific address. | Optional |
| **Country** | Country of the address is denoted by this tag. | Mandatory |
| **Individual Person Name Prefix Code Middle Name Name**<br>**Individual Person** | This will be the human entity, who is distinguished from a corporate entity. | Mandatory |
| **Name Prefix** | It is the term used to address the person. | Optional |
| **Code** | Name prefix is expressed as a code. | Mandatory |
| **Middle Name** | It indicates the middle name of the party. | Optional |
| **Name** | It indicates the name by which the party is known and which is normally used to identify that person. | Mandatory |
| **Gender** | This tag indicates the gender of the person. | Optional |
| **Birth Date** | This is the date on which the person was born. | Optional |
| **Country Of Birth** | This is the country where the person was born. | Optional |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Address Line** | This is the information that locates and identifies a specific address.<br>**Note:** First Address line will be 'Address Line 1', Second Address line will be 'Address Line 2', Third Address line will be 'Address Line 3', Fourth Address line will be 'Address Line 4' and Fifth Address line will be 'Zip Code'. | Optional |
| **Country** | Country of the address is given by this tag. | Mandatory |
| **Citizenship** | Nationality and legal status (minor or major) information can be obtained by this tag. | Optional |
| **Nationality** | This tag denotes the country where a person was born or to the country where the person is legally accepted as belonging. | Mandatory |
| **Minor Indicator** | It indicates whether the person is a legal minor. | Mandatory |
| **Other Identification Identification Type Code Other Identification**<br>**Other Identification** | This will be the alternative identification such as national registration identification number, passport number, tax identification number. | Optional |
| **Identification** | It can be name or number assigned by an entity to enable recognition of that entity. | Mandatory |
| **Type** | It denotes the type of identification. | Mandatory |
| **Code** | Type of identification is expressed as a code. | Mandatory |
| **Issue Date** | It is the date at which the identification was issued. | Optional |
| **Expiry Date** | It will be the date at which the identification expires. | Optional |

**Table 2-25 (Cont.) Account Parties**

| Field | Description | Attributes |
|---|---|---|
| **Issuer Country** | It is the country that issued the identification document. | Optional |
| **Primary Communication Address Email**<br>**Primary Communication Address** | It specifies the means of communication with the person. | Optional |
| **Email** | This is the Email address of the person. The maximum length is 255 characters. | Optional |
| **Custodian For Minor Party Individual Person Name**<br>**Custodian For Minor** | It gives information on the entity that holds shares/units on behalf of a legal minor. | Optional |
| **Party** | It gives information about the individual person. | Mandatory |
| **Individual Person** | It is the human entity, as distinguished from a corporate entity. | Mandatory |
| **Name** | It is the tag by which the party is known and used to identify that person. | Mandatory |
| **Successor On Death Party Individual Person Name**<br>**Successor On Death** | Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred is given by this tag. | Optional |
| **Party** | It gives information about the organisation or individual person. | Mandatory |
| **Individual Person** | It is the human entity, as distinguished from a corporate entity. | Mandatory |
| **Name** | It is the tag by which the party is known and used to identify that person. | Mandatory |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Address Line** | This is the information that locates and identifies a specific address. | Optional |
| **Country** | It denotes the country of the address. | Mandatory |
| **Ownership Beneficiary Rate Rate**<br>**Ownership Beneficiary Rate** | It will be the percentage of ownership or of beneficial ownership of the shares/units in the account. | Optional |
| **Rate** | Ownership or beneficial ownership is expressed as a percentage. | Optional |

### Intermediaries

**Table 2-26 Intermediaries**

| Field | Description | Attributes |
|---|---|---|
| **Intermediaries** | Intermediary or other party is related to the management of the account. Upto ten intermediaries are allowed to maintain. This element is new for FCIS. | |

**Table 2-26 (Cont.) Intermediaries**

| Field | Description | Attributes |
| --- | --- | --- |
| **Identification Any BIC**<br>**Identification** | This denotes the intermediary or other party related to the management of the account. | Mandatory |
| **Any BIC** | This is the code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority. | Mandatory |
| **Proprietary Identification Identification Role Code**<br>**Proprietary Identification** | It is the unique and unambiguous identifier assigned to a financial institution. | Mandatory |
| **Identification** | It is the identification assigned by an institution. | Mandatory |
| **Role** | Role or function performed by the intermediary | Optional |
| **Code** | Role is expressed as a code. Role code 'INTR' is supported using SWIFT.<br>• If the client country 'TXNBROKERS' is enabled, then the intermediaries details will be considered as the broker ID.<br>• If the client country 'TXNBROKERS' is disabled, then the intermediaries details will be considered as the agent.<br>• If the client country 'TXNBROKERS' is disabled and provided with the role code 'INTR', then the agency branch will be selected based on the agent code. Also, IFA and account officer will be defaulted to 'DIRECT'.<br>• If intermediaries section is not available, default broker 'DIRECT' or module agent code will be defaulted accordingly. | Optional |

### Cash Settlement

**Table 2-27 Cash Settlement**

| Field | Description | Attributes |
| --- | --- | --- |
| **Cash Settlement** | Cash settlement stands for instruction associated with transactions on the account. | |
| **Cash Account Details** | It is the details of the account to credit or debit. | Optional |
| **Settlement Currency** | It is the payment currency. | Mandatory |
| **Identification Other Identification**<br>**Identification** | Unique and unambiguous identification for the account | Mandatory |
| **Other** | Unique identification of an account. | Mandatory |
| **Identification** | Identification assigned by an institution. | Mandatory |
| **Name** | It defines the name of the account. | Optional |
| **Account Owner** | It indicates the party that legally owns the account. | Optional |
| **Any BIC** | It will be the code allocated to a financial or non-financial institution. | Mandatory |

**Table 2-27 (Cont.) Cash Settlement**

| Field | Description | Attributes |
|---|---|---|
| **Proprietary Identification Identification**<br>**Proprietary Identification** | It is the unique and unambiguous identifier. | Mandatory |
| **Identification** | It is the identification assigned by an institution. | Mandatory |
| **Account Servicer Branch Identification**<br>**Account Servicer Branch** | It is the Information that identifies a specific branch of a financial institution. | Optional |
| **Identification** | It is the unique and unambiguous identification of a branch of a financial institution. | Optional |

# 2.16 Subscription Bulk Order

This topic provides the information on Subscription Bulk Order.

**Subscription Bulk Order Message**

This message is sent by an intermediary to an executing party or to another intermediary party. This message is used to instruct the executing party to subscribe to a specified amount/ quantity of a specified financial instrument.

The Subscription Bulk Order message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, but are related to the same financial instrument. The Subscription Bulk Order message can result in one single bulk cash settlement or several individual cash settlements.

This message cannot be used for a single order (a message containing one order for one instrument and for one investment account). The Subscription Multiple Order message, not the Subscription Bulk Order message, must be used for a single order.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Subscription Bulk Order and its tags in messages.

## 2.16.1 Tags in Messages

This topic provides information on Subscription Bulk Order and its tags in messages.

**Message Identification**

**Table 2-28 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. | Optional |

**Table 2-28 (Cont.) Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |

## Pool Reference

**Table 2-29 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

## Bulk Order Details

**Table 2-30 Bulk Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Bulk Order Details** | Specify the details. | NA |
| **Financial Instrument Details** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.<br>**Incoming**: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.<br>**Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Individual Order Details** | Specify the details. | (Mandatory / Repetitive) |
| **Order Reference** | This is a unique identifier for an order, as assigned by the instructing party.<br>**Incoming** - This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.<br>**Outgoing** - This will be the Transaction Number generated by FCIS. | Mandatory |
| **Cash Settlement Date** | **Incoming/Outgoing** – Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date. | Optional |
| **Investment Account Details** | Specify the details. | Mandatory |

**Table 2-30 (Cont.) Bulk Order Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Account Identification Proprietary Identification** | This tag is to identify an investor’s account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>**Incoming**: The system uses the relevant UDF mapping for this tag.<br>**Outgoing**: The system uses the relevant UDF mapping for this tag. | Mandatory |
| **Beneficiary Details** | Specify the details. | Optional |
| **Other Identification Identification** | **Incoming**: This would map to the Identification Number of the Unit holder. | Mandatory |
| **Other Identification Identification TypeType/Extended Identification Type Structured** | This is a choice between Identification Type and Extended Identification Type.<br>b – FCIS uses data mapping to find the Unit holder account type. Only PASS (passport) and NRIN (the National Registration Number, which is NRIC for Singapore) are supported as Identification Types. | Mandatory |
| **Other Identification Identification Type Additional Information** | If structured type is OTHR, the description of identification would be provided. For example, ‘Birth Certificate’. | Optional |
| **Choice for Units / Net Amount** | **Incoming**: The system determines the Transaction Mode and Value depending on the element available. If the field ‘NetAmt’ is provided, the mode of transaction will be ‘Net’. The value here would be in the currency provided as an attribute of the tag. FCIS will give priority to the tag ‘GrossAmount’ while processing the message. If the same is available, the transaction will be considered ‘Gross’.<br>**Outgoing** : Values of the outgoing message will depend on the transaction mode. Net Amount transactions in FCIS, will be reported in the field ‘NetAmt’. The transaction currency will be passed as tag attribute. However, if the transaction is ‘Gross’, the same will be reported under the optional tag ‘GrossAmount’ as well as the tag ‘NetAmt’, as this is mandatory. | Mandatory |
| **Gross Amount** | **Incoming**: If a value is provided in this field the transaction will be considered as a gross amount transaction. The transaction currency would be defaulted to the currency code provided in the attribute.<br>**Outgoing**: If the tag ‘GrossOrNet’ carries the value ‘G’, the amount will be passed under this tag. The transaction currency will be passed as a tag attribute. | Optional |

**Table 2-30 (Cont.) Bulk Order Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Foreign Exchange Details** | This is information related to currency exchange or conversion.<br>**Incoming**: If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.<br>**Outgoing** : If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Cash Settlement Details** | Specify the details. | Optional |
| **Payment Instrument** | The payment instruments can be cheque, credit transfer, direct debit, investment account or payment card.<br>FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.<br>If payment instrument details are not provided, FCIS would use default bulk transaction setup for "SWIFT". | Optional |
| **Payment Card Details** | Specify the details. | (Mandatory / Choice) |
| **Type** | This indicates the type of card.<br>• CRDT – Credit Card<br>• DBIT – Debit Card<br>**Incoming**: FCIS will set the Payment Mode to 'R' for payments by card, and Sub Payment Mode, depending on the value of the tag 'Type'. The Sub Payment Mode will be set to 'R' for CRDT and 'DR' for DBIT.<br>**Outgoing**: The indicator will be either CRDT or DBIT, based on Payment Mode and Sub Payment mode.<br>For more information on Payment Mode, refer Table 2-31. | Mandatory |
| **Number** | **Incoming/Outgoing** – This will be the 16-digit Card Number. | Mandatory |

**Table 2-30 (Cont.) Bulk Order Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Card Issuer Identification** | This is the party that issues the card. FCIS supports identification based on the following tags:<br>• BIC Or BEI<br>• Proprietary Identification<br>**Incoming**: If BIC Or BEI is provided, the system will get the relevant bank information, if available. If Proprietary Identification is provided, the UDF mapping for the field would be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'.<br>**Outgoing**: As FCIS is capable of supporting both, the BIC Or BEI and Proprietary Identification, SWIFT UDF mapping will be used to determine the element that client would want to send | NA |
| **Cheque Details** | Specify the details. | (Mandatory / Choice) |
| **Number** | Incoming/Outgoing – This will be the Transaction Cheque Number. | Mandatory |
| **Drawee Identification** | This is to identify the bank details.<br>FCIS supports BIC and Proprietary Identification.<br>**Incoming**: If BIC is provided, system the will get the relevant bank information, if available. If Proprietary Identification is provided, the UDF mapping for the field would be used to determine the bank. This would be a set of other information fields applicable for entity type 'Bank'.<br>**Outgoing**: As FCIS is capable of supporting both, the BIC and Proprietary Identification, SWIFT UDF mapping will be used to determine the element that client would want to send. | Optional |
| **Credit Transfer Details** | Specify the details | (Mandatory / Choice) |
| **Reference** | **Incoming/Outgoing**: This will be the TransactionReferenceNumber | Optional |
| **Debtor Details Identification** | FCIS supports DomesticAccount based identification.<br>**Incoming**: The details available for DomesticAccount will be used in conjunction with the element details of the tag FirstAgent to determine the Unit Holder bank details available in FCIS. FCIS will check if the account number mentioned is valid for the transaction currency. If not, these account details will be considered as third party payment details.<br>**Outgoing**: If the transaction payment mode is money transfer, the account details will be provided for the transaction. Money transfer direct debit will not be applicable for this tag. | Mandatory |
| **Debtor Account Name** | This is the name of the account. It provides additional means of identification.<br>**Outgoing**: This will be the TransferAccountHolderName of the transaction. | Optional |

**Table 2-30 (Cont.) Bulk Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Debtor Agent** | This is the financial institution that receives the payment transaction from the account owner.<br>FCIS supports BIC and Proprietary Identification based identification.<br>**Incoming**: If BIC is provided, the system will get the relevant bank information, if available. FCIS will use the Bank Code, Account Number and Transaction Currency to get the banking details for the Unit Holder.<br>If ProprietaryIdentification is provided, the UDF mapping for the field will be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'. If these bank account details do not match with unit holders banking details, the transaction will be captured as the third party payment details, provided the bank entity information is setup in FCIS.<br>**Outgoing**: As FCIS is capable of supporting the elements BIC and ProprietaryIdentification, the SWIFT UDF mapping will be used to determine the element that client would want to send. | Mandatory |
| **Direct Debit Details** | These are the details of the bank where the client has given a mandate to debit the account. | (Mandatory / Choice) |
| **Debtor Account** | This tag will be used to identity the bank account of the investor. FCIS supports DomesticAccount based identification.<br>**Incoming**: The details available for DomesticAccount will be used in conjunction with the element details of the tag Debtor Agent to determine the Unit Holder bank details available in FCIS. FCIS will check if the account number mentioned is valid for the transaction currency. If not, these account details will be considered as third party payment details.<br>**Outgoing**: If the transaction payment mode is money transfer, the account details will be provided for the transaction. Money transfer direct debit will not be applicable for this tag. | Mandatory |
| **Debtor Identification** | This tag will be used to identity the bank account of the investor. FCIS supports DomesticAccount based identification. | Mandatory |

**Table 2-30 (Cont.) Bulk Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Debtor Agent** | This is used to identify the bank of the investor.<br>FCIS supports BIC and Proprietary Identification based identification.<br>**Incoming**: If BIC is provided, the system will get the relevant bank information, if available. FCIS will use the Bank Code, Account Number and Transaction Currency to get the banking details for the Unit Holder.<br>If ProprietaryIdentification is provided, the UDF mapping for the field will be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'. If these bank account details do not match with unit holders banking details, the transaction will be captured as the third party payment details, provided the bank entity information is setup in FCIS.<br>**Outgoing**: As FCIS is capable of supporting the elements BIC and ProprietaryIdentification, the SWIFT UDF mapping will be used to determine the element that client would want to send. | Mandatory |
| **Cash Account Details** | Speicfy the details. | (Mandatory / Choice) |
| **Account Identification Proprietary Identification** | **Incoming** : This will be the bank account number of the unit holder. This number will be used in conjunction with the element Type  Structured i.e., the bank account type, to get the bank details of unit holder.<br>**Outgoing** : If the bank details selected for the transaction is a CPF accounts (CPFOA, CPFSA, ASPFOA, ASPFSA or SRS), the system will provide the structured account type information under this element. | Mandatory |
| **Type  Structured** | For more information on the strcutured codes, refer Table 2-32. | Mandatory |

**Table 2-31 Payment Mode**

| Payment Mode | Sub Payment Mode | Type |
|---|---|---|
| R | R | CRDT |
| R | DR | DBIT |

**Table 2-32 Structured codes**

| Structured codes | FCIS Map |
|---|---|
| CASH | No mapping |
| CPFO | CPFOA |
| CPFS | CPFSA |
| OTHR | ASPFOA / ASPFSA |
| SRSA | SRS |

# 2.17 Subscription Bulk Order Confirmation

This topic provides the information on Subscription Bulk Order Confirmation.

**Subscription Bulk Order Confirmation Message**

This message is sent by an executing party to an intermediary party. This message is used to confirm the details of the execution of a Subscription Bulk Order message.

The Subscription Bulk Order Confirmation message is sent, after the price has been determined, to confirm the execution of all individual orders.

There is usually one bulk confirmation message for one bulk order message.

For all incoming messages, FCIS will set the status of transactions based on individual 'Order Reference' number.

For outgoing message, FCIS will generate the confirmation message only after allocation.

FCIS will allow generation of this message in an automated way (based on certain events triggered in the system, which have to be set for the message), or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Subscription Bulk Order Confirmation and its tags in messages.

## 2.17.1 Tags in Messages

This topic provides information on Subscription Bulk Order Confirmation and its tags in messages.

**Message Identification**

**Table 2-33 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |

**Pool Reference**

**Table 2-34 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

### Related Reference

**Table 2-35 Related Reference**

| Field | Description | Attributes |
|---|---|---|
| **Related Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | **Incoming**: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.<br>The confirmation messages will be generated against each Masterreference/ message.<br>**Outgoing**: FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message. | Mandatory |

### Bulk Execution Details

**Table 2-36 Bulk Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Bulk Execution Details** | This is general information related to the execution of investment orders. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | **Outgoing** - FCIS sends out the fund ISIN. | Mandatory |
| **Individual Execution Details** | This is the individual execution of a subscription order. | (Mandatory / Repetitive) |
| **Order Reference** | **Incoming** - As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.<br>**Outgoing** - This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS. | Mandatory |
| **Deal Reference** | This is a unique number assigned by the confirming party.<br>**Incoming**: This number is used for storage.<br>**Outgoing**: This would map to the Transaction Number generated by the system corresponding to the Order Reference number. | Mandatory |
| **Settlement Amount** | Oracle FLEXCUBE would pass settlement amount of the transaction in this tag. | Optional |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | **Outgoing**: The system uses the relevant UDF mapping for this tag. | |
| **Beneficiary Details** | Specify the details. | Optional |
| **Other Identification Identification** | **Outgoing**: This would map to the Identification Number of the Unit holder. | Mandatory |

**Table 2-36 (Cont.) Bulk Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Other Identification Identification Type** | **Outgoing**: FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag AdditionalInformation. | Mandatory |
| **Other Identification Extended Identification Type** | If structured type is OTHR, the description of identification would be provided. For example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description | Optional |
| **Units Number** | Specify the details. | Mandatory |
| **Unit** | **Outgoing** – The allocated units for the transaction. | Mandatory |
| **Net Amount** | This is the net amount invested in a specific financial instrument by an investor, expressed in the currency requested by the investor.<br>**Outgoing**: The system will compute the net amount in transaction currency for transaction getting confirmed. | Mandatory |
| **Gross Amount** | **Outgoing**: This will be the settlement amount in the transaction currency available in the transaction data store. | Optional |
| **Transaction DateTime** | This is a choice between Date and DateTime.<br>**Outgoing**: Depending on the UDF mapping, the Transaction Date / Transaction Time will be passed. | Mandatory |
| **Dealing Price Details** | This is the price at which order was executed. | Mandatory |
| **Extended Type** | **Outgoing**: FCIS will support the code 'OTHR' only. | Mandatory |
| **Value Amount** | **Outgoing**: This will be the allocation price for the transaction. | Mandatory |
| **Partially Executed Indicator** | This indicates whether the order has been partially executed.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |
| **Cum Dividend Indicator** | This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |

# 2.18 Subscription Bulk Order Cancellation Instruction

This topic provides the information on Subscription Bulk Order Cancellation Instruction.

### Subscription Bulk Order Cancellation Instruction Message

This message is sent by an intermediary party to an executing party or to another intermediary party. The Subscription Bulk Order Cancellation Instruction message is used to cancel a previously sent Subscription Bulk Order message or a set of individual orders that it contains. There is no amendment, but a cancellation and re-instruct policy

For all incoming bulk order cancellations, FCIS will process the reversals based on Previous Reference and Individual Order Reference. For outgoing cancellation messages, FCIS will communicate the details of original transaction and not the newly reversed transaction, provided the original transaction was handed off to SWIFT. If a transaction is reversed before, neither transaction will be included in the SWIFT message

For outgoing messages, FCIS will always provide the reference of the original message and group cancellations, if multiple transactions of the same batch have been reversed.

FCIS will allow the generation of this message in an automated way (based on a certain event that is triggered in the system, which can be set for the message), or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Subscription Bulk Order Cancellation Instruction and its tags in messages.

## 2.18.1 Tags in Messages

This topic provides information on Subscription Bulk Order Cancellation Instruction and its tags in messages.

**Message Identification**

**Table 2-37 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Pool Reference**

**Table 2-38 Pool Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

### Previous Reference

**Table 2-39 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This is the Reference Number to a linked message that was previously sent. | Mandatory |
| **Reference** | **Incoming**: If FCIS is receives this message, this reference number should be the Message Identification of the original message sent. This will be the link between cancellation message and the bulk order message.<br>If the tag ‘Order To Be Cancelled is not provided in the message, the system will identify the transactions to be reversed based on this link, as FCIS would have logged the bulk orders against the Message Identification.<br>**Outgoing**: FCIS will hand off only those reversals for which SWIFT bulk order was sent earlier. | Mandatory |

### Order to be Cancelled

**Table 2-40 Order to be Cancelled**

| Field | Description | Attributes |
|---|---|---|
| **Order to be Cancelled** | This is common information related to all the orders to be cancelled. | |
| **Bulk Order Details** | Specify the details. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund.<br>**Outgoing** : FCIS sends out the fund ISIN. | Mandatory |
| **Individual Order Details** | Specify the details. | (Mandatory / Repetitive) |
| **Order Reference** | **Incoming**: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.<br>**Outgoing** : This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | **Outgoing** - The system uses the relevant UDF mapping for this tag. | |
| **Beneficiary Details** | Specify the details. | Optional |
| **Other Identification Identification** | **Outgoing**: This would map to the Identification Number of the Unit holder. | Mandatory |
| **Other Identification Identification Type** | **Outgoing**: FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value ‘OTHR’ would be passed, with the description in the tag Additional Information. | Optional |

**Table 2-40 (Cont.) Order to be Cancelled**

| Field | Description | Attributes |
|---|---|---|
| **Other Identification Extended Identification Type** | If structured type is OTHR, the description of identification would be provided. E Example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description. | Optional |
| **Choice for Units / Net Amount** | **Outgoing** – Irrespective of the 'GrossOrNet' indicator, amount transactions in FCIS, will be reported in the field 'NetAmt'. However, if the transaction is 'Gross', the same will be additionally reported under the tag 'GrossAmount'.<br>Unit based transactions will be passed under the tag Units. | Mandatory |
| **Gross Amount** | This is the gross amount invested in the fund.<br>**Outgoing**: This will map to transaction gross amount in the fund base currency, if available. | Optional |
| **Foreign Exchange Details** | This is information related to currency exchange or conversion.<br>**Outgoing**: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Cash Settlement Date** | **Incoming/Outgoing**: Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date. | Optional |

# 2.19 Subscription Multiple Order

This topic provides the information on Subscription Multiple Order.

### Subscription Multiple Order Message

This message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party. The Subscription Multiple Order message is used to subscribe to different financial instruments for the same investment account. It can result in one single bulk cash settlement or several individual cash settlements.

This message can also be used for single orders, i.e., a message containing one order for one financial instrument and related to one investment account.

The Subscription Multiple Order message, and not the Subscription Bulk Order message, must be used for a single order.

FCIS will allow generation of this message in an automated way (based on an event triggered) or manually. The grouping of multiple orders is driven by investment account and not the fund, as in the Subscription Bulk Order message.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Subscription Multiple Order and its tags in messages.

## 2.19.1 Tags in Messages

This topic provides information on Subscription Multiple Order and its tags in messages.

**Message Identification**

**Table 2-41 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |

**Pool Reference**

**Table 2-42 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

**Multiple Order Details**

**Table 2-43 Multiple Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Multiple Order Details** | Specify the details. | |
| **Investment Account Details** | This is the account impacted by an investment fund order. | Mandatory |

**Table 2-43 (Cont.) Multiple Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Identification Proprietary Identification** | This tag is to identify an investor’s account. However, incase of a service provider installation, priority would be given to Owner Details tag to get the identification type and identification number.<br>**Incoming** – The system uses the relevant UDF mapping for this tag.<br>**Outgoing** - The system uses the relevant UDF mapping for this tag. | Mandatory |
| **Owner Identification** | • BIC Or BEI<br>• Proprietary Identification<br>**Incoming**: If BIC Or BEI is provided, the system will get the relevant bank information, if available. If Proprietary Identification is provided, the UDF mapping for the field would be used to determine the bank. This will be a set of other information fields applicable for entity type ‘Bank’.<br>**Outgoing**: As FCIS is capable of supporting both, the BICOrBEI and Proprietary Identification, SWIFT UDF mapping will be used to determine the element that client would want to send. | Optional |
| **Individual Order Details**<br>**Order Reference** | This is a unique identifier for an order, as assigned by the instructing party.<br>**Incoming**: This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.<br>**Outgoing**: This will be the Transaction Number generated by FCIS. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.<br>**Incoming**: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.<br>**Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Choice for Units Number / Amount** | **Incoming**: The system determines the Transaction Mode and Value depending on the element available. If the field ‘Amt’ is provided, the mode of transaction will be ‘Net’. The value here would be in the currency provided as an attribute of the tag. FCIS will give priority to the tag ‘GrossAmountIndicator’ while processing the message. If the same is available, the transaction will be considered ‘Gross’.<br>**Outgoing**: Values of the outgoing message will depend on the transaction mode. Net Amount transactions in FCIS, will be reported in the field ‘Amt’. The transaction currency will be passed as tag attribute. However, if the transaction is ‘Gross’, the same will be reported under the optional tag ‘GrossAmountIndicator’ as well as the tag ‘Amt’, as this is mandatory. | Mandatory |

**Table 2-43 (Cont.) Multiple Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Gross Amount Indicator** | **Incoming**: If the value in this field is true, the transaction will be considered as a gross amount transaction. The transaction currency would be defaulted to the currency code provided in the attribute.<br>**Outgoing**: If the tag 'GrossOrNet' carries the value 'G', the amount will be passed under this tag. The transaction currency will be passed as a tag attribute. | Optional |
| **Commission Details** | This indicates the load corresponding to the commission that is being overridden. The Load in the system can be identified using the Load Id or the Recipient information. | Optional |
| **Type Extended Type** | **Incoming**: This will map to the Load Id. If BIC code, the system will find whether the entity is an agent, AMC, broker or distributor. System will select a load with the corresponding 'To Entity Type'. | Mandatory |
| **Choice for Amount/ Rate** | **Incoming**: If the 'Amt' is provided and the Load concerned is amount load, then this indicates the overridden value. However, if the field is 'Rate' is provided and the load concerned is percent load then this indicates the overridden value. | Mandatory |
| **Waiving Details** | This tag represents the override percentage that the system will apply. The value provided in this field will be ignored if 'Amount' or 'Rate' tags are provided since the values provided for those tags represent the final value. | Optional |
| **Instruction Basis** | This tag can have the value WICA. However the system will not use this value for any processing and hence will be ignored. | Mandatory |
| **Waived Rate** | This field provides the discount percentage. This is applicable only for percentage based loads. The override is by discount. | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing** - This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Cash Settlement Date** | **Incoming/Outgoing**: Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date. | Optional |
| **Payment Instrument Choice** | The payment instruments can be cheque, credit transfer, direct debit, investment account or payment card.<br>FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.<br>If payment instrument details are not provided, FCIS would use default bulk transaction setup for "SWIFT". | Optional |
| **Related Party Details** | This is information related to an intermediary. | |

**Table 2-43 (Cont.) Multiple Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Identification** | FCIS supports identification based on the following tags:<br>• BICOrBEI<br>• ProprietaryIdentification<br>If BIC is provided, the system will get either the Broker BIC or the Entity BIC based on the client country parameter 'TXNBROKERS'. If ProprietaryIdentification is provided, the value provided in this field should be a valid Entity Id or Broker Id in the system based on the client country parameter 'TXNBROKERS'. | Mandatory |
| **Extended Role** | In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA' or 'AO'. If none of the above values are specified, system will throw exception saying 'Invalid ExtendedRole'. | Optional |

# 2.20 Subscription Multiple Order Confirmation

This topic provides the information on Subscription Multiple Order Confirmation.

**Subscription Multiple Order Confirmation Message**

This message is sent by an executing party to an instructing party. There may be one or more intermediary parties between the executing party and the instructing party. The Subscription Multiple Order Confirmation message is sent, after the price has been determined, to confirm the execution of the individual orders.

A Subscription Multiple Order can generate more than one Subscription Multiple Order Confirmation message, as the valuation cycle of the financial instruments of each individual order may be different. When the executing party sends several confirmations, there is no specific indication in the message that it is an incomplete confirmation. Reconciliation must be based on the references.

A Subscription Multiple Order must in be answered by the Subscription Multiple Order Confirmation message(s) and in no circumstances by the Subscription Bulk Order Confirmation message(s).

For all incoming messages, FCIS will be able to set the status of transactions based on the individual 'Order Reference' number. For outgoing messages, the system will be able to generate the confirmation message only after allocation. Transactions will be grouped based on the original Multiple Order Message.

FCIS will allow generation of this message in an automated way (based on a certain event that is triggered in the system) or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Subscription Multiple Order Confirmation and its tags in messages.

## 2.20.1 Tags in Messages

This topic provides information on Subscription Multiple Order Confirmation and its tags in messages.

**Message Identification**

**Table 2-44 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |

**Pool Reference**

**Table 2-45 Pool Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

**Related Reference**

**Table 2-46 Related Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Related Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | **Incoming**: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.<br>The confirmation messages will be generated against each MessageIdentification/ message.<br>The confirmation messages will be generated against each MessageIdentification/ message.<br>**Outgoing**: FCIS will send the original ‘Message Identification’ number for the external system to establish the relation between original bulk order message and confirmation message. | Mandatory |

### Multiple Execution Details

**Table 2-47 Multiple Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Multiple Execution Details** | Specify the details. | Mandatory |
| **Order DateTime** | **Outgoing**: This will be mapped to the transaction save time. | Optional |
| **Investment Account Details** | Specify the details. | NA |
| **Identification Proprietary Identification** | **Outgoing**: The system uses the relevant UDF mapping for this tag. | NA |
| **Settlement Amount** | ORACLE FLEXCUBE would pass settlement amount of the transaction in this tag. | Optional |
| **Individual Execution Details** | This is the individual execution of a subscription order. | NA |
| **Order Reference** | This is a unique identifier for an order, as assigned by the instructing party.<br>**Incoming**: As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.<br>**Outgoing**: This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS. | Mandatory |
| **Deal Reference** | This is a unique number assigned by the confirming party.<br>**Incoming**: This number is used for storage.<br>**Outgoing**: This would map to the Transaction Number generated by the system corresponding to the Order Reference number. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | NA |
| **Identification** | **Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Units Number** | Outgoing: The allocated units for the transaction. | Mandatory |
| **Amount** | This is the net amount invested in a specific financial instrument by an investor, expressed in the currency requested by the investor.<br>Outgoing: The system will compute the net amount in transaction currency for transaction getting confirmed. | Mandatory |
| **Gross Amount Indicator** | Outgoing: This will be the settlement amount in the transaction currency available in the transaction data store. | Optional |
| **Transaction Date Time** | This tag provides the transaction date.<br>**Outgoing**: Depending on the UDF mapping, the Transaction Date will be passed. | Mandatory |
| **Price Details** | This is the price at which order was executed. | Mandatory |
| **Value Amount** | b: This will be the allocation price for the transaction. | Mandatory |
| **Partially Executed Indicator** | This indicates whether the order has been partially executed.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |

**Table 2-47 (Cont.) Multiple Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Cum Dividend Indicator** | This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |
| **Foreign Exchange Details** | This is information related to currency exchange or conversion.<br>**Incoming**: If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.<br>Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |
| **Commission General Details** | This indicates the load corresponding to the 'From Entity Type' 'U' and 'To Entity Type' 'F'. | Optional |
| **Total Amount of Commissions** | Outgoing – FCIS sends out the value of the load where the 'From Entity Type' is 'U'and 'To Entity Type' is 'F'. | Optional |
| **Commission Details**<br>**Type Extended Type** | **Outgoing**: This would map to the Identification Number of the Load. If BIC is provided, this would map to the corresponding entity's BIC. | Mandatory |
| **Amount** | Outgoing: This tag corresponds to the individual Loads under the main U-F load viz. F-M and F-A loads. | Mandatory |
| **Rate** | This tag corresponds to the rates of individual Loads under the main U-F load viz. F-M and FA loads. | Optional |
| **Charge General Details** | This tag corresponds to the sum of all the loads other than the load mentioned in the 'CommissionGeneralDetails' tag. | Optional |
| **Total Amount of Charges** | Outgoing: FCIS sends out the sum f all the loads other than the load mentioned in the 'CommissionGeneralDetails' tag. | Optional |
| **Charge Details**<br>**Type Unstructured or Recipient Identification BIC Or BEI** | **Outgoing**: This would map to the Identification Number of the Load. If BIC is provided, this would map to the corresponding entity's BIC. | Mandatory |
| **Amount** | **Outgoing**: The load amount in terms of the fund base currency. | Mandatory |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing** - This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Related Party Details** | This is information related to an intermediary. | Optional |

**Table 2-47 (Cont.) Multiple Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Identification Proprietary Identification** | **Outgoing** - Identification of the agent, agency branch, AO or IFA as maintained in FCIS. | Mandatory |
| **ExtendedRole** | In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA', 'BROKER' or 'AO'. | Optional |

# 2.21 Subscription Multiple Order Cancellation Instruction

This topic provides information on Subscription Multiple Order Cancellation Instruction and its tags in messages.

**Subscription Multiple Order Cancellation Instruction Message**

This message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party. The Subscription Multiple Order Cancellation Instruction message is used to cancel the entire previously sent order message and all the individual orders that it contained. There is no amendment, but a cancellation and re-instruct policy.

A cancellation instruction must always be of the same family of message, i.e., switch, redemption or subscription and bulk or multiple, as the original order to be cancelled.

For all incoming multiple order cancellations, FCIS will be able to process the reversals based on Previous Reference and Individual Order Reference.

For outgoing cancellation messages, FCIS will communicate the details of original transaction, and not the newly reversed transaction, provided the original transaction was handed off to SWIFT. If a transaction has been reversed, neither of the transactions will be included in the SWIFT message.

For outgoing messages, FCIS will always provide the reference of the original message and group cancellations, if multiple transactions of the same batch have been reversed. FCIS will allow the generation of this message in an automated way (based on a certain event that is triggered in the system), or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Subscription Multiple Order Cancellation Instruction and its tags in messages.

## 2.21.1 Tags in Messages

This topic provides information on Subscription Multiple Order Cancellation Instruction and its tags in messages.

**Message Identification**

**Table 2-48 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |

**Pool Reference**

**Table 2-49 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

**Previous Reference**

**Table 2-50 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This is the Reference Number to a linked message that was previously sent. | Mandatory |
| **Reference** | **Incoming**: If FCIS is receives this message, this reference number should be the Message Identification of the original message sent. This will be the link between cancellation message and the bulk order message.<br>If the tag ‘Order To Be Cancelled is not provided in the message, the system will identify the transactions to be reversed based on this link, as FCIS would have logged the bulk orders against the Message Identification.<br>**Outgoing**: FCIS will hand off only those reversals for which SWIFT bulk order was sent earlier. | Mandatory |

### Order to be Cancelled

**Table 2-51 Order to be Cancelled**

| Field | Description | Attributes |
|---|---|---|
| **Order to be Cancelled** | This is common information related to all the orders to be cancelled. | NA |
| **Multiple Order Details** | Specify the details. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | **Outgoing** - The system uses the relevant UDF mapping for this tag. | NA |
| **Beneficiary Details** | Specify the details. | Optional |
| **Other Identification Identification** | **Outgoing**: This would map to the Identification Number of the Unit holder. | Mandatory |
| **Other Identification Identification Type** | **Outgoing**: FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag AdditionalInformation. | Mandatory |
| **Other Identification Extended Identification Type** | If structured type is OTHR, the description of identification would be provided. E Example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description. | Optional |
| **Individual Order Details** | Specify the details. | (Mandatory / Repetitive) |
| **Order Reference** | **Incoming**: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.<br>**Outgoing**: This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction. | Mandatory |
| **Financial Instrument Details** | Specify the details. | Mandatory |
| **Identification** | This tag provides details to identify a fund.<br>**Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Choice for Units / Net Amount** | **Outgoing**: Irrespective of the 'GrossOrNet' indicator, amount transactions in FCIS, will be reported in the field 'NetAmt'. However, if the transaction is 'Gross', the same will be additionally reported under the tag 'GrossAmount'.<br>Unit based transactions will be passed under the tag Units. | Mandatory |
| **Gross Amount** | **Outgoing**: This will map to transaction gross amount in the fund base currency, if available. | Optional |

**Table 2-51 (Cont.) Order to be Cancelled**

| Field | Description | Attributes |
| --- | --- | --- |
| **Foreign Exchange Details** | This is information related to currency exchange or conversion.<br>**Outgoing**: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Cash Settlement Date** | **Incoming/Outgoing**: This will be the Transaction Settlement Date. | Optional |

# 2.22 Redemption Bulk Order

This topic provides information on Redemption Bulk Order and its tags in messages.

**Redemption Bulk Order Message**

This message is sent by an intermediary party to an executing party or to another intermediary party.

The Redemption Bulk Order message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, i.e., account owners, but are related to the same financial instrument. The Redemption Bulk Order can result in one single bulk cash settlement or several individual cash settlements.

This message will typically be used by a party collecting order, to bulk those individual orders into one bulk order before sending it to another party.

This message cannot be used for a single order, i.e., a message containing one order for one financial instrument and for one investment account. The Redemption Multiple Order message, and not the Redemption Bulk Order message, must be used for a single order.

FCIS will allow the generation of this message in an automated way (based on certain event that is triggered in the system) or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Redemption Bulk Order and its tags in messages.

## 2.22.1 Tags in Messages

This topic provides information on Redemption Bulk Order and its tags in messages.

**Message Identification**

**Table 2-52 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | This is applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Pool Reference**

**Table 2-53 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

**Bulk Order Details**

**Table 2-54 Bulk Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Bulk Order Details** | Specify the details. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.<br>**Incoming**: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.<br>**Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Individual Order Details** | Specify the details. | (Mandatory / Repetitive) |

**Table 2-54 (Cont.) Bulk Order Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Order Reference** | This is a unique identifier for an order, as assigned by the instructing party.<br>**Incoming** - This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.<br>**Outgoing** - This will be the Transaction Number generated by FCIS. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>**Incoming**: The system uses the relevant UDF mapping for this tag.<br>**Outgoing**: The system uses the relevant UDF mapping for this tag. | Mandatory |
| **Beneficiary Details** | Specify the details. | Optional |
| **Other Identification Identification** | **Incoming**: This would map to the Identification Number of the Unit holder. | Mandatory |
| **Other Identification Identification Type** | **Incoming** : FCIS uses data mapping to find the Unit holder account type. | Mandatory |
| **Choice for Units / Net Amount/Holdings Redemption Rate** | **Incoming**: The system determines the Transaction Mode and Value depending on the element available. If the field 'NetAmt' is provided, the mode of transaction will be 'Net'. The value here would be in the currency provided as an attribute of the tag. FCIS will give priority to the tag 'GrossAmount' while processing the message. If the same is available, the transaction will be considered 'Gross'.<br>**Outgoing** : Values of the outgoing message will depend on the transaction mode. Net Amount transactions in FCIS, will be reported in the field 'NetAmt'. The transaction currency will be passed as tag attribute. However, if the transaction is 'Gross', the same will be reported under the optional tag 'GrossAmount' as well as the tag 'NetAmt', as this is mandatory. | Mandatory |
| **Gross Amount** | **Incoming**: If a value is provided in this field the transaction will be considered as a gross amount transaction. The transaction currency would be defaulted to the currency code provided in the attribute.<br>**Outgoing**: If the tag 'GrossOrNet' carries the value 'G', the amount will be passed under this tag. The transaction currency will be passed as a tag attribute. | Optional |

**Table 2-54 (Cont.) Bulk Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Foreign Exchange Details** | This is information related to currency exchange or conversion.<br>**Incoming**: If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.<br>**Outgoing** : If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Payment Instrument Choice** | The payment instruments can be cheque, credit transfer, direct debit, and investment account or payment card. FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.<br>If payment instrument details are not provided, FCIS would use default bulk transaction setup for "SWIFT". | Optional |
| **Cash Settlement Date** | **Incoming/Outgoing** – Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date. | Optional |
| **Payment Instrument** | The payment instruments can be cheque, credit transfer, direct debit, investment account or payment card. FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.<br>If payment instrument details are not provided, FCIS would use default bulk transaction setup for "SWIFT". | Optional |
| **Credit Transfer Details** | Specify the details | (Mandatory / Choice) |
| **Reference** | **Incoming/Outgoing**: This will be the TransactionReferenceNumber | Optional |

**Table 2-54 (Cont.) Bulk Order Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Creditor Details Account Identification Identification** | FCIS supports DomesticAccount based identification.<br>**Incoming**: The details available for DomesticAccount will be used in conjunction with the element details of the tag FirstAgent to determine the Unit Holder bank details available in FCIS. FCIS will check if the account number mentioned is valid for the transaction currency. If not, these account details will be considered as third party payment details.<br>**Outgoing**: If the transaction payment mode is money transfer, the account details will be provided for the transaction. Money transfer direct debit will not be applicable for this tag. | Mandatory |
| **Creditor Details Account Identification Name** | This is the name of the account. It provides additional means of identification.<br>**Outgoing**: This will be the TransferAccountHolderName of the transaction. | Optional |
| **Creditor Details Final Agent** | FCIS supports BIC and Proprietary Identification based identification.<br>**Incoming**: If BIC is provided, the system will get the relevant bank information, if available. FCIS will use the Bank Code, Account Number and Transaction Currency to get the banking details for the Unit Holder.<br>If ProprietaryIdentification is provided, the UDF mapping for the field will be used to determine the bank. This will be a set of other information fields applicable for entity type 'Bank'. If these bank account details do not match with unit holders banking details, the transaction will be captured as the third party payment details, provided the bank entity information is setup in FCIS.<br>Outgoing: As FCIS is capable of supporting the elements BIC and ProprietaryIdentification, the SWIFT UDF mapping will be used to determine the element that client would want to send. | Mandatory |
| **Cheque Details** | **Outgoing**: This tag will be passed for transactions with payment mode as 'Cheque'. FCIS will support PayeeIdentification (BIC / ProprietaryIdentiification) to identify the unit holder receiving the payment proceeds. SWIFT UDF mapping will be provided. | (Mandatory / Choice) |
| **Account Details** | Specify the details | (Mandatory / Choice) |
| **Account Identification Proprietary Identification** | **Incoming** : This will be the bank account number of the unit holder. This number will be used in conjunction with the element Type Structured i.e., the bank account type, to get the bank details of unit holder.<br>**Outgoing** : If the bank details selected for the transaction is a CPF accounts (CPFOA, CPFSA, ASPFOA, ASPFSA or SRS), the system will provide the structured account type information under this element. | Mandatory |
| **Type Structured** | For more information on the strcutured codes, refer Table 2-55. | Mandatory |

**Table 2-55 Structured codes**

| Structured codes | FCIS Map |
|---|---|
| CASH | No mapping |
| CPFO | CPFOA |
| CPFS | CPFSA |
| OTHR | ASPFOA / ASPFSA |
| SRSA | SRS |

# 2.23 Redemption Bulk Order Confirmation

This topic provides information on Redemption Bulk Order Confirmation and its tags in messages.

**Redemption Bulk Order Confirmation Message**

This message is sent by an executing party to a intermediary party or to another intermediary party. The Redemption Bulk Order Confirmation message is sent, after the price has been determined, to confirm the execution of all individual orders. There is usually one bulk confirmation message for one bulk order message.

For all incoming messages, FCIS will be able to set the status of transactions based on the individual 'Order Reference' number. For outgoing messages, the system will be able to generate the confirmation message only after allocation.

FCIS will allow the generation of this message in an automated way (based on certain event that is triggered in the system), or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Redemption Bulk Order Confirmation and its tags in messages.

## 2.23.1 Tags in Messages

This topic provides information on Redemption Bulk Order Confirmation and its tags in messages.

**Message Identification**

**Table 2-56 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |

### Pool Reference

**Table 2-57 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

### Related Reference

**Table 2-58 Related Reference**

| Field | Description | Attributes |
|---|---|---|
| **Related Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | **Incoming**: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.<br>The confirmation messages will be generated against each Masterreference/ message.<br>**Outgoing**: FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message. | Mandatory |

### Bulk Execution Details

**Table 2-59 Bulk Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Bulk Execution Details** | This is general information related to the execution of investment orders. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | **Outgoing** - FCIS sends out the fund ISIN. | Mandatory |
| **Individual Execution Details** | This is the individual execution of a subscription order. | (Mandatory / Repetitive) |
| **Order Reference** | **Incoming** - As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.<br>**Outgoing** - This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS. | Mandatory |

**Table 2-59 (Cont.) Bulk Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Deal Reference** | This is a unique number assigned by the confirming party.<br>**Incoming**: This number is used for storage.<br>**Outgoing**: This would map to the Transaction Number generated by the system corresponding to the Order Reference number. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | **Outgoing**: The system uses the relevant UDF mapping for this tag. | NA |
| **Beneficiary Details** | Specify the details. | Optional |
| **Units Number** | Specify the details. | Mandatory |
| **Unit** | **Outgoing** – The allocated units for the transaction. | Mandatory |
| **Net Amount** | This is the net amount invested in a specific financial instrument by an investor, expressed in the currency requested by the investor.<br>**Outgoing**: This would be settlement amount of redemption transaction available in transaction currency. | Mandatory |
| **Gross Amount** | **Outgoing**: This will be the settlement amount in the transaction currency available in the transaction data store. | Optional |
| **Transaction DateTime** | This is a choice between Date and DateTime.<br>**Outgoing**: Depending on the UDF mapping, the Transaction Date / Transaction Time will be passed. | Mandatory |
| **Dealing Price Details** | This is the price at which order was executed. | Mandatory |
| **Extended Type** | **Outgoing**: FCIS will support the code 'OTHR' only. | Mandatory |
| **Value Amount** | **Outgoing**: This will be the allocation price for the transaction. | Mandatory |
| **Partially Executed Indicator** | This indicates whether the order has been partially executed.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |
| **Cum Dividend Indicator** | This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |

# 2.24 Redemption Bulk Order Cancellation Instruction

This topic provides information on Redemption Bulk Order Cancellation Instruction and its tags in messages.

**Redemption Bulk Order Cancellation Instruction Message**

This message is sent by an intermediary party to an executing party or to another intermediary party. The Redemption Bulk Order Cancellation Instruction message is used to cancel the entire previously sent order message and all of the individual orders that it contained. There is no amendment, but a cancellation and re-instruct policy.

A cancellation instruction must always be of the same family of message, i.e., switch, redemption or subscription and bulk or multiple, as the original order to be cancelled.

For all incoming bulk order cancellations, FCIS will be able to process the reversals based on Previous Reference and Individual Order Reference. For outgoing cancellation messages, FCIS will communicate the details of original transaction and not the newly reversed transaction, provided the original transaction has been handed off to SWIFT. If a transaction is reversed before neither of the transactions will be included in the SWIFT message.

For outgoing messages, FCIS will always provide the reference of the original message and group cancellations, if multiple transactions of the same batch have been reversed. FCIS will allow the generation of this message in an automated way (based on certain event that is triggered in the system) or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Redemption Bulk Order Cancellation Instruction and its tags in messages.

## 2.24.1 Tags in Messages

This topic provides information on Redemption Bulk Order Cancellation Instruction and its tags in messages.

**Message Identification**

**Table 2-60 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

### Pool Reference

**Table 2-61 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

### Previous Reference

**Table 2-62 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This is the Reference Number to a linked message that was previously sent. | Mandatory |
| **Reference** | **Incoming**: If FCIS is receives this message, this reference number should be the Message Identification of the original message sent. This will be the link between cancellation message and the bulk order message.<br>If the tag 'Order To Be Cancelled is not provided in the message, the system will identify the transactions to be reversed based on this link, as FCIS would have logged the bulk orders against the Message Identification.<br>**Outgoing**: FCIS will hand off only those reversals for which SWIFT bulk order was sent earlier. | Mandatory |

### Order to be Cancelled

**Table 2-63 Order to be Cancelled**

| Field | Description | Attributes |
|---|---|---|
| **Order to be Cancelled** | This is common information related to all the orders to be cancelled. | NA |
| **Financial Instrument Details** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | **Outgoing** - FCIS sends out the fund ISIN. | Mandatory |
| **Individual Order Details** | Specify the details. | (Mandatory / Repetitive) |
| **Order Reference** | **Incoming**: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.<br>**Outgoing** : This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |

**Table 2-63 (Cont.) Order to be Cancelled**

| Field | Description | Attributes |
|---|---|---|
| **Account Identification Proprietary Identification** | **Outgoing** - The system uses the relevant UDF mapping for this tag. | NA |
| **Beneficiary Details** | Specify the details. | Optional |
| **Other Identification Identification** | **Outgoing**: This would map to the Identification Number of the Unit holder. | Mandatory |
| **Other Identification Identification Type** | **Outgoing**: FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag AdditionalInformation. | Mandatory |
| **Other Identification Extended Identification Type** | If structured type is OTHR, the description of identification would be provided. E Example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description. | Optional |
| **Choice for Units / Net Amount/Holdings Redemption Rate** | **Outgoing** – Irrespective of the 'GrossOrNet' indicator, amount transactions in FCIS, will be reported in the field 'NetAmt'. However, if the transaction is 'Gross', the same will be additionally reported under the tag 'GrossAmount'.<br>Unit based transactions will be passed under the tag Units.<br>Percentage based transactions will be passed under the tag Holdings Redemption Rate. | Mandatory |
| **Gross Amount** | This is the gross amount invested in the fund.<br>**Outgoing**: This will map to transaction gross amount in the fund base currency, if available. | Optional |
| **Foreign Exchange Details** | This is information related to currency exchange or conversion.<br>**Outgoing**: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Cash Settlement Date** | **Incoming/Outgoing**: Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date. | Optional |

# 2.25 Redemption Multiple Order

This topic provides information on Redemption Multiple Order and its tags in messages.

**Redemption Multiple Order Message**

This message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party. The Redemption Multiple Order message is used to redeem different financial instruments from the same investment account. It can result in one single bulk cash settlement or several individual cash settlements.

This message can also be used for single orders, i.e., a message containing one order for one financial instrument and related to one investment account. The Redemption Multiple Order message, and not the Redemption Bulk Order message, must be used for a single order.

FCIS would allow generation of this message in an automated way (based on an event) or manually. The grouping of multiple orders is driven by the investment account and not the fund as in a bulk order message.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Redemption Multiple Order and its tags in messages.

## 2.25.1 Tags in Messages

This topic provides information on Redemption Multiple Order and its tags in messages.

**Message Identification**

**Table 2-64 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |

**Pool Reference**

**Table 2-65 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

### Multiple Order Details

**Table 2-66 Multiple Order Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Multiple Order Details** | Specify the details. | Mandatory |
| **Investment Account Details** | This is the account impacted by an investment fund order. | Mandatory |
| **Identification Proprietary Identification** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerIdentification tag to get the identification type and identification number.<br>**Incoming**: The system uses the relevant UDF mapping for this tag.<br>**Outgoing**: The system uses the relevant UDF mapping for this tag. | Mandatory |
| **Individual Order Details** | Specify the details. | (Mandatory / Repetitive) |
| **Order Reference** | This is a unique identifier for an order, as assigned by the instructing party.<br>**Incoming** - This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.<br>**Outgoing** - This will be the Transaction Number generated by FCIS. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.<br>**Incoming**: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.<br>**Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Choice for Units Number / Amount/ Holdings Redemption Rate** | **Incoming**: The system determines the Transaction Mode and Value depending on the element available. If the field 'Amt' is provided, the mode of transaction will be 'Net'. The value here would be in the currency provided as an attribute of the tag. FCIS will give priority to the tag 'GrossAmountIndicator' while processing the message. If the same is available, the transaction will be considered 'Gross'.<br>**Outgoing**: Values of the outgoing message will depend on the transaction mode. Net Amount transactions in FCIS, will be reported in the field 'Amt'. The transaction currency will be passed as tag attribute. However, if the transaction is 'Gross', the same will be reported under the optional tag 'GrossAmountIndicator' as well as the tag 'Amt', as this is mandatory. | Mandatory |

**Table 2-66 (Cont.) Multiple Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Gross Amount Indicator** | **Incoming**: If a value is provided in this field the transaction will be considered as a gross amount transaction. The transaction currency would be defaulted to the currency code provided in the attribute.<br>**Outgoing**: If the tag 'GrossOrNet' carries the value 'G', the amount will be passed under this tag. The transaction currency will be passed as a tag attribute. | Optional |
| **Commission Details** | This indicates the load corresponding to the commission that is being overridden. The Load in the system can be identified using the Load Id or the Recipient information. | Optional |
| **Type Extended** | **Incoming** – This will map to the Load Id. | Mandatory |
| **Choice for Amount/ Rate** | **Incoming** - If the 'Amt' is provided and the Load concerned is amount load, then this indicates the overridden value. However, if the field is 'Rate' is provided and the load concerned is percent load then this indicates the overridden value. | Mandatory |
| **Recipient Identification** | If a value is provided in this field, FCIS supports identification based on the following tags:<br>• BIC Or BEI<br>• Proprietary Identification<br>If BIC code, the system will find whether the entity is an agent, AMC, broker or distributor. System will select a load with the corresponding 'To Entity Type'. | Optional |
| **Waiving Details** | This tag represents the override percentage that the system will apply. Waive details have higher precedence over 'Rate' hence 'Rate' will be ignored if 'Waiving details' are provided. | Optional |
| **Instruction Basis** | This tag can have the value WICA. However the system will not use this value for any processing and hence will be ignored. | Mandatory |
| **Waived Rate** | This field provides the discount percentage. This is applicable only for percentage based loads. The override is by discount. | Optional |
| **Foreign Exchange Details** | This is information related to currency exchange or conversion.<br>**Incoming**: If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.<br>Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |

**Table 2-66 (Cont.) Multiple Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Payment Instrument Choice** | The payment instruments can be cheque, credit transfer, direct debit, and investment account or payment card. FCIS would not support cheque, payment card as mode of payment in the current release for outgoing orders. However, for incoming orders FCIS would support these payment modes and ignore the fields that are not currently supported.<br>If payment instrument details are not provided, FCIS would use default bulk transaction setup for “SWIFT”. | Optional |
| **Cash Settlement Date** | **Incoming/Outgoing** – Both, the Incoming and Outgoing indicators, will be the Transaction Settlement Date. | Optional |
| **Related Party Details** | This is information related to an intermediary. | Optional |
| **Identification** | FCIS supports identification based on the following tags:<br>• BIC Or BEI<br>• Proprietary Identification<br>If BIC is provided, the system will get either the Broker BIC or the Entity BIC based on the client country parameter ‘TXNBROKERS’. If ProprietaryIdentification is provided, the value provided in this field should be a valid Entity Id or Broker Id in the system based on the client country parameter ‘TXNBROKERS’. | Mandatory |
| **Extended Role** | In case of entity, the values provided in this field can be ‘AGENT’, AGENCY BRANCH’, ‘IFA’ or ‘AO’. If ExtendedRole is not one of the mentioned ones, system will throw error. | Optional |

# 2.26 Redemption Multiple Order Confirmation

This topic provides information on Redemption Multiple Order Confirmation and its tags in messages.

**Redemption Multiple Order Confirmation Message**

This message is sent by an executing party to an instructing party. There may be one or more intermediary parties between the executing party and the instructing party. The Redemption Multiple Order Confirmation message is sent, after the price has been determined, to confirm the execution of all individual orders.

Redemption Multiple Order can be generated by more than one Redemption Multiple Order Confirmation, as the valuation cycle of the financial instruments of each individual order may be different.

When the executing party sends several confirmations, there is no specific indication in the message that it is an incomplete confirmation. Reconciliation must be based on the references.

A Redemption Multiple Order response should be the Redemption Multiple Order Confirmation message(s) and in no circumstances by the Redemption Bulk Order Confirmation message(s).

For all incoming messages, FCIS will be able to set the status of transactions based on the individual 'Order Reference' number. For outgoing messages, the system will be able to generate the confirmation message only after allocation. Transactions will be grouped based on the original Multiple Order Message.

FCIS will allow generation of this message in an automated way (based on certain event that is triggered in the system) or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Redemption Multiple Order Confirmation and its tags in messages.

## 2.26.1 Tags in Messages

This topic provides information on Redemption Multiple Order Confirmation and its tags in messages.

**Message Identification**

**Table 2-67 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Pool Reference**

**Table 2-68 Pool Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

**Related Reference**

**Table 2-69 Related Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Related Reference** | This is the Reference Number to a linked message that was previously sent. | Mandatory |

**Table 2-69 (Cont.) Related Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Reference** | **Incoming**: This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.<br>The confirmation messages will be generated against each Masterreference/ message.<br>**Outgoing**: FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message. | Mandatory |

### Multiple Execution Details

**Table 2-70 Multiple Execution Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Multiple Execution Details** | Specify the details. | Mandatory |
| **Order DateTime** | **Outgoing** – This will be mapped to the transaction save time. | Optional |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | **Outgoing** - The system uses the relevant UDF mapping for this tag. | NA |
| **Individual Execution Details** | This is the individual execution of a subscription order. | (Mandatory / Repetitive) |
| **Order Reference** | **Incoming** - As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.<br>**Outgoing** - This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS. | Mandatory |
| **Deal Reference** | This is a unique number assigned by the confirming party.<br>**Incoming**: This number is used for storage.<br>**Outgoing**: This would map to the Transaction Number generated by the system corresponding to the Order Reference number. | Mandatory |
| **Settlement Amount** | Oracle FLEXCUBE would pass settlement amount of the transaction in this tag. | Optional |
| **Financial Instrument Details** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | **Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Units Number** | **Outgoing**: The allocated units for the transaction. | Mandatory |

**Table 2-70 (Cont.) Multiple Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Amount** | This is the net amount invested in a specific financial instrument by an investor, expressed in the currency requested by the investor.<br>**Outgoing**: This is be settlement amount of the redemption transaction available in the transaction currency. | Mandatory |
| **Gross Amount Indicator** | **Outgoing**: This will be 'true' is the amount is 'Net' else 'false'. | Optional |
| **Transaction DateTime** | This tag provides the transaction date.<br>**Outgoing**: Depending on the UDF mapping, the Transaction Date will be passed. | Mandatory |
| **Value Amount** | **Outgoing**: This will be the allocation price for the transaction. | Mandatory |
| **Partially Executed Indicator** | This indicates whether the order has been partially executed.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |
| **Cum Dividend Indicator** | This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |
| **Foreign Exchange Details** | This is information related to currency exchange or conversion.<br>**Outgoing**: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |
| **Commission General Details** | This indicates the load corresponding to the 'From Entity Type' 'U' and 'To Entity Type' 'F'. | Optional |
| **Total Amount of Commissions** | **Outgoing** – FCIS sends out the value of the load where the 'From Entity Type' is 'U'and 'To Entity Type' is 'F'. | Optional |
| **Commission Details**<br>**Amount** | **Outgoing** – This tag corresponds to the individual Loads under the main U-F load namely, FM and F-A loads. | Mandatory |
| **Rate** | This tag corresponds to the rates of individual Loads under the main U-F load namely, F-M and F-A loads. | Optional |
| **Charge General Details** | This tag corresponds to the sum of all the loads other than the load mentioned in the 'Commission General Details' tag. | Optional |
| **Total Amount of Charges** | **Outgoing**: FCIS sends out the sum f all the loads other than the load mentioned in the 'CommissionGeneralDetails' tag. | Optional |

**Table 2-70 (Cont.) Multiple Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Charge Details**<br>**Type Unstructured or Recipient Identification BIC Or BEI** | **Outgoing**: This would map to the Identification Number of the Load. If BIC is provided, this would map to the corresponding entity's BIC. | Mandatory |
| **Amount** | **Outgoing**: The load amount in terms of the fund base currency. | Mandatory |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Related Party Details** | This is information related to an intermediary. | Optional |
| **Identification Proprietary Identification** | **Outgoing**: Identification of the agent, agency branch, AO or IFA as maintained in FCIS. | Mandatory |
| **Extended Role** | In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA' 'BROKER' or 'AO'. If none of these values are specified, then system will look for the specified entity. An error will be thrown if more than one entity type has the same name. | Optional |

# 2.27 Redemption Multiple Order Cancellation Instruction

This topic provides information on Redemption Multiple Order Cancellation Instruction and its tags in messages.

**Redemption Multiple Order Cancellation Instruction Message**

This message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party.

The Redemption Multiple Order Cancellation Instruction message is used to cancel the entire previously sent order message and all of the individual orders that it contained. There is no amendment, but a cancellation and re-instruct policy.

For all incoming multiple order cancellations, FCIS will be able to process the reversals based on Previous Reference and Individual Order Reference. For outgoing cancellation messages, FCIS will communicate the details of original transaction and not the newly reversed transaction provided the original transaction was handed off to SWIFT. If a transaction has been reversed before, neither of the transactions will be included in the SWIFT message.

A cancellation instruction must always be of the same family of message, i.e., switch, redemption or subscription and bulk or multiple, as the original order to be cancelled.

For outgoing messages, FCIS will always provide the reference of the original message and group cancellations, if multiple transactions of the same batch have been reversed. FCIS will allow generation of this message in an automated way (based on certain event that is triggered in the system) or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Redemption Multiple Order Cancellation Instruction and its tags in messages.

## 2.27.1 Tags in Messages

This topic provides information on Redemption Multiple Order Cancellation Instruction and its tags in messages.

#### Message Identification

**Table 2-71 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

#### Pool Reference

**Table 2-72 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

#### Previous Reference

**Table 2-73 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This is the Reference Number to a linked message that was previously sent. | Mandatory |
| **Reference** | **Incoming**: If FCIS is receives this message, this reference number should be the Message Identification of the original message sent. This will be the link between cancellation message and the bulk order message.<br>If the tag 'Order To Be Cancelled is not provided in the message, the system will identify the transactions to be reversed based on this link, as FCIS would have logged the bulk orders against the Message Identification.<br>**Outgoing**: FCIS will hand off only those reversals for which SWIFT bulk order was sent earlier. | Mandatory |

### Order to be Cancelled

**Table 2-74 Order to be Cancelled**

| Field | Description | Attributes |
|---|---|---|
| **Order to be Cancelled** | This is common information related to all the orders to be cancelled. | NA |
| **Multiple Order Details** | Specify the details. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | **Outgoing** - The system uses the relevant UDF mapping for this tag. | NA |
| **Beneficiary Details** | Specify the details. | Optional |
| **Other Identification Identification** | **Outgoing**: This would map to the Identification Number of the Unit holder. | Mandatory |
| **Other Identification Identification Type** | **Outgoing**: FCIS supports the Passport Number and NRIC as Identification Types. If the Unit Holder is identified differently, the value 'OTHR' would be passed, with the description in the tag AdditionalInformation. | Mandatory |
| **Other Identification Extended Identification Type** | If structured type is OTHR, the description of identification would be provided. E Example, 'Birth Certificate'. Identification other than NRIC and Passport would be passed in extended type with code as Identification Type description. | Optional |
| **Individual Order Details** | Specify the details. | (Mandatory / Repetitive) |
| **Order Reference** | **Incoming**: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.<br>**Outgoing**: This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction. | Mandatory |
| **Financial Instrument Details** | Specify the details. | Mandatory |
| **Identification** | This tag provides details to identify a fund.<br>**Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Choice for Units / Net Amount/Holdings Redemption Rate** | **Outgoing**: Irrespective of the 'GrossOrNet' indicator, amount transactions in FCIS, will be reported in the field 'NetAmt'. However, if the transaction is 'Gross', the same will be additionally reported under the tag 'GrossAmount'.<br>Unit based transactions will be passed under the tag Units.<br>Percentage based transactions will be passed under the Holdings Redemption Rate tag. | Mandatory |
| **Gross Amount** | **Outgoing**:This will map to transaction gross amount in the fund base currency, if available. | Optional |

**Table 2-74 (Cont.) Order to be Cancelled**

| Field | Description | Attributes |
| --- | --- | --- |
| **Foreign Exchange Details** | **Outgoing**: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency**: This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate**: This will be the exchange rate for the transactions | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Cash Settlement Date** | **Incoming/Outgoing**: This will be the Transaction Settlement Date. | Optional |

# 2.28 Request for Order Status Report

This topic provides information on Request for Order Status Report and its tags in messages.

**Request for Order Status Report Message**

The Request For Order Status Report is sent by an instructing party to the executing party. There may be one or more intermediary parties between the instructing party and the executing party.

The Request For Status Report message is used to request the status of

- One or several order messages
- One or several cancellation messages
- One or several individual orders within a order message

If the Request For Order Status Report message is used to request the status of several messages, then the instructing party will receive several reply messages from the executing party, i.e., several Order Instruction Status Report messages and/or Order Cancellation Status Report messages. The number of reply messages will match the number of references stated in the Request For Order Status Report message.

The Request For Status Report message may not be used to request the status of an investment account, a transfer or the status of a financial instrument.

FCIS allows a manual trigger for the Request For Order Status Report. The user has the flexibility to select the references to the previously sent messages of various types, i.e., subscription, redemption, switch and cancellations and individual transactions within the same, if required.

FCIS will generate the Request For Order Status Report message for every reference number selected by the user.

A request for the status for the following is possible:

- Subscription Bulk Order / Multiple Order / Cancellation instructions

- Redemption Bulk Order/ Multiple Order/ Cancellation instructions
- Switch Order / Cancellation instructions

If FCIS is the receiving party of this message, the ‘Order Instruction Status Report’ or ‘Order Cancellation Status Report’, or both, will be generated, depending upon the individual ‘Previous Reference  Reference’.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Request for Order Status Report and its tags in messages.

## 2.28.1 Tags in Messages

This topic provides information on Request for Order Status Report and its tags in messages.

**Request Details**

**Table 2-75 Request Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Request Details** | This is to identify the order(s) for which the status is requested. | Mandatory/ Repetitive |
| **Choice (Other Reference/Previous Reference)** | **Incoming/Outgoing** - FCIS will support the tag ‘PreviousReference’ for incoming and outgoing messages. | Mandatory |
| **Previous Reference Reference** | **Incoming**: If the tag ‘IndividualOrderReference’ is not provided, the system will use this reference to identify the transactions for which status message is requested. This will be the MessageIdentification number of the original bulk / multiple / cancellation order request.<br>**Outgoing**: This will be the individual MessageIdentification number selected by the user from the online option. | Mandatory |
| **Individual Order Reference** | **Incoming**: If the individual order references are provided, the system will generate the reply message corresponding to the transaction number for this order reference.<br>**Outgoing**: This will be the OrderReference numbers corresponding to the transactions selected by the user for status request. | Optional/Repetitive |

# 2.29 Order Instruction Status Report

This topic provides information on Order Instruction Status Report.

**Order Instruction Status Report Message**

The Order Instruction Status Report is sent by an executing party to an instructing party. There may be one or more intermediary parties between the executing party and the instructing party.

The Order Instruction Status Report message is sent by an executing party to the instructing party to report on the status of a subscription, redemption or a switch order. The message can be used to report one of the following:

- Status of the order instruction (using a code). For example, ‘Accepted’, ‘Already Executed’
- Cancelled status
- Conditionally accepted status
- Rejected status
- Suspended status
- In repair status (individual orders only)
- Repaired conditions (individual orders only)

Further information about the repair, unmatched, rejected or pending settlement statuses must be specified using either codes or unstructured information.

For subscription and redemption orders, this message covers both bulk and multiple categories of orders, and this message may provide the status either at the bulk or at the individual level. For a switch order, however, the message provides the status of the whole order. It is not possible to accept one leg and to reject the other leg. The entire switch order has to be rejected. In order to identify which leg within the switch is causing a problem, the switch order leg identification is used.

FCIS will receive the ‘Order Instruction Status Report’ in response to ‘Request For Order Status’ message generated. This information will be used to set the status of individual orders. FCIS will generate the ‘Order Instruction Status Report’ in response to the ‘Request For Order Status’ message received, provided the Message Identification number communicated to FCIS in the tag Previous Reference relates to bulk / multiple or switch order, as cancellation is reported through a different message.

For Switch order responses, FCIS will reply with the status under the Order Details Report section as it is not possible to accept one leg of the switch and reject another leg. For other orders, FCIS will reply with the status under Individual Order Details Report section. However, if the original message has been suppressed or has not been processed, FCIS will report the failure under the section Order Details Report  Suspended.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Order Instruction Status Report and its tags in messages.

## 2.29.1 Tags in Messages

This topic provides information on Order Instruction Status Report and its tags in messages.

**Choice (Other Reference/Previous Reference)**

**Table 2-76 Choice (Other Reference/Previous Reference)**

| Field | Description | Attributes |
| --- | --- | --- |
| **Choice (Other Reference/Previous Reference)** | Specify the details | Mandatory |

**Table 2-76 (Cont.) Choice (Other Reference/Previous Reference)**

| Field | Description | Attributes |
|---|---|---|
| **Reference** | **Incoming** - FCIS will support the tag '**Previous Reference Reference**' communicated in the message 'Request For Order Status'. This number will be used to set the status of underlying transactions if the individual order details are not reported.<br>**Outgoing** - FCIS will support the tag '**Previous Reference Reference**' communicated in the message 'Request For Order Status'. This will be the 'Message Identification' number of the original cancellation order. | Mandatory |

### Message Identification

**Table 2-77 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

### Choice (Order Details Report - Mandatory / Individual OrderDetails Report - Mandatory / Repetitive)

**Table 2-78 Choice (Order Details Report - Mandatory / Individual OrderDetails Report - Mandatory / Repetitive)**

| Field | Description | Attributes |
|---|---|---|
| **Choice (Order Details Report - Mandatory / Individual OrderDetails Report - Mandatory / Repetitive)** | If the OrderDetailsReport section is provided in the message, FCIS will use the status reported in this section in conjunction with the RelatedReference to set the status of underlying transactions. On the other hand, if the section IndividualOrderDetailsReport is provided, FCIS will use the OrderReference to track the order status.<br>**Incoming**: Only status tracking will happen. FCIS will not track the reason for rejection, if any.<br>**Outgoing**: FCIS supports the reporting of the following statuses under IndividualOrderDetailsReport:<br>• **Status**: COSE (Transaction is allocated in the system)<br>• **Status**: PACK (Transaction is generated in the system but not allocated)<br>• **Cancelled**: DataSourceScheme (Transaction allocation failed and failure reason)<br>• **Rejected**: DataSourceScheme (Transaction generation failed and failure reason)<br>• **Suspended**: NoReason (NORE) | Mandatory |

**Table 2-78 (Cont.) Choice (Order Details Report - Mandatory / Individual OrderDetails Report - Mandatory / Repetitive)**

| Field | Description | Attributes |
|---|---|---|
| **Order Reference** | **Incoming**: FCIS will track the status for the transaction number generated corresponding to this order reference.<br>**Outgoing**: This is the Order Reference number corresponding to the transaction number for which status is getting reported. | Mandatory |

# 2.30 Order Cancellation Status Report

This topic provides information on Order Cancellation Status Report.

**Order Cancellation Status Report Message**

The Order Cancellation Status Report is sent by an executing party to the instructing party. There may be one or more intermediary parties between the executing party and the instructing party.

The Order Cancellation Status Report message is used to report the status of an order cancellation instruction message that was previously sent by the instructing party. The message can be used to report that the cancellation has either been acted upon or has been rejected.

**Incoming**: FCIS will receive the 'Order Cancellation Status Report' in response to the 'Request For Order Status' if the Previous Reference tag has reference to the order cancellation message. This information would be used to set the status of individual orders.

**Outgoing**: FCIS will generate the 'Order Cancellation Status Report' in response to the 'Request For Order Status' message received, provided the Message Identification number communicated to FCIS in the Previous Reference tag relates to bulk / multiple or switch order cancellation.

> **Note**
>
> FCIS will generate one cancellation status message for every transaction that has been cancelled as a result of the cancellation instruction.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Order Cancellation Status Report and its tags in messages.

## 2.30.1 Tags in Messages

This topic provides information on Order Cancellation Status Report and its tags in messages.

**Choice (Other Reference/Related Reference)**

**Table 2-79 Choice (Other Reference/Related Reference)**

| Field | Description | Attributes |
|---|---|---|
| **Choice (Other Reference/Related Reference)** | FCIS supports both, repetitive tags to pass the related reference, and the order reference. | |
| **Reference - Iteration 1** | **Incoming** - FCIS will support the tag ‘**Previous Reference Reference**’ communicated in the message ‘Request For Order Status’. This number will be used to set the status of underlying transactions if the individual order details are not reported.<br>**Outgoing** - FCIS will support the tag ‘**Previous Reference Reference**’ communicated in the message ‘Request For Order Status’. This will be the ‘Message Identification’ number of the original cancellation order. | Mandatory |
| **Reference - Iteration 2** | **Incoming** – The status of individual order references is communicated to FCIS in the second iteration. The status will be tracked for the transaction generated by the system corresponding to this reference number.<br>**Outgoing** – This is the Order Reference number corresponding to the transaction number, for which the status is getting reported. | Optional |

**Cancellation Status Report (Status / Rejected)**

**Table 2-80 Cancellation Status Report (Status / Rejected)**

| Field | Description | Attributes |
|---|---|---|
| **Cancellation Status Report (Status / Rejected)** | **Incoming**: Only status tracking will happen. FCIS will not track reasons for rejections, if any.<br>**Outgoing**: Following are the cases possible for reversal a transaction:<br>• **Transaction is reversed and allocated**: Will be reported under Status with code ‘CAND’<br>• **Transaction is reversed and not allocated**: Will be reported under Status with code ‘CANP’<br>• **Transaction reversal failed**: The FCIS error code will be reported under **Rejected Data Source Scheme Identification** | Mandatory |

# 2.31 Switch Order

This topic provides information on Switch Order and its tags in messages.

**Switch Order Message**

The Switch Order message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party.

The Switch Order message is used when the instructing party, i.e., an investor, wants to change its investments within the same fund family according to the terms of the prospectus.

FCIS supports one to one switch transactions for incoming requests. The ‘To Fund’ information will be taken from Subscription Leg Details.

For outgoing messages, switch transactions will be communicated in separate legs for redemption and subscription. FCIS will allow the generation of this message in an automated way (based on a certain event that is triggered in the system) or manually.

If the AMC of the ‘From Fund’ and ‘To Fund’ are different; system will generate a pseudo switch transaction. In other cases system will generate a normal switch transaction.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Switch Order and its tags in messages.

## 2.31.1 Tags in Messages

This topic provides information on Switch Order and its tags in messages.

**Message Identification**

**Table 2-81 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Pool Reference**

**Table 2-82 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |

**Table 2-82 (Cont.) Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

### Switch Order Details

**Table 2-83 Switch Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Switch Order Details** | This is information related to the switch order. | Mandatory |
| **Order Reference** | This is a unique identifier for an order, as assigned by the instructing party.<br>**Incoming**: This will be stored as part of SWIFT transaction log with corresponding FCIS transaction number.<br>**Outgoing**: This will be the Transaction Number generated by FCIS. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Identification Proprietary Identification** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>**Incoming**: The system uses the relevant UDF mapping for this tag.<br>**Outgoing** - The system uses the relevant UDF mapping for this tag. | NA |
| **Redemption Leg Details** | Specify the details. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify the 'Switch From' fund. | Mandatory |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.<br>**Incoming**: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.<br>**Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Financial Instrument Quantity Choice** | This is to identify the quantity represented in amount / units to switch from a fund.<br>FCIS would support the following elements:<br>• Units Number Unit<br>• Net Amount<br>• Holdings Redemption Rate | Mandatory |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing** : This indicator will depend on whether or not fund is scrip based. | NA |

**Table 2-83 (Cont.) Switch Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Subscription Leg Details** | Specify the details. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify the 'Switch To' fund. | Mandatory |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.<br>**Incoming**: FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag.<br>**Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Financial Instrument Quantity Choice** | This is to identify the quantity represented in amount / units to switch into a fund.<br>Outgoing: FCIS will pass the value '0' under the relevant redemption leg tag. | Mandatory |
| **Commission Details**<br>**Choice for Amount/ Rate** | Incoming - If the 'Amt' is provided and the Load concerned is amount load, then this indicates the overridden value. However, if the field is 'Rate' is provided and the load concerned is percent load then this indicates the overridden value. | Mandatory |
| **Waiving Details** | This tag represents the override percentage that the system will apply. The value provided in this field will be ignored if 'Amount' or 'Rate' tags are provided since the values provided for those tags represent the final value. | Optional |
| **Instruction Basis** | This tag can have the value WICA. However the system will not use this value for any processing and hence will be ignored. | Mandatory |
| **Waived Rate** | This field provides the discount percentage. This is applicable only for percentage based loads. The override is by discount. | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing** - This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Foreign Exchange Details** | This is information related to currency exchange or conversion<br>Incoming: If the Transaction Currency is different from the Fund Base currency, FCIS will use the information provided to override the exchange rate. The Exchange Rate Source will be defaulted from the Bulk Transaction Maintenance for the bulk client 'SWIFT'.<br>Outgoing: If the transaction is a cross currency transaction, the exchange rate details will be provided in the message.<br>The following sub tags are mandatory:<br>• **Unit Currency** : This will be the transaction currency<br>• **Quoted Currency**: This will be the fund base currency<br>• **Exchange Rate** : This will be the exchange rate for the transactions | Optional |

**Table 2-83 (Cont.) Switch Order Details**

| Field | Description | Attributes |
|---|---|---|
| **Related Party Details** | This is information related to an intermediary. | Optional |
| **Identification** | FCIS supports identification based on the following tags:<br>• BIC Or BEI<br>• ProprietaryIdentification<br>If BIC is provided, the system will get either the Broker BIC or the Entity BIC based on the client country parameter 'TXNBROKERS'. If ProprietaryIdentification is provided, the value provided in this field should be a valid Entity Id or Broker Id in the system based on the client country parameter 'TXNBROKERS'. | Mandatory |
| **Extended Role** | In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA' 'BROKER'or 'AO'. If none of these values are specified, then system will look for the specified entity. An error will be thrown if more than one entity type has the same name. | Optional |

# 2.32 Switch Order Confirmation

This topic provides information on Switch Order Confirmation and its tags in messages.

**Switch Order Confirmation Message**

The Switch Order Confirmation message is sent by an executing party to an instructing party. There may be one or more intermediary parties between the executing party and the instructing party. The Switch Order Confirmation message is sent only once to confirm that all the legs of the switch have been executed.

For all incoming messages, FCIS will be able to set the status of transactions based on the individual 'Order Reference' number. For an outgoing message, the system will be able to generate the confirmation message only after allocation.

FCIS will allow generation of this message in an automated way (based on a certain event that is triggered in the system) or manually.

If the AMC of the 'From Fund' and 'To Fund' are different; system will generate a pseudo switch transaction. In other cases system will generate a normal switch transaction.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Switch Order Confirmation and its tags in messages.

## 2.32.1 Tags in Messages

This topic provides information on Switch Order Confirmation and its tags in messages.

### Message Identification

**Table 2-84 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

### Pool Reference

**Table 2-85 Pool Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

### Related Reference

**Table 2-86 Related Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Related Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | **Incoming** - This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.<br>**Outgoing**: FCIS will send the original 'Message Identification' number for the external system to establish the relation between original bulk order message and confirmation message. | Mandatory |

### Switch Execution Details

**Table 2-87 Switch Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Switch Execution Details** | This is general information related to the execution of a switch transaction. | Mandatory |
| **Deal Reference** | This is a unique number assigned by the confirming party.<br>**Incoming**: This number is used for storage<br>**Outgoing**: This would map to the Transaction Number generated by the system corresponding to the Order Reference number. | Mandatory |
| **Order Reference** | **Incoming**: As this would be the Transaction Number handed off in the original message, FCIS will set the Order Status to 'Confirmed' depending on the Order Reference number communicated.<br>**Outgoing**: This will be mapped to the incoming 'OrderReference' corresponding to the transaction number that was allotted successfully by FCIS. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Identification Proprietary Identification** | **Outgoing** - The system uses the relevant UDF mapping for this tag. | NA |
| **Resulting CashOut** | The value will be 0 since the system does not support difference in sub amount and red amount in switch. | NA |
| **Redemption Leg Details** | Specify the details. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify the 'Switch From' fund. | NA |
| **Units Number Unit** | **Outgoing** – The allocated units for the switch out leg of the transaction. | Mandatory |
| **Amount** | This is the net amount of the switch out transaction in the currency requested by the investor.<br>**Outgoing** : The system will compute the net amount in transaction currency for transaction getting confirmed. | NA |
| **Trade DateTime** | This is a choice between Date and DateTime.<br>**Outgoing**: Depending on the UDF mapping, the Transaction Date / Transaction Time will be passed. | NA |
| **Price Details** | This is the price at which order was executed. | NA |
| **Value Amount** | Outgoing – This will be the allocation price of the 'Switch From' fund. | NA |
| **Cum Dividend Indicator** | This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.<br>**Outgoing**: This will be defaulted to 'NO'. | NA |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing** : This indicator will depend on whether or not fund is scrip based. | NA |
| **Subscription Leg Details** | Specify the details. | Mandatory |

**Table 2-87 (Cont.) Switch Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Financial Instrument Details** | This tag provides details to identify the 'Switch To' fund. | Mandatory |
| **Identification** | **Outgoing**: FCIS sends out the fund ISIN for the 'Switch To' fund. | Mandatory |
| **Units Number Unit** | **Outgoing** – The allocated units for the switch out leg of the transaction. | Mandatory |
| **Amount** | This is the net amount of the switch out transaction in the currency requested by the investor.<br>**Outgoing**: The system will compute the net amount in transaction currency for transaction getting confirmed. | Mandatory |
| **Trade DateTime** | This is a choice between Date and DateTime.<br>**Outgoing**: Depending on the UDF mapping, the Transaction Date / Transaction Time will be passed. | Mandatory |
| **Dealing Price Details** | This is the price at which order was executed. | Mandatory |
| **Price Details Extended Type** | **Outgoing** – FCIS will support the code 'OTHR' only. | Mandatory |
| **Value Amount** | **Outgoing** – This will be the allocation price of the 'Switch From' fund. | Mandatory |
| **Cum Dividend Indicator** | This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend.<br>**Outgoing**: This will be defaulted to 'NO'. | Mandatory |
| **Commission Details**<br>**Choice for Amount/ Rate** | Incoming - If the 'Amt' is provided and the Load concerned is amount load, then this indicates the overridden value. However, if the field is 'Rate' is provided and the load concerned is percent load then this indicates the overridden value. | Mandatory |
| **Waiving Details** | This tag represents the override percentage that the system will apply. The value provided in this field will be ignored if 'Amount' or 'Rate' tags are provided since the values provided for those tags represent the final value. | Optional |
| **Instruction Basis** | This tag can have the value WICA. However the system will not use this value for any processing and hence will be ignored. | Mandatory |
| **Waived Rate** | This field provides the discount percentage. This is applicable only for percentage based loads. The override is by discount. | Optional |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing** - This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Related Party Details** | This is information related to an intermediary. | Optional |

**Table 2-87 (Cont.) Switch Execution Details**

| Field | Description | Attributes |
|---|---|---|
| **Identification** | FCIS supports identification based on the following tags:<br>• BIC Or BEI<br>• ProprietaryIdentification<br>If BIC is provided, the system will get either the Broker BIC or the Entity BIC based on the client country parameter 'TXNBROKERS'. If ProprietaryIdentification is provided, the value provided in this field should be a valid Entity Id or Broker Id in the system based on the client country parameter 'TXNBROKERS'. | Mandatory |
| **Extended Role** | In case of entity, the values provided in this field can be 'AGENT', AGENCY BRANCH', 'IFA' 'BROKER'or 'AO'. If none of these values are specified, then system will look for the specified entity. An error will be thrown if more than one entity type has the same name. | Optional |

# 2.33 Switch Order Cancellation Instruction

This topic provides information on Switch Order Cancellation Instruction and its tags in messages.

**Switch Order Cancellation Instruction Message**

The Switch Order Cancellation Instruction message is sent by an instructing party to an executing party. There may be one or more intermediary parties between the instructing party and the executing party.

The Switch Order Cancellation Instruction message is used to cancel the entire previously sent order message and all the individual legs that it contained. There is no amendment, but a cancellation and re-instruct policy.

For incoming Switch order cancellations, FCIS will process the reversals based on the tags Previous Reference or Cancellation ByOrder Details  Switch Order Details  Order Reference.

FCIS will allow generation of this message in an automated way (based on a certain event that is triggered in the system) or manually.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Switch Order Cancellation Instruction and its tags in messages.

## 2.33.1 Tags in Messages

This topic provides information on Switch Order Cancellation Instruction and its tags in messages.

**Message Identification**

**Table 2-88 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Reference** | **Incoming**: This number is used for storage and reference.<br>**Outgoing**: This will be generated by the system and will be unique for group of transactions in a fund. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Pool Reference**

**Table 2-89 Pool Reference**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming**: This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |

**Previous Reference**

**Table 2-90 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | **Incoming** - This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message.<br>FCIS will always communicate cancellations through Cancellation By Order Details  Switch Order Details Order Reference. | Mandatory |

### Order to be Cancelled

**Table 2-91 Order to be Cancelled**

| Field | Description | Attributes |
| --- | --- | --- |
| **Order to be Cancelled** | This is common information related to all the orders to be cancelled. | NA |
| **Switch Order Details** | Specify the details. | Mandatory |
| **Order Reference** | **Incoming**: The system will internally trigger a transaction reversal based on the transaction number logged earlier, corresponding to this order reference.<br>**Outgoing**: This will be the Transaction Number of original transaction, corresponding to the newly reversed transaction. | Mandatory |
| **Investment Account Details** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | **Outgoing** - The system uses the relevant UDF mapping for this tag. | NA |
| **Redemption Leg Details** | Specify the details. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify the fund. | NA |
| **Identification** | **Outgoing**: FCIS sends out the 'Switch From' fund ISIN. | Mandatory |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |
| **Subscription Leg Details** | Specify the details. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify the 'Switch To' fund. | Mandatory |
| **Identification** | Outgoing: FCIS sends out the fund ISIN for the 'Switch To' fund. | Mandatory |
| **Physical Delivery Indicator** | This tag indicates whether or not the financial instrument is to be physically delivered.Outgoing: This indicator will depend on whether or not fund is scrip based.<br>**Outgoing**: This indicator will depend on whether or not fund is scrip based. | Mandatory |

## 2.34 Transfer Out Instruction

This topic provides information on Transfer Out Instruction and its tags in messages.

### Transfer Out Instruction Message

An instructing party, for instance, an investment manager or its authorised representative, sends the TransferOutInstruction message to the executing party, say, a transfer agent, to instruct the delivery of a financial instrument, free of payment, on a given date from a specified party. This message may also be used to instruct the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer Out Instruction and its tags in messages.

## 2.34.1 Tags in Messages

This topic provides information on Transfer Out Instruction and its tags in messages.

**Message Identification**

**Table 2-92 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Master Reference**

**Table 2-93 Master Reference**

| Field | Description | Attributes |
|---|---|---|
| **Master Reference** | It is the unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together. | Mandatory |

**Transfer Details**

**Table 2-94 Transfer Details**

| Field | Description | Attributes |
|---|---|---|
| **Transfer Details** | This is general information related to the transfer of a financial instrument. | Mandatory |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |
| **Client Reference** | Specify the details. | Optional |
| **Reference Reference Issuer Message Name** | Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client. | NA |
| **Reference** | It is the reference issued by a party to identify an instruction, transaction or a message. | Mandatory |
| **Reference Issuer** | It is the issuer of the reference. | Optional |
| **Message Name** | It is the name of the message. | Optional |
| **Counterparty Reference** | Specify the details. | Optional |
| **Reference Reference Issuer Message Name** | It is the unambiguous identification of the transfer allocated by the counterparty. | NA |
| **Reference** | It is the reference issued by a party to identify an instruction, transaction or a message. | Mandatory |

**Table 2-94 (Cont.) Transfer Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Reference Issuer** | Specify the details. | Optional |
| **Reference Issuer Party** | It is the issuer of the reference. | NA |
| **Party** | Specify the details. | Mandatory |
| **Party Any BIC** | It is the unique identification of the party. | NA |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Message Name** | It is the name of the message. | Optional |
| **Business Flow Type** | It identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process). | Mandatory |
| **Own Account Transfer Indicator** | It Indicates whether the transfer results in a change of beneficial owner. | Mandatory |

### Financial Instrument Details

**Table 2-95 Financial Instrument Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Financial Instrument Details** | This tag provides details to identify a fund. | NA |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag. | Mandatory |
| **ISIN** | This specifies International Securities Identification Number (ISIN). | Mandatory |
| **Quantity** | Specify the details. | Mandatory |
| **Quantity Total Units Number Transfer Rate** | Total quantity of securities to be transferred, expressed in a number of units or a percentage rate. | NA |
| **Total Units Number** | This is the total number of investment fund class units that have been issued. Total quantity of securities to be transferred. | Mandatory |
| **Transfer Rate** | This is the quantity of securities to be transferred as a percentage of the holding. | Mandatory |
| **Unit** | The allocated units for the transaction. | Mandatory |

### Account Details

**Table 2-96 Account Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Account Details** | This tag is to identify an investor’s account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number | Mandatory |

**Table 2-96 (Cont.) Account Details**

| Field | Description | Attributes |
|---|---|---|
| **Owner Identification** | It is the party that legally owns the account. | Optional |
| **Party** | Specify the details | Mandatory |
| **Party Any BIC** | It is the unique identification of the party. | NA |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Account Identification** | Specify the details | Mandatory |
| **Account Identification Proprietary Identification** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>The system uses the relevant UDF mapping for this tag. | NA |
| **Account Servicer** | Specify the details | NA |
| **Party Any BIC** | It is the institution that maintains the records where the account is held. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |

### Settlement Details

**Table 2-97 Settlement Details**

| Field | Description | Attributes |
|---|---|---|
| **Settlement Details** | Information related to the receiving side of the transfer | NA |
| **Transferee** | Specify the details | Optional |
| **Party Any BIC** | It is the party that receives (transferee) securities from the delivering agent (transferor). | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Transferee Registered Account** | It is the account into which the securities are to be received. | Optional |
| **Identification** | It is the unique and unambiguous identification for the account between the account owner and the account servicer. | Optional |
| **Servicer** | Specify the details | Optional |
| **Party Any BIC** | It is the institution that maintains the records where the account is held. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Settlement Parties Details** | Chain of parties involved in the settlement of a transaction | NA |
| **Receiver Details** | Specify the receiver details. Alternatively, you can select receiver details from the option list. The list displays all valid receiver details code maintained in the system. Party that buys goods or services, or a financial instrument. | Optional |
| **Account Identification** | This tag is used to identify an account. | Mandatory |

**Table 2-97 (Cont.) Settlement Details**

| Field | Description | Attributes |
|---|---|---|
| **Receiving Agent Details** | Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository. | Optional |
| **BIC Or BEI** | Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)". | NA |

# 2.35 Transfer Out Confirmation

This topic provides information on Transfer Out Confirmation and its tags in messages.

**Transfer Out Confirmation Message**

This message may also be used to confirm the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

The TransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the delivery of a financial instrument, free of payment, on a given date, to a specified party.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer Out Confirmation and its tags in messages.

## 2.35.1 Tags in Messages

This topic provides information on Transfer Out Confirmation and its tags in messages.

**Message Identification**

**Table 2-98 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | It is the reference that uniquely identifies the message from a business application standpoint. | Mandatory |
| **Identification** | It is the identification of the message. | Mandatory |
| **Creation Date Time** | It is the date of creation of the message. | Mandatory |
| **Master Reference** | It is the unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together. | NA |

### Transfer Details

**Table 2-99 Transfer Details**

| Field | Description | Attributes |
|---|---|---|
| **Transfer Details** | It is the general information related to the transfer of the financial instrument. | Mandatory |
| **Transfer Confirmation Reference** | It is the unique and unambiguous identifier for the transfer execution, as assigned by the confirming party. | Mandatory |
| **Transfer Reference** | It is the unique and unambiguous identifier for the transfer instruction, as assigned by the instructing party. | Mandatory |
| **Counterparty Reference** | It is the unambiguous identification of the transfer allocated by the counterparty. | Optional |
| **Reference** | It is the reference issued by a party to identify an instruction, transaction or a message. | Mandatory |
| **Reference Issuer** | Specify the details. | Optional |
| **Party Any BIC** | It is the issuer of the reference. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Business Flow Type** | It identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process). | Optional |
| **Effective Transfer Date** | Specify the details. | Mandatory |
| **Effective Transfer Date Date DateTime** | It is the date and time at which the transfer was executed. | Mandatory |
| **Date** | It is the specified date. | Mandatory |
| **DateTime** | It is the specified date and time. | Mandatory |

### Financial Instrument Identification

**Table 2-100 Financial Instrument Identification**

| Field | Description | Attributes |
|---|---|---|
| **Financial Instrument Identification** | Specify the details. | Mandatory |
| **Financial Instrument Details Identification ISIN** | It is the information related to the financial instrument transferred. | NA |
| **Identification** | It is the identification of a security by an ISIN. | Mandatory |
| **ISIN** | This specifies International Securities Identification Number (ISIN). | Mandatory |
| **Total Units Number** | It is the number of units transferred. | Mandatory |
| **Own Account Transfer Indicator** | It indicates whether the transfer results in a change of beneficial owner. | Optional |

### Account Details

**Table 2-101 Account Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Account Details** | It is the information related to the account from which the financial instrument was withdrawn. | Mandatory |
| **Owner Identification** | Specify the details. | Optional |
| **Party AnyBIC** | It is the party that legally owns the account. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Account Identification** | It is the unique and unambiguous identification for the account between the account owner and the account servicer. | Mandatory |
| **Account Servicer** | Specify the details. | Optional |
| **Party AnyBIC** | It is the institution that maintains the records where the account is held. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |

### Settlement Details

**Table 2-102 Settlement Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Settlement Details** | It is the information related to the receiving side of the transfer. | Optional |
| **Transferee** | Specify the details. | Optional |
| **Party AnyBIC** | It is the party that receives (transferee) securities from the delivering agent (transferor). | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Transferee Registered Account** | It is the account into which the securities are to be received. | Optional |
| **Identification** | It is the unique and unambiguous identification for the account between the account owner and the account servicer. | Optional |
| **Servicer** | Specify the details. | Optional |
| **Party AnyBIC** | It is the institution that maintains the records where the account is held. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC.<br>**Note**:<br>• Order status will be marked as completed post the generation of Transfer In and Transfer Out confirmation.<br>• For the generation of transfer OUT and IN confirmation messages without any dependency, the event code BEAUTOOUT can be used. | Mandatory |

# 2.36 Transfer Out Cancellation Request

This topic provides information on Transfer Out Cancellation Request and its tags in messages.

**Transfer Out Cancellation Request Message**

The TransferOutCancellationRequest message is used to request cancellation of a previously sent TransferOutInstruction.

There are two ways to specify the transfer cancellation request. Either:

- the transfer reference of the original transfer is quoted, or,
- all the details of the original transfer (this includes TransferReference) are quoted but this is not recommended.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer Out Cancellation Request and its tags in messages.

## 2.36.1 Tags in Messages

This topic provides information on Transfer Out Cancellation Request and its tags in messages.

**Message Identification**

**Table 2-103 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Previous Reference**

**Table 2-104 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message. | Mandatory |
| **Message Name** | Name of the message | Optional |

**References**

**Table 2-105 References**

| Field | Description | Attributes |
|---|---|---|
| **References** | This number is used for storage and reference. | Mandatory |
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message. | Mandatory |

**Cancellation By Reference**

**Table 2-106 Cancellation By Reference**

| Field | Description | Attributes |
|---|---|---|
| **Cancellation By Reference** | Reference of the transfer instruction to be cancelled. | NA |

**Transfer References**

**Table 2-107 Transfer References**

| Field | Description | Attributes |
|---|---|---|
| **Transfer References** | Reference of the transfer to be cancelled | Mandatory |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |

# 2.37 Transfer Out Confirmation Request

This topic provides information on Transfer Out Confirmation Request and its tags in messages.

**Transfer Out Confirmation Request Message**

The TransferOutConfirmation message is used to confirm the withdrawal of a financial instrument from the owner's account and its delivery to another own account, or to a third party, has taken place. The reference of the transfer confirmation is identified in TransferConfirmationReference.

The reference of the original transfer instruction is specified in TransferReference. The message identification of the TransferOutInstruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer Out Confirmation and its tags in messages.

## 2.37.1 Tags in Messages

This topic provides information on Transfer Out Confirmation and its tags in messages.

**Message Identification**

**Table 2-108 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Related Reference**

**Table 2-109 Related Reference**

| Field | Description | Attributes |
|---|---|---|
| **Related Reference** | This is the reference to a linked message that was previously received. | Mandatory |
| **Reference** | Message identification of a message. This reference was assigned by the party issuing the message. | Mandatory |
| **Message Name** | Name of the message | Optional |

**Transfer Details**

**Table 2-110 Transfer Details**

| Field | Description | Attributes |
|---|---|---|
| **Transfer Details** | General information related to the transfer of a financial instrument. | Mandatory |

**Transfer Confirmation Reference**

**Table 2-111 Transfer Confirmation Reference**

| Field | Description | Attributes |
|---|---|---|
| **Transfer Confirmation Reference** | Unique and unambiguous identifier for a transfer execution, as assigned by a confirming party. | Mandatory |

### Transfer Reference

**Table 2-112 Transfer Reference**

| Field | Description | Attributes |
|---|---|---|
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |
| **Effective Transfer Date** | Date and time at which the transfer was executed. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | NA |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag. | Mandatory |
| **Total Units Number** | This is the total number of investment fund class units that have been issued. | Optional |

### Account Details

**Table 2-113 Account Details**

| Field | Description | Attributes |
|---|---|---|
| **Account Details** | This tag is to identify an investor's account. However, in case of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number. | Mandatory |
| **Account Identification** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>The system uses the relevant UDF mapping for this tag. | NA |

### Settlement Details

**Table 2-114 Settlement Details**

| Field | Description | Attributes |
|---|---|---|
| **Settlement Details** | Information related to the receiving side of the transfer | NA |
| **Settlement Parties Details** | Chain of parties involved in the settlement of a transaction | NA |
| **Receiver Details** | Specify the receiver details. Alternatively, you can select receiver details from the option list. The list displays all valid receiver details code maintained in the system.<br>Party that buys goods or services, or a financial instrument. | Optional |
| **Account Identification** | Specify the details. | Mandatory |
| **Receiving Agent Details** | Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository. | Optional |

**Table 2-114 (Cont.) Settlement Details**

| Field | Description | Attributes |
|---|---|---|
| **BIC Or BEI** | Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)". | |

# 2.38 Reversal of Transfer Out Confirmation

This topic provides information on Reversal Of Transfer Out Confirmation and its tags in messages.

**Reversal Of Transfer Out Confirmation Message**

The ReversalOfTransferOutConfirmation message is used to reverse a previously sent TransferOutConfirmation.

There are two ways to specify the reversal of the transfer out confirmation. Either:

- the business references, for instance, TransferReference, TransferConfirmationIdentification, of the transfer confirmation are quoted, or,
- all the details of the transfer confirmation (this includes TransferReference and TransferConfirmationIdentification) are quoted but this is not recommended.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Reversal of Transfer Out Confirmation and its tags in messages.

## 2.38.1 Tags in Messages

This topic provides information on Reversal of Transfer Out Confirmation and its tags in messages.

**Message Identification**

**Table 2-115 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |
| **References** | This number is used for storage and reference. | Mandatory |
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |

**Table 2-115 (Cont.) Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Reference** | This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message. | Mandatory |
| **Message Name** | Name of the message. | Optional |

### Previous Reference

**Table 2-116 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message. | Mandatory |
| **Message Name** | Name of the message. | Optional |

## 2.39 Transfer In Instruction

This topic provides information on Transfer In Instruction and its tags in messages.

### Transfer In Instruction Message

This message may also be used to instruct the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

This message may also be used as an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer In Instruction and its tags in messages.

## 2.39.1 Tags in Messages

This topic provides information on Transfer In Instruction and its tags in messages.

**Message Identification**

**Table 2-117 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |
| **Transfer Details** | This is general information related to the transfer of a financial instrument. | Mandatory |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |

**Financial Instrument Details**

**Table 2-118 Financial Instrument Details**

| Field | Description | Attributes |
|---|---|---|
| **Financial Instrument Details** | This tag provides details to identify a fund. | NA |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag. | Mandatory |
| **Total Units Number** | Name of the messageThis is the total number of investment fund class units that have been issued. | Optional |
| **Unit** | The allocated units for the transaction. | Mandatory |

**Account Details**

**Table 2-119 Account Details**

| Field | Description | Attributes |
|---|---|---|
| **Account Details** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number | Mandatory |

### Account Identification

**Table 2-120 Account Identification**

| Field | Description | Attributes |
|---|---|---|
| **Account Identification** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>The system uses the relevant UDF mapping for this tag. | Mandatory |
| **Settlement Details** | Information related to the receiving side of the transfer | NA |
| **Settlement Parties Details** | Chain of parties involved in the settlement of a transaction | NA |
| **Receiver Details** | Specify the receiver details. Alternatively, you can select receiver details from the option list.<br>The list displays all valid receiver details code maintained in the system. | Optional |
| **Receiving Agent Details** | Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository. | Optional |
| **BIC Or BEI** | Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)". | NA |

### Message Identification

**Table 2-121 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

### Transfer Details

**Table 2-122 Transfer Details**

| Field | Description | Attributes |
|---|---|---|
| **Transfer Details** | This is general information related to the transfer of a financial instrument. | Mandatory |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | NA |

**Table 2-122 (Cont.) Transfer Details**

| Field | Description | Attributes |
|---|---|---|
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag. | Mandatory |
| **Account Servicer** | This is Institution that maintains the records where the account is held. | NA |

### Quantity

**Table 2-123 Quantity**

| Field | Description | Attributes |
|---|---|---|
| **Quantity** | This tag provides the total quantity of securities to be transferred | NA |
| **Total Units Number** | This is the total number of investment fund class units that have been issued. | Optional |

### Account Details

**Table 2-124 Account Details**

| Field | Description | Attributes |
|---|---|---|
| **Account Details** | This tag is to identify an investor’s account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number | Mandatory |

### Account Identification

**Table 2-125 Account Identification**

| Field | Description | Attributes |
|---|---|---|
| **Account Identification** | Sepcify the details | Mandatory |
| **Account Identification Proprietary Identification** | This tag is to identify an investor’s account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>The system uses the relevant UDF mapping for this tag. | NA |

### Settlement Details

**Table 2-126 Settlement Details**

| Field | Description | Attributes |
|---|---|---|
| **Settlement Details** | Information related to the receiving side of the transfer | NA |

**Table 2-126 (Cont.) Settlement Details**

| Field | Description | Attributes |
|---|---|---|
| **Settlement Parties Details** | Chain of parties involved in the settlement of a transaction | NA |
| **Deliverer Details** | Party that sells goods or services, or a financial instrument. | NA |
| **Account Identification** | Unique and unambiguous identification for the account between the account owner and the account servicer. | NA |
| **Receiver Details** | Specify the receiver details. Alternatively, you can select receiver details from the option list.<br>The list displays all valid receiver details code maintained in the system. | Optional |
| **Receiving Agent Details** | Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository. | Optional |
| **BIC Or BEI** | Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)". | NA |

# 2.40 Transfer In Cancellation Request

This topic provides information on Transfer In Cancellation Request and its tags in messages.

**Transfer In Cancellation Request Message**

The TransferInCancellationRequest message is used to request cancellation of a previously sent TransferInInstruction.

There are two ways to specify the transfer cancellation request. Either:

- the transfer reference of the original transfer is quoted, or,
- all the details of the original transfer (this includes TransferReference) are quoted but this is not recommended.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer In Cancellation Request and its tags in messages.

## 2.40.1 Tags in Messages

This topic provides information on Transfer In Cancellation Request and its tags in messages.

**Message Identification**

**Table 2-127 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**References**

**Table 2-128 References**

| Field | Description | Attributes |
|---|---|---|
| **References** | This number is used for storage and reference. | Mandatory |
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message. | Mandatory |
| **Message Name** | Name of the message | Optional |

**Cancellation By Reference**

**Table 2-129 Cancellation By Reference**

| Field | Description | Attributes |
|---|---|---|
| **Cancellation By Reference** | Reference of the transfer instruction to be cancelled. | NA |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |

**Previous Reference**

**Table 2-130 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Master Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message. | Mandatory |

**Table 2-130 (Cont.) Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Message Name** | Name of the message | Optional |

**References**

**Table 2-131 References**

| Field | Description | Attributes |
|---|---|---|
| **References** | This number is used for storage and reference. | Mandatory |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |

# 2.41 Transfer In Confirmation

This topic provides information on Transfer In Confirmation and its tags in messages.

**Transfer In Confirmation Message**

This message may also be used to confirm the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

This message may also be used as an advice, that is, the message is used to provide account information.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer In Confirmation and its tags in messages.

## 2.41.1 Tags in Messages

This topic provides information on Transfer In Confirmation and its tags in messages.

**Message Identification**

**Table 2-132 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

### Related Reference

**Table 2-133 Related Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Related Reference** | This is the reference to a linked message that was previously received. | Mandatory |
| **Reference** | Message identification of a message. This reference was assigned by the party issuing the message. | Mandatory |
| **Message Name** | Name of the message | Optional |

### Master Reference

**Table 2-134 Master Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Master Reference** | It is the unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together. | Optional |

### Transfer Details

**Table 2-135 Transfer Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Transfer Details** | General information related to the transfer of a financial instrument. | Mandatory |
| **Transfer Confirmation Reference** | Unique and unambiguous identifier for a transfer execution, as assigned by a confirming party. | Mandatory |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |
| **Client Reference** | Specify the details. | Optional |
| **Reference Reference Issuer Message Name** | It is the unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client. | NA |
| **Reference** | It is the reference issued by a party to identify an instruction, transaction or a message. | Mandatory |
| **Reference Issuer** | It is the issuer of the reference. | Optional |
| **Message Name** | It is the name of the message. | Optional |
| **Counterparty Reference** | It is the unambiguous identification of the transfer allocated by the counterparty. | Optional |
| **Reference** | It is the reference issued by a party to identify an instruction, transaction or a message. | Mandatory |
| **Reference Issuer** | Specify the details. | Optional |
| **Party Any BIC** | It is the issuer of the reference. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |

**Table 2-135 (Cont.) Transfer Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Business Flow Type** | It identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process). | Optional |
| **Effective Transfer Date** | Date and time at which the transfer was executed. | Mandatory |
| **Financial Instrument Details** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common. FCIS supports identification based on the ISIN or Ticker Symbol. For other options, it will use the UDF mapping relevant for this tag. | Mandatory |
| **ISIN** | This specifies International Securities Identification Number (ISIN). | NA |
| **Total Units Number** | This is the total number of investment fund class units that have been issued. | Optional |
| **Transfer Rate** | It is the quantity of securities transferred as a percentage of the holding. | Optional |
| **Own Account Transfer Indicator** | It indicates whether the transfer results in a change of beneficial owner. | Optional |

### Account Details

**Table 2-136 Account Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Account Details** | This tag is to identify an investor's account. However, in case of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number. | Mandatory |
| **Owner Identification** | Specify the details. | Optional |
| **Party AnyBIC** | It is the party that legally owns the account. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Account Identification** | Specify the details. | Mandatory |
| **Account Identification Proprietary Identification** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>The system uses the relevant UDF mapping for this tag. | NA |
| **Account Servicer** | This is Institution that maintains the records where the account is held. | NA |
| **Party** | Unique identification of the party | NA |
| **Any BIC** | Identification of the party expressed as a BIC | NA |

### Settlement Details

**Table 2-137 Settlement Details**

| Field | Description | Attributes |
|---|---|---|
| **Settlement Details** | Information related to the receiving side of the transfer | NA |
| **Transferee** | Specify the details. | Optional |
| **Party AnyBIC** | It is the party that receives (transferee) securities from the delivering agent (transferor). | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **Any BIC** | It is the identification of the party expressed as a BIC. | Mandatory |
| **Transferee Registered Account** | It is the account into which the securities are to be received. | Optional |
| **Identification** | It is the unique and unambiguous identification for the account between the account owner and the account servicer. | Optional |
| **Servicer** | Specify the details. | Optional |
| **Party** | Unique identification of the party | Mandatory |
| **Any BIC** | Identification of the party expressed as a BIC | Mandatory |
| **Settlement Parties Details** | Chain of parties involved in the settlement of a transaction | NA |
| **Deliverer Details** | Party that sells goods or services, or a financial instrument. | NA |
| **Account Identification** | Unique and unambiguous identification for the account between the account owner and the account servicer. | NA |
| **Receiver Details** | Specify the receiver details. Alternatively, you can select receiver details from the option list. The list displays all valid receiver details code maintained in the system. | Optional |
| **Receiving Agent Details** | Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository. | Optional |
| **Account Details** | This tag is to identify an investor's account. However, in case of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number | Mandatory |
| **Account Identification** | Specify the details. | Mandatory |
| **AccountIdentification Proprietary Identification** | This tag is to identify an investor's account. However, incase of a service provider installation, priority would be given to OwnerDetails tag to get the identification type and identification number.<br>The system uses the relevant UDF mapping for this tag. | NA |
| **Settlement Details** | Information related to the receiving side of the transfer | NA |
| **Settlement Parties Details** | Chain of parties involved in the settlement of a transaction | NA |
| **Receiver Details** | Specify the receiver details. Alternatively, you can select receiver details from the option list. The list displays all valid receiver details code maintained in the system. | Optional |
| **Receiving Agent Details** | Party that receives securities from the delivering agent via the place of settlement, for instance, securities central depository. | Optional |

**Table 2-137 (Cont.) Settlement Details**

| Field | Description | Attributes |
|---|---|---|
| **BIC Or BEI** | Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".<br>**Note**:<br>• Order status will be marked as completed post the generation of Transfer In and Transfer Out confirmation.<br>• For the generation of transfer OUT and IN confirmation messages without any dependency, the event code BEAUTOOUT can be used. | NA |

# 2.42 Reversal of Transfer In Confirmation

This topic provides information on Reversal Of Transfer In Confirmation and its tags in messages.

**Reversal of Transfer In Confirmation Message**

The ReversalOfTransferInConfirmation message is used to reverse a previously sent TransferInConfirmation.

There are two ways to specify the reversal of the transfer in confirmation. Either:

- the business references, for instance, TransferReference, TransferConfirmationIdentification, of the transfer confirmation are quoted, or,
- all the details of the transfer confirmation (this includes TransferReference and TransferConfirmationIdentification) are quoted but this is not recommended.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Request for Transfer Status Report and its tags in messages.

## 2.42.1 Tags in Messages

This topic provides information on Request for Transfer Status Report and its tags in messages.

**Message Identification**

**Table 2-138 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

#### Reference

**Table 2-139 Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Reference** | Reference to the message or communication that was previously received. | NA |
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message. | Mandatory |
| **Message Name** | Name of the message | Optional |

#### Previous Reference

**Table 2-140 Previous Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Previous Reference** | This is the reference to a linked message that was previously received. | Mandatory |
| **Reference** | This reference number should be the Message Identification of the original message sent. This would be the link between confirmation message and original bulk order message. | Mandatory |
| **Message Name** | Name of the message | Optional |

## 2.43 Request for Transfer Status Report

This topic provides information on Request for Transfer Status Report and its tags in messages.

#### Request for Transfer Status Report

The Request For Transfer Status Report is used to request either:

- the status of one or several transfer instructions or,
- the status of one or several transfer cancellation instructions.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Request for Transfer Status Report and its tags in messages.

## 2.43.1 Tags in Messages

This topic provides information on Request for Transfer Status Report and its tags in messages.

**Message Identification**

**Table 2-141 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Request Details**

**Table 2-142 Request Details**

| Field | Description | Attributes |
|---|---|---|
| **Request Details** | This is to identify the order(s) for which the status is requested. | Mandatory |
| **Previous Reference Reference** | If the tag 'IndividualOrderReference' is not provided, the system will use this reference to identify the transactions for which status message is requested. This will be the MessageIdentification number of the original bulk / multiple / cancellation order request. | Mandatory |
| **Message Name** | Name of the message | Optional |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |
| **References** | This is the reference to the message or communication that was previously sent. | Mandatory |
| **Previous Reference** | If the tag 'IndividualOrderReference' is not provided, the system will use this reference to identify the transactions for which status message is requested. This will be the MessageIdentification number of the original bulk / multiple / cancellation order request. | Mandatory |
| **References** | Reference issued by a party to identify an instruction, transaction or a message. | Mandatory |
| **Message Name** | Name of the message Status Report. | Optional |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party. | Mandatory |

# 2.44 Transfer Cancellation Status Report

This topic provides information on Transfer Cancellation Status Report and its tags in messages.

**Transfer Cancellation Status Report**

The TransferCancellationStatusReport message is used to report on the status of a transfer in or transfer out cancellation request.

The reference of the transfer instruction for which the cancellation status is reported is identified in TransferReference. The message identification of the transfer cancellation request message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer Cancellation Status Report and its tags in messages.

## 2.44.1 Tags in Messages

This topic provides information on Transfer Cancellation Status Report and its tags in messages.

**Message Identification**

**Table 2-143 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |

**Reference**

**Table 2-144 Reference**

| Field | Description | Attributes |
|---|---|---|
| **Reference** | Reference to the message or communication that was previously received. | NA |
| **Related Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | Message identification of a message. This reference was assigned by the party issuing the message. | Mandatory |
| **Message Name** | Name of the message | Optional |

### Related Reference

**Table 2-145 Related Reference**

| Field | Description | Attributes |
|---|---|---|
| **Related Reference** | This is the reference to a linked message that was previously received. | Mandatory |
| **Reference** | Message identification of a message. This reference was assigned by the party issuing the message. | Mandatory |
| **Message Name** | Name of the message | Optional |

### Status Report

**Table 2-146 Status Report**

| Field | Description | Attributes |
|---|---|---|
| **Status Report** | Status of the transfer cancellation instruction. | Mandatory |
| **Status** | Status of the transfer instruction | Mandatory |
| **Rejected** | Status of the transfer cancellation is rejected | Mandatory |
| **Reason** | Reason about a rejected status | Mandatory |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.<br>Below are the different statuses with which the message will be updated in case of success/ failure:<br>• **Status**: COSE (Transaction is allocated in the system)<br>• **Status**: PACK (Transaction is generated in the system but not allocated)<br>• **Cancelled**: DataSourceScheme (Transaction allocation failed and failure reason)<br>• **Rejected**: DataSourceScheme (Transaction generation failed and failure reason)<br>• **Suspended**: NoReason (NORE) | Mandatory |

# 2.45 Transfer Instruction Status Report

This topic provides information on Transfer Instruction Status Report and its tags in messages.

### Transfer Instruction Status Report

The TransferInstructionStatusReport message is used to report on the status of a transfer in or transfer out instruction. The reference of the transfer instruction for which the status is reported is identified in TransferReference.

The message identification of the transfer instruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Transfer Instruction Status Report and its tags in messages

## 2.45.1 Tags in Messages

This topic provides information on Transfer Instruction Status Report and its tags in messages

**Message Identification**

**Table 2-147 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | This is a Reference to a set of orders. Even though this block is optional, FCIS will need this to relate to subsequent messages. This number is used for storage and reference. | Mandatory |
| **Creation Date Time** | Applicable for incoming and outgoing message. This is the message generation date time. | Optional |
| **Counter party Reference** | It is the unambiguous identification of the transfer allocated by the counterparty. | Optional |
| **Reference** | It is the reference issued by a party to identify an instruction, transaction or a message. | Mandatory |
| **Reference Issuer** | Specify the details | Optional |
| **Party AnyBIC** | It is the issuer of the reference. | NA |
| **Party** | It is the unique identification of the party. | Mandatory |
| **AnyBIC** | It is the identification of the party expressed as a BIC. | Mandatory |

**Related Reference**

**Table 2-148 Related Reference**

| Field | Description | Attributes |
|---|---|---|
| **Related Reference** | This is the reference to a linked message that was previously received. | Mandatory |
| **Reference** | Message identification of a message. This reference was assigned by the party issuing the message. | Mandatory |
| **Message Name** | Name of the message | Optional |

**Status Report**

**Table 2-149 Status Report**

| Field | Description | Attributes |
|---|---|---|
| **Status Report** | Status of the transfer cancellation instruction. | Mandatory |
| **Transfer Status** | Status of the transfer instruction | NA |
| **Status Code**<br>**Status** | Status of the transfer is received, accepted, sent to next party, matched, already executed, or settled. | NA |
| **Rejected Reason Code**<br>**Rejected** | It is the status of the transfer that is rejected. | Mandatory |
| **Reason** | It is the reason for the rejected status. | Mandatory |
| **Code** | It is the rejected reason expressed as a code. | Mandatory |

**Table 2-149 (Cont.) Status Report**

| Field | Description | Attributes |
| --- | --- | --- |
| **Master Reference** | It is the unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together. | NA |
| **Transfer Reference** | Unique and unambiguous identifier for a transfer instruction, as assigned by the instructing party.<br>Below are the different statuses with which the message will be updated in case of success/ failure:<br>• **Status**: COSE (Transaction is allocated in the system)<br>• **Status**: PACK (Transaction is generated in the system but not allocated)<br>• **Cancelled**: DataSourceScheme (Transaction allocation failed and failure reason)<br>• **Rejected**: DataSourceScheme (Transaction generation failed and failure reason)<br>• **Suspended**: NoReason (NORE)<br>For more information on reject code, refer Table 2-150. | Mandatory |

**Table 2-150 Reject Codes**

| Code | Definition | Remarks |
| --- | --- | --- |
| BLCA | Investment account is blocked due to a corporate action. | Corporate actions processed and no more investments allowed. |
| DOCC | Investment account is blocked until certain legal proceedings are completed. For an example, legal documents from the successor, legal proceedings due to bankruptcy. | Stop account issued for the investor. |
| DQUA | Financial instrument quantity is invalid. | The transaction mode and the amount/ units provided differ from the fund setup. |
| DSEC | Identification of the security is not recognized or is invalid. | Invalid Fund details provided. |
| NSLA | Instruction is not compliant with the service level agreement. | Invalid Agent level Intermediaries provided. |
| SAFE | Investment account identification is not recognized or is invalid. | Invalid Investment account provided. |
| INID | Investor data is insufficient. Applicable when the mandated market practice is not followed. | Other FCIS Specific errors. |

# 2.46 Price Report

This topic provides information on Price Report and its tags in messages.

**Price Report Message**

The Price Report message is sent by a report provider to a report user.

This message can be used for different purposes:

- To report prices for one or several different financial instruments for one or several different trade dates
- To report statistical information about the valuation of a financial instrument
- To inform another party that the quotation of a financial instrument is suspended
- To report prices that are used for other purposes than the execution of investment funds orders.

If a fund is based on price components, the individual component details will be provided in PriceValuationDetails  PriceDetails (repetitive tag). FCIS will also provide the prices for each transaction type under PriceValuationDetails  PriceDetails (repetitive tag).

This report could be taken out of the system in automated way based on a particular event or manually.

User would have the option to key in the Effective Date for which the Price Report should be generated. If the price is not provided, the latest price would be picked up. FCIS will provide the latest NAV details, if auto generated, for the funds, through this report.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Price Report and its tags in messages.

## 2.46.1 Tags in Messages

This topic provides information on Price Report and its tags in messages.

**Price Report**

**Table 2-151 Price Report**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. | Optional |
| **Reference** | **Incoming** - This number is used for storage.<br>**Outgoing**: If a set of orders is to be broken, system will assign a common reference number to multiple messages. | Mandatory |
| **Price Valuation Details** | This is information related to the price valuation of a financial instrument. | Mandatory/ Repetitive |
| **Identification** | **Outgoing**: Unique number generated by FCIS for every instance of Fund Price getting reported. | Mandatory |
| **Valuation Date Time** | This is the date and time of the price valuation for the investment fund / fund class.<br>**Outgoing**: This will be the effective date of the fund price and will be passed under the tag Valuation Date Time  Date. | Optional |
| **Trade Date Time** | This is the date and time at which price is applied, according to the terms stated in the prospects.<br>**Outgoing**: This will be the effective date of the fund price and will be passed under the tag TradeDateTime Date. | Optional |
| **Financial Instrument Details** | This tag provides details to identify the fund. | Mandatory |
| **Identification** | **Outgoing**: FCIS sends out the fund ISIN. | Mandatory |

**Table 2-151 (Cont.) Price Report**

| Field | Description | Attributes |
|---|---|---|
| **Total NAV** | This is the value of all the holdings, minus the fund's liabilities.<br>**Outgoing**: This will be Funds Holdings * Declared NAV for the Effective Date, (TradeDateTime). | Optional/Repetitive |
| **Total Units Number** | This is the total number of investment fund class units that have been issued. | Optional |
| **Unit** | **Outgoing** - This would map to the tag 'Outstanding Units' in fund data store for the fund. | Mandatory |
| **Previous Valuation Date Time** | This is the date and time of the previous valuation for the investment fund / fund class.<br>**Outgoing** - This will be the effective date of the fund price prior to the date provided under the tag TradeDateTime. This information will be provided under the tag PreviousValuationDateTime Date. | Optional |
| **Valuation Cycle** | This specifies how the price valuation timing is done based on the timeline defined in the prospectus.<br>FCIS will always communicate the value USUA (Usual) as the code to indicate that price valuation is done within the timeframe specified in the prospectus.sq | Mandatory |
| **Suspended Indicator** | Indicates whether the valuation of the investment fund class is suspended.<br>FCIS will always the pass the value 'NO'. | Mandatory |
| **Price Details** | FCIS will use this tag to provide the Fund Price components, if applicable, for the fund, and Fund Price details at a transaction type level. | Mandatory |
| **Type** | • **Structured (Mandatory)** - FCIS will pass NAVL, OTHR as the structured codes. While passing the Declared NAV for fund, FCIS will use the code as NAVL. For other details such as transaction type level or component level price details, OTHR will be used.<br>• **Additional Information (Optional)** - If the structured code is OTHR, this information is mandatory. FCIS will pass the respective Transaction Type Code and Component ID as additional information. | Mandatory |
| **ValueIn Investment Currency** | This tag will be used to pass the Declared NAV, Component Value for Component ID and Transaction Base Price for Transaction Type. | Mandatory / Repetitive |
| **For Execution Indicator** | This indicates whether the price information can be used for the execution of a transaction. This indicator would be 'Yes' for fund price details and 'No' for component details. | Mandatory |
| **Cum Dividend Indicator** | The value will always be 'NO'. | Mandatory |

# 2.47 Price Report Cancellation

This topic provides information on Price Report Cancellation and its tags in messages.

**Price Report Cancellation Message**

The Price Report Cancellation message is sent by a report provider to a report user.

This message is used to cancel an entire Price Report message that was previously sent by the fund accountant. If only a part of the information has to be cancelled and replaced, the Price Report Correction message must be used.

This report has to be generated manually. FCIS communicates the original Pool Reference of the price report.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Price Report Cancellation and its tags in messages.

## 2.47.1 Tags in Messages

This topic provides information on Price Report Cancellation and its tags in messages.

**Price Report Cancellation**

**Table 2-152 Price Report Cancellation**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. **Outgoing**: This will be a unique reference number generated by FCIS. | Optional |
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | **Outgoing**: This will be the Pool Reference of the original price report that was communicated. | Mandatory |

# 2.48 Fund Estimated Cash Forecast Report

This topic provides information on Fund Estimated Cash Forecast Report and its tags in messages.

**Fund Estimated Cash Forecast Report**

The Fund Estimated Cash Forecast Report message is sent by a report provider to a report user.

This message is used to provide an estimate of the cash incomings and outgoings per investment fund. This message can be used to report on several investment funds. The cash incomings and outgoings result from, for example, redemption, subscription, switch transactions or dividends.

**Contents of Report**

The following are the contents of this report:

- Transactions
- Dividends

### Transactions

All unalloted transactions that are newly captured or reversed and where the maker date of the original transaction is not the same as maker date of the reversed transaction and original transaction is allocated, will be picked up.

**Table 2-153 Transactions Types and Reports**

| Transactions Types | Reports |
| --- | --- |
| **IPO / Subscription** | • Sum IPO by Amount<br>• Sum Subscriptions by Amount<br>• Sum IPO by Units * Latest NAV<br>• Sum Subscriptions by Units * Latest NAV |
| **Redemptions** | • Sum Redemptions by Amount<br>• Sum Redemptions by Units * Latest NAV |
| **Switch In** | • Sum Switch transactions by Amount where fund passed is the Switch In fund and convert this amount to FBC of the Switch In fund.<br>• Sum Switch transactions by Units where fund passed is the Switch In fund * Latest NAV of the Switch Out fund converted to FBC of the Switch In fund |
| **Switch Out** | • Sum Switch transactions by Amount where fund passed is the Switch Out fund.<br>• Sum Switch transactions by Units * Latest NAV of the Switch Out fund |
| **IPO / Subscription – Reversal** | Sum Gross Amount In FBC of the original transaction |
| **Redemption – Reversal** | Sum Net Amount in FBC of the original transaction |
| **Switch In – Reversal** | Sum Switched In Amount of the original transaction where fund passed is the Switch In fund |
| **Switch Out – Reversal** | Sum Net Amount in FBC of the original transaction where fund passed is the Switch Out fund |

### Dividends

**Table 2-154 Dividend Types and Reports**

| Dividend Types | Reports |
| --- | --- |
| **Dividend payout** | Criteria for dividend record consideration:<br>• Amendment / Reversal not happened<br>• Freeze Holdings done<br>• EPU is available<br>• Dividend is not processed<br>• Date passed is the Dividend Declare Date<br>Dividend Amount = Sum of Freeze Holdings Units * EPU |

**Table 2-154 (Cont.) Dividend Types and Reports**

| Dividend Types | Reports |
|---|---|
| **Dividend Amendments (Outflow)** | Criterion for dividend record consideration:<br>• Original dividend is processed and amendment is not processed<br>Dividend Amount = Sum of Freeze Holdings Units * New EPU |
| **Dividend Amendments (Inflow)** | Criterion for dividend record consideration:<br>• Original dividend is processed and amendment is not processed<br>Dividend Amount = Sum of Freeze Holdings Units * Old EPU<br>Estimated Cash In = A + C + F+ H + K<br>Estimated Cash Out = B + D + E + G + I + J<br>This report will be generated for all funds in an AMC as maintained in the message maintenance. The trigger could be based on an event or manual. |

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Fund Estimated Cash Forecast Report and its tags in messages.

## 2.48.1 Tags in Messages

This topic provides information on Fund Estimated Cash Forecast Report and its tags in messages.

**Fund Estimated Cash Forecast Report**

**Table 2-155 Fund Estimated Cash Forecast Report**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages.<br>**Outgoing**: This will be a unique reference number generated by FCIS. | Optional |
| **Estimated Fund Cash Forecast Details** | Specify the details. | Mandatory/ Repetitive |
| **Trade Date Time** | **Outgoing** - This will be the date for which the report is being generated. | Optional |
| **Financial Instrument Details** | This tag provides details to identify the fund. | Mandatory |
| **Identification** | **Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Exceptional Net Cash Flow Indicator** | FCIS will always the pass the value ‘NO’. | Mandatory |
| **Estimated CashIn Forecast Details** | Specify the details | Mandatory |
| **Settlement Date** | This is the date for which report is generated. | Mandatory |
| **SubTotal Amount** | This will be the ‘Estimated Cash In’. | Optional |

**Table 2-155 (Cont.) Fund Estimated Cash Forecast Report**

| Field | Description | Attributes |
| --- | --- | --- |
| **Estimated Cash Out Forecast Details** | Specify the details | Original/Repetitive |
| **Settlement Date** | This is the date for which report is generated. | Mandatory |
| **SubTotal Amount** | This will be the 'Estimated Cash Out'. | Optional |

# 2.49 Fund Confirmed Cash Forecast Report

This topic provides information on Fund Confirmed Cash Forecast Report and its tags in messages.

**Fund Confirmed Cash Forecast Report Message**

The Fund Confirmed Cash Forecast Report message is sent by a report provider to a report user.

This message is used to provide a confirmed report of the cash incomings and outgoings per investment fund. This message can be used to report on several investment funds. The cash incomings and outgoings result from, for example, redemption, subscription, switch transactions or dividends.

**Contents of Report**

The following are the contents of this report:

- Transactions
- Dividends

**Transactions**

1. All allotted IPO / Subscription / Redemption / Switch which are not reversed
2. All allotted IPO / Subscription / Redemption / Switch which are reversed. The date of the original transaction should not be the same as the date of reversal transaction.

**Table 2-156 Transactions Types and Reports**

| Transactions Types | Reports |
| --- | --- |
| **IPO / Subscription** | Sum Gross Amount in FBC |
| **Redemptions** | Sum Net Amount in FBC |
| **Switch In** | Sum Switch To Amount (post allocation) where fund passed is the switch in fund |
| **Switch Out** | Sum Net Amount in FBC where fund passed is the switch out fund. |
| **IPO / Subscription – Reversal** | Sum Gross Amount In FBC of the original transaction |
| **Redemption – Reversal** | Sum Net Amount in FBC of the original transaction |
| **Switch In – Reversal** | Sum Switched In Amount of the original transaction where fund passed is the Switch In fund |

**Table 2-156 (Cont.) Transactions Types and Reports**

| Transactions Types | Reports |
|---|---|
| **Switch Out – Reversal** | Sum Net Amount in FBC of the original transaction where fund passed is the Switch Out fund |

### Dividends

**Table 2-157 Dividend Types and Reports**

| Dividend Types | Reports |
|---|---|
| **Dividend payout** | Criteria for dividend record consideration:<br>• Amendment / Reversal not happened<br>• Dividend is processed<br>• Date passed is the Dividend Payment Date<br>Dividend: Sum Total Amount Paid to the investor for the fund and dividend payment date. |
| **Dividend reversal** | Criteria for dividend record consideration:<br>• Dividend status is reversed and authorized<br>• Date passed is the authorization date of reversal<br>Dividend = Sum original Total Amount Paid to investor |
| **Dividend Amendments (Outflow)** | Criterion for dividend record consideration:<br>• Dividend status is amended<br>• Date passed is the Dividend Payment Date<br>• Amended dividend is processed<br>Dividend = Sum Total Amount Paid for the amended dividend |
| **Dividend Amendments (Inflow)** | Criterion for dividend record consideration:<br>• Dividend status is amended<br>• Date passed is the Dividend Payment Date<br>• Amended dividend is processed<br>Dividend = Sum Original Total Amount Paid<br>Confirmed Cash In = A + C + F+ H + J + L<br>Confirmed Cash Out = B + D + E + G + I + K |

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Fund Confirmed Cash Forecast Report and its tags in messages.

### 2.49.1 Tags in Messages

This topic provides information on Fund Confirmed Cash Forecast Report and its tags in messages.

**Fund Confirmed Cash Forecast Report**

**Table 2-158 Fund Confirmed Cash Forecast Report**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. **Outgoing**: This will be a unique reference number generated by FCIS. | Optional |
| **Fund Cash Forecast Details** | Specify the details. | Mandatory/ Repetitive |
| **Trade Date Time** | **Outgoing** - This will be the date for which the report is being generated. | Optional |
| **Financial Instrument Details** | This tag provides details to identify the fund. | Mandatory |
| **Identification** | **Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Exceptional Net Cash Flow Indicator** | FCIS will always the pass the value ‘NO’. | Mandatory |
| **CashIn Forecast Details** | Specify the details | Mandatory |
| **Settlement Date** | This is the date for which report is generated. | Mandatory |
| **SubTotal Amount** | This will be the ‘Estimated Cash In’. | Optional |
| **Cash Out Forecast Details** | Specify the details | Original/Repetitive |
| **Settlement Date** | This is the date for which report is generated. | Mandatory |
| **SubTotal Amount** | This will be the ‘Estimated Cash Out’. | Optional |

## 2.50 Fund Confirmed Cash Forecast Report Cancellation

This topic provides information on Fund Confirmed Cash Forecast Report Cancellation and its tags in messages.

**Fund Confirmed Cash Forecast Report Cancellation Message**

The Fund Confirmed Cash Forecast Report Cancellation message is sent by a report provider to a report user.

This message is used to cancel a previously sent Fund Confirmed Cash Forecast Report message. The Fund Confirmed Cash Forecast Report Cancellation message must contain the reference of the message to be cancelled. This message may also contain details of the message to be cancelled, but this is not recommended.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Fund Confirmed Cash Forecast Report Cancellation and its tags in messages.

### 2.50.1 Tags in Messages

This topic provides information on Fund Confirmed Cash Forecast Report Cancellation and its tags in messages.

**Table 2-159 Fund Confirmed Cash Forecast Report Cancellation**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages.<br>**Outgoing**: This will be a unique reference number generated by FCIS. | Optional |
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | **Outgoing**: This will be selected by the user. | Mandatory |

## 2.51 Fund Detailed Estimated Cash Forecast Report

This topic provides information on Fund Detailed Estimated Cash Forecast Report and its tags in messages.

**Fund Detailed Estimated Cash Forecast Report**

The **Fund Detailed Estimated Cash Forecast Report** is sent by a report provider to a report user.

This message is used to provide an estimate of the cash incoming and outgoing flows per investment fund, sorted by country, institution or the criteria defined by the user. The message can be used to report on several investment funds. These cash incoming and outgoing flows result from, for example, redemption, subscription switch transactions or dividends.

The details provided here are similar to the Fund Estimated Cash Forecast Report with the breakup based on one of the following:

- Party
- Country
- Currency
- UserDefined

**FCIS** supports the tags **SortingCriteriaType**  **Unstructured** and **ForecastBreakdownDetails**  **ReportParameter** **UserDefined**, indicating the break up of inflows and outflows for the following:

- IPO Subscription
- Subscription
- Redemption
- Switch In
- Switch Out
- IPO Subscription Reversal
- Subscription Reversal
- Redemption Reversal

- Switch In Reversal
- Switch Out Reversal
- Dividend
- Dividend Amendment – Inflow
- Dividend Amendment - Outflow

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Fund Detailed Estimated Cash Forecast Report and its tags in messages.

## 2.51.1 Tags in Messages

This topic provides information on Fund Detailed Estimated Cash Forecast Report and its tags in messages.

**Fund Detailed Estimated Cash Forecast Report**

**Table 2-160 Fund Detailed Estimated Cash Forecast Report**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. **Outgoing**: This will be a unique reference number generated by FCIS. | Optional |
| **Estimated Fund Cash Forecast Details** | Specify the details. | Mandatory/ Repetitive |
| **Trade Date Time** | **Outgoing** - This will be the date for which the report is being generated. | Optional |
| **Financial Instrument Details** | This tag provides details to identify the fund. | Mandatory |
| **Identification** | **Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Exceptional Net Cash Flow Indicator** | FCIS will always the pass the value ‘NO’. | Mandatory |
| **Sorting Criteria Details** | Specify the details | Mandatory/ Repetitive |
| **Sorting CriterionType Unstructured** | **Outgoing** - FCIS will pass “TXNDIVIDENDBASED” as unstructured code. | NA |
| **Forecast Break down Details** | Specify the details | Mandatory/ Repetitive |
| **Report Parameter User Defined Unstructured** | **Outgoing** - FCIS will pass “TXNDIVIDENDBASED” as unstructured code. - FCIS will pass | NA |
| **Estimated CashIn Forecast Details** | Specify the details | Mandatory |
| **Settlement Date** | This is the date for which report is generated. | Mandatory |
| **SubTotal Amount** | This will be the ‘Estimated Cash In’ breakup for the various components. | Optional |
| **Estimated Cash Out Forecast Details** | Specify the details | Original/Repetitive |
| **Settlement Date** | This is the date for which report is generated. | Mandatory |

**Table 2-160 (Cont.) Fund Detailed Estimated Cash Forecast Report**

| Field | Description | Attributes |
|---|---|---|
| **SubTotal Amount** | This will be the ‘Estimated Cash Out’ breakup for various components. | Optional |

# 2.52 Fund Detailed Confirmed Cash Forecast Report

This topic provides information on Fund Detailed Confirmed Cash Forecast Report and its tags in messages.

**Fund Detailed Confirmed Cash Forecast Report Message**

The **Fund Detailed Confirmed Cash Forecast Report Message** is sent by a report provider to a report user.

This message is used to provide a confirmed report of the cash incoming and outgoing flows per investment fund, sorted by country, institution or criteria defined by the user. The message can be used to report on several investment funds. The cash incoming and outgoing flows result from, for example, redemption, subscription, switch transactions or dividends.

The details provided here are similar to Fund Confirmed Cash Forecast Report with the breakup based on one of the following:

- Party
- Country
- Currency
- UserDefined

**FCIS** supports the tags **SortingCriteriaType**  **Unstructured** and **ForecastBreakdownDetails**  **ReportParameter** **UserDefined**, indicating the break up of inflows and outflows for the following:

- IPO Subscription
- Subscription
- Redemption
- Switch In
- Switch Out
- Subscription Reversal
- Redemption Reversal
- Switch In Reversal
- Switch Out Reversal
- Dividend
- Dividend Amendment – Inflow
- Dividend Amendment - Outflow

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Fund Detailed Confirmed Cash Forecast Report and its tags in messages.

## 2.52.1 Tags in Messages

This topic provides information on Fund Detailed Confirmed Cash Forecast Report and its tags in messages.

**Fund Detailed Confirmed Cash Forecast Report Message**

**Table 2-161 Fund Detailed Confirmed Cash Forecast Report Message**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. **Outgoing**: This will be a unique reference number generated by FCIS. | Optional |
| **Fund Cash Forecast Details** | Specify the details. | Mandatory/ Repetitive |
| **Trade Date Time** | **Outgoing** - This will be the date for which the report is being generated. | Optional |
| **Financial Instrument Details** | This tag provides details to identify the fund. | Mandatory |
| **Identification** | **Outgoing**: FCIS sends out the fund ISIN. | Mandatory |
| **Exceptional Net Cash Flow Indicator** | FCIS will always the pass the value ‘NO’. | Mandatory |
| **Sorting Criteria Details** | Specify the details | Mandatory/ Repetitive |
| **Sorting CriterionType Unstructured** | Outgoing - FCIS will pass “TXNDIVIDENDBASED” as unstructured code. | NA |
| **Forecast Break down Details** | Specify the details | Mandatory/ Repetitive |
| **Report Parameter User Defined Unstructured** | **Outgoing** - FCIS will pass “TXNDIVIDENDBASED” as unstructured code. - FCIS will pass “TXNDIVIDENDBASED” as unstructured code. | NA |
| **CashIn Forecast Details** | Specify the details | Mandatory |
| **Settlement Date** | This is the date for which report is generated. | Mandatory |
| **SubTotal Amount** | This will be the ‘Confirmed Cash In’ breakup for components. | Optional |
| **Cash Out Forecast Details** | Specify the details | Original/Repetitive |
| **Settlement Date** | This is the date for which report is generated. | Mandatory |
| **SubTotal Amount** | This will be the ‘Confirmed Cash Out’ breakup for components. | Optional |

# 2.53 Fund Detailed Confirmed Cash Forecast Report Cancellation

This topic provides information on Fund Detailed Confirmed Cash Forecast Report Cancellation and its tags in messages.

**Fund Detailed Confirmed Cash Forecast Report Cancellation**

The **Fund Detailed Confirmed Cash Forecast Report Cancellation Message** is sent by a report provider to a report user. This report will be manually generated.

This message is to cancel a previously sent Fund Detailed Confirmed Cash Forecast Report message. The Fund Detailed Confirmed Cash Forecast Report Cancellation message must contain the reference of the message to be cancelled. This message may also contain details of the message to be cancelled, but this is not recommended.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Fund Confirmed Cash Forecast Report Cancellation and its tags in messages.

## 2.53.1 Tags in Messages

This topic provides information on Fund Confirmed Cash Forecast Report Cancellation and its tags in messages.

**Fund Detailed Confirmed Cash Forecast Report Cancellation**

**Table 2-162 Fund Detailed Confirmed Cash Forecast Report Cancellation**

| Field | Description | Attributes |
|---|---|---|
| **Pool Reference** | This is a collective reference to identify set of messages. **Outgoing**: This will be a unique reference number generated by FCIS. | Optional |
| **Previous Reference** | This is the Reference Number to a linked message that was previously received. | Mandatory |
| **Reference** | **Outgoing**: This will be selected by the user. | Mandatory |

# 2.54 Custody Statement of Holdings Report

This topic provides information on Custody Statement of Holdings Report and its tags in messages.

**Custody Statement Of Holdings Message**

The **Custody Statement Of Holdings message** is sent by an account servicer to an account owner or its designated agent. The account servicer may be a local agent acting on behalf of its global custodian customer, a custodian acting on behalf of an investment management institution or a broker/dealer, a fund administrator or fund intermediary, trustee or registrar, etc. This message reports, at a specified moment in time, the quantity and identification of financial instruments that the account servicer maintains for the account owner.

The Custody Statement Of Holdings message is sent at the beginning of a month for reporting the month end balance of investor. User requests a holding report by portfolio as of the last date of the previous month.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Custody Statement of Holdings Report and its tags in messages.

## 2.54.1 Tags in Messages

This topic provides information on Custody Statement of Holdings Report and its tags in messages.

**Custody Statement Of Holdings Message**

**Table 2-163 Custody Statement Of Holdings Message**

| Field | Description | Attributes |
|---|---|---|
| **Message Pagination** | This tag indicates the pagination of the message. | NA |
| **Page Number** | This indicates the page number. | Mandatory |
| **Last Page Indicator** | This tag indicates the last page of the report. This will be true for the last unit holder report and false for the others. | Mandatory |
| **Statement General Details** | This tag provides general information related to the custody statement of holdings. | Mandatory |
| **Reference** | This is the Reference Number generated by the system. | Mandatory |
| **Statement Date Time** | This indicator is the effective date as of which the report is generated. | Mandatory |
| **Activity Indicator** | This indicator would be 'Yes' is there is any activity reported in the statement. Else, it will be 'No'. | Mandatory |
| **Account Details** | Specify the details. | Mandatory |
| **Identification Simple Identification Proprietary Identification** | This tag is to identify the investor's CIF ID in FCIS. | Mandatory |
| **Fungible Indicator** | This tag would be set to 'Yes'. | Mandatory |
| **Intermediary Information Identification Proprietary** | This tag provides the intermediary details attached with the Unitholder account. | Mandatory |
| **Balance For Account details** | This contains the CIF level account balance details as on date requested. | NA |
| **SubAccount Details** | Specify the details | Optional |
| **Identification Simple Identification Proprietary Identification** | This would map to the Identification Number of the Unit holder. | Mandatory |
| **Fungible Indicator** | This tag would be set to 'Yes'. | Optional |
| **Activity Indicator** | This indicator would be set to 'Yes'. | Mandatory |
| **Balance For SubAccount** | Specify the details | Optional |

**Table 2-163 (Cont.) Custody Statement Of Holdings Message**

| Field | Description | Attributes |
|---|---|---|
| **Aggregate Quantity Quantity** | This tag indicates the balance in the fund. | Mandatory |
| **FinancialInstrumentDetails** | This tag provides details to identify a fund. | Mandatory |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.<br>**Outgoing**: FCIS sends out the fund ISIN based on the UDF set up and not ISIN always. | Mandatory |
| **Price Details** | This is the price at which order was executed. | Mandatory |
| **Value Amount** | **Outgoing** – This is the fund base currency code followed by the price as of the effective date of the report. | Mandatory |
| **Type** | This has the value 'NAVL'. | Mandatory |
| **Quotation Date Date** | This indicates the maximum price date for which price is available as of the effective date of the report. | Optional |

# 2.55 Statement of Investment Fund Transactions

This topic provides information on Statement of Investment Fund Transactions and its tags in messages.

**Statement of Investment Fund Transactions Message**

The **Statement of Investment Fund Transactions Message** is sent by an account servicer to an account owner or its designated agent. The account servicer may be a fund administrator or fund intermediary, trustee or registrar. This message provides the details of increases and decreases of holdings which occurred during a specified period. This message can also be used for information purposes, eg, tax information.

This report provides the statement of transactions for a customer and a customer's accounts for a given period.

This topic contains the following sub-topics:

- Tags in Messages
  This topic provides information on Statement of Investment Fund Transactions and its tags in messages.

## 2.55.1 Tags in Messages

This topic provides information on Statement of Investment Fund Transactions and its tags in messages.

**Statement of Investment Fund Transactions Message**

**Table 2-164 Statement of Investment Fund Transactions Message**

| Field | Description | Attributes |
|---|---|---|
| **Message Pagination** | This tag indicates the pagination of the message. | NA |

**Table 2-164 (Cont.) Statement of Investment Fund Transactions Message**

| Field | Description | Attributes |
|---|---|---|
| **Page Number** | This indicates the page number. | Mandatory |
| **Last Page Indicator** | This tag indicates the last page of the report. This will be true for the last unit holder report and false for the others. | Mandatory |
| **Statement General Details** | This tag provides general information related to the investment reports. | Mandatory |
| **Reference** | This is the Reference Number generated by the system. | Mandatory |
| **Statement Period From Date** | This indicator is the ‘From date’ that marks the beginning of the period for which the statement is being generated. | Mandatory |
| **Statement Period To Date** | This indicator is the ‘To date’ that marks the end of the period for which the statement is being generated. | Mandatory |
| **Update Type** | This tag will have the value ‘COMP’ to indicate that the report is complete. | Mandatory |
| **Activity Indicator** | This indicator would be ‘Yes’ is there is any activity reported in the statement. Else, it will be ‘No’. | Mandatory |
| **Investment Account Details**<br>**Identification Proprietary Identification** | This tag is to identify the investor’s CIF ID in FCIS. | Mandatory |
| **Intermediary Information Identification Proprietary** | This tag provides the intermediary details attached with the Unitholder account. | Mandatory |
| **SubAccount Details** | Specify the details | Optional |
| **Identification Simple Identification Proprietary Identification** | This would map to the Identification Number of the Unit holder. | Mandatory |
| **Fungible Indicator** | This tag would be set to ‘Yes’. | Optional |
| **Activity Indicator** | This indicator would be set to ‘Yes’. | Mandatory |
| **Transaction On SubAccount** | Specify the details | Optional |
| **Identification** | This tag provides details to identify a fund. | NA |
| **Identification** | The fund can be identified based on the ISIN, Alternate Identification, RIC, Ticker Symbol, Bloomberg, CTA or Common.<br>**Outgoing**: FCIS sends out the fund ISIN based on the UDF set up and not ISIN always. | Mandatory |
| **Transaction Details** | Specify the details. | Mandatory |
| **Transaction Type** | This tag indicates the type of transaction. | Mandatory |
| **Deal Reference** | This is a unique number assigned to the transaction by FCIS. | Optional |
| **Settled Transaction Indicator** | This indicates whether the transaction is settled. This indicator would be ‘Yes’ if the transaction is settled. Else, it would be ‘No’. | Mandatory |
| **Registered Transaction Indicator** | This tag would be set to ‘No’. | Mandatory |
| **UnitsQuantity Unit** | The allocated units for the transaction. | Mandatory |

**Table 2-164 (Cont.) Statement of Investment Fund Transactions Message**

| Field | Description | Attributes |
|---|---|---|
| **Credit Debit** | This tag indicates the direction of the transaction. This would be 'CRDT' for inflow transactions and 'DBIT' for outflow transactions. | Mandatory |
| **Reversal** | This tag indicates reversal of transactions. This would be 'CRDT' for inflow transactions and 'DBIT' for outflow transactions. | Optional |
| **Gross Settlement Amount** | This will be the gross settlement amount in the settlement currency. | Optional |
| **TradeDateTime**<br>**Date** | This will be the Transaction Date. | Mandatory |
| **Date Time** | This will be the save time of the Transaction. | Mandatory |
| **Cum Dividend Indicator** | This indicates whether the dividend (cum dividend) is included in the executed price. When the dividend is not included, the price will be ex-dividend. | Mandatory |
| **Partially Executed Indicator** | This indicates whether the order has been partially executed.<br>This will be defaulted to 'NO'. | Mandatory |
| **Price Details** | This is the price at which order was executed. | Mandatory |
| **Value Amount** | **Outgoing** – This is the fund base currency code followed by the price as of the effective date of the report. | Mandatory |
| **Type** | This is defaulted to 'OTHR'. | Mandatory |

# 2.56 Account Details Confirmation

This topic provides information on Account Details Confirmation and its tags in messages.

**AccountDetailsConfirmationV08:**

This message is to confirm the opening of the new account/unitholder using SWIFT messages as per 2021 regulations.

An account servicer, for example, registrar, transfer agent, custodian bank or securities depository sends the AccountDetailsConfirmation message to the account owner, for example, an investor to confirm the opening of an account, execution of an AccountModificationInstruction or to return information requested in a GetAccountDetails message.

**Design scope:**

This account confirmation message should confirm the creation of the below maintenances/ transactions, if the respective tags are provided.

- Confirmation Details
- Unitholder along with
  - Bank details
  - Intermediaries
- UH IDS Setup for reinvestment details

This topic contains the following sub-topics:

- Tags in Message
  This topic provides information on Account Details Confirmation and its tags in messages.

## 2.56.1 Tags in Message

This topic provides information on Account Details Confirmation and its tags in messages.

**MX acmt.002.001.08**

The AccountDetailsConfirmation message is used to confirm the account details on receiving the GetAccountDetails message. The message contains detailed information relevant to the account requested based on the latest information available for the account in the FCIS system.

The AccountDetailsConfirmationV08 Message Definition is composed of 16 Message Building Blocks as below,

**Account Details Confirmation**

**Table 2-165 Account Details Confirmation**

| Field | Description | Attributes |
| --- | --- | --- |
| **Account Details Confirmation** | This is the root tag for account details confirmation instruction. | Mandatory |

The AccountModificationInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks as shown below,

**Message Identification**

**Table 2-166 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time. | Mandatory |
| **Identification Creation Date Time**<br>**Identification** | This tag is used for Identification of the message. | Mandatory |
| **Creation Date Time** | This tag indicates the date of creation of the message. | Mandatory |

**Order Reference**

**Table 2-167 Order Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Order Reference** | This tag will not be used for the account confirmation process as per the current scope. | Optional |

### Related Reference

**Table 2-168 Related Reference**

| Field | Description | Attributes |
| --- | --- | --- |
| **Related Reference** | This tag will not be used for the account confirmation process as per the current scope. | Optional |

### Confirmation Details

**Table 2-169 Confirmation Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Confirmation Details** | It gives information about the request or instruction which triggered this confirmation. This is the new element code in FCIS. | NA |
| **Confirmation Type Code**<br>**Confirmation Type** | This tag gives information about the request or instruction which triggered this confirmation. | Mandatory |
| **Code** | Confirmation type is expressed as a code. | Mandatory |

### Investment Account Selection

**Table 2-170 Investment Account Selection**

| Field | Description | Attributes |
| --- | --- | --- |
| **Investment Account Selection** | It identifies the account for which the information is modified. | Mandatory |
| **Account Identification** | Unique and unambiguous identification for the account. | Optional |

### Investment Account

**Table 2-171 Investment Account**

| Field | Description | Attributes |
| --- | --- | --- |
| **Investment Account** | Confirmation of the information related to the investment account is given by this message.<br>This section will be available only if the investment account is requested in the GetAccountDetails. | NA |
| **Indentification Name Type Code**<br>**Indentification** | This tag denotes Unitholder ID. | Optional |
| **Name** | This tag provides the name of the account. | Optional |
| **Type** | This tag is used to identify the type of account. | Optional |
| **Code** | Type of account is expressed as a code. | Mandatory |
| **Account Status Enabled Closed Closure Pending Pending Opening**<br>**Account Status** | It specifies the status of the account. | Optional |

**Table 2-171 (Cont.) Investment Account**

| Field | Description | Attributes |
|---|---|---|
| **Enabled No Specified Reason Reason**<br>**Enabled** | It is the status of the account that can be used for its intended purpose. | Optional |
| **No Specified Reason** | There is no reason available or to report for the enabled account status. | Mandatory |
| **Reason Code**<br>**Reason** | It is the reason available for the enabled account status. | Mandatory |
| **Code** | Reason for the enabled account status is expressed as a code. | Mandatory |
| **Closed No Specified Reason**<br>**Closed** | This tag indicates that the status of the account is closed. | Optional |
| **No Specified Reason** | There is no reason available or to report for the closed account status. | Mandatory |
| **Closure Pending Reason Code**<br>**Closure Pending** | This tag indicates that the account closure is pending. | Optional |
| **Reason** | It is the reason for the closure pending status of an account. | Mandatory |
| **Code** | Reason for the closure pending status is expressed as a code. | Mandatory |
| **Pending Opening Reason Code**<br>**Pending Opening** | This tag indicates that the account opening is pending. | Optional |
| **Reason** | It is the reason for the account opening pending status. | Mandatory |
| **Code** | Reason for the account opening pending status is expressed as a code. | Mandatory |
| **Status Date Date**<br>**Status Date** | It is the application date in FCIS or the date in which status is assigned. | Optional |
| **Date** | It is the numeric representation of the day of the month and year. | Mandatory |
| **Ownership Type Code**<br>**Ownership Type** | This tag denotes ownership status of the account. | Mandatory |
| **Code** | Ownership type is expressed as a code. | Mandatory |
| **Statement Frequency Code**<br>**Statement Frequency** | Frequency at which a statement is issued is denoted by this tag. | Optional |
| **Code** | Statement frequency is expressed as a code. | Mandatory |
| **Reference Currency** | This tag indicates the currency chosen for reporting purposes. | Optional |
| **Language** | Preferred language of the account holder is denoted by this tag. | Optional |
| **Reinvestment Details Financial Instrument Details Identification Other Proprietary Identification ISIN**<br>**Reinvestment Details** | This tag specifies the income on the fund or security that is to be reinvested. | Optional |

**Table 2-171 (Cont.) Investment Account**

| Field | Description | Attributes |
|---|---|---|
| **Financial Instrument Details** | Investment fund for the reinvestment is indicated by this tag. | Mandatory |
| **Identification** | It is the unique and unambiguous identifier of a security. | Mandatory |
| **Other Proprietary Identification** | This will be the proprietary identification of the security assigned by an institution or organisation. | Mandatory |
| **ISIN** | This specifies International Securities Identification Number (ISIN). | Mandatory |
| **Ticker Symbol** | These are letters that identify a stock traded on a stock exchange. | Mandatory |
| **Reinvestment Percentage** | It denotes the percentage of the reinvestment. | Mandatory |
| **Opening Date Date**<br>**Opening Date** | It denotes legal opening date for the account and the account opening date cannot be backdated. | Optional |
| **Date** | Legal opening date for the account. | Optional |

### Account Parties

**Table 2-172 Account Parties**

| Field | Description | Attributes |
|---|---|---|
| **Account Parties** | It gives confirmation of information related to parties of the account, for example, primary account owner. This section will be available only if the account parties is requested in the GetAccountDetails.<br>These are the additional details of the unitholder. | Mandatory |
| **Principal Account Party Primary Owner Party Organisation**<br>**Principal Account Party** | Main party associated with the account is given by this tag. | Mandatory |
| **Primary Owner** | This tag denotes the owner of the account. | Mandatory |
| **Party** | Information about the organisation or individual person is given by this tag. | Mandatory |
| **Organisation Registration Country Postal Address Postal Address Address Line Country**<br>**Organisation** | This will be the organised structure that is been set up for a particular purpose. i.e.,) Corporate account. | Mandatory |
| **Registration Country** | Country in which the organisation is registered is specified by this tag. | Optional |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Address Line** | This is the information that locates and identifies a specific address. | Optional |
| **Country** | Country of the address is denoted by this tag. | Mandatory |

**Table 2-172 (Cont.) Account Parties**

| Field | Description | Attributes |
|---|---|---|
| **Individual Person Name Prefix Code Middle Name Name**<br>**Individual Person** | This will be the human entity, who is distinguished from a corporate entity. | Mandatory |
| **Name Prefix** | It is the term used to address the person. | Optional |
| **Code** | Name prefix is expressed as a code. | Mandatory |
| **Middle Name** | It indicates the middle name of the party. | Optional |
| **Name** | It indicates the name by which the party is known and which is normally used to identify that person. | Mandatory |
| **Gender** | This tag indicates the gender of the person. | Optional |
| **Birth Date** | This is the date on which the person was born. | Optional |
| **Country Of Birth** | This is the country where the person was born. | Optional |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Address Line** | This is the information that locates and identifies a specific address.<br>**Note:** First Address line will be 'Address Line 1', Second Address line will be 'Address Line 2', Third Address line will be 'Address Line 3', Fourth Address line will be 'Address Line 4' and Fifth Address line will be 'Zip Code'. | Optional |
| **Country** | Country of the address is given by this tag. | Mandatory |
| **Citizenship** | Nationality and legal status (minor or major) information can be obtained by this tag. | Optional |
| **Nationality** | This tag denotes the country where a person was born or to the country where the person is legally accepted as belonging. | Mandatory |
| **Minor Indicator** | It indicates whether the person is a legal minor. | Mandatory |
| **Other Identification Identification Type Code Other Identification**<br>**Other Identification** | This will be the alternative identification such as national registration identification number, passport number, tax identification number. | Optional |
| **Identification** | It can be name or number assigned by an entity to enable recognition of that entity. | Mandatory |
| **Type** | It denotes the type of identification. | Mandatory |
| **Code** | Type of identification is expressed as a code. | Mandatory |
| **Issue Date** | It is the date at which the identification was issued. | Optional |
| **Expiry Date** | It will be the date at which the identification expires. | Optional |
| **Issuer Country** | It is the country that issued the identification document. | Optional |
| **Primary Communication Address Email**<br>**Primary Communication Address** | It specifies the means of communication with the person. | Optional |

**Table 2-172 (Cont.) Account Parties**

| Field | Description | Attributes |
| --- | --- | --- |
| **Email** | This is the Email address of the person. The maximum length is 255 characters. | Optional |
| **Custodian For Minor Party Individual Person Name**<br>**Custodian For Minor** | It gives information on the entity that holds shares/units on behalf of a legal minor. | Optional |
| **Party** | It gives information about the individual person. | Mandatory |
| **Individual Person** | It is the human entity, as distinguished from a corporate entity. | Mandatory |
| **Name** | It is the tag by which the party is known and used to identify that person. | Mandatory |
| **Successor On Death Party Individual Person Name**<br>**Successor On Death** | Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred is given by this tag. | Optional |
| **Party** | It gives information about the organisation or individual person. | Mandatory |
| **Individual Person** | It is the human entity, as distinguished from a corporate entity. | Mandatory |
| **Name** | It is the tag by which the party is known and used to identify that person. | Mandatory |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Address Line** | This is the information that locates and identifies a specific address. | Optional |
| **Country** | It denotes the country of the address. | Mandatory |
| **Ownership Beneficiary Rate Rate**<br>**Ownership Beneficiary Rate** | It will be the percentage of ownership or of beneficial ownership of the shares/units in the account. | Optional |
| **Rate** | Ownership or beneficial ownership is expressed as a percentage. | Optional |

### Intermediaries

**Table 2-173 Intermediaries**

| Field | Description | Attributes |
| --- | --- | --- |
| **Intermediaries** | It gives confirmation of information of an intermediary or other party related to the management of the account. This section will be available only if the intermediaries is requested in the GetAccountDetails. | NA |
| **Identification Any BIC**<br>**Identification** | This denotes the intermediary or other party related to the management of the account. | Mandatory |
| **Any BIC** | This is the code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority. | Mandatory |

**Table 2-173 (Cont.) Intermediaries**

| Field | Description | Attributes |
| --- | --- | --- |
| **Proprietary Identification Identification Role Code**<br>**Proprietary Identification** | It is the unique and unambiguous identifier assigned to a financial institution. | Mandatory |
| **Identification** | IIt is the identification assigned by an institution. | Mandatory |
| **Role** | Role or function performed by the intermediary | Optional |
| **Code** | Role is expressed as a code. Role code 'INTR' is supported using SWIFT.<br>• If the client country 'TXNBROKERS' is enabled, then the intermediaries details will be considered as the broker ID.<br>• If the client country 'TXNBROKERS' is disabled, then the intermediaries details will be considered as the agent.<br>• If the client country 'TXNBROKERS' is disabled and provided with the role code 'INTR', then the agency branch will be selected based on the agent code. Also, IFA and account officer will be defaulted to 'DIRECT'.<br>• If intermediaries section is not available, default broker 'DIRECT' or module agent code will be defaulted accordingly. | Optional |

### Cash Settlement

**Table 2-174 Cash Settlement**

| Field | Description | Attributes |
| --- | --- | --- |
| **Cash Settlement** | Cash settlement stands for instruction associated with transactions on the account.<br>This section will be available only if the cash settlement details is requested in the GetAccountDetails. | NA |
| **Cash Account Details** | It is the details of the account to credit or debit. | Optional |
| **Settlement Currency** | It is the payment currency. | Mandatory |
| **Identification Other Identification**<br>**Identification** | Unique and unambiguous identification for the account | Mandatory |
| **Other** | Unique identification of an account. | Mandatory |
| **Identification** | Identification assigned by an institution. | Mandatory |
| **Name** | It defines the name of the account. | Optional |
| **Account Owner** | It indicates the party that legally owns the account. | Optional |
| **Any BIC** | It will be the code allocated to a financial or non-financial institution. | Mandatory |
| **Proprietary Identification Identification**<br>**Proprietary Identification** | It is the unique and unambiguous identifier. | Mandatory |

**Table 2-174 (Cont.) Cash Settlement**

| Field | Description | Attributes |
|---|---|---|
| **Identification** | Identification assigned by an institution. | Mandatory |
| **Account Servicer Branch Identification**<br>**Account Servicer Branch** | It is the Information that identifies a specific branch of a financial institution. | Optional |
| **Identification** | It is the unique and unambiguous identification of a branch of a financial institution. | Optional |

# 2.57 Account Modification

This topic provides information on Account Modification and its tags in messages.

**Account Modification Instruction V08:**

This message is to modify an existing account/unitholder using SWIFT messages as per 2021 SWIFT regulations.

The AccountModificationInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to modify, that is, create, update or delete specific details of an existing account.

**Design scope:**

This account modification message should modify the below maintenances/transactions if the respective tags are provided.

- Unitholder along with
  - Bank details
  - Intermediaries
- Account status change
- UH IDS Setup for reinvestment details

Confirmation message will be sent on the successful modification of the unitholder in FCIS.

This topic contains the following sub-topics:

- Tags in Message
  This topic provides information on Account Modification and its tags in messages.

## 2.57.1 Tags in Message

This topic provides information on Account Modification and its tags in messages.

**MX acmt.003.001.08**

The AccountModificationInstruction message is used to modify the details of an existing account. The AccountModificationInstruction message can be used to:

- Maintain/Update any of the existing account details, for example, to update the address of the beneficiary or modify the preference to income from distribution to capitalization, or,

- Add/Create specific details to the existing account when these details were not yet recorded at the time of account creation, for example, to establish new cash settlement or,
- Delete specific account details, for example, delete cash settlement, or,
- Instruct a change to the status of the account, for example, instruct the closure of the account.

The usage of this message may be subjected to **Service Level Agreement (SLA)** between the counterparties. The execution of the AccountModificationInstruction is confirmed via an AccountDetailsConfirmation message on receiving the GetAccountDetail for the same.

### Account Modification Instruction

**Table 2-175 Account Modification Instruction**

| Field | Description | Attributes |
|---|---|---|
| **Account Modification Instruction** | This is the root tag for account modification instruction. | Mandatory |

The AccountModificationInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks as shown below,

### Message Identification

**Table 2-176 Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Message Identification** | It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time. | Mandatory |
| **Identification Creation Date Time**<br>**Identification** | This tag is used for Identification of the message. | Mandatory |
| **Creation Date Time** | This tag indicates the date of creation of the message. | Mandatory |

### Previous Reference

**Table 2-177 Previous Reference**

| Field | Description | Attributes |
|---|---|---|
| **Previous Reference** | This tag will not be used for the account opening process as per the current scope. | Optional |

### Instruction Details

**Table 2-178 Instruction Details**

| Field | Description | Attributes |
|---|---|---|
| **Instruction Details** | InstructionDetails tag gives information about the opening instruction. This tag is identified by a new element in FCIS. | Mandatory |

**Table 2-178 (Cont.) Instruction Details**

| Field | Description | Attributes |
|---|---|---|
| **Modification Reason** | This tag gives the reason for the modification to the investment account information. | Optional |

### Investment Account Selection

**Table 2-179 Investment Account Selection**

| Field | Description | Attributes |
|---|---|---|
| **Investment Account Selection** | It identifies the account for which the information is modified. | Mandatory |
| **Account Identification** | Unique and unambiguous identification for the account. | Optional |

### Modified Investment Account

**Table 2-180 Modified Investment Account**

| Field | Description | Attributes |
|---|---|---|
| **Modified Investment Account** | Information related to general characteristics of the account to be inserted, updated or deleted. | NA |
| **Account Status Update Instruction Update Instruction Code**<br>**Account Status Update** | Change of account status as instructed in this tag. | Optional |
| **Update Instruction** | Type of status change instructed for the account. | Mandatory |
| **Code** | Type of change to the account status is expressed as a code. | Mandatory |
| **Name Type Code**<br>**Name** | This tag provides the name of the account. | Optional |
| **Type** | This tag is used to identify the type of account. | Optional |
| **Code** | Type of account is expressed as a code. | Mandatory |
| **Ownership Type Code**<br>**Ownership Type** | This tag denotes ownership status of the account. | Mandatory |
| **Code** | Ownership type is expressed as a code. | Mandatory |
| **Statement Frequency Code**<br>**Statement Frequency** | Frequency at which a statement is issued is denoted by this tag. | Optional |
| **Code** | Statement frequency is expressed as a code. | Mandatory |
| **Reference Currency** | This tag indicates the currency chosen for reporting purposes. | Optional |
| **Language** | Preferred language of the account holder is denoted by this tag. | Optional |
| **Reinvestment Details Financial Instrument Details Identification Other Proprietary Identification ISIN**<br>**Reinvestment Details** | This tag specifies the income on the fund or security that is to be reinvested. | Optional |

**Table 2-180 (Cont.) Modified Investment Account**

| Field | Description | Attributes |
| --- | --- | --- |
| **Financial Instrument Details** | Investment fund for the reinvestment is indicated by this tag. | Mandatory |
| **Identification** | It is the unique and unambiguous identifier of a security. | Mandatory |
| **Other Proprietary Identification** | This will be the proprietary identification of the security assigned by an institution or organisation. | Mandatory |
| **ISIN** | This specifies International Securities Identification Number (ISIN). | Mandatory |
| **Ticker Symbol** | These are letters that identify a stock traded on a stock exchange. | Mandatory |
| **Reinvestment Percentage** | It denotes the percentage of the reinvestment | Mandatory |
| **Opening Date Date**<br>**Opening Date** | It denotes legal opening date for the account and the account opening date cannot be backdated. | Optional |
| **Date** | Legal opening date for the account. | Optional |

### Modified Account Parties

**Table 2-181 Modified Account Parties**

| Field | Description | Attributes |
| --- | --- | --- |
| **Modified Account Parties** | It gives information related to an account party to be inserted, updated or deleted. | NA |
| **Modification Scope Indication** | It specifies the type of modification to be applied. | Mandatory |
| **Principal Account Party Primary Owner Party Organisation**<br>**Principal Account Party** | Main party associated with the account is given by this tag. | Mandatory |
| **Primary Owner** | This tag denotes the owner of the account. | Mandatory |
| **Party** | Information about the organisation or individual person is given by this tag. | Mandatory |
| **Organisation Registration Country Modified Postal Address Modification Scope Indication Postal Address Address Line Country**<br>**Organisation** | This will be the organised structure that is been set up for a particular purpose. i.e.,) Corporate account. | Mandatory |
| **Registration Country** | Country in which the organisation is registered is specified by this tag. | Optional |
| **Modified Postal Address** | This is the information related to an address to be inserted or updated. | Optional |
| **Modification Scope Indication** | It specifies the type of modification to be applied. | Mandatory |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |

**Table 2-181 (Cont.) Modified Account Parties**

| Field | Description | Attributes |
|---|---|---|
| **Address Line** | This is the information that locates and identifies a specific address. | Optional |
| **Country** | Country of the address is denoted by this tag. | Optional |
| **Individual Person Name Prefix Code Middle Name Name**<br>**Individual Person** | This will be the human entity, who is distinguished from a corporate entity. | Mandatory |
| **Name Prefix** | It is the term used to address the person. | Mandatory |
| **Code** | Name prefix is expressed as a code. | Mandatory |
| **Middle Name** | It indicates the middle name of the party. | Optional |
| **Name** | It indicates the name by which the party is known and which is normally used to identify that person. | Mandatory |
| **Gender** | This tag indicates the gender of the person. | Optional |
| **Birth Date** | This is the date on which the person was born. | Mandatory |
| **Country Of Birth** | This is the country where the person was born. | Optional |
| **Modified Postal Address** | This is the information related to an address to be inserted or updated. | Optional |
| **Modification Scope Indication** | It specifies the type of modification to be applied. | Mandatory |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Address Line** | This is the information that locates and identifies a specific address.<br>**Note:** First Address line will be 'Address Line 1', Second Address line will be 'Address Line 2', Third Address line will be 'Address Line 3', Fourth Address line will be 'Address Line 4' and Fifth Address line will be 'Zip Code'. | Optional |
| **Country** | Country of the address is given by this tag. | Mandatory |
| **Modification Citizenship** | It gives the citizenship information to be inserted. | Optional |
| **Modification Scope Indication** | It specifies the type of modification to be applied. | Mandatory |
| **Citizenship** | Nationality and legal status (minor or major) information can be obtained by this tag. | Optional |
| **Nationality** | This tag denotes the country where a person was born or to the country where the person is legally accepted as belonging. | Mandatory |
| **Minor Indicator** | It indicates whether the person is a legal minor. | Mandatory |
| **Other Identification Identification Type Code Other Identification**<br>**Other Identification** | This will be the alternative identification such as national registration identification number, passport number, tax identification number. | Optional |
| **Identification** | It can be name or number assigned by an entity to enable recognition of that entity. | Mandatory |
| **Type** | It denotes the type of identification. | Mandatory |
| **Code** | Type of identification is expressed as a code. | Mandatory |
| **Issue Date** | It is the date at which the identification was issued. | Optional |

**Table 2-181 (Cont.) Modified Account Parties**

| Field | Description | Attributes |
|---|---|---|
| **Expiry Date** | It will be the date at which the identification expires. | Optional |
| **Issuer Country** | It is the country that issued the identification document. | Optional |
| **Primary Communication Address Email**<br>**Primary Communication Address** | It specifies the means of communication with the person. | Optional |
| **Email** | This is the Email address of the person. The maximum length is 255 characters. | Optional |
| **Custodian For Minor Party Individual Person Name**<br>**Custodian For Minor** | It gives information on the entity that holds shares/units on behalf of a legal minor. | Optional |
| **Party** | It gives information about the individual person. | Mandatory |
| **Individual Person** | It is the human entity, as distinguished from a corporate entity. | Mandatory |
| **Name** | It is the tag by which the party is known and used to identify that person. | Mandatory |
| **Successor On Death Party Individual Person Name**<br>**Successor On Death** | Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred is given by this tag. | Optional |
| **Party** | It gives information about the organisation or individual person. | Mandatory |
| **Individual Person** | It is the human entity, as distinguished from a corporate entity. | Mandatory |
| **Name** | It is the tag by which the party is known and used to identify that person. | Mandatory |
| **Modification Postal Address** | It specifies the information related to an address to be inserted, updated or deleted. | Optional |
| **Modification Scope Indication** | It specifies the type of modification to be applied. | Mandatory |
| **Postal Address** | This is the information that locates and identifies a specific address, as defined by postal services. | Mandatory |
| **Address Line** | This is the information that locates and identifies a specific address. | Optional |
| **Country** | It denotes the country of the address. | Mandatory |
| **Ownership Beneficiary Rate Rate**<br>**Ownership Beneficiary Rate** | It will be the percentage of ownership or of beneficial ownership of the shares/units in the account. | Optional |
| **Rate** | Ownership or beneficial ownership is expressed as a percentage. | Optional |

### Modified Intermediaries

**Table 2-182 Modified Intermediaries**

| Field | Description | Attributes |
|---|---|---|
| **Modified Intermediaries** | Information related to intermediaries to be inserted, updated or deleted. Upto ten intermediaries are allowed to maintained. This element is new for FCIS. | NA |
| **Modification Scope Indication** | It specifies the type of modification to be applied | NA |
| **Intermediary** | Intermediary or other party related to the management of the account is given by this tag. | NA |
| **Identification Any BIC Identification** | This denotes the intermediary or other party related to the management of the account. | Mandatory |
| **Any BIC** | This is the code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority. | Mandatory |
| **Proprietary Identification Identification Role Code Proprietary Identification** | It is the unique and unambiguous identifier assigned to a financial institution. | Mandatory |
| **Identification** | Identification assigned by an institution | Mandatory |
| **Role** | Role or function performed by the intermediary | Optional |
| **Code** | Role is expressed as a code. Role code ‘INTR’ is supported using SWIFT.<br>• If the client country ‘TXNBROKERS’ is enabled, then the intermediaries details will be considered as the broker ID.<br>• If the client country ‘TXNBROKERS’ is disabled, then the intermediaries details will be considered as the agent.<br>• If the client country ‘TXNBROKERS’ is disabled and provided with the role code ‘INTR’, then the agency branch will be selected based on the agent code. Also, IFA and account officer will be defaulted to ‘DIRECT’.<br>• If intermediaries section is not available, default broker ‘DIRECT’ or module agent code will be defaulted accordingly. | Optional |

### Modified Cash Settlement

**Table 2-183 Modified Cash Settlement**

| Field | Description | Attributes |
|---|---|---|
| **Modified Cash Settlement** | Cash settlement standing instruction is associated to transactions on the account. | NA |
| **Modified Cash Settlement** | It is the cash settlement standing instruction to be either inserted or deleted. | Mandatory |
| **Modification Scope Indication** | It specifies the type of modification to be applied. | Mandatory |
| **Cash Account Details** | It is the details of the account to credit or debit. | Optional |

**Table 2-183 (Cont.) Modified Cash Settlement**

| Field | Description | Attributes |
|---|---|---|
| **Settlement Currency** | It is the payment currency. | Mandatory |
| **Identification Other Identification**<br>**Identification** | Unique and unambiguous identification for the account | Mandatory |
| **Other** | Unique identification of an account. | Mandatory |
| **Identification** | Identification assigned by an institution. | Mandatory |
| **Name** | It defines the name of the account. | Optional |
| **Account Owner** | It indicates the party that legally owns the account. | Optional |
| **AnyBIC** | It will be the code allocated to a financial or non-financial institution. | Mandatory |
| **Proprietary Identification** | It is the unique and unambiguous identifier. | Mandatory |
| **Identification** | Identification assigned by an institution. | Mandatory |
| **Account Servicer Branch** | It is the Information that identifies a specific branch of a financial institution. | Optional |
| **Identification** | It is the unique and unambiguous identification of a branch of a financial institution. | Optional |

# 2.58 Get Account Details

This topic provides information on Get Account Details and its tags in messages.

**Get Account Details V05:**

This message is to get the requested account/unitholder details using SWIFT messages as per 2019 SWIFT regulations.

The GetAccountDetails message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to query the details of an existing account.

**Design scope:**

This Get Account Details message will carry the below tags along with unitholder ID to mention whether the below informations have to be sent back as confirmation.

- Investment account details
- Intermediaries
- Account parties along with reinvestment details
- Cash settlement details

Confirmation message will be sent only on the successful creation/modification of the unitholder in FCIS.

This topic contains the following sub-topics:

- Tags in Message
  This topic provides information on Get Account Details and its tags in messages.

## 2.58.1 Tags in Message

This topic provides information on Get Account Details and its tags in messages.

**MX acmt.004.001.05**

The GetAccountDetails message is used to query all or some of the details for a given account held with an account servicer.

- The message is used prior to an AccountModificationInstruction in order to validate account information before requesting a modification.
- The GetAccountDetails message may also be used to collect account information for general account reconciliation purposes.

The response to a GetAccountDetails message is via an AccountDetailsConfirmationmessage.

The GetAccountDetailsV05 MessageDefinition is composed of 3 MessageBuildingBlocks asshown below,

**Get Account Details**

**Table 2-184 Get Account Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Get Account Details** | This is the root tag for account querying the account instruction. | Mandatory |

**Message Identification**

**Table 2-185 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time. | Mandatory |
| **Identification Creation Date Time**<br>**Identification** | This tag is used for Identification of the message. | Mandatory |
| **Creation Date Time** | This tag indicates the date of creation of the message. | Mandatory |

**Investment Account Selection**

**Table 2-186 Investment Account Selection**

| Field | Description | Attributes |
| --- | --- | --- |
| **Investment Account Selection** | It identifies the account for which the query is sent. | Mandatory |
| **Account Identification** | Unique and unambiguous identification for the account. | Mandatory |

**Selected Information Type**

**Table 2-187 Selected Information Type**

| Field | Description | Attributes |
|---|---|---|
| **Selected Information Type** | It identifies the type of information that is to be returned through an AccountDetailsConfirmation message. | Mandatory |
| **Investment Account** | It is the unique and unambiguous identifier for the account. | Mandatory |
| **Account Parties** | It indicates if the information about account parties must be selected. | Mandatory |
| **Intermediaries** | It indicates if the information about the intermediaries must be selected. | Mandatory |
| **Investment Plan** | It indicates if the information about the investment plan(s) must be selected. | Mandatory |
| **Cash Settlement** | It indicates if the cash settlement information must be selected. | Mandatory |

# 2.59 Request Account Management Status

This topic provides information on Request Account Management Status and its tags in messages.

**Request for Account Management Status Report V06:**

This message is to request the processing status of previously sent message.

The RequestForAccountManagementStatusReport message is used to request the processing status of a previously sent AccountOpeningInstruction, GetAccountDetails or an AccountModificationInstruction message for which an AccountDetailsConfirmation message has not yet been received.

**Design scope:**

This Request Account Management Status message will carry the below tags,

- Message identification for the current message
- Account details for which the status is requested

This topic contains the following sub-topics:

- Tags in Message
  This topic provides information on Request Account Management Status and its tags in messages.

## 2.59.1 Tags in Message

This topic provides information on Request Account Management Status and its tags in messages.

**MX acmt.005.001.06**

The RequestForAccountManagementStatusReport message is used to request the processing status of previously sent messages.

The RequestForAccountManagementStatusReportV06 MessageDefinition is composed of 2 MessageBuildingBlocks as shown below,

### Request For Account Management Status Report

**Table 2-188 Request For Account Management Status Report**

| Field | Description | Attributes |
| --- | --- | --- |
| **Request For Account Management Status Report** | This is the root tag for requesting the account status. | Mandatory |

### Message Identification

**Table 2-189 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time. | Mandatory |
| **Identification Creation Date Time**<br>**Identification** | This tag is used for Identification of the message. | Mandatory |
| **Creation Date Time** | This tag indicates the date of creation of the message. | Mandatory |

### Request Details

**Table 2-190 Request Details**

| Field | Description | Attributes |
| --- | --- | --- |
| **Request Details** | It identifies the account for which the status of the account management instruction is requested. | Mandatory |
| **Linked Reference Previous Reference Reference**<br>**Linked Reference** | It gives reference to a linked message. | Optional |
| **Previous Reference** | It gives reference to a linked message that was previously sent. | Mandatory |
| **Reference** | Message identification of a message. This reference was assigned by the party issuing the message. | Mandatory |
| **Status Request Type** | Type of account management instruction for which the status is requested or a request to know the status of the account.<br>Alternative: It is the request status on the type of account management instruction or the account. | Mandatory |
| **Investment Account** | Account information for which the status of an account management instruction is requested. | Optional |
| **Account Identification** | Unique and unambiguous identification for the account between the account owner and the account servicer. | Mandatory |

# 2.60 Account Management Status Report

This topic provides information on Account Management Status Report and its tags in messages.

**Account Management Status Report V07:**

This message is to provide the processing status of previously sent message.

The AccountManagementStatusReport message is used to provide the status of a previously received AccountOpeningInstruction, an AccountModificationInstruction or a GetAccountDetails message. It may also be used to report the status of the account

**Design scope:**

This Account Management Status Report message will carry the below tags,

- Message identification for the current message
- Account details for which the status is requested

This topic contains the following sub-topics:

- Tags in Message
  This topic provides information on Account Management Status Report and its tags in messages.

## 2.60.1 Tags in Message

This topic provides information on Account Management Status Report and its tags in messages.

**MX acmt.006.001.07**

The AccountManagementStatusReport message is used to provide the status of a previously received message.

The AccountManagementStatusReportV07 MessageDefinition is composed of following MessageBuildingBlocks,

**AccountManagementStatusReport**

**Table 2-191 Account Management Status Report**

| Field | Description | Attributes |
| --- | --- | --- |
| **Account Management Status Report** | This is the root tag for account status report. | Mandatory |

**Message Identification**

**Table 2-192 Message Identification**

| Field | Description | Attributes |
| --- | --- | --- |
| **Message Identification** | It is the reference that uniquely identifies the message from a business application standpoint. It identifies the message along with the creation date time. | Mandatory |

**Table 2-192 (Cont.) Message Identification**

| Field | Description | Attributes |
|---|---|---|
| **Identification Creation Date Time**<br>**Identification** | This tag is used for Identification of the message. | Mandatory |
| **Creation Date Time** | This tag indicates the date of creation of the message. | Mandatory |

### Related Reference

**Table 2-193 Related Reference**

| Field | Description | Attributes |
|---|---|---|
| **Related Reference** | This is the reference to a linked message that was previously received. | Optional |
| **Reference** | Message identification of a message. This reference was assigned by the party issuing the message. | Mandatory |

### Status Report

**Table 2-194 Status Report**

| Field | Description | Attributes |
|---|---|---|
| **Status Report** | It is the status report details of the account management instruction that was previously received. | Mandatory |
| **Status Code**<br>**Status** | It is the status of the account management instruction that was previously received. | Mandatory |
| **Code** | It is the status of the account which is expressed as a code. | Mandatory |
| **Rejected Reason Code Additional Reason Information**<br>**Rejected** | This tag indicates that the status of the account management instruction is rejected. | Mandatory |
| **Reason** | It gives the reason for the rejected status. | Mandatory |
| **Code** | The rejected reason is expressed as a code. | Mandatory |
| **Additional Reason Information** | It is the additional information about the rejected status reason. | Optional |
| **Account Identification** | It is the unique and unambiguous identification for the account between the account owner and the account servicer. | Optional |
| **Account Status Enabled Closed Closure Pending Pending Opening**<br>**AccountStatus** | It specifies the status of the account. | Optional |
| **Enabled No Specified Reason Reason**<br>**Enabled** | It is the status of the account that can be used for its intended purpose. | Optional |
| **No Specified Reason** | There is no reason available or to report for the enabled account status. | Mandatory |

**Table 2-194 (Cont.) Status Report**

| Field | Description | Attributes |
|---|---|---|
| **Reason Code**<br>**Reason** | It is the reason available for the enabled account status. | Mandatory |
| **Code** | Reason for the enabled account status is expressed as a code. | Mandatory |
| **Closed No Specified Reason**<br>**Closed** | This tag indicates that the status of the account is closed. | Optional |
| **No Specified Reason** | There is no reason available or to report for the closed account status. | Mandatory |
| **Closure Pending Reason Code**<br>**Closure Pending** | This tag indicates that the account closure is pending. | Optional |
| **Reason** | It is the reason for the closure pending status of an account. | Mandatory |
| **Code** | Reason for the closure pending status is expressed as a code. | Mandatory |
| **Pending Opening Reason Code**<br>**Pending Opening** | This tag indicates that the account opening is pending. | Optional |
| **Reason** | It is the reason for the account opening pending status. | Mandatory |
| **Code** | Reason for the account opening pending status is expressed as a code. | Mandatory |

# 3 VESTIMA+ Processing

This topic describes about the instruction on processing of vestima.

Vestima+ is an automated external system that facilitates the routing and execution of fund orders between **Oracle FLEXCUBE Investor Services** and outside parties. These orders can be placed either through the Vestima+ web browser or SWIFT. The party placing the fund order is the **Order Issuer (OI)** and the party executing the orders is the **Order Handling Agent (OHA)**.

This topic contains the following sub-topics:

- Message Generation between FCIS and Vestima+
  This topic describes about the message generation between FCIS and Vestima+.
- Entity Media Maintenance
  This topic describes about the requirement to link entities eligible to send and receive messages to each other through Vestima+.
- Entity Media Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Messages Processed in Vestima+
  This topic descrives about the messages processed in vestima+.

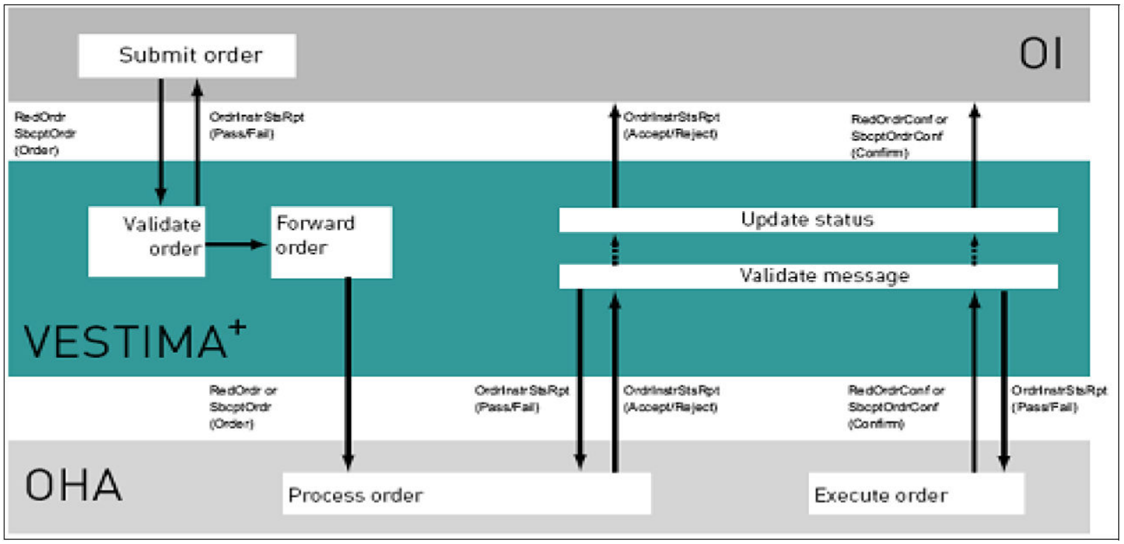
## 3.1 Message Generation between FCIS and Vestima+

This topic describes about the message generation between FCIS and Vestima+.

The fund order, which can be a subscription, redemption or switch transaction, is initiated by the OI and sent to Vestima+. Based on the data available within the Vestima+ system, the order is enriched and passed to the appropriate OHA. If the OHA sends an optional status message to indicate the receipt of the order to Vestima+, it will be forwarded by Vestima+ to the OI. After the OHA executes the order, it sends a confirmation message (depending on the type of order) to Vestima+ which is enriched and passed on to the OI.

The following diagram illustrates the flow of messages between FCIS and Vestima+:

**Figure 3-1 Flow of messages between FCIS and Vestima+**




The ISO 20022 messages that are supported by the Vestima+ system are:

- RedemptionMultipleOrderV04 - setr.004.001.04 (RedOrdr)
- RedemptionMultipleOrderCancellationInstructionV04 - setr.005.001.04 (RedOrdrCxlReq)
- RedemptionMultipleOrderConfirmationV04 - setr.006.001.04 (RedOrdrConf)
- SubscriptionMultipleOrderV04 - setr.010.001.04 (SbcptOrdr)
- SubscriptionMultipleOrderCancellationInstructionV04 - setr.011.001.04 (SbcptOrdrCxlReq)
- SubscriptionMultipleOrderConfirmationV04 - setr.012.001.04 (SbcptOrdrConf)
- OrderInstructionStatusReportV04 - setr.016.001.04 (OrdrInstrStsRpt)
- OrderCancellationStatusReportV04 - setr.017.001.04 (OrdrCxlStsRpt)
- SecuritiesMessageRejection - semt.001.001.03 (SctiesMsgRjctn)

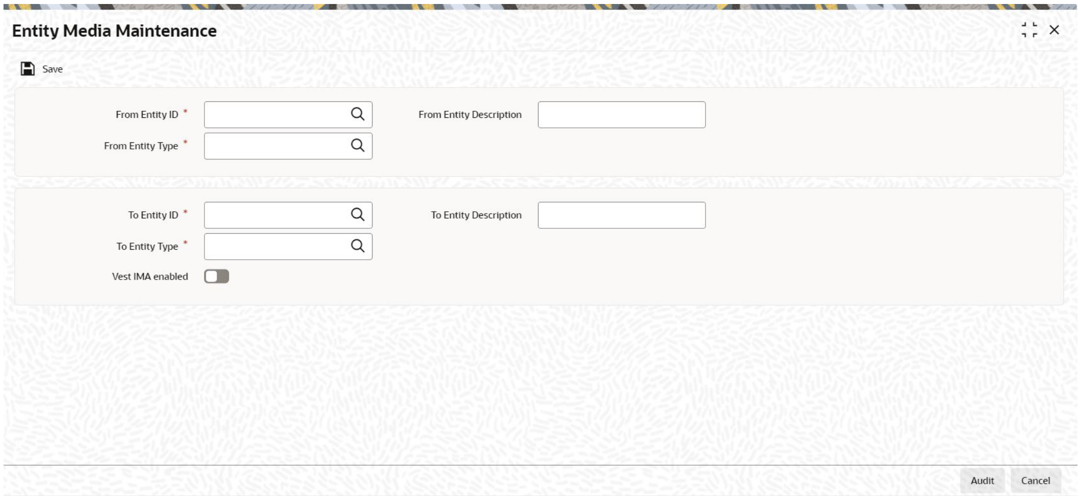
# 3.2 Entity Media Maintenance

This topic describes about the requirement to link entities eligible to send and receive messages to each other through Vestima+.

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

   The **Entity Media Maintenance** screen is displayed.

**Figure 3-2 Entity Media Maintenance**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Entity Media Maintenance** screen, click **New** and specify the details.

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

**Table 3-1 Entity Media Maintenance - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **From Entity ID** | Click the search icon and select the entity ID from the list. | *Alphanumeric; 12 Characters; Mandatory* |
| **From Entity Description** | Displays the description based on the from entity ID selected. | *Alphanumeric; 3 Characters; Optional* |
| **From Entity Type** | Click the search icon and select the entity type from the list. | *Alphanumeric; 1 Character; Mandatory* |
| **To Entity ID** | Click the search icon and select the entity ID from the list. | *Alphanumeric; Mandatory* |
| **To Entity Description** | Displays the description based on the to entity ID selected. | *Alphanumeric; Mandatory* |
| **To Entity Type** | Enter the **From Date** that marks the beginning of the period for which the manual message generates. | *Alphanumeric; Mandatory* |
| **Vest IMA Enabled** | Switch to the enabled toggle to indicate that Vest IMA processing is supported for transactions.<br>Switch to the disabled toggle to disable Vest IMA processing for transactions. | *Optional* |

4. Click **Save** to save the record.

# 3.3 Entity Media Maintenance Summary

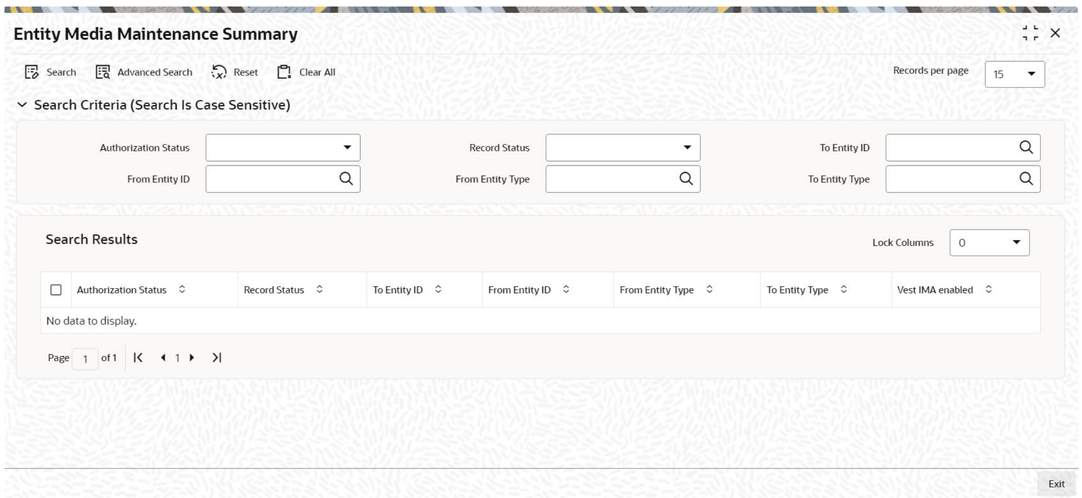
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve Entity Media Maintenance Summary Record**

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

   The **Entity Media Maintenance Summary** screen is displayed.

   **Figure 3-3 Entity Media Maintenance Summary**

2. On **Entity Media 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**
   - **To Entity ID**
   - **From Entity Type**
   - **From Entity ID**
   - **To Entity Type**
   - **Vest IMA Enabled**
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 To **Entity 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.

   For more information on operations, refer the following:

- Edit Entity Media Maintenance Record
  This topic provides the systematic instructions to edit Entity Media Maintenance record.
- View Entity Media Maintenance Summary Record
  This topic provides the systematic instructions to view Entity Media Maintenance Summary record.
- Delete Entity Media Maintenance Summary Record
  This topic provides the systematic instructions to delete Entity Media Maintenance Summary record.
- Authorize Entity Media Maintenance Summary Record
  This topic provides the systematic instructions to authorize Entity Media Maintenance Summary record.
- Amend Entity Media Maintenance Summary Record
  This topic provides the systematic instructions to amend Entity Media Maintenance Summary record.
- Authorize Amended Entity Media Maintenance Summary Record
  This topic provides the systematic instructions to authorize amended Entity Media Maintenance Summary record.

## 3.3.1 Edit Entity Media Maintenance Record

This topic provides the systematic instructions to edit Entity Media Maintenance record.

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

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

## 3.3.2 View Entity Media Maintenance Summary Record

This topic provides the systematic instructions to view Entity Media Maintenance Summary record.

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

1. Start the **Entity Media 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 **Entity Media Maintenance Summary Detail** screen is displayed.

## 3.3.3 Delete Entity Media Maintenance Summary Record

This topic provides the systematic instructions to delete Entity Media Maintenance Summary record.

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

1. Start the **Entity Media 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 **Entity Media Maintenance Summary 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.

## 3.3.4 Authorize Entity Media Maintenance Summary Record

This topic provides the systematic instructions to authorize Entity Media Maintenance Summary record.

Authorize an unauthorized Entity Media Maintenance Summary Record in the system for it to be processed as follows:

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

   All records with the specified details that are pending authorization are retrieved and displayed in the screen.
4. Double-click the record that you wish to authorize.

   The **Entity Media Maintenance Summary 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.

## 3.3.5 Amend Entity Media Maintenance Summary Record

This topic provides the systematic instructions to amend Entity Media Maintenance Summary 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 **Entity Media Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the screen.
4. Double-click the record that you wish to amend.

   The **Entity Media Maintenance Summary 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.

## 3.3.6 Authorize Amended Entity Media Maintenance Summary Record

This topic provides the systematic instructions to authorize amended Entity Media Maintenance Summary record.

Authorize an amended Entity Media Maintenance Summary for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

# 3.4 Messages Processed in Vestima+

This topic descrives about the messages processed in vestima+.

### Events for Message Generation

Various messages are sent through Vestima+ while processing an order. Typically the messages sent by OIs to Vestima+ are forwarded by Vestima+ to the appropriate OHAs. Similarly, messages received by Vestima+ from the OHAs are forwarded by Vestima+ to the OIs.

The different events for which messages are generated are:

- Creation of new orders
- Cancellation of existing orders
- Confirmation of orders executed
- Status updates
- Securities rejection

### Creation of New Orders

The following messages are used by the OIs for creation of new orders. These are sent to Vestima+ and in turn, Vestima+ forwards these to the appropriate OHAs through SWIFT.

**Table 3-2 Creation of New Orders**

| Message | Message Name | Purpose | FCIS Code |
|---|---|---|---|
| RedOrdr | setr.004.001.04 RedemptionMultipleOrderV04 | New Redemption Order | RMO |
| SbcptOrdr | setr.010.001.04 SubscriptionMultipleOrderV04 | New Subscription Order | SMO |
| SwtchOrdr | setr.013.001.04 SwitchOrderV04 | New Switch Order | SWC |

### Cancellation of Existing Orders

The following messages are used by the OIs for to request cancellation of orders previously issued. These are sent to Vestima+ and in turn, Vestima+ forwards these to the appropriate OHAs through SWIFT.

**Table 3-3 Cancellation of Existing Orders**

| Message | Message Name | Purpose | FCIS Code |
|---|---|---|---|
| RedOrdrCxlReq | Setr.005.001.04 RedemptionMultipleOrderCancellationInstructionV04 | Cancellation of a Redemption Order | RMC |
| SbcptOrdrCxl- Req | Setr.011.001.04 SubscriptionMultipleOrderCancellationInstructionV04 | Cancellation of Subscription Order | SMC |
| SwtchOrdrCxl- Req | setr.014.001.04 SwitchOrderCancellationRequestV04 | Cancellation of Switch Order | SCA |

### Confirmation of Executed Orders

The following messages are sent by OHAs to Vestima+ to confirm the orders received. These are forwarded by Vestima+ to the OIs.

**Table 3-4 Confirmation of Executed Orders**

| Message | Message Name | Purpose | FCIS Code |
|---|---|---|---|
| RedOrdrConf | setr.006.001.04 RedemptionMultipleOrderConfirmationV04 | Confirmation of Redemption Order | RMO |
| SbcptOrdrConf | setr.012.001.04 SubscriptionMultipleOrderConfirmationV04 | Confirmation of Subscription Order | SMO |
| SwtchOrdrConf | setr.015.001.04 SwitchOrderConfirmationV04 | Confirmation of Switch Order | SCM |

### Status Updates

Status messages are used by Vestima+ as a means of validating the inbound message process and to provide the status of an order or cancellation order.

**Table 3-5 Status Updates**

| Message | Message Name | Purpose | FCIS Code |
|---|---|---|---|
| OrdrInstrStsRpt | setr.016.001.04 OrderInstructionStatusReportV04 | Order Instruction Status Report | OIS |
| OrdrCxlStsRpt | setr.017.001.04 OrderCancellationStatusReportV04 | Order Cancellation Status Report | OCS |

> **Note**
>
> The status message is optional in case of positive validations for the inbound message.

### Securities Rejection

If no action is possible on a message received by Vestima+, for instance if the originator of the message is unknown or a reference not recognized by Vestima+ has been received in the message, then Vestima+ issues the semt.001.001.03 SecuritiesMessageRejectionV03 which is the Securities Rejection message.

4

# Interfaces with External Systems

This topic describes about the information on interfaces with external systems.

**Oracle FLEXCUBE Investor Servicing (FCIS)** provides a facility to effect data exchanges and transfers with external systems. You can import exchange rates or NAV from an external system, or export transaction and dividend information to any external accounting system. The external system may be a file system or an application.

The data exchange can be effected through an interface with the external system. This interface consists of the following components:

- An interface definition that will capture all the information that is needed for processing and effecting the data exchange. You can designate all the procedures that need to be called, the internal tables that will be inserted into or read from, the database objects that will be used, the file formats and so on.
- The interface processing module that will actually process the interface, effect the data exchange, and create a log of these activities.
- The file access services that will be utilized by the interface processing module for the purpose of effecting the data exchange.

You can process an interface in one of the following ways:

- As part of the End of Day Procedures, you can trigger the processes specified for the interface through a simple dialogue screen. The system performs the data exchange and flashes a message upon successful completion of the activities.
- You can schedule the interface through the Scheduler Services in FCIS by specifying the Interface ID as a parameter for a task, and then schedule the task to be executed as desired, as a job, as follows:
  - Define an interface definition from FCIS to the external system or vice versa. The interface definition will be associated with a unique Interface ID.
  - Define a task (through the Task Maintenance screen) and indicate the Interface ID as a parameter to the task.
  - Schedule the task by associating it with a time-based or event-based frequency and define it as a job, through the Job Maintenance screen.
  - Activate the scheduler, and it will call the Interface Processing module at the time specified, and pass the Interface ID as a parameter to the module.
  - The Interface Processing module will then execute the defined interface and log any errors that will result.

You can access the interface processing screens from the following menu categories in the Fund Manager component:

- The **Interface Maintenance (Detail)** screen from the Maintenance menu category.
- The **Interface Maintenance Summary** Screen.
- The **Online Execution of Interfaces** screen from the Batch menu category

This topic contains the following sub-topics:

- FCIS Interface Maintenance Detail
This topic provides infromation on FCIS interface maintenance details.
- FCIS Interface Maintenance Summary
This topic provides the systematic instructions to perform the basic operations on the selected records.
- Interface Mapping Detail
This topic describes the systematic instructions to interface mapping detail.
- Interface Mapping Summary
This topic provides the systematic instructions to perform the basic operations on the selected records.
- Online Interface Execution
This topic describes the systematic instructions to execution online interfacel.
- Scheduler Services
This topic describes about the description of the Scheduler Services.
- Jobs Summary
This topic provides the systematic instructions to perform the basic operations on the selected records.
- Tasks Summary
This topic provides the systematic instructions to perform the basic operations on the selected records.
- Scheduling Jobs
This topic describes the about the information on scheduling the jobs.
- UH NAV Alert Setup Detail
This topic describes about the instructions to set up alert for UH NAV.
- UH NAV Alert Setup Summary Screen
This topic provides the systematic instructions to perform the basic operations on the selected records.
- Setting up General Ledger Template
This topic describes the about the information on setting up template on general ledger.
- GL Template Summary
This topic provides the systematic instructions to perform the basic operations on the selected records.
- GL Interface Set-up Detail
This topic describes about the instructions to set up details for GL interfaces.
- GL Interface Set-Up Summary
This topic provides the systematic instructions to perform the basic operations on the selected records.
- Accounting System GL Setup Detail
This topic describes about the infromation setting up accounting system GL.
- Accounting System GL Setup Summary
This topic provides the systematic instructions to perform the basic operations on the selected records.
- FCIS – AWD Interface
This topic describes about the information on interfaces with FCIS - AWD.
- EPU Upload
This topic describes about the information on EPU upload.

- [Tax Aggregation Interface]
  This topic describes about the information on Tax Aggregation Interface.
- [Agent Reference File]
  This topic describes about the information on Agent Reference File.
- [Oracle Financial Interface]
  This topic describes about the information on Oracle Financial Interface.
- [Product - Fund - Asset Code Mapping Interface]
  This topic describes about the information on Product - Fund - Asset Code Mapping Interface.
- [Global Order Placement Interface]
  This topic describes about the information on Global Order Placement Interface.

# 4.1 FCIS Interface Maintenance Detail

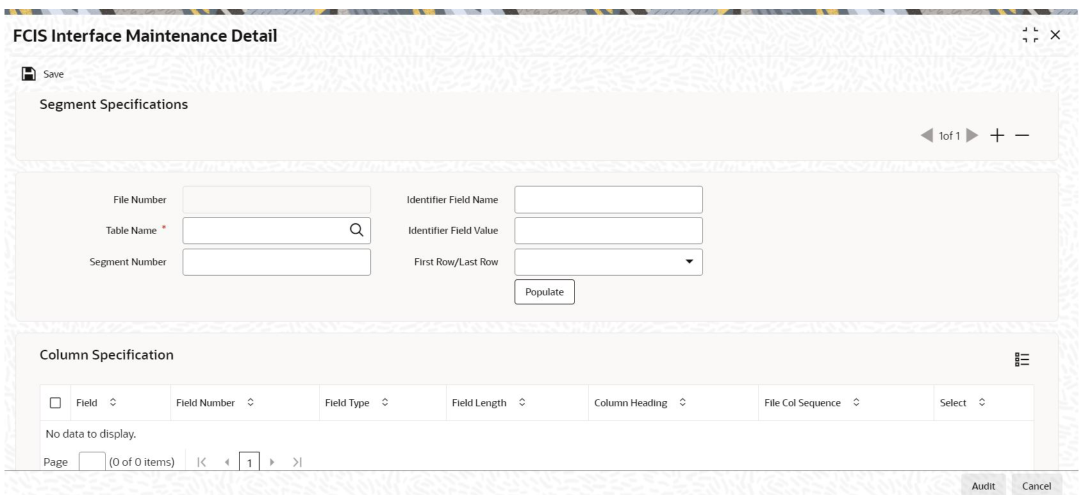
This topic provides infromation on FCIS interface maintenance details.

The **FCIS Interface Maintenance Detail** screen helps you locate and retrieve the messages you want to manually generate, from the database.

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

   The **FCIS Interface Maintenance Detail** screen is displayed.

**Figure 4-1 FCIS Interface Maintenance Detail**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.
3. On **FCIS Interface Maintenance Detail** screen, click **New** and specify the details.

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

**Table 4-1 FCIS Interface Maintenance Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Interface ID** | Every interface that you define is assigned a unique identification by the system, known as the Interface ID. This ID is generated by the system when you save a new definition, after you have specified all the information that is mandatory for the interface, in this screen.<br>When you retrieve an existing interface definition using the Find Screen, the ID of the retrieved interface is displayed in this field. | NA |
| **Description** | Specify the description of the interface ID. | *Alphanumeric; 255 Characters; Optional* |
| **Import/ Export Type** | Select the type from the drop-down list. The available options are:<br>• **Import**<br>• **Export** | *Mandatory* |
| **Import/ Export Basis** | Select the basis from the drop-down list. The available options are:<br>• You can export data from any of the following database object types:<br>– **Table**: You can export the data in all fields from a table, or part of the fields<br>– **Procedure**: You can execute a procedure that will return the data that must be exported. This procedure will populate a table or multiple tables with the data results. You can also execute a procedure on the basis of data populated into the tables.<br>– **SQL**: You can execute a SQL string with an SQL statement that is associated with manipulation of data.<br>• You can import data into any of the following database object types:<br>– **Table**: You can import data from an external specified file into an internal table.<br>– **Procedure**: You can import the data from an external file to a temporary internal table, and run a procedure to validate the imported data and populate it into the required internal table.<br>You can choose the required option from the drop-down list, according to the type of interface. | *Mandatory* |
| **Interface Code** | Click the icon and select the interface code that identifies the sending and receiving systems for the interface from the list.<br>The interface code identifies the two components or applications that are on either end of any interface definition. Any interface has a sending system that exports data and a receiving system that receives the exported data as an import.<br>For more information on interface codes, refer Table 4-2. | *Alphanumeric; 3 Characters; Mandatory* |

**Table 4-1 (Cont.) FCIS Interface Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Number of Files (Import-Export)** | Specify the number of files that must be imported or exported. For procedure based or table based interfaces, if the number of files is greater than zero, then the names of all the tables that will be impacted by the procedure or SQL string are displayed in the File Specifications Tab. | *Numeric, 2 Characters; Mandatory* |
| **Split Column** | This field captures details of multiple files that are created for unique set of information and can uniquely identify the files.<br>This option is available only, if the Segmentation toggle is disbabled. | *Alphanumeric; 50 Characters; Optional* |
| **Subroutine Name** | Specify the name of the back-end procedure to be called by the system during interface execution. It is applicable only if import / export basis is procedure. | *Alphanumeric; 50 Characters; Optional* |
| **Enabled** | Select the option from the drop-down list. The available options are:<br>• **Yes**<br>• **No**<br>Select **Yes** to enable the interface from the drop-down list. An interface that is not enabled cannot be processed, and all jobs and tasks that are associated with the interface are not executed.<br>By default, when you define a new interface and save the definition in this screen, the interface is created as an enabled interface.<br>When you are editing the record of an interface in this screen, the only editing that is possible is enabling or disabling it, by checking or un-checking this box. All other fields in the screen are locked in Edit Mode. | *Mandatory* |
| **Process per File?** | Select the option to indicate whether the bulk upload file needs to be processed in a sequential manner. The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Auto Number?** | Select the option to indicate whether the system should automatically generate sequence number for bulk import. The sequence number is automatically generated if you select **YES**.<br>The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Export Data First?** | Select the option to indicate whether the data needs to be exported.<br>The available options are:<br>• **Yes**<br>• **No** | *Optional* |

**Table 4-1 (Cont.) FCIS Interface Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Segmentation?** | In cases where the information is spread over several files, select **Yes** from the drop-down list to upload all the files.<br>The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Auto Import Keystring?** | Select if keystring has to be auto imported or not from the drop-down list. The available options are:<br>• **Yes**<br>• **No**<br>All import and export tables have a key string column. The interface system imports the files into these tables with a specific key string. The import wrapper will pick up the records with the same key string and process them. This improves the multi user capability of interface system and also allows us to reuse the same header and trailer tables for most of the imports and exports. | *Optional* |
| **File Specification Required?** | Select if you wish to indicate that file specifications are required.<br>The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Generate Empty File** | Select if empty file has to be generated or not from the drop-down list.<br>The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Interface Parameters** | Procedure-based interfaces will need certain parameters that you must specify for their execution. | NA |
| **Parameter Name** | Select the name of the parameter that is required for the procedure, from the drop-down list. You can specify as many parameters as are necessary. | *Alphanumeric, 50 Characters; Mandatory* |
| **Parameter Value** | Specify the value for the same in this field, If you have selected a non-standard parameter. | *Alphanumeric, 50 Characters; Optional* |
| **Standard** | Specify the standard specific to the FCIS application. You need not specify a value for standard parameters. | *Numeric, 1 Character; Mandatory* |

**Table 4-2 Interface Codes**

| Interface Code | Sending System | Receiving System |
|---|---|---|
| I2F | FLEXCUBE-Investor Services | Operating System |
| C2I | FLEXCUBE-Securities | FLEXCUBE-Investor Services |
| I2C | FLEXCUBE-Investor Services | FLEXCUBE-Securities |
| F2I | Operating System | FLEXCUBE-Investor Services |
| I2I | FLEXCUBE-Investor Services | FLEXCUBE-Investor Services |

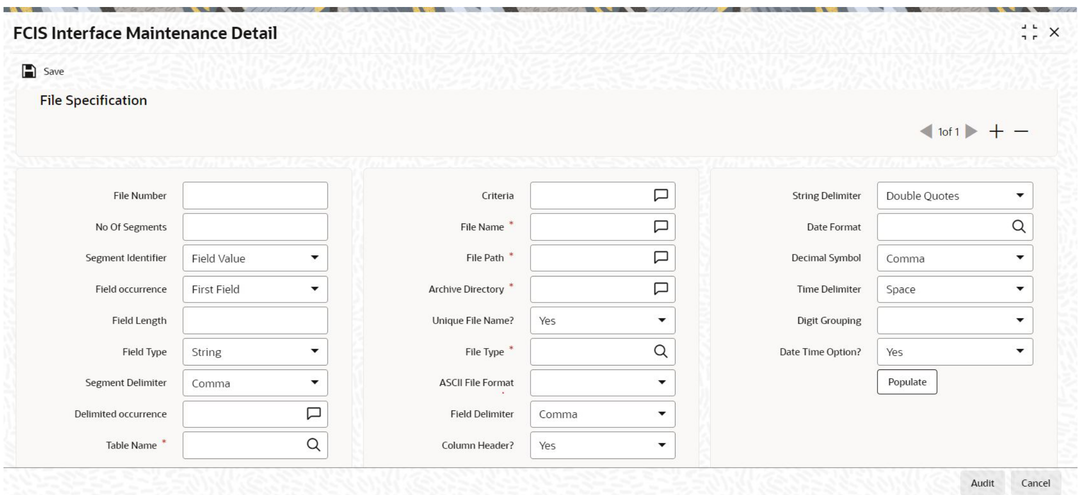
4. Click on **File Specification button** and specify the fields.

The **File Specification screen** screen displays.
Every interface involves a data exchange that could be of any of the following types:

- One which involves file exports or imports
- One which does not involve file exports or imports (i.e from an external table to an internal table)

For a data exchange that involves no file exports or imports, the Number of Files will be zero, and the file specification tab is not applicable for such exchanges. For exchanges that are procedure-based or SQL-based, and involve file exports or imports, the Number of Files is more than zero, and all tables in the FCIS system that are associated with the specified procedure or SQL string are displayed in the File Specifications screen, with each file having a serial File Number. You can edit any details (except the File Number) or add new tables.

**Figure 4-2 File Specification**




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

**Table 4-3 File Specification - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **File Number** | Specify the serial number for the file that is involved in the data exchange. When you add a new file or table name, it is given a new sequential file number. | *Numeric; 3 Characters; Mandatory* |
| **No of Segments** | Specify the number of segments to be uploaded. | *Numeric; 2 Characters; Optional* |
| **Segment Identifier** | Select the value associated with the segment identifier to be uploaded from the drop-down list. The available options are:<br>• **Field Value**<br>• **Delimited** | *Optional* |

**Table 4-3 (Cont.) File Specification - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Field Occurrence** | elect the field corresponding to the segment identifier to be uploaded from the drop-down list. The available options are:<br>• **First Field**<br>• **Last Field** | *Optional* |
| **Field Length** | Specify the length of the field to be uploaded. | *Numeric; 2 Characters; Optional* |
| **Field Type** | Select the type of the field from the drop-down list. The available options are:<br>• **String**<br>• **Number** | *Optional* |
| **Segment Delimiter** | Segment delimiter is used only for interface with segments. Select the delimiter to be used for the different segments from the drop-down list. The available options are:<br>• **Comma**<br>• **Colon**<br>• **Semi Colon**<br>• **Space**<br>• **Tab**<br>• **Null String** | *Optional* |
| **Delimited Occurrence** | Specify the delimited occurrences. | *Alphanumeric, 255 Characters; Optional* |
| **Table Name** | Specify the name of the table associated with the specified procedure that will receive imported data or contain the data that is to be exported<br>The value mentioned here must correspond to a valid database table. You can use the option list to specify a new table name. | *Alphanumeric, 30 Characters; Mandatory* |
| **Criteria** | Specify a clause that filters the data that is being exported or imported. For example, you can specify an SQL statement such as a Where clause here. The clause will look for and pick up all data that satisfies the Where clause, in the data that is being exported or imported. | *Alphanumeric, 255 Characters; Optional* |

**Table 4-3 (Cont.) File Specification - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **File Name** | The system displays the name of the file for the selected file ID.<br>Specify the name of the file that will be involved in the data exchange.<br>• **Import** - For example, if the specified file name is nav.xls, and unique file name is **Yes**, only the file nav.xls will be picked up. If not, all files that bear the name nav*.* will be picked up.<br>• **Export** - File name generation will be based on the mask value given in the File name of the interface definition.<br>This field is enabled if you have selected **Unique File Name** field is selected as **No**.<br>For more information on mask values, refer Table 4-4.<br>Maximum length of the file name will be limited to 100 characters without the extension. If file name length exceeds more than 100, then the system will consider the first 100 characters of file name from the left. | *Alphanumeric, 255 Characters; Mandatory* |
| **File Path** | Specify the path in which the specified file will be found. Click the button alongside this field to browse to the desired location. | *Alphanumeric, 255 Characters; Mandatory* |
| **Archive Directory** | Specify a location where the specified file may be stored or archived for future reference, after the data is either exported or imported. If you do not specify an archive directory, the file is deleted from the specified File Path once the interface is processed and the data exchange is done. | *Alphanumeric, 255 Characters; Mandatory* |
| **Unique File Name?** | Select **Yes** to indicate that, only files that exactly correspond with the specified file name will be imported/exported. If you choose 'No', all the files that resemble the specified file name will be picked up for import. And for export, the file name generation will be based on the mask value given in the file name of the interface definition. | *Optional* |
| **File Type** | Select the type of file that is being exported or imported. | *Alphanumeric, 1 Character; Mandatory* |
| **ASCII File Format** | Select the format for ASCII files, either Fixed or Delimited from the drop-down list. | *Mandatory for ASCII file types* |
| **Field Delimiter** | Field delimiter is used only for interface without segments. Select the delimiter to be used for the different fields from the drop-down list. The available options are:<br>• **Comma**<br>• **Colon**<br>• **Semi Colon**<br>• **Space**<br>• **Tab**<br>• **Null String** | *Optional* |
| **Column Header** | Select **Yes** from the drop-down list if column headings must be picked up in the export or import file, typically in an MS Excel Worksheet. | *Optional* |

**Table 4-3 (Cont.) File Specification - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **String Delimiter** | Select the delimiter to be used for the different strings from the drop-down list. The available options are:<br>• **Double Quotes**<br>• **Single Quotes** | *Optional* |
| **Date Format** | Select the date format from the option list. | *Alphanumeric; 12 Characters; Optional* |
| **Decimal Symbol** | Select the decimal symbol from the drop-down list. The available options are:<br>• **Comma**<br>• **Space**<br>• **Dot**<br>• **Fixed Length** | *Optional* |
| **Time Delimiter** | Select the time delimiter from the drop-down list. The available options are:<br>• **Colon**<br>• **Semi Colon**<br>• **Space** | *Optional* |
| **Digit Grouping** | Select the digit grouping from the drop-down list. The available options are:<br>• **Comma**<br>• **Space**<br>• **Dot** | *Optional* |
| **Date Time Option?** | Select the date-time format that is applicable in the data that is being imported or exported. | *Optional* |
| **Populate** | Click this button to view the column specification details as follows: | NA |
| **Column Specification** | Specify the fields under this section. | NA |
| **Field** | The system displays the field number. However, you can amend this value.<br>You can specify the actual columns or fields in the file that will be exported or imported or in the specified table, in the **Column Specifications Maintenance** screen. You can also define a sequence in which the data must be ordered. | *Alphanumeric; 50 Characters; Mandatory* |
| **File Number** | The sequential number for the selected file from the File Specifications Tab grid in the Interface Maintenance screen is displayed here. It represents the file for which you are specifying the column details in this screen. All the columns that are found in the specified table are displayed in the grid in this screen, with their details. Making changes to any of these details will result in a corresponding change in the output data. If you delete a particular row in the grid, then that column will not appear in the output data. | *Numeric; 3 Characters; Mandatory* |
| **Field Type** | The system displays the field type. However, you can amend this value. | *Alphanumeric; 30 Characters; Mandatory* |

**Table 4-3 (Cont.) File Specification - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Field Length** | The system displays the field type. However, you can amend this value.<br>**Note:** For all exports, the field length value will be same as the value mentioned in Upload format PDF | *Numeric; 22 Characters; Mandatory* |
| **Column Heading** | The heading of the column or field in the table is displayed here. You can alter the heading. | *Alphanumeric; 50 Characters; Mandatory* |
| **File Col Sequence** | The system displays the field type. However, you can amend this value.<br>The Interface system allows you to maintain the sequence of fields in the export and import tables. This lets you reuse common tables for header and trailers. The import or export file need not be in the same sequence as the fields of the tables created for them. | *Numeric; 3 Characters; Mandatory* |
| **Select** | Select the option from the drop-down list. The available options are:<br>• **Yes**<br>• **No**<br>You can also indicate any or all of the following format specifications for the file in the File Specifications grid:<br>• Field and String Delimiters<br>• Date Format<br>• Decimal Symbol<br>• Digit Grouping Symbol<br>• Date and Time Delimiters<br>For more information on Default values, refer Table 4-5. | *Optional* |
| **Segment Specifications** | Specify the fields under this section. | NA |
| **File Number** | The system displays the file number. | *Display* |
| **Table Name** | Specify the table name. | *Alphanumeric; 30 Characters; Mandatory* |
| **Segment Number** | '<br>Specify the segment number. | *Alphanumeric; 3 Characters; Mandatory* |
| **Identifier Field Name** | Specify the identifier field name. | *Alphanumeric; 30 Characters; Optional* |
| **Identifier Field Value** | Specify the identifier field value. | *Alphanumeric; 30 Characters; Optional* |
| **First Row/Last Row** | Select if the segment is first row or last row from the drop-down list. The available options are:<br>• **First Row**<br>• **Last Row** | *Optional* |
| **Populate** | Click this button to populate the following details. | NA |
| **Column Specification** | Specify the fields under this section. | NA |

**Table 4-3 (Cont.) File Specification - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Field** | The system displays the field number. However, you can amend this value.<br>You can specify the actual columns or fields in the file that will be exported or imported or in the specified table, in the **Column Specifications Maintenance** screen. You can also define a sequence in which the data must be ordered. | *Alphanumeric; 50 Characters; Mandatory* |
| **File Number** | The sequential number for the selected file from the File Specifications Tab grid in the Interface Maintenance screen is displayed here. It represents the file for which you are specifying the column details in this screen. All the columns that are found in the specified table are displayed in the grid in this screen, with their details. Making changes to any of these details will result in a corresponding change in the output data. If you delete a particular row in the grid, then that column will not appear in the output data. | *Numeric; 3 Characters; Mandatory* |
| **Field Type** | The system displays the field type. However, you can amend this value. | *Alphanumeric; 30 Characters; Mandatory* |
| **Field Length** | The system displays the field type. However, you can amend this value.<br>**Note:** For all exports, the field length value will be same as the value mentioned in Upload format PDF. | *Numeric; 22 Characters; Mandatory* |
| **Column Heading** | The heading of the column or field in the table is displayed here. You can alter the heading. | *Alphanumeric; 50 Characters; Mandatory* |
| **File Col Sequence** | The system displays the field type. However, you can amend this value.<br>The Interface system allows you to maintain the sequence of fields in the export and import tables. This lets you reuse common tables for header and trailers. The import or export file need not be in the same sequence as the fields of the tables created for them. | *Numeric; 3 Characters; Mandatory* |
| **Select** | Select the option from the drop-down list. The available options are:<br>• **Yes**<br>• **No** | *Optional* |

**Table 4-4 Mask Values**

| Mask Definition (.txt represents sample file extension) | Value that will be replaced |
| --- | --- |
| $m$_filename.txt | moduleid_filename.txt |
| $u$_filename.txt | userid_filename.txt |
| $a$_filename.txt | agentcode_filename.txt |
| $b$_filename.txt | branchcode_filename.txt |
| $t$_filename.txt | <datetime>_filename.txt (date will be the Application date) |

**Table 4-4 (Cont.) Mask Values**

| Mask Definition (.txt represents sample file extension) | Value that will be replaced |
|---|---|
| $d$_filename.txt | <date>_filename.txt (date will be the Application date) |
| $c$_filename.txt | <Customvalue>_filename.txt .<br>Kernel will generate filename and custom should be able to override the file name only if $c$ mask is maintained. |
| $v$_filename.txt | <SplitColumnValue>_filename.txt<br>SplitColumn mentioned in the maintenance will be used. |

**Table 4-5 Default Values**

| Format Specification | Allowable | Default |
|---|---|---|
| Field Delimiter | Comma, colon, semi-colon, space, tab, null | Space |
| String Delimiter | Single and double quotation marks; null | Null |
| Date Format | DMONY; DMY; MDY; YMD; Registry Setting | Registry Setting |
| Date Delimiter | Hyphen, comma, space, forward slash, Registry Setting | Registry Setting |
| Decimal Symbol | Comma, space, null, period, Registry Setting | Registry Setting |
| Digit Grouping Symbol | Comma, period, space, null, Registry Setting | Registry Setting |
| Time Delimiter | Colon, semi-colon, space, null, Registry Setting | Registry Setting |

5. Click **Save** to save the record.

# 4.2 FCIS Interface Maintenance Summary

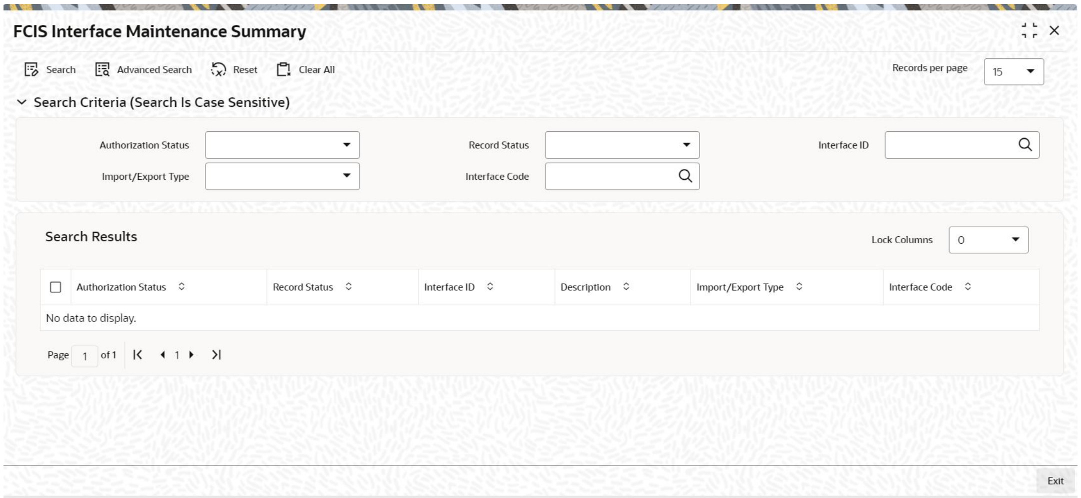
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve FCIS Interface Maintenance Summary Record**

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

   The **FCIS Interface Maintenance Summary** screen is displayed.

**Figure 4-3    FCIS Interface Maintenance Summary**




2. On **FCIS Interface 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**
   - **Interface ID**
   - **Interface Code**
   - **Import/Export 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 **Interface 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.

   For more information on operations, refer the following:

- Edit FCIS Interface Maintenance Summary Record
  This topic provides the systematic instructions to edit FCIS Interface Maintenance Summary record.

- View FCIS Interface Maintenance Summary Record
  This topic provides the systematic instructions to view FCIS Interface Maintenance Summary record.
- Delete FCIS Interface Maintenance Summary Record
  This topic provides the systematic instructions to delete FCIS Interface Maintenance Summary record.
- Authorize FCIS Interface Maintenance Summary Record
  This topic provides the systematic instructions to authorize FCIS Interface Maintenance Summary record.
- Amend FCIS Interface Maintenance Summary Record
  This topic provides the systematic instructions to amend FCIS Interface Maintenance Summary record.
- Authorize Amended FCIS Interface Maintenance Summary Record
  This topic provides the systematic instructions to authorize amended FCIS Interface Maintenance Summary record.
- Copy FCIS Interface Maintenance Summary Record
  This topic provides the systematic instructions to copy FCIS Interface Maintenance Summary record.

## 4.2.1 Edit FCIS Interface Maintenance Summary Record

This topic provides the systematic instructions to edit FCIS Interface Maintenance Summary record.

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

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

## 4.2.2 View FCIS Interface Maintenance Summary Record

This topic provides the systematic instructions to view FCIS Interface Maintenance Summary record.

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

1. Start the **FCIS Interface 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 Interface Maintenance Summary Detail** screen is displayed.

## 4.2.3 Delete FCIS Interface Maintenance Summary Record

This topic provides the systematic instructions to delete FCIS Interface Maintenance Summary record.

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

1. Start the **FCIS Interface 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 Interface Maintenance Summary 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 FCIS Interface Maintenance Summary Record

This topic provides the systematic instructions to authorize FCIS Interface Maintenance Summary record.

Authorize an unauthorized Swift Message Setup Record in the system for it to be processed as follows:

1. Start the **FCIS Interface Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the **Unauthorized** option.

3. Specify any or all of the details and click **Search** button.

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

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

   The **FCIS Interface Maintenance Summary 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 FCIS Interface Maintenance Summary Record

This topic provides the systematic instructions to amend FCIS Interface Maintenance Summary 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 Interface Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

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

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

   The **FCIS Interface Maintenance Summary 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 FCIS Interface Maintenance Summary Record

This topic provides the systematic instructions to authorize amended FCIS Interface Maintenance Summary record.

Authorize an amended Swift Message Setup Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

## 4.2.7 Copy FCIS Interface Maintenance Summary Record

This topic provides the systematic instructions to copy FCIS Interface Maintenance Summary record.

1. Click **Copy** to create a new **Swift Message Setup Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **FCIS Interface Maintenance Summary Record** should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.

3. Click **Copy**.

   Indicate the ID for the new **Swift Message Setup Record**. You can, however, change the details of the new record.

# 4.3 Interface Mapping Detail

This topic describes the systematic instructions to interface mapping detail.

Interfaces will be listed for execution in Online Interface Execution (UTSONLIN) on below cases:

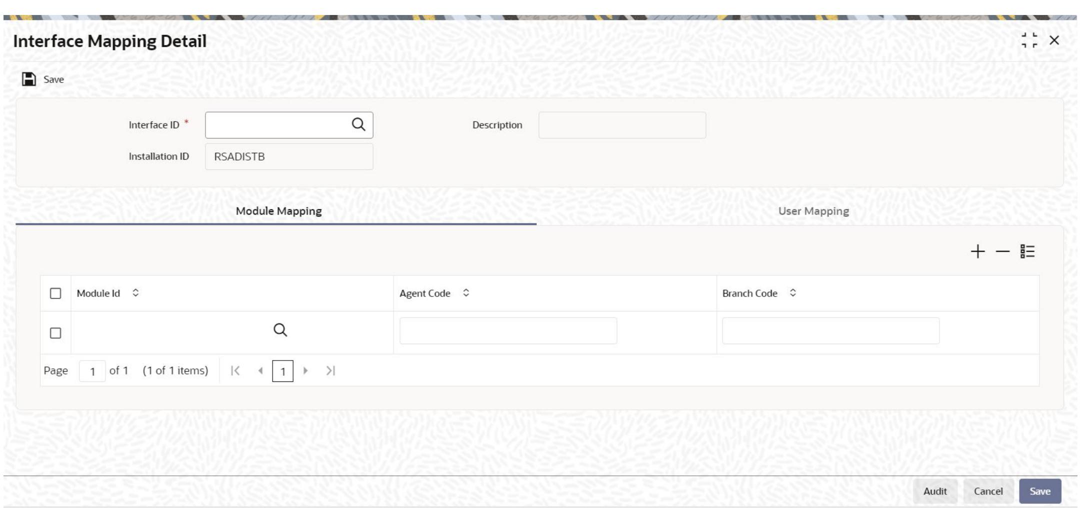
- If there are no records mapped in **Module Mapping** and **User Mapping** section, then the interface will be available for all the modules and users.
- If there are records mapped in **Module Mapping** section alone, then the interface will be available only in the mapped modules and for all users.
- If there are records mapped in **User Mapping** section alone, then the interface will be available only for the mapped users and in all modules.
- If there are records mapped in both **Module Mapping** and **User Mapping**, then the interface will be available only for the mapped modules and users.

> **Note**
>
> - If client country parameter **INTERFACEMAPREQ** is **ON**, then Interface ID in **UTSONLIN** screen will be listed as per Interface Mapping.
> - If client country parameter **INTERFACEMAPREQ** is **OFF**, then all Interface ID will be listed in **UTSONLIN** screen.

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

   The **Interface Mapping Detail** screen is displayed.

**Figure 4-4 Interface Mapping Detail**




2. Specify any or all of the details corresponding to the message you want to retrieve.

The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Interface Mapping Detail** screen, click **New** and specify the details.

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

**Table 4-6 Interface Mapping Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Interface ID** | Click the icon and select the interface ID from the list. | *Alphanumeric; 16 Characters; Mandatory* |
| **Description** | Displays the description based on the interface ID selected. | *Display; Alphanumeric; 255 Characters; Optional* |
| **Installation ID** | Displays the installation ID based on the interface ID selected. | *Display; Alphanumeric; 12 Characters;* |
| **Module Mapping** | Specify the details under this section. Module mapping is used to map interface ID with one or more AGY or FMG. | NA |
| **Module ID** | Click the icon and select the module ID from the list. | *Alphanumeric; 30 Characters; Mandatory* |
| **Agent Code** | Displays the default agent code based on the selected module ID. | *Display; Optional* |
| **Branch Code** | Displays the default branch code based on the selected module ID. | *Display; Optional* |
| **User Mapping** | Specify the details under this section. User mapping is used to map interface ID with one or more users. | NA |
| **User ID** | Click the icon and select the user ID from the list. | *Alphanumeric; 320 Characters; Mandatory* |
| **User Name** | Displays the user name based on the selected user ID. | *Display; Optional* |

4. Click **Save** to save the record.

# 4.4 Interface Mapping Summary

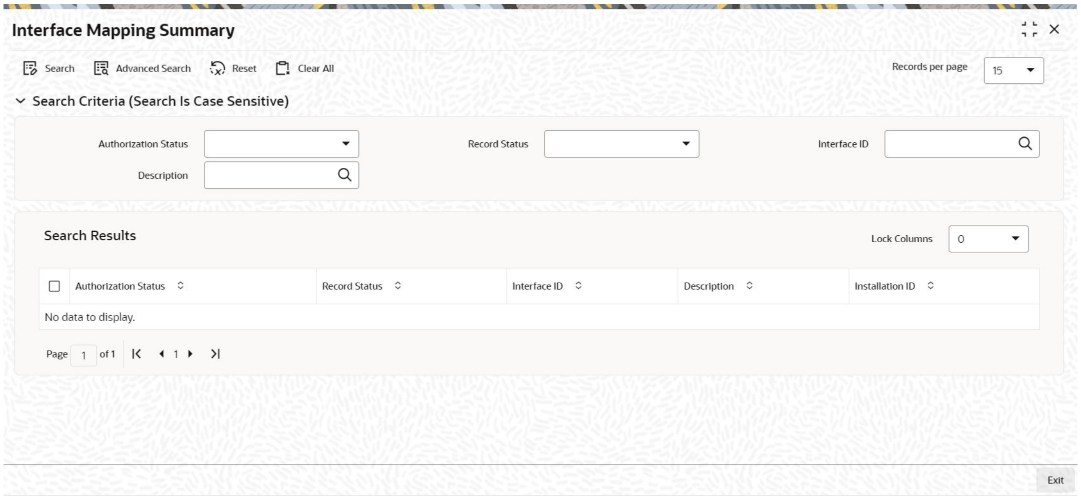
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve Interface Mapping Summary Record**

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

   The **Interface Mapping Summary** screen is displayed.

**Figure 4-5 Interface Mapping Summary**




2. On **Interface 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**
   - **Interface ID**
   - **Description**
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 **Interface 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.

   For more infromation on operations, refer the following:

- Edit Interface Mapping Record
  This topic provides the systematic instructions to edit Interface Mapping record.
- View Interface Mapping Record
  This topic provides the systematic instructions to view Interface Mapping record.
- Delete Interface Mapping Record
  This topic provides the systematic instructions to delete Interface Mapping record.

- Authorize Interface Mapping Record
  This topic provides the systematic instructions to authorize Interface Mapping record.
- Amend Interface Mapping Record
  This topic provides the systematic instructions to amend Interface Mapping record.
- Authorize Amended Interface Mapping Record
  This topic provides the systematic instructions to authorize amended Interface Mapping record.
- Copy Interface Mapping Record
  This topic provides the systematic instructions to copy Interface Mapping record.

## 4.4.1 Edit Interface Mapping Record

This topic provides the systematic instructions to edit Interface Mapping record.

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

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

## 4.4.2 View Interface Mapping Record

This topic provides the systematic instructions to view Interface Mapping record.

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

1. Start the **Interface 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 **Interface Mapping Summary Detail** screen is displayed.

## 4.4.3 Delete Interface Mapping Record

This topic provides the systematic instructions to delete Interface Mapping record.

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

1. Start the **Interface 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 **Interface Mapping Summary 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 Interface Mapping Record

This topic provides the systematic instructions to authorize Interface Mapping record.

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

1. Start the **Interface 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 **Interface Mapping Summary 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 Interface Mapping Record

This topic provides the systematic instructions to amend Interface 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 **Interface 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 wish to amend.

   The **Interface Mapping Summary 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 Interface Mapping Record

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

Authorize an amended Interface Mapping Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

### 4.4.7 Copy Interface Mapping Record

This topic provides the systematic instructions to copy Interface Mapping record.

1. Click **Copy** to create a new **Swift Message Setup Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Interface Mapping Summary Record** should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.
3. Click **Copy**.

   Indicate the ID for the new **Interface Mapping Summary Record**. You can, however, change the details of the new record.

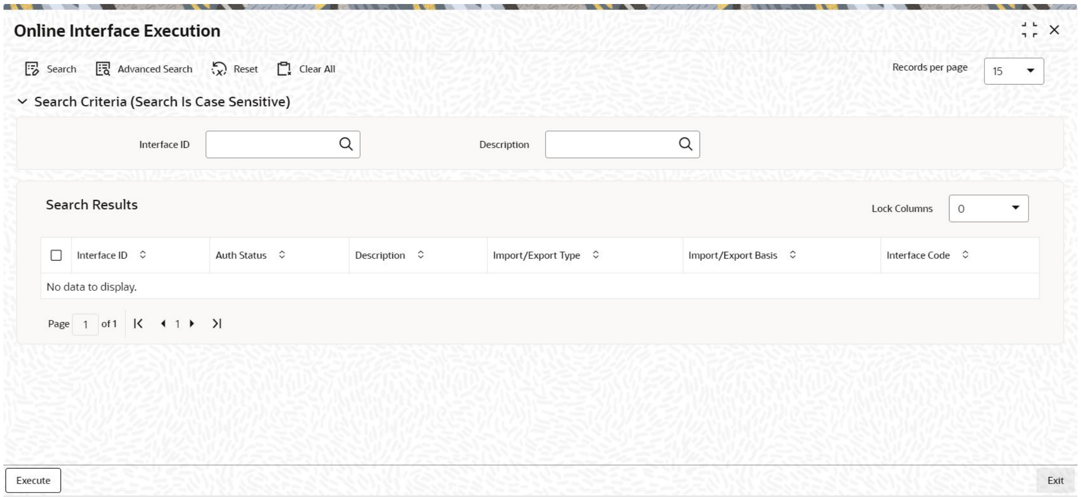
## 4.5 Online Interface Execution

This topic describes the systematic instructions to execution online interfacel.

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

   The **Online Interface Execution** screen is displayed.

**Figure 4-6 Online Interface Execution**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Online Interface Execution** screen, click **New** and specify the details.

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

**Table 4-7 Online Interface Execution - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Interface ID** | Click the 🔍 icon and select the interface ID from the list. | *Alphanumeric; 16 Characters; Optional* |
| **Description** | Click the 🔍 icon and select the description from the list. | *Display; Alphanumeric; 255 Characters; Optional* |

All the interface definitions available for processing are displayed in the Available Interface Definitions box. You can select any or all of these to be executed by highlighting them in the Available box and using the arrow buttons to move them to the Selected Interface Definitions box. After you have made the desired selections, click the Execute button. You must indicate that you want to continue with the processing. The selected interfaces are processed, and the system displays a message to indicate successful completion of the processing. If any errors result, you can view the same using the View Interface Error Log menu item in the Data Entry menu of the Fund Manager component.

Once tanking is enabled, the system will not fetch any record in the summary screen.

To exit the screen without processing any selected interface definitions, click the Close button.

> **Note**
>
> - The system will not support the processing of multiple files at the same time.
> - If client country parameter **INTERFACEMAPREQ** is **ON**, then all Interfaces will be listed for execution as per Interface Mapping.
> - If client country parameter **INTERFACEMAPREQ** is **OFF**, then all Interfaces will be listed for execution.

- Excel Import
  This topic describes the systematic instructions to import excel.

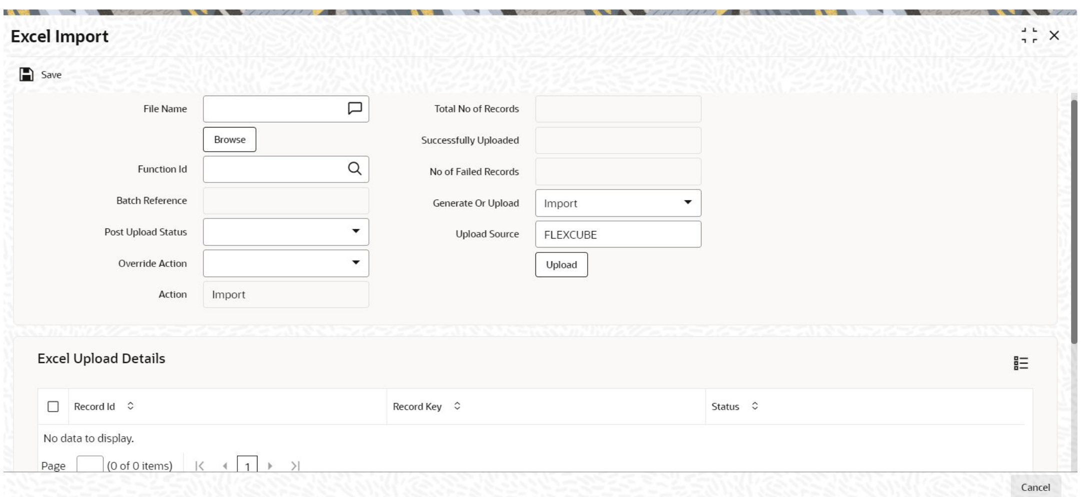
## 4.5.1 Excel Import

This topic describes the systematic instructions to import excel.

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

   The **Excel Import** screen is displayed.

**Figure 4-7 Excel Import**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.
3. On **Excel Import** screen, click **New** and specify the details.

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

**Table 4-8 Excel Import - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **File Name** | Select the excel file to be imported by clicking **Browse** button.<br>Click **Browse** button to browse the file name. | *Alphanumeric; 4000; Optional* |

**Table 4-8 (Cont.) Excel Import - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Total No of Records** | Displays the total number of records to be uploaded. | *Display* |
| **Successfully Uploaded** | Displays the number of records uploaded successfully. | *Display* |
| **No of Failed Records** | Displays the number of failed record which are failed to upload. | *Display* |
| **Function ID** | Displays the function ID mentioned in the excel sheet. | *Alphanumeric; 8 Characters; Optional* |
| **Batch Reference** | Displays the unique reference number generated for an upload. | *Display* |
| **Post Upload Status** | Select the status to be set for the file post upload, from the drop-down list. The available options are:<br>• **Authorized**<br>• **Unauthorized**<br>• **Hold** | *Display* |
| **Override Action** | Select the action to be taken if an override message is encountered, from the drop-down list. The available option are:<br>• **Ignore**<br>• **Error** | *Optional* |
| **Action** | Displays the action. | *Display* |
| **Generate or Upload** | Select the action to be taken for importing the file, from the drop-down list. The available option are:<br>• **Generate** - Select this option if an XML has to be generated from the imported file. This will be stored in the path maintained in CSBT_PARAM parameter<br>• **Upload** - Select this option if the data has to be uploaded as an excel file itself.<br>**Note:** To start the upload process click **Upload** button. Once you click this button system starts importing the data from the excel file. | *Optional* |
| **Upload Source** | Specify the source code of the file to be used for generating the XML file. You need to specify the source if you have chosen **Generate** option in the **Generate or Upload** field. | *Alphanumeric; 50 Characters; Optional* |
| **Upload** | Click this button to upload the attached file. | NA |
| **Excel Upload Details** | Specify the details under this section. | NA |
| **Record ID** | Display the unique number of the record uploaded. | *Display* |
| **Record Key** | Displays the record key. | *Display* |
| **Status** | Displays the status of the record. | *Display* |
| **Excel Upload Errors** | Specify the details under this section. | NA |
| **Record Id** | Specify the unique number of the record, which encountered error while uploading. | *Alphanumeric; 255 Characters; Optional* |
| **Error Code** | Specify the error code corresponding to the error encountered during upload. | *Alphanumeric; 40 Characters; Optional* |

**Table 4-8 (Cont.) Excel Import - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Error Message** | Specify the error message corresponding to the error code displayed. | *Alphanumeric; 4000 Characters; Optional* |

4. Click **Upload** button, the system uploads the records maintained.

   The system uploads the records maintained.

# 4.6 Scheduler Services

This topic describes about the description of the Scheduler Services.

**Scheduler Services Description**

Oracle FLEXCUBE Investor Servicing provides you with the facility of scheduling internal activities and having them executed as pre-programmed proceedings by the system. In the system, the Scheduler component facilitates such proceedings.

Typically, you can schedule any activity through the Scheduler Services. Some of these activities may be frequently occurring or recurrent activities, some activities may need to be initiated on demand, and some may be one-time activities.

To schedule activities using this Scheduler Service, you must:

- Designate each activity, process or programmed executable unit that must be run as a task in the system.
- Define the objects that are to be run for the task to be completed, and also specify the required parameters for the object to be run.
- Schedule each defined task to be run at a desired frequency, either a time-based frequency or an event-based frequency.
- Authorize the job.

You may schedule jobs at a time-based frequency (simple or cron), or you may require them to be executed every time a business event occurs in the system. Accordingly, an event is an occurrence of a business proceeding in the system, such as allocation, or dividend declaration, or the End of Day procedures.

All business proceedings in the system that must be designated as events are pre-defined, according to the requirements at each installation, by the implementers. No new definitions of events are possible after this.

At the Security Management component, you can access all the Scheduler Services from the following menu categories:

- The Job Maintenance (Detail and Summary) screens from the Maintenance menu category
- The Jobs (Summary) screens from the Maintenance menu category

This topic contains the following sub-topics:

- Job Maintenance Detail
  This topic describes about the maintenance of job details.
- Task Maintenance Detail
  This topic describes about the procedure for maintaining a task detail.

- [Job Parameters]
  This topic describes about the procedure for maintaining a task detail.

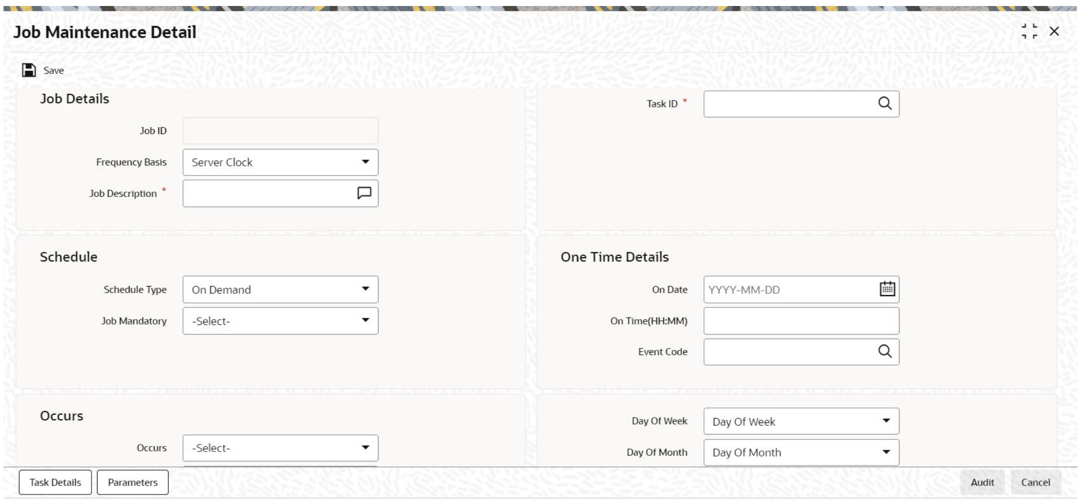
# 4.6.1 Job Maintenance Detail

This topic describes about the maintenance of job details.

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

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

   **Figure 4-8 Job Maintenance Detail**

2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Job Maintenance Detail** screen, click **New** and specify the details.

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

**Table 4-9 Job Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Job ID** | Displays the unique code to identify the job. | *Display* |
| **Task ID** | Click the icon and select the task ID from the list. | *Alphanumeric; 16 Characters; Mandatory* |
| **Frequency Basis** | Select the frequency basis from the drop-down list. The available options are:<br>• **Server Clock**<br>• **Client Clock**<br>• **Event Based** | *Optional* |
| **Job Description** | Specify the description of the job. | *Alphanumeric; 255 Characters; Mandatory* |
| **Schedule** | Specify the details under this section. | NA |

**Table 4-9 (Cont.) Job Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Schedule Type** | Select the type of schedule from the drop-down list. The available options are:<br>• **On Demand**<br>• **One Time**<br>• **Recurring** | *Optional* |
| **Job Mandatory** | Select if job is mandatory or not from the drop-down list. The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **One Time Details** | Specify the details under this section. | NA |
| **On Date** | Select on date from the adjoining calendar. | *Date Format; Optional* |
| **On Time(HH:MM)** | Specify the time. | *Time Format; Optional* |
| **Event Code** | Click the 🔍 icon and select the event code from the list. | *Alphanumeric; 50 Characters; Optional* |
| **Occurs** | Specify the details under this section. | NA |
| **Occurs** | Select the occurrences from the drop-down list. The available options are:<br>• **Daily**<br>• **Weekly**<br>• **Monthly** | *Optional* |
| **Every Month On** | Select the monthly occurrences from the drop-down list. The available options are:<br>• **Specific Day**<br>• **Specific Week** | *Optional* |
| **Of Every(Days/Weeks/ Months)** | Select the monthly occurrences from the drop-down list. The available options are:<br>• **1**<br>• **2**<br>• **3**<br>• **4**<br>• **5**<br>• **6**<br>• **7**<br>• **8**<br>• **9**<br>• **10**<br>• **11**<br>• **12** | *Optional* |

**Table 4-9 (Cont.) Job Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Day Of Week** | Select the day of week from the drop-down list. The available options are:<br>• **Sunday**<br>• **Monday**<br>• **Tuesday**<br>• **Wednesday**<br>• **Thursday**<br>• **Friday**<br>• **Saturday** | *Optional* |
| **Day Of Month** | Select the day of month from the drop-down list. | *Optional* |
| **Week Of Month** | Select the week of the month from the drop-down list: The available options are:<br>• **1**<br>• **2**<br>• **3**<br>• **4**<br>• **5** | *Optional* |
| **Duration** | Specify the details under this section. | NA |
| **Start Date** | Specify the start date. | *Date Format; Optional* |
| **End Date** | Specify the end date. | *Date Format; Optional* |
| **End Date Reqd?** | Select if end date is required or not from the drop-down list. | *Optional* |
| **Time** | Specify the details under this section. | |
| **Interval Type** | Specify the interval value. | *Alphanumeric; 4 Characters; Optional* |
| **Interval Value** | Select the interval unit from the drop-down list. The available options are:<br>• **Hours**<br>• **Minutes** | *Optional* |
| **Starting At(HH:MM)** | Specify the starting time details. | *Numeric; 5 Characters; Optional* |
| **Ending At(HH:MM)** | Specify the ending time details. | *Numeric; 5 Characters; Optional* |
| **Event** | Specify the details under this section. | NA |
| **Event Code** | Specify the event code. | *Alphanumeric; 50 Characters; Optional* |

4. Click **Save** to save the record.

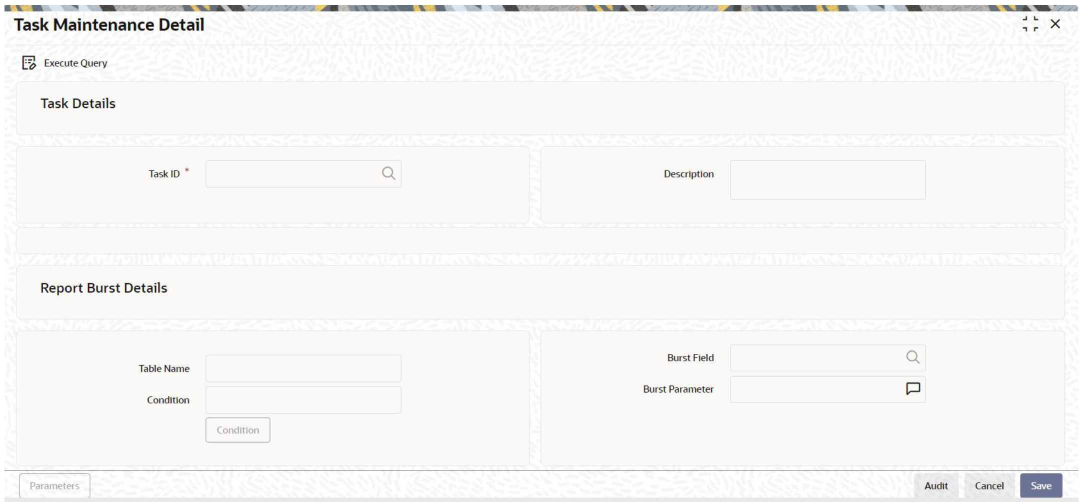
## 4.6.2 Task Maintenance Detail

This topic describes about the procedure for maintaining a task detail.

1. On **Home** screen, type **UTDTASK** in the text box, and click **Next** or On **Job Maintenance Detail** screen, click on **Task Details** tab.

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

**Figure 4-9 Task Maintenance Detail**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Task Maintenance Detail** screen, click **New** and specify the details.

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

**Table 4-10 Task Maintenance Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Task ID** | Specify the task ID. | *Alphanumeric; 16 Characters; Mandatory* |
| **Description** | Displays the description of the task based on the task ID selected. | *Display* |
| **Report Burst Details** | Specify the details under ths section. | NA |
| **Table Name** | Displays the table name. | NA |
| **Condition** | Displays the condition. | NA |
| **Burst Field** | Displays the burst field. | NA |
| **Burst Parameter** | Displays the burat parameter. | NA |

4. Click **Execute** button to apply conditions and view parameters.
5. Click **Condition** button to view the conditions.

   The **Query Criteria** screen displays.

**Figure 4-10 Query Criteria**

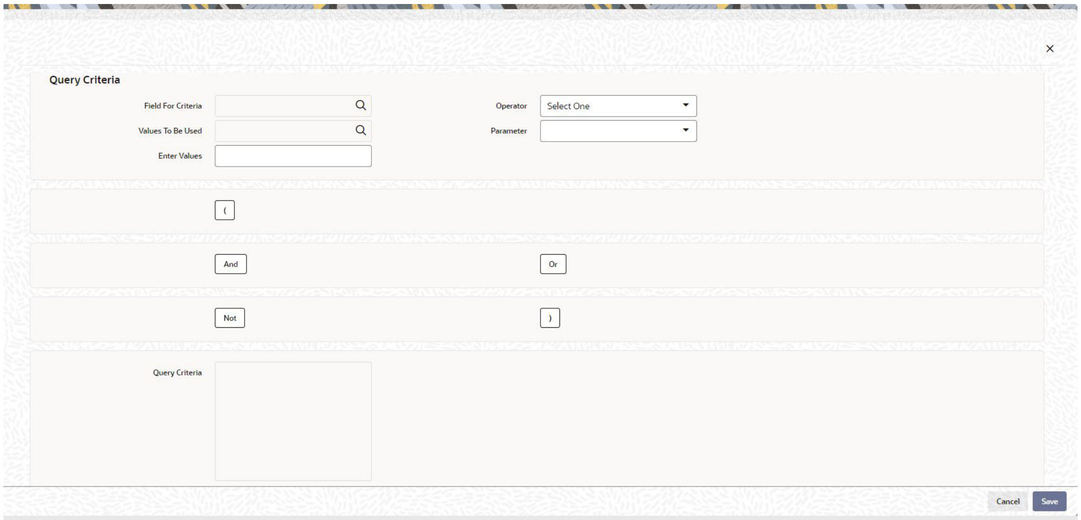



**Table 4-11 Query Criteria - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Field For Criteria** | Click the icon and select the field criteria from the list. | *Alphanumeric; Optional* |
| **Values To Be Used** | Click the icon and select the values to be used from the list. | *Alphanumeric; Optional* |
| **Enter Values** | Specify the values to be entered. | *Alphanumeric; Optional* |
| **Operator** | Select the operator from the drop-down list. The available options are:<br>• **=**<br>• **<>**<br>• **<=**<br>• **<**<br>• **>=**<br>• **>**<br>• **Like**<br>• **Not Like** | *Optional* |
| **Parameter** | Select the parameters from the drop-down list. | *Optional* |
| **Query Criteria** | Specify the query criteria by selecting the required parameters. The available options are:<br>• **And**<br>• **Not**<br>• **Or** | *Optional* |

6. Click **Save** to save the record.

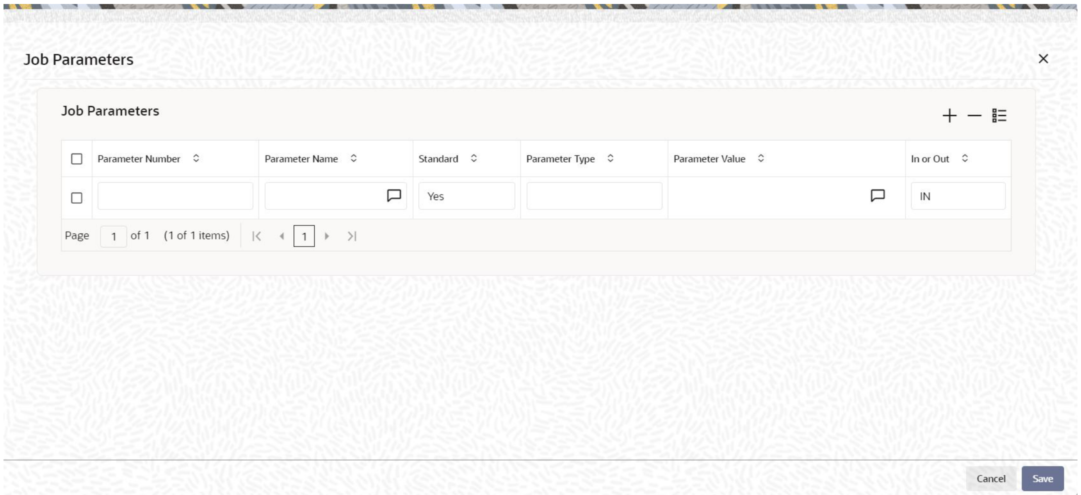
## 4.6.3 Job Parameters

This topic describes about the procedure for maintaining a task detail.

1. On **Task Maintenance Detail** screen, click on **Parameters** tab.

   The **Job Parameters** screen is displayed.

**Figure 4-11 Job Parameters**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Job Parameters** screen, specify the details.

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

**Table 4-12 Job Parameters - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Parameter Number** | Displays the paramter number. | *Display* |
| **Parameter Name** | Specify the name of the job parameter. The parameter name you specify here is passed to job class or procedure at run time. | *Alphanumeric; 255 Characters; Optional* |
| **Standard** | Select the standard type from the drop-down list. | *Optional* |
| **Parameter Type** | Specify the data type of the parameter. | *Alphanumeric; 20 Characters; Optional* |
| **Parameter Value** | Specify the value of the parameter. | *Alphanumeric; 255 Characters; Optional* |
| **In or Out** | Select if the parameters from the drop-down list. The available options are:<br>• **IN**<br>• **OUT** | *Optional* |

4. Click **Save** to save the record.

# 4.7 Jobs Summary

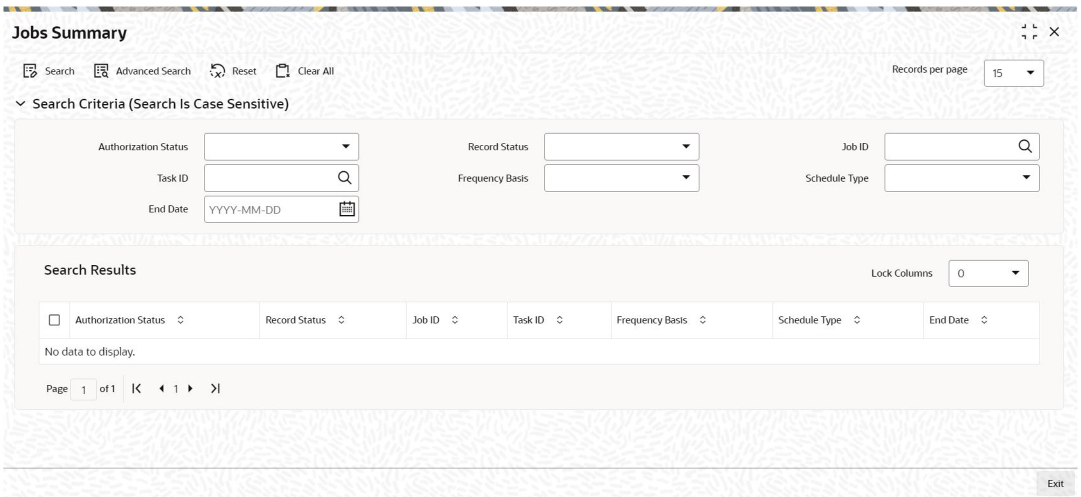
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve Jobs Summary Record**

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

   The **Jobs Summary** screen is displayed.

   **Figure 4-12 Jobs Summary**

2. On **Jobs 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**
   - **Job ID**
   - **Task ID**
   - **Frequency Basis**
   - **Scheduler Type**
   - **End Date**
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.

   For more infromation on operations, refer the following:

- Edit Jobs Summary Record
  This topic provides the systematic instructions to edit Jobs Summary record.

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

## 4.7.1 Edit Jobs Summary Record

This topic provides the systematic instructions to edit Jobs Summary record.

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

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

## 4.7.2 View Jobs Summary Record

This topic provides the systematic instructions to view Jobs Summary record.

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

1. Start the **Jobs 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 **Jobs Summary Detail** screen is displayed.

## 4.7.3 Delete Jobs Summary Record

This topic provides the systematic instructions to delete Jobs Summary record.

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

1. Start the **Jobs 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 **Jobs Summary 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 Jobs Summary Record

This topic provides the systematic instructions to authorize Jobs Summary record.

Authorize an unauthorized Jobs Summary Record in the system for it to be processed as follows:

1. Start the **Jobs 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 **Jobs Summary 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 Jobs Summary Record

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

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the screen.
4. Double-click the record that you wish to amend.

   The **Jobs Summary 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 Jobs Summary Record

This topic provides the systematic instructions to authorize amended Jobs Summary record.

Authorize an amended Jobs Summary Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

## 4.8 Tasks Summary

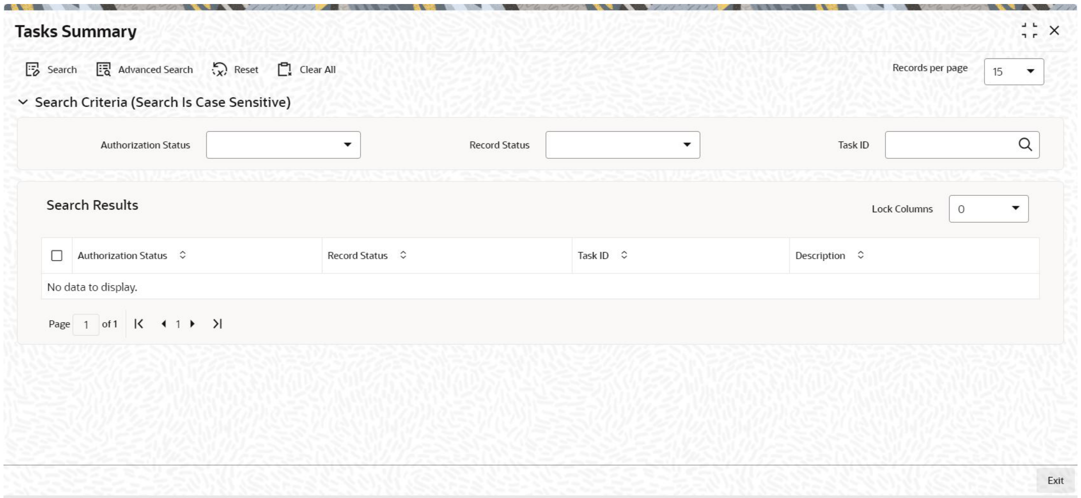
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve Tasks Summary Record**

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

   The **Tasks Summary** screen is displayed.

**Figure 4-13 Tasks Summary**




2. On **Tasks 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**
   - **Job ID**
   - **Task ID**
   - **Frequency Basis**
   - **Scheduler Type**
   - **End Date**
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.

   For more information on operations, refer the following:

- Edit Tasks Summary Record
  This topic provides the systematic instructions to edit Tasks Summary record.
- View Tasks Summary Record
  This topic provides the systematic instructions to view Tasks Summary record.
- Delete Tasks Summary Record
  This topic provides the systematic instructions to delete Tasks Summary record.
- Authorize Tasks Summary Record
  This topic provides the systematic instructions to authorize Tasks Summary record.
- Amend Tasks Summary Record
  This topic provides the systematic instructions to amend Tasks Summary record.

- Authorize Amended Tasks Summary Record
  This topic provides the systematic instructions to authorize amended Tasks Summary record.

## 4.8.1 Edit Tasks Summary Record

This topic provides the systematic instructions to edit Tasks Summary record.

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

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

## 4.8.2 View Tasks Summary Record

This topic provides the systematic instructions to view Tasks Summary record.

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

1. Start the **Tasks 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 **Tasks Summary Detail** screen is displayed.

## 4.8.3 Delete Tasks Summary Record

This topic provides the systematic instructions to delete Tasks Summary record.

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

1. Start the **Tasks 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 **Tasks Summary Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

## 4.8.4 Authorize Tasks Summary Record

This topic provides the systematic instructions to authorize Tasks Summary record.

Authorize an unauthorized Tasks Summary Record in the system for it to be processed as follows:

1. Start the **Tasks 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 **Tasks Summary Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

## 4.8.5 Amend Tasks Summary Record

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

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

   The **Tasks Summary Detail** screen is displayed.

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

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

### 4.8.6 Authorize Amended Tasks Summary Record

This topic provides the systematic instructions to authorize amended Tasks Summary record.

Authorize an amended Tasks Summary Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

## 4.9 Scheduling Jobs

This topic describes the about the information on scheduling the jobs.

All jobs for scheduling are stored in a static data store and each job is associated with a name indicating where the job has to execute. Jobs are created in the Application Server and are scheduled based on this data.

> **Note**
>
> The job name should be unique across the schedulers available in the system.

When the application server starts, the job details from static data store will get cached. These cached jobs will then be scheduled using either the quartz or flux scheduler.

For example, the notification process can be handled by the job schedulers as follows:

- When a contract is created in Oracle FLEXCUBE, a database level trigger acting on the contract main table inserts details like base table name, primary key fields, primary key values and branch code into a notification log table and sets the process status of the inserted record as **U** (unprocessed).
- The scheduled job polls the notification log table for unprocessed records and validates whether notification is required.
- If notification is not required, then the process status is set to **N** (not required) in notification log table.
- If notification is required then notifications are sent to the respective destination and the process status of the record is changed to **P** (Processed) in notification log table.

This topic contains the following sub-topics:

- Jobs Details
  This topic describes the about the information on controlling the jobs.

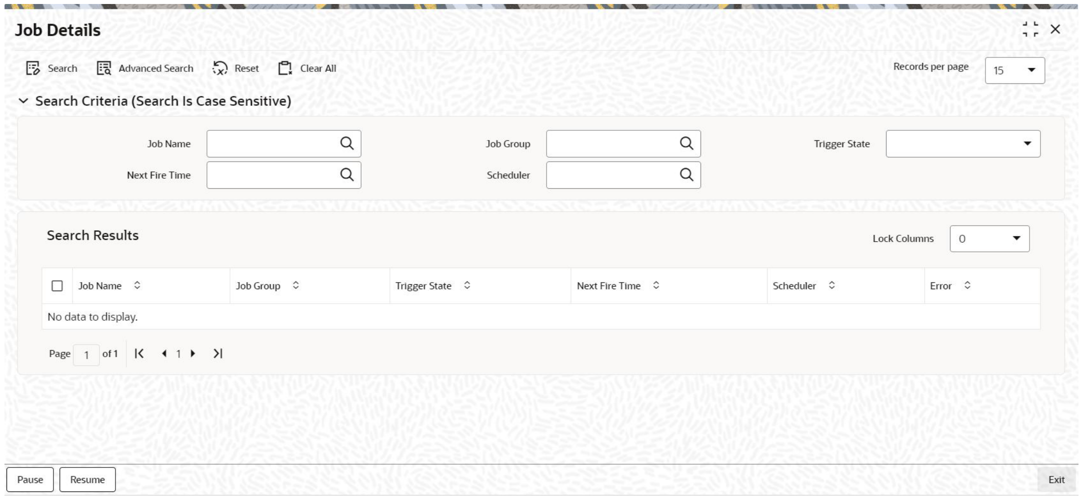
### 4.9.1 Jobs Details

This topic describes the about the information on controlling the jobs.

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

   The **Job Details** screen is displayed.

**Figure 4-14 Job Details**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Job Details** screen, click **New** and specify the details.

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

**Table 4-13 Job Details - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Job Name** | Click the icon and select the job name from the list. | *Alphanumeric; 100 Characters; Optional* |
| **Trigger State** | Select the state of the job you want to search for from the option list provided. The available options are:<br>• **Not Scheduled**<br>• **Scheduled**<br>• **Paused**<br>• **Complete**<br>• **Error** | *Optional* |
| **Scheduler** | Click the icon and select the scheduler to which the job you want to search for has been assigned from the list. | *Alphanumeric; 100 Characters; Optional* |
| **Job Group** | Click the icon and select the job group to which the job you want to search for belongs from the list. | *Alphanumeric; 200 Characters; Optional* |
| **Next Fire Time** | Click the icon and select the next fire time to when the job is scheduled to be run next. | *Numeric; 22 Characters; Optional* |

4. Click **Search** button to view the details related to the job. You can pause a job by selecting it and clicking the **Pause** button. You can resume a paused job by clicking **Resume** button and the job is scheduled for its next fire time.

   A job can take any of the following states:

   - **COMPLETE -** This indicates that the trigger does not have remaining fire-times in its schedule.
   - **NORMAL** - This indicates that the trigger is in the normal state
   - **BLOCKED** - A job trigger arrives at the blocked state when the job that it is associated with is a Stateful job and it is currently executing.
   - **PAUSED** - This indicates that the job is manually paused from executing.
   - **ERROR** - A job trigger arrives at the error state when the scheduler attempts to fire it, but cannot due to an error creating and executing its related job. Also, a job arrives at ERROR state when the associated class for the job is not present in class path.

5. Click **Save** to save the record.

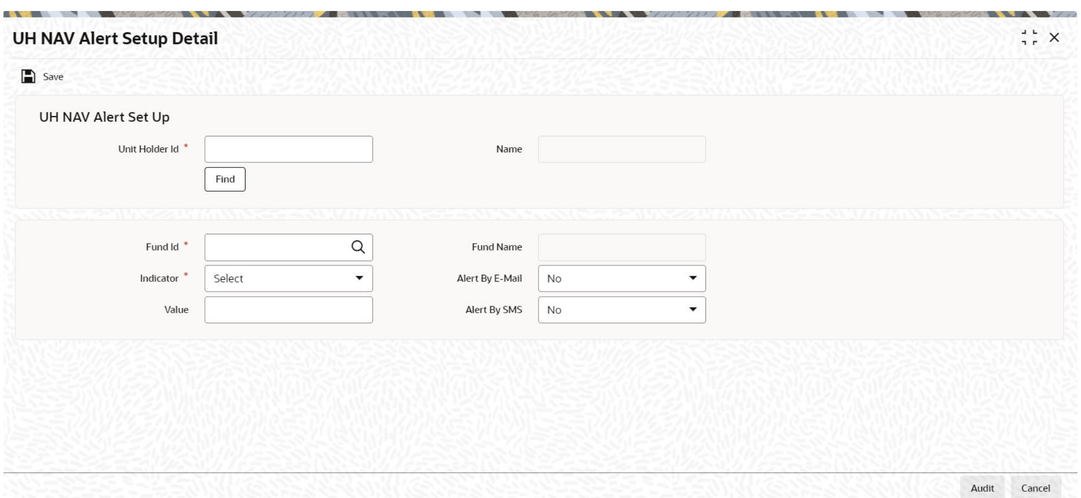
# 4.10 UH NAV Alert Setup Detail

This topic describes about the instructions to set up alert for UH NAV.

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

   The **UH NAV Alert Setup Detail** screen is displayed.

**Figure 4-15 UH NAV Alert Setup Detail**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **UH NAV Alert Setup Detail** screen, click **New** and specify the details.

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

**Table 4-14 UH NAV Alert Setup Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Unit Holder ID** | Specify the unit holder ID. You can query for unit holder ID by clicking **Fund** button. | *Alphanumeric; 12 Characters; Mandatory* |
| **Name** | Displays the name of the unit holder based on the selected unit holder ID. | *Display* |
| **Fund ID** | Click the 🔍 icon and select the fund ID from the list. | *Alphanumeric; 6 Characters; Mandatory* |
| **Fund Name** | Displays the fund name based on the selected fund ID. | *Display* |
| **Indicator** | Select the indicator from the drop-down list. The available options are:<br>• **Less**<br>• **Less or Equal**<br>• **Greater**<br>• **Greater or Equal** | *Mandatory* |
| **Value** | Specify the NAV value. | *Numeric; 30 Characters; Optional* |
| **Alert By E-Mail** | Select the alert has to be received by e-mail or not from the drop-down list. The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Alert By SMS** | Select the alert has to be received by sms or not from the drop-down list. The available options are:<br>• **Yes**<br>• **No** | *Optional* |

4. Click **Save** to save the record.

# 4.11 UH NAV Alert Setup Summary Screen

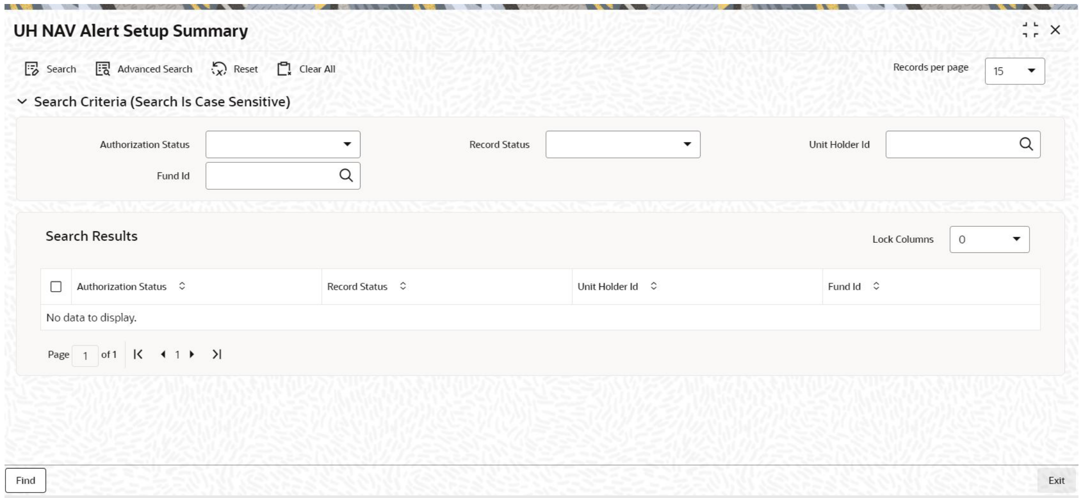
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve UH NAV Alert Setup Summary Record**

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

   The **UH NAV Alert Setup Summary** screen is displayed.

**Figure 4-16 UH NAV Alert Setup Summary**




2. On **UH NAV Alert 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 ID**
   - **Fund ID**
3. Click **Search** button to view the records.

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

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

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

   For more infromation on operations, refer the following:

- Edit UH NAV Alert Setup Summary Record
  This topic provides the systematic instructions to edit UH NAV Alert Setup Summary record.
- View UH NAV Alert Setup Summary Record
  This topic provides the systematic instructions to view UH NAV Alert Setup Summary record.

- Delete UH NAV Alert Setup Summary Record
  This topic provides the systematic instructions to delete UH NAV Alert Setup Summary record.
- Authorize UH NAV Alert Setup Summary Record
  This topic provides the systematic instructions to authorize UH NAV Alert Setup Summary record.
- Amend UH NAV Alert Setup Summary Record
  This topic provides the systematic instructions to amend UH NAV Alert Setup Summary record.
- Authorize Amended UH NAV Alert Setup Summary Record
  This topic provides the systematic instructions to authorize amended UH NAV Alert Setup Summary record.

## 4.11.1 Edit UH NAV Alert Setup Summary Record

This topic provides the systematic instructions to edit UH NAV Alert Setup Summary record.

Modify the details of UH NAV Alert Setup Summary Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **UH NAV Alert 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 **UH NAV Alert Setup Summary 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 NAV Alert Setup Summary Detail** screen is closed and the changes made are reflected in the **UH NAV Alert Setup Summary** screen.

## 4.11.2 View UH NAV Alert Setup Summary Record

This topic provides the systematic instructions to view UH NAV Alert Setup Summary record.

View a record that you have previously input by retrieving the same in the UH NAV Alert Setup Summary

1. Start the **UH NAV Alert 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 **UH NAV Alert Setup Summary Detail** screen is displayed.

## 4.11.3 Delete UH NAV Alert Setup Summary Record

This topic provides the systematic instructions to delete UH NAV Alert Setup Summary record.

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

1. Start the **UH NAV Alert 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 **UH NAV Alert Setup Summary 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 UH NAV Alert Setup Summary Record

This topic provides the systematic instructions to authorize UH NAV Alert Setup Summary record.

Authorize an unauthorized UH NAV Alert Setup Record in the system for it to be processed as follows:

1. Start the **UH NAV Alert 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 wish to authorize.

   The **UH NAV Alert Setup Summary 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.

### 4.11.5 Amend UH NAV Alert Setup Summary Record

This topic provides the systematic instructions to amend UH NAV Alert Setup Summary record.

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

1. Start the **UH NAV Alert 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 wish to amend.

   The **UH NAV Alert Setup Summary 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.

### 4.11.6 Authorize Amended UH NAV Alert Setup Summary Record

This topic provides the systematic instructions to authorize amended UH NAV Alert Setup Summary record.

Authorize an amended UH NAV Alert Setup Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

## 4.12 Setting up General Ledger Template

This topic describes the about the information on setting up template on general ledger.

**Oracle FLEXCUBE Investor Servicing** provides the facility to set up a General Ledger for the purpose of generating accounting entries that would be passed at each event in the life cycle of a transaction.

The events at which the accounting entries could be required for a transaction are as follows:

- **Unitization**
- **Authorization**
- **Settlement**

Also, a set of theoretical entries could be required at initiation of the transaction.

For these accounting entries, the relevant reporting heads are to be mapped to each transaction. According to the components mapped and the setup in the system, the appropriate accounting entries / theoretical entries are passed at either the Distributor or AMC installation, for the funds for which the setup has been maintained.

You can set up the General Ledger by setting up an accounting template for each transaction type and transaction event, and then mapping the template for a fund-investment account type combination, so that the template comes into effect for transactions in the fundinvestment type combination.

This topic contains the following sub-topics:

- GL Template Detail
  This topic describes about the infromation of GL tempate detail.

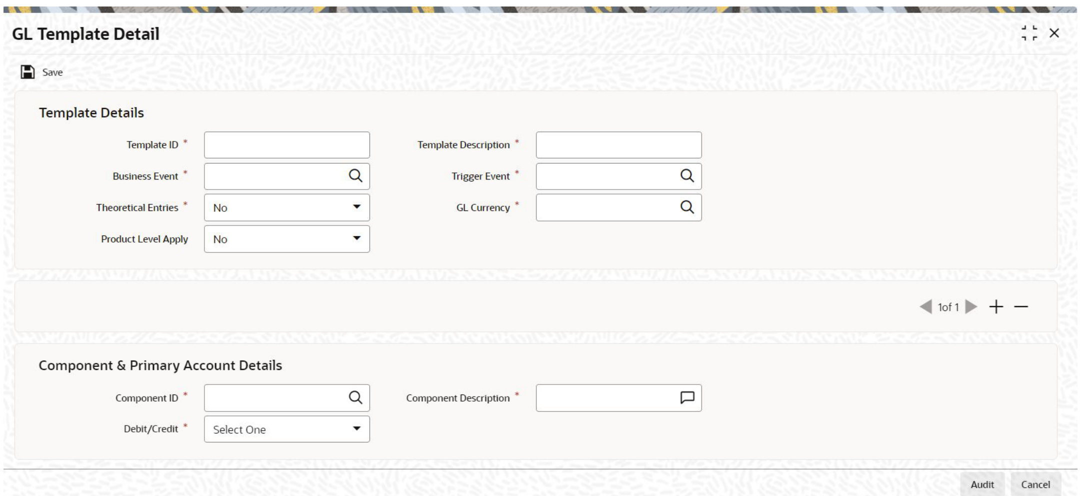
## 4.12.1 GL Template Detail

This topic describes about the infromation of GL tempate detail.

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

   The **GL Template Detail** screen is displayed.

**Figure 4-17 GL Template Detail**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **GL Template Detail** screen, click **New** and specify the details.

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

**Table 4-15 GL Template Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Template ID** | Specify the unique ID for the template that you are setting up. | *Alphanumeric; 10 Characters; Mandatory* |
| **Template Description** | Specify the description for the template. | *Alphanumeric; 35 Characters; Mandatory* |
| **Business Event** | Click the icon and select the business event for which the template is being defined. | *Alphanumeric; 2 Characters; Mandatory* |

**Table 4-15 (Cont.) GL Template Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Trigger Event** | Click the icon and select the trigger event on which GL Extraction will be initiated.<br>The available options are:<br>• **Unitization**<br>• **Authorization**<br>• **Settlement** | *Alphanumeric; 15 Characters; Mandatory* |
| **Theoretical Entries** | Select one of the options from the drop-down to indicate if there are entries that will be used for reporting only. The available options are:<br>• **Yes**<br>• **No** | *Mandatory* |
| **GL Currency** | Click the icon and select the GL currency from the drop-down list. | *Alphanumeric; 3 Characters; Mandatory* |
| **Product Level Apply** | Indicate if the template is applicable at the product level or not from the drop-down list. The available options are:<br>• **Yes**<br>• **No**<br>**Note:** You can maintain a GL Setup for more than one currency. This is done by choosing the option **All Currency** against the field GL Currency. This allows you to maintain one GL for transactions carried out by the customer in different currencies. There will be a currency wise posting in the GL. | *Optional* |
| **Component & Primary Account Details** | Specify the details under this section. | NA |
| **Component ID** | Click the icon and select the component ID's of the components that must appear as entries in the general ledger sub-accounts of the selected funds, for the selected business event. from the drop-down list.<br>All the loads that have been defined in the system will be included in the drop-down list. You can also select the option **VAT**. | *Alphanumeric; 20 Characters; Mandatory* |
| **Component Description** | Displays the description of the component based on the component ID selected. | *Alphanumeric; 255 Characters; Mandatory* |
| **Debit/Credit** | Indicate whether the entries arising due to the selected business event are to be deemed as positive (debit) entries or negative (credit) entries in the general ledger. | *Mandatory* |
| **Primary Account Details** | Specify the details under this section. | NA |
| **Entity** | Select the primary initiating entity from the drop-down list. The available options are:<br>• **Unit Holder ID**<br>• **Distributor**<br>• **AMC**<br>• **Fund**<br>• **Product** | *Mandatory* |

**Table 4-15 (Cont.) GL Template Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **GL SetUp For** | The GL set up may be defined for Payment, General Ledger, CASA or SAP. Indicate the same in this field.<br>Different fields are displayed, enabled or disabled depending on what option you choose. The same is explained below. | *Mandatory* |
| **Accounting Currency** | Select the accounting currency for the primary entity from the drop-down list. The available options are:<br>• **Fund Base Currency**<br>• **Transaction Currency**<br>• **Product Base Currency** | *Mandatory* |
| **Bank Branch** | Select the bank branch from the option list provided. | *Alphanumeric; 12 Characters; Optional* |
| **Account Number** | Specify the bank account number. | *Alphanumeric; 34 Characters; Mandatory* |
| **Transaction Currency** | This field will be disabled if you choose the option Fund Base Currency in the field Accounting Currency. If you choose the option Transaction Currency, you can choose the Transaction Currency. | *Alphanumeric; 3 Characters; Mandatory* |
| **Direct Debit Applicable** | Select if direct debit is applicable or not from the drop-down list. The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Contra Account Details** | Specify the details under this section. | NA |
| **Contra Entity** | Select the counter party initiating entity from the drop-down list. The available options are:<br>• **Unit Holder ID**<br>• **Distributor**<br>• **AMC**<br>• **Fund**<br>• **Product** | *Mandatory* |
| **GL SetUp For** | The GL set up may be defined for Payment, General Ledger, CASA or SAP. Indicate the same in this field from the drop-down list.<br>Different fields are displayed, enabled or disabled depending on what option you choose. The same is explained below:<br>• **CASA**<br>• **GL**<br>• **SAP**<br>• **Payment**<br>Depending on what you choose, certain fields will be displayed. The same is explained below: | *Mandatory* |
| **Contra Accounting Currency** | Select the accounting currency for the counter party entity from the drop-down list. The available options are:<br>• **Fund Base Currency**<br>• **Transaction Currency**<br>• **Product Base Currency** | *Mandatory* |

**Table 4-15 (Cont.) GL Template Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **Contra Bank Branch** | Select the bank branch from the drop-down list. | *Alphanumeric; 12 Characters; Optional* |
| **Contra Account Number** | Specify the bank account number. | *Alphanumeric; 34 Characters; Mandatory* |
| **Contra Transaction Currency** | This field will be disabled if you choose the option Fund Base Currency in the field Accounting Currency. If you choose the option Transaction Currency, you can choose the Transaction Currency. | *Alphanumeric; 3 Characters; Mandatory* |
| **Direct Debit Applicable** | Select if direct debit is applicable or not from the drop-down list. The available options are:<br>• **Yes**<br>• **No** | *Optional* |

4. Click **Save** to save the record.

# 4.13 GL Template Summary

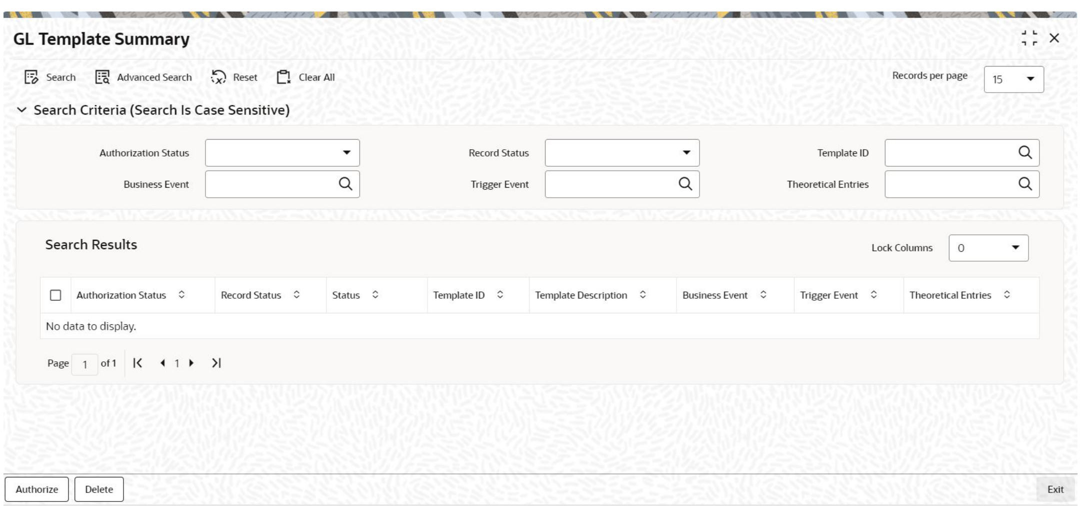
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve GL Template Summary Record**

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

   The **GL Template Summary** screen is displayed.

**Figure 4-18 GL Template Summary**




2. On **GL Template 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**
- **Template ID**
- **Business Event**
- **Trigger Event**
- **Theoretical Entries**

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 **Template 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 template ID by using the combination of % and alphanumeric value as follows:

   - Search by G%: System will fetch all the records whose template ID starts from Alphabet ‘G’. Ex: GLTEMP etc.
   - Search by %1: System will fetch all the records whose template ID ends by numeric value’ 1’. Ex: GL1 etc.

   For more infromation on operations, refer the following:

- Edit GL Template Summary Record
  This topic provides the systematic instructions to edit GL Template Summary record.
- View GL Template Summary Record
  This topic provides the systematic instructions to view GL Template Summary record.
- Delete GL Template Summary Record
  This topic provides the systematic instructions to delete GL Template Summary record.
- Authorize GL Template Summary Record
  This topic provides the systematic instructions to authorize GL Template Summary record.
- Amend GL Template Summary Record
  This topic provides the systematic instructions to amend GL Template Summary record.
- Authorize Amended GL Template Summary Record
  This topic provides the systematic instructions to authorize amended GL Template Summary record.
- Copy GL Template Summary Record
  This topic provides the systematic instructions to authorize amended GL Template Summary record.

## 4.13.1 Edit GL Template Summary Record

This topic provides the systematic instructions to edit GL Template Summary record.

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

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

## 4.13.2 View GL Template Summary Record

This topic provides the systematic instructions to view GL Template Summary record.

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

1. Start the **GL Template 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 **GL Template Summary Detail** screen is displayed.

## 4.13.3 Delete GL Template Summary Record

This topic provides the systematic instructions to delete GL Template Summary record.

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

1. Start the **GL Template 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 **GL Template Summary 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.

## 4.13.4 Authorize GL Template Summary Record

This topic provides the systematic instructions to authorize GL Template Summary record.

Authorize an unauthorized GL Template Summary Record in the system for it to be processed as follow

1. Start the **GL Template 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 **GL Template Summary 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.

## 4.13.5 Amend GL Template Summary Record

This topic provides the systematic instructions to amend GL Template Summary 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 **GL Template Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

   The **GL Template Summary 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.

### 4.13.6 Authorize Amended GL Template Summary Record

This topic provides the systematic instructions to authorize amended GL Template Summary record.

Authorize an amended GL Template Summary Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

### 4.13.7 Copy GL Template Summary Record

This topic provides the systematic instructions to authorize amended GL Template Summary record.

1. Click **Copy** to create a new **GL Template Summary Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **GL Template Summary Record** should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous steps.
3. Click **Copy**.

   Indicate the ID for the new **GL Template Summary Record**. You can, however, change the details of the new record.

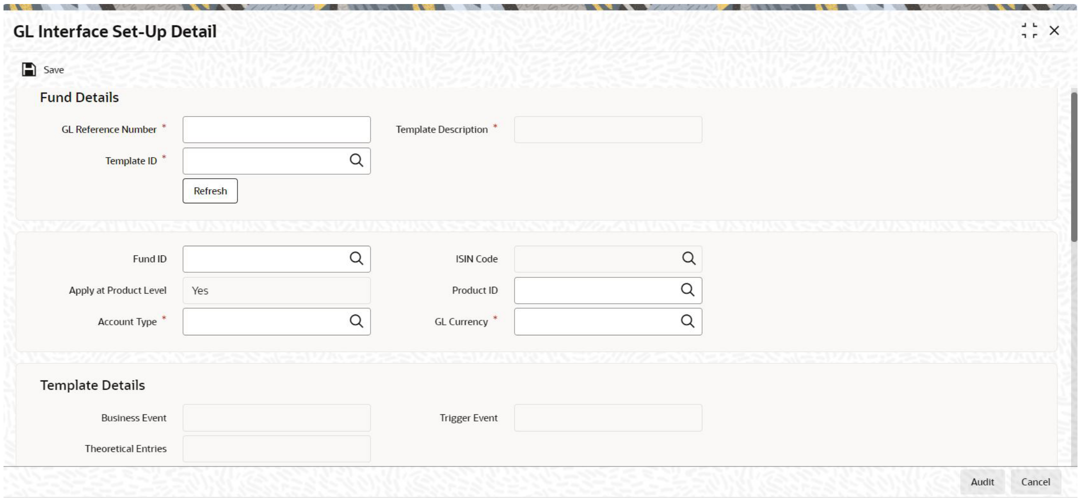
## 4.14 GL Interface Set-up Detail

This topic describes about the instructions to set up details for GL interfaces.

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

   The **GL Interface Set-up Detail** screen is displayed.

**Figure 4-19    GL Interface Set-up Detail**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **GL Interface Set-up Detail** screen, click **New** and specify the details.

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

**Table 4-16    GL Interface Set-up Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **GL Reference Number** | Specify a reference number for the GL. The field GL Reference Number allows you the flexibility of creating several GL templates with a common Fund ID, Template ID, Component and Account Type. You can distinguish between them by entering a unique GL Reference Number for each. | *Alphanumeric; 10 Characters; Mandatory* |
| **Template ID** | Click the icon and select the template ID that you desire to map to the fund-investment account combination to from the list.<br>**Note:** When you choose the Template ID, the following sections are displayed in the screen:<br>• **Template Details Section**<br>• **Component Details Section**<br>• **Restricted Reference Type Section**<br>For more information on general ledger template, refer Setting up General Ledger Template. | *Alphanumeric; 10 Characters; Mandatory* |
| **Template Description** | Displays the description of the template based on the template ID selected. | *Display* |
| **Fund ID** | Click the icon and select the fund ID to which the template is being mapped from the option list provided. | *Alphanumeric; 6 Characters; Optiona* |

**Table 4-16 (Cont.) GL Interface Set-up Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **ISIN Code** | The ISIN Code of the fund that you choose will be updated in this field.<br>You could, alternatively, click the icon and select the the ISIN Code of the fund and the Fund ID will be updated. | *Display* |
| **Apply at Product Level** | Select if the template has to be applied at product level or nor from the drop-down list. The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Product ID** | Click the icon and select the product ID to which the template is being mapped from the list. | *Alphanumeric; 10 Characters; Optional* |
| **Account Type** | Click the icon and select the account type for which the template is being mapped. | *Alphanumeric; 2 Characters; Mandatory* |
| **GL Currency** | Click the icon and select the Gl currency from the list.<br>**Note:**<br>• As mentioned above, the field GL Reference Number allows you the flexibility of creating several GL templates with a common Fund Id, Template Id, Component and Account Type. You can distinguish between them by entering a unique GL Reference Number for each.<br>• You can maintain a GL Setup for more than one account type. This is done by choosing the option **All Account Types** against the field Account Type.<br>For example, if you want to define a GL setup for a fund FUND1 for two account types CPFOA and Cash Direct, you can choose the option **All Account Types** instead defining two different GL templates for each of the account types.<br>You can maintain a GL Setup for more than one currency. This is done by choosing the option **All Currency** against the field GL Currency. This allows you to maintain one GL for transactions carried out by the customer in different currencies. There will be a currency wise posting in the GL. | *Alphanumeric; 3 Characters; Mandatory* |
| **Template Details** | Specify the details under this section. | NA |
| **Business Event** | Select the type of transaction/process for which the template is being defined. | *Alphanumeric; 2 Characters; Optional* |
| **Trigger Event** | Select the event on which GL Extraction will be initiated. The available options are:<br>• **Unitization**<br>• **Authorization**<br>• **Settlement** | *Alphanumeric; 15 Characters; Optional* |

**Table 4-16 (Cont.) GL Interface Set-up Detail - Field Description**

| Field | Description | Attributes |
|---|---|---|
| **Theoretical Entries** | Select one of the options from the drop-down to indicate if there are entries that will be used for reporting only. The available options are:<br>• **Yes**<br>• **No** | *Optional* |
| **Component Details** | Specify the details under this section. | NA |
| **Component ID** | Displays the component ID. | NA |
| **Component Description** | Displays the component description. | NA |
| **Debit/Credit** | Displays the status as debit or credit. | NA |
| **Primary/ Contra Entity Details** | Displays the entity details. | NA |
| **Restricted Reference Type** | Specify the details under this section. | NA |
| **Restricted Reference Type** | Specify the Restricted Reference Type. | *Alphanumeric; 10 Characters; Optional* |
| **Restricted Sub Types** | Specify the details under this section. | NA |
| **Restricted Sub Types** | Specify the Restricted Sub Type. | *Alphanumeric; 255 Characters; Optional* |

4. Click **Save** to save the record.

- Extraction and Generation of Event based Accounting Entries
  This topic describes about the extraction of event based accounting entries.
- Regeneration of Extract
  This topic describes about regenerating of extract.

## 4.14.1 Extraction and Generation of Event based Accounting Entries

This topic describes about the extraction of event based accounting entries.

A batch process extracts the relevant accounting entries according to the GL setup for the fund, and generates the accounting entries that would be passed, automatically at EOD.

For cash nominee accounts, no theoretical entries are generated at the AMC when the GL extract is generated, since these accounts are of the Distributor.

The System checks whether the transaction date is a holiday in any of the calendars. The settlement date (Contractual Settlement Date) is derived based on the mode of payment, payment lag maintained for the fund.

As of the unitization or allocation date, the theoretical (cash flow indicator) entries, if indicated in the GL maintenance, are generated. At the Distributor, the accounting entries generated for the underlying transaction reflect the movement of funds to Distributor, unit holder and fund accounts. At the AMC, the accounting entries generated for the underlying transaction reflect the credit or debit to fund investment, fund manager, Distributor, rounding and transaction charge account.

The payment date for the underlying transaction is also arrived at according to the transaction payment mode. The settlement process is initiated on the date on which payment clearing is performed, which is tracked as the Actual Settlement Date. At the Distributor, the accounting entries generated reflect the movement of funds between the fund receivable account and the Distributor. At the AMC, the accounting entries generated reflect the movement of funds between the fund account and unit holder pooled investment account.

For cash based transactions, the unitization and payment date are the same and both theoretical and actual entries are passed as on this date.

### 4.14.2 Regeneration of Extract

This topic describes about regenerating of extract.

Once the accounting data passed due to a GL setup has been extract, you can re-extract and regenerate the data, if required.

To re-extract the data, you must provide the ID of the fund and the unit holder for which you wish to re-extract the data and the date range between which the data was extracted. If you do not provide a fund or unit holder ID, the data is re-extracted for entries generated within the date range specified.

After re-extraction, you can either regenerate the entries or generating a report containing the entries.

## 4.15 GL Interface Set-Up Summary

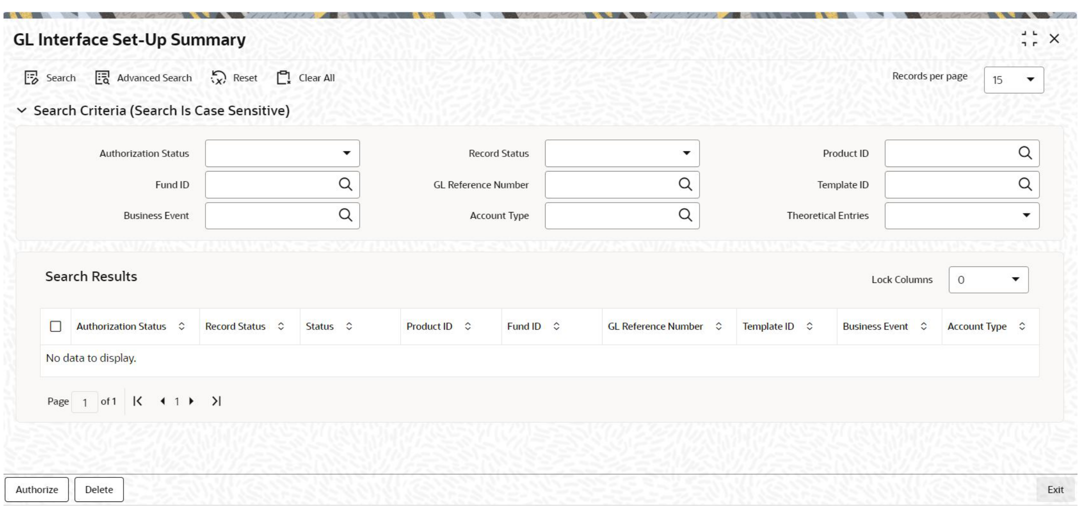
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve GL Interface Set-Up Summary Record**

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

   The **GL Interface Set-Up Summary** screen is displayed.

   **Figure 4-20 GL Interface Set-Up Summary**


2. On **GL Interface Set-Up 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**
- **Product ID**
- **GL Reference Number**
- **Business Event**
- **Theoretical Entries**
- **Fund ID**
- **Template ID**
- **Account 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 **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.

   For more infromation on operations, refer the following:

- Edit GL Interface Set-Up Summary Record
  This topic provides the systematic instructions to edit GL Interface Set-Up Summary record.
- View GL Interface Set-Up Summary Record
  This topic provides the systematic instructions to view GL Interface Set-Up Summary record.
- Delete GL Interface Set-Up Summary Record
  This topic provides the systematic instructions to delete GL Interface Set-Up Summary record.
- Authorize GL Interface Set-Up Summary Record
  This topic provides the systematic instructions to authorize GL Interface Set-Up Summary record.
- Amend GL Interface Set-Up Summary Record
  This topic provides the systematic instructions to amend GL Interface Set-Up Summary record.
- Authorize Amended GL Interface Set-Up Summary Record
  This topic provides the systematic instructions to authorize amended GL Interface Set-Up Summary record.

## 4.15.1 Edit GL Interface Set-Up Summary Record

This topic provides the systematic instructions to edit GL Interface Set-Up Summary record.

Modify the details of GL Interface Set-Up Summary Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **GL Interface Set-Up 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 **GL Interface Set-Up Summary 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 **GL Interface Set-Up Summary Detail** screen is closed and the changes made are reflected in the **GL Interface Set-Up Summary** screen.

## 4.15.2 View GL Interface Set-Up Summary Record

This topic provides the systematic instructions to view GL Interface Set-Up Summary record.

View a record that you have previously input by retrieving the same in the GL Interface Set-Up Summary screen. Perform this operation as follows:

1. Start the **GL Interface Set-Up 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 **GL Interface Set-Up Summary Detail** screen is displayed.

## 4.15.3 Delete GL Interface Set-Up Summary Record

This topic provides the systematic instructions to delete GL Interface Set-Up Summary record.

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

1. Start the **GL Interface Set-Up 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 **GL Interface Set-Up Summary 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 GL Interface Set-Up Summary Record

This topic provides the systematic instructions to authorize GL Interface Set-Up Summary record.

Authorize an unauthorized GL Interface Setup Record in the system for it to be processed as follows:

1. Start the **GL Interface Set-Up 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 **GL Interface Set-Up Summary 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 GL Interface Set-Up Summary Record

This topic provides the systematic instructions to amend GL Interface Set-Up Summary 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 **GL Interface Set-Up Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the screen.
4. Double-click the record that you wish to amend.

   The **GL Interface Set-Up Summary 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 GL Interface Set-Up Summary Record

This topic provides the systematic instructions to authorize amended GL Interface Set-Up Summary record.

Authorize an amended GL Interface Setup Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

## 4.16 Accounting System GL Setup Detail

This topic describes about the infromation setting up accounting system GL.

You can use this screen in the Administration menu category of the Fund Manager component to:

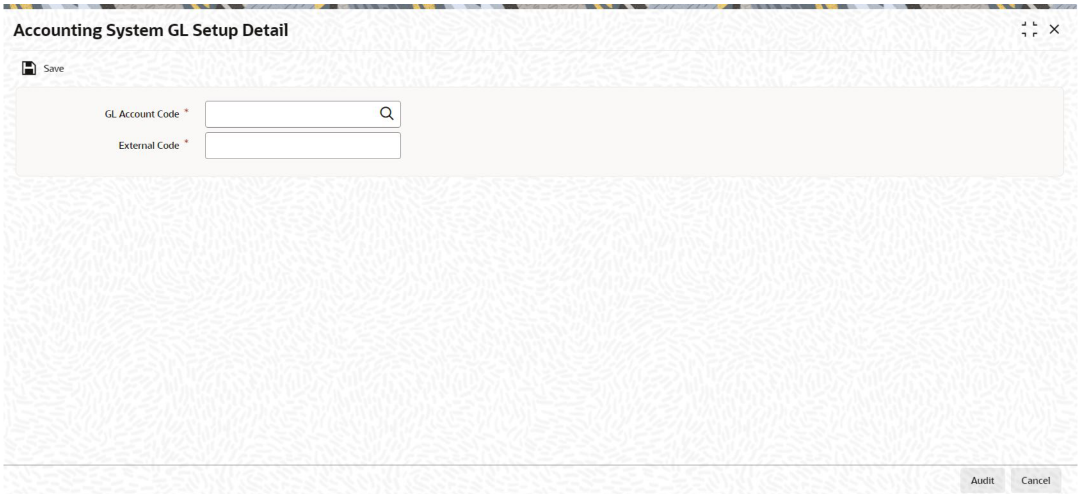
- Map the load component codes in FCIS to their corresponding charge codes in the external system.
- Edit existing mappings
- Delete existing mappings

When you map each load component code (GL Account Code) to its corresponding charge code that is defined for the load in the external system, the load information in the exported transaction data is recognized and assimilated in the external system.

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

   The **Accounting System GL Setup Detail** screen is displayed.

**Figure 4-21 Accounting System GL Setup Detail**




2. Specify any or all of the details corresponding to the message you want to retrieve.

   The system uses your specifications to as search criteria to query the database and retrieve the record as specified.

3. On **Accounting System GL Setup Detail** screen, click **New** and specify the details.

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

**Table 4-17 Accounting System GL Setup Detail - Field Description**

| Field | Description | Attributes |
| --- | --- | --- |
| **GL Account Code** | Click the icon and select the account code in the FCIS system that must be mapped to its corresponding charge code in the external system. This is the GL Account Code that has been assigned to this load component in the Fund Load Setup record. | *Alphanumeric, 10 Characters; Mandatory* |
| **External Code** | Specify the account code in the external system that corresponds to the selected FCIS system code. | *Alphanumeric, 10 Characters; Mandatory* |

4. Click **Save** to save the record.

# 4.17 Accounting System GL Setup Summary

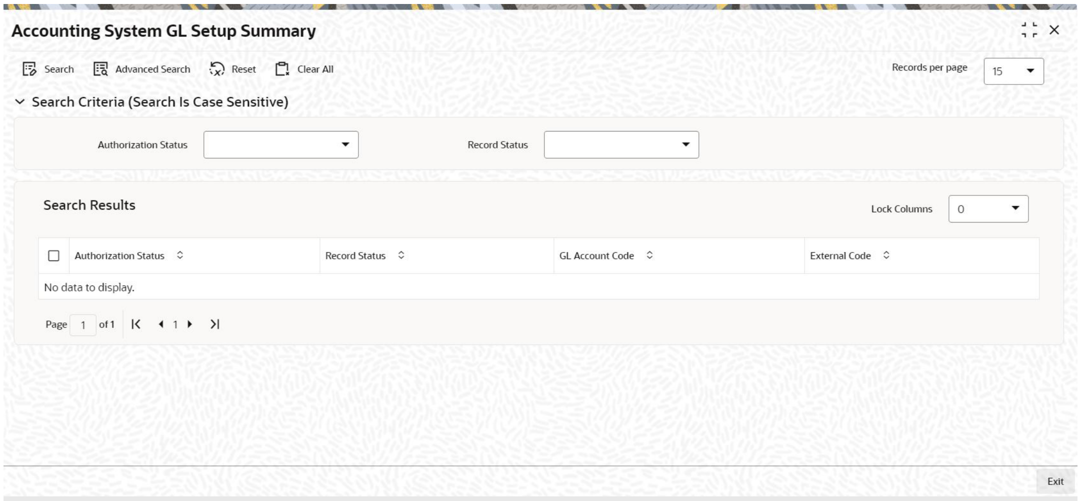
This topic provides the systematic instructions to perform the basic operations on the selected records.

**Retrieve Accounting System GL Setup Summary Record**

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

   The **Accounting System GL Setup Summary** screen is displayed.

**Figure 4-22 Accounting System GL Setup Summary**




2. On **Accounting System GL 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**
   - **Product ID**
   - **GL Reference Number**
   - **Business Event**
   - **Theoretical Entries**
   - **Fund ID**
   - **Template ID**
   - **Account 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 any parameter in the screen
   > - Press F8

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

   For more infrormation on operations, refer the following:

- Edit Accounting System GL Setup Summary Record
  This topic provides the systematic instructions to edit Accounting System GL Setup Summary record.
- View Accounting System GL Setup Summary Record
  This topic provides the systematic instructions to view Accounting System GL Setup Summary record.
- Delete Accounting System GL Setup Summary Record
  This topic provides the systematic instructions to delete Accounting System GL Setup Summary record.
- Authorize Accounting System GL Setup Summary Record
  This topic provides the systematic instructions to authorize Accounting System GL Setup Summary record.
- Amend Accounting System GL Setup Summary Record
  This topic provides the systematic instructions to amend Accounting System GL Setup Summary record.
- Authorize Amended Accounting System GL Setup Summary Record
  This topic provides the systematic instructions to authorize amended Accounting System GL Setup Summary record.

## 4.17.1 Edit Accounting System GL Setup Summary Record

This topic provides the systematic instructions to edit Accounting System GL Setup Summary record.

Modify the details of Accounting System GL Setup Summary Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Accounting System GL 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 **Accounting System GL Setup Summary 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 **Accounting System GL Setup Summary Detail** screen is closed and the changes made are reflected in the **Accounting System GL Setup Summary** screen.

## 4.17.2 View Accounting System GL Setup Summary Record

This topic provides the systematic instructions to view Accounting System GL Setup Summary record.

View a record that you have previously input by retrieving the same in the Accounting System GL Setup Summary screen. Perform this operation as follows:

1. Start the **Accounting System GL 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 **Accounting System GL Setup Summary Detail** screen is displayed.

## 4.17.3 Delete Accounting System GL Setup Summary Record

This topic provides the systematic instructions to delete Accounting System GL Setup Summary record.

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

1. Start the **Accounting System GL 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 **Accounting System GL Setup Summary 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.

## 4.17.4 Authorize Accounting System GL Setup Summary Record

This topic provides the systematic instructions to authorize Accounting System GL Setup Summary record.

Authorize an unauthorized Accounting System GL Setup Record in the system for it to be processed as follows:

1. Start the **Accounting System GL 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 wish to authorize.

   The **Accounting System GL Setup Summary 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.

### 4.17.5 Amend Accounting System GL Setup Summary Record

This topic provides the systematic instructions to amend Accounting System GL Setup Summary 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 **Accounting System GL 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 wish to amend.

   The **Accounting System GL Setup Summary 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.

### 4.17.6 Authorize Amended Accounting System GL Setup Summary Record

This topic provides the systematic instructions to authorize amended Accounting System GL Setup Summary record.

Authorize an amended Accounting System GL Setup Record for the amendment to be made effective in the system.

The authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

## 4.18 FCIS – AWD Interface

This topic describes about the information on interfaces with FCIS - AWD.

This topic contains the following sub-topics:

- FCIS-AWD Interface Description
  This topic describes about the information on interface description of FCIS - AWD.
- Maintaining Interface Specific Details
  This topic describes about the information on maintaining interface specific details.

- Interface Attributes
  This topic describes about the information on interfaces attributes.
- Process Workflow
  This topic describes about the information on workflow process of FCIS - AWD.
- File Format for FCIS – AWD Interface
  This topic describes about the information on file format of FCIS - AWD.

## 4.18.1 FCIS-AWD Interface Description

This topic describes about the information on interface description of FCIS - AWD.

At the end of a day's batch processing, Oracle FLEXCUBE Investor Servicing will produce a file which contains all the transactions that have failed validation criteria. The FCIS – AWD Interface will assign a unique error code for each of the failed transactions and pass the file to another external system. This external system will translate the error codes into AWD Worktype and produces an AWD/RIP control file for AWD/RIP.

## 4.18.2 Maintaining Interface Specific Details

This topic describes about the information on maintaining interface specific details.

You need to maintain the external system AWD in the FCIS Data Mapping Maintenance screen with the code description as ERROR CODE. Consequently, the file that will be sent to AWD by FLEXCUBE Investor Services will have the header 'AWD'.

For more infromation on mappinf details. refer **Maintaining Data Mapping** in the **Maintaining System Parameters**.

## 4.18.3 Interface Attributes

This topic describes about the information on interfaces attributes.

The FCIS – AWD Interface has the following attributes:

**Table 4-18 Attributes**

| Trigger | EOD Activity |
|---|---|
| Transport Type | File System |
| File Type | Delimited |
| Header Row | No |
| Record Separator | New Line Character |
| Field Separator | Comma |

## 4.18.4 Process Workflow

This topic describes about the information on workflow process of FCIS - AWD.

The FCIS - AWD interface will fetch all the allocation errors that have occurred on transactions after all the validations. The interface will then transfer a file with the details in the required format. The interface will also provide the subscriptions, redemptions and income distributions for which the bank details are unverified.

### 4.18.5 File Format for FCIS – AWD Interface

This topic describes about the information on file format of FCIS - AWD.

The file which contains the errors that have occurred on transactions will be in the following format:

**Table 4-19 File Format for FCIS – AWD Interface**

| Field Name | Data Type | Details |
|---|---|---|
| Error Code | Number | The FCIS error code will be translated as per the data mapping maintenance. |
| Account Number | Character | The unit holder ID of the transaction. |
| Fund ID | Character | The fund ID of the transaction. |
| Account Group No | Character | Product ID of the transaction. The value will be **UT** if it is a unit trust transaction. |
| Account Group Type | Character | The product type of the product maintained in FCIS. |
| Surname | Character | The Last Name of the unit holder involved in the transaction. |
| Date of birth | Number(8) | Unit holder's Date of birth in YYYYMMDD format. |
| Account Reference Number | Character | The transaction number. |
| Date | Number(8) | Transaction date in YYYYMMDD format. |

## 4.19 EPU Upload

This topic describes about the information on EPU upload.

This topic contains the following sub-topics:

- EPU Upload Processing
  This topic provides information on the processing of EPU uploads.
- Interface Workflow
  This topic describes the Interface Workflow process.
- Attributes
  This topic provides information about the attributes.
- Message Format
  This topic describes the message format.

### 4.19.1 EPU Upload Processing

This topic provides information on the processing of EPU uploads.

In EPU Upload, FCIS receives distribution rates for all non Money Market Funds from an external system. The frequency of the upload depends on the frequency of distribution rates declared for each fund.

### 4.19.2 Interface Workflow

This topic describes the Interface Workflow process.

When a file is received, the system processes a record only if there is no previous EPU entry (for the fund as on the distribution date) and the dividend record is unprocessed. If there is an EPU record already existing, the system displays an error message **Duplicate Record**. If the system does not find any duplicate records, it stores the data in tables and deletes the file.

### 4.19.3 Attributes

This topic provides information about the attributes.

The attributes present in the EPU upload file interface are as follows:

- The interface is capable of handling incoming information to FCIS as a delimited file.
- The upload is during EOD operations.
- The fields are separated by the delimiter **Comma**.
- The column headings of the header row are also separated by **Comma**.
- The records are separated by the New Line Character.

Outgoing responses are not within the scope of this interface.

### 4.19.4 Message Format

This topic describes the message format.

Refer the topic **Appendix B - Upload file formats – B**, Volume IV of **Upload Format User Manual**.

## 4.20 Tax Aggregation Interface

This topic describes about the information on Tax Aggregation Interface.

This topic contains the following sub-topics:

- Tax Aggregation Interface Description
  This topic provides a description of the Tax Aggregation Interface..
- Interface Workflow
  This topic describes the Interface Workflow process.
- Attributes
  This topic provides information about the attributes.
- Message Format
  This topic describes the message format.

### 4.20.1 Tax Aggregation Interface Description

This topic provides a description of the Tax Aggregation Interface..

The Tax Aggregation Interface facilitates the export and subsequent import of all tax information relating to Annuity Income. The dispatch and receipt of the information is done on a monthly basis.

### 4.20.2 Interface Workflow

This topic describes the Interface Workflow process.

FCIS collates tax information across all lines of business every month only for clients with Annuity income. This is sent across to an application which checks if the tax payable by the client has been accurately calculated. The application then sends the accurate values of tax which will be updated in the designated tables in FCIS. There will be no processing of the data imported.

### 4.20.3 Attributes

This topic provides information about the attributes.

The attributes present in the Tax Aggregation File interface are as follows:

- The interface handles outgoing information from FCIS as a delimited file.
- The upload is manual.
- There is no header row.
- The trailer row is the Control Records.
- The field separator is a **Comma**.
- The records are separated by the New Line Character.

The incoming information into FCIS is handled the same manner as the outgoing information.

### 4.20.4 Message Format

This topic describes the message format.

Refer the topic **Appendix B - Upload file formats – B**, Volume IV of **Upload Format User Manual**.

## 4.21 Agent Reference File

This topic describes about the information on Agent Reference File.

This topic contains the following sub-topics:

- Agent Reference File Description
  This topic provides a description of the Agent Reference File.
- Interface Attributes
  This topic describes the Interface attributes.
- Message Format
  This topic describes the message format.

### 4.21.1 Agent Reference File Description

This topic provides a description of the Agent Reference File.

The Agent Reference File is an import interface. The broker details like Broker Name, Broker Type, etc are updated in the FCIS using this interface. The repository of OMIPAY, i.e., SAP, will send a file to the system which includes the broker details. These records are compared with the records present in the system. If there is any mismatch in the OMIPAY data, the system will be updated accordingly.

> **Note**
>
> This interface does not create new brokers; instead the existing broker details will be updated.

### 4.21.2 Interface Attributes

This topic describes the Interface attributes.

The attributes present in the Oracle Financial interface are as follows:

- The upload is triggered during End Of Day process.
- The transport of data occurs through File System.
- The file type is delimited.
- There is no header row.
- The Record separator is New Line Character.
- The Field separator is a **Comma**.

### 4.21.3 Message Format

This topic describes the message format.

Refer the topic **Appendix B - Upload file formats – B**, Volume IV of **Upload Format User Manual**.

## 4.22 Oracle Financial Interface

This topic describes about the information on Oracle Financial Interface.

This topic contains the following sub-topics:

- Oracle Financial Interface Description
  This topic provides a description of the Oracle Financial Interface.
- Interface Attributes
  This topic describes the Interface attributes.
- Message Format
  This topic describes the message format.

### 4.22.1 Oracle Financial Interface Description

This topic provides a description of the Oracle Financial Interface.

Oracle Financial Interface is an export interface that will be done daily. The GL entries posted through out the day will be sent to the external system. The Oracle Financial Accounting System interface consolidates the journal postings and produces the accounts. All transactions and fees will be recorded in Oracle Financials General Ledger. This is an automated process that will run during EOD.

### 4.22.2 Interface Attributes

This topic describes the Interface attributes.

The attributes present in the Oracle Financial interface are as follows:

- The upload is triggered during End Of Day process.
- The transport of data occurs through File System.
- The file type is delimited.
- There is no header row.
- The Record separator is New Line Character.
- The Field separator is a **Comma**.

### 4.22.3 Message Format

This topic describes the message format.

Refer the topic **Appendix B - Upload file formats – B**, Volume IV of **Upload Format User Manual**.

## 4.23 Product - Fund - Asset Code Mapping Interface

This topic describes about the information on Product - Fund - Asset Code Mapping Interface.

This topic contains the following sub-topics:

- Product - Fund - Asset Code Mapping Interface Description
  This topic provides a description of the Product - Fund - Asset Code Mapping Interface Description.
- Executing Product – Fund –Asset Code Mapping Interface
  This topic describes about the information on Executing Product – Fund –Asset Code Mapping Interface.

### 4.23.1 Product - Fund - Asset Code Mapping Interface Description

This topic provides a description of the Product - Fund - Asset Code Mapping Interface Description.

For every Product – Fund ID combination, the system creates an Asset Code. For every valid Product and Fund ID available as part of Product Portfolio mapping combination, the system will generate an Asset Code. The system picks up the Asset Code for reporting purpose for the Global Order Placement Interface/Report.

The **Global Placement Interface** has been explained in detail in the section **Global Order Placement Interface** of this chapter.

### 4.23.2 Executing Product – Fund –Asset Code Mapping Interface

This topic describes about the information on Executing Product – Fund –Asset Code Mapping Interface.

The Product Fund Asset Code Upload supports the Product Fund Asset Code Mapping and is a file based upload.

You can execute the Product Fund Asset Code Mapping through the **Online Execution of Interfaces** screen.

For more infromation on execution, refer Online Interface Execution.

# 4.24 Global Order Placement Interface

This topic describes about the information on Global Order Placement Interface.

This topic contains the following sub-topics:

- Global Order Placement Interface Description
  This topic provides a description of the Global Order Placement Interface.
- Batch Process for Global Order Generation
  This topic describes about the information on Batch Process for Global Order Generation.
- Message Format
  This topic describes the message format.

## 4.24.1 Global Order Placement Interface Description

This topic provides a description of the Global Order Placement Interface.

The Global Order Placement is an export interface. This interface will extract policy transaction information like Investment amount (minus Initial Admin and Initial Broker fees), Disinvestment Amount etc. from FCIS and creates a text file which will be handed over to the different AMC. This interface is manually triggered.

You can also report the net value of the Initial admin and Broker Fee to the AMC/ UT along with the UT initial fee return value using Global Order Placement. Hence the exported files will contain both the net amount (Policy amount – Fees) and UT fee return value.

You can group the transactions based on the following:

- Fund
- Transaction Date
- Transaction Type
- Subscription includes Pseudo Switch-in
- Redemption includes Pseudo Switch-out, True Switches, and Transfers
- Product
- UT Fee Return value

> **Note**
>
> System will consider Internal Switches (switch in and switch out) as separate transaction types.

## 4.24.2 Batch Process for Global Order Generation

This topic describes about the information on Batch Process for Global Order Generation.

The Global Order or Manco Instructions is generated using the batch process. The system will check for all the transactions in this batch process, i.e., if there are fees attached to the policy transaction, the system will forecast the Initial Admin fees and Initial Broker fees using the Project Allocation procedure.

Project Allocation projects the allocation which contains the allotted units based on the price available from the global order. The forecasted fee values are received through the project allocation package.

You can calculate the investment amount using the following formula: Investment Amount = (Policy Transaction Amount) – (Initial Admin Fee) – (Initial Broker Fee).

Investments and Disinvestment Adjustments (Reversals), i.e., Buying and reversal of Selling, will be consolidated into a single value per day's transactions. Similarly, Disinvestments and Investment Adjustments (Reversals), i.e., Selling and reversal of Buying will be consolidated into a single value per day's transactions.

**Note**

Netting of Investments and Disinvestments is not allowed.

You can report the separate records for the transactions such as Investment Amounts, Disinvestment Amounts, Disinvestment Units, Switches In and Switches Out, for the same Manco Fund per day.

Following points can be used as reference:

- Disinvestment Amount = Amount with a Negative Sign
- Investment Amount = Amount with a Positive Sign
- Reversal of Investment Amount = Amount with a Negative Sign
- Reversal of Disinvestment Amount = Amount with a Positive Sign
- Disinvestment Units = Units with a Negative Sign

## 4.24.3 Message Format

This topic describes the message format.

Refer the topic **Appendix B - Upload file formats – B**, Volume IV of **Upload Format User Manual**.

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