Oracle® FLEXCUBE Investor Servicing

Reference Information User Guide

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Preface

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

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

This topic contains the following sub-topics:

Purpose

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.

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

Conventions

The following text conventions are used in this document:

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.
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. When the user click **New**, the system displays a new record enabling to specify the required data. **Note**: The fields, which are marked with an asterisk, are mandatory.
Copy	Used to copy the details of a record.
Close	Used to close a record. This action is available only when a record is created.
Unlock	Used to update the details of an existing record. System displays an existing record in editable mode.
Print	Used to print a record. This action is available only when a record is created.
Enter Query	Used to give details of a saved record in a detail screen. When the user click **Enter Query**, the system displays a saved record enabling to specify only the required or primary data.
Execute Query	User need to perform this after entering query. Click **Execute Query** after specifying the details of the record to be fetched, the system retrieves all the information of that particular record.
Audit	Used to view the maker details, checker details and report status.
Cancel	Used to cancel the performed action.
Save	Used to save the details entered or selected in the screen.
Refresh	Used to refresh the details selected in the screen.
Reset	Used to reset the fields to enter a new criteria.
Clear All	Used to clear all the data entered for search criteria.
Details	Used to navigate to Detail screen.
Search	Used to search either the details of a particular record or a list of records by querying particular field.
Advanced Search	Used to search details more precisely.

Table 3 (Cont.) Basic Actions

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

Getting Help

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

Prerequisite

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

1

Overview

This topic enables you to learn about the Reference Information.

Oracle FLEXCUBE Investor Servicing (FCIS) provides both online and offline automation for a network for the purpose of distributing open-ended as well as close-ended funds.

With **FCIS**, you can set up highly parametrized funds, create and service investor accounts, organize the declaration and disbursement of dividends and automate your bookkeeping.

This topic contains the following sub-topics:

- Change Password
  This topic provides instructions to change password after logging into the system.
- Process Module Default Detail
  This topic provides the systematic instructions to maintain module details.
- Structure
  This topic provides information on the structure of **Oracle FLEXCUBE Investor Servicing**.
- Fund Manager
  This topic provides information on Fund Manager.
- Agency Branch
  This topic provides information on Agency Branch.

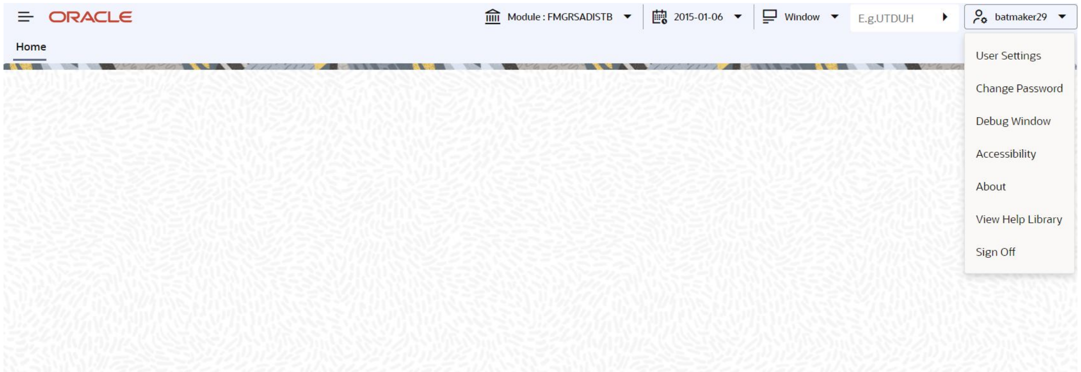
1.1 Change Password

This topic provides instructions to change password after logging into the system.

1. Click **User** icon on the application.

   The **User** icon displays all menu items.

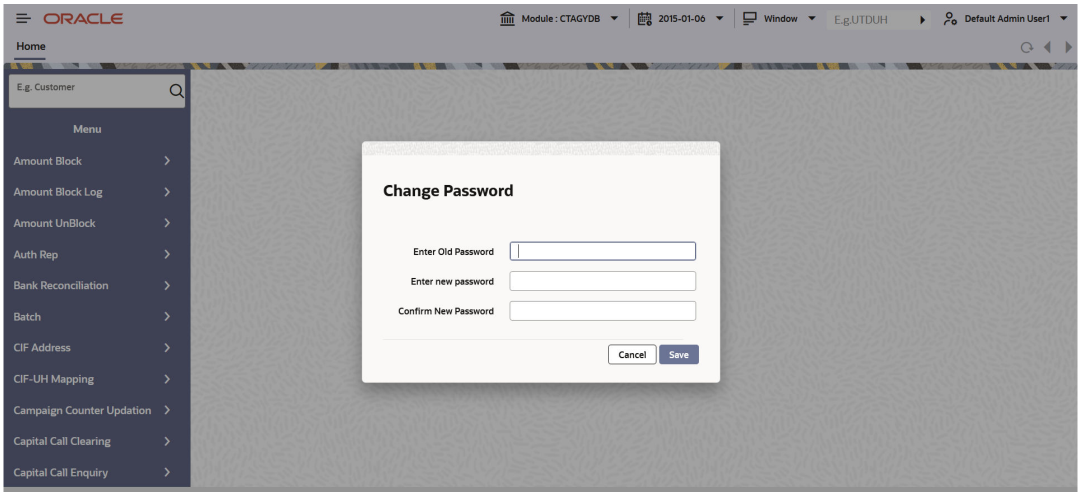
   Figure 1-1 User Action_Menus

2. Select **Change Password** menu.

   The **Change Password** window is displayed.

Figure 1-2 Change Password Window



3. Specify the new desired password in the **Enter New Password** field, and confirm the same by re-entering it in the **Confirm New Password** field.

   The new password entered will be verified, encrypted and stored.

4. Change your password at regular intervals for security reasons.

   At the end of this interval, the **Change Password** window will appear automatically as soon as you log in.

5. If you exceed the number of specified invalid logon attempts, your user profile is disabled, and must be created again.

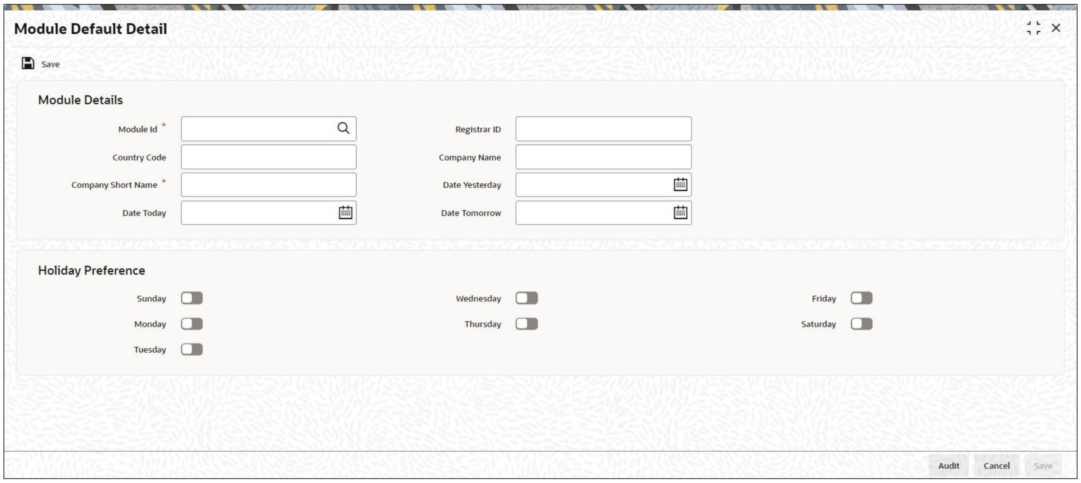
1.2 Process Module Default Detail

This topic provides the systematic instructions to maintain module details.

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

   The **Module Default Detail** screen is displayed.

Figure 1-3 Module Default Detail



2. On **Module Default Detail** screen, click **New** to enter the details.

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

Table 1-1 Module Default Detail - Field Description

Field	Description
Module ID	*Alphanumeric; 50 Characters; Mandatory* Specify the **Module ID**. Alternatively, you can select **Module ID** from the option list. The list displays all valid **Module ID** maintained in the system.
Registrar ID	*Alphanumeric; 12 Characters; Optional* Specify the **Registrar ID**. Alternatively, you can select **Registrar ID** from the option list. The list displays all valid **Registrar ID** maintained in the system.
Country Code	*Alphanumeric; 15 Characters; Optional* Specify the country code.
Company Name	*Alphanumeric; 60 Characters; Optional* Specify the name of the company
Company Short Name	*Alphanumeric; 15 Characters; Optional* Specify the short name of the company.
Date Yesterday	*Date Format; Optional* Select the previous date from the adjoining calendar.
Date Today	*Date Format; Optional* Select the current date from the adjoining calendar.
Date Tomorrow	*Date Format; Optional* Select the next date from the adjoining calendar.
Holiday Preference	Select the appropriate check box adjacent to holiday date. The options are as follows: • **Sunday** • **Monday** • **Tuesday** • **Wednesday** • **Thursday** • **Friday** • **Saturday**

1.3 Structure

This topic provides information on the structure of **Oracle FLEXCUBE Investor Servicing**.

Oracle FLEXCUBE Investor Servicing consists of inter-dependent components:

- **Fund Manager**
- **Agency Branch**

The **Fund Manager** component automates all the fund-related administrative functions within the AMC.

The **Agency Branch** component facilitates the maintenance of investor accounts, and processing of investor transactions.

1.4 Fund Manager

This topic provides information on Fund Manager.

Maintain Reference Information

The Fund Manager is the entity that handles all administrative functions within the AMC.

This involves the following operations and activities:

- The set up and maintenance of reference and static data concerning all entities, currencies, exchange rate sources and exchange rates.
- The set up and maintenance of all funds floated by the AMC.
- Authorization of all data related to static information, unit holder accounts, information change requests, amended transactions, closure of accounts and bulk clients information.

The Fund Manager component, therefore, acts as an administrative core that seamlessly integrates with the rest of the system in an offline hand-off mode or an online mode.

In Fund Manager, you maintain basic reference information that would be used for processing in the system. This includes:

- Entities that the AMC would transact with, such as agents, agency branches, banks, bank branches, registrars, trustees, bulk clients, check vendors, underwriters and custodians. You can also maintain different AMC's as entities.
- The different values for static system parameters, such as countries, identification, corporation and occupation types, account types, investor categories, fee categories, and so on.
- Currency information, such as the different currencies, exchange rate sources and pair currencies. On a daily basis, you can also capture the prevalent exchange rates.
- Tax processing information that would be applicable to investor categories, country tax laws, cash dividends, brokers and funds floated by the AMC.
- The different fees, incentives or loads that would apply to transactions of investors in the funds of the AMC. This includes fees such as **Contingent Deferred Sales Charge (CDSC)**, trailing commissions and ongoing management fees.
- The holiday calendar for the AMC.

Maintain Funds and Products

In Fund Manager, you can maintain the different funds that your AMC would offer to investors for investment. If your AMC offers investment in umbrella funds, or fund families you can maintain these in the system. You can also maintain the different products for retirement plans, or endowment policies, and so on.

Fund Hierarchies
Your AMC could offer investors opportunities to invest not just in a single fund, but into umbrella funds, or fund families. You can maintain these hierarchies in the system.

Fund Rules
For each individual fund, you can maintain exhaustive guidelines for processing investment. These guidelines are organized into different sets of rules, which you can maintain for each fund. The rules will apply cumulatively, on all investment into the fund, and they are called the fund rules, as given below:

- Fund Demographics (the basic profile of the fund including the name and effective date)

- Corporate Actions (rules governing the processing of dividends and distribution of earnings derived by investors from investment into the fund)
- General Operating Rules (guidelines for pricing policies, automatic redemption, check writing, and so on)
- Shares Characteristics (guidelines for scrip-based and scrip-less funds, for certificate processing)
- Transaction Processing Rules (the processing limits for each transaction type, allocation rules, limits for investor categories, standing instructions and transaction requests coming through each communication mode)
- Fund Load Setup (associating the fees, charges or incentives to be applicable to investment transactions in each fund)
- Fund Formula Maintenance (maintaining expressions for calculation of NAV or transaction base price, for each transaction type)
- Fund Sale Country (identifying the countries of domicile in which the AMC can offer the fund for sale)
- Fund Transaction Currencies (identifying the currencies in which the AMC can accept investment into the fund)
- Fund Residency Restriction (identifying the nationalities of investors that can invest in the fund)
- Specific Price Dates for funds (identifying specific dates on which prevalent prices can be used for ascertaining the value of investment in the fund)
- Amount Limits for IRA Transactions (identifying the limits for investment into funds that are part of the portfolio of a retirement product)
- SI Specific Information (maintaining rules for standing instruction generation for a fund)
- Fund Delivery Instruction
- Fund Investment Account (associating the fund investment account types allowed with a fund)
- KYC Maintenance (maintaining the list of KYC documents specific to the fund)
- Additional Information (maintaining additional information under the information heads specific to an AMC)

If you do not maintain fund rules for a fund, you cannot process investment into the fund, in the system.

Associating entities with funds
You can associate entities such as agents with a fund that you maintain. Such agents would be allowed to market the fund.

If check writing facilities are allowed for a fund, you can also associate the check vendors that would print the checks, for the fund.

Groups of funds with common load characteristics
You can maintain groups of funds, for which common loads are applicable on transactions. The group of funds (or load group) facility is especially useful for loads that are applicable in the case of privileges of the investor such as **Rights of Accumulation (ROA)** or a **Letter of Intent (LOI)**.

Investment Products
You can also maintain processing guidelines for investment products that you offer to investors. You can maintain products with different attributes, to attract specific investors. The

attributes could be funding, retirement features, premium and annuity features, loans, withdrawals and so on.

Fund Prices
You can also maintain the NAV and the transaction base prices for each fund, for each transaction type, for each business day.

Other Fund Activities
You can also maintain bank accounts used by the fund, in each currency in which the fund transacts.

- Maintain Reference Information
- Set up Loads
- Maintain Currencies and Capturing Exchange Rates
- Other Maintenance Functions in the Maintenance Module
- Set up Funds

Refer the following topics in *Fund Manager User Manual* for a full discussion of all maintenance functions in Fund Manager.

Hedge Funds
Hedge funds are special type of investment funds that use leveraging and other investment strategies to hedge the exposure of a portfolio against the movements in the equity market. They can take both short and long positions, use arbitrage, trade options and bonds and invest in any opportunity where they can make impressive gains at reduced risk.

Hedge funds are handled by hedge fund managers. They charge the investors a fee called performance fee, which is a percentage of the gains received by the investor. As investors enter and exit hedge funds at different points in time, the performance gains received by them also differ accordingly. Hence, the performance fee calculations are carried out using a special accounting methodology called equalization accounting which ensures that the fund manager is paid the correct performance fee and also that the fees are fairly allocated between each investor in the fund. The investors also receive profit only for the period during which they stay invested in the fund. Hedge funds can be of any of the following types or structures:

- **Simple** A simple hedge fund is a regular fund with normal processing rules. These funds usually have monthly dealing frequency and valuation points. Performance fee is generally accrued on monthly basis and paid out on yearly basis.
- **Master-Feeder** A master-feeder fund structure is set up to accept assets from both foreign and domestic investors in the most tax and trading efficient manner possible. A traditional setup consists of a master fund company into which different feeder funds invest. The transactions of feeder funds will be fed into master fund either on net or non-netted basis.
- **Fund of Funds** A fund of hedge fund invests in hedge funds rather than investing in individual securities. Performance fee will be collected at two levels; one for the underlying hedge funds and the other for the fund of funds. Net asset value also is calculated separately for the underlying funds and the fund of funds. The details related to the minimum and maximum number of investors investing is maintained in case of fund of funds. For fund of funds, the investors usually need to give a notice period which signifies the number of days in advance that the investor must notify the fund in order to receive the payment.
- **Side Pockets** A side pocket is a special type of account used in hedge funds to separate illiquid assets from other more liquid investments. Once an investment enters a side pocket account, only the present participants in the hedge fund will be entitled to a share of it. Future investors will not receive a share of the proceeds in the event the asset's returns get realized. Investors who leave the hedge fund will still receive a share of the side

pocket's value when it gets realized. Investments that get locked into a side pocket cannot be redeemed until a realization event happens and the side-pocket gets converted back into a tradable series. The dealing and valuation frequencies and the net asset value of the side pockets will be different from that of the main fund.

Refer the following topics for more details on the maintenances required for hedge funds and the calculation of performance fees.

- *Maintain Reference Information*
- *Set up Fund Rules*
- *Other Fund Activities*
- *Fund Rule Upload Formats*

Authorization Functions in Fund Manager

Each of the reference data and fund-related maintenances must be authorized within the system for them to be effective in processing.

The creation of new investor accounts (known as unit holder accounts), with all the investor preferences, and the entry of any transactions in the account are all functions that are managed in the **Agency Branch**. However, any changes made to authorized accounts or authorized transactions will require the scrutiny and approval of the fund manager, and can only be authorized through the **Fund Manager** component.

You can also authorize any interface defined with an external system as well as any defined job (associated with the Scheduler Services).

Interfaces to External Systems

The **Oracle FLEXCUBE Investor Servicing** provides the facility to define and process interfaces to external systems for the purpose of effecting data transfers and information exchanges. For instance, the NAV for a fund may be imported from an external Asset Management system by processing an internally defined interface.

You can define and execute these interfaces through **Fund Manager**.

Scheduler Services

The **Oracle FLEXCUBE Investor Servicing** system provides a facility that you can use to schedule any internal activities that need to be executed either on a periodic basis, or event-based frequency. When you schedule these activities, they will be executed by the Scheduler Services as preprogrammed proceedings according to the frequency defined for them.

Security and Control

The **Fund Manager** system provides application level security features that will prevent unauthorized users from accessing the system.

Refer the *Ensuring Security* topic in this *User Manual* for a detailed discussion of the Security Management System of **Oracle FLEXCUBE Investor Servicing**.

Typically, the business user roles associated with the **Agency Branch** component of the system are the following:

- Fund Administrator
- Supervisor
- Operator

Fund Administrator
The Fund Administrator is responsible for maintenance of reference information and the fund related information.

Supervisor
The Supervisor is responsible for any authorization activities carried out in Fund Manager.

Operator
The Operator is responsible for carrying out the End of Day activities.

Reports

The **Fund Manager** component allows you to view and print various kinds of reports either on a daily basis or at periodic intervals. E.g., If you want to print the transfer transactions that have taken place, you can print the **Transfer Summary** Report, which shows all the Transfer transactions received for a given date on which units have been allotted.

The reports that are available for generation, preview and print include:

- Performance Across All Funds (Amount)
- Performance Across All Funds (Units)
- Unit Holder Register
- Transaction Load Listings
- Check Printing
- Payment Summary
- Letter Of Intents
- Login Tracking Report
- Unit Holder Transaction
- Unit Holder Transaction Fee
- Rejected Transactions Report
- Maturity Date Report
- Account Transfer Payments
- Exchange Rate Override Report
- Bulk Account Client Related Reports
- Fund Bank Account Transfer Report

Refer the topic *Reports* in *Reports User Manual* for a full discussion of these reports.

End of Day Processes

The **Fund Manager** is responsible for running the End of Day (EOD) activities of the **Fund Manager** component of the system. The Fund Administrator user typically performs EOD activities. The **Fund Manager** is also responsible for those branches that have not completed the activities for the day. The EOD activities include:

- Allocation of transactions of any transaction type
- EOD Maintenance
- Execute Pre-EOD
- Execute EOD
- Execute Mini EOD

- Execute BOD
- Branch Sign-on/Sign-off
- EOD Log Report
- Sending / Receiving Messages

You can also execute and process any authorized interface that has been defined with an external system, through the **Online Execution of Interfaces** option.

For a full discussion of the *End of Day Operations* Module refer the topic *End of Day Activities* in this User Manual.

Other Functions

Defaults Maintenance
In **Fund Manager**, the implementers maintain the system default information that will be used in processing, that is specific to your installation. You can make changes to this information subsequently, if necessary, through the Defaults Maintenance function in Fund Manager.

Query Builder
The **Fund Manager** provides a query facility that allows you to extract business information from the system database by constructing simple query statements, called the **Query Builder**.

Conventions to be Followed in Screens
The words `Screen` and `Form(noun)` are used interchangeably throughout the entire document. They refer to the active interface presented to the user for the purpose of data entry operations throughout the system.

In the screens, all checkboxes can accept only two valid entries:

- **Yes** - If the user checks a checkbox, a cross-mark or a tick-mark appears in the box, indicating to the system that the value specified is a `Yes`.
- **No** - If the box is not checked, and is empty, the value indicated to the system is a `No`.

For example, if the **Online Allocation** checkbox has a cross mark or a tick-mark in it, it indicates to the system that online allocation is to be allowed. If the box is empty, it indicates to the system that on-line allocation is not to be allowed.

Enter Dates:
The user is advised to check all dates that user has specified in any of the forms before executing a **Save** operation.

Before You Login

Before you attempt to log in to **Fund Manager**, ensure that all the following activities have been performed:

- The user profile has to be defined by the system administrator for all the users of the back office.
- The Defaults required for **Fund Manager**, namely the default language; currency and so on must already have been defined.

Log in to Fund Manager

Invoke Fund Manager

When the **Fund Manager** component is installed on the workstation, you can access it through the supported browser. You must specify the URL of the installation in the Address box in the supported browser Address Bar.

For instance, if the URL of the installation is `//install/fundmanager/flexsms/emg`, you must key in this URL in the Address Bar of the supported browser.

You can configure the supported browser to invoke the URL of the **Fund Manager** installation by default.

The Login Screen

When **Fund Manager** is successfully invoked in the manner described above, the Login screen is displayed. In the Login screen, specify your **User ID** and **Password** to log in to the system.

If you are logging in for the first time, specify the **Password** allotted to you by the **System Administrator**. After you have logged in for the first time, the system forces you to change your password. Whenever you log in subsequently, you must use this password.

Fund Manager - Menu

When you successfully log in to the system, the **Fund Manager** Main Menu screen is displayed and the various options are enabled or disabled based on the rights given to you in your user profile.

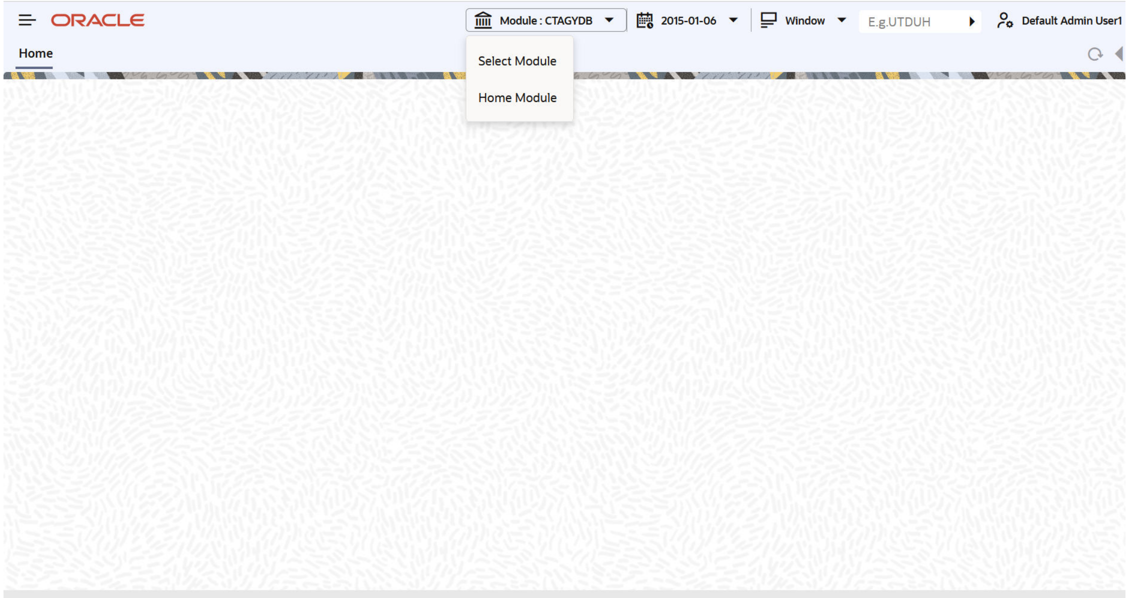
Choose Fund Manager AMC Module

You must choose the module of your **Fund Manager** AMC installation in which you are going to operate in, in the AMC Branch field. When you choose the module, the menu that is accessible to you, according to the definitions made in your user profile, are displayed.

Log in to Different Branch

To log in to a different AMC **Fund Manager** module, click **Module** button, and choose the relevant branch in the AMC Branch field.

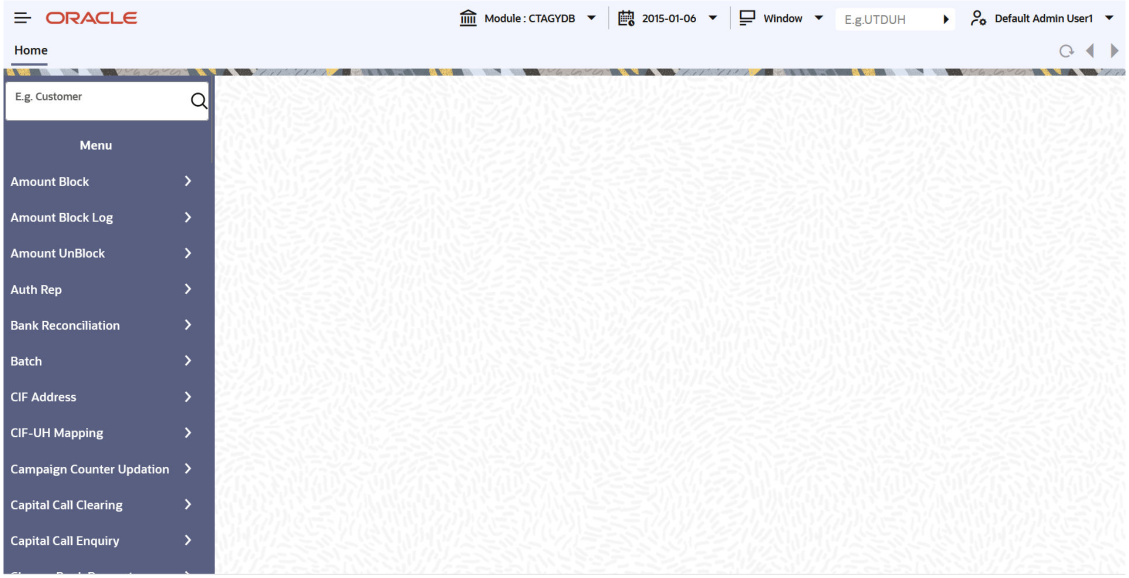
Figure 1-4 Module Option



Main Menu Screen

The Main **Menu** screen is as shown below.

Figure 1-5 Menu



You can choose any of the options from the lists.

In each screen, you will only be allowed to perform those operations that are allowed in your user profile.

If you do not perform any activity for more than ten minutes, the system will automatically log you out, after displaying a message.

1.5 Agency Branch

This topic provides information on Agency Branch.

(Required) Enter introductory text here, including the definition and purpose of the concept.

Details on Agency Branch

The **Agency Branch** is the entity that actually interacts with the investors or unit holders in an AMC scenario.

In **Oracle FLEXCUBE Investor Servicing**, the following operations are handled by the web-enabled interface of the **Agency Branch**:

- The servicing and maintenance of unit holder accounts and daily unit holder operations.
- The servicing and maintenance of brokers.
- The entry, maintenance and processing of transactions.
- The setting up of standing instructions for unit holders.
- The maintenance of the clearing status of payment instruments used in transaction processing.
- Other functions that include maintenance of deals for unit holders, income distribution options, letters of intent, non-tax limits, and so on.

- Maintenance of static data such as system parameters, defaults for the agency branch or the AMC, additional information heads for unit holders, fee categories for unit holders, and mapping of information heads for entities.

Servicing Investors

The service and maintenance of unit holder accounts involves the following operations and activities:

- Creating and maintaining new unit holder accounts.
- Setting up deals, standing instructions, letters of intent options, income distribution options and non-tax limits for unit holder accounts.
- Making changes to the information in authorized unit holder accounts.
- Closing unit holder accounts.
- Capturing details of authorized representatives for unit holders.

For a fuller understanding of how unit holder servicing is facilitated in the system, refer topic *Managing Investor Accounts*.

Entry, Maintenance and Processing of Transactions

Applications for any transactions that the investors want to enter into using their accounts in the AMC are accepted and processed in the Agency Branch. The transactions are entered into the system, and they can be tracked at all stages in the processing cycle.

The following transaction types can be processed in the system:

- IPO subscription transactions
- Subscription transactions
- Redemption transactions
- Switch transactions involving switching of units from one fund to another for a unit holder.
- Transfer transactions involving transferring of units from one unit holder to another within a fund.
- Blocking of units (lien processing)
- Unblocking of units (lifting of lien)
- Consolidation of units
- Splitting of units
- Reissue of units
- Enrichment of payment details for a transaction

For a fuller understanding of how the entry and processing of transactions is facilitated in the system, refer topic *Processing Transactions*.

Setting up Standing Instructions for Unit Holders

Any Regular Savings/ Withdrawal Plans that an investor desires to issue standing instructions for can be set up and maintained in the Agency Branch.

The system provides for the maintenance of standing instructions for a unit holder.

For a fuller understanding of how the entry and processing of standing instructions transactions is facilitated in the system, refer topic *Maintaining Standing Instructions*.

Clearing of Payment Instruments

The clearing status of payment instruments used for transactions and standing instructions can be updated at the **Agency Branch**.

For a complete understanding of how the clearing of payment instruments is facilitated in the system, refer topic *Data Entry*.

The system provides an option to print the acknowledgment/confirmation slips on-line. They can be printed again, if required, for investor related operations.

Unit Holder Account Servicing Operations

Open New Unit Holder Account
The investor fills out an account opening application and hands it over to the agent along with supporting documents. The Account Administrator crosschecks the application and the supporting documents and enters the details into the system. The system prints an acknowledgment slip on saving the new account. After the new account is authorized, the unit holder number for the account is generated.

The request for opening an account could be made by any means, through telephone, fax, etc.

Close Unit Holder Account
The unit holder fills out an account closure application along with the redemption slips to redeem the units held in various funds and hands them over to the agent. The agent checks the details and enters them into the system. The system marks the account as `pending closure`.

If the number of units in all the funds for a unit holder becomes zero, then the system closes the corresponding unit holder account automatically. An account once closed can be re-opened.

Make Changes to Unit Holder Account
The unit holder fills out a change request application and hands it over to the Agent. The agent checks the details and inputs it into the system. The agent will then hand over the acknowledgment slip to the unit holder.

Transactions Operations

Make Transaction Requests
If the transaction request is being made directly over the counter, the unit holder fills out a transaction application and hands it over to the teller. Alternatively, the transaction requests can be made by any means, such as by telephone, through fax, and so on. The unit holder can pay by cash, transfer, check, credit card or demand draft. The teller checks the completeness of the form and inputs the transaction details into the system. If a fee is to be collected from the unit holder at the time of accepting the application form, the system prompts for this.

IPO Subscription/ Subscription Transactions
The system validates the details that were entered against the fund rules. The fund manager allocates the IPO subscription/ subscription based on the NAV declared for the fund for that day. After the allocation, the agency branch can print the confirmation/ rejection note.

If the fund is scrip-based, the certificate-related information is also captured either from the fund or the unit holder based on the fund rule definition.

Redemption Transactions
The fund manager allocates the redemption based on the NAV or any other formula that is computed for the fund for that day or the last fund price declaration day. If the redemption allocation is partial on a given date, the unit holder will receive multiple confirmation notes for

the transaction. After the allocation, the agency branch can print the confirmation / rejection note. The check or the draft as specified by the unit holder that is equal to the redemption consideration handed over.

If the fund is scrip-based, the certificate-related information, including the denominations, is also captured either from the fund or the unit holder based on the fund rule definition.

Wherever certificates are to be surrendered to the AMC, the certificate numbers are captured and validated against the certificate information defined in the system.

Switch Transactions
The system validates the details that were entered against the fund rules for switch transaction. The fund manager allocates the switch based on the NAV declared for the fund or based on any other formula for that day or the last day of declaration of price. If the switch allocation is partial on a given date, the unit holder will receive multiple confirmation notes for the same transaction. The other activities are same as those that are followed in a normal transaction, as for any of the transaction types.

If the fund is scrip-based, the certificate - related information, including the denominations, is also captured either from the fund or the unit holder, based on the fund rule definition. Wherever certificates are to be surrendered to the AMC, the certificate numbers are captured and validated against the certificate information defined in the system.

Transfer Transactions
The system validates the details that were entered, against the fund rules and issues an acknowledgment slip to the unit holder for a transfer transaction. The fund manager allocates the transfer based on the NAV declared for the fund for that day or any other transfer price. After the allocation, the agency branch can print the confirmation/ rejection note. The allocation information is then used to update the transferee and transferor.

If the fund is scrip-based, the certificate related information is also captured either from the fund or the unit holder based on the fund rule definition.

Block (Lien Processing) Transactions
The system validates the details that were entered, against the fund rules and issues an acknowledgment slip to the unit holder for a block transaction. The fund manager allocates the block based on the NAV declared for the fund for that day or on any special block prices that could be derived through any specific formula. All the other activities are the same as those followed for any of the transaction types. The scrip-based funds are also handled in the same manner as for the other transaction types.

Unblock (Lien Processing) Transactions
The system validates the details entered, against the fund rules and issues an acknowledgment slip to the unit holder for the unblock transactions. The fund manager allocates the unblock transaction based on the NAV declared for the fund or any special unblock price for that day. All the other activities are the same as those followed for any of the transaction types.

Consolidation Transactions
The system validates the details entered, against the scrip-based fund rules and issues an acknowledgment slip to the unit holder for the consolidation transaction. The fund manager allocates the consolidation based on the NAV declared for the scrip-based fund for that day or any other formula based price. After the allocation, the agency branch can print the confirmation / rejection note. The certificate related information is also captured either from the fund or the unit holder based on the fund rule definition. In the system, consolidation transactions are supported only for scrip- based funds.

Reissue Transactions

The system validates the details entered, against the scrip-based fund rules and issues an acknowledgment slip to the unit holder for the reissue transaction. The fund manager allocates the reissue based on the NAV declared for the scrip-based fund for that day. After the allocation, the agency branch can print the confirmation/ rejection note. The certificate related information is also captured either from the fund or the unit holder based on the fund rule definition. In the system, reissue transactions are supported only for scrip-based funds.

Security and Control

The **Oracle FLEXCUBE Investor Servicing** system provides application level security features that will prevent unauthorized users from accessing the system.

For a detailed discussion of the **Security Management System** of **Oracle FLEXCUBE Investor Servicing**, refer *Ensuring Security*.

Typically, the business user roles associated with the **Agency Branch** component of the system are the following:

- **Teller** – This role is responsible for accepting the transaction requests from investors. The teller will check all the application forms and enter the transactions in the system.
- **Supervisor** – This role is responsible for authorizing the transactions entered by the teller group.
- **Accounts Officer** – This role is responsible for opening, maintaining and closing unit holder Accounts.

Conventions to be followed in Screens

The words **Screen** and **Form(noun)** are used interchangeably throughout the entire document. They refer to the active interface presented to the user for the purpose of data entry operations throughout the system.

In the screens, all checkboxes can accept only two valid entries – `Yes` or `No`.

- If the user checks a checkbox, a cross-mark or a tick-mark appears in the box, indicating to the system that the value specified is a `Yes`.
- If the box is not checked, and is empty, the value indicated to the system is a `No`.

For example, if the **Online Allocation** checkbox has a cross mark or a tick-mark in it, it indicates to the system that online allocation is to be allowed. If the box is empty, it indicates to the system that online allocation is not to be allowed.

Enter Dates
The user is advised to check all dates that he has specified in any of the forms before executing a **Save** operation.

Before You Log in

Before you attempt to log in to the **Agency Branch** component, ensure that all the following activities have been performed:

- The user profile has to be defined by the System Administrator for all the users of the branch.
- The Defaults required for the branch namely the default language; currency and so on must already have been defined.

Log in to Agency Branch

When the **Agency Branch** component is installed on the workstation, you can access it through the browser.

In the **Login** screen, specify your **User ID** and **Password** to log in to the system.

If you log in for the first time, specify the **Password** allotted to you by the System Administrator. After you have logged in for the first time, the system forces you to change your **Password**. Whenever you log in subsequently, you must use this **Password**.

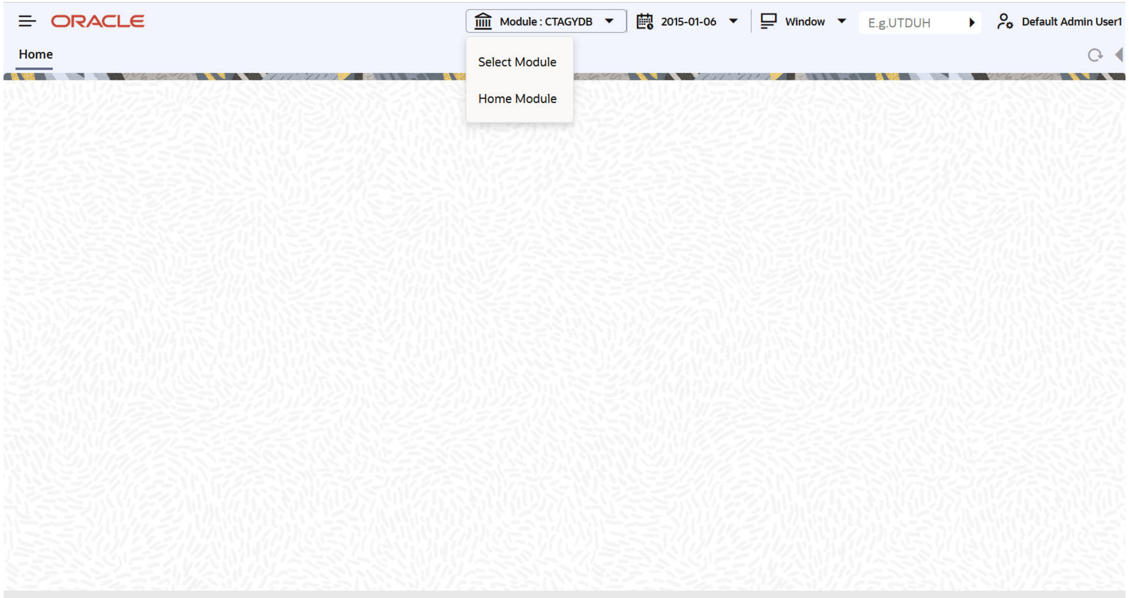
Agency Branch - Menu

When you successfully log into the system, the **Agency Branch** Main Menu screen is displayed and the various options are enabled or disabled based on the rights given to you in your user profile.

Choose your AMC Branch
You must choose the branch of the AMC that you are going to operate in, in the AMC Branch field. When you choose the AMC branch, the menu that is accessible to you, according to the definitions made in your user profile, are displayed.

Log in to Different Branch
To log in to a different branch, click **Module** button, and choose the relevant branch in the AMC Branch field.

Figure 1-6 Module Option



Main Menu Screen
You can specify the operations from the main menu items in your user profile. If you do not perform any activity for more than the time maintained as the session timeout, the system will automatically log you out, after displaying a message.

2

Maintain Reference Information

This topic provides the systematic instructions to maintain reference information in order to use the **Oracle FLEXCUBE Investor Servicing system (FCIS)** to set up unit holders and accept transactions for the funds.

1. Ensure that all data that will eventually be used by the system to help you operate funds has been set up in the system.
2. Prepare the system to recognize the data and process it and make sure following activities are done.
    a. Set up System Parameters.
    b. Set up Reference Information, including entities.
    c. Set up Currencies and capturing Exchange Rates.
    d. Set up Funds.
    e. Set up miscellaneous maintenance functions.

    Maintenance activities are completed.

The maintenance activities mentioned above are available as menu items in the **Maintenance** Menu Item of the *Fund Manager* component.
This topic contains the following sub-topics:

- Set up Reference Information
  This topic provides the systematic instructions to set up reference information.
- Process Fund Type Maintenance Detail
  This topic provides the systematic instructions to set up the types of funds that can be maintained in the system before set up any fund.
- Fund Type Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Single Entity Maintenance Detail
  This topic provides the systematic instructions to set up the entities in the system.
- Single Entity Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Entity Mapping Detail
  This topic provides the systematic instructions to map entity details.
- Entity Mapping Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Relationship Maintenance Detail
  This topic provides the systematic instructions to maintain relationship detail.
- Process Income Distribution Setup Detail
  This topic provides the systematic instructions to capture the pattern for any entity in the **Oracle® FLEXCUBE Investor Servicing** system.

- Income Distribution Setup Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Entity Payment Maintenance Detail
  This topic provides the systematic instructions to define the payment details for entities, which would be used for commission payments.
- FCIS Entity Payment Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Consent Maintenance Detail
  This topic provides the systematic instructions to capture the consent details.
- Consent Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Agent Level Unit Rounding Detail
  This topic provides the systematic instructions to capture rounding precision for units at agent level.
- Agent Level Unit Rounding Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Agency Branches Setup
  This topic provides instructions to set up an Agency Branch in the **Single Entity Maintenance Detail** screen.
- AMC Setup
  This topic provides instructions to set up an AMC in the **Single Entity Maintenance Detail** screen.
- Process Distributor Rules Detail
  This topic provides the systematic instructions to set up a distributor for an AMC.
- Distributor Rules Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Bank Details Maintenance
  This topic explains the systematic instructions on Bank Details Maintenance.
- Process Unitholder Bank Verification Summary
  This topic provides the systematic instructions to verify unit holder bank details.
- Set Up ISA Fund Managers
  This topic provides instructions to set up an ISA Fund Managers in the **Single Entity Maintenance Detail** screen.
- Process FCIS Withholding Tax Setup Detail
  This topic provides the systematic instructions to maintain the slab details for WHT Input in the system.
- FCIS Withholding Tax Setup Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process UH Dividend Component Override Detail
  This topic provides the systematic instructions to override the tax rate for an UH dividend component combination.

- UH Dividend Component Override Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Holiday Maintenance Detail
  This topic provides the systematic instructions to define the weekly holidays and yearly holidays in the holiday calendar for each year.
- Holiday Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Emergency Holiday Maintenance Detail
  This topic provides the systematic instructions to maintain current business day as emergency holiday.
- Emergency Holiday Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Perform Emergency Holiday Transaction Processing
  This topic provides the systematic instructions to process emergency holiday transactions.
- Perform Fund Transaction Sign Off
  This topic provides the systematic instructions to mark the sign off status.
- Process Mode Of Payment Detail
  This topic provides the systematic instructions to set up the clearing options for the various modes of payments that are valid in the system.
- Mode of Payment Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Switch Privilege Setup Detail
  This topic provides the systematic instructions to set up a restrictive list of switching between share classes for switch transactions.
- Switch Privilege Setup Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process AutoSwitch Setup Detail
  This topic provides the systematic instructions to define a period for allowing switch transactions between share classes.
- Exchange List Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Indexation Maintenance Detail
  This topic provides the systematic instructions to maintain indexation values.
- Indexation Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process AGY Bank Account Mapping Detail
  This topic provides the systematic instructions to designate the collection centers and payout accounts.
- AGY Bank Account Mapping Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

- Process Auto Replication Preference Maintenance Detail
  This topic provides the systematic instructions to maintain a template that contains the fields in the Unit Holder New Account Maintenance, for which you require replication of any modifications that are made through an Information Change.
- Auto Replication Preference Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Country Preference Maintenance Detail
  This topic provides the systematic instructions to provide the facility to maintain preferences for Country.
- Country Preference Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Language Support Detail
  This topic provides the systematic instructions to maintain multiple languages in the system.
- Process KYC Maintenance Detail
  This topic provides the systematic instructions to maintain the standard and additional lists of documents.
- KYC Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process KYC Ref Type Restrictions Detail
  This topic provides the systematic instructions to exclude ref types from redemption payout restrictions.
- KYC Ref Type Restrictions Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- SIP/ SWP/ STP Rules
  This topic provides the information on SIP/ SWP/ STP Rules.
- Process Frequency Preferences Detail
  This topic provides the systematic instructions to define setup of dates / days that can be used for mapping in Fund rules and Standing Instructions.
- Frequency Preferences Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Interest Rate Maintenance Detail
  This topic provides the systematic instructions to maintain interest rate that is to be used for interest calculation.
- FCIS Interest Rate Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Rate Maintenance
  This topic provides the systematic instructions to maintain the interest rate details for hedge funds.
- Rate Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

- Process High Water Mark Maintenance
  This topic provides the systematic instructions to maintain the details related high water mark for a fund.
- High Water Mark Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Element Maintenance Detail
  This topic provides the systematic instructions to maintain Data Elements.
- Element Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Rule Maintenance
  This topic provides the systematic instructions to maintain the formulas and expressions used to set up the rule for performance fee calculation.
- Rule Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process PF Group Maintenance
  This topic provides the systematic instructions to define a Group ID and map the default Rule Ids for a given event like Inflow, Outflow or Period End.
- PF Group Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process GF Policy Restrict Mapping
  This topic provides the systematic instructions to maintain policy restrictions for Guaranteed Funds.
- GF Policy Restrict Mapping Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Delegate Detail
  This topic provides the systematic instructions to delegate the amendment or deletion of the fund price to another user to help in reducing the risk of authorizing or wrong fund price.
- Process Settlement Basis Detail
  This topic provides the systematic instructions to specify the settlement basis for agent code under the AMC for specific account types.
- Settlement Basis Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Settlement Cycle Maintenance Detail
  This topic provides the systematic instructions to maintain the settlement cycle for agent for the inflow and outflow transactions.
- Settlement Cycle Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Settlement Price Detail
  This topic provides the systematic instructions to update the fund price for the closed ended funds for settlement.

- Process Succession Price Detail
  This topic provides the systematic instructions to update the succession price.
- Succession Price Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

2.1 Set up Reference Information

This topic provides the systematic instructions to set up reference information.

Information that is static and will need to be set up only the first time, and subsequently altered very little or not at all, constitutes reference information. This includes:

- Entities that the AMC would transact with, such as agents, agency branches, banks, bank branches, registrars, trustees, bulk clients, check vendors, underwriters and custodians. You can also maintain different AMC's as entities.
- The different values for static system parameters, such as countries, identification, corporation and occupation types, account types, investor categories, fee categories, and so on.
- Currency information, such as the different currencies, exchange rate sources and pair currencies. On a daily basis, you can also capture the prevalent exchange rates.
- Tax processing information that would be applicable to investor categories, country tax laws, cash dividends, brokers and funds floated by the AMC.
- The different fees, incentives or loads that would apply to transactions of investors in the funds of the AMC. This includes fees such as **contingent deferred sales charge (CDSC)**, trailing commissions and ongoing management fees.
- The holiday calendar for the AMC, and the holiday calendar for the fund, if required.

This topic deals with setting up the following reference information:

- Fund Types
- Entities
- Withholding Tax
- Modes of Payment
- Holidays
- Static maintenance for switch transactions
- Indexation values for capital gains tax

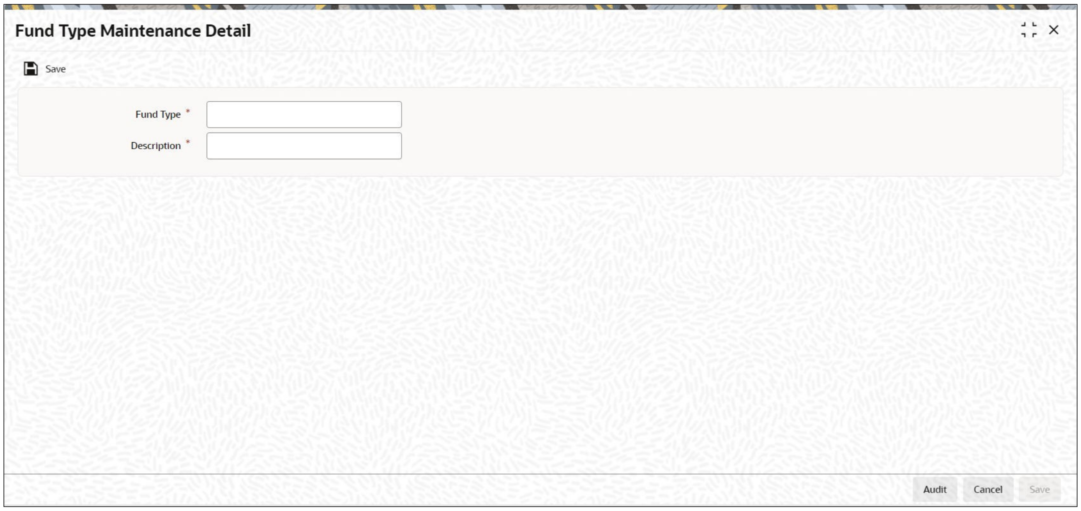
2.2 Process Fund Type Maintenance Detail

This topic provides the systematic instructions to set up the types of funds that can be maintained in the system before set up any fund.

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

   The **Fund Type Maintenance Detail** screen is displayed.

Figure 2-1 Fund Type Maintenance Detail



2. On **Fund Type Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-1 Fund Type Maintenance Detail - Field Description

Field	Description
Fund Type	*Numeric; 38 characters; Mandatory* Specify an identification for the fund type that you wish to set up.
Description	*Alphanumeric; 20 Characters; Mandatory* Enter a brief description for the Fund Type.

2.3 Fund Type Maintenance Summary

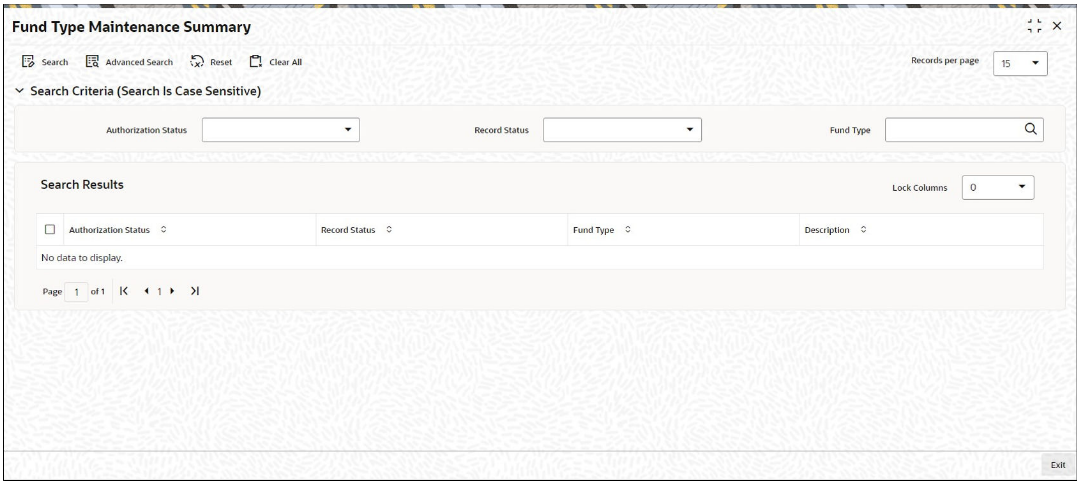
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Fund Type Maintenance Record

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

   The **Fund Type Maintenance Summary** screen is displayed.

Figure 2-2   Fund Type Maintenance Summary



Records per page 15

Lock Columns 0

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2. On **Fund Type Maintenance Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Fund Type**
3. Click **Search** button to view the records.

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

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input the Fund 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 percentage and alphanumeric value.

   You can search the record for Fund Type Maintenance by using the combination of % and alphanumeric value as follows:

   - Search by M%: The system will fetch all the records whose Fund Type description starts from Alphabet ‘M’. For example, Mutual Fund.
   - Search by %7 : The system will fetch all the records whose Fund Type ends by numeric value’ 7’ For example, 217,267,77 and so forth.
   - Search by %17%: The system will fetch all the records whose Fund Type contains the numeric value 17. For example, 3217, 2172 and so forth.

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

2.3.1 Edit Fund Type Maintenance Record

This topic provides the systematic instructions to edit Fund Type Maintenance record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.3.2 View Fund Type Maintenance Record

This topic provides the systematic instructions to view Fund Type Maintenance record.

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

1. Start the **Fund Type Maintenance Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

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

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

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

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

   The **Fund Type Maintenance Detail** screen is displayed.

2.3.3 Delete Fund Type Maintenance Record

This topic provides the systematic instructions to delete Fund Type Maintenance record.

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

1. Start the **Fund Type Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

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

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

   The **Fund Type Maintenance Summary** screen is displayed.

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

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

2.3.4 Authorize Fund Type Maintenance Record

This topic provides the systematic instructions to authorize Fund Type Maintenance record.

Authorize an unauthorized Fund Type Record in the system for it to be processed as follows:

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

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

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

   The **Fund Type Maintenance Detail** screen is displayed.

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

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

2.3.5 Amend Fund Type Maintenance Record

This topic provides the systematic instructions to amend Fund Type 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 **Fund Type Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

2.3.6 Authorize Amended Fund Type Maintenance Record

This topic provides the systematic instructions to authorize amended Fund Type Maintenance record.

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

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

2.3.7 Copy Fund Type Maintenance Record

This topic provides the systematic instructions to copy Fund Type Maintenance record.

To create a new record that you have previously created. Perform this operation as follows:

1. Start the **Fund Type Maintenance Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Fund Type Maintenance Detail** screen is displayed.
5. Click **Copy** from the action list to create a new record.

   The new record with the same detail is created.

2.4 Process Single Entity Maintenance Detail

This topic provides the systematic instructions to set up the entities in the system.

Set up Entities

Each business entity that the AMC interacts with in the course of managing investment can be profiled in the **FCIS** system with a unique profile.

Use the **Single Entity Maintenance Detail** screen to set up the following entities in the system:

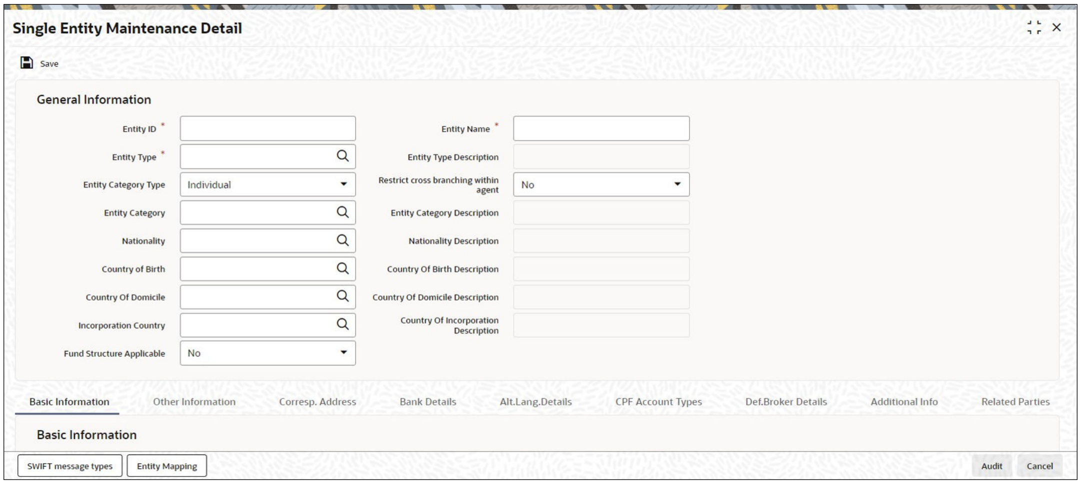
- **Agency Branches**
- **Agents**
- **AMC**
- **Banks**
- **Bank Branches**
- **Bulk Clients**
- **Registrars**
- **Trustees**
- **Check Vendors**
- **Underwriters**
- **Custodians**
- **Clearing Agents**
- **Account and Valuation Agents**
- **Independent Financial Advisors (IFA)**
- **Participating Employer**
- **Account Officers**
- **Paying Agent**
- **Cash Management Account**
- **Individual Savings Account (ISA) Manager**
- **Legal Entity**

> **Note:**
>
> AMCs can only be maintained at Distributor installations. At an AMC installation, the profile of the logged in AMC can be viewed in the Single Entity screen, but a new profile cannot be created.

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

   The **Single Entity Maintenance Detail** screen is displayed.

Figure 2-3   Single Entity Maintenance Detail



Entity Category Type: Individual
Restrict cross branching within agent: No
Fund Structure Applicable: No

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

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

Table 2-2   Single Entity Maintenance Detail - Field Description

Field	Description
Entity ID	*Alphanumeric; 12 Characters; Mandatory* The **Entity ID** is a unique Identification for an entity in the system. Any detail regarding an entity is obtained by using the entity ID for reference. The ID you specify here must be unique and not already in use for any other entity in the system.
Entity Name	*Alphanumeric; 60 Characters; Mandatory* Specify the name (or description) of the entity being set up in the system.
Entity Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of entity being set up. This could be any of the following: • **Agency Branches** • **Agent** • **AMC** • **Bank** • **Bank Branch** • **Bulk Client** • **Registrar** • **Trustee** • **Check Vendor** • **Underwriter** • **Custodian** • **Clearing Agent** • **Account and Valuation Agent** • **Independent Financial Advisors (IFA)** • **Participating Employer** • **Paying Agent** • **Cash Management Account** • **Fund Manager**

Table 2-2   (Cont.) Single Entity Maintenance Detail - Field Description

Field	Description
Entity Type Description	*Display* The system displays description for the specified entity type here based on the details maintained in the system.
Entity Category	*Alphanumeric; 2 Characters; Optional* Specify whether the entity being maintained belongs to the **Individual** or **Corporate** categories. This specification is optional; if specified, you must also select the appropriate category in the **Entity Category** field.
Entity Category Description	*Display* The system displays the description for the selected entity category.
Entity Category Type	*Optional* Select type of entity category from the drop-down list. The list displays the following values: • **Individual** • **Corporate** **Note**: AMC entity supports only corporate category.
Restrict cross branching within agent	*Optional* Select **Yes** if cross branching is allowed at this branch. By enabling this, the agency branch will be allowed to view details, perform transactions pertaining to the unit holders created by the other agency branches in the system. If this field is not clicked, the agency branch will be able to view details and transact for the unit holders created by him only.
Nationality	*Alphanumeric; 3 Characters; Optional* Select the nationality from the adjoining option list.
Nationality Description	*Display* The system displays the description of the selected nationality code.
Country of Birth	*Alphanumeric; 3 Characters; Optional* Select the country of birth from the adjoining option list.
Country Of Birth Description	*Display* The system displays the description of the selected country of birth code.
Country of Domicile	*Alphanumeric; 3 Characters; Optional* Select the country of domicile from the adjoining option list.
Country Of Domicile Description	*Display* The system displays the description of the selected country of domicile code.
Incorporation Country	*Alphanumeric; 3 Characters; Optional* Select the Incorporation country from the adjoining option list.
Country Of Incorporation Description	*Display* The system displays the description of the selected country of incorporation code.
Fund Structure Applicable	*Optional* Select if fund structure is applicable or not from the adjoining drop-down list. Following are the options available: • **Yes** • **No**

- Basic Information Tab
  This topic explains the basic information tab of **Single Entity Maintenance Detail**.
- Other Information Tab
  This topic explains the other information tab of **Single Entity Maintenance Detail**.
- Correspondence Address Tab
  This topic explains the correspondence address details of **Single Entity Maintenance Detail**.
- Bank Details Tab
  This topic explains the Bank Details tab of **Single Entity Maintenance Detail**.
- Alternate Language Details Tab
  This topic explains the Alternate Language Details tab of **Single Entity Maintenance Detail**.
- CPF Account Types Tab
  This topic provides the systematic instructions to specify the CPF Account types on **Single Entity Maintenance** screen.
- Default Broker Details Tab
  This topic explains the default broker details tab of **Single Entity Maintenance Detail**.
- Additional Information Tab
  This topic explains the additional information tab of **Single Entity Maintenance Detail**.
- Related Parties Tab
  This topic explains the related parties tab of **Single Entity Maintenance Detail**.
- Swift Message Type Button
  This topic explains the list of SWIFT messages allowed for the given AMC.
- Entity Mapping Button
  This topic explains the Entity mapping button of **Single Entity Maintenance Detail** screen.

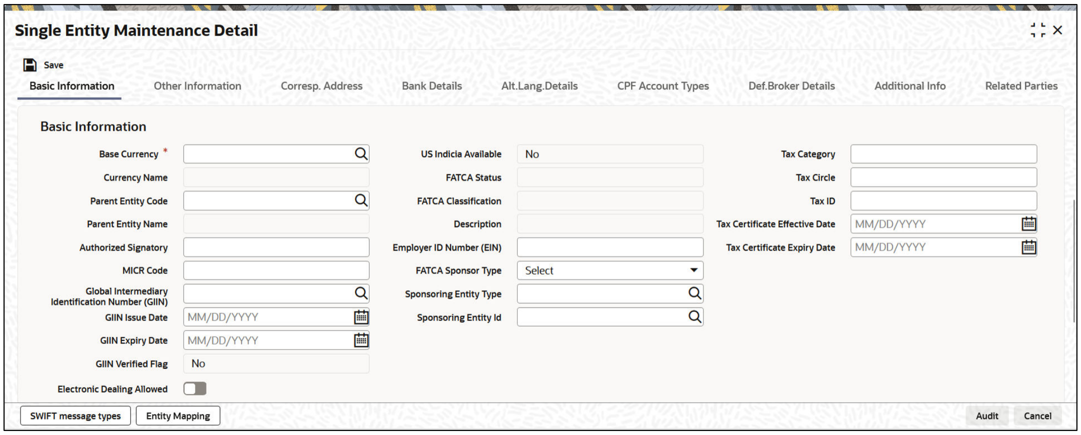
2.4.1 Basic Information Tab

This topic explains the basic information tab of **Single Entity Maintenance Detail**.

1. On **Single Entity Maintenance Detail** screen, click **Basic Information** tab to enter the details.

   The **Basic Information** details are displayed.

Figure 2-4 Single Entity Maintenance Detail_Basic Information Tab



GIIN Verified Flag: No

US Indicia Available: No

FATCA Sponsor Type: Select

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

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

Table 2-3 Basic Information - Field Description

Field	Description
Base Currency	*Alphanumeric; 3 Characters; Mandatory* Select the base currency of the entity, from the drop down list. This is the currency in which the entity normally transacts.
Currency Name	*Display* The system displays the name of the currency for the selected base currency.
Parent Entity Code	*Alphanumeric; 12 Characters; Optional* Specify the parent entity code. The adjoining option list displays all valid parent entity code maintained in the system. You can choose the appropriate one. This is applicable only for specific entity types.
Parent Entity Name	*Display* The system displays the name for the selected parent entity code.
Authorized Signatory	*Alphanumeric; 70 Characters; Optional* Enter the name of the Authorized Signatory at the office of the AMC.
MICR Code	*Alphanumeric; 12 Characters; Optional* Specify MICR code of the specified Bank here. This code is applicable for both Bank and Bank Branch entity.
Global Intermediary Identification Number (GIIN)	*Alphanumeric; 30 Characters; Optional* You can select or specify the GIIN from the adjoining option list.
GIIN Issue Date	*Date Format; Optional* Specify the GIIN issue date. **Note**: The GIIN issue date cannot be greater than the application date.
GIIN Expiry Date	*Date Format; Optional* Specify the GIIN expiry date. **Note**: The GIIN expiry date cannot be lesser than the GIIN issue date.
GIIN Verified Flag	*Display* System displays the GIIN verified flag based on the GIIN. If you specify the GIIN then, GIIN verified flag gets displayed as **No**. If you select the GIIN then, GIIN verified Flag gets displayed as **Yes**.
Electronic Dealing Allowed	*Optional* Check this box to enable specific AMC / Legal Entity for electronic dealing trades. This field will be available for the entity types AMC / Legal Entity.
Default Agency Branch	*Optional* Check this box to default the agency branch code.

Table 2-3 (Cont.) Basic Information - Field Description

Field	Description
US Indicia Available	*Display* The system defaults US Indicia Available as **Yes** or **No** depending on the following: • The nationality is US • The country of birth is US • The country of domicile is US • The country of incorporation is US • The country of correspondence or alternate address is US • The country code of the telephone number is 01 • The country code of the bank branch address is US
FATCA Status	*Display* The system displays the **FATCA Status** based on the FATCA maintenance.
FATCA Classification	*Display* The system displays the FATCA classification type.
Description	*Display* The system displays the description for the selected FATCA classification.
Employer ID Number	*Alphanumeric; 50 Characters; Optional* Specify the employer ID number.
FATCA Sponsor Type	*Optional* Select the FATCA sponsor type from the adjoining drop-down list. The values are: • **Sponsoring Entity** • **Sponsored** If you select **Sponsoring Entity**, you need to specify the sponsoring entity type and sponsoring entity ID. If you select **Sponsored**, you need not to specify the sponsoring entity type and sponsoring entity ID.
Sponsoring Entity Type	*Alphanumeric; 1 Character; Optional* Specify the sponsoring entity type. You can also select the valid entity type from the adjoining option list.
Sponsoring Entity ID	*Alphanumeric; 12 Characters; Optional* Specify the sponsoring entity for the FATCA entity type. You can also select the valid entity ID from the adjoining option list.
Tax Category	*Alphanumeric; 12 Characters; Optional* Specify the tax category.
Tax Circle	*Alphanumeric; 15 Characters; Optional* Specify the tax circle country details.
Tax ID	*Alphanumeric; 50 Characters; Optional* Specify the tax identification.
Tax Certificate Effective Date	*Date Format; Optional* Specify the date from which the tax certificate is effective.
Tax Certificate Expiry Date	*Date Format; Optional* Specify the expiry date of the tax certificate.

Table 2-3 (Cont.) Basic Information - Field Description

Field	Description
Week	Check the appropriate box to indicate the day in a week. The options are as follows: • **Sunday** • **Monday** • **Tuesday** • **Wednesday** • **Thursday** • **Friday** • **Saturday**

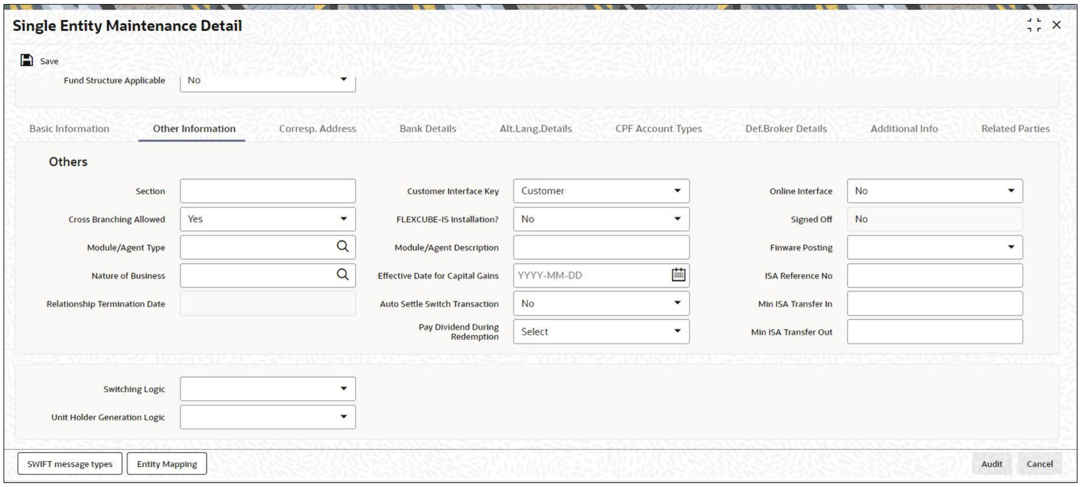
2.4.2 Other Information Tab

This topic explains the other information tab of **Single Entity Maintenance Detail**.

1. On **Single Entity Maintenance Detail** screen, click **Other Information** tab to enter the details.

   The **Other Information** details are displayed.

Figure 2-5 Single Entity Maintenance Detail_Other Information Tab



Fund Structure Applicable: No
Section:
Cross Branching Allowed: Yes
Module/Agent Type:
Nature of Business:
Relationship Termination Date:
Customer Interface Key: Customer
FLEXCUBE-IS Installation?: No
Module/Agent Description:
Effective Date for Capital Gains: YYYY-MM-DD
Auto Settle Switch Transaction: No
Pay Dividend During Redemption: Select
Online Interface: No
Signed Off: No
Finware Posting:
ISA Reference No:
Min ISA Transfer In:
Min ISA Transfer Out:
Switching Logic:
Unit Holder Generation Logic:

2. On **Other Information Tab**, specify the fields.

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

Table 2-4 Other Information - Field Description

Field	Description
Section	*Alphanumeric; 40 Characters; Optional* Specify any descriptive text about or qualification for the AMC being maintained.

Table 2-4 (Cont.) Other Information - Field Description

Field	Description
Cross Branching Allowed	*Optional* Select **Yes** if you want to allow cross branching for the specified entity ID from the adjoining drop-down list. If you need to disallow cross branching, then select **No** from the adjoining drop-down list This field is applicable only for Agency Branch entity type. It indicates whether Cross Branching is allowed or not in given agency branch. If you select **Yes**, cross branching is `True` for a agency branch, Unit holders that are created in other agency branches are allowed to view and transact in this agency branch. Otherwise this agency branch is allowed to view and transact only for the unit holders that are created in the agency branch. **Note**: In Global Transfer Agency Setup, this field is not amendable for Agency Branch Entity Type.
Module/Agent Type	*Alphanumeric; 3 Characters; Optional* Select the type of the Module that is being set up.
Nature of Business	*Alphanumeric; 1 Character; Optional* Specify the business avenues supported by the AMC. This option is only available for entities where the entity type is AMC.
Relationship Termination Date	*Display* The system displays the relationship termination date.
Customer Interface Key	*Optional* This facility is to be used if customer information from an installation of **Oracle FLEXCUBE Corporate (FCC)** is to be imported into the **Oracle FLEXCUBE Investor Servicing (FCIS)** system using the bulk interface facility, for the creation of unit holder accounts. The customer interface key determines the level at which unit holder account creation must take place in the FCIS system, for a given **Customer Information File (CIF)** in **Oracle FLEXCUBE Corporate (FCC)** either at CIF level or at a customer account level. Accordingly, you can indicate either of the following two options: • For each CIF, a corresponding unit holder may be created in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system. For this option, choose CIF from the drop down list in this field. • For each **CASA (Customer Access System Account)** account in a CIF, a corresponding unit holder may be created in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system. For this option, choose Account from the drop-down list in this field. The **Oracle FLEXCUBE Investor Servicing (FCIS)** system will create corresponding unit holder accounts when the customer information is imported from **Oracle FLEXCUBE Corporate (FCC)**, according to option you exercise in this field. **Note**: If you select either **Oracle FLEXCUBE Retail (FCR)** or **Oracle FLEXCUBE Corporate (FCC)** as the **Bulk Client Type**, then you must specify the **Customer Interface Key** as mandatory information.
FLEXCUBE-IS Installed	*Optional* Select **Yes** from the list to check if **Oracle FLEXCUBE Investor Servicing (FCIS)** is installed at the Agency Branch.
Module/Agent Description	*Alphanumeric; 60 Characters; Optional* The system displays description for the specified agent type.

Table 2-4   (Cont.) Other Information - Field Description

Field	Description
Effective Date for Capital Gains Calculations	*Date Format, Mandatory* Specify the date on which capital gains calculations must begin, for the AMC. This feature is only available if your installation has specifically requested for it. It is mandatory for you to specify the effective date if EUSD average cost is to be computed.
Auto Settle Switch Transaction	*Optional* Select if switch in transactions needs to be auto settled or not from the adjoining drop-down list. Following are the options available: - **Yes** - **No** This field is enabled only for AMC entity type. While saving, If Fund Structure Applicable and **Auto Settle Switch Transaction** fields are selected as **Yes** for other Entity types (apart from AMC), then the system will display the warning message as `Selected field (fund structure applicable/ Auto settle switch transaction) not applicable for the entity type`.
Pay Dividend During Redemption	*Optional* Select pay dividend during redemption status from the drop-down list. The list displays the following values: - **100% Only** - **All**
Online Interface	*Optional* Select **Yes** to utilize the created bulk client as online interface from the adjoining list, if you have maintained **Entity Type** as **Bulk Client**. This field is not applicable for other entity types.
Signed Off ?	*Display* This indicates whether the given Agent has signed off for the day. This is not used at setup time, but used only for EOD purposes. by default, when you set up an agent, the agent record is set up with the status signed on, which means this field has a **No** value.
FATCA Classification	*Display* The system displays the FATCA classification type.
Finware Posting	*Optional* Choose `Yes` if you wish to allow FINWARE posting.
ISA Reference Number	*Alphanumeric; 5 Characters; Optional* Specify ISA reference number.
Min ISA Transfer In	*Numeric; 18 Characters; Optional* Specify the minimum ISA that is validated during the transfer in.
Min ISA Transfer Out	*Numeric; 18 Characters; Optional* Specify the minimum ISA that is validated during the transfer out.

Table 2-4 (Cont.) Other Information - Field Description

Field	Description
Switching Logic	*Optional* Select the type of logic to be enforced by the AMC in accepting switch transactions from the drop-down list. The list displays the following values: • Switch transactions restricted to fund family: In this case, switch transactions will be accepted only if the From and To funds are part of the same fund family. Cross-fund family switching is not allowed. • Switch transactions within AMC: In this case, switch transactions are accepted across fund families so long as both families belong to the same AMC. • No Restrictions For distributor installations, the switching logic will not be applicable
Unit Holder Generation Logic	*Optional* Click **Menu** and choose any one of the options available as follows: a. AGT&BRN&SERIAL b. SERIAL&AMC/DIST&CHK c. SERIAL&AGT&CHK d. No Logic e. Reference Number f. AJF Generation Logic g. Ctry(1)&Busi(1)&FMG/DIST&A-InstallationId(4)&(A-Z)(1)&Num(7) Z(1)&NUM(5) stands This option enables multiple AMC branches to opt for different unit holder ID generation logic. Therefore the UH Generation Logic field will be a valid value from UH generation table for a specific AMC, service provider, or a distributor. • The first option i.e., `AGT&BRN&SERIAL&CHK` stands for the Agent Code, Branch Code, Serial Number and Check Digit. • The second option i.e., `SERIAL&AMC&CHK` stands for the Serial Number, AMC ID (or Distributor ID) and Check Digit. • The third option i.e., `SERIAL&AGT&CHK` stands for the Serial Number, Agent Code and Check Digit. • The fourth option i.e., `LEADINGZERO&SERIAL` stands for Leading Six Zeros and a running Serial Number. • The fifth option i.e., `Unit Holder ID` is assigned with User entered Unit Holder Reference Number. • The sixth option i.e., `AJF Generation Logic` • The seventh option i.e, `Ctry(1)&Busi(1)&FMG/DIST(4)&A-Z(1)&NUM(5)` stands for Country Code, Business Type, AMC ID (or Distributor ID), a running Serial character and running Serial Number. • The eight option i.e., `+ Sequence Type + Running Serial No` **Note**: The above option is applicable only for service provider installations.

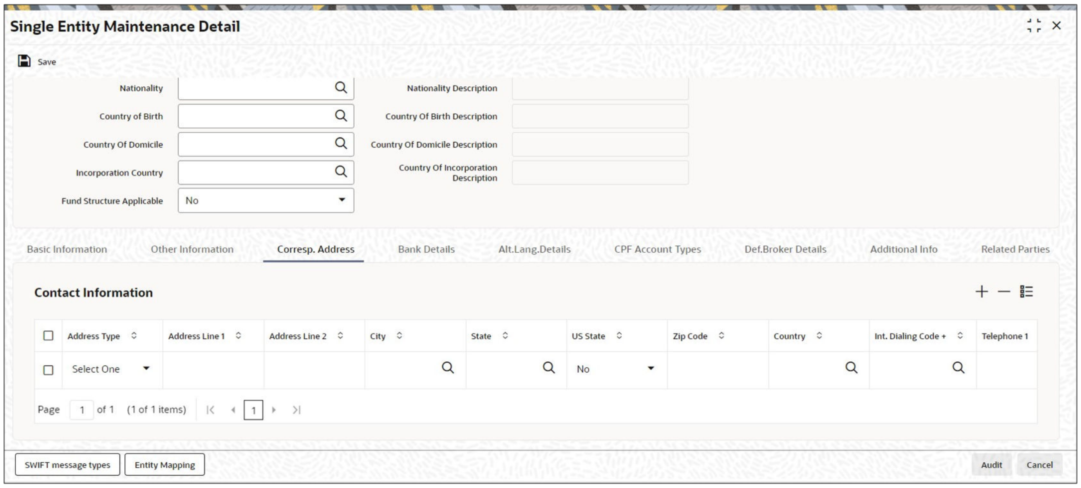
2.4.3 Correspondence Address Tab

This topic explains the correspondence address details of **Single Entity Maintenance Detail**.

1. On **Single Entity Maintenance Detail** screen, click **Correspondence Address** tab to capture correspondence address, alternate address and SWIFT address.

   The **Correspondence Address** details are displayed.

Figure 2-6 Single Entity Maintenance Detail_Correspondence Address Tab



2. On **Correspondence Address Tab**, specify the fields.

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

Table 2-5 Correspondence Address - Field Description

Field	Description
Contact Information	The section displays the following fields.
Address Type	*Mandatory* Select the type of address from the drop-down list. The list displays the following values: • **Correspondence Address** • **Alternate Address** • **Swift Address**
Address Lines 1-2	*Alphanumeric; 105 Characters; Optional (Address Line 1 is Mandatory)* Enter the address of the entity being set up in the system.
City	*Alphanumeric; 80 Characters; Optional* Enter the city where the entity is located. You can select the city from the drop-down list provided. The available options depend on the values defined at the **PARAM Maintenance**. If the city is not available in the list, you can specify the **City** in the field provided alongside.

Table 2-5 (Cont.) Correspondence Address - Field Description

Field	Description
State	*Alphanumeric; 80 Characters; Optional* Enter the **State** where the **City** is located. You can select the state from the drop-down list provided. The available options depend on the values defined at the params maintenance. If the state is not available in the list, you can specify the city in the field provided alongside.
US State	*Optional* Select **Yes** option from drop-down list to indicate that the specified state is a **United States (US)** state.
Zip Code	*Alphanumeric; 10 Characters; Optional* Enter the **Zip Code** of the Address of the entity being set up.
Country	*Alphanumeric; 3 Characters; Mandatory* Select the country in which the entity is based, from the drop-down list. If the **Address Type** is **SWIFT Address**, enter the country of the SWIFT address for the entity.
Int. Dialing Code +	*Alphanumeric; 10 Characters; Optional .* Specify the international dialing code
Telephone 1	*Alphanumeric; 60 Characters; Optional* Enter the telephone number of the entity who is being set up in the system.
Int. Dialing Code +	*Alphanumeric; 10 Characters; Optional* Specify the international dialing code.
Telephone 2	*Alphanumeric; 60 Characters; Optional* Enter the telephone number of the entity who is being set up in the system.
Fax Number	*Alphanumeric; 120 Characters; Optional* Enter the fax number of the entity who is being set up in the system.
Email	*Alphanumeric; 255 Characters; Optional* Specify the Email address of the entity being set up.
Contact Person	*Alphanumeric; 70 Characters; Optional* Enter the name of the contact person at the entity’s offices.
Int. Dialing Code +	*Alphanumeric; 10 Characters; Optional* Specify the international dialing code.
Cell Phone Number	*Alphanumeric; 60 Characters; Optional.* Specify the cell phone number of the entity being set up.
Effective From Date	*Date Format; Optional* This is applicable if the **Address Type** is **Alternate Address**. Specify the date that marks the beginning of the period for which the specified alternate address is in effect.
Effective To Date	*Date Format; Optional* This is applicable if the **Address Type** is **Alternate Address**. Specify the date that marks the end of the period for which the specified alternate address is in effect.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the **Bank Identifier Code (BIC)** of the entity

2.4.4 Bank Details Tab

This topic explains the Bank Details tab of **Single Entity Maintenance Detail**.

You can capture details of bank accounts held by the entity, with multiple accounts in foreign currencies, if required. These are the settlement details that would be used for settlement of payment to the entities. You must designate one default account for each currency, which would be deemed to be the default settlement account in the selected currency, for the entities.

Bank details can be captured for all entities other than Bank Branches, and are optional for all entities except AMCs and Distributors. For Banks, you can capture the details of Correspondent Banks as part of the bank details.

Commission payments for an entity are made to the default settlement account designated in the **Income Distribution Setup (IDS)** record maintained for the entity. If no IDS have been maintained, the default bank account designated in the entity details record is considered as the default settlement account.

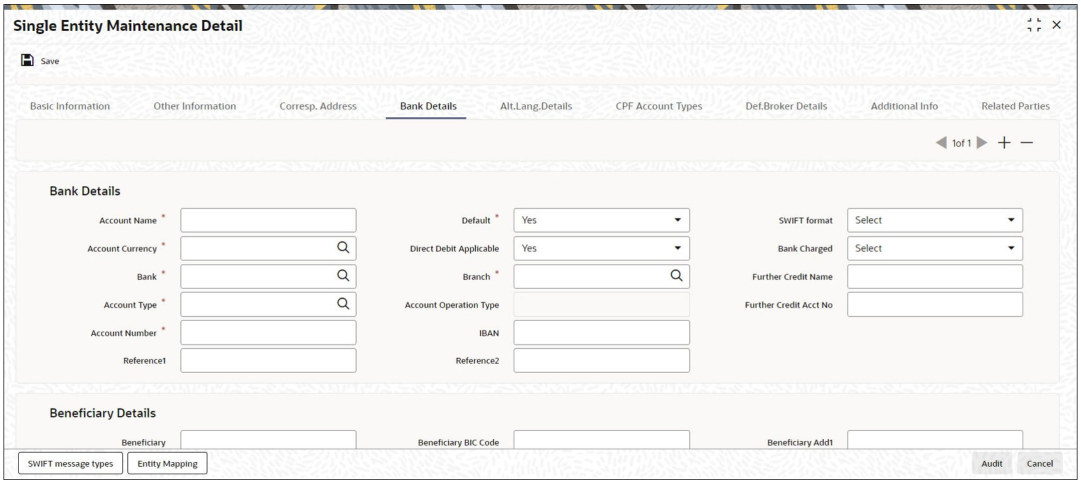
You can capture the following details for each entity bank account:

- Bank and branch in which the account resides
- Account number
- Account name and the owner of the account
- Account currency
- Whether direct debits are allowed for the account
- Whether the account is the default account for the entity

1. On **Single Entity Maintenance Detail** screen, click **Bank Details** tab to capture the bank details.

   The **Bank Details** are displayed.

Figure 2-7   Single Entity Maintenance Detail_Bank Details Tab



Default: Yes

Direct Debit Applicable: Yes

SWIFT format: Select

Bank Charged: Select

2. On **Bank Details Tab**, specify the fields.

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

Table 2-6 Bank Details - Field Description

Field	Description
Bank Details	The section displays the following fields.
Account Name	*Alphanumeric; 140 Character; Mandatory* Specify the name in which the entity holds the specified bank account.
Account Currency	*Alphanumeric, 3 Characters; Mandatory* From the list, select the currency that the specified bank account uses. You can maintain any number of accounts in each currency; however, you must designate one default bank account for each currency.
Bank	*Alphanumeric; 12 Characters; Mandatory* From the list, select the name of the bank in which the account is held.
Account Type	*Alphanumeric; 1 Character; Mandatory* From the list, select the nature of the account held by the entity. The list provides all account types that have been set up in the Account Type Maintenance records.
Account Number	*Alphanumeric; 34 Characters; Mandatory* Specify the number of the account held by the entity in the selected bank.
Reference 1	*Alphanumeric; 35 Characters; Optional* Enter the first reference
Default	*Optional* Select **Yes** from drop-down list to identify the bank account that is to be reckoned as the default bank account for the entity in the system, for the selected currency.
Direct Debit Applicable	*Optional* Use this field to indicate whether direct debits may be raised in respect of the bank account you are defining for the entity. Select `Yes` to indicate that direct debits are allowed; leave it unchecked to indicate that they are not.
Branch	*Alphanumeric; 60 Characters; Mandatory* Select the name of the branch of the bank in which the account is held from the list.
Account Operation Type	*Display* The system displays the description of account operation type.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN (International Bank Account Number) of the account holder.
Reference2	*Alphanumeric; 35 Characters; Optional* Specify the second reference
Email	*Alphanumeric; 255 Characters; Optional* Specify the Email address of the entity being set up.
Swift Format	*Optional* Indicate one of the following swift formats from the list: • **MT103** • **MT102**

Table 2-6 (Cont.) Bank Details - Field Description

Field	Description
Bank Charged	*Optional* Indicate one of the following from the list: • **Beneficiary** • **Remitter** • **Share**
Further Credit Name	*Alphanumeric; 35 Characters; Optional* Specify the further credit name.
Further Credit Acct No	*Alphanumeric; 35 Characters; Optional* Specify the further credit account number.
Beneficiary Details	The section displays the following fields.
Beneficiary	*Alphanumeric; 35 Characters; Optional* Enter the beneficiary Details.
Beneficiary Acct No	*Alphanumeric; 34 Characters; Optional* Specify the account number of the beneficiary.
Beneficiary Info	*Alphanumeric; 100 Characters; Optional* Specify the information about the beneficiary.
Beneficiary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC code of the beneficiary.
Beneficiary Code	*Alphanumeric; 24 Characters; Optional* Specify the code of the beneficiary.
Beneficiary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the beneficiary IBAN.
Beneficiary Add1	*Alphanumeric; 105 Characters; Optional* Specify the first line of beneficiary address.
Beneficiary Add2	*Alphanumeric; 105 Characters; Optional* Specify the second line of beneficiary address.
Beneficiary Add3	*Alphanumeric; 105 Characters; Optional* Specify the third line of beneficiary address.
Intermediary Details	The section displays the following fields.
Intermediary	*Alphanumeric; 35 Characters; Optional* Specify the intermediary details.
Specify the intermediary details.	*Alphanumeric; 34 Characters; Optional* Specify the account number of the intermediary.
Intermediary Info	*Alphanumeric; 100 Characters; Optional* Specify the information about the intermediary.
Intermediary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC Code of the intermediary.
Intermediary Code	*Alphanumeric; 24 Characters; Optional* Specify the code of the intermediary.
Intermediary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the intermediary IBAN.
Intermediary Add 1	*Alphanumeric; 105 Characters; Optional* Alphanumeric; 105 Characters; Optional
Intermediary Add 2	*Alphanumeric; 105 Characters; Optional* Specify the second line of beneficiary intermediary.

Table 2-6   (Cont.) Bank Details - Field Description

Field	Description
Intermediary Add 3	*Alphanumeric; 105 Characters; Optional* Specify the third line of beneficiary intermediary.

2.4.5 Alternate Language Details Tab

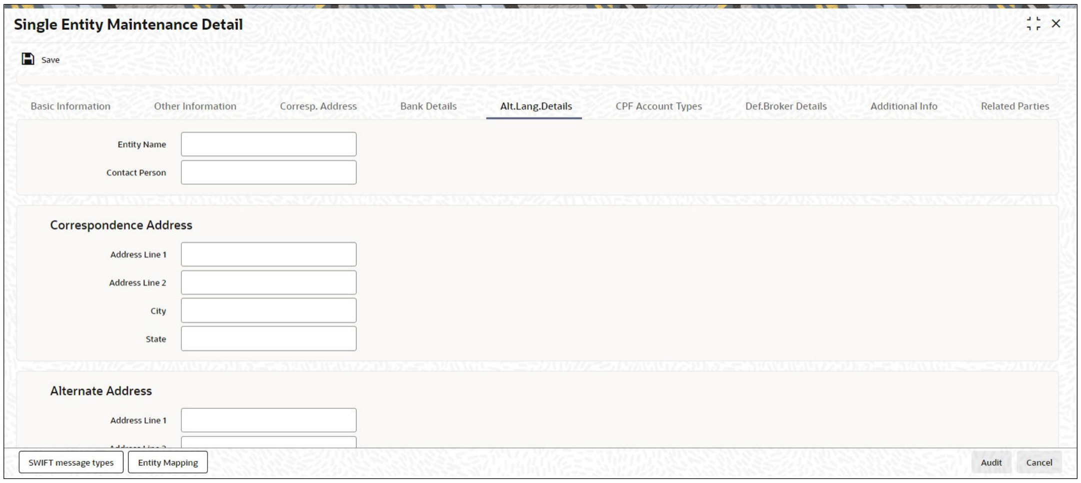
This topic explains the Alternate Language Details tab of **Single Entity Maintenance Detail**.

1. On **Single Entity Maintenance Detail** screen, click **Alternate Language Details** tab to capture entity details in an alternate language of your desire.

   These fields are captured for information purposes only and no processing would be done on them.

   The **Alternate Language Details** are displayed.

   Figure 2-8   Single Entity Maintenance Detail_Alternate Language Details Tab

2. On **Alternate Language Details Tab**, specify the fields.

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

Table 2-7   Alternate Language Details - Field Description

Field	Description
Entity Name	*Alphanumeric; 60 Characters; Optional* Specify the name of the entity being set up in the system.
Contact Person	*Alphanumeric; 70 Characters; Optional* Enter the name of the contact person at the entity's offices.
Correspondence Address	The section displays the following fields.
Address Lines 1-2	*Alphanumeric; 105 Characters; Optional* Enter the default postal address that is to be used for correspondence with the entity being set up in the system.
City	*Alphanumeric; 80 Characters; Optional* Enter the **City** where the entity is located.

Table 2-7 (Cont.) Alternate Language Details - Field Description

Field	Description
State	*Alphanumeric; 80 Characters; Optional* Enter the **State** where the **City** is located.
Alternate Address	The section displays the following fields.
Address Lines 1-2	*Alphanumeric; 105 Characters; Optional* Enter the alternate postal address that is to be used for correspondence with the entity being set up in the system.
City	*Alphanumeric; 80 Characters; Optional* Enter the city where the entity is located.
State	*Alphanumeric; 80 Characters; Optional* Enter the **State** where the **City** is located.

2.4.6 CPF Account Types Tab

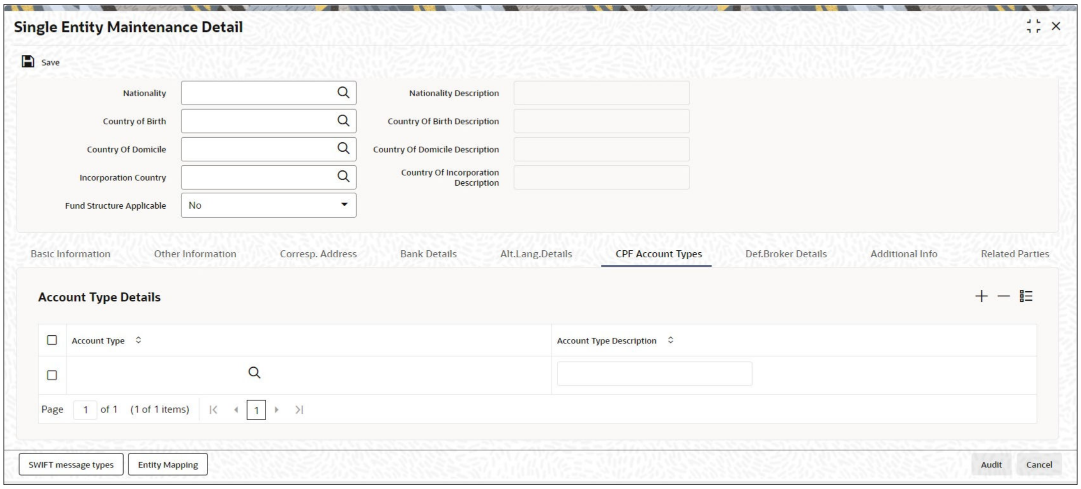
This topic provides the systematic instructions to specify the CPF Account types on **Single Entity Maintenance** screen.

- Each Fund is explicitly defined for the eligibility of a specific investment type (Like CPFOA Approved? CPFSA Approved? etc) and only on this basis, transactions like Subscription, Redemption, Switch can be processed for specific investment types on these Funds.
- The approval date and the corresponding Fund ID as identified for that investment account type is captured for each of the fund in the system.
- Only the agent banks that are approved by the CPF board or any other relevant authority are allowed to maintain these accounts for its customers.
- The Account Type for the unit holder bank details should be of same type as UH Account Type for a CPF Account.
- The number of bank details to be captured for the CPF Account will be restricted to only one account. Also it will be mandatory to specify at least one account.
- Unit holder upload will capture of CPF account types and also validate the account type with bank details. For non CPF account types, the system will check that bank details maintained for the unit holder is not a CPF account type.

1. On **Single Entity Maintenance Detail** screen, click **CPF Account Types** tab to enter the details.

   The **CPF Account Types** details are displayed.

Figure 2-9   Single Entity Maintenance Detail_CPF Account Types Tab



Fund Structure Applicable: No

2. On **CPF Account Types Tab**, specify the fields.

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

Table 2-8   CPF Account Types - Field Description

Field	Description
Account Type	*Alphanumeric; 2 Characters; Mandatory* Specify the account type. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
Account Type Description	*Display* Enter the CPF account type description.

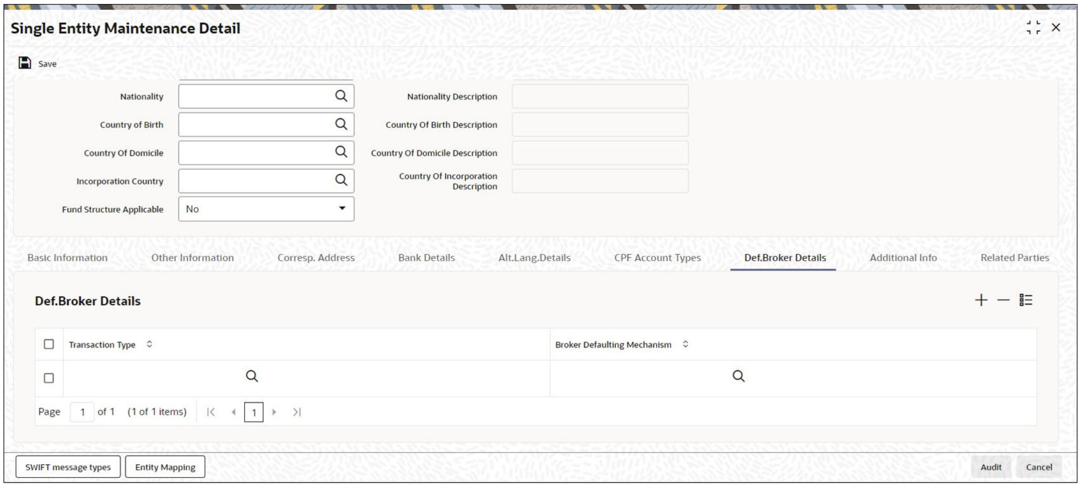
2.4.7 Default Broker Details Tab

This topic explains the default broker details tab of **Single Entity Maintenance Detail**.

1. On **Single Entity Maintenance Detail** screen, click **Default Broker Details** tab to enter the details.

   The **Default Broker Details** are displayed.

Figure 2-10   Single Entity Maintenance Detail_Default Broker Details Tab



2. On **Default Broker Details Tab**, specify the fields.

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

Table 2-9   Default Broker Details - Field Description

Field	Description
Transaction Type	*Alphanumeric; 20 Characters; Mandatory* Indicate the type of transaction for which you are specifying the broker details defaulting preferences. You can specify the defaulting preferences for IPO Subscription, Subscription, Redemption, Switch, Transfer and Reinvestment type of transaction.

Table 2-9 (Cont.) Default Broker Details - Field Description

Field	Description
Broker Defaulting Mechanism	*Alphanumeric; 3 Characters; Optional* Specify the defaulting preferences for broker details for the AMC. The following options are available in the list: • No Defaulting – Broker details will not be defaulted to **DIRECT** • **Last Transaction Broker** – If the user does not have any transaction in that fund, then system looks for the immediate last transaction (based on the authorized time stored with the system). If the user has not done any transaction, system will default the default intermediary of the unit holder. • While defaulting, if one of the Brokers is disabled, system will default from the unit holder. If the broker is disabled at the unit holder level as well then system will default to **DIRECT** • **Split Percentage** – This is applicable only Reinvestment type of transactions. System tracks the holdings per broker. During re-investment generation, system will use these brokers as the reinvestment transaction's intermediaries with the appropriate ratio. • While defaulting, if one of the Brokers is disabled, system will default from the unit holder. If the broker is disabled at the unit holder level as well then system will default to **DIRECT**. • Default Broker – Broker maintained at the unit holder will be defaulted. If the broker is disabled at the unit holder level as well then system will default to **DIRECT**. **Note**: You can view the Defaulting of Broker Details Section provided the client country parameter **TXNBROKERS** is set to `True` for the installation in your bank.

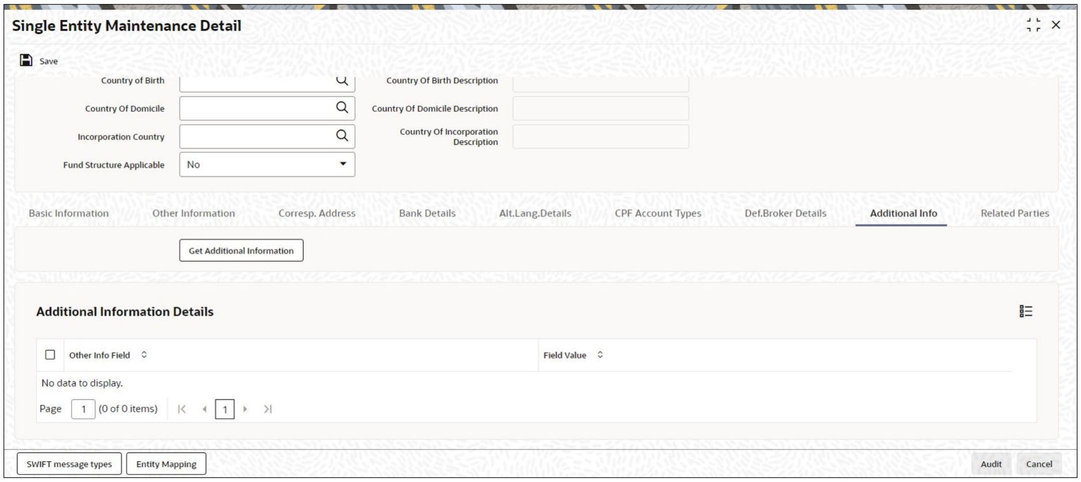
2.4.8 Additional Information Tab

This topic explains the additional information tab of **Single Entity Maintenance Detail**.

1. On **Single Entity Maintenance Detail** screen, click **Additional Information** tab to enter the details.

   The **Additional Information** details are displayed.

Figure 2-11   Single Entity Maintenance Detail_Additional Information Tab



Fund Structure Applicable: No

No data to display.

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2. View the following fields.

   The system displays the values as follows:

   - Other Info Field - The system displays the additional info data type, maintained as Date, which is mapped to an entity (agent).
   - Field Value

3. Mention the default date format (DD-MON-YYYY) in **Other Info field** label for date data type while defaulting.

4. Click **Get Additional Information** button in the screen.

   Any additional info like bank details will be maintained.

5. Click **Exit** button after saving the above listed details in the **Single Entity Maintenance Detail** screen.

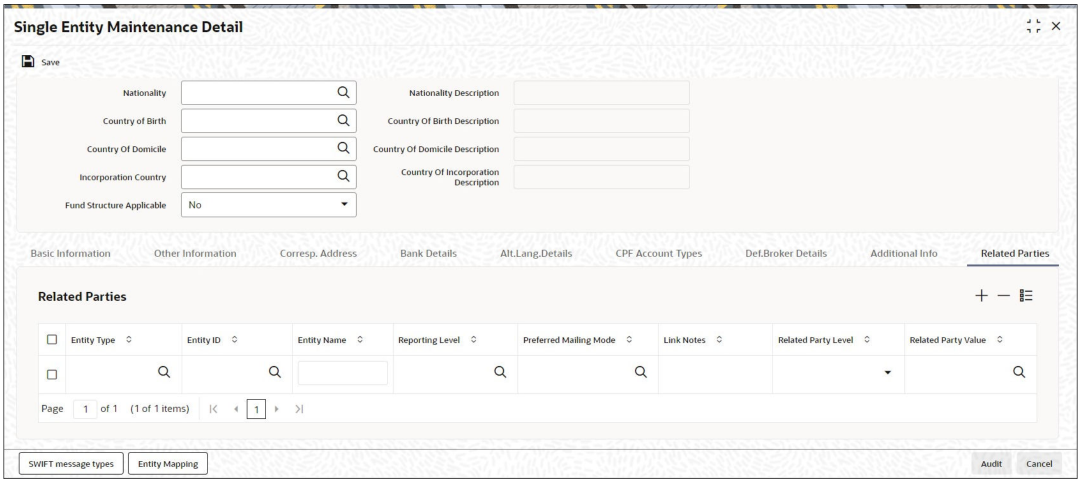
2.4.9 Related Parties Tab

This topic explains the related parties tab of **Single Entity Maintenance Detail**.

1. On **Single Entity Maintenance Detail** screen, click **Related Parties** tab to enter the details.

   The **Related Parties** details are displayed.

Figure 2-12   Single Entity Maintenance Detail_Related Parties Tab



2. On **Related Parties Tab**, specify the fields.

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

Table 2-10   Related Parties - Field Description

Field	Description
Entity Type	*Alphanumeric; 2 Characters; Mandatory* Select the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity type maintained in the system. The system will allow you to add a related Party only for the Agent **Entity Type**.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Select the entity ID from the option list. These entities are based on the **Entity Type** chosen.
Entity Name	*Display* The entity name gets displayed on selection of entity ID.
Reporting Level	*Alphanumeric; 1 Character; Mandatory* Select the reporting level from the list. The following are the reporting levels: • **A**: All Reports • **C**: Contract notes and trade acknowledgment • **V**: Valuations and statements • **N**: No Reporting **Note**: By default, the system defaults Reporting Level as **ALL**.
Preferred Mailing Mode	*Alphanumeric; 1 Character; Optional* Select the preferred mailing mode from the list. The following are the preferred mailing modes: • **Mail** • **E-Mail** • **Fax** • **SWIFT**

Table 2-10 (Cont.) Related Parties - Field Description

Field	Description
Link Notes	*Alphanumeric; 255 Characters; Optional* The link notes stores free format text which is used to explain the reason for linking the entity with the unit holder. **Note**: Related Parties are captured for informational purpose only and no processing impact is associated.
Related Party Level	*Mandatory* Select the related party level from the adjoining drop-down list. Following are the options available: - **All** - **Fund** - **Fund Family** - **Legal Entity** - **AMC**
Related Party Value	*Alphanumeric; 12 Characters; Mandatory* Specify the related party value. The adjoining option list displays all valid related party values maintained in the system. You can choose the appropriate one. If you select **All** in **Related Party Level** field, then you need to select **All** from the adjoining option list in **Related Party Value** field as well. The system will not allow any more records to be added if **ALL** has been selected in the **Related Party Level** field for a particular entity ID and entity type combination.

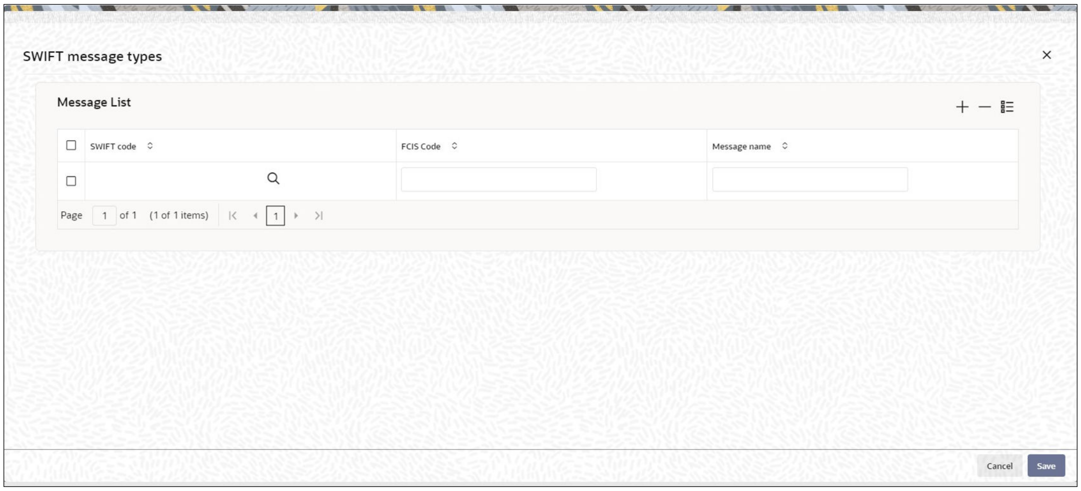
2.4.10 Swift Message Type Button

This topic explains the list of SWIFT messages allowed for the given AMC.

1. On **Single Entity Maintenance Detail** screen, click **Swift Message Type** button to specify the list of SWIFT messages allowed for that given AMC.

   The **Swift Message Types** screen is displayed.

   Figure 2-13 Single Entity Maintenance Detail_Swift Message Types Button

2. On **Swift Message Types**, specify the fields.

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

Table 2-11 Swift Message Types - Field Description

Field	Description
Swift Code	*Alphanumeric; 30 Characters; Optional* Specify the swift code. Alternatively, you can select the swift code from the option list. The system will allow you to add a related party only for the Agent **Entity Type**.
FCIS Code	*Display* The system displays the **Oracle Flexcube Investor Servicing (FCIS)** code based on the **Swift Code** selected.
Message Code	*Display* The system displays the message code based on the swift code selected.

> **Note:**
>
> The **Swift Message Types** screen is enabled only if you have checked **Electronic Dealing Allowed** checkbox in **Basic Information** tab.

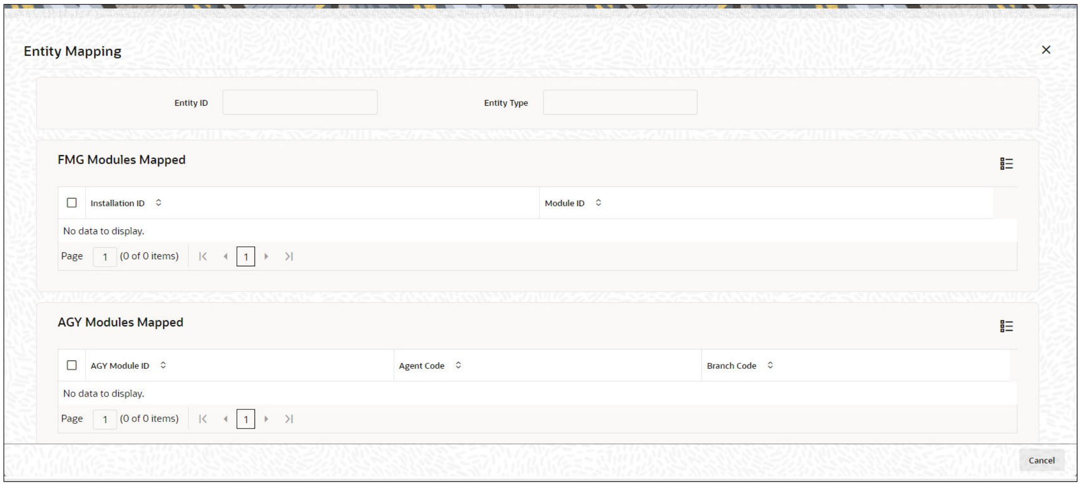
2.4.11 Entity Mapping Button

This topic explains the Entity mapping button of **Single Entity Maintenance Detail** screen.

1. On **Single Entity Maintenance Detail** screen, click **Entity Mapping** button to view the mapped FMG and AGY modules.

   The **Entity Mapping** screen is displayed.

   Figure 2-14 Single Entity Maintenance Detail_Entity Mapping Button

   No data to display.

   No data to display.

2. Click **Entity Mapping** button to view the following details.

   The following details are displayed.

   - **Entity ID**
   - **Entity Type**

- Mapped FMG Modules
  - **Installation ID**
  - **Module ID**
- Mapped AGY Modules
  - **AGY Module ID**
  - **Agent Code**
  - **Branch code**

2.5 Single Entity Maintenance Summary

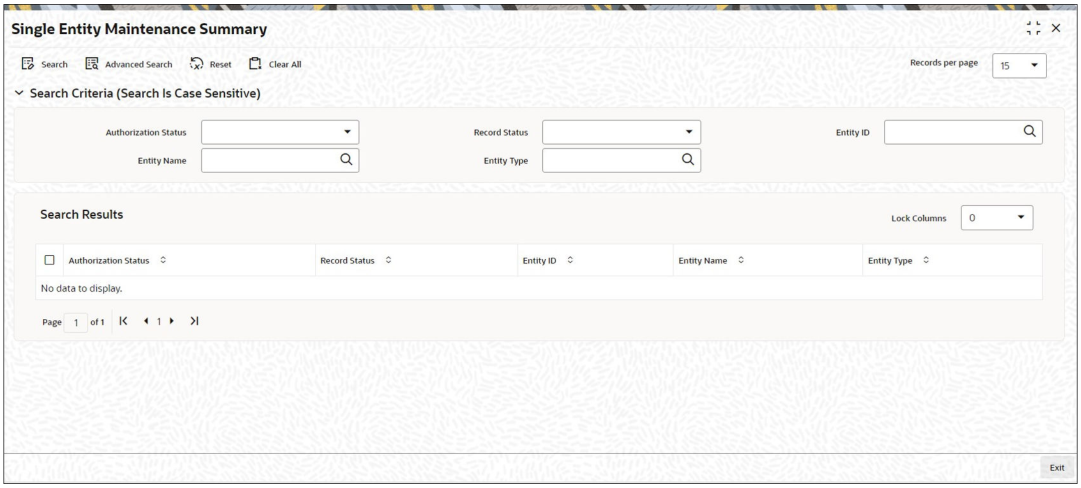
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Entity

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

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

Figure 2-15 Single Entity Maintenance Summary



No data to display.

2. On **Single 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**
   - **Entity ID**
   - **Entity Type**
   - **Entity Name**
3. Click **Search** button to view the records.

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

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

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

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

   - Search by D%:- System will fetch all the records whose Entity ID starts from Alphabet ‘D’. For example, Direct.
   - Search by %7:- System will fetch all the records whose entity ID Type ends by numeric value’ 7’. For example, AGENT7.
   - Search by %17%:- System will fetch all the records whose Entity ID contains the numeric value 17. For example, AGENT17.

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

2.5.1 Edit Entity

This topic provides the systematic instructions to edit Entity record.

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

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

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

2.5.2 View Entity

This topic provides the systematic instructions to view Entity record.

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

1. Start the **Single 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Single Entity Maintenance Detail** screen is displayed.

2.5.3 Delete Entity

This topic provides the systematic instructions to delete Entity record.

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

1. Start the **Single 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 lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Single Entity 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.

2.5.4 Authorize Entity

This topic provides the systematic instructions to authorize Entity record.

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

1. Start the **Single 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 lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Single Entity 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.

2.5.5 Amend Entity

This topic provides the systematic instructions to amend Entity 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 **Single 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 lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Single Entity 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.

2.5.6 Authorize Amended Entity

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

- Authorize an amended Single Entity record for the amendment to be made effective in the system.

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

2.5.7 Copy Entity Attributes

This topic provides the systematic instructions to copy Entity record.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new **Single Entity Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Single Entity 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 **Single Entity Record**. You can, however, change the details of the new record.

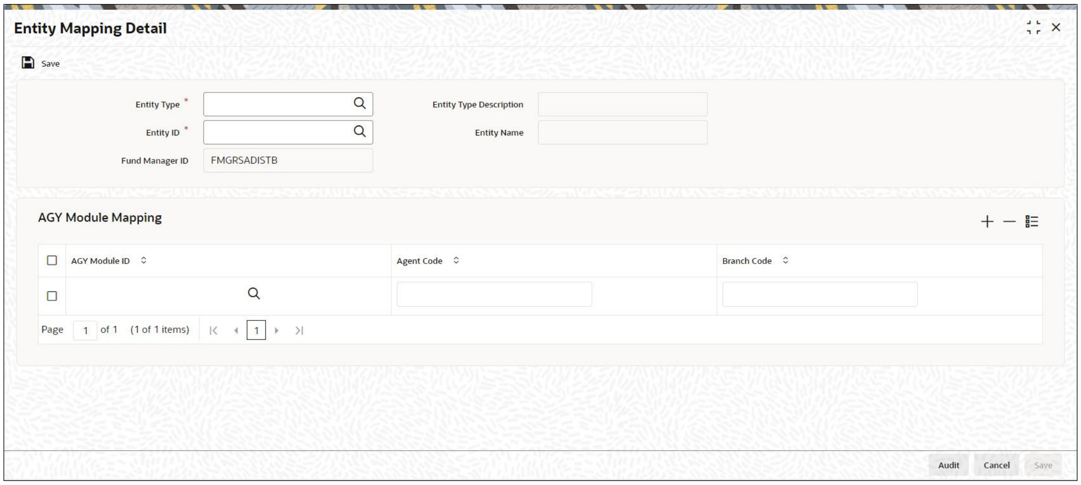
2.6 Process Entity Mapping Detail

This topic provides the systematic instructions to map entity details.

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

   The **Entity Mapping Detail** screen is displayed.

   Figure 2-16 Entity Mapping Detail

   Fund Manager ID: FMGRSADISTB

   Page 1 of 1 (1 of 1 items)

2. On **Entity Mapping Detail** screen, click **New** to enter the details.

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

   Table 2-12 Entity Mapping Detail - Field Description

Field	Description
Entity Type	*Alphanumeric; 1 Character; Mandatory* Specify the entity type. Alternatively, you can select entity type from option list. The list displays all valid entity type maintained in the system.

Table 2-12 (Cont.) Entity Mapping Detail - Field Description

Field	Description
Entity Type Description	*Display* The system displays the description for the selected entity type.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the entity ID. Alternatively, you can select entity ID from option list. The list displays all valid entity ID maintained in the system.
Entity Name	*Display* The system displays the description for the selected entity ID.
Fund Manager ID	*Display; Alphanumeric; 30 Characters* The system displays the current logged in fund manager ID.
AGY Module Mapping	**AGY Module Mapping** is used to map the entity to one or more AGY modules of the Fund manager. It includes the following fields. • **AGY Module ID** • **Agent Code** • **Branch Code** **Note**: • If there is no module mapped in **AGY Module Mapping** section, then the entity will be listed in all Agency branches of the mapped Fund Manager. • If there is any module mapped in **AGY Module Mapping** section, then the entity will be listed only in the mapped Agency branch of the mapped Fund Manager.
AGY Module ID	*Alphanumeric; 30 Characters; Mandatory* Specify the **AGY Module ID**. Alternatively, you can select the **AGY Module ID** from the LOV. The list displays the same maintained in the system.
Agent Code	*Display* The system displays the default agent code for the selected **AGY Module ID**.
Branch Code	*Display* The system displays the default branch code for the selected **AGY Module ID**.

2.7 Entity Mapping Summary

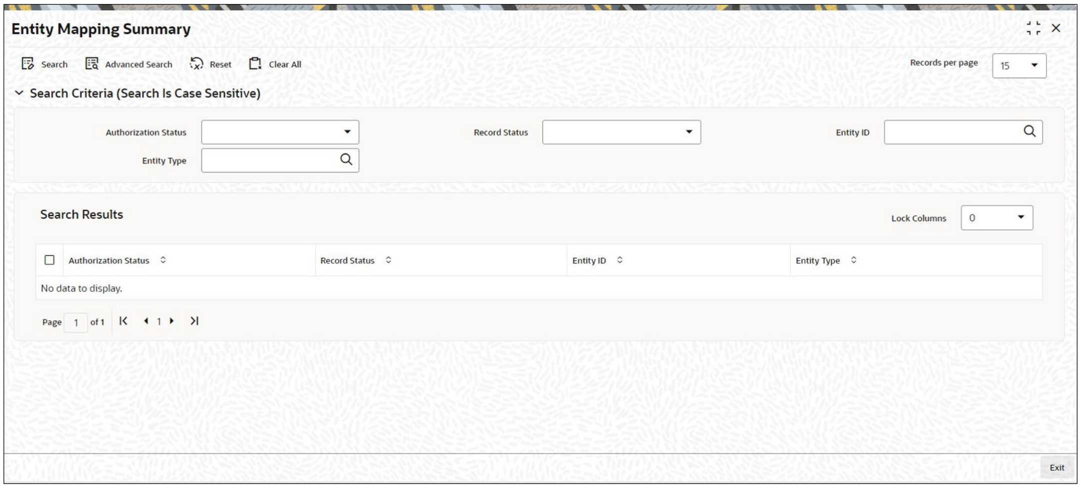
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Entity Mapping Record

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

   The **Entity Mapping Summary** screen is displayed.

Figure 2-17 Entity Mapping Summary



2. On **Entity 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**
   - **Entity ID**
   - **Entity Type**
3. Click **Search** button to view the records.

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

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input the 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 percentage and alphanumeric value.

   You can search the record for Entity ID by using the combination of % and alphanumeric value as follows:
   - Search by M%: The system will fetch all the records whose Entity ID starts from Alphabet ‘M’. For example, Mutual Fund.
   - Search by %7 : The system will fetch all the records whose Entity ID ends by numeric value’ 7’ For example, 217,267,77 and so forth.

  - Search by %17%: The system will fetch all the records whose Entity ID contains the numeric value 17. For example, 3217, 2172 and so forth.

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

2.7.1 Edit Entity Mapping Record

This topic provides the systematic instructions to edit Entity Mapping record.

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

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

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

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

2.7.2 View Entity Mapping Record

This topic provides the systematic instructions to view Entity Mapping record.

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

1. Start the **Entity 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Entity Mapping Detail** screen is displayed.

2.7.3 Delete Entity Mapping Record

This topic provides the systematic instructions to delete Entity Mapping record.

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

1. Start the **Entity 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 lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Entity Mapping Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

2.7.4 Authorize Entity Mapping Record

This topic provides the systematic instructions to authorize Entity Mapping record.

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

1. Start the **Entity 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 lower portion of the screen.
4. Double-click the record that you wish to authorize.

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

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

2.7.5 Amend Entity Mapping Record

This topic provides the systematic instructions to amend Entity 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 **Entity 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 lower portion of the screen.
4. Double-click the record that you wish to amend.

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

2.7.6 Authorize Amended Entity Mapping Record

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

- Authorize an amended Entity Mapping records for the amendment to be made effective in the system.

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

> **Note:**
>
> - If the client country **AUTOENTITYMAP** is enabled, then the auto mapping of entities on entity creation will continue to happen and by default, the entities will be available within the LOB in which the entity created.
> - If the client country **AUTOENTITYMAP** is disabled, then the user should map the entities manually through **Entity Mapping** screen, even to access the entities in the LOB where the entity created.

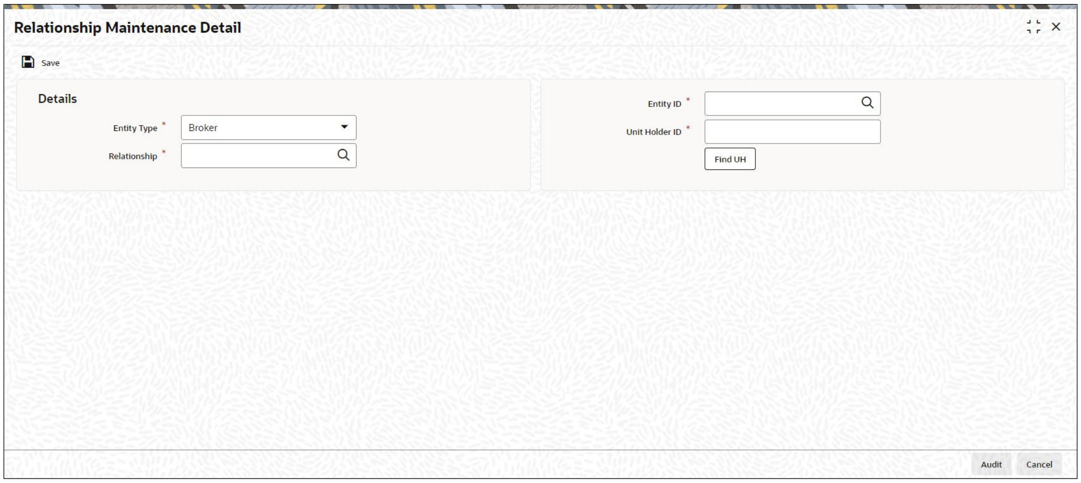
2.8 Process Relationship Maintenance Detail

This topic provides the systematic instructions to maintain relationship detail.

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

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

Figure 2-18   Relationship Maintenance Detail



2. On **Relationship Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-13   Relationship Maintenance Detail - Field Description

Field	Description
Entity Type	*Mandatory* Select the type of entity from the drop-down list. The list displays the following values: • **Broker** • **Unit Holder**
Relationship	*Alphanumeric; 2 Characters; Mandatory* Specify the relationship status. Alternatively, you can select relationship status from the option list. The list displays all valid relationship status maintained in the system.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the entity ID. Alternatively, you can select entity ID from the option list. The list displays all valid entity ID maintained in the system.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the unit holder ID.

3. Click **Find UH** button to inquire for unit holder ID.

2.9 Process Income Distribution Setup Detail

This topic provides the systematic instructions to capture the pattern for any entity in the **Oracle® FLEXCUBE Investor Servicing** system.

The different entities involved in transactions in funds of the AMC avail of earnings resulting from their involvement. For instance, an intermediary (such as a broker) derives commission earnings from the transactions in the funds of the AMC.

Each of the entities could opt for any of the following ways of using earnings from transactions:

- Receive the entire earnings, dividend or commission, as payment, either entirely through checks or account transfer.

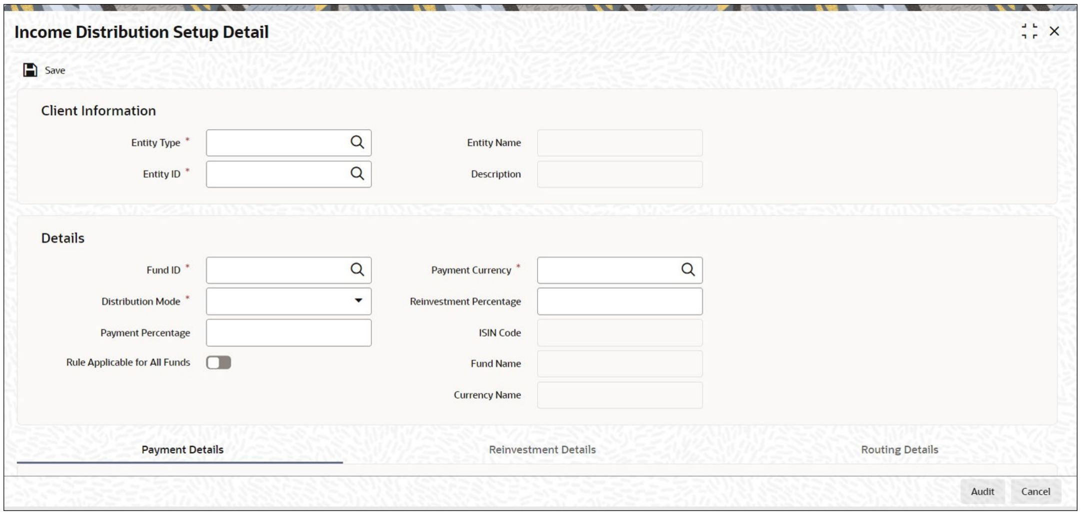
- Not receive the earnings by way of payment, but invest the earnings back into the funds of the AMC. This is known as reinvestment. Also, the reinvestment could be made into a designated unit holder account too.
- Receive a portion of the earnings by way of payment, and reinvest the remaining portion.

The pattern chosen by the entity to use earnings is known as the **Income Distribution Setup** pattern or the **IDS** pattern for the entity.

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

   The **Income Distribution Setup Detail** screen is displayed.

   Figure 2-19 Income Distribution Setup Detail

2. On **Income Distribution Setup Detail** screen, click **New** to enter the details.
3. Specify the type of entity in the **Entity Type** field for which the IDS options are being maintained.
4. Indicate the entity for which the option is being set up, by specifying the **Entity ID**.
5. Specify the fund for which the option is applicable, in the **Fund ID** field. You can also specify the **ISIN Code** for the fund.

   The option you will set up will be applied only for dividend earnings on the fund you select here. If you wish to set up income distribution options to be applicable for all funds, you can do so by setting the Rule Applicable for All Funds option.

   > **Note:**
   >
   > This option is available for all entity types except brokers and unit holders

6. Specify the mode of distribution, in the **Distribution Mode** field. For brokers, distribution by payment or reinvestment, or both, can be set. For all other entities, only distribution by payment can be set.
7. For brokers, specify the percentages that represent the portions of dividend earnings to be paid and reinvested, as desired by the broker, in the **Payment Percentage** and **Reinvestment Percentage** fields.

8. For brokers, specify the payment details for the paid portion, in the **Payment Details** section, and the reinvestment details, for the reinvestment portion, in the **Reinvestment Details** section.
9. For entities other than brokers, specify the payment details for commission payments, in the **Payment Details** section.
10. Click **Save** to save your changes.
11. On **Income Distribution Setup Detail** screen, specify the fields.

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

Table 2-14 Income Distribution Setup Detail - Field Description

Field	Description
Contact Information	In this section, select the code of the broker for whom you are creating an income distribution setup record.
Entity Type	*Alphanumeric; 1 Character; Mandatory* Select the type of entity for which you are setting up Income Distribution options from the option list. You can select any of the following entity types, as applicable: • **Accounting and Valuation Agent** • **Agent** • **Agency Branch** • **AMC** • **Broker** • **Bulk Client** • **Registrar** • **Trustee** • **Check Vendor** • **Underwriter** • **Custodian** • **Clearing Agent** • **Independent Financial Advisors (IFA)** • **Product Administrator** For entities other than brokers, the IDS options that you set up in this screen are applicable for commission payments only, and only the **Payment** distribution mode can be set.
Entity Name	*Display* Based on your selection for Entity ID, the system displays the corresponding Entity Name.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the ID of the entity for whom you are creating the income distribution options in this screen. The name of the entity that you select is displayed alongside the field.
Description	*Display* The system displays description of the specified entity here based on the details maintained at **Single Entity Maintenance** level.

Table 2-14 (Cont.) Income Distribution Setup Detail - Field Description

Field	Description
Details	In this section, you can indicate the fund, the income earnings from which will be distributed according to the IDS options you are creating for the selected entity. You can also indicate the manner in which the income must be distributed. For all entity types other than brokers and unit holders, you can define IDS options to be applicable for all funds. Specific IDS options for individual funds can still be defined for the entity even if IDS options have been defined to be applicable for all funds, and these specific options will supersede the option defined for all funds.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Select the ID of the fund from which the selected entity derives income, which will be distributed according to the IDS options you are creating in this screen. If the selected entity receives income from many funds, then you must create the IDS options for the income from each fund in this screen as applicable, if so requested by the entity. When you specify the ID of the fund, the **ISIN Code** of the fund is displayed in the **ISIN Code** field. **Note**: The **ALL** option is defaulted in this field and cannot be changed if the Rule Applicable for All Funds option has been chosen. In such a case, the IDS options being defined would be applicable for income earned by the selected entity from all funds. Also, if specific options need to be defined for an individual fund, they can be defined separately. Such specific options, if defined for an individual fund, would take precedence (only for income earnings from the fund for which they are defined) over options defined for ALL funds.
ISIN Code	*Display* The system displays the **ISIN Code** for the selected fund. **Note**: The **ALL** option is defaulted in this field and cannot be changed if the Rule Applicable for All Funds option has been chosen. In such a case, the IDS options being defined would be applicable for income earned by the selected entity from all funds. Also, if specific options need to be defined for an individual fund, they can be defined separately. Such specific options, if defined for an individual fund, would take precedence (only for income earnings from the fund for which they are defined) over options defined for ALL funds.
Fund Name	*Display* The system displays name of the specified fund ID based on the details maintained at **Fund Maintenance** level.
Currency Name	*Alphanumeric; 3 Characters; Optional* The system displays name of the specified payment currency based on the details maintained at **Currency Maintenance** level.

Table 2-14 (Cont.) Income Distribution Setup Detail - Field Description

Field	Description
Distribution Mode	*Mandatory* From the list, indicate the manner in which the selected entity prefers to avail of income earned in the selected fund. The list displays the following values: • **Full Payment:** Choose this option to indicate that the entity prefers to receive the entire income derived from an income distribution cycle in the selected fund as a payment. **Note**: For commission payments for entities other than brokers, the distribution mode is considered to be **Full Payment** by default. This option is selected and cannot be changed. • Further, the entity can choose to avail of payment either in the form of a check, or an account transfer. • **Full Reinvestment:** Choose this option to indicate that the entity prefers to reinvest the entire income derived from an income distribution cycle in the AMC back into the funds of the AMC. This option is available only for brokers and not for other entity types. • Further, the entity can choose to have the income reinvested either in the entity’s own default unit holder account or the account of another unit holder. In the latter case, the unit holder in whose account the reinvestment is proposed must belong to the same AMC as the source entity. • **Both:** Choose this option to indicate that the entity prefers to have the income derived from an entire income distribution cycle in the selected fund divided into two portions, receive one portion as payment, and reinvest the remaining portion. This option is available only for brokers and not for other entity types. **Note**: In some funds in which reinvestment is not allowed, according to the Corporate Actions profile for the fund and corporate action type, the entity cannot choose to have income earnings reinvested. In such cases, this field is locked with the **Full Payment** option displayed as a non-editable default option. Also, the **Payment Percentage** field is locked with a default, non-editable value of one hundred percent displayed, and the **Reinvestment Percentage** field is locked with a default, non-editable value of zero percent displayed. If you have chosen the distribution mode in this field as **Full Reinvestment** or **Both**, and the reinvestment fund has a restriction on the nationality of the entity as maintained in the Fund Residency Restriction list, then reinvestment is not allowed at all.
Payment Percentage	*Numeric; 5 Characters; Optional (Mandatory if distribution mode is either Both or Full Payment* Specify the percentage of income earned that the entity prefers to receive by way of payment. • If the distribution mode chosen is **Both**, specify a percentage that is below one hundred percent. • If the distribution mode chosen is **Full Payment**, this field contains one hundred percent as a default value. If so, you cannot specify any other value. • If the distribution mode chosen is **Full Reinvestment**, and the reinvestment is disallowed for the selected fund, this field contains one hundred percent as a default value. If so, you cannot change it.

Table 2-14   (Cont.) Income Distribution Setup Detail - Field Description

Field	Description
Payment Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the currency of income earned that the entity prefers to receive by way of payment.
Reinvestment Percentage	*Numeric; 22 Characters; Optional (Mandatory if distribution mode is either Both or Full Reinvestment)* Specify the percentage of income earned that the entity prefers to reinvest back into the funds of the AMC. • If the distribution mode chosen is **Both**, specify a percentage that is below one hundred percent. • If the distribution mode chosen is **Full Reinvestment**, this field contains one hundred percent as a default value. If so, you cannot specify any other value. • If the distribution mode chosen is **Full Reinvestment**, and the reinvestment is disallowed for the selected fund, this field contains zero as a default value. If so, you cannot change it.
Rule Applicable for All Funds	*Optional* The system displays the description of the selected country of incorporation code.
Fund Structure Applicable	*Optional* You can use this field to indicate that the IDS options being defined are applicable for income earned by the entity from all funds. If this option is chosen: • This cannot be changed through either the edit or amend operations. • The **ALL** option is displayed in the **Fund ID** and **ISIN Code** fields and cannot be changed. • The specific IDS options can still be separately defined for individual funds, which would mean that the selected entity might have IDS options defined for all funds, as well as specifically for individual funds. In such a case, the specific IDS setup for an individual fund (if any) would take precedence over the IDS options defined for all funds. **Note**: This option is available for all entity types except unit holders and brokers.

- Payment Details Tab
  This topic explains the payment details tab of **Income Distribution Setup Detail**.
- Reinvestment Details Tab
  This topic explains the reinvestment details tab of **Income Distribution Setup Detail**.
- Routing Details Tab
  This topic explains the routing details tab of **Income Distribution Setup Detail**.

2.9.1 Payment Details Tab

This topic explains the payment details tab of **Income Distribution Setup Detail**.

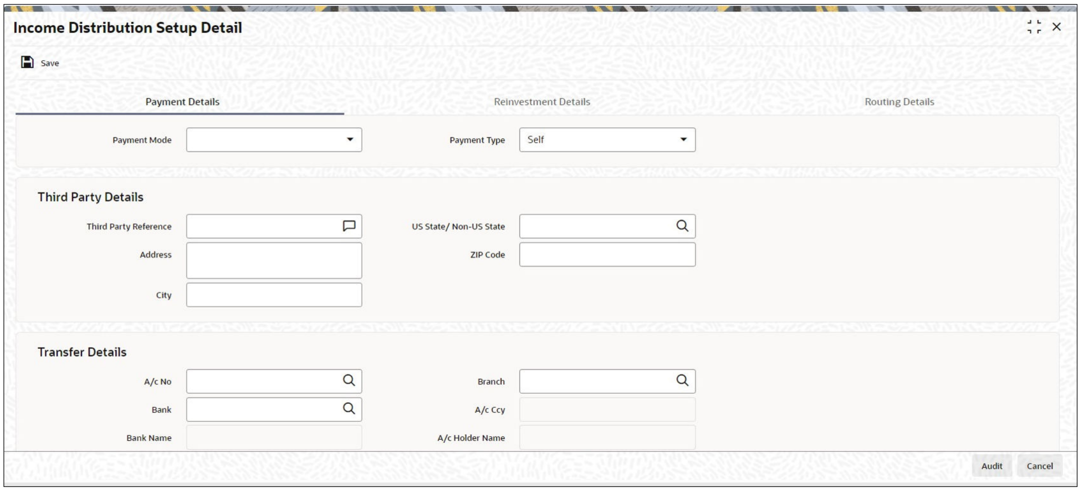
As part of maintaining the payment details, you can define the pattern in which the entity can receive income earnings in the form of payment. The entity can receive the payment income either in the form of checks or through account transfers.

If you have chosen either Both or Full Payment as the distribution mode, you must specify all information in this section.

1. On **Income Distribution Setup Detail** screen, click **Payment Details** tab to specify the payment details for the entity.

   The **Payment Details** are displayed.

Figure 2-20 Income Distribution Setup Detail_Payment Details Tab



2. On **Payment Details Tab**, specify the fields.

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

Table 2-15 Payment Details - Field Description

Field	Description
Payment Mode	*Optional* From the list, select the mode in which the entity prefers to receive the paid portion of the income earned – either in the form of a check or an account transfer.
Payment Type	*Optional* From the list, indicate whether the check payment instrument must be addressed to the entity (self) or a third party.
Third Party Details	You will be allowed to maintain the third party details if you have selected **Third Party** for Payment Type.
Third Party Reference	*Alphanumeric; 255 Characters; Mandatory for Third Party payment* Specify the name or reference of the third party for which the check instrument must be made out.
Address	*Alphanumeric; 255 Characters; Mandatory for Third Party payment* Specify the address of the third party for which the check instrument must be made out.
City	*Alphanumeric; 20 Characters; Mandatory for Third Party payment* Select the city of residence of the third party for which the check instrument must be made out.
US State/Non-US State	*Alphanumeric; 20 Characters; Mandatory for Third Party payment* Select the state of residence of the third party for which the check instrument must be made out.

Table 2-15 (Cont.) Payment Details - Field Description

Field	Description
Zip Code	*Alphanumeric; 10 Characters; Mandatory for Third Party payment* Specify the zip code of the city of residence of the third party for which the check instrument must be made out.
Transfer Details	The section displays the following fields.
A/c No	*Alphanumeric; 34 Characters; Mandatory for Self payment type* Select the bank account number to which the transfer payment of the income must be made. The details of the account you select are displayed in the bank account details fields. You must select a bank account number for which the currency is a valid fund bank account currency so that the income payment transfer can be affected. **Note**: For commission payments for entities other than brokers, the account you specify here is used as the default settlement account. If IDS options have not been set for an entity, (and this account is not specified), settlement of commission payment is made to the entity’s default bank account, specified in the Entity Maintenance.
Bank Name	*Alphanumeric; 12 Characters; Mandatory for Third Party transfer payment* Select the name of the bank in which the transfer account is present.
Branch	*Alphanumeric; 12 Characters; Mandatory for Third Party transfer payment* Specify the branch name of the bank in which the transfer account is present
A/C Type	*Display* The system displays the account type (Fixed, Savings or Current) of the transfer account.
A/C Ccy	*Display* The system displays the currency of the transfer account.
A/C Holder Name	*Display* The system displays the name of the holder of the third party account.
IBAN	*Display* The system displays the **International Bank Account Number (IBAN)** of the account holder.

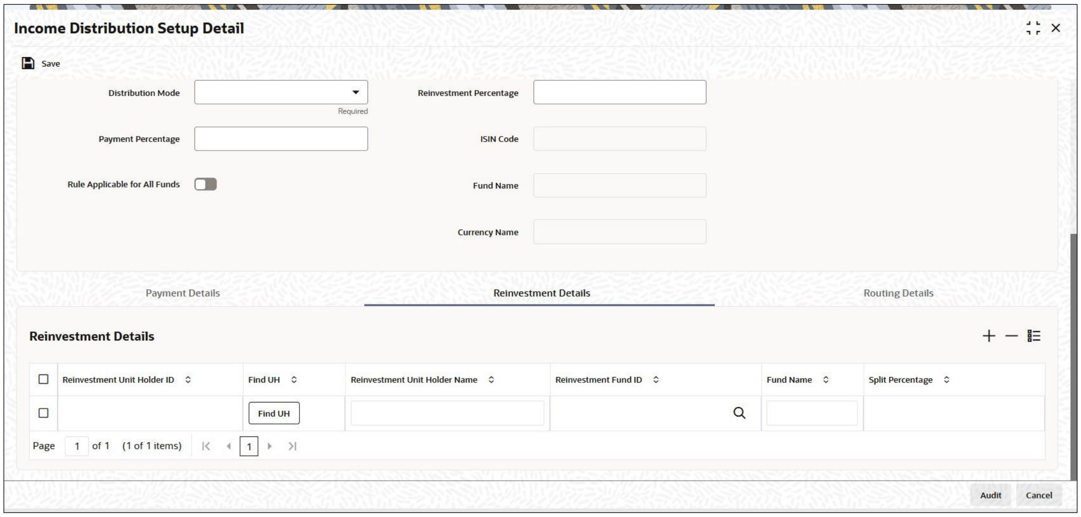
2.9.2 Reinvestment Details Tab

This topic explains the reinvestment details tab of **Income Distribution Setup Detail**.

1. On **Income Distribution Setup Detail** screen, click **Reinvestment Details** tab to capture the details.

   The **Reinvestment Details** are displayed.

Figure 2-21 Income Distribution Setup Detail_Reinvestment Details Tab



2. you can define the pattern in which the entity can reinvest income earnings back into the funds of the AMC.
3. You can reinvest earned income in the entity in any of the following ways:
    - Reinvest either in the entity’s own default unit holder account, or another unit holder account. In the latter case, the unit holder in whose account the reinvestment is proposed must belong to the same AMC as the source entity.
    - Reinvest the income back into any of the funds of the AMC.
    - Reinvest the income in as many target fund/unit holder combinations, subject to the constraints expressed above. This is again subject to the consideration that the sum of the percentages of reinvestment in all these combinations must be equal to 100.

> **Note:**
>
> Reinvestment is only allowed into or out of a fund if so designated in the Corporate Actions profile for the fund and corporate action type.

4. If you have chosen either **Both** or **Full Payment** as the distribution mode, you must specify all information in this section.
5. On **Reinvestment Details Tab**, specify the fields.

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

Table 2-16 Reinvestment Details - Field Description

Field	Description
Reinvestment Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* Specify the ID of the unit holder in whose account the income is to be reinvested. When you select the ID of the reinvestment unit holder, the name of the unit holder is displayed in the **Reinvestment Unit Holder Name** field. The entity’s default **Unit Holder ID** is displayed here. If necessary, you can change it. You can also click **Find UH** button to query reinvestment unit holder ID.
Reinvestment Unit Holder Name	*Display* The system displays the name of the Unit Holder based on the **Reinvestment Unit Holder ID**.
Reinvestment Fund ID	*Alphanumeric; 6 Characters; Mandatory* Select the ID of the fund in which the income is to be reinvested.
Fund Name	*Display* The system displays name of the specified reinvestment fund based on the details maintained at **Fund Maintenance** level.
Split Percentage	*Numeric; 5 Characters; Mandatory* Specify the percentage of the derived income that is to be reinvested in the specified reinvestment unit holder's account, in the specified reinvestment fund. You can make any number of such entries, specifying a percentage for each combination. The sum total of all split percentages for all reinvestment unit holder – reinvestment fund ID combinations you have specified must be equal to one hundred percent.

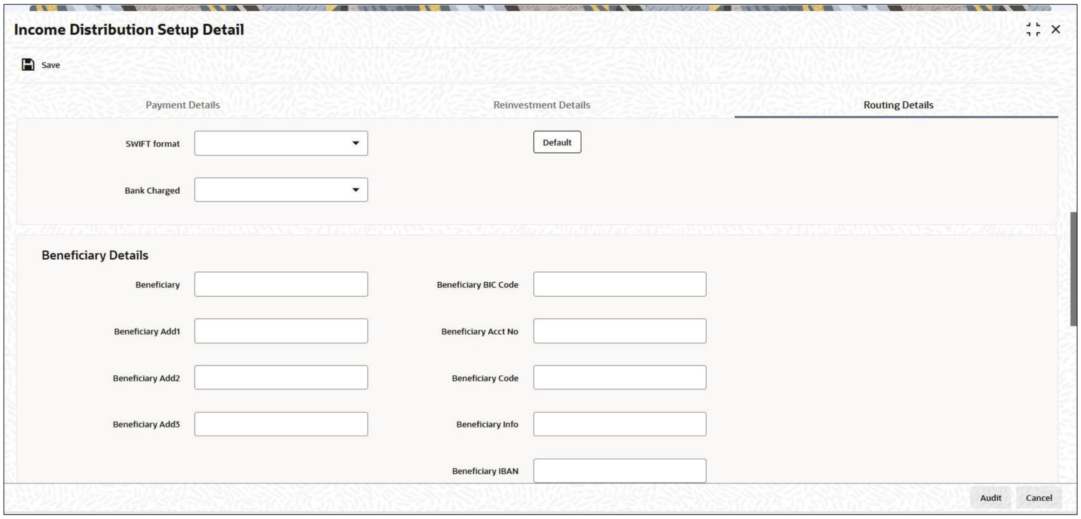
2.9.3 Routing Details Tab

This topic explains the routing details tab of **Income Distribution Setup Detail**.

1. On **Income Distribution Setup Detail** screen, click **Routing Details** tab to enter routing details.

   The **Routing Details** are displayed.

Figure 2-22   Income Distribution Setup Detail_Routing Details Tab



2. On **Routing Details Tab**, specify the fields.

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

Table 2-17   Routing Details - Field Description

Field	Description
SWIFT Format	*Optional* Select the SWIFT format from the drop-down list. The list displays the following values: • **MT103** • **MT102** At the time of transaction input, the routing details specified here are picked up for the combination of fund, transaction type and transaction currency.
Bank Charged	*Optional* Indicate whether the bank charges must be levied upon the beneficiary, the remitter or must be shared between the two. The list displays the following values: • **Beneficiary** • **Remitter** • **Share**
Beneficiary Details	The section displays the following fields.
Beneficiary	*Alphanumeric; 35 Characters; Optional* Specify the beneficiary name.
Beneficiary Add 1-3	*Alphanumeric; 105 Characters; Optional* Specify the beneficiary address. There are three lines available for the same.
Beneficiary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC code of the beneficiary.
Beneficiary Acct No	*Alphanumeric; 34 Characters; Optional* Specify the account number of the beneficiary.
Beneficiary Code	*Alphanumeric; 24 Characters; Optional* Specify the code of the beneficiary.

Table 2-17 (Cont.) Routing Details - Field Description

Field	Description
Beneficiary Info	*Alphanumeric; 100 Characters; Optional* Enter more information about the beneficiary.
Beneficiary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the beneficiary IBAN details.
Intermediary Details	The section displays the following fields.
Intermediary	*Alphanumeric; 35 Characters; Optional* Specify the intermediary detail.
Intermediary Add 1-3	*Alphanumeric; 105 Characters; Optional* Specify the intermediary address. There are three lines available for the same
Intermediary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC code of the Intermediary.
Intermediary Acct No	*Alphanumeric; 34 Characters; Optional* Specify the account number of the Intermediary.
Intermediary Code	*Alphanumeric; 24 Characters; Optional* Specify the code of the Intermediary.
Intermediary Info	*Alphanumeric; 100 Characters; Optional* Enter more information about the Intermediary.
Intermediary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the intermediary IBAN details.
Further Credit Details	The section displays the following fields.
Further Credit Name	*Alphanumeric; 40 Characters; Optional* Specify the further credit name.
Further Credit Acct No	*Alphanumeric; 35 Characters; Optional* Specify the further credit account number.
Reference	The section displays the following fields.
Reference1	*Alphanumeric; 35 Characters; Optional* Specify reference details.
Reference2	*Alphanumeric; 35 Characters; Optional* Specify reference details.

3. Click **Save** to save all the details and proceed or click **Cancel** button to cancel the operation.

2.10 Income Distribution Setup Summary

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

Operations on Income Distribution Setup Records

After you set up the IDS options for an entity in the **Income Distribution Setup** screen, you can perform any of the following operations before the record is authorized:

- Edit the specified options in the setup. At this stage, you can alter any of the details, other than the fund and the unit holder ID.
- Delete the setup.

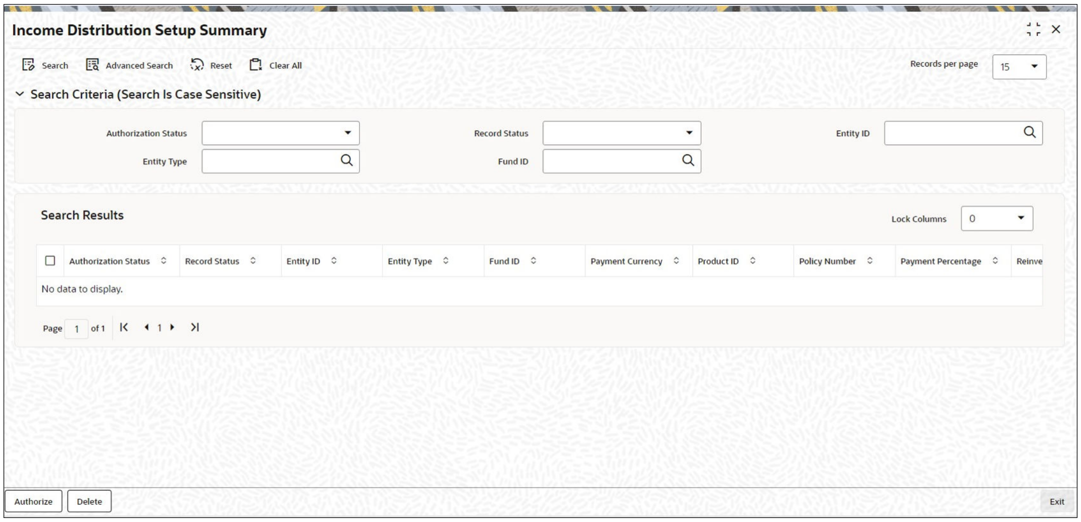
- After authorization, you can make changes to the options through an amendment operation.

Retrieve Income Distribution Setup Record

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

   The **Income Distribution Setup Summary** screen is displayed.

Figure 2-23   Income Distribution Setup Summary



Records per page 15

Lock Columns 0

No data to display.

Page 1 of 1

2. On **Income Distribution Setup Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Entity ID**
   - **Entity Type**
   - **Fund ID**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input 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 percentage and alphanumeric value.

   You can search the record for Entity ID 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 etc.
   - Search by %7:- System will fetch all the records whose Entity ID ends by numeric value' 7'. Ex: - AGC17, GSD267, AGC77 etc.
   - Search by %17%:- System will fetch all the records whose Entity ID contains the numeric value 17. Ex: - GSD217, GSD172, AGC17 etc.

- Edit Income Distribution Setup Record
  This topic provides the systematic instructions to edit Income Distribution Setup record.
- View Income Distribution Setup Record
  This topic provides the systematic instructions to view Income Distribution Setup record.
- Delete Income Distribution Setup Record
  This topic provides the systematic instructions to delete Income Distribution Setup record.
- Authorize Income Distribution Setup Record
  This topic provides the systematic instructions to authorize Income Distribution Setup record.
- Amend Income Distribution Setup Record
  This topic provides the systematic instructions to amend Income Distribution Setup record.
- Authorize Amended Income Distribution Setup Record
  This topic provides the systematic instructions to authorize amended Income Distribution Setup record.
- Copy Attributes
  This topic provides the systematic instructions to copy attributes of Withholding Tax Setup.

2.10.1 Edit Income Distribution Setup Record

This topic provides the systematic instructions to edit Income Distribution Setup record.

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

1. Start the **Income Distribution Setup Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Income Distribution Setup Detail** screen is displayed.

6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Income Distribution Setup Detail** screen is closed and the changes made are reflected in the **Income Distribution Setup Summary** screen.

2.10.2 View Income Distribution Setup Record

This topic provides the systematic instructions to view Income Distribution Setup record.

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

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

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

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

   The **Income Distribution Setup Detail** screen is displayed.

2.10.3 Delete Income Distribution Setup Record

This topic provides the systematic instructions to delete Income Distribution Setup record.

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

1. Start the **Income Distribution Setup Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Income Distribution Setup Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

2.10.4 Authorize Income Distribution Setup Record

This topic provides the systematic instructions to authorize Income Distribution Setup record.

Authorize an unauthorized Income Distribution Setup in the system for it to be processed as follows:

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

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

   The **Income Distribution Setup Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

2.10.5 Amend Income Distribution Setup Record

This topic provides the systematic instructions to amend Income Distribution Setup record.

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

1. Start the **Income Distribution Setup Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

2.10.6 Authorize Amended Income Distribution Setup Record

This topic provides the systematic instructions to authorize amended Income Distribution Setup record.

- Authorize an amended Income Distribution Setup record for the amendment to be made effective in the system. The authorization of amended records can only be done from Fund Manager Module and Agency branch Module.

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

2.10.7 Copy Attributes

This topic provides the systematic instructions to copy attributes of Withholding Tax Setup.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new **Withholding Tax Setup Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Withholding Tax 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 **Withholding Tax Setup Record**. You can, however, change the details of the new record.

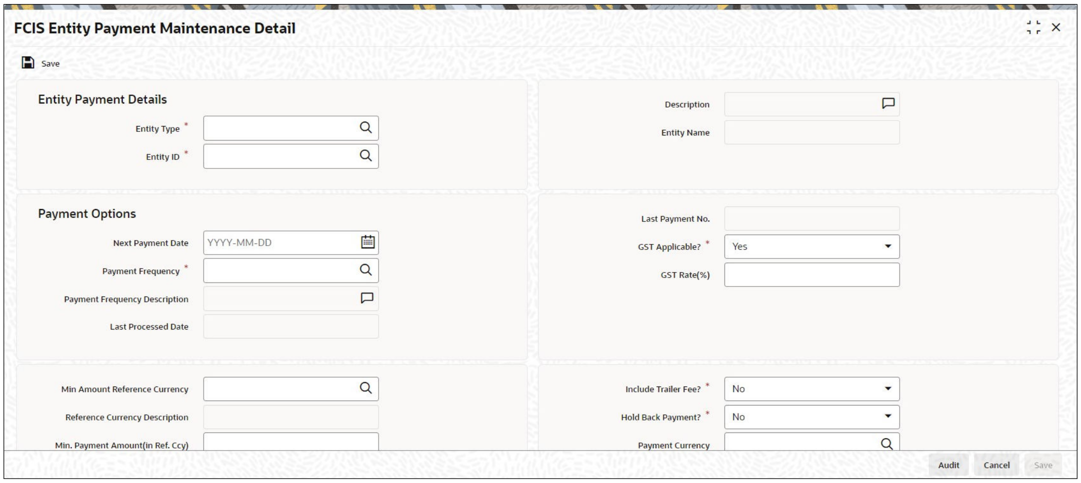
2.11 Process FCIS Entity Payment Maintenance Detail

This topic provides the systematic instructions to define the payment details for entities, which would be used for commission payments.

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

   The **FCIS Entity Payment Maintenance Detail** screen is displayed.

   Figure 2-24 FCIS Entity Payment Maintenance Detail

   GST Applicable? * Yes

   Include Trailer Fee? * No

   Hold Back Payment? * No

2. On **FCIS Entity Payment Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-18 FCIS Entity Payment Maintenance Detail - Field Description

Field	Description
Entity Payment Details	The section displays the following fields.

Table 2-18 (Cont.) FCIS Entity Payment Maintenance Detail - Field Description

Field	Description
Entity Type	*Alphanumeric; 1 Character; Mandatory* Select the type of entity for which the payment details are being defined.
Description	*Display* The system displays description of the specified entity type based on the details maintained at Single Entity Maintenance level
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the ID for the entity for whom you are defining the payment details.
Entity Name	*Display* Based on your selection for Entity ID, the system displays the corresponding Entity Name.
Payment Options	The section displays the following fields.
Next Payment Date	*Date Format, Mandatory* When you are setting up the Payment Details for the first time, specify the next payment date on which the entity is to receive commission payment.
Payment Frequency	*Alphanumeric; 1 Character; Mandatory* Specify the frequency at which commission payment is to be processed for the entity. The following commission payment frequencies are available: • **Daily** • **Weekly** • **Fortnightly** • **Monthly** • **Quarterly** • **Half Yearly** • **Yearly** If the next payment date is 1st, June and **Payment Frequency** selected is **Monthly**, then the next payment date will be 1st, July.
Payment Frequency Description	*Display* The system displays description of the selected payment frequency.
Last Processed Date	*Display* The system displays the last date when the entity commission was processed.
Last Payment No	*Display* The system displays the payment number of the entity commission which was processed last.
GST Applicable	*Mandatory* Indicate whether GST is applicable or not for the entity. The rate maintained will get added to commission amount.
GST Rate (%)	*Numeric; 5 Characters; Mandatory (If you have indicated GST Applicable)* If you have made GST applicable, specify the GST rate as a percentage. GST applicable rate is for the entity payment
Min Amount Reference Currency	*Alphanumeric; 3 Characters; Optional* This indicates the currency of the minimum accrued amount that can be paid to the entity.

Table 2-18 (Cont.) FCIS Entity Payment Maintenance Detail - Field Description

Field	Description
Reference Currency Description	*Display* The system displays currency name of the specified reference currency here.
Min. Payment Amount (in Ref. Ccy)	*Numeric; 30 Characters; Optional* Stipulate the minimum accrued amount that can be paid out to the entity. If the amount accrued for the payment period is less than the minimum amount specified, the system carries forward this amount to the next payment cycle. For instance, if the commission is set to 100 USD, and if the computed commission falls below 100 USD then there will not be any payout made, once the commission exceeds 100 USD for the corresponding payment, then the payout will be made including the residual commission which was not paid earlier.
Mode of Payment	*Alphanumeric; 1 Character; Mandatory* Select the mode of payment - **Check** or **Transfer**.
Mode of Payment Description	*Display* The system displays description of the selected mode of payment.
Include Trailer Fee?	*Mandatory* Select `Yes` from list to indicate that trailing commission in respect of the entity must be paid out using the payment details you have specified.
Hold Back Payment?	*Mandatory* Indicate if commission payment to the entity is to be held and not paid. If you select `Yes` from the list, then all commission accrued is carried forward to the next cycle.
Payment Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the payment currency. The adjoining option list displays all valid payment currencies maintained in the system. You can choose the appropriate one.
Payment Currency Description	*Display* Upon selection of the payment currency, the system displays the description of the specified payment currency.

2.12 FCIS Entity Payment Maintenance Summary

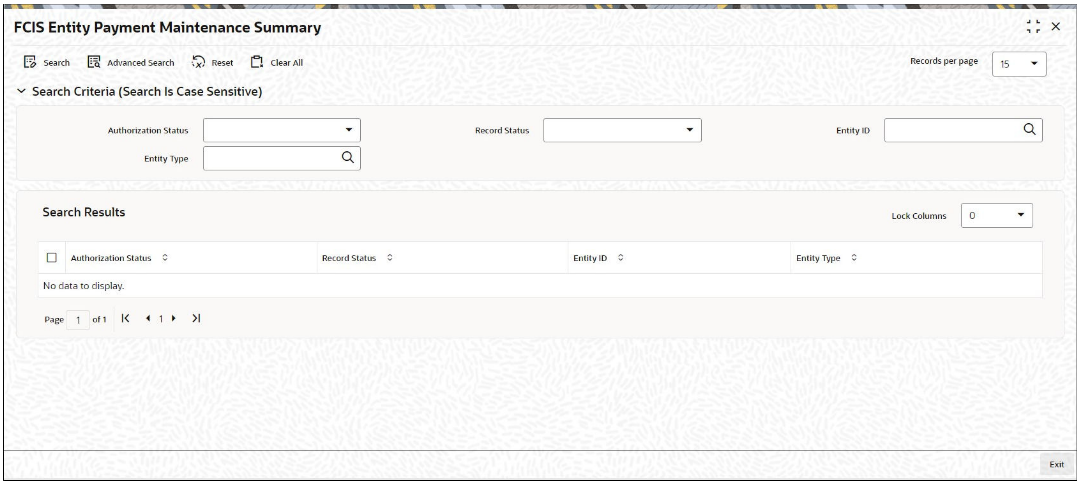
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve FCIS Entity Payment Maintenance Record

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

   The **FCIS Entity Payment Maintenance Summary** screen is displayed.

Figure 2-25   FCIS Entity Payment Maintenance Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **FCIS Entity Payment Maintenance Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Entity ID**
   - **Entity Type**
3. Click **Search** button to view the records.

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

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   > - Press F7
   > - Input the 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 percentage and alphanumeric value.

- Edit FCIS Entity Payment Maintenance Record
  This topic provides the systematic instructions to edit FCIS Entity Payment Maintenance record.
- View FCIS Entity Payment Maintenance Record
  This topic provides the systematic instructions to view FCIS Entity Payment Maintenance record.

- Delete FCIS Entity Payment Maintenance Record
  This topic provides the systematic instructions to delete FCIS Entity Payment Maintenance record.
- Authorize FCIS Entity Payment Maintenance Record
  This topic provides the systematic instructions to authorize FCIS Entity Payment Maintenance record.
- Amend FCIS Entity Payment Maintenance Record
  This topic provides the systematic instructions to amend FCIS Entity Payment Maintenance record.
- Authorize Amended FCIS Entity Payment Maintenance Record
  This topic provides the systematic instructions to authorize amended FCIS Entity Payment Maintenance record.
- Copy Attributes
  This topic provides the systematic instructions to copy attributes of FCIS Entity Payment Maintenance.

2.12.1 Edit FCIS Entity Payment Maintenance Record

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

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

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

2.12.2 View FCIS Entity Payment Maintenance Record

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

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

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

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

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

   The **FCIS Entity Payment Maintenance Detail** screen is displayed.

2.12.3 Delete FCIS Entity Payment Maintenance Record

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

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

1. Start the **FCIS Entity Payment Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Entity Payment 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.

2.12.4 Authorize FCIS Entity Payment Maintenance Record

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

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

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

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

   The **FCIS Entity Payment 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.

2.12.5 Amend FCIS Entity Payment Maintenance Record

This topic provides the systematic instructions to amend FCIS Entity Payment Maintenance record.

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

1. Start the **FCIS Entity Payment Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **FCIS Entity Payment 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.

2.12.6 Authorize Amended FCIS Entity Payment Maintenance Record

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

- Authorize an amended payment record for the amendment to be made effective in the system.

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

2.12.7 Copy Attributes

This topic provides the systematic instructions to copy attributes of FCIS Entity Payment Maintenance.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new payment record with the same attributes of an existing record.
2. Retrieve the record whose attributes the new payment 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 record. You can, however, change the details of the new record.

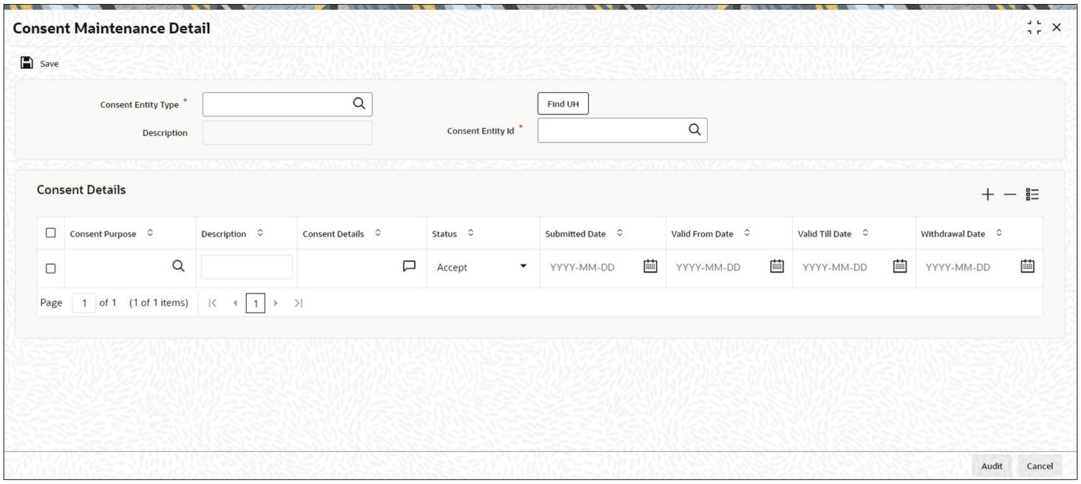
2.13 Process Consent Maintenance Detail

This topic provides the systematic instructions to capture the consent details.

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

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

   Figure 2-26 Consent Maintenance Detail

2. On **Consent Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-19 Consent Maintenance Detail - Field Description

Field	Description
Consent Entity Type	*Alphanumeric; 1 Character; Mandatory* Specify the consent entity type. Alternatively, you can select consent entity type from adjoining option list. The list displays all valid consent entity type maintained in **CONSENTENTITY** Param code.
Description	*Display* The system displays the description for the selected consent entity type.
Consent Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the consent entity ID. Alternatively, you can select consent entity ID from adjoining option list. The list displays all valid consent entity ID maintained in the system. If you select `U` - Unit Holder ID in Consent Entity Type field, then **Find UH** button will return unit holder details. If you select `P` - PAS Party ID, then **Find UH** is not applicable.
Consent Details	The section displays the following fields.
Consent Purpose	*Alphanumeric; 100 Characters; Mandatory* Specify the purpose of consent. Alternatively, you can select consent purpose from adjoining option list. The list displays all valid consent purpose maintained in the **CONSENTPURS** param code.

Table 2-19 (Cont.) Consent Maintenance Detail - Field Description

Field	Description
Consent Details	*Alphanumeric; 255 Characters; Optional* Specify the details of the consent.
Status	*Optional* Select the status of consent from the drop-down list. The list displays the following values: • **Accept** • **Withdraw**
Submitted Date	*Date Format; Mandatory* Select the date on when the consent request is received from the adjoining calendar.
Valid From Date	*Date Format; Mandatory* Select the validity period from the adjoining calendar. This field is applicable only if you have selected **Status** field as **Active**.
Valid Till Date	*Date Format; Mandatory* Select the validity period from the adjoining calendar. This field is applicable only if you have selected **Status** field as **Active**.
Withdrawal Date	*Date Format; Optional* Select the date of withdrawal from the adjoining calendar. This field is applicable only if you have selected **Status** field as **Withdraw**.

2.14 Consent Maintenance Summary

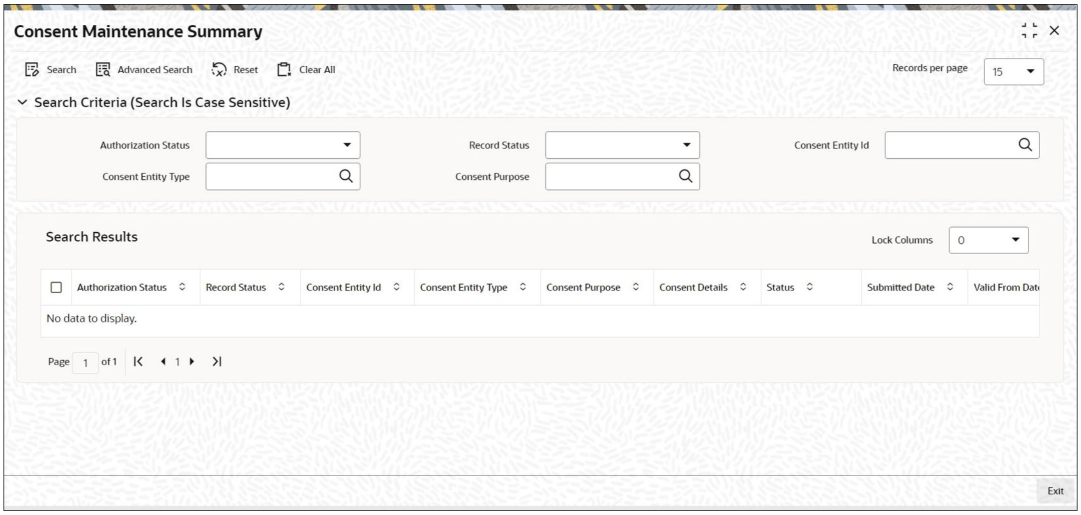
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Consent Maintenance Record

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

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

Figure 2-27   Consent Maintenance Summary



Records per page: 15

Lock Columns: 0

No data to display.

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2. On **Consent 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**
   - **Consent Entity ID**
   - **Consent Purpose**
   - **Consent Entity Type**
3. Click **Search** button to view the records.

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

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

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

- Edit Consent Maintenance Record
  This topic provides the systematic instructions to edit Consent Maintenance record.
- View Consent Maintenance Record
  This topic provides the systematic instructions to view Consent Maintenance record.

- Delete Consent Maintenance Record
  This topic provides the systematic instructions to delete Consent Maintenance record.
- Authorize Consent Maintenance Record
  This topic provides the systematic instructions to authorize Consent Maintenance record.
- Amend Consent Maintenance Record
  This topic provides the systematic instructions to amend Consent Maintenance record.
- Authorize Amended Consent Maintenance Record
  This topic provides the systematic instructions to authorize amended Consent Maintenance record.

2.14.1 Edit Consent Maintenance Record

This topic provides the systematic instructions to edit Consent Maintenance record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.14.2 View Consent Maintenance Record

This topic provides the systematic instructions to view Consent Maintenance record.

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

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

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

4. Click **Search** button.

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

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

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

2.14.3 Delete Consent Maintenance Record

This topic provides the systematic instructions to delete Consent Maintenance record.

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

1. Start the **Consent Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

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

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

   The **Consent 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.

2.14.4 Authorize Consent Maintenance Record

This topic provides the systematic instructions to authorize Consent Maintenance record.

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

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

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

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

   The **Consent 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.

2.14.5 Amend Consent Maintenance Record

This topic provides the systematic instructions to amend Consent Maintenance record.

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

1. Start the **Consent Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Consent 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.

2.14.6 Authorize Amended Consent Maintenance Record

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

- Authorize an amended Consent Maintenance records for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

2.15 Process Agent Level Unit Rounding Detail

This topic provides the systematic instructions to capture rounding precision for units at agent level.

Design scope

Along with the existing Rounding Precision at fund level, Rounding Precision at agent level has been also considered during units rounding process.

- If the Agent level rounding is not maintained, then the fund level precisions will be considered.
- If the Agent level precisions are higher than the fund level, then the later will be considered.

Features in scope

Below features are impacted in Agent Level Rounding enhancement:

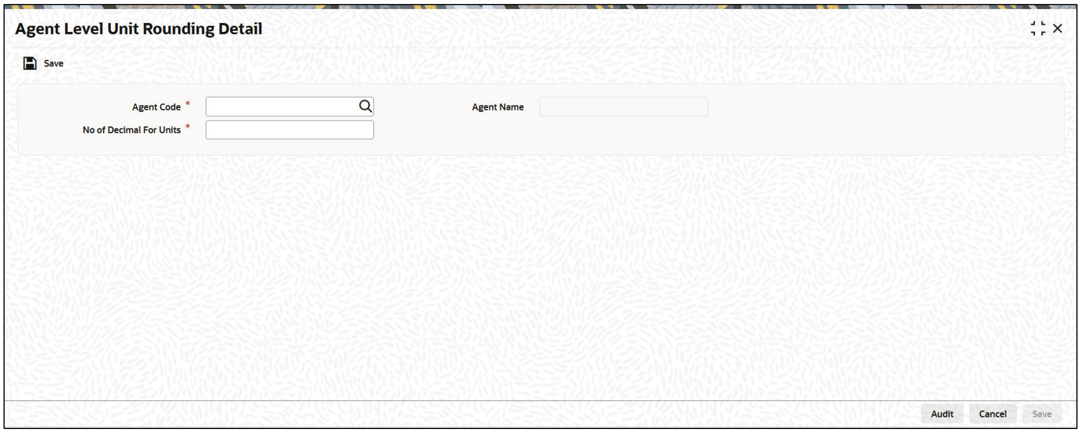
- No. of Decimals for Units which is maintained for the Intermediary Agent, has to be considered during allocation along with the existing round off or truncate flag at the fund level.
- If **TXNBROKERS** is turned **ON**, then the No. of Decimals for Units is not applicable.

- Lien marking/Unmarking (Block/Unblock) transactions are not in the scope of Agent Level Rounding. Fund Level rounding is continued for such **Block/Unblock** transactions.
- The latest available precision maintained for the agent has to be considered during allocation. Subsequent maintenance/amendment will not impact the allotted units.
- Rounding precision for units is applicable only for below mentioned Transactions.
  - **IPO**
  - **Subscription**
  - **Redemption**
  - **Switch Transfer**

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

   The **Agent Level Unit Rounding Detail** screen is displayed.

Figure 2-28   Agent Level Unit Rounding Detail



2. On **Agent Level Unit Rounding Detail** screen, click **New** to enter the details.

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

Table 2-20   Agent Level Unit Rounding Detail - Field Description

Field	Description
Agent Code	*Alphanumeric; 12 Characters; Mandatory; Non amendable field* Specify the Agent code. Alternatively, you can select agent code from the option list. The list displays all valid agent code maintained in the system.
Agent Name	*Display* The system displays the Agent name for the selected Agent code.
No of Decimal for Units	*Mandatory; Amendable field* Specify the number of decimals for units. • The minimum value for the field will be `0`. • The maximum value for the field will be `12`. • Decimals values are not allowed for the field.

Examples explaining the Rounding Precision for units

The following examples explain the rounding precision for units. The different number of decimal for units at agent and fund level are considered and possible results are explained in the remark section.

The Agent level Rounding precision for units:

Agent Code	No of Decimal For Units
ALRAGT1	2
ALRAGT2	8
ALRAGT3	0
ALRAGT4	Nil

Consider the following **No. of Decimals** at Fund Level for Units (at TPR > Pricing) for transaction types 02, 03, 04, 05 and 54.

Table 2-21 No. of decimals in Fund Level for Units

Fund ID	Rounding Options For Units	Rounding Precision For Units
ALROFF	Round off	6

Consider the following No. of decimals in **Currency Maintenance**.

Table 2-22 No. of decimals in Currency Maintenance

Number Of Decimals	Round Off/ Truncate
3	Round off

The following Gross amount Subscriptions shows the rounding precision for the allotted units, which is arrived according to the unit rounding precision maintained at Fund level and Agent level as mentioned above.

Table 2-23 Gross amount Subscriptions shows the Rounding Precision

Txn Type	Fund ID	UH ID	Intermediary Agent	Amount Applied	Unit Price	Load (5%)	Load 1000	Net Amt In FBC	Allotted Units
02	ALROFF	UH1	ALRAGT1	100000	9.4573	5000	0.027	95000.027	9950.46
02	ALROFF	UH1	ALRAGT2	99500	9.4573	4975	-	94525.000	9900.704911
02	ALROFF	UH1	ALRAGT3	100000	9.4573	5000	4.365	94995.635	9950
02	ALROFF	UH1	ALRAGT4	107000	9.4573	5350	-	101650.000	10646.989201

Remarks: The following different No of Decimal for Units at agent and fund level considered, and possible results explained.

- Allotted units for UH 1 is 9950.46, because the rounding precision for units maintained at Agent level is (2) and at Fund level is (6). So the system considered the lowest precision of 2 decimals (Agent level).

- Allotted units for UH 2 is 9900.704911, because the rounding precision for units maintained at Agent level (8) is greater than Fund level (6). So the system considered the lowest precision (TPR).
- Allotted units for UH 3 is 9950, because the rounding precision for units maintained at Agent level (0) is lesser than Fund level (6). So the system considered the lowest precision (Agent).
- Allotted units for UH 4 is 10646.989201, because the rounding precision is not maintained for the Agent and so the system considered the Fund level maintenance TPR) which is 6 decimals.

2.16 Agent Level Unit Rounding Summary

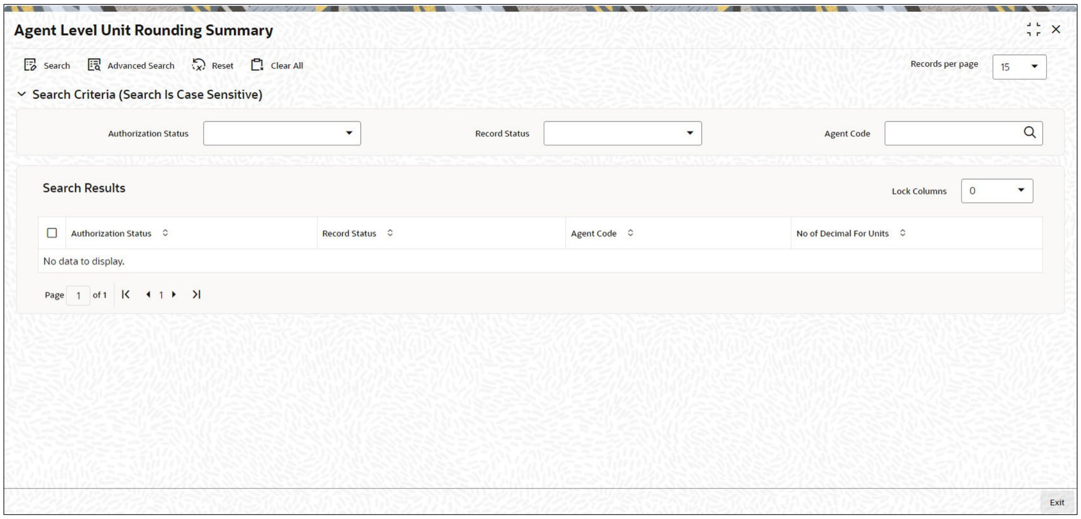
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Agent Level Unit Rounding Record

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

   The **Agent Level Unit Rounding Summary** screen is displayed.

Figure 2-29 Agent Level Unit Rounding Summary



Records per page 15

Lock Columns 0

No data to display.

Page 1 of 1

2. On **Agent Level Unit Rounding Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Agent Code**
3. Click **Search** button to view the records.

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

Note:

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

- Press F7
- Input the Agent Code
- Press F8

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

- Edit Agent Level Unit Rounding Record
  This topic provides the systematic instructions to edit Agent Level Unit Rounding record.
- View Agent Level Unit Rounding Record
  This topic provides the systematic instructions to view Agent Level Unit Rounding record.
- Authorize Agent Level Unit Rounding Record
  This topic provides the systematic instructions to authorize Agent Level Unit Rounding record.
- Amend Agent Level Unit Rounding Record
  This topic provides the systematic instructions to amend Agent Level Unit Rounding record.
- Authorize Amended Agent Level Unit Rounding Record
  This topic provides the systematic instructions to authorize amended Agent Level Unit Rounding record.

2.16.1 Edit Agent Level Unit Rounding Record

This topic provides the systematic instructions to edit Agent Level Unit Rounding record.

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

1. Start the **Agent Level Unit Rounding Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Agent Level Unit Rounding Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.

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

   The **Agent Level Unit Rounding Detail** screen is closed and the changes made are reflected in the **Agent Level Unit Rounding Summary** screen.

2.16.2 View Agent Level Unit Rounding Record

This topic provides the systematic instructions to view Agent Level Unit Rounding record.

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

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

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

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

   The **Agent Level Unit Rounding Detail** screen is displayed.

2.16.3 Authorize Agent Level Unit Rounding Record

This topic provides the systematic instructions to authorize Agent Level Unit Rounding record.

Authorize an unauthorized Agent Level Unit Rounding Record in the system for it to be processed as follows:

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

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

   The **Agent Level Unit Rounding 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.

2.16.4 Amend Agent Level Unit Rounding Record

This topic provides the systematic instructions to amend Agent Level Unit Rounding record.

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

1. Start the **Agent Level Unit Rounding Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Agent Level Unit Rounding 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.

2.16.5 Authorize Amended Agent Level Unit Rounding Record

This topic provides the systematic instructions to authorize amended Agent Level Unit Rounding record.

- Authorize an amended Agent Level Unit Rounding records for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module.

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

2.17 Agency Branches Setup

This topic provides instructions to set up an Agency Branch in the **Single Entity Maintenance Detail** screen.

1. Agency branches in the system perform the role of accepting new unit holder related information and transactions from unit holders in various funds.
2. Only such agency branches as are set up using this screen can have **Oracle FLEXCUBE Investor Servicing** installations.
3. Click **Detail** option under the **Entity** menu item in the browser.

   The **Single Entity Maintenance Detail** screen is displayed.
4. Select the `Agency Branch` option from the list in the **Entity Type** field and then proceed to enter the details for the agency branch.
5. The Agent Code - Branch Code combination should be unique, and not already in use for any other entity in the system. If so, an error message is displayed when you save the record.

2.18 AMC Setup

This topic provides instructions to set up an AMC in the **Single Entity Maintenance Detail** screen.

1. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
2. Select the `AMC` option from the list in the **Entity Type** field and then proceed to enter the details for the AMC.

3. You must specify all information such as the common information, basic information and contact details for any AMC that you set up.

> **Note:**
>
> AMC's can only be maintained at Distributor installations. At an AMC installation, the profile of the logged in AMC can be viewed in the Single Entity screen, but a new profile cannot be created.

4. Find the attributes specific to set up of an AMC's are as follows.
    - Weekend
    - Section
    - Switching Logic
    - UH Generation Logic
    - Nature of Business
    - Effective Date for Capital Gains Calculations
    - Finware Posting
    - Address Details

Refer topic Other Information Tab and Correspondence Address Tab in **Single Entity Maintenance Detail** screen for more details on each of these attributes.

2.19 Process Distributor Rules Detail

This topic provides the systematic instructions to set up a distributor for an AMC.

Distributors Setup

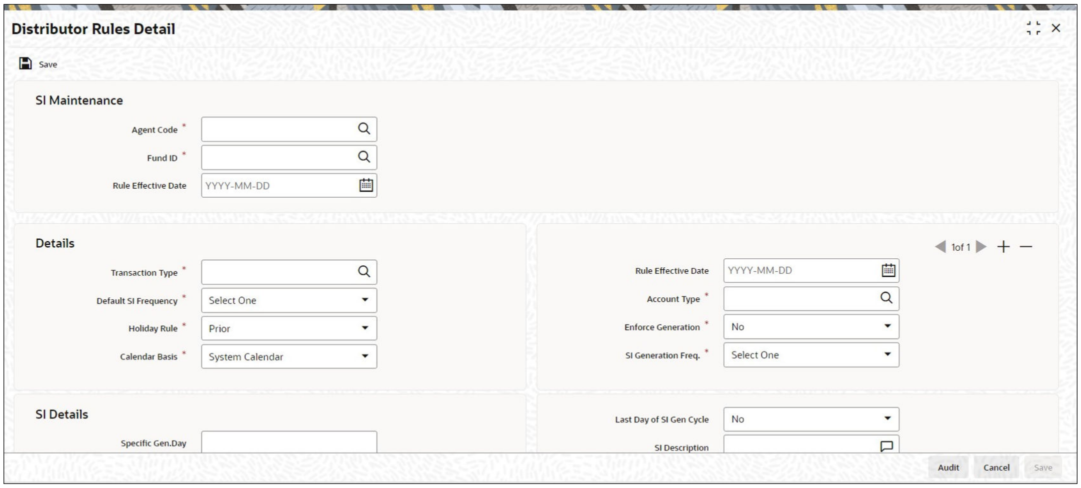
The steps to set up a distributor for an AMC as follows:

- The details that must be captured for a distributor are the same as those you capture for an AMC.
- If your installation is a distributor installation, you can view the record of the default distributor in this screen.
- You can edit the profile. However, you cannot, create a new distributor record in this screen.
- The distributor installation feature is only available if your installation has specifically requested for it.

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

   The **Distributor Rules Detail** screen is displayed.

Figure 2-30   Distributor Rules Detail



Rule Effective Date: YYYY-MM-DD
Default SI Frequency *: Select One
Holiday Rule *: Prior
Calendar Basis *: System Calendar
Rule Effective Date: YYYY-MM-DD
Enforce Generation *: No
SI Generation Freq. *: Select One
Last Day of SI Gen Cycle: No

2. On **Distributor Rules Detail** screen, click **New** to enter the details.

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

Table 2-24   Distributor Rules Detail - Field Description

Field	Description
SI Maintenance	The section displays the following fields.
Agent Code	*Alphanumeric; 12 Characters; Mandatory* Specify the agent code. Alternatively, you can select agent code from the option list. The list displays all valid agent code maintained in the system.
Fund ID	*Alphanumeric; 12 Characters; Mandatory* Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Rule Effective Date	*Date Format; Mandatory* Select rule effective date from the adjoining calendar.
Details	The section displays the following fields.
Transaction Type	*Alphanumeric; 2 Characters; Mandatory* Specify the transaction type. Alternatively, you can select transaction type from the option list. The list displays all valid transaction type maintained in the system.
Default SI Frequency	*Mandatory* Select Default SI Frequency from the drop-down list. The list displays the following values: • **Daily** • **Weekly** • **Fort Nightly** • **Monthly** • **Quarterly** • **Half-Yearly** • **Yearly**

Table 2-24 (Cont.) Distributor Rules Detail - Field Description

Field	Description
Holiday Rule	*Mandatory* Select the holiday rule from the drop-down list. The list displays the following values: • **Prior** • **After**
Calendar Basis	*Mandatory* Select the calendar basis from the drop-down list. The list displays the following values: • **System Calendar** • **Actual Calendar** • **Fund Calendar**
Rule Effective Date	*Date Format; Optional* Select rule effective date from the adjoining calendar.
Account Type	*Alphanumeric; 2 Characters; Mandatory* Specify the account type. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
Enforce Generation	*Mandatory* Select enforce generation status from the drop-down list. The list displays the following values: • **Yes** • **No**
SI Generation Freq.	*Mandatory* Select the frequency for generating the SI from the drop-down list. The list displays the following values: • **Monthly** • **Quarterly** • **Half-Yearly** • **Yearly**
SI Details	The section displays the following fields.
Specific Gen.Day	*Alphanumeric; 2 Characters; Optional* Specify the specific generation day.
SI Minimum Amount	*Numeric; 30 Characters; Optional* Specify the SI minimum amount.
SI Minimum Units	*Numeric; 27 Characters; Optional* Specify the SI minimum units.
SI Cut-Off Day	*Numeric; 2 Characters; Optional* Specify the SI cut-off day.
Max No. of SI Txns	*Numeric; 4 Characters; Optional* Specify the maximum number of SI transactions.
Last Day of SI Gen Cycle	*Optional* Select `Yes` from the list to indicate the last day of the SI generation cycle. Else, select `No`.
SI Description	*Alphanumeric; 255 Characters; Optional* Specify SI description.
SI Maximum Amount	*Numeric; 30 Characters; Optional* Specify the SI maximum amount.
SI Maximum Units	*Numeric; 27 Characters; Optional* Specify the SI maximum units.

Table 2-24 (Cont.) Distributor Rules Detail - Field Description

Field	Description
SI Cut-Off Lag	*Numeric; 1 Character; Optional* Specify the SI cut-off lag.
Max. Validity(Days)	*Numeric; 4 Characters; Optional* Specify maximum validity period in days.

2.20 Distributor Rules Summary

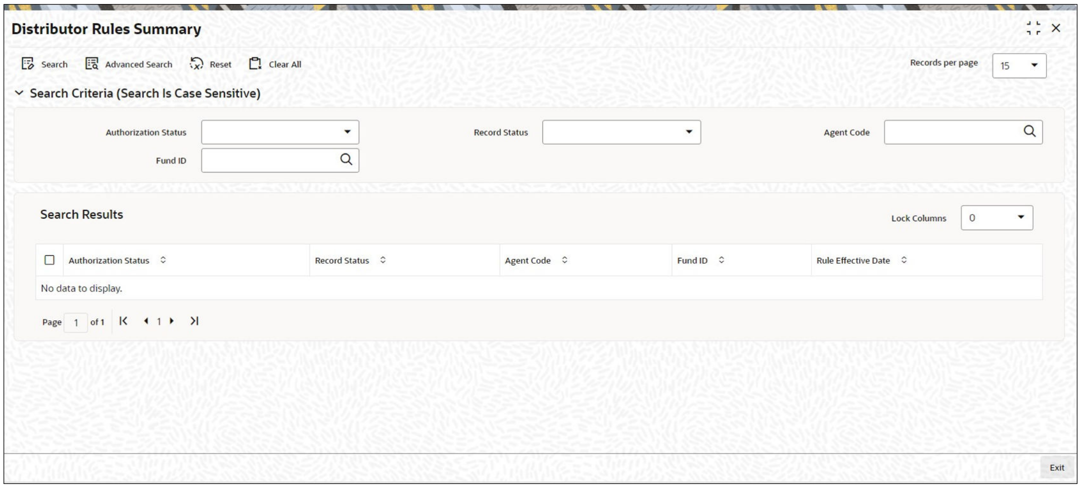
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Distributor Rules Record

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

   The **Distributor Rules Summary** screen is displayed.

Figure 2-31 Distributor Rules Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **Distributor Rules Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Agent Code**
   - **Fund ID**
3. Click **Search** button to view the records.

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

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

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

Edit Distributor Rules Record

5. Modify the details of Distributor Rules Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:
   a. Invoke the **Distributor Rules Summary** screen from the Browser.
   b. 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.
   c. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
   d. Click **Search** button.

      All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
   e. Double-click the record that you want to modify in the list of displayed records.

      The **Distributor Rules Detail** screen is displayed.
   f. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
   g. Click **Save** to save your changes.

      The **Distributor Rules Detail** screen is closed and the changes made are reflected in the **Distributor Rules Summary** screen.

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

- Authorize Amended Distributor Rules Record
  This topic provides the systematic instructions to authorize amended Distributor Rules record.

2.20.1 Edit Distributor Rules Record

This topic provides the systematic instructions to edit Distributor Rules record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Distributor Rules 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 **Distributor Rules Detail** screen is closed and the changes made are reflected in the **Distributor Rules Summary** screen.

2.20.2 View Distributor Rules Record

This topic provides the systematic instructions to view Distributor Rules record.

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

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

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

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

   The **Distributor Rules Detail** screen is displayed.

2.20.3 Delete Distributor Rules Record

This topic provides the systematic instructions to delete Distributor Rules record.

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

1. Start the **Distributor Rules Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Distributor Rules 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.

2.20.4 Authorize Distributor Rules Record

This topic provides the systematic instructions to authorize Distributor Rules record.

Authorize an unauthorized Distributor Rules Record in the system for it to be processed as follows:

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

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

   The **Distributor Rules 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.

2.20.5 Amend Distributor Rules Record

This topic provides the systematic instructions to amend Distributor Rules 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 **Distributor Rules Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.

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

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

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

   The **Distributor Rules 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.

2.20.6 Authorize Amended Distributor Rules Record

This topic provides the systematic instructions to authorize amended Distributor Rules record.

- Authorize an amended Distributor Rules Records for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

2.21 Bank Details Maintenance

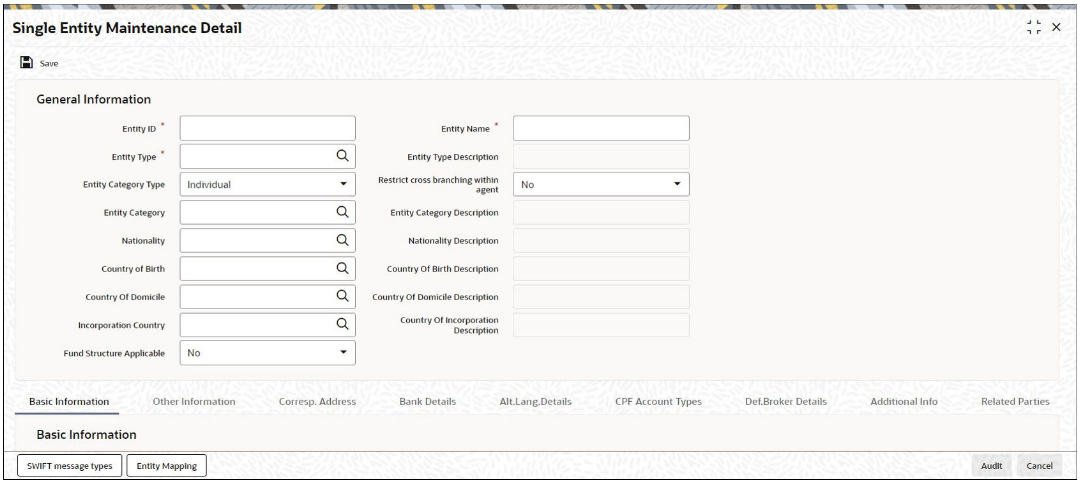
This topic explains the systematic instructions on Bank Details Maintenance.

Maintain Bank Details

1. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.

Figure 2-32 Single Entity Maintenance Detail



Entity Category Type: Individual
Restrict cross branching within agent: No
Fund Structure Applicable: No

2. Select **Bank** option from the list in the **Entity Type** field, and then proceed to enter the details for the bank.

- Bank Branch Entity Maintenance
  This topic provides the systematic instructions to Bank Branch Entity Maintenance record.
- Registrars Setup
  This topic provides the systematic instructions to Bank Registrars Setup record.

- Trustees Setup
  This topic provides the systematic instructions to Bank Trustees Setup record.
- Check Vendors Setup
  This topic provides the systematic instructions to Bank Check Vendors Setup record.
- Underwriters Setup
  This topic provides the systematic instructions to Bank Underwriters Setup record.
- Custodians Setup
  This topic provides the systematic instructions to Bank Custodians Setup record.
- Accounting and Valuation Agents Setup
  This topic provides the systematic instructions to Bank Accounting and Valuation Agents Setup record.
- Participating Employers Setup
  This topic provides the systematic instructions to Bank Participating Employers Setup record.
- Paying Agents Setup
  This topic provides the systematic instructions to Bank Paying Agents Setup record.

2.21.1 Bank Branch Entity Maintenance

This topic provides the systematic instructions to Bank Branch Entity Maintenance record.

1. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
2. Select **Bank Branch** option from the list in the **Entity Type** field in the **Common Information** section, and then proceed to enter the details for the bank branch.
3. You must specify all information such as the common information, basic information and contact details for all bank branches that you set up. You must also capture the all additional details specifically for bank branches.

2.21.2 Registrars Setup

This topic provides the systematic instructions to Bank Registrars Setup record.

1. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
2. Select **Registrar** option from the drop down list in the Entity Type field and then proceed to enter the details for the registrar.

2.21.3 Trustees Setup

This topic provides the systematic instructions to Bank Trustees Setup record.

1. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
2. Select **Trustee** option from the drop down list in the **Entity Type** field and then proceed to enter the details for the trustee.
3. You must specify all information such as the common information, basic information and contact details for all trustees that you set up. You must also capture the all additional details specifically for trustees.

2.21.4 Check Vendors Setup

This topic provides the systematic instructions to Bank Check Vendors Setup record.

1. The AMC may issue checkbooks to investors who wish to avail the check writing facility. Such checkbooks are typically printed by external agencies called check vendors.
2. You can also maintain basic records such as contact information, signatories and base currency of Check Vendors as entities in the system.
3. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
4. Select **Check Vendor** option list in the **Entity Type** field and then proceed to enter the details for the vendor.
5. You must specify all information such as the common information, basic information and contact details for all check vendors that you set up.

> **Note:**
>
> You must associate a check vendor that you create a record for, to the fund for which investors avail the check writing facility. You can indicate the association in the Fund Entity screen.

2.21.5 Underwriters Setup

This topic provides the systematic instructions to Bank Underwriters Setup record.

1. Underwriters are entities to which the AMC would pay trailing commission and ongoing management fees for underwriting any of the funds floated by the AMC.
2. You can also maintain basic records such as contact information, signatories and base currency of Underwriters as entities in the system.
3. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
4. Select **Underwriter** option from the drop down list in the **Entity Type** field in the **Common Information** section, and then proceed to enter the details for the underwriter.
5. You must specify all information such as the common information, basic information and contact details for all underwriters that you set up.

> **Note:**
>
> You must associate an underwriter that you create a record for, to the fund for which investors avail the check writing facility. You can indicate the association in the Fund Entity screen. You can also associate an underwriter with the trailing fee load due to the underwriter, in the Periodic Load Maintenance screen.

2.21.6 Custodians Setup

This topic provides the systematic instructions to Bank Custodians Setup record.

1. You can also maintain basic records such as contact information, signatories and base currency of Custodians as entities in the system.
2. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
3. Select **Custodian** option in the **Entity Type** field and then proceed to enter the details for the vendor.
4. You must specify all information such as the common information, basic information and contact details for all custodians that you set up.

2.21.7 Accounting and Valuation Agents Setup

This topic provides the systematic instructions to Bank Accounting and Valuation Agents Setup record.

1. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
2. Select **Account and Valuation Agent** option from the drop down list in the **Entity Type** field in the **Common Information** section, and then proceed to enter the details for the agent.
3. You must specify all information such as the common information, basic information and contact details for all agents that you set up. You must also capture the all additional details specifically for accounting and valuation agents.

2.21.8 Participating Employers Setup

This topic provides the systematic instructions to Bank Participating Employers Setup record.

1. You can also maintain basic records such as contact information, signatories and base currency of Participating Employers as entities in the system.
2. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
3. Select **Participating Employer** in the **Entity Type** field and then proceed to enter the details.
4. You must specify all information such as the common information, basic information, bank details and contact details for all participating employers that you set up.

2.21.9 Paying Agents Setup

This topic provides the systematic instructions to Bank Paying Agents Setup record.

1. You can also maintain basic records such as contact information, signatories and base currency of Paying Agents as entities in the system.
2. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.
3. Select **Paying Agent** option from the drop down list in the **Entity Type** field in the **Common Information** section, and then proceed to enter the details.
4. You must specify all information such as the common information, basic information, and contact details for all paying agents that you set up.

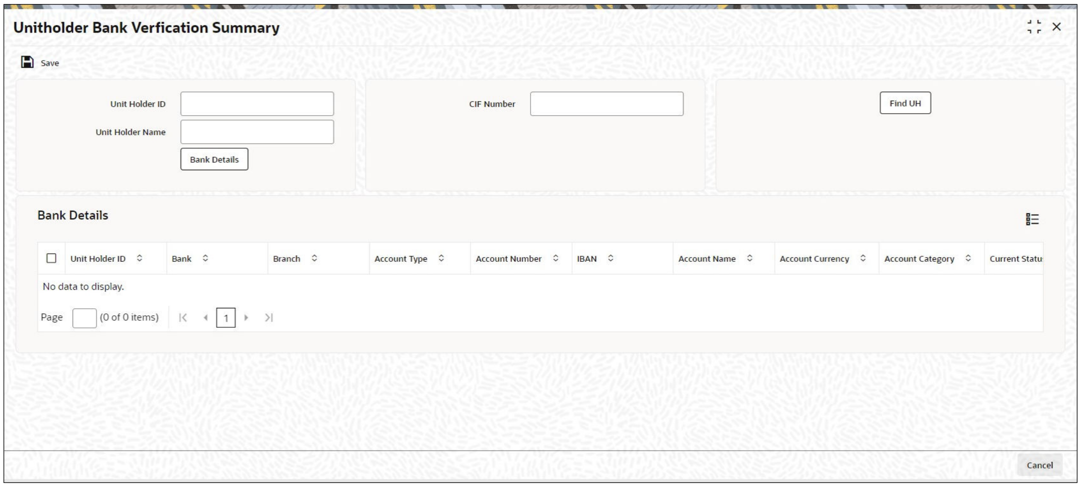
2.22 Process Unitholder Bank Verification Summary

This topic provides the systematic instructions to verify unit holder bank details.

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

   The **Unitholder Bank Verification Summary** screen is displayed.

Figure 2-33 Unitholder Bank Verification Summary



2. On **Unitholder Bank Verification Summary** screen, click **New** to enter the details.

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

Table 2-25 Unitholder Bank Verification Summary - Field Description

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the unit holder ID. You can also query for unit holder ID by clicking **Find UH** button.
Unit Holder Name	*Display* The system displays the name of the unit holder ID of the selected unit holder ID.

Table 2-25 (Cont.) Unitholder Bank Verification Summary - Field Description

Field	Description
CIF Number	*Display* The system displays the CIF number of the selected unit holder ID. Click **Bank Details** button after specifying unit holder ID. The system displays the following values: • **Unit Holder ID** • **Bank** • **Bank Branch** • **Account Type** • **Account Number** • **IBAN** • **Account Name** • **Account Currency** • **Account Category** • **Current Status**
Status	*Optional* Select the bank verification status from the drop-down list. The list displays the following values: • **Verified** • **Failed**
Process	*Optional* Select the processing status from the drop-down list. The list displays the following values: • **Yes** • **No**

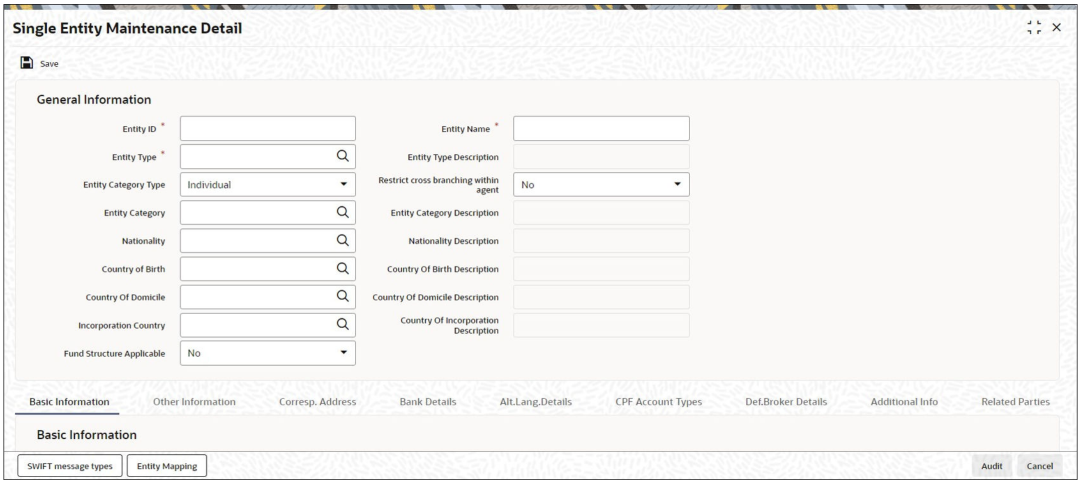
2.23 Set Up ISA Fund Managers

This topic provides instructions to set up an ISA Fund Managers in the **Single Entity Maintenance Detail** screen.

1. Maintain details such as ISA Reference Number, Minimum ISA Transfer in and Minimum ISA Transfer Out of ISA Managers as entities in the system.
2. Click **Detail** option under the **Entity** menu item in the Browser.

   The **Single Entity Maintenance Detail** screen is displayed.

Figure 2-34 Single Entity Maintenance Detail



Entity Category Type: Individual

Restrict cross branching within agent: No

Fund Structure Applicable: No

3. Select **ISA Fund Manager** option (entity 2) from the list in the **Entity Type** field in the **Common Information** section, and then proceed to enter the details.
4. You must specify all information such as the common information, basic information, and contact details for all ISA Managers that you set up.
5. During Unit holder Modify operation, if ISA unit holder resident status is changed, then the system will display the warning message as `This is an existing ISA account and will affect future investments`.
6. You can then change RPO code accordingly to disallow transactions into this account. The system will display an error message `if you try to open more accounts than the limit specified at the account type maintenance level`.

2.24 Process FCIS Withholding Tax Setup Detail

This topic provides the systematic instructions to maintain the slab details for WHT Input in the system.

Set Up Withholding Tax

You can configure the system to perform **withholding tax (WHT)** deductions out of the earnings derived from any investor or a broker. To do this, you must specify the slabs according to which the rates will be determined.

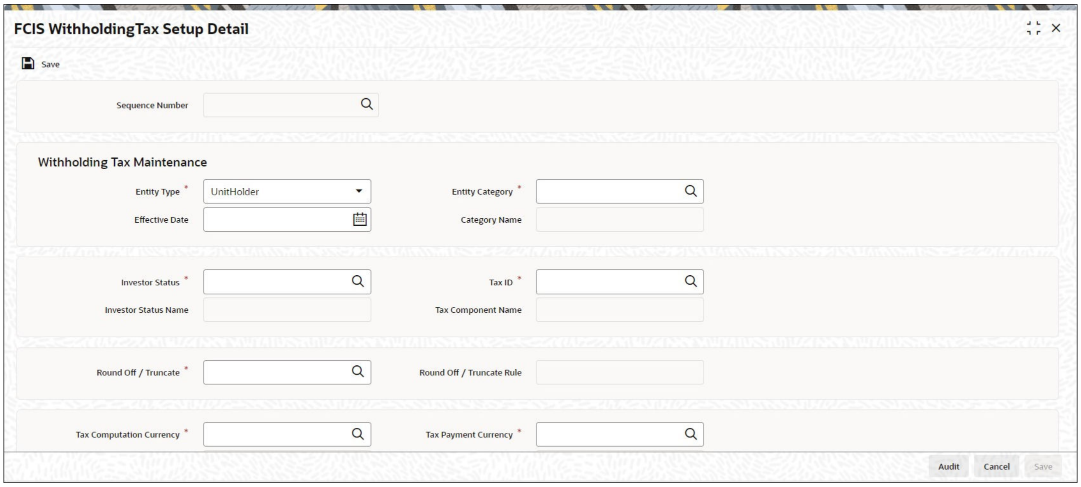
WHT is deducted from the earnings of an investor or a broker, according to the WHT slabs that you maintain in the system, before the net earnings are paid out or reinvested depending upon the Income Distributions Setup.

You can maintain such slabs for earnings from cash dividends that involve capital gains as well as income earnings.

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

   The **FCIS Withholding Tax Setup Detail** screen is displayed.

Figure 2-35 FCIS Withholding Tax Setup Detail



2. You can use **FCIS Withholding Tax Setup Detail** screen to enter the Withholding Tax component slab details that are applicable.
    - For a particular investor category
    - For a broker category
    - For a particular country and currency
    - For a specific fund and fund base currency
    - For a specific product
    - For investors of local residence as well as foreign investors
    - For earnings from cash dividends involving capital gains
    - For income earnings from cash dividends
3. You can either to choose to set up tax slabs at the fund level or at the product level. Product level WHT applies to all funds available in that product portfolio.
4. You can also give each set of slabs a separate tax component ID.
5. You can define slabs for different income ranges and give each of the slabs a sequence number. You cannot, however, set up duplicate tax slab sequences for the same investor category.
6. Before you set up the Withholding Tax details for an investor category for a country, it is desirable to ensure that the following information is already set up in the system:
    a. The countries have been maintained in the Country Maintenance and the currencies have been set up in the Currency Maintenance.
    b. The countries have been associated with currencies in the Country Currency Maintenance.
    c. The different investor and broker categories have been maintained in the System Parameters.
7. On **FCIS Withholding Tax Setup Detail** screen, click **New** to enter the details.

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

Table 2-26 FCIS Withholding Tax Setup Detail - Field Description

Field	Description
Sequence Number	*Alphanumeric 16 Characters; Optional* Specify the sequence number. Alternatively, you can select the sequence number from the option list. The list displays all valid sequence number maintained in system. **Note**: This field is enabled only in **Enter Query** option.
Withholding Tax Maintenance	The section displays the following fields.
Entity Type	*Mandatory* Indicate whether the WHT slabs are being maintained to be applicable to an Unit Holder or a broker from the list. The values in drop-down list are as follows: • **Unit Holder** • **Broker**
Entity Category	*Alphanumeric; 6 Characters; Mandatory* Specify a valid category of the unit holder you need to assign to specified entity type. The adjoining option list displays all valid entity categories maintained. You can select the appropriate one.
Category Name	*Display* The system displays unit holder’s category name, if the **Entity Type** is maintained as **Unit Holder**.
Effective Date	*Date Format; Mandatory* Specify the date the system should consider for calculating tax.
Investor Status	*Alphanumeric, 1 Character; Mandatory* You will be allowed to select the status if the **Entity Type** is **Unit Holder**. Select the status for which this tax slab is applicable. The system displays the corresponding **Investor Status Name**. This will enable the system to decide which tax slab needs to be applied depending on whether the unit holder is a foreign / resident unit holder. If the entity type is a broker, the system defaults the investor status. You will not be able to modify the status.
Investor Status Name	*Display* The system displays the description for the selected investor status name.
Tax ID	*Alphanumeric, 3 Characters; Mandatory* From the list, select the tax ID to be used for application of withholding tax according to the slabs maintained, for the entity type. The system displays the associated Tax Component Name. Each set of slabs can be given an ID that reflects the nature of the slabs. The value list for the Tax ID’s is obtained from the system parameter values maintained for the Tax ID system parameter code.
Tax Component Name	*Display* The system displays the description for the selected tax ID.
Round off/Truncate	*Alphanumeric; 1 Character; Mandatory* Indicate whether the decimal portion of the amount should be rounded off or truncated.

Table 2-26 (Cont.) FCIS Withholding Tax Setup Detail - Field Description

Field	Description
Round Off/ Truncate Rule	*Display* The system displays the rule used to round off or truncate the decimal portion of the amount based on the round off or truncate selected.
Tax Computation Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the currency in which the tax must be computed for the selected tax ID. By default, it is reckoned to be the currency of the selected country. You will be allowed to specify the currency only for Unit Holders.
Tax Computation Currency Name	*Display* The system displays the description for the selected tax computation currency code.
Tax Payment Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the currency in which the tax must be paid for the selected tax ID. By default, it is reckoned to be the fund base currency. You will be allowed to specify the currency only for Unit Holders.
Tax Payment Currency Name	*Display* The system displays specified tax payment currency name based on the details maintained at **Currency Maintenance** level.
Product ID	*Alphanumeric; 10 Characters; Optional* Select the product for which you are setting up the tax slabs. The option list contains all valid products maintained in the system. With-Holding Tax will be applicable to all funds mapped to the product. GL entries will be populated with the respective product Id and policy number along with the dividend payment details and tax details.
Product Name	*Display* The system displays the name of the product for the selected product ID.
Dividend Component ID	*Alphanumeric; 25 Characters; Mandatory* Specify whether the tax slab details being maintained apply to capital gains earnings from cash dividends or income earnings from cash dividends, for the fund. The system defaults the Dividend Component ID and Description for brokers. You will not be able to modify the ID.
Component Description	*Display* The system displays the description for the selected dividend component ID.
Fund ID	*Alphanumeric; 6 Characters; Optional* Select the fund for which you are setting up the tax slabs. The base currency of the fund is displayed in the Fund Base Currency Code field.
Fund Base Currency	*Display* The system displays the fund base currency name for the selected fund ID.
ISIN Code	*Display* The system displays the ISIN code for the selected fund ID. This is applicable only for Unit Holder type of entity. If you specify the **ISIN Code** of a fund, the ID of the fund is displayed in the Fund ID field.

Table 2-26 (Cont.) FCIS Withholding Tax Setup Detail - Field Description

Field	Description
Allow Override	*Optional* Select if you need to override the taxation applicability for UT /LEP or not from the adjoining list. Following are the options available: • **Yes** • **No**
Country Details	The section displays the following fields.
Country Code	*Alphanumeric; 3 Characters; Mandatory* Specify the country code. Alternatively, you can select the country code from the option list. The list displays all valid country code maintained in the system. This is the country for which the tax slabs that are being set up must be applicable. All tax deductions and computations will be done in this currency.
Country Name	*Display* The system displays the country name for the selected country code.
Currency Code	*Display* The system displays the currency code for the selected country code.
Currency Name	*Display* The system displays the currency code for the selected country code.
Tax Details section	The section displays the following fields.
Slab Sequence No	*Numeric; 22 Characters; Optional* Enter the slab number for this investor category tax definition.
Income From	*Numeric; 30 Characters; Mandatory* Specify the minimum income for which this tax slab definition is applicable, for the specified investor category. This slab will apply to incomes that range between the values you specify in this field and the Income To field for the specified investor category.
Income To	*Numeric; 30 Characters; Mandatory* Specify the maximum income for which this tax slab definition is applicable, for the specified investor category. This slab will apply to incomes that range between the values you specify in this field and the Income From field, for the specified investor category.
Tax Percent	*Numeric; 5 Characters; Mandatory* Enter the Tax Percent that is applicable to the given Investor category in the specified slab. This percentage may be equal to or below one hundred percent, but not greater.
No of Decimals for Tax	*Numeric; 1 Character; Mandatory* Indicate the rounding precision or the number of decimals to be applied on the withholding tax amount pertaining to the slab. The decimal portion of the amount will be rounded off or truncated to the number of decimal places you specify here.

- Computation of Withholding Tax
  This topic provides the systematic instructions to Computation of Withholding Tax record.

2.24.1 Computation of Withholding Tax

This topic provides the systematic instructions to Computation of Withholding Tax record.

1. Withholding tax is computed for funds for cash dividend corporate action types only. This is applicable for normal UT investments.

2. Dividend tax can be computed based on the source product and With-Holding Tax maintained for the product.
3. For stock dividends, the TDS Basis maintained in Corporate Actions profile is **Tax-exempt**, and the tax is not computed.
4. For each tax component, the computation currency and payment currency may be specified as two different currencies, so as to enable payment to be made in the desired currency. By default, when you set up a withholding tax record for a fund, investor category and country combination, the computation currency is deemed to be the currency of the country and the payment currency is deemed to be the fund base currency.

2.25 FCIS Withholding Tax Setup Summary

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

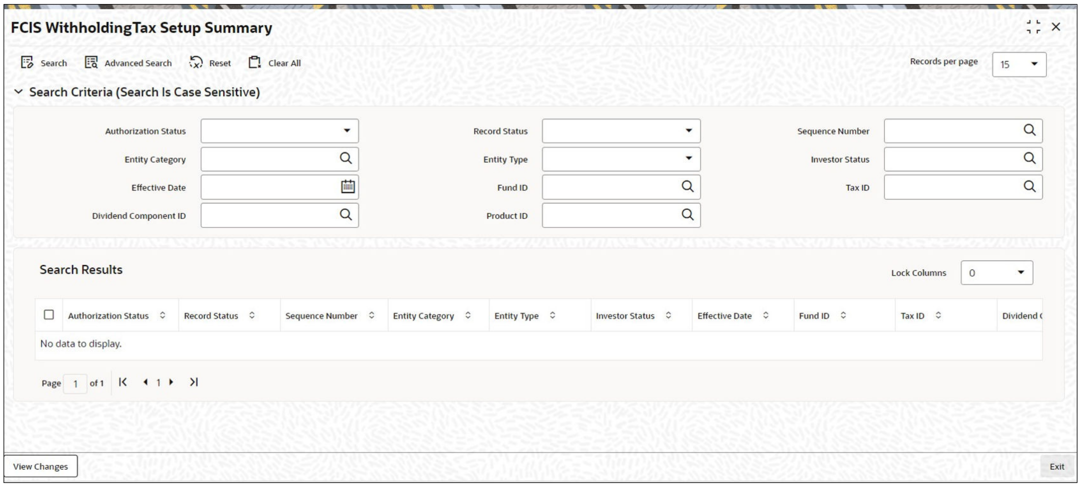
- After you have set up the WHT details, you must have another user authorize them so that they would be effective in the system.
- Before the WHT details are authorized, you can edit them as many times as necessary. You can also delete a WHT record before it is authorized.
- After authorization, you can only make changes to WHT details through an amendment.
- The With-Holding Tax Find screen can be used for the following operations on WHT details:
  - Retrieval for viewing
  - Editing unauthorized details
  - Disabling unauthorized details if necessary. This is possible during editing or amendment.
  - Authorizing details
  - Amending authorized details

Retrieve Withholding Tax Setup Record

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

   The **FCIS Withholding Tax Setup Summary** screen is displayed.

Figure 2-36 FCIS Withholding Tax Setup Summary



2. On **FCIS Withholding Tax 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**
   - **Sequence Number**
   - **Entity Category**
   - **Entity Type**
   - **Investor Status**
   - **Effective Date**
   - **Fund ID**
   - **Tax ID**
   - **Dividend Component ID**
   - **Product ID**
3. Click **Search** button to view the records.

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

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

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

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

- Copy Attributes
  This topic provides the systematic instructions to copy attributes of Withholding Tax Setup.

2.25.1 Edit Withholding Tax Setup Record

This topic provides the systematic instructions to edit Withholding Tax Setup record.

Modify the details of Withholding Tax 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 Withholding Tax 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Withholding Tax 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 **FCIS Withholding Tax Setup Detail** screen is closed and the changes made are reflected in the **FCIS Withholding Tax Setup Summary** screen.

2.25.2 View Withholding Tax Setup Record

This topic provides the systematic instructions to view Withholding Tax Setup record.

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

1. Start the **FCIS Withholding Tax 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Withholding Tax Setup Detail** screen is displayed.

2.25.3 Delete Withholding Tax Setup Record

This topic provides the systematic instructions to delete Withholding Tax Setup record.

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

1. Start the **FCIS Withholding Tax 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 lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Withholding Tax 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.

2.25.4 Authorize Withholding Tax Setup Record

This topic provides the systematic instructions to authorize Withholding Tax Setup record.

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

1. Start the **FCIS Withholding Tax 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 lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **FCIS Withholding Tax 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.

2.25.5 Amend Withholding Tax Setup Record

This topic provides the systematic instructions to amend Withholding Tax 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 **FCIS Withholding Tax 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 lower portion of the screen.

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

   The **FCIS Withholding Tax 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.

2.25.6 Authorize Amended Withholding Tax Setup Record

This topic provides the systematic instructions to authorize amended Withholding Tax Setup record.

- Authorize an amended Withholding Tax Setup Records for the amendment to be made effective in the system.

2.25.7 Copy Attributes

This topic provides the systematic instructions to copy attributes of Withholding Tax Setup.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new **Withholding Tax Setup Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Withholding Tax 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 **Withholding Tax Setup Record**. You can, however, change the details of the new record.

2.26 Process UH Dividend Component Override Detail

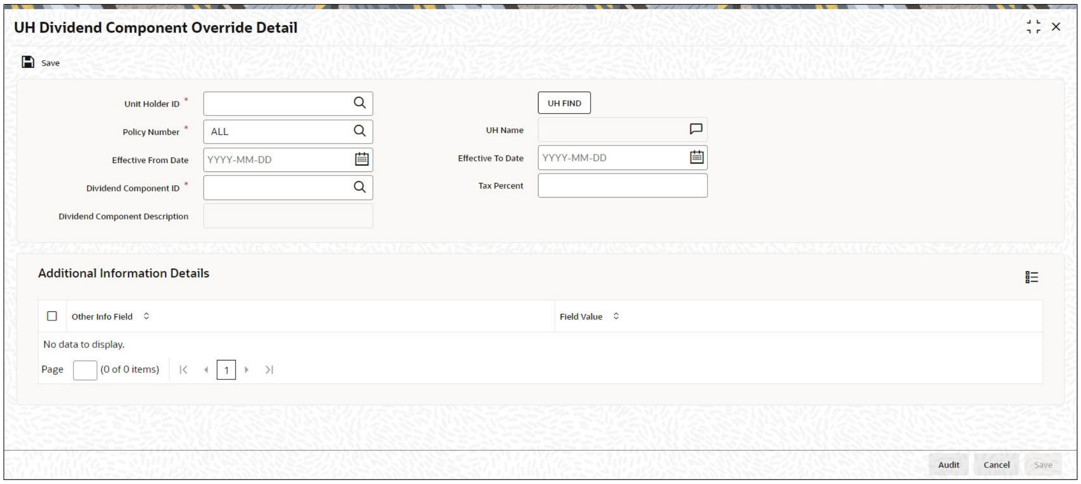
This topic provides the systematic instructions to override the tax rate for an UH dividend component combination.

You can override the tax rate for an UH-component combination. You can also mention the policy number for which the new tax rate has to be applicable using **UH Dividend Component Override Detail** screen.

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

   The **UH Dividend Component Override Detail** screen is displayed.

Figure 2-37 UH Dividend Component Override Detail



Policy Number: ALL

Effective From Date: YYYY-MM-DD

Effective To Date: YYYY-MM-DD

No data to display.

(0 of 0 items)

2. On **UH Dividend Component Override Detail** screen, click **New** to enter the details.

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

Table 2-27 UH Dividend Component Override Detail - Field Description

Field	Description
Unit Holder ID	*Alphanumeric; 12 Characters; Optional* Specify the unit holder for which the new tax rate has to be defined. You can also query unit holder ID by clicking **UH FIND** button.
Unit Holder Name	*Display* The system displays the unit holder name for the selected unit holder ID.
Policy Number	*Alphanumeric; 16 Characters; Mandatory* Specify the policy number for which the new tax rates to be applied. By default ALL will be selected. • If the policy number field value is maintained as `ALL` (system default value), then the new tax defined for a Unit holder and component combination with the new dates and rates will be applicable across LEP and UT. • If the default value in the policy field is maintained as `UT`, then the override maintained will be applicable for the UH and component only (applicable for UT alone). • If you specify the policy number then the new tax defined for a Unit holder and component combination with the new dates and rates will be applicable for the specified policy number alone and will not be applicable for any other fund where the component ID is mapped for a dividend process
Effective From Date	*Date Format; Mandatory* Specify effective from date for the tax rate to be applicable.
Effective To Date	*Date Format; Mandatory* Specify effective to date for the tax rate to be applicable.
Dividend Component ID	*Alphanumeric; 2 Characters; Mandatory* Specify dividend component ID for which the new tax rate has to be defined.

Table 2-27   (Cont.) UH Dividend Component Override Detail - Field Description

Field	Description
Dividend Component Description	*Display* The system displays the description for the selected dividend component ID.
Tax Percent	*Numeric; 5 Characters; Mandatory* Specify the tax percent for the slab being defined. The system will check if there is new tax rate for the UH-component combination and withhold the tax as per the new effective date and rate maintained. **Note**: The new tax defined for a Unit holder and component combination with the new dates and rates will be applicable across UT and LEP wherever the component is mapped for the UH.
Additional Information Details	The section displays the following fields.
Other Info Field	*Display* The system displays the other information.
Field Value	*Display* The system displays the field value. The system will allow 30 add info details along with other operations. For instance, at the **Entity Additional Information Mapping (UTDENMAP)** the entity type will be `5` and description will be **Override WHT**.

Processing UH Dividend Component Override

3. The system will check if there is new tax rate for the UH-component combination and withhold the tax as per the new effective date and rate maintained. This maintenance is applicable only during WHT processing.

   The new tax defined for a Unit holder and component combination with the new dates and rates will be applicable across UT and LEP wherever the component is mapped for the UH.

4. If the policy number field value is maintained as `ALL` (system default value), then the new tax defined for a Unit holder and component combination with the new dates and rates will be applicable across LEP and UT.
5. If the default value in the policy field is maintained as `UT`, then the override maintained will be applicable for the UH and component only (applicable for UT alone).
6. If you specify the policy number, then the new tax defined for a Unit holder and component combination with the new dates and rates will be applicable for the specified policy number alone and will not be applicable for any other fund where the component ID is mapped for a dividend process.
7. This maintenance will have **additional information** tab where the user can maintain the required additional defined values.
8. The system will not allow you to maintain a duplicate record for UH-Component and date combination. If new tax rate to be maintained (override the existing override tax rate), then you should amend the record and maintain new tax rate.
9. If any change to the Tax rate, the maintenance has to be closed and a new maintenance with new tax rate and date should to be maintained.

2.27 UH Dividend Component Override Summary

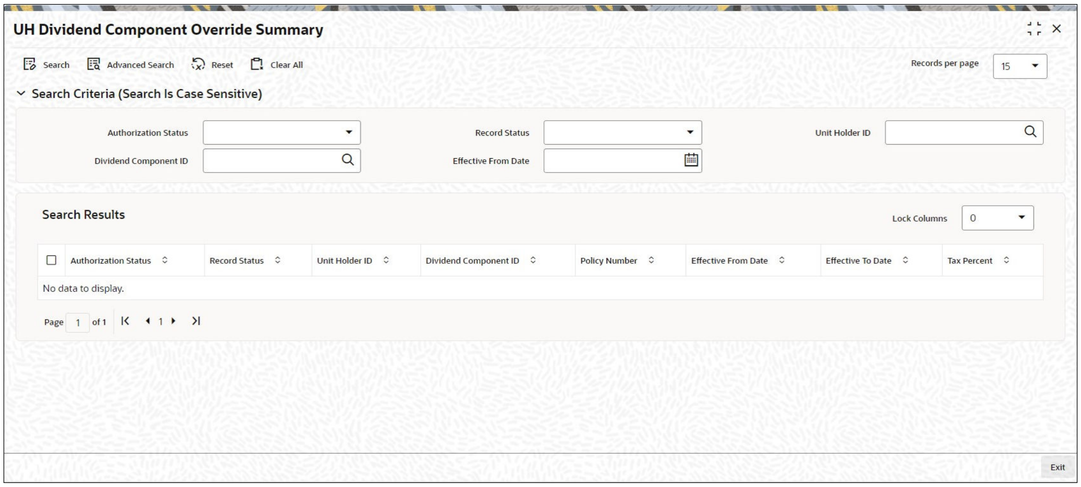
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve UH Dividend Component

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

   The **UH Dividend Component Override Summary** screen is displayed.

Figure 2-38 UH Dividend Component Override Summary



2. On **UH Dividend Component Override Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Unit Holder ID**
   - **Dividend Component ID**
   - **Effective From Date**
3. Click **Search** button to view the records.

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

- Edit UH Dividend Component
  This topic provides the systematic instructions to edit UH Dividend Component record.
- View UH Dividend Component
  This topic provides the systematic instructions to view UH Dividend Component record.
- Delete UH Dividend Component
  This topic provides the systematic instructions to delete UH Dividend Component record.
- Authorize UH Dividend Component
  This topic provides the systematic instructions to authorize UH Dividend Component record.

- Amend UH Dividend Component
  This topic provides the systematic instructions to amend UH Dividend Component record.
- Authorize Amended UH Dividend Component
  This topic provides the systematic instructions to authorize amended UH Dividend Component record.

2.27.1 Edit UH Dividend Component

This topic provides the systematic instructions to edit UH Dividend Component record.

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

1. Start the **UH Dividend Component Override Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **UH Dividend Component Override Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **UH Dividend Component Override Detail** screen is closed and the changes made are reflected in the **UH Dividend Component Override Summary** screen.

2.27.2 View UH Dividend Component

This topic provides the systematic instructions to view UH Dividend Component record.

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

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

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

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

The **UH Dividend Component Override Detail** screen is displayed.

2.27.3 Delete UH Dividend Component

This topic provides the systematic instructions to delete UH Dividend Component record.

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

1. Start the **UH Dividend Component Override Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **UH Dividend Component Override Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

2.27.4 Authorize UH Dividend Component

This topic provides the systematic instructions to authorize UH Dividend Component record.

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

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

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

   The **UH Dividend Component Override Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

2.27.5 Amend UH Dividend Component

This topic provides the systematic instructions to amend UH Dividend Component 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 Dividend Component Override Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

2.27.6 Authorize Amended UH Dividend Component

This topic provides the systematic instructions to authorize amended UH Dividend Component record.

- Authorize an amended UH Dividend Component for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

2.28 Process Holiday Maintenance Detail

This topic provides the systematic instructions to define the weekly holidays and yearly holidays in the holiday calendar for each year.

Different AMCs’ could have different holiday calendars. Further, for funds floated by a single AMC across different locations, the holiday calendar for specific funds could be different from the AMC holiday calendar.

You may, therefore, need to designate holiday calendars separately for the following entities:

- System
- AMC
- Fund
- Currencies

In the system, you designate holidays for any of the above, in the Holiday Maintenance screen. You must first designate the System Calendar, before you designate the other calendars.

The system calendar, once designated, is taken to be the default AMC and fund calendar. You can make appropriate changes, if necessary, for each.

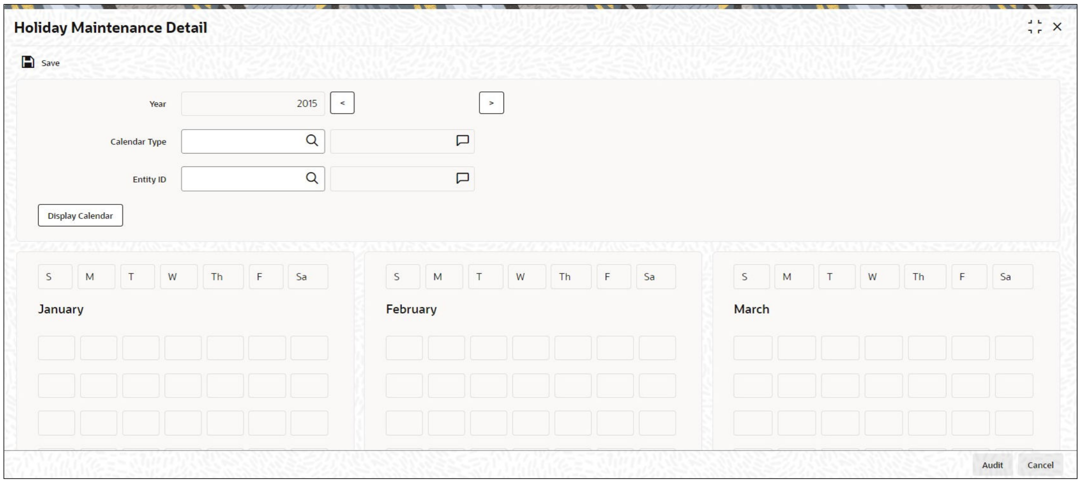
You can use the **Holiday Maintenance Detail** Screen to:

- View the system holiday calendar for the year
- Designate the system holiday calendar for future years
- Designate a holiday calendar for either an AMC, or a fund, or a currency, or for all, for the year
- Add to the holiday list in the AMC, fund and / or currency calendar
- Make a previously designated holiday a working day in any or all of the calendars

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

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

Figure 2-39 Holiday Maintenance Detail



Year 2015

2. On **Holiday Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-28 Holiday Maintenance Detail - Field Description

Field	Description
Year	*Numeric; 4 Characters; Mandatory* The system displays the year. However, you can change the calendar year after specifying the calendar type and entity ID.
Calendar Type	*Alphanumeric; 1 Character; Mandatory* Specify the calendar type. The system displays the description in the adjoining field.
Entity ID	*Alphanumeric; 12 Character; Mandatory* Specify the entity ID. The system displays the description in the adjoining field.

3. On opening this screen, by default the system holiday calendar for the current year, which was set up at the time of installation, with the designated holiday dates checked off against their respective boxes in each month. You can use the Previous and Next links to navigate between years.

4. Select the day in the calendar and check the box alongside the date to add it to the list of Holidays. Select the day from the list of holidays and uncheck the box alongside it to remove it from the list of Holidays.

5. Click **OK** button to save your changes.

   The changes must be authorized by another user to be effective in the system.

6. Specify **AMC** to maintain an AMC holiday calendar in the **Calendar Type** field, and select the AMC for which the calendar is being maintained, in the **AMC** field. Similarly, to maintain a fund holiday calendar, specify **Fund** in the **Calendar Type** field, and select the fund for which the calendar is being maintained, in the **Fund ID** field, and the **ISIN Code** for the fund in the **Fund ISIN** field.

7. Select `Currency` option to maintain a currency holiday calendar in the Calendar Type field, and select the currency for which the calendar is being maintained in the **Currency Code** field.

Guidelines for Holiday Calendars

8. The main system calendar must be maintained as mandatory reference information, before the AMC and fund calendars can be maintained.
9. A separate AMC calendar can only be maintained if the system calendar has already been maintained, and a separate fund calendar can only be maintained if both the AMC and system calendars have already been maintained.
10. The system calendar, once maintained, is replicated to be the AMC calendar as well as the fund calendar for all funds of the AMC. If separate calendars are required for the AMC and for a specific fund, these can be maintained after the system calendar is maintained. Therefore, maintaining the AMC and fund calendars is optional.
11. If separate calendars are maintained, a day can be designated a working day in the AMC calendar only if it is also a working day in the system calendar. A day can be designated a working day in the fund calendar only if it is also a working day in both the AMC as well as system calendars.
12. If a working date in the system calendar is set as a holiday, it takes effect after authorization of the record.
13. When a fund calendar is maintained, the rule effective date of the fund cannot be designated as a holiday. Similarly, when the AMC calendar is maintained, the rule effective date of any of the funds of the AMC cannot be designated as a holiday.
14. If a working day in the system calendar is subsequently designated a system holiday, it must be a holiday in the AMC and fund calendars too, if they have been maintained.
15. The weekend options maintained at the time of installation (i.e., for the system) are reckoned by default to be the weekend options for the AMC calendar; however, you can alter these options when you set up the AMC calendar. Similarly, the AMC calendar weekend options are taken as default options for the fund calendar, and you can alter them when you set up the fund calendar.

    The current system date cannot be set as a holiday.

Effect of Defining Holiday Calendars

16. The effect for all maintenance or transaction input operation is explained in below table.

Table 2-29 Effect of Defining Holiday Calendars - Field Description

Field	Description
Fund Rules	The section displays the following fields.
Fund Demographics	The **Start Date** and **Rule Effective Dates** for a fund must be working days for the AMC or in the system calendar.
General Operating Rules	**The Next Price Date** and **Maturity Date** must be a working day in the system calendar and AMC calendar (if maintained) and the fund calendar (if maintained). For limit order processing, the `prior` or `after` rule may be specified.
Corporate Actions	The **First Dividend Declare Date** must be a working day in the system calendar and AMC calendar (if maintained) and the fund calendar (if maintained).

Table 2-29 (Cont.) Effect of Defining Holiday Calendars - Field Description

Field	Description
Amendment of Fund Rules	The new (amended) **Rule Effective Date** for the fund must be a working day in the system calendar and AMC calendar (if maintained) and the fund calendar (if maintained).
Fund Price	The prices for a fund cannot be entered into the system for a holiday in the system calendar or AMC calendar (if maintained) and the fund calendar (if maintained). If fund prices are being uploaded through bulk upload process, the fund calendar is used to arrive at the Next Price Date.
Fund Dividend Maintenance	Dividend maintenance for the fund can be done only on working days in the system calendar, AMC calendar (if maintained) and the fund calendar (if maintained). Also, the **Freeze Holdings Date** and **Ex-Dividend NAV Date** must also be working days for the system, AMC (if maintained) and the fund (if maintained).
Specifying transaction sign off on a working day	On a working day for the fund, you can signal the end of transaction input on an ad-hoc basis, if necessary. The transaction date of any transaction that is entered after the sign off status has been marked for the day, will be defaulted to the next working day according to the fund calendar (if maintained) or AMC calendar (if maintained) or the system calendar.

2.29 Holiday Maintenance Summary

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

After you have set up the list of designated system holidays in the Holiday Maintenance Detail screen, you must have another user authorize the list.

Before the holiday list is authorized, you can edit it as many times as necessary. You can also delete a holiday list before it is authorized.

After authorization, you can make changes to the holiday list through an amendment.

The **Holiday Maintenance Summary** screen can be used for the following operations on holiday lists:

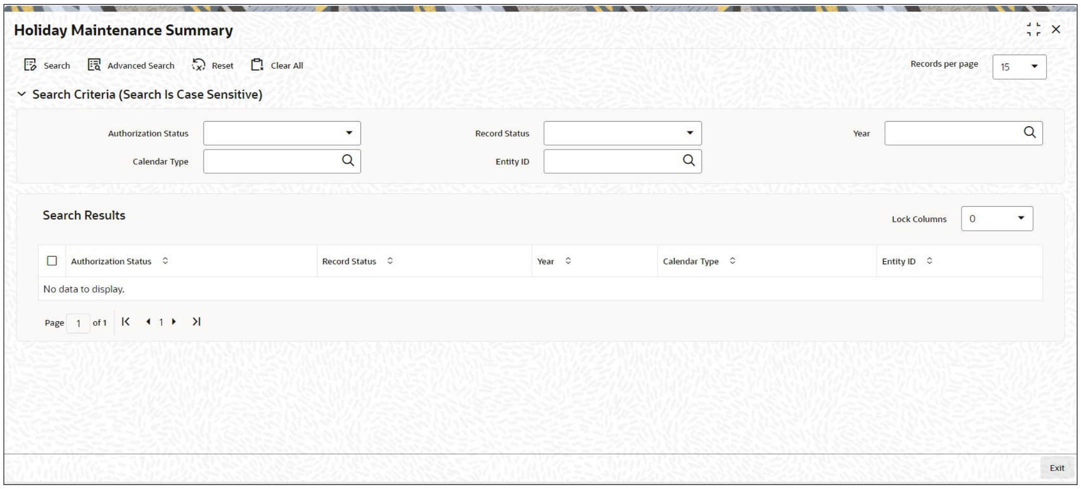
- Retrieval for viewing
- Editing an unauthorized list
- Deleting an unauthorized list
- Authorizing a list
- Amending an authorized list

Retrieve Holiday Maintenance Record

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

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

Figure 2-40 Holiday Maintenance Summary



2. On **Holiday 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**
   - **Year**
   - **Calendar Type**
   - **Entity ID**
3. Click **Search** button to view the records.

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

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input 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 percentage and alphanumeric value.

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

   - Search by D%:- System will fetch all the records whose Entity ID starts from Alphabet ‘M’. For example, Direct.
   - Search by %7:- System will fetch all the records whose Entity ID Type ends by numeric value’ 7’. For example, AGENT7.

  - Search by %17%:- System will fetch all the records whose Entity ID contains the numeric value 17. For example, AGEN17.

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

2.29.1 Edit Holiday Maintenance Record

This topic provides the systematic instructions to edit Holiday Maintenance record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.29.2 View Holiday Maintenance Record

This topic provides the systematic instructions to view Holiday Maintenance record.

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

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

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

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

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

2.29.3 Delete Holiday Maintenance Record

This topic provides the systematic instructions to delete Holiday Maintenance record.

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

1. Start the **Holiday Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Holiday 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.

2.29.4 Authorize Holiday Maintenance Record

This topic provides the systematic instructions to authorize Holiday Maintenance record.

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

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

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

   The **Holiday 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.

2.29.5 Amend Holiday Maintenance Record

This topic provides the systematic instructions to amend Holiday 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 **Holiday Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Holiday 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.

2.29.6 Authorize Amended Holiday Maintenance Record

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

- Authorize an amended holiday 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.

2.30 Process Emergency Holiday Maintenance Detail

This topic provides the systematic instructions to maintain current business day as emergency holiday.

A typhoon is a mature tropical cyclone that develops in the western part of the North Pacific Ocean. It comes as a warning in typically mid day and depending on the severity, a holiday can be declared on the same day thereby necessitating the need to postpone the operations/ processing activities to next business day.
A normal business day declared as a non-business day or Typhoon day when there is a typhoon incident happened on that day. In view of this, there is a requirement on the contingency procedures on the external system to handle the Typhoon day activities.

The system should treat all transactions fall under that typhoon date as non-business date and automatically move the unprocessed activities to next business date.

All un-allotted transactions fall under such emergency holiday will be treated as non-business date transactions and automatically move the transaction attributes to next business date.

On emergency holiday, you can move the transaction date, price date, settlement date and other attributes of un-allotted transactions to next applicable day.

Also system will complete other pending activities and move the calendar to be followed for each date fields in the new date derivation as follows:

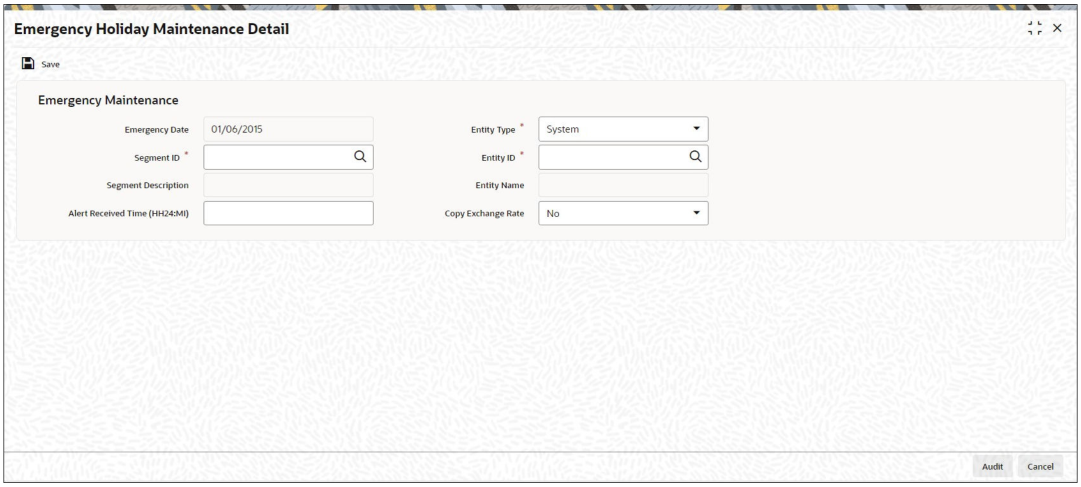
Table 2-30   Date Type and Calendar

Date Type	Calendar to be considered
Transaction Date	Fund
Price Date	Fund/ Maintenance at Specific Fund Price
Dealing Date	Fund
FX Deal Date	Currency
FX Value Date	Currency
Settlement Due Date	Currency
Payment Date	System

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

   The **Emergency Holiday Maintenance Detail** screen is displayed.

   Figure 2-41   Emergency Holiday Maintenance Detail

   Emergency Date 01/06/2015
   Entity Type * System
   Copy Exchange Rate No

2. On **Emergency Holiday Maintenance Detail** screen, click **New** to enter the details.

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

   Table 2-31   Emergency Holiday Maintenance Detail - Field Description

Field	Description
Emergency Maintenance	The section displays the following fields.
Emergency Date	*Display* The system defaults the system date.

Table 2-31 (Cont.) Emergency Holiday Maintenance Detail - Field Description

Field	Description
Entity Type	*Mandatory* Select the level of emergency holiday declaration from the drop-down list. The list displays the following values: • **System** - If you select **Entity Type** as **System**, then the **Entity ID** always will be **System**. • **Fund** - If you select **Entity Type** as **Fund**, then the **Entity ID** will fetch the Funds that need to be marked as emergency holiday. The system will refine funds for the LOV **Entity ID** based on the segment selected by the user. • **AMC** - If you select **Entity Type** as **AMC**, then the **Entity ID** will fetch the AMC list that need to be marked as emergency holiday. All the funds linked to that AMC will be considered as emergency holiday maintained on that day. • **Fund Country** - If you select **Entity Type** as **Fund Country**, then the **Entity ID** will fetch the country list that need to be marked as emergency holiday. This will declare emergency holiday for all the funds which are mapped to the mentioned country. • **Currency** - If you select **Entity Type** as **Currency**, then the **Entity ID** will fetch the available currency list that need to be marked as emergency holiday on that day. **Note**: • For the field **Entity Type** as **Fund**, the **Entity ID** is enriched with the value `ALL`. When emergency holiday is maintained for a segment with **Entity Type** as **Fund** and **Entity ID** as `ALL`, then all the funds linked to that segment will be considered as emergency holiday for the current business day. • In case of continuous typhoon holiday, user should declare holiday for the segment by selecting **Entity Type** as **Fund** and **Entity ID** as `ALL`. • When emergency holiday is maintained for a segment with **Entity Type** as **Fund** and **Entity ID** as specific **Fund ID**, then only that fund for that selected segment will be considered as emergency holiday for the current business day.
Segment ID	*Alphanumeric; 12 Characters; Mandatory* Specify the **Segment ID**. Alternatively, you can select the **Segment ID** from the option list. The list displays all valid **Segment ID** maintained in the system. **Note:** In GTAP environment, **Segment ID** will list only **FMG**.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the **Entity ID** corresponding to the **Entity Type** selected. Alternatively, you can select entity ID from the option list. The list displays **Entity ID** corresponding to the entity type selected.
Segment Description	*Display* The system displays the description of the selected **Segment ID**.
Entity Name	*Display* The system displays the description of the selected **Entity ID**.

Table 2-31 (Cont.) Emergency Holiday Maintenance Detail - Field Description

Field	Description
Alert Received Time(HH24:MI)	*Time Format; Optional* Specify the time when the alert is received. You need to maintain the time in HH24:MI format.
Copy Exchange Rate	*Optional* Select if the exchange rate should be copied or not from the drop-down list. The list displays the following values: • **Yes** • **No** If you select `Yes`, and if exchange rate is not maintained for any of the currency pair, the system will copy the latest exchange rate maintained to current date. **Note**: In case of continuous emergency holiday, you need to maintain current day as emergency holiday. If subsequent dates are also declared as emergency holiday, then the system declares those days as system holiday using Holiday Maintenance.

2.31 Emergency Holiday Maintenance Summary

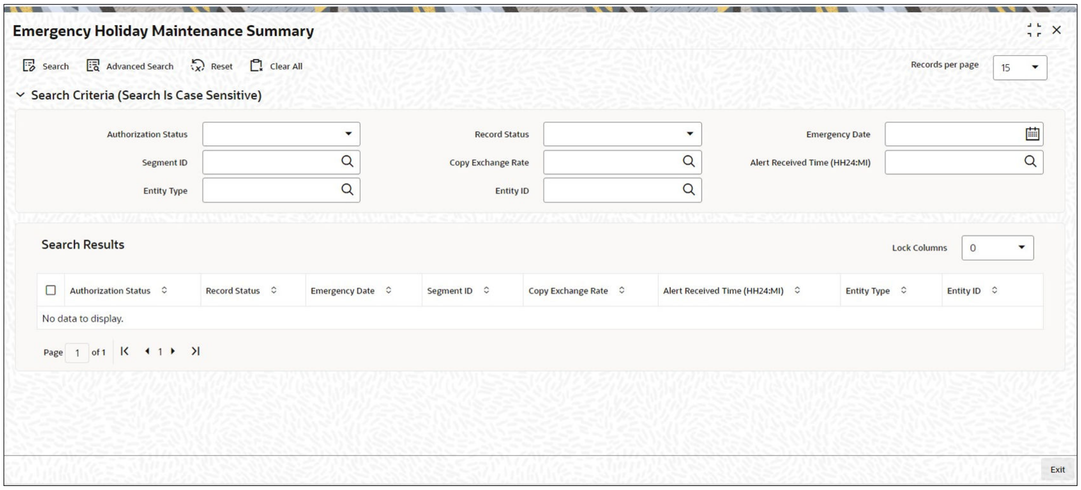
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Emergency Holiday Record

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

   The **Emergency Holiday Maintenance Summary** screen is displayed.

Figure 2-42 Emergency Holiday Maintenance Summary



2. On **Emergency Holiday 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**

- **Emergency Date**
- **Segment ID**
- **Copy Exchange Rate**
- **Alert Received Time**
- **Entity Type**
- **Entity ID**

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

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

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input 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 percentage and alphanumeric value.

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

- Edit Emergency Holiday Record
  This topic provides the systematic instructions to edit Emergency Holiday record.
- View Emergency Holiday Record
  This topic provides the systematic instructions to view Emergency Holiday record.
- Delete Emergency Holiday Record
  This topic provides the systematic instructions to delete Emergency Holiday record.
- Authorize Emergency Holiday Record
  This topic provides the systematic instructions to authorize Emergency Holiday record.

2.31.1 Edit Emergency Holiday Record

This topic provides the systematic instructions to edit Emergency Holiday record.

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

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

You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.31.2 View Emergency Holiday Record

This topic provides the systematic instructions to view Emergency Holiday record.

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

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

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

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

   The **Emergency Holiday Maintenance Detail** screen is displayed.

2.31.3 Delete Emergency Holiday Record

This topic provides the systematic instructions to delete Emergency Holiday record.

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

1. Start the **Emergency Holiday Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

The **Emergency Holiday 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.

2.31.4 Authorize Emergency Holiday Record

This topic provides the systematic instructions to authorize Emergency Holiday record.

Authorize an unauthorized Emergency Holiday Record in the system for it to be processed as follows:

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

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

   The **Emergency Holiday 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. After authorization of emergency holiday maintenance, transactions captured in the system will be moved to next business date.

2.32 Perform Emergency Holiday Transaction Processing

This topic provides the systematic instructions to process emergency holiday transactions.

Processing Emergency Holiday Transaction

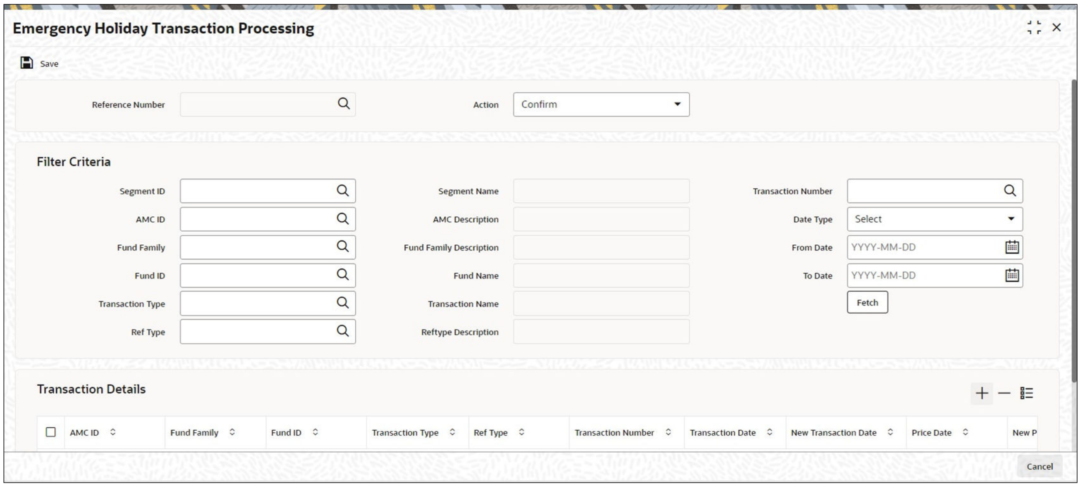
- If there are any changes in price date, dealing date or settlement date of previously captured transactions due to emergency holiday those transactions will be logged by the system during Mini EOD. You need to review and confirm all transactions to proceed with EOD. The transactions logged during mini EOD process will be populated based on the criteria.
- If any of the listed transaction to be excluded, you can manually remove the same before saving. Based on the action selected, system will either confirm the date changes or ignore these transactions. On save, the system will generate a reference number for this batch update.
- You should review all the applicable transactions to proceed with emergency day EOD. The system will perform mandatory pre-EOD check to show the transactions which are not reviewed for date change.
- You can use **Emergency Day Transaction Processing** to review or modify transactions having price date, settlement date, and dealing Date as current date or future date. For unallotted transactions, the system will update transaction date, price date, settlement date and 3-122 dealing date. For unsettled allotted transactions, the system will update settlement date and payment date.

> **Note:**
>
> When we query for emergency holiday transaction, the system will display the emergency holidays in different color (blue color) to differentiate emergency holiday with the normal holidays.

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

   The **Emergency Holiday Transaction Processing** screen is displayed.

   Figure 2-43 Emergency Holiday Transaction Processing

   Action: Confirm

2. On **Emergency Holiday Transaction Processing** screen, click **New** to enter the details.

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

   Table 2-32 Emergency Holiday Transaction Processing - Field Description

Field	Description
Reference Number	*Display* The system generates the reference number during save. This field is applicable only for **Query** option.
Action	*Optional* Select the action required for processing emergency holiday from the drop-down list. the list displays the following values: • **Confirm** - select this option to confirm the processing of emergency holiday • **Ignore** - select this option to ignore the processing of emergency holiday
Filter Criteria	The section displays the following fields.

Table 2-32 (Cont.) Emergency Holiday Transaction Processing - Field Description

Field	Description
Segment ID	*Alphanumeric; 12 Characters; Optional* Specify the **Segment ID**. Alternatively, you can select the **Segment ID** from the option list. The list displays all valid **Segment IDs** maintained in the system. **Note**: **Segment ID** is mandatory in **Global Transfer Agency(GTA)** Setup. In Non-GTA Setup, **Segment ID** will be defaulted to value **FMG**.
Segment Name	*Display* The system displays the name of the selected **Segment ID**.
Transaction Number	*Alphanumeric; 16 Characters; Optional* Specify the transaction number. Alternatively, you can select transaction number from the option list. The list displays the valid transaction number from the option list.
AMC ID	*Alphanumeric; 6 Characters; Optional* Specify the **AMC ID**. Alternatively, you can select **AMC ID** from the option list. The list displays the valid **AMC ID** from the option list.
AMC Description	*Display* The system displays the description for the selected **AMC ID**.
Date Type	*Optional* Select the date type from the drop-down list. The list displays the following values: • **Transaction Date** • **Price Date** • **Settlement Due Date** • **Dealing Date** • **Payment Date**
Fund Family	*Alphanumeric; 6 Characters; Optional* Specify the fund family. Alternatively, you can select fund family from the option list. The list displays the valid fund family from the option list.
Fund Family Description	*Display* The system displays the description for the selected fund family.
From Date	*Date Format; Optional* Select the from date from the adjoining calendar.
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the **Fund ID**. Alternatively, you can select **Fund ID** from the option list. The list displays the valid **Fund ID** from the option list.
Fund Name	*Display* The system displays the fund name based on the fund name selected.
To Date	*Date Format; Optional* Select the to date from the adjoining calendar.
Transaction Type	*Alphanumeric; 2 Characters; Optional* Specify the transaction type. Alternatively, you can select transaction type from the option list. The list displays the valid transaction type from the option list.
Transaction Name	*Display* The system displays the name of the selected transaction type.

Table 2-32 (Cont.) Emergency Holiday Transaction Processing - Field Description

Field	Description
Ref Type	*Alphanumeric; 2 Characters; Optional* Specify the reference type. Alternatively, you can select reference type from the option list. The list displays the valid reference type from the option list.
Reftype Description	*Display* The system displays the description for the selected reference type.

3. Click the **Fetch** button in **Transaction Details** section.

   The system displays the following values:

   - **AMC ID**
   - **Fund Family**
   - **Fund ID**
   - **Transaction Type**
   - **Ref Type**
   - **Transaction Number**
   - **Transaction Date**
   - **New Transaction Date**
   - **Price Date**
   - **New Price Date**
   - **Settlement Due Date**
   - **New Settlement Due Date**
   - **Dealing Date**
   - **New Dealing Date**
   - **Payment Date**
   - **New Payment Date**

   The system will update the following attributes for all unallotted transactions which are having transaction date as emergency holiday date:

   - **Transaction Date**
   - **Settlement Due Date**
   - **Payment Date**
   - **Price Date**
   - **Dealing Date**
   - **FX Deal Date**
   - **FX Value Date**

   For unsettled allotted transactions, the system will update the payment date and settlement due date.

   Example: Assuming all transactions are unallotted.

   Consider the following setup.

Current day: 05th July

The transaction attributes will be as follows:

Table 2-33 Settlement and Price Date

Fund	Transaction Type	Holiday	Settlement	Price Date
Fund A	SUB	9,10	T+2	T+1
Fund A	RED	9,10	T+2	T+1
Fund A	Transfer	9,10	T+0	T+0
Fund B	SUB	6	T+0	T+0
Fund B	RED	6	T+2	T+0

Consider the following transactions have been identified as impacted by the emergency holiday:

Table 2-34 Payment Date and Settlement Due Date for transactions

Fund	Transaction Type	Transaction Date	Settlement Due Date	Payment Date
Fund A	Subscription	5-Jul	7-Jul	7-Jul
Fund B	Subscription	5-Jul	5-Jul	5-Jul
Fund A	Redemption	4-Jul	6-Jul	6-Jul
Fund B	Redemption	1-Jul	5-Jul	5-Jul
Fund B	Redemption	4-Jul	7-Jul	7-Jul
Fund B	Switch out	4-Jul	7-Jul	7-Jul
Fund B	Switch In	7-Jul	7-Jul	7-Jul
Fund B	RSP (system generated)	5-Jul	5-Jul	5-Jul
Fund A	Target Yield Switch Out (system generated)	4-Jul	6-Jul	6-Jul
Fund B	Reinvestments (system generated)	8-Jul	8-Jul	8-Jul
Fund A	Dividend payment (system generated)	NA	8-Jul	8-Jul
Fund B	Dividend payment (system generated)	NA	5-Jul	5-Jul

Post executing the emergency holiday process, the attributes will be as follows:

Table 2-35 Payment Date and Settlement Due Date post executing the emergency holiday process

Settlement Due Date	Paid Date	Transaction Date	Fund	Transaction type	New Transaction date	New Price Date	New Settlement Due date	New Payment Date
7-Jul	7-Jul	5-Jul	Fund A	Subscription	6-Jul	7-Jul	8-Jul	8-Jul
5-Jul	5-Jul	5-Jul	Fund B	Subscription	7-Jul	7-Jul	7-Jul	7-Jul
6-Jul	6-Jul	4-Jul	Fund A	Redemption	Unchanged	6-Jul	7-Jul	7-Jul
5-Jul	5-Jul	1-Jul	Fund B	Redemption	Unchanged	Unchanged	7-Jul	7-Jul
7-Jul	7-Jul	4-Jul	Fund B	Redemption	Unchanged	Unchanged	8-Jul	8-Jul
7-Jul	7-Jul	4-Jul	Fund B	Switch out	Unchanged	Unchanged	8-Jul	8-Jul
7-Jul	7-Jul	7-Jul	Fund B	Switch In	8-Jul	8-Jul	8-Jul	8-Jul
5-Jul	5-Jul	5-Jul	Fund B	RSP (system generated)	7-Jul	7-Jul	7-Jul	7-Jul
6-Jul	6-Jul	4-Jul	Fund A	Target Yield Switch Out (system generated)	4-Jul	6-Jul	7-Jul	7-Jul
8-Jul	8-Jul	8-Jul	Fund B	Reinvestments (system generated)	Unchanged	Unchanged	Unchanged	Unchanged
8-Jul	8-Jul	NA	Fund A	Dividend (system generated)	NA	NA	Unchanged	Unchanged
5-Jul	5-Jul	NA	Fund B	Dividend payment (system generated)	NA	NA	7-Jul	7-Jul

If there is a weekly price fund C for which the transaction cut off is 5th July for pricing on 8th, the system will consider only transactions captured till 4th July in this cycle (for pricing on 8th). The system will move all transactions captured on 5th July to the next pricing cycle, That is,15th July.

- Processing Emergency Day
  THis topic provides information on processing Emergency Day.

2.32.1 Processing Emergency Day

THis topic provides information on processing Emergency Day.

The existing date attribute changes will be impacted only if the emergency holiday has been declared for the particular fund if emergency day has been declared other than SYSTEM and Currency. It can be either fund level or AMC level or Fund Country level.

The impacted UT transactions are as follows:

- All unallotted transactions with transaction date as emergency holiday date, the system will update the following attributes:
  - Transaction Date
  - Settlement due date
  - Payment Date
  - Price Date
  - Dealing Date
  - FX Deal date
  - FX Value Date
- For unsettled allotted transactions, the system will update confirmation date, payment date and settlement due date.

> **Note:**
>
> If the settlement due date is greater than or equal to derived date then the settlement due date will not be impacted.

Currency level emergency holiday will impact the Settlement Due Date/ Settlement Date derivation for all the unsettled allotted transactions.

The system changes the date attribute accordingly for the following scenarios:

Settlement Due Date Example

Fund level parameters

Table 2-36 Settlement Due Date Example

Fund ID	Payment Lag	Payment Lag Basis
FUND1	2	Fund Calendar
FUND2	2	Currency Calendar

The following examples shows that the Settlement Due date impact on different **Entity Type** of emergency level holidays for the above fund level setup:

Table 2-37 Settlement Due Date impact on different entity type of emergency level holidays

Fund ID	Transaction Date	Settlement Due Date	Emergency Day	Emergency Level	New Settlement Due Date
FUND1	2-May-17	4-May-17	3-May-17	Fund	5-May-17
FUND1	2-May-17	4-May-17	3-May-17	Currency	4-May-17
FUND2	2-May-17	4-May-17	3-May-17	Fund	4-May-17
FUND2	2-May-17	4-May-17	3-May-17	Currency	5-May-17
FUND1	2-May-17	4-May-17	4-May-17	Fund	5-May-17
FUND1	2-May-17	4-May-17	4-May-17	Currency	5-May-17
FUND2	2-May-17	4-May-17	4-May-17	Fund	5-May-17
FUND2	2-May-17	4-May-17	4-May-17	Currency	5-May-17

Payment Date Example

Fund level parameters

Table 2-38 Payment Date Example

Fund ID	Transaction Type	Allocation Lag
FUND3	3	1

The following examples shows that the payment date impact on different entity type of emergency level holidays for the above fund level setup:

Table 2-39 Payment Date impact on impact on different entity type of emergency level holidays

Fund ID	Transaction Date	Payment Date	Emergency Day	Emergency Level	New Payment Date
FUND3	2-May-17	3-May-17	3-May-17	Fund	4-May-17
FUND3	2-May-17	3-May-17	3-May-17	Currency	3-May-17
FUND3	2-May-17	3-May-17	3-May-17	System	4-May-17

Confirmation Date Example

When fund is made emergency holiday then the system will confirm the next fund working date after the (allocation date + confirmation lag)

Fund level parameters

Table 2-40 Confirmation Date Example

Fund ID	Confirmation Lag
FUND3	2

The following example shows that the confirmation date impact on different entity type of emergency level holidays for the above fund level setup:

Table 2-41 Confirmation Date impact on different entity type of emergency level holidays

Fund ID	Transaction Date	Allocation Date	Actual Confirmation Date	Emergency Day	Emergency Level	Revised Confirmation Date
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	Fund	5-May-17
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	Currency	5-May-17
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	System	5-May-17
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	Fund	6-May-17
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	Currency	5-May-17
FUND3	2-May-17	3-May-17	5-May-17	5-May-17	System	6-May-17

Entity Commission Payment due date

The system will not process **entity commission payment** for system level emergency holiday, whereas the system will process for all other emergency holidays.

Broker Commission Payment Date

The system will not process **broker commission payment** for system level emergency holiday, whereas the system will process for all other emergency holidays.

LEP Transaction Date

The system will move all LEP transactions date to next business day which is common to all the attached funds in that product. The system will move Policy Start Date of policy to next business day which is common to all the attached funds in that product.

Example:

Table 2-42 Example on Policy Date

Policy Number	Rule Effective Date	Policy Start Date
HSPOLICY01	2-May-17	2-May-17

If emergency holiday is declared on 02-MAY-2017 at Fund level for any one of the funds which is attached to the policy **HSPOLICY01**, then policy date will be next working date of all the funds.

Table 2-43 Example on Policy Date when Emergency holiday declared

Policy Number	Rule Effective Date	Policy Start Date
HSPOLICY01	2-May-17	3-May-17

Dividend Date

Fund dividends with Daily Payments for which Daily Dividends have not been processed, then the system will skip that dividend.

Emergency holiday defined for Fund will be having the following impact:

- If freeze holding is completed, then the system will not move freeze holding date to next business date, Unprocessed dividends declared for the date will be moved to next business day.
- The system will move Payment Date and Reinvestment Date to next business day. Dividend Declare Date and Freeze Holdings Date will be moved to non MMF funds.

Emergency holiday defined for Currency will have following impact:

- For dividend payout operation, if the dividend payment currency is marked as emergency holiday at Currency level then the system will move dividend payment date to next working date in that currency.

If you declare an emergency holiday for the fund, then MMF and non MMF fund dividend attribute changes as follows:

Example 1: Non MMF Fund

Table 2-44 Emergency holiday for the Non MMF fund

Fund ID	Dividend No	Dividend Declare Date	Freeze Holding Date	Payment Date	Reinvestment Date
AFUND1	5	2-May-17	2-May-17	2-May-17	2-May-17

If emergency holiday is declared on 02-MAY-2017 for the fund AFUND1, then dividend attributes will be moved to next business day as follows:

Table 2-45 Emergency holiday for the Non MMF fund with dividend attributes

Fund ID	Dividend No	Dividend Declare Date	Freeze Holding Date	Payment Date	Reinvestment Date
AFUND1	5	3-May-17	3-May-17	3-May-17	3-May-17

Example 2: MMF Fund

Table 2-46 Emergency holiday for the MMF fund

Fund ID	Dividend No	Dividend Declare Date	Freeze Holding Date	Payment Date	Reinvestment Date
MMFFND	575	2-May-17	2-May-17	2-May-17	2-May-17

If emergency holiday is declared on 02-MAY-2017 for the fund MMFFND then dividend attributes will be moved to next business day as follows:

Table 2-47 Emergency holiday for the MMF fund with dividend attributes

Fund ID	Dividend No	Dividend Declare Date	Freeze Holding Date	Payment Date	Reinvestment Date
MMFFND	575	2-May-17	2-May-17	3-May-17	3-May-17

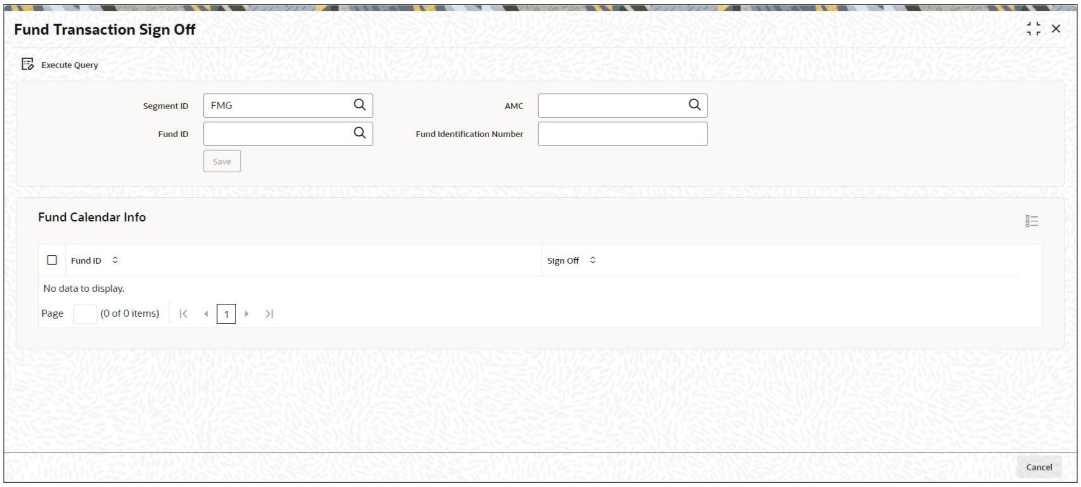
2.33 Perform Fund Transaction Sign Off

This topic provides the systematic instructions to mark the sign off status.

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

   The **Fund Transaction Sign Off** screen is displayed.

Figure 2-44 Fund Transaction Sign Off



Segment ID: FMG

No data to display.

(0 of 0 items)

2. On **Fund Transaction Sign Off** screen, click **New** to enter the details.

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

Table 2-48 Fund Transaction Sign Off - Field Description

Field	Description
Segment ID	*Alphanumeric; 12 Characters; Optional* Specify the **Segment ID**. Alternatively, you can select the **Segment ID** from the option list. The list displays all valid **Segment ID** maintained in the system. **Note**: **Segment ID** is mandatory in Global Transfer Agency(GTA) Setup. In Non GTA Setup, Segment ID will be defaulted to value **FMG**.
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the **Fund ID**.
AMC	*Display* The system displays the description for the selected **Fund ID**.
Execute Query	Click **Execute Query** button after specifying **Fund ID**. The following fund calendar information is displayed: • **Fund ID** • **Sign Off**
Fund Identification Number	*Display* The system displays the **Fund Identification Number**.

Trading Transactions

3. Enter the Trading transactions only on working days for the fund in the fund calendar (if maintained) or AMC calendar (if maintained) or System calendar.

Transactions

4. If the transaction falls on a holiday, or if the transaction is entered after marking of transaction sign off for the day, or after cut-off time, then the transaction date is defaulted to next working day for the fund.
5. The transaction date for switch transactions is arrived at by considering the fund calendar, if any, maintained for the **Switch From** fund; the date must be a working day for the **Switch From** fund, but need not be so for the **Switch To** fund.
6. You can derive the backdating limit for backdated transactions from the fund calendar.
7. Dates for instrument clearing are also based on the fund calendar.

Settlement Dates

8. The settlement dates for payments must not be holidays for the settlement currency, as designated in the currency calendar.
9. During transaction entry, the payment date or clearing date for a subscription is computed based on the transaction date and payment lag.

   The system checks that the payment date derived is a working date for the transaction currency.
10. For redemptions, the redemption confirmation process arrives at the payment date (check date) based on payment lag.

    This date should be a working date for the currency.
11. Dividend payments in respect of unit holders are in each unit holder’s preferred currency. The payment date for a unit holder should be a working date for the currency of payment. Therefore a single dividend payment may still be made on different dates for different unit holders.
12. The payment date for a broker should be a working date for the broker payment currency.

Batch Functions

13. Perform the **Menu allocation** only for funds working on the application date.
14. Perform the **Redemption Confirmation** only for funds working on the application date.
15. Ensure that the **Dividend Payments** date must be a working day for the fund.
16. Verify that the value date for **Dividend Reinvestment** must be a working day in the system calendar.

    If the reinvestment fund has a holiday on the reinvestment transaction value date, then the transaction date is set to the next fund working day.
17. Perform **pre-end of day checks** only for the funds working on the application date.
18. **End of Day Activities** are mentioned below.
    - Broker reinvestment transactions are only processed for those funds working on the application date.
    - Allocations for transactions of all types, for all funds working on the application date, are performed.
    - Switch transactions are only allocated if the current date is a working day for both funds. The **Switch From** leg is allocated at the prevalent price on transaction date, and the **Switch To** leg, with the current price. Ageing entries for the **Switch From** leg

are booked as of transaction date, and those for the **Switch To** leg, as of the allocation date.

- The Specific Fund Price date is arrived at after applying the **Prior** or **After** holiday rule, as specified in the fund rules. Specific price dates for a fund, if applicable, are updated only on fund working days.
- Periodic load processing is done for all funds only on the value date for periodic load processing, which is arrived at after periodic fee computation, and must be a fund working date.
- Trading net settlement processing as well as trading summary calculation is done only for funds working on the current date.
- Fund bank account transfer processing is done only for funds working on the current date.
- Dividend processing, dividend reinvestment processing and the generation of dividend records are done only for funds working on the current date. For those funds working on the current date, the first dividend record will be generated. For other dividends, if the dividend record generation date arrived at is a fund holiday, the **Prior** or **After** fund holiday rule is applied to arrive at a valid fund working day from the fund calendar. If this date is the same as the system date, the dividend record for the fund is generated.
- GL Export processing is done only for funds working on the current date.
- Updating of the latest rule for a fund is done only for funds working on the current date.
- The Beginning of Day outstanding units for a fund are only updated if the fund is working on the current date.
- After the system date change, the fund holiday status change process updates the holiday status for all the funds, and resets the transaction sing-on status.
- Standing instructions escalation processing is done only for funds working on the current date. The generation of standing instructions is done on fund working days, and the generation date is arrived at taking into account the fund calendar, after the standing instructions holiday rule has been applied.
- Amount unblock transactions, as well as amount block escalations and amount block transaction generation for the fund are generated only on fund working days.
- Automatic redemption transactions are only generated for funds working on the current date.

Restricting Transactions into Fund on Working Day

19. When a sale restriction is marked, it must be authorized for it to be effective in the system.
20. When you restrict sale of a fund in this manner, you can opt for either of the following options for transactions that have been entered after the restrict sale status has been marked for the day.

Table 2-49 Restricting Transactions into Fund on Working Day

Field	Description
Reverse	If you choose this option, any unauthorized transactions entered after the restrict sale status has been marked for the day are deleted. Any authorized transactions including system generated transactions or those that have been entered on the previous system working day after the transaction cut-off time are reversed. Any transactions allotted after the restrict sale status has been marked are left unaltered. An error message is displayed when the sale restriction is authorized, in respect of these transactions.
Carry forward	If you choose this option, the transaction date of any transaction that is entered after the restrict sale status has been marked for the day, will be defaulted to the next working day according to the fund calendar (if maintained) or AMC calendar (if maintained) or the system calendar. Any transactions allotted after the restrict sale status has been marked are left unaltered. An error message is displayed when the sale restriction is authorized, in respect of these transactions.

Uploading Holiday Details

21. Use the upload facility to upload holiday details, if required.

    For more details on holiday upload file formats, refer *Upload File Formats* topic in **FCIS** system.

2.34 Process Mode Of Payment Detail

This topic provides the systematic instructions to set up the clearing options for the various modes of payments that are valid in the system.

For each mode of payment, you can:

- Enter the clearing options.
- Edit the existing, unauthorized clearing options.
- Authorize the clearing periods.
- View existing clearing options for any of the Modes of Payment.
- Amend the authorized clearing periods. During amendment or editing, it is possible to alter the Clearing Period and set the Auto Clear Option.

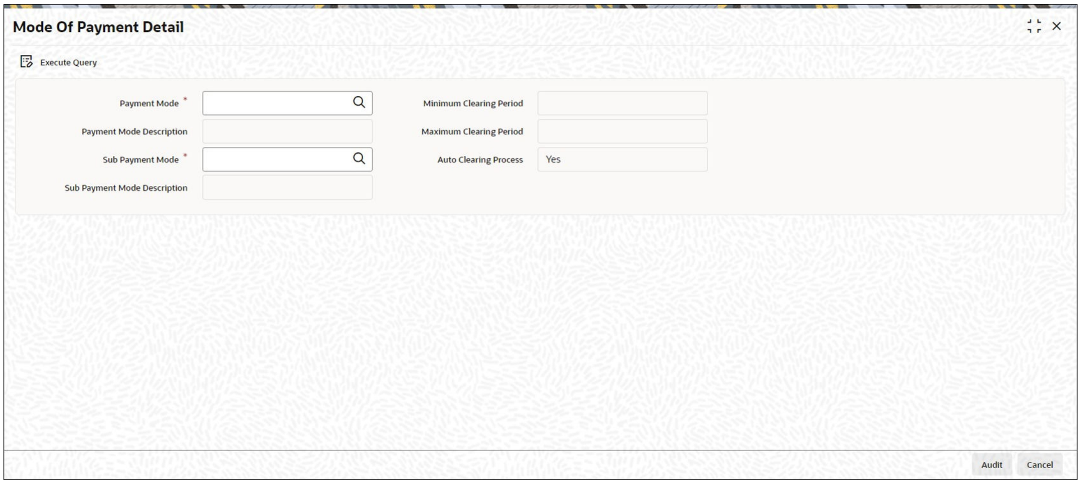
During installation, the modes of payment and the default clearing periods for each mode are entered into the system automatically. Subsequently, if you need to view or make a change to any of the clearing options.

Click **OK** to retrieve the record in this screen. All the clearing options maintained for each of the modes of payment are displayed in the lower portion of the screen.

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

   The **Mode Of Payment Detail** screen is displayed.

Figure 2-45   Mode Of Payment Detail



Auto Clearing Process: Yes

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

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

Table 2-50   Mode Of Payment Detail - Field Description

Field	Description
Payment Mode	*Alphanumeric; 1 Character; Mandatory* Specify the different modes of payment. The different modes of payment can be: • **Cheque (Q)** • **Demand Draft (D)** • **Money Transfer (T)** • **Card (R)**
Payment Mode Description	*Display* A description of the mode of payment is displayed here. This could be any of the instruments such as **Draft**, **Check**, **Transfer**, **Credit Card**, etc.
Sub Payment Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the code or short name given to any of the payment modes used in the system. After specifying payment and sub payment mode, click **Execute Query** button.
Minimum Clearing Period	*Numeric; 22 Characters; Mandatory* The system displays the number of days after which you will be able to clear the payment instrument for a particular mode of payment. You can alter the value that is displayed here by clicking **Unlock** button. For each mode of payment, the **Minimum Clearing Period** is the period after which you will be able to clear the payment instrument.
Maximum Clearing Period	*Numeric; 22 Characters; Mandatory* The system displays the number of days before which the payment instrument must be cleared for a particular mode of payment. You can alter the value that is displayed here. For each mode of payment, the **Maximum Clearing Period** is the period before which you must clear the payment instrument.

Table 2-50 (Cont.) Mode Of Payment Detail - Field Description

Field	Description
Auto Clearing Process	*Optional* Select auto clearing process from the drop-down list. The list displays the following values: • **Yes** • **No** If you have selected `Yes` option, the instrument automatically gets cleared if you do not clear the same before the maximum clearing period.

2.35 Mode of Payment Summary

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

You can use this screen to set up the clearing options for the various modes of payments that are valid in the system. For each mode of payment, you can:

- Enter the clearing options
- Edit the existing, unauthorized clearing options
- Authorize the clearing periods
- View existing clearing options for any of the Modes of Payment
- Amend the authorized clearing periods. During amendment or editing, it is possible to alter the Clearing Period and set the **Auto Clear** option.

During installation, the modes of payment and the default clearing periods for each mode are entered into the system automatically. Subsequently, if you need to view or make a change to any of the clearing options, you can retrieve the record in this screen by clicking on **OK** in this screen.

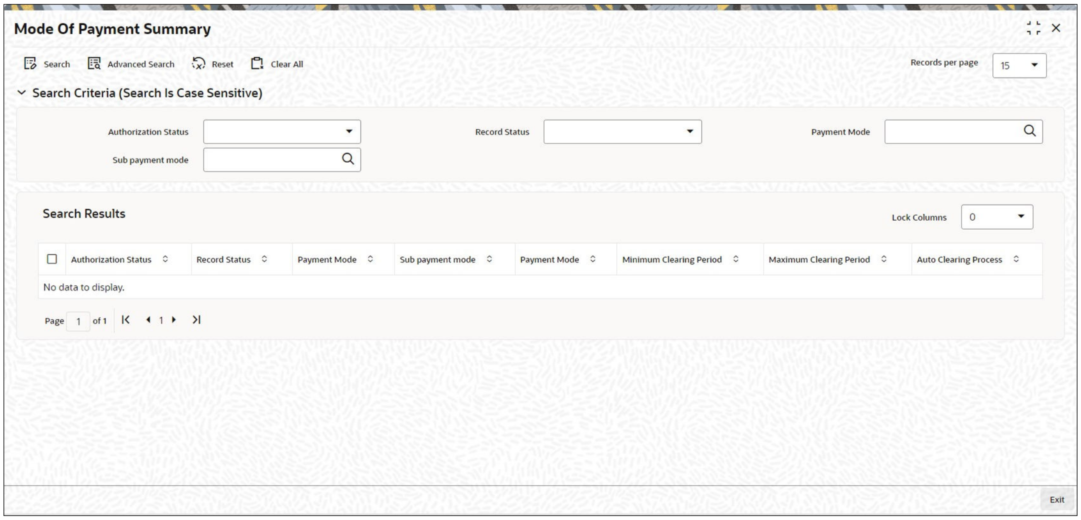
All the clearing options maintained for each of the modes of payment are displayed in the lower portion of the screen.

Retrieve Mode of Payment Details

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

   The **Mode of Payment Summary** screen is displayed.

Figure 2-46   Mode of Payment Summary



☐	Authorization Status	Record Status	Payment Mode	Sub payment mode	Payment Mode	Minimum Clearing Period	Maximum Clearing Period	Auto Clearing Process

No data to display.

2. On **Mode of Payment 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**
   - **Payment Mode**
   - **Sub Payment Mode**
3. Click **Search** button to view the records.

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

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

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

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

   - Search by M%: The system will fetch all the records whose Payment Mode description starts from Alphabet ‘M’. For example, Mutual Fund.
   - Search by %7 : The system will fetch all the records whose Payment Mode ends by numeric value’ 7’ For example, 217,267,77 and so forth.

  - Search by %17%: The system will fetch all the records whose Payment Mode contains the numeric value 17. For example, 3217, 2172 and so forth.

- Edit Mode of Payment Details
  This topic provides the systematic instructions to edit Mode of Payment record.
- View Mode of Payment Details
  This topic provides the systematic instructions to view Mode of Payment record.
- Delete Mode of Payment Details
  This topic provides the systematic instructions to delete Mode of Payment record.
- Authorize Mode of Payment Details
  This topic provides the systematic instructions to authorize Mode of Payment record.
- Amend Mode of Payment Details
  This topic provides the systematic instructions to amend Mode of Payment record.
- Authorize Amended Mode of Payment Details
  This topic provides the systematic instructions to authorize amended Mode of Payment record.

2.35.1 Edit Mode of Payment Details

This topic provides the systematic instructions to edit Mode of Payment record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Mode of Payment 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 **Mode of Payment Detail** screen is closed and the changes made are reflected in the **Mode of Payment Summary** screen.

2.35.2 View Mode of Payment Details

This topic provides the systematic instructions to view Mode of Payment record.

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

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

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

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

   The **Mode of Payment Detail** screen is displayed.

2.35.3 Delete Mode of Payment Details

This topic provides the systematic instructions to delete Mode of Payment record.

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

1. Start the **Mode of Payment Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Mode of Payment 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.

2.35.4 Authorize Mode of Payment Details

This topic provides the systematic instructions to authorize Mode of Payment record.

Authorize an unauthorized Emergency Holiday Record in the system for it to be processed as follows:

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

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

   The **Mode of Payment 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. After authorization of emergency holiday maintenance, transactions captured in the system will be moved to next business date.

2.35.5 Amend Mode of Payment Details

This topic provides the systematic instructions to amend Mode of Payment 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 **Mode of Payment Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Mode of Payment 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.

2.35.6 Authorize Amended Mode of Payment Details

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

- Authorize an amended payment mode for the amendment to be made effective in the system.

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

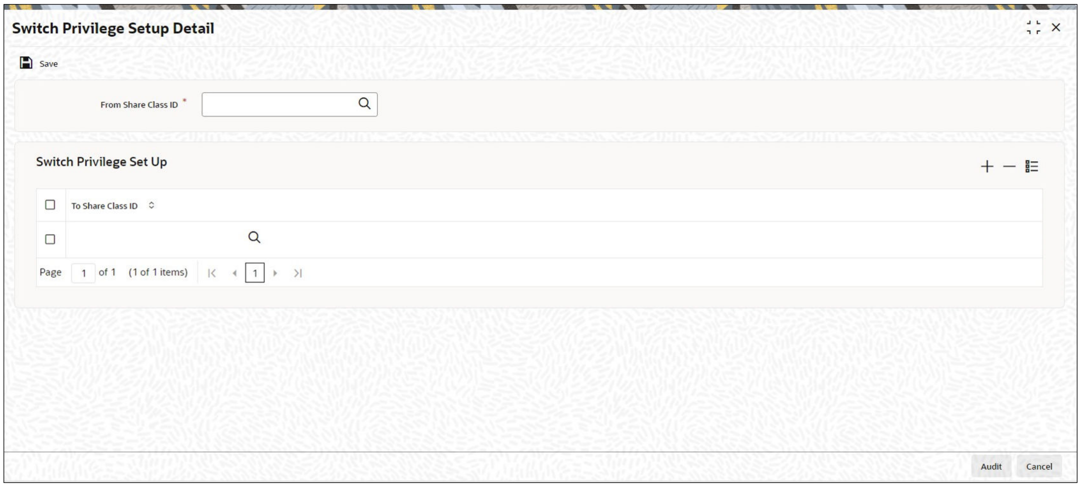
2.36 Process Switch Privilege Setup Detail

This topic provides the systematic instructions to set up a restrictive list of switching between share classes for switch transactions.

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

   The **Switch Privilege Setup Detail** screen is displayed.

Figure 2-47   Switch Privilege Setup Detail



2. On **Switch Privilege Setup Detail** screen, click **New** to enter the details.

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

Table 2-51   Switch Privilege Setup Detail - Field Description

Field	Description
From Share Class ID	*Alphanumeric; 2 Characters; Mandatory* Select the share class from which a switch transaction can be entered into from the option list.
Switch Privilege Set Up	The section displays the following fields.
To Share Class ID	*Alphanumeric; 2 Characters; Mandatory* Select the share classes to which switching must be allowed from the option list.

3. Click **Save** button to save the changes.

2.37 Switch Privilege Setup Summary

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

After you have set up a restrictive list of switching between share classes for switch transactions, you must have another user authorize it so that it becomes effective in the system.

Before the restrictive list is authorized, you can edit it as many times as necessary. You can also delete it before it is authorized. After authorization, you can only change the switch period through an amendment.

The **Switch Privilege Setup Summary** screen can be used for the following operations on restrictive (privilege) lists:

- Retrieval for viewing
- Editing an unauthorized restrictive (privilege) list
- Deleting unauthorized restrictive (privilege) list
- Authorizing switch restrictive (privilege) list

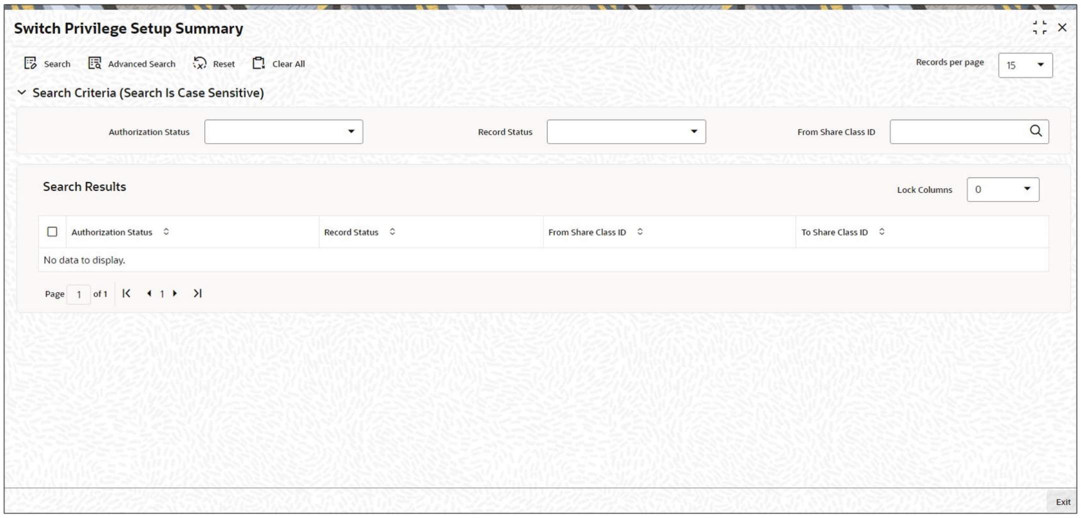
- Amending switch restrictive (privilege) list

Retrieve Switch Privilege Setup List

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

   The **Switch Privilege Setup Summary** screen is displayed.

   Figure 2-48 Switch Privilege Setup Summary

2. On **Switch Privilege 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**
   - From Share Class ID
3. Click **Search** button to view the records.

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

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

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

   You can search the record for From Share Class Type ID by using the combination of % and alphanumeric value as follows:

  - Search by A%: The system will fetch all the records whose Share Class ID starts from Alphabet ‘A’. For example, AA.
  - Search by %7: The system will fetch all the records whose Share Class ID Type ends by numeric value’ 7’. For example, -S7.
  - Search by %17%: The system will fetch all the records whose Share Class ID contains the numeric value 17. For example, - 17.

- Edit Switch Privilege Setup List
  This topic provides the systematic instructions to edit Switch Privilege Setup List record.
- View Switch Privilege Setup List
  This topic provides the systematic instructions to view Switch Privilege Setup List record.
- Delete Switch Privilege Setup List
  This topic provides the systematic instructions to delete Switch Privilege Setup List record.
- Authorize Switch Privilege Setup List
  This topic provides the systematic instructions to authorize Switch Privilege Setup List record.
- Amend Switch Privilege Setup List
  This topic provides the systematic instructions to amend Switch Privilege Setup List record.
- Authorize Amended Switch Privilege Setup List
  This topic provides the systematic instructions to authorize amended Switch Privilege Setup List record.

2.37.1 Edit Switch Privilege Setup List

This topic provides the systematic instructions to edit Switch Privilege Setup List record.

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

1. Start the **Switch Privilege 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Switch Privilege 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 **Switch Privilege Setup Detail** screen is closed and the changes made are reflected in the **Switch Privilege Setup Summary** screen.

2.37.2 View Switch Privilege Setup List

This topic provides the systematic instructions to view Switch Privilege Setup List record.

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

1. Start the **Switch Privilege 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Switch Privilege Setup Detail** screen is displayed.

2.37.3 Delete Switch Privilege Setup List

This topic provides the systematic instructions to delete Switch Privilege Setup List record.

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

1. Start the **Switch Privilege 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 lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Switch Privilege 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.

2.37.4 Authorize Switch Privilege Setup List

This topic provides the systematic instructions to authorize Switch Privilege Setup List record.

Authorize an unauthorized switch privilege setup in the system for it to be processed as follows:

1. Start the **Switch Privilege 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 lower portion of the screen.

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

   The **Switch Privilege 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. After authorization of emergency holiday maintenance, transactions captured in the system will be moved to next business date.

2.37.5 Amend Switch Privilege Setup List

This topic provides the systematic instructions to amend Switch Privilege Setup List 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 **Switch Privilege 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 lower portion of the screen.

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

   The **Switch Privilege 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.

2.37.6 Authorize Amended Switch Privilege Setup List

This topic provides the systematic instructions to authorize amended Switch Privilege Setup List record.

- Authorize an amended switch privilege setup for the amendment to be made effective in the system.

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

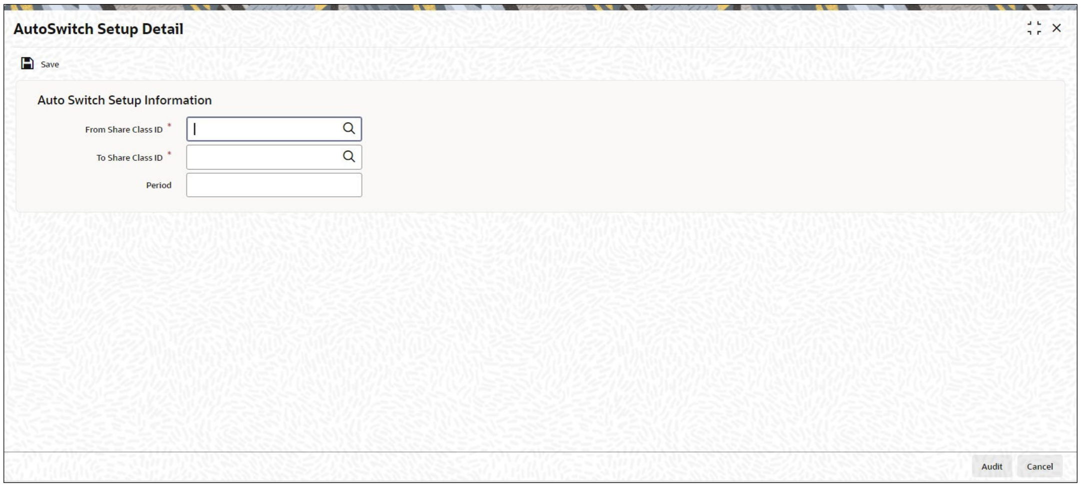
2.38 Process AutoSwitch Setup Detail

This topic provides the systematic instructions to define a period for allowing switch transactions between share classes.

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

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

Figure 2-49 AutoSwitch Setup Detail



2. On **AutoSwitch Setup Detail** screen, click **New** to enter the details.

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

Table 2-52 AutoSwitch Setup Detail - Field Description

Field	Description
Auto Switch Setup Information	The section displays the following fields.
From Share Class ID	Alphanumeric; 2 Characters; Mandatory Specify the share classes, switching between which will be allowed after the period has elapsed.
To Share Class ID	*Alphanumeric; 2 Characters; Mandatory* Specify the share classes, switching between which will be allowed after the period has elapsed.
Period	*Numeric; 2 Characters; Mandatory* Specify the period at the end of which the switching will be permitted.

3. Click **Save** button to save the changes.

2.39 Exchange List Maintenance Summary

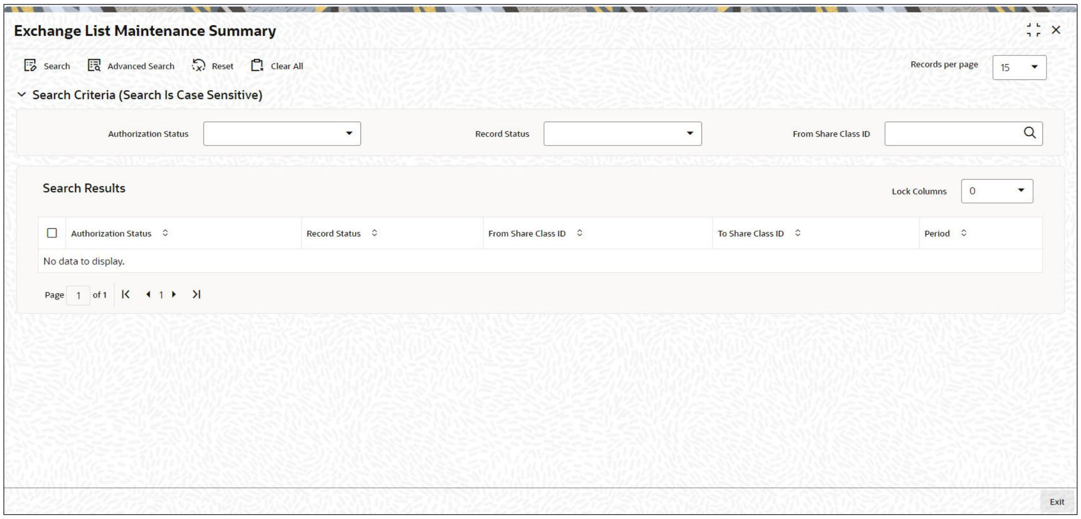
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Exchange List

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

   The **Exchange List Maintenance Summary** screen is displayed.

Figure 2-50   Exchange List Maintenance Summary



2. On **Exchange List 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**
   - **From Share Class ID**
3. Click **Search** button to view the records.

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

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

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

   You can search the record for From Share Class ID by using the combination of % and alphanumeric value as follows:
   - Search by A%: The system will fetch all the records whose From Share Class ID starts from Alphabet ‘A’. For example, AA.
   - Search by %7: The system will fetch all the records whose From Share Class ID Type ends by numeric value’ 7’. For example, S7.

  - Search by %17%: The system will fetch all the records whose From Share Class ID contains the numeric value 17. For example, 17.

- Edit Exchange List
  This topic provides the systematic instructions to edit Exchange List record.
- View Exchange List
  This topic provides the systematic instructions to view Exchange List record.
- Delete Exchange List
  This topic provides the systematic instructions to delete Exchange List record.
- Authorize Exchange List
  This topic provides the systematic instructions to authorize Exchange List record.
- Amend Exchange List
  This topic provides the systematic instructions to amend Exchange List record.
- Authorize Amended Exchange List
  This topic provides the systematic instructions to authorize amended Exchange List record.
- Copy Exchange List Attributes
  This topic provides the systematic instructions to copy Exchange List record.

2.39.1 Edit Exchange List

This topic provides the systematic instructions to edit Exchange List record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.39.2 View Exchange List

This topic provides the systematic instructions to view Exchange List record.

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

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

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

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

   The **Exchange List Maintenance Detail** screen is displayed.

2.39.3 Delete Exchange List

This topic provides the systematic instructions to delete Exchange List record.

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

1. Start the **Exchange List Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Exchange List 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.

2.39.4 Authorize Exchange List

This topic provides the systematic instructions to authorize Exchange List record.

Authorize an unauthorized Exchange List in the system for it to be processed as follows:

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

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

   The **Exchange List 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. After authorization of emergency holiday maintenance, transactions captured in the system will be moved to next business date.

2.39.5 Amend Exchange List

This topic provides the systematic instructions to amend Exchange List 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 **Exchange List Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Exchange List 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.

2.39.6 Authorize Amended Exchange List

This topic provides the systematic instructions to authorize amended Exchange List record.

- Authorize an amended Exchange List for the amendment to be made effective in the system.

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

2.39.7 Copy Exchange List Attributes

This topic provides the systematic instructions to copy Exchange List record.

1. Click **Copy** to create a new exchange list with the same attributes of an existing record.
2. Retrieve the record whose attributes the new exchange list 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 exchange list. You can, however, change the details of the new record.

2.40 Process Indexation Maintenance Detail

This topic provides the systematic instructions to maintain indexation values.

Setting up Indexation Values

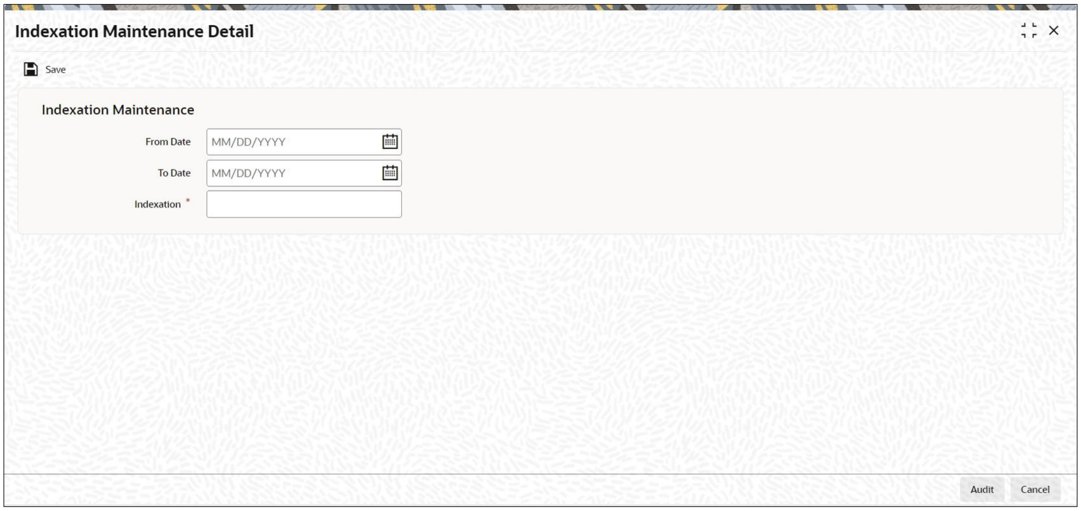
Investors may opt for indexation to be applicable for the computation of income or capital gains on earnings from investments, on which capital gains tax can be applied. You must maintain the indexation values to be applicable for specific periods, which can then be applied for the computation of capital gains income.

You maintain indexation values to be applicable within a specific period bounded by a **From Date** and a **To Date**.

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

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

Figure 2-51 Indexation Maintenance Detail



2. Specify the indexation value to be applicable between two given dates. Any transactions allocated between those two dates, which result in application of capital gains tax with indexation, will use these values for the tax computation.
3. On **Indexation Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-53 Indexation Maintenance Detail - Field Description

Field	Description
From Date	*Date Format; Mandatory* Specify the date on and following which the indexation value is to be applicable, for computation of capital gains income.
To Date	*Date Format, Mandatory* Specify the date up to which the indexation value is applicable for computation of capital gains income.

Table 2-53 (Cont.) Indexation Maintenance Detail - Field Description

Field	Description
Indexation	*Numeric; 22 Characters; Mandatory* Specify the indexation value that is to be applicable between the **From** and **To** dates that you have specified. You cannot specify duplicate indexation values for a period, and for a given range, you can only specify one value.

2.41 Indexation Maintenance Summary

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

An indexation value you have specified for a given period must be authorized for it to be effective in the system. You can use the Indexation Summary screen to authorize the value.

You can also perform the following operations on an indexation value record in this screen:

- Edit unauthorized values
- View records
- Delete unauthorized values
- Amend authorized values. You can only amend the current indexation value record, and not any of the earlier records.

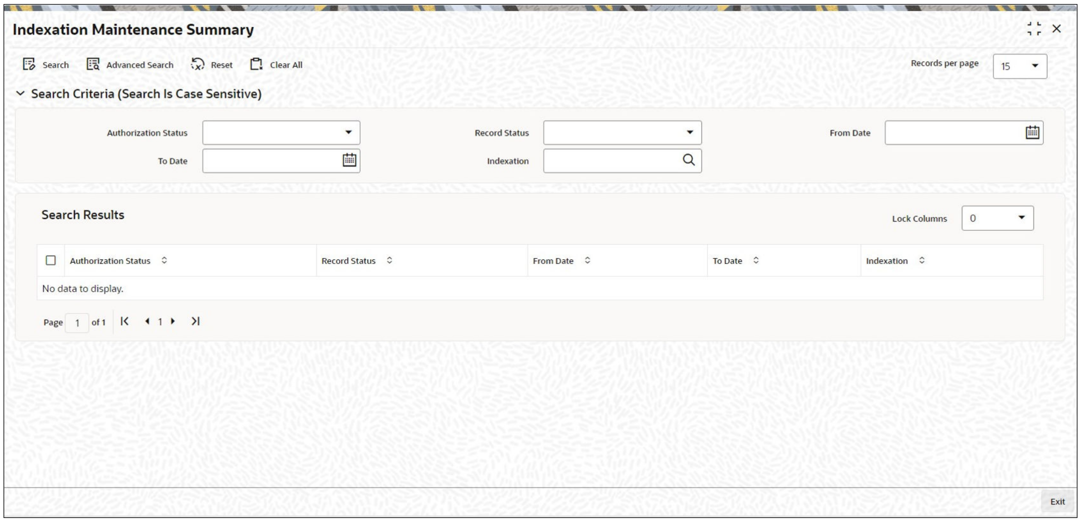
When you amend a value specified for a period, it will come into effect when another user authorizes the amendment.

Retrieve Indexation

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

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

Figure 2-52 Indexation Maintenance Summary



2. Specify any or all of the following details in the corresponding fields:

- **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
- **Record status**
- From Date and To Date for which the indexation is maintained.
- Specify the indexation value. The adjoining option list displays the valid indexation values maintained in the system. You can choose the appropriate one.

3. Click **Search** button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

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

4. Perform Edit, Delete, Amend, Authorize, Reverse and Confirm operations by selecting the 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 Indexations ID by using the combination of % and alphanumeric value as follows:

   - Search by %7: The system will fetch all the records whose Indexation ID ends by numeric value' 7'. For example, 27.
   - Search by %17%: The system will fetch all the records whose Indexation ID contains the numeric value 17. For example, 17.

- Edit Indexation
  This topic provides the systematic instructions to edit Indexation record.
- View Indexation
  This topic provides the systematic instructions to view Indexation record.
- Authorize Indexation
  This topic provides the systematic instructions to authorize Indexation record.
- Amend Indexation
  This topic provides the systematic instructions to amend Indexation record.
- Authorize Amended Indexation
  This topic provides the systematic instructions to authorize amended Indexation record.
- Copy Indexation Attributes
  This topic provides the systematic instructions to copy Indexation record.
- Apply Indexation
  This topic provides the systematic instructions to Apply Indexation record.

2.41.1 Edit Indexation

This topic provides the systematic instructions to edit Indexation record.

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

1. Start the **Indexation Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records. The **Indexation 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 **Indexation Maintenance Detail** screen is closed and the changes made are reflected in the **Indexation Maintenance Summary** screen.

2.41.2 View Indexation

This topic provides the systematic instructions to view Indexation record.

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

1. Start the **Indexation Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records. The **Indexation Maintenance Detail** screen is displayed in View mode.

2.41.3 Authorize Indexation

This topic provides the systematic instructions to authorize Indexation record.

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

1. Start the **Indexation Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.

3. Specify any or all of the details and click **Search** button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize. The **Indexation 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.

2.41.4 Amend Indexation

This topic provides the systematic instructions to amend Indexation 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 **Indexation Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Indexation 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.

2.41.5 Authorize Amended Indexation

This topic provides the systematic instructions to authorize amended Indexation record.

- Authorize an amended indexation for the amendment to be made effective in the system.

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

2.41.6 Copy Indexation Attributes

This topic provides the systematic instructions to copy Indexation record.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new indexation with the same attributes of an existing record.
2. Retrieve the record whose attributes the new indexation 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 indexation. You can, however, change the details of the new record.

2.41.7 Apply Indexation

This topic provides the systematic instructions to Apply Indexation record.

When you have specified the indexation values for a period, you must also configure the system to apply indexation for the computation of capital gains tax for an investor, by taking the following steps:

1. You must indicate the application of indexation for capital gains tax, in the unit holder's account profile.
2. Set up a load for the application of capital gains tax, in the Load Maintenance.
3. You must associate this load with the appropriate fund, in the Fund Load Setup, in the fund rules.

   You must set up the following attributes for this association:

   - The applicability of indexation for the load
   - The slab basis (gross or net amount)
   - The basis of application (as 'capital gains indexation')
   - The frequency of application (as 'post allocation')

   For more information on how the indexation value is applied in the computation of capital gains tax, refer topic **The Allocation Process** of **FCIS** system.

2.42 Process AGY Bank Account Mapping Detail

This topic provides the systematic instructions to designate the collection centers and payout accounts.

Maintain Collection Centers and Payout Accounts

The agency branch maintains accounts in banks that serve as collection centers for receipt of payment for inflow transactions from unit holders. Also, it maintains payout accounts to which payment for outflow transactions would be directed, from where unit holders could cash their payment instruments. Maintenance of collection center accounts and payout accounts is necessary as the default local accounts would not be able to service all unit holders who subscribe to the funds of the AMC.

From each collection center bank and payout bank, the agency branch receives a list of zip codes serviced by the banks. The system uses the maintained accounts and the zip code information while printing payment instruments for outflow transactions or pay-in slips for inflow transactions, to direct them to collection or payout banks that service the unit holders' zip code.

For instance, if your AMC's local branch is in London, you would maintain a default collection center and payout account with a London-based bank. However, to service investors of your AMC in Dover, you would need to maintain a collection center and payout account with a bank based in Dover, on a correspondent basis.

For details on how the collection center account or the payout account is reckoned for a transaction, refer topic *Printing Checks and Pay-in Slips* in the *Dividend Maintenance* of **Oracle® FLEXCUBE Investor Servicing** system.

For each agency branch, in **Oracle® FLEXCUBE Investor Servicing**, you can maintain the appropriate collection center accounts as well as payout accounts to be used. You can assign a default collection center, and a default payout account. You can also maintain other collection center accounts and correspondent payout accounts, to service investors whose zip code is different from any codes serviced by the local default accounts.

Maintain Collection Center Accounts

In the **AGY Bank Account Mapping Detail** screen, you can maintain collection center accounts for a combination of:

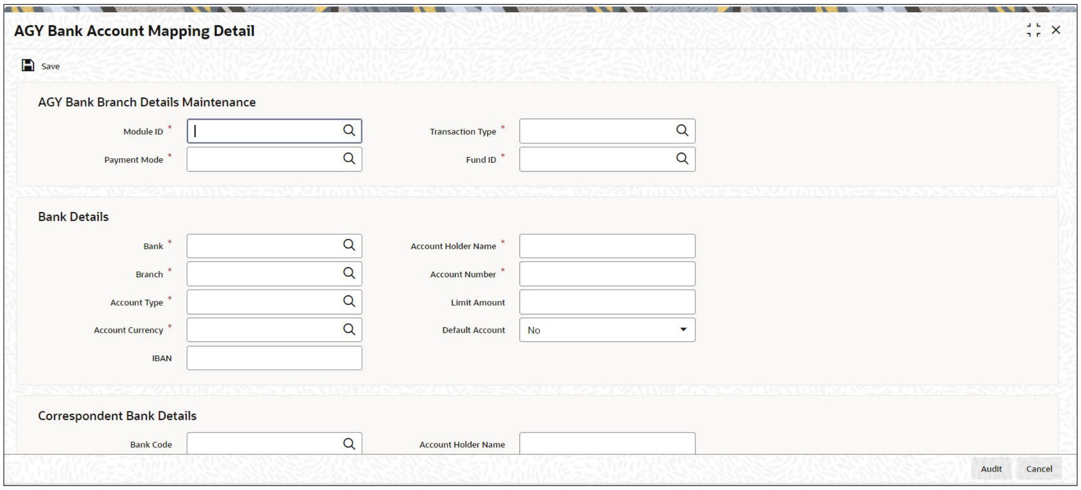
- Agency branch module ID
- Inflow transaction type (either subscription or IPO)
- Payment mode or sub payment mode
- Fund ID

This would mean that you could maintain collection centers for each agency branch, to receive payments through any mode, from unit holders for subscriptions or IPO transactions into each fund.

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

   The **AGY Bank Account Mapping Detail** screen is displayed.

Figure 2-53 AGY Bank Account Mapping Detail



2. You need to specify the following information in the **AGY Bank Account Mapping Detail** screen for each collection center account.
   - The code of the bank and branch collection center
   - The type of account maintained in the collection center bank or branch
   - The currency of the account
   - The number of the account and the owner of the account
   - Whether the account is the default collection center account for the agency branch, transaction type, payment mode and fund ID combination.

   You must maintain at least one default collection center account.

Maintain Default and Correspondent Payout Accounts

3. You can maintain payout accounts for a combination of in the **AGY Bank Account Mapping Detail** screen.

- Agency branch module ID
- Outflow transaction type (either redemption, switch out or transfer)
- Payment mode
- Fund ID

This would mean that you could maintain payout accounts for each agency branch, to direct payments to unit holders through any mode, for outflow transactions from each fund.

4. You need to specify the following information in the **AGY Bank Account Mapping Detail** screen for each payout account.
    - The code of the payout bank and branch
    - The type of account maintained in the payout bank or branch
    - The currency of the account
    - The number of the account and the owner of the account
    - The limit placed on the payment amount directed to the bank for a transaction. If this limit is exceeded, a demand draft payment would have to be made.
    - Whether the account is the default payout account for the agency branch, transaction type, payment mode and fund ID combination. You must maintain at least one default payout account.
    - The correspondent bank accounts to which payment would be directed, if the zip code of the unit holder receiving the payment is not serviced by the payout bank
5. Click **Details** button to maintain correspondent bank details.

    The **Correspondent Bank Details Section screen** is opened.
6. Maintain the same details as for a payout account, with a limit amount.
7. On **AGY Bank Account Mapping Detail** screen, click **New** to enter the details.

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

Table 2-54 AGY Bank Account Mapping Detail - Field Description

Field	Description
AGY Bank Branch Details Maintenance	The section displays the following fields.
Module ID	*Alphanumeric; 30 Characters; Mandatory* Select the module (agency branch) for which you are designating the collection center or payout account in this screen.
Transaction Type	*Alphanumeric; 15 Characters; Mandatory* Select the type of outflow transaction for which you are designating the payout account, or the type of inflow transaction for which you are designating a collection center, in this screen.
Payment Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the mode of payment for which the collection center is applicable, for the selected module and transaction type. For redemption transactions, the payment mode is not applicable.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund for which the collection center or payout account is applicable, for the selected module, transaction type and payment mode.
Bank Details	The section displays the following fields.

Table 2-54 (Cont.) AGY Bank Account Mapping Detail - Field Description

Field	Description
Bank	*Alphanumeric; 12 Characters; Mandatory* Specify the code of the bank that is being designated as a collection center or a payout bank. The collection account or the payout account must reside in this bank.
Branch	*Alphanumeric; 12 Characters; Mandatory* Specify the code of the branch of the bank that is being designated as a collection center or a payout bank. The collection account or the payout account must reside in this branch of the selected bank.
Account Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of the collection or payout account.
Account Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the currency of the collection or payout account.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the **International Bank Account Number (IBAN)** of the account holder.
Account Holder Name	*Alphanumeric; 100 Characters; Mandatory* Specify the name of the owner of the collection or payout account.
Account Number	*Alphanumeric; 34 Characters; Mandatory* Specify the number of the collection or payout account.
Limit Amount	*Numeric; 22 Characters; Mandatory* Specify the value of the limit placed on payouts to the payout account. If the value of the payment exceeds this value, a demand draft payment must be made. For payments below this value, check payments may be made.
Default Account	*Optional* You can use this field to indicate whether the specified account is deemed to be the default collection or payout account for the selected module, transaction type, payment mode and fund combination. Select this box to indicate that it is the default account, or leave it unselected to indicate that it is one of the other accounts.
Correspondent Bank Details	The section displays the following fields.
Bank Code	*Alphanumeric; 12 Characters; Optional* Specify the code of the bank that is being designated as a correspondent bank for the collection center or a payout bank. The correspondent collection account or the payout account must reside in this bank.
Branch Code	*Alphanumeric; 12 Characters; Optional* Specify the code of the branch of the bank that is being designated as a correspondent bank for collection center or a payout bank. The correspondent collection account or the payout account must reside in this branch of the selected bank.
Account Type	*Alphanumeric; 1 Character; Optional* Specify the type of the correspondent collection or payout account.
Account Currency	*Alphanumeric; 3 Characters; Optional* Specify the currency of the correspondent collection or payout account.

Table 2-54 (Cont.) AGY Bank Account Mapping Detail - Field Description

Field	Description
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the number of the correspondent collection or payout account.
Account Holder Name	*Alphanumeric; 100 Characters; Optional* Specify the name of the owner of the correspondent collection or payout account.
Limit Amount	*Numeric; 22 Characters; Optional* Specify the value of the limit placed on payouts to the correspondent payout account. If the value of the payment exceeds this value, a demand draft payment must be made. For payments below this value, check payments may be made.
Correspondent IBAN	*Alphanumeric; 40 Characters; Optional* Specify the **International Bank Account Number (IBAN)** of the account holder.

2.43 AGY Bank Account Mapping Summary

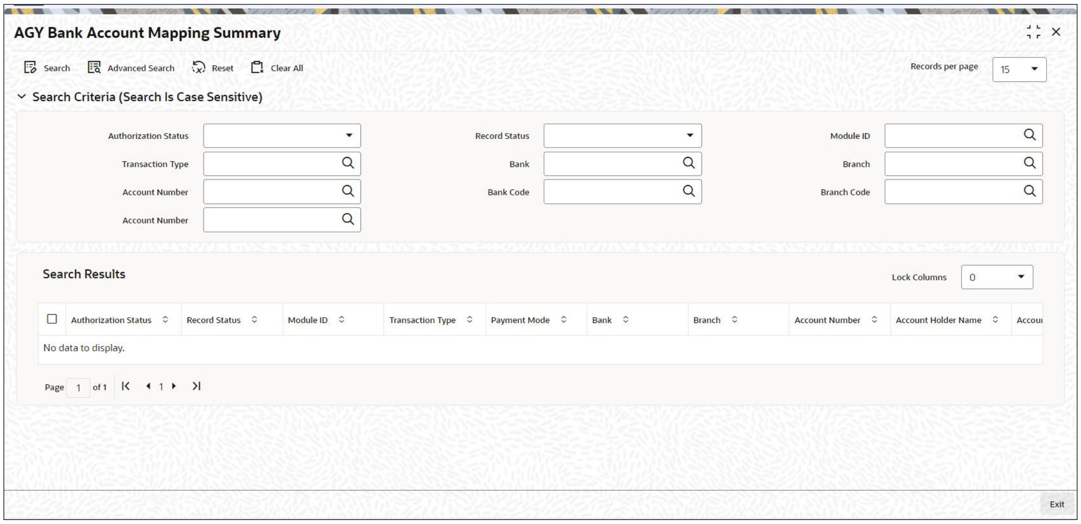
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve an AGY Bank Branch Record

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

   The **AGY Bank Account Mapping Summary** screen is displayed.

Figure 2-54 AGY Bank Account Mapping Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **AGY Bank Account 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**
- **Module ID**
- **Transaction Type**
- **Bank**
- **Branch**
- **Account Number**
- **Bank Code**
- **Branch Code**

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

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

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

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

- Edit an AGY Bank Branch Record
  This topic provides the systematic instructions to edit an AGY Bank Branch record.
- View an AGY Bank Branch Record
  This topic provides the systematic instructions to view an AGY Bank Branch record.
- Delete AGY Bank Branch Record
  This topic provides the systematic instructions to delete AGY Bank Branch record.
- Authorize an AGY Bank Branch Record
  This topic provides the systematic instructions to authorize an AGY Bank Branch record.
- Amend an AGY Bank Branch Record
  This topic provides the systematic instructions to amend an AGY Bank Branch record.
- Authorize Amended an AGY Bank Branch Record
  This topic provides the systematic instructions to authorize amended an AGY Bank Branch record.
- Copy AGY Bank Branch Attributes
  This topic provides the systematic instructions to copy an AGY Bank Branch record.

2.43.1 Edit an AGY Bank Branch Record

This topic provides the systematic instructions to edit an AGY Bank Branch record.

Modify the details of an AGY Bank Branch Record parameters that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **AGY Bank Account 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **AGY Bank Account Mapping Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **AGY Bank Account Mapping Detail** screen is closed and the changes made are reflected in the **AGY Bank Account Mapping Summary** screen.

2.43.2 View an AGY Bank Branch Record

This topic provides the systematic instructions to view an AGY Bank Branch record.

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

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

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

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

   The **AGY Bank Branch Record Maintenance Detail** screen is displayed.

2.43.3 Delete AGY Bank Branch Record

This topic provides the systematic instructions to delete AGY Bank Branch record.

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

1. Start the **AGY Bank Account 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 lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **AGY Bank Account Mapping Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

2.43.4 Authorize an AGY Bank Branch Record

This topic provides the systematic instructions to authorize an AGY Bank Branch record.

Authorize an unauthorized AGY Bank Branch Record in the system for it to be processed as follows:

1. Start the **AGY Bank Account 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 lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **AGY Bank Account Mapping Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record. After authorization of emergency holiday maintenance, transactions captured in the system will be moved to next business date.

2.43.5 Amend an AGY Bank Branch Record

This topic provides the systematic instructions to amend an AGY Bank Branch 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 **AGY Bank Account 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 lower portion of the screen.
4. Double-click the record that you wish to amend.

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

2.43.6 Authorize Amended an AGY Bank Branch Record

This topic provides the systematic instructions to authorize amended an AGY Bank Branch record.

- Authorize an amended AGY Bank Branch Record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

2.43.7 Copy AGY Bank Branch Attributes

This topic provides the systematic instructions to copy an AGY Bank Branch record.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new AGY Bank Branch Record with the same attributes of an existing record.
2. Retrieve the record whose attributes the new indexation 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 indexation. You can, however, change the details of the new record.

2.44 Process Auto Replication Preference Maintenance Detail

This topic provides the systematic instructions to maintain a template that contains the fields in the Unit Holder New Account Maintenance, for which you require replication of any modifications that are made through an Information Change.

Modifications made to a unit holder account under a CIF, through an Information Change operation, might require to be replicated to all unit holder accounts under the CIF.

The **Oracle® FLEXCUBE Investor Servicing** provides the facility of configuring the system so that automatic replication could be achieved.

Maintain a template that contains the fields in the **Unit Holder New Account Maintenance**, for which you require replication of any modifications that are made through an Information Change.

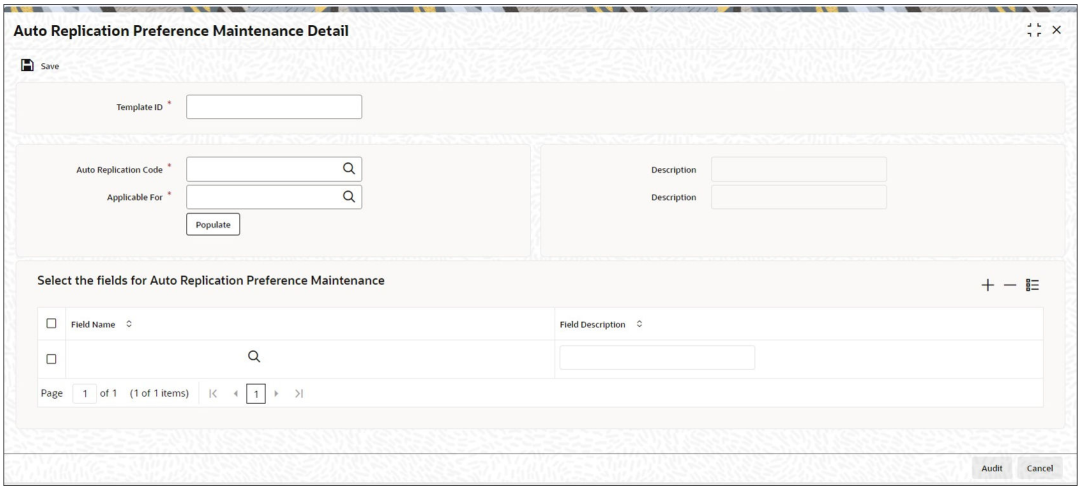
The templates can be maintained at two levels:

- **CIF level**
- **Identification Type level**

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

   The **Auto Replication Preference Maintenance Detail** screen is displayed.

   Figure 2-55 Auto Replication Preference Maintenance Detail

   
   Auto Replication Preference Maintenance Detail
Save
Template ID *
Auto Replication Code *
Applicable For *
Populate
Description
Description
Select the fields for Auto Replication Preference Maintenance
Field Name
Field Description
Page 1 of 1 (1 of 1 items)
1
Audit
Cancel

2. You must maintain the following details to maintain the template in this screen.
   - A unique ID for the template.
   - The level at which the automatic replication of changes made through **Information Change** is required:
     - **CIF level**
     - **Identification Type level**
3. On **Auto Replication Preference Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-55 Auto Replication Preference Maintenance Detail - Field Description

Field	Description
Template ID	*Alphanumeric; 6 Characters; Mandatory* Specify a unique identification for the automatic replication template being maintained.
Auto Replication Code	*Alphanumeric; 25 Characters; Mandatory* This field indicates the type of entity for which the automatic replication template preferences are being maintained. The entity types for which the automatic replication feature is available are pre-configured for your installation. The **Unit Holder Information Change** and **Broker Info Change** options are displayed in this field and cannot be changed.

Table 2-55 (Cont.) Auto Replication Preference Maintenance Detail - Field Description

Field	Description
Description	*Display* The appropriate description is displayed in the Description field.
Applicable For	*Alphanumeric; 1 Character; Mandatory* Specify the level at which the automatic replication of changes made through **Information Change** is required either **CIF** level or **Identification Type** level. Choose CIF relevant fields or Identification Type fields that are available for selection for automatic replication. **Note**: If you select **Auto Replication Code** as **BROKERINFOCHANGE** and **Applicable For** option as **B-Broker** and click **Populate** button, the system displays the list of all available fields for creating a template.
Description	*Display* The appropriate description is displayed in the description field. Click **Populate** button after specifying the mandatory details to view the field name and field description. However, you can amend these values.
Field Name	*Alphanumeric; 30 Characters; Mandatory* Select the fields in the **Unit Holder New Account maintenance**, changes to which are to be replicated to all accounts under a CIF. You can choose either CIF relevant fields, or fields pertaining to Identification Type, depending on the level at which the automatic replication is required, which you have selected in the **Applicable For** field. The list of fields for which the automatic replication feature is available is pre-configured for your installation.
Field Description	*Display* The system displays the description for the selected field name.

2.45 Auto Replication Preference Maintenance Summary

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

Perform the following operations on a template for automatic replication:

- Edit the fields defined for the template, before authorization
- Delete the template before authorization
- View the template
- Have another user authorize the template
- Amend the template after authorization

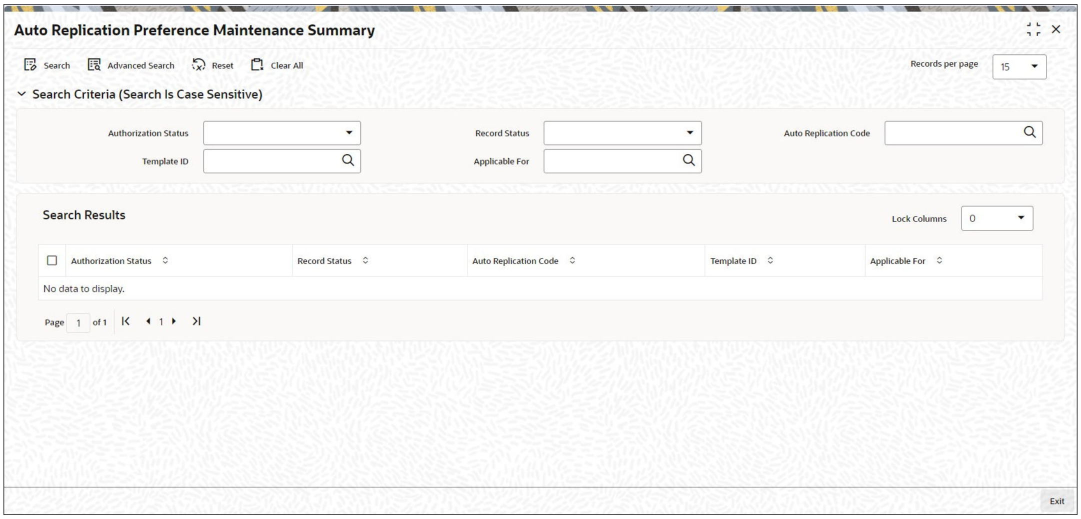
> **Note:**
>
> During edit or amend operations, the template ID cannot be changed. Only the fields tagged to the template, are allowed to be changed.

Retrieve Auto Replication Preference

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

   The **Auto Replication Preference Maintenance Summary** screen is displayed.

   Figure 2-56 Auto Replication Preference Maintenance Summary

2. On **Auto Replication Preference 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**
   - **Auto Replication Code**
   - **Template ID**
   - **Applicable For**
3. Click **Search** button to view the records.

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

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

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

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

For example, you can search the record for Template ID by using the combination of % and alphanumeric value as follows:

- Search by T%: The system will fetch all the records whose Template ID starts from Alphabet ‘A’. For example, TMPL.
- Search by %7: The system will fetch all the records whose Template ID ends by numeric value’ 7’. For example, TMP7.
- Search by %17%: The system will fetch all the records whose Template ID contains the numeric value 17. For example, TMP17.

- Edit Auto Replication Preference
  This topic provides the systematic instructions to edit Auto Replication Preference record.
- View Auto Replication Preference
  This topic provides the systematic instructions to view Auto Replication Preference record.
- Delete Auto Replication Preference
  This topic provides the systematic instructions to delete Auto Replication Preference record.
- Authorize Auto Replication Preference
  This topic provides the systematic instructions to authorize Auto Replication Preference record.
- Amend Auto Replication Preference
  This topic provides the systematic instructions to amend Auto Replication Preference record.
- Authorize Amended Auto Replication Preference
  This topic provides the systematic instructions to authorize amended Auto Replication Preference record.
- Copy AGY Bank Branch Attributes
  This topic provides the systematic instructions to copy Auto Replication Preference record.

2.45.1 Edit Auto Replication Preference

This topic provides the systematic instructions to edit Auto Replication Preference record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.45.2 View Auto Replication Preference

This topic provides the systematic instructions to view Auto Replication Preference record.

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

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

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

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

   The **Auto Replication Preference Maintenance Detail** screen is displayed.

2.45.3 Delete Auto Replication Preference

This topic provides the systematic instructions to delete Auto Replication Preference record.

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

1. Start the **Auto Replication Preference Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Auto Replication Preference 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.

2.45.4 Authorize Auto Replication Preference

This topic provides the systematic instructions to authorize Auto Replication Preference record.

Authorize an unauthorized Agent Level Unit Rounding Record in the system for it to be processed as follows:

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

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

   The **Auto Replication Preference 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.

2.45.5 Amend Auto Replication Preference

This topic provides the systematic instructions to amend Auto Replication Preference record.

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

1. Start the **Auto Replication Preference Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Auto Replication Preference 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.

2.45.6 Authorize Amended Auto Replication Preference

This topic provides the systematic instructions to authorize amended Auto Replication Preference record.

- Authorize an amended auto replication preference record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

2.45.7 Copy AGY Bank Branch Attributes

This topic provides the systematic instructions to copy Auto Replication Preference record.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new auto replication preference with the same attributes of an existing record.
2. Retrieve the record whose attributes the new indexation 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 indexation. You can, however, change the details of the new record.

2.46 Process Country Preference Maintenance Detail

This topic provides the systematic instructions to provide the facility to maintain preferences for Country.

The **Oracle® FLEXCUBE Investor Servicing** provides the facility to associate certain attributes for countries maintained in the system.

You can define the reputation risk of a country, the EUSD option associated with it and assign alpha codes in the **Country Preference Maintenance Detail** screen.

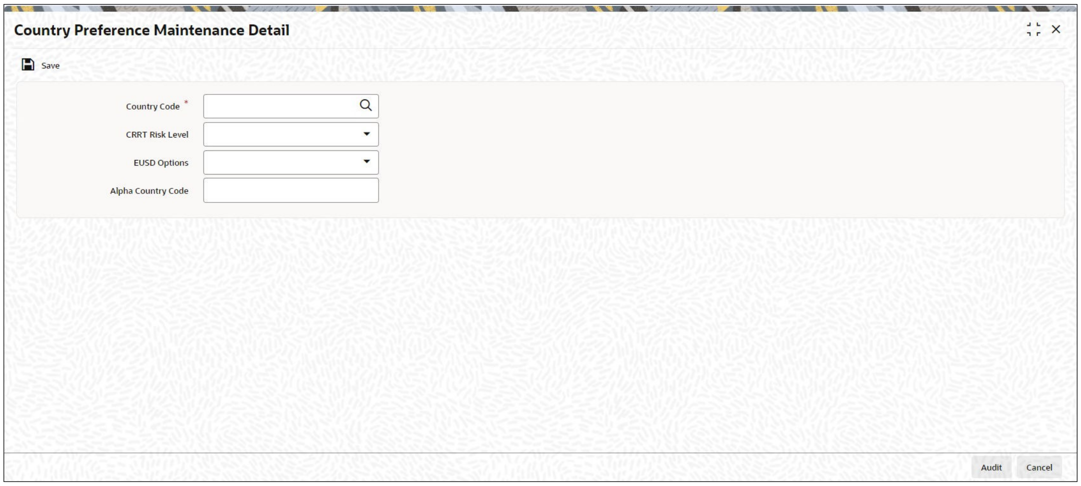
Before you associate any attribute with a country, it is desirable to ensure that the following information is already setup in the system.

The countries that must be associated with **EUSD** options must be set up in the system in the Country Maintenance.

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

   The **Country Preference Maintenance Detail** screen is displayed.

Figure 2-57 Country Preference Maintenance Detail



2. On **Country Preference Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-56 Country Preference Maintenance Detail - Field Description

Field	Description
Country Code	*Alphanumeric; 3 Characters; Mandatory* Select the country for which you wish to define preferences.
CRRT Risk Level	*Optional* Select the **Country Reputation Risk Table (CRRT)** associated with the country from the drop-down list. The reputation risk level may either be **High** or **Low**. **High** implies that it is a high risk country while **Low** indicates cautionary risk country. While creating a unit holder, if the unit holder domicile country is listed in the CRRT list, then system throws up an error depending on the country risk level.
EUSD Options	*Optional* You need to associate a **European Union Savings Directive (EUSD)** option with each country. Based upon unit holder's country of domicile, the corresponding EUSD option of that country will get defaulted during unit holder creation. The list displays the following values: • **With Holding Tax** • **Exchange of Information** By default no option will be selected. If no option is selected the system will consider that the EUSD is not applicable and the system will not track the average cost as required for EUSD. If any of the option is selected then the system will consider that the EUSD is applicable. The EUSD option at transaction level will be defaulted from the unit holder's EUSD Option. You can also modify the EUSD option at transaction level. The transaction level option will be taken as the EUSD option for a transaction. The following EUSD Options would be available at transaction level. • **With Holding Tax (WHT)** • **Exchange of Information (EOI)** • **Tax Certificate (TCE)** For all of the above three options, the system will calculate the EUSD tax. However, if you select **With Holding Tax**, the system will deduct it from the settlement amount.
Alpha Country Code	*Alphanumeric; 3 Characters; Optional* Specify the **Alpha Country Code**.

You must have another user authorize it so that it would be effective in the system after you have defined the preferences of a country.

Before the record is authorized, you can edit it as many times as necessary. You can also delete it before it is authorized.

After authorization, you can only make changes to the record through an amendment.

2.47 Country Preference Maintenance Summary

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

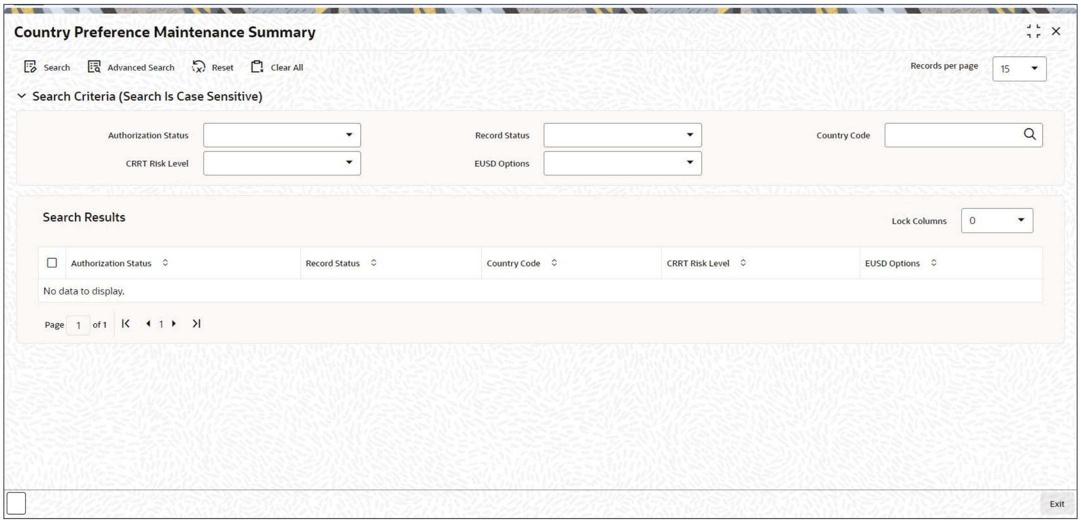
After you have set up the country preferences, you must have another user authorize it so that it would be effective in the system. Country preferences for an unauthorized record will not be used in the system.

Retrieve Country Preference Details

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

   The **Country Preference Maintenance Summary** screen is displayed.

   Figure 2-58   Country Preference Maintenance Summary

2. On **Cheque Book Request Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **The Country Code**
   - **EUSD Options**
   - **CRRT Risk Level**
3. Click **Search** button to view the records.

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

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input the Country 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 percentage and alphanumeric value.

- Edit Country Preference Details
  This topic provides the systematic instructions to edit Country Preference Details record.
- View Country Preference Details
  This topic provides the systematic instructions to view Country Preference Details record.
- Delete Country Preference Details
  This topic provides the systematic instructions to delete Country Preference Details record.
- Authorize Country Preference Details
  This topic provides the systematic instructions to authorize Country Preference Details record.
- Amend Country Preference Details
  This topic provides the systematic instructions to amend Country Preference Details record.
- Authorize Amended Country Preference Details
  This topic provides the systematic instructions to authorize amended Country Preference Details record.
- Copy Attributes
  This topic provides the systematic instructions to copy Country Preference Details record.

2.47.1 Edit Country Preference Details

This topic provides the systematic instructions to edit Country Preference Details record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

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

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

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

2.47.2 View Country Preference Details

This topic provides the systematic instructions to view Country Preference Details record.

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

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

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

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

   The **Country Preference Maintenance Detail** screen is displayed.

2.47.3 Delete Country Preference Details

This topic provides the systematic instructions to delete Country Preference Details record.

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

1. Start the **Country Preference Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Country Preference 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.

2.47.4 Authorize Country Preference Details

This topic provides the systematic instructions to authorize Country Preference Details record.

Authorize an unauthorized country preference details in the system for it to be processed as follows:

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

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

   The **Country Preference 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.

2.47.5 Amend Country Preference Details

This topic provides the systematic instructions to amend Country Preference Details 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 **Country Preference Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Country Preference 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.

2.47.6 Authorize Amended Country Preference Details

This topic provides the systematic instructions to authorize amended Country Preference Details record.

- Authorize an amended country preference record for the amendment to be made effective in the system.

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

2.47.7 Copy Attributes

This topic provides the systematic instructions to copy Country Preference Details record.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new country preference record with the same attributes of an existing record.
2. Retrieve the record whose attributes the new indexation 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 indexation. You can, however, change the details of the new record.

2.48 Process Language Support Detail

This topic provides the systematic instructions to maintain multiple languages in the system.

Oracle® FLEXCUBE Investor Servicing provides the facility to maintain multiple languages in the system. You may select different languages at the time of installation. However, you may select additional languages at a later stage. Existing information entered in the default language gets copied to all the languages selected.
The **Language Support Detail** screen allows you to select languages in which information is stored in the system apart from the default English language.

A list of factory shipped languages is provided. You may select the language codes that the system should support. You can capture information such as the currency name, fund name, etc. in the languages chosen in this screen.

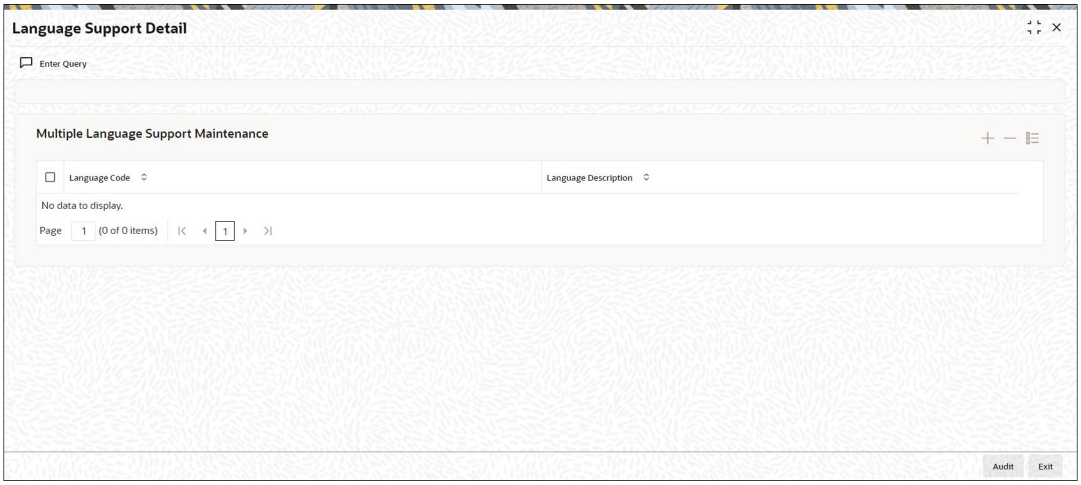
The **Language Support Detail** screen can be used for the following operations on multiple languages:

- Retrieval for viewing
- Selecting additional language codes
- Editing an unauthorized language selection
- Authorizing language codes selected
- Amending authorized language selections

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

   The **Language Support Detail** screen is displayed.

Figure 2-59   Language Support Detail



2. On **Language Support Detail** screen, click **New** to enter the details.

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

Table 2-57   Language Support Detail - Field Description

Field	Description
Multiple Language Support Maintenance	The section displays the following fields.
Language Code	*Alphanumeric; 12 Characters; Optional* Specify the code of the language. The adjoining option list displays valid language codes maintained in the system. You can select the appropriate one.
Language Description	*Display* Upon selection of the language code, the system displays the description of the specified language code. The above fields will be enabled only after executing the query.

2.49 Process KYC Maintenance Detail

This topic provides the systematic instructions to maintain the standard and additional lists of documents.

For each jurisdiction (segment), you need to maintain standard and additional lists of documents to be collected from the investor. You may capture transactions; however system does not allow you to complete a transaction unless all the KYC requirements for that unit holder are met.

The lists of such documents vary based on the following parameters:

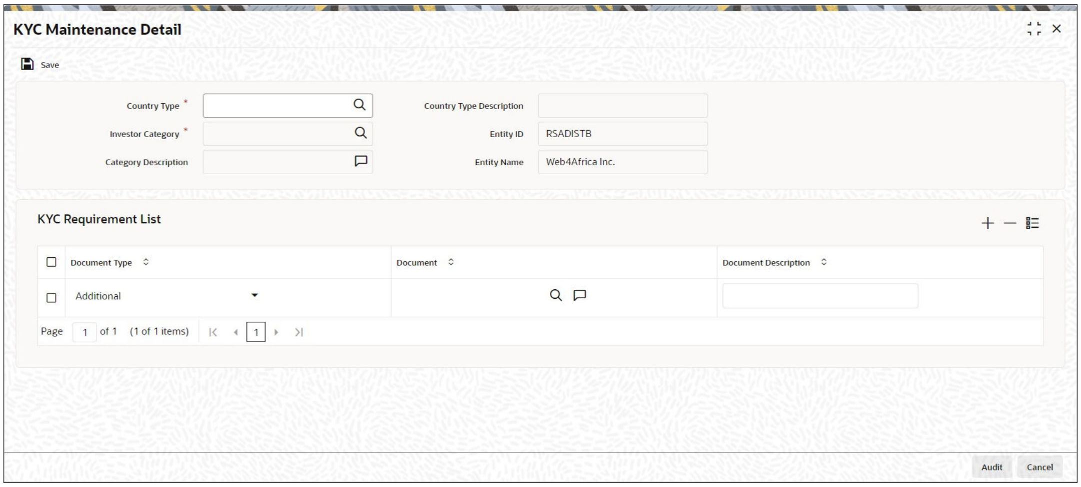
- Investor Entity Type (Trust, Individual, Fund, etc)
- Origin of funds: the investor’s bank account is in a FATF or Non FATF Country

The ID of the entity assigned to the agent and its corresponding description are shown when you invoke the screen.

1. On **Home** screen, type **UTDKYCMT** click **New** to enter the details.

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

Figure 2-60 KYC Maintenance Detail



Entity ID: RSADISTB

Entity Name: Web4Africa Inc.

2. On **KYC Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-58 KYC Maintenance Detail - Field Description

Field	Description
Country Type	*Alphanumeric; 1 Character; Mandatory* In FCIS, countries are categorized into four types; • **Financial Action Task Force (FATF)** • **Non FATF** • **NCCT** • **CRRT** FATF is an inter-governmental body for developing and promoting policies to combat money laundering. Select **FATF** if you wish to maintain list of required KYC documents for investor account residing in a FATF country. Else, select **Non FATF**.
Country Type Description	*Display* The system displays the description for the selected country type.
Investor Category	*Alphanumeric; 2 Characters; Mandatory* Select the category of investor for whom the list of required KYC documents is to be set up, from the list.
Category Description	*Display* The system displays the description for the selected investor category.
Entity ID	*Display* The system defaults the **Entity ID** linked to the selected country type.
Entity Name	*Display* The system defaults the corresponding name of the defaulted entity here.
KYC Requirement List	The section displays the following fields.

Table 2-58 (Cont.) KYC Maintenance Detail - Field Description

Field	Description
Document Type	*Optional* You can either classify documents as **Standard** or as **Additional**.
Document	*Alphanumeric; 255 Characters; Mandatory* Specify the document name.
Document Description	*Display* The system displays document description for the selected document.

2.50 KYC Maintenance Summary

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

Perform any of the following operations before the record is authorized, after you have maintained lists of required KYC documents in the system:

- Edit the specified documents in the record.
- Delete the record.

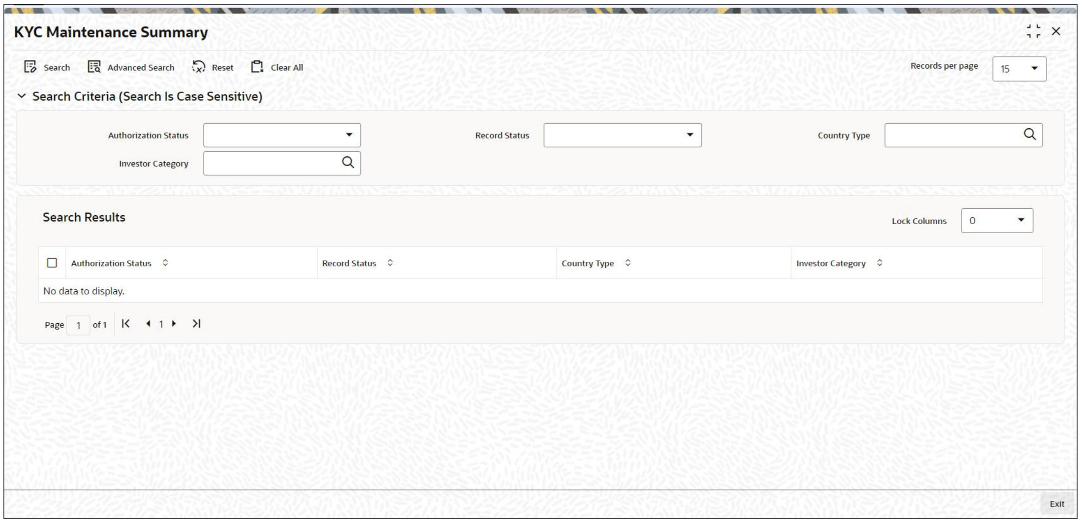
After authorization, you can make changes to the record through an amendment operation.

Retrieve KYC Details

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

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

Figure 2-61 KYC Maintenance Summary



2. On **KYC 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**
- **Country Type**
- **Investor Category**

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

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

   > **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.

   Example: You can search the record for Investor Category by using the combination of % and alphanumeric value that is, Search by N%: The system will fetch all the records whose Investor Category starts with the alphabet ‘N’. Ex: NR.

- Edit KYC Details
  This topic provides the systematic instructions to edit KYC Details record.
- View KYC Details
  This topic provides the systematic instructions to view KYC Details record.
- Delete KYC Details
  This topic provides the systematic instructions to delete KYC Details record.
- Authorize KYC Details
  This topic provides the systematic instructions to authorize KYC Details record.
- Amend KYC Details
  This topic provides the systematic instructions to amend KYC Details record.
- Authorize Amended KYC Details
  This topic provides the systematic instructions to authorize amended KYC Details record.
- Copy Attributes
  This topic provides the systematic instructions to copy attributes KYC Details.

2.50.1 Edit KYC Details

This topic provides the systematic instructions to edit KYC Details record.

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

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

You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.50.2 View KYC Details

This topic provides the systematic instructions to view KYC Details record.

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

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

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

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

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

2.50.3 Delete KYC Details

This topic provides the systematic instructions to delete KYC Details record.

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

1. Start the **KYC Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

The **KYC 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.

2.50.4 Authorize KYC Details

This topic provides the systematic instructions to authorize KYC Details record.

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

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

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

   The **KYC 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.

2.50.5 Amend KYC Details

This topic provides the systematic instructions to amend KYC Details record.

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

1. Start the **KYC Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **KYC 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.

2.50.6 Authorize Amended KYC Details

This topic provides the systematic instructions to authorize amended KYC Details record.

- Authorize an amended KYC record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

2.50.7 Copy Attributes

This topic provides the systematic instructions to copy attributes KYC Details.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new payment record with the same attributes of an existing record.
2. Retrieve the record whose attributes the new payment 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 record. You can, however, change the details of the new record.

2.51 Process KYC Ref Type Restrictions Detail

This topic provides the systematic instructions to exclude ref types from redemption payout restrictions.

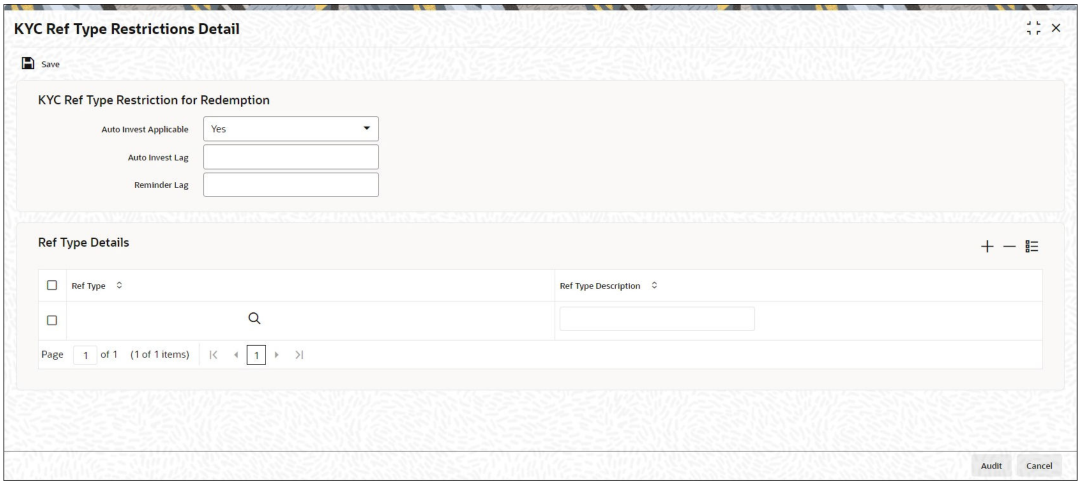
According to **Financial Intelligence Compliance Act (FICA)**, redemption payment transactions should not be processed until the required KYC documents have been received from the investor. However, you can configure the system to exclude certain reference types of transactions from the restrictions on redemption payouts even though the unit holder is FICA non-compliant.
You can use **KYC Ref Type Restrictions Detail** screen to:

- Enter new KYC ref type restrictions.
- Edit existing KYC ref type restrictions.
- View existing KYC ref type restrictions.
- Delete existing KYC ref type restrictions.
- Authorize KYC ref type restrictions.
- Amend authorized KYC ref type restrictions.

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

   The **KYC Ref Type Restrictions Detail** screen is displayed.

Figure 2-62 KYC Ref Type Restrictions Detail


KYC Ref Type Restrictions Detail
Save
KYC Ref Type Restriction for Redemption
Auto Invest Lag
Reminder Lag
Ref Type Details
Ref Type
Ref Type Description
Page 1 of 1 (1 of 1 items)
1
Audit
Cancel

Auto Invest Applicable: Yes

2. On **KYC Ref Type Restrictions Detail** screen, click **New** to enter the details.

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

Table 2-59 KYC Ref Type Restrictions Detail - Field Description

Field	Description
Auto Invest Applicable	*Optional* Check this box to indicate auto investment feature is applicable.
Auto Invest Lag	*Numeric; 22 Characters; Optional* If auto investment feature is applicable, then you need to specify the payment lag in days, if any, to be applicable for redemption payouts.
Reminder Lag	*Numeric; 22 Characters; Optional* Specify the reminder lag, in days, after which reminders must be generated for the redemption payout. The reminder lag must be less than the auto invest lag period specified in the previous field.
Ref Type Details Section	This section displays the following fields.
Ref Type	*Alphanumeric; 50 Characters; Optional* Select the code of the reference type from the adjoining option list.
Ref Type Description	*Display* The system displays the description of the selected reference type.

2.52 KYC Ref Type Restrictions Summary

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

The following operations can be performed in the **KYC Ref Type Restrictions Summary** screen:

- Retrieving KYC Ref Type Restrictions Record
- Editing KYC Ref Type Restrictions Record
- Viewing KYC Ref Type Restrictions Record
- Delete KYC Ref Type Restrictions Record

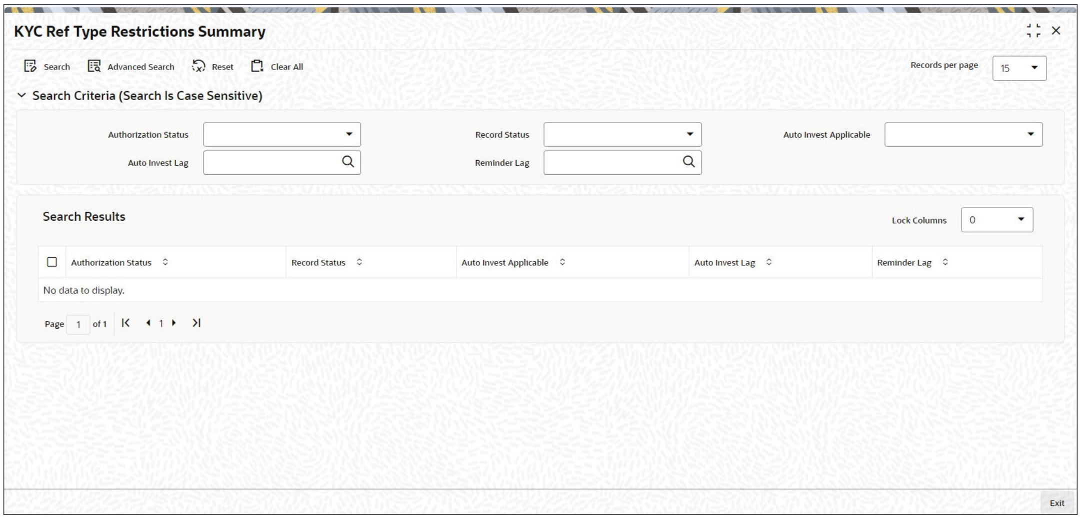
- Authorizing KYC Ref Type Restrictions Record
- Amending KYC Ref Type Restrictions Record
- Authorizing KYC Ref Type Restrictions Record
- Copying the Attributes

Retrieve KYC Ref Type Restrictions

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

   The **KYC Ref Type Restrictions Summary** screen is displayed.

   Figure 2-63 KYC Ref Type Restrictions Summary

2. On **KYC Ref Type Restrictions 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**
   - **Auto Invest Applicable**
   - **Auto Invest lag**
   - **Reminder Lag**
3. Click **Search** button to view the records.

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

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

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

- Edit KYC Ref Type Restrictions
  This topic provides the systematic instructions to edit KYC Ref Type Restrictions record.
- View KYC Ref Type Restrictions
  This topic provides the systematic instructions to view KYC Ref Type Restrictions record.
- Delete KYC Ref Type Restrictions
  This topic provides the systematic instructions to delete KYC Ref Type Restrictions record.
- Authorize KYC Ref Type Restrictions
  This topic provides the systematic instructions to authorize KYC Ref Type Restrictions record.
- Amend KYC Ref Type Restrictions
  This topic provides the systematic instructions to amend KYC Ref Type Restrictions record.
- Authorize Amended KYC Ref Type Restrictions
  This topic provides the systematic instructions to authorize amended KYC Ref Type Restrictions record.
- Copy Attributes
  This topic provides the systematic instructions to copy attributes.

2.52.1 Edit KYC Ref Type Restrictions

This topic provides the systematic instructions to edit KYC Ref Type Restrictions record.

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

1. Start the **KYC Ref Type Restrictions Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

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

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

   The **KYC Ref Type Restrictions Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **KYC Ref Type Restrictions Detail** screen is closed and the changes made are reflected in the **KYC Ref Type Restrictions Summary** screen.

2.52.2 View KYC Ref Type Restrictions

This topic provides the systematic instructions to view KYC Ref Type Restrictions record.

View a record that you have previously input by retrieving the same in the **KYC Ref Type Restrictions Summary** screen. Perform this operation as follows:

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

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

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

   The **KYC Ref Type Restrictions Detail** screen is displayed.

2.52.3 Delete KYC Ref Type Restrictions

This topic provides the systematic instructions to delete KYC Ref Type Restrictions record.

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

1. Start the **KYC Ref Type Restrictions Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **KYC Ref Type Restrictions 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.

2.52.4 Authorize KYC Ref Type Restrictions

This topic provides the systematic instructions to authorize KYC Ref Type Restrictions record.

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

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

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

   The **KYC Ref Type Restrictions 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.

2.52.5 Amend KYC Ref Type Restrictions

This topic provides the systematic instructions to amend KYC Ref Type Restrictions record.

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

1. Start the **KYC Ref Type Restrictions Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **KYC Ref Type Restrictions 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.

2.52.6 Authorize Amended KYC Ref Type Restrictions

This topic provides the systematic instructions to authorize amended KYC Ref Type Restrictions record.

- Authorize an amended KYC Ref Type record for the amendment to be made effective in the system.

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

2.52.7 Copy Attributes

This topic provides the systematic instructions to copy attributes.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new KYC Ref Type Restriction with the same attributes of an existing record.
2. Retrieve the record whose attributes the new KYC Ref Type Restriction 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 KYC Ref Type Restriction. You can, however, change the details of the new record.

2.53 SIP/ SWP/ STP Rules

This topic provides the information on SIP/ SWP/ STP Rules.

Maintaining Systematic Plans

FCIS allows you to meet the following requirements related to rules for systematic plans:

- Multiple frequencies for SIP/ SWP/ STP
- Min / Max SI amount per frequency and automatic cancellation after `n` failures
- Minimum number of SIP/ SWP/ STP to be committed per frequency
- Validation of holdings for SWP/ STP setup
- Automatic cancellation after last installment in SWP/ STP

The multiple frequencies provided for SI at Fund level are as mentioned below:

Frequency	Available values for each frequency	Explanation
Weekly (A)	1,8,15,22 2,10,20,28 3,6,16,27 4,7,18,29 5,10,15,20	You need to select any 4 dates from 1 to 31. There would be 5 such sets of dates at fund level. While capturing SI, you can select any of the sets available at the fund level and map it to the unitholder.
Weekly (B)	Sun/Mon/Tue/ Wed/Thu/Fri/Sat	At the fund rules level, there are a set of values from Sunday to Saturday. Fund would map any day(s) as applicable. While capturing SI, you would be able to select any day from the set available at Fund level.
Fortnightly	1,22 2,28 3,27 4,29 5,20	You can select any 2 dates from 1 to 31. There would be 5 such sets of dates at fund level. While capturing SI, you can select any of the sets available at Fund level.

Frequency	Available values for each frequency	Explanation
Monthly	Any date of month	User would choose any date(s) from 1 to 31. While capturing SI, user would select any of the date from the allowed dates at fund level.
Quarterly	Any date of month	You can choose any date(s) from 1 to 31. While capturing SI, you can select any of the date from the allowed dates at fund level. If the first SI is to generate on 18th Jan, the next generation would happen on 18th April.

Note:

Only one of the weekly frequencies is applicable to a fund i.e. either date based or week based.

You are allowed to capture minimum amount, maximum amount and minimum balance of SI for each frequency and transaction type. Example, for SIP of weekly frequency, the minimum amount is Rs. 500 and maximum amount is Rs. 1000.The SI setup validates the SI for the amount captured at the frequency level.

The System should automatically cancels SIP/ SWP/ STP after 3 (parameterized value) continuous failures. Also, minimum balance in amount is captured for every frequency. At the time of setting up SWP and STP, the system validates this amount against the amount by multiplying the balance and the latest NAV. The STP validation is applicable in the fund from which STP is done.

Oracle® FLEXCUBE Investor Servicing also allows you to capture the minimum number of SI at frequency level. SI setup is allowed until the criteria for minimum number of SI is met. The start date and end date of the SI is generated depending on the SI rules.

For example,

UH can invest in monthly frequency – SI dates are 2nd or 10th of a month

UH can invest in quarterly frequency – SI dates are 3rd or 15th of a month

Minimum number of installments for monthly frequency is 6 and for quarterly frequency is 2.

Assuming that a unit holder decides to invest in monthly SIP and selects 10th as the SIP date. The application is submitted on 9th Jan and UH gives 6 instructions. The SI setup is allowed because criteria for 6 SI’s are met. Also the start date and end date is defaulted to 10th Jan and 10th Jun respectively.

In case SWP/ STP results in lesser amount being confirmed back by RTA (a case where no further balance is available), the SWP/ STP is automatically canceled.

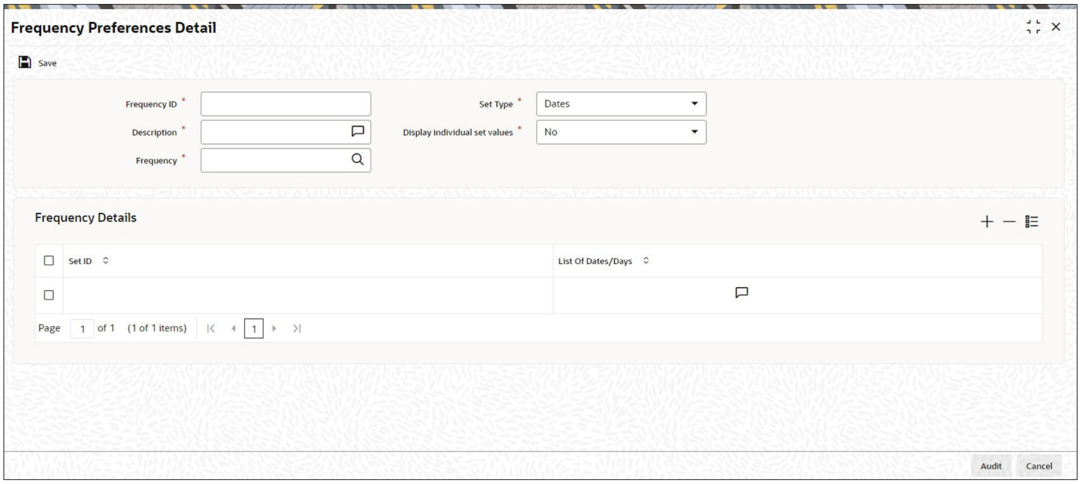
2.54 Process Frequency Preferences Detail

This topic provides the systematic instructions to define setup of dates / days that can be used for mapping in Fund rules and Standing Instructions.

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

   The **Frequency Preferences Detail** screen is displayed.

   Figure 2-64 Frequency Preferences Detail

   Set Type * Dates
   Display individual set values * No

2. On **Frequency Preferences Detail** screen, click **New** to enter the details.

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

   Table 2-60 Frequency Preferences Detail - Field Description

Frequency	Available values for each frequency
Frequency ID	*Alphanumeric; 10 Characters; Mandatory* Enter a unique ID for the setup.
Description	*Alphanumeric; 255 Characters; Mandatory* Specify the description of the setup.
Frequency	*Alphanumeric; 1 Character; Mandatory* Specify the frequency. Alternatively, you can select frequency code from the option list. The list displays all valid frequency code maintained in the system.
Set Type	*Mandatory* This is applicable only if frequency selected is Weekly. The Applicable values being either Dates or Days. For other frequencies, it would be defaulted to Dates and you will not be allowed to change it.

Table 2-60 (Cont.) Frequency Preferences Detail - Field Description

Frequency	Available values for each frequency
Display individual set values	*Display* The system automatically derives **Display Individual Set Values** based on the **Frequency** and **Set Type** selected. If you have selected **Frequency** as **Weekly**, then you can select **Set Type** as `Dates` or `Days`. The logic of **Display individual set values** derived by the system is as follows: • If the **Frequency** is `weekly` and set type is **DATE**, the **Display individual set values** should be `NO` • If the **Frequency** is `weekly` and set type is **DAY**, the **Display individual set values** should be `YES` • If the **Frequency** is `Fortnightly` and set type is **DATE**, the **Display individual set values** should be `NO` • If the **Frequency** is `Monthly` and set type is **DATE**, the **Display individual set values** should be `YES/NO` (only one value in one SET so functionally no use). • If the **Frequency** is `Quarterly` and set type is **DATE**, the **Display individual set values** should be `YES/NO` (only one value in one SET so functionally no use).
Frequency Details	The section displays the following fields.
Set ID	*Alphanumeric; 10 Characters; Mandatory* Specify the unique ID for this set depending on the frequency specified. **Note**: If **Set ID** is already mapped to the SI, you cannot delete the same during amendment. This will be checked by looking at the funds that are mapped to the **Frequency ID** for which SI has been setup for a particular **Set ID**.
List Of Dates/Days	*Alphanumeric; 255 Characters; Mandatory* Specify the dates or days based on the **Set Type**. **Note:** If the client country parameter is set to **SIRULEATFREQ** for your bank. Refer *Annex_A.doc* for further details.

2.55 Frequency Preferences Summary

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

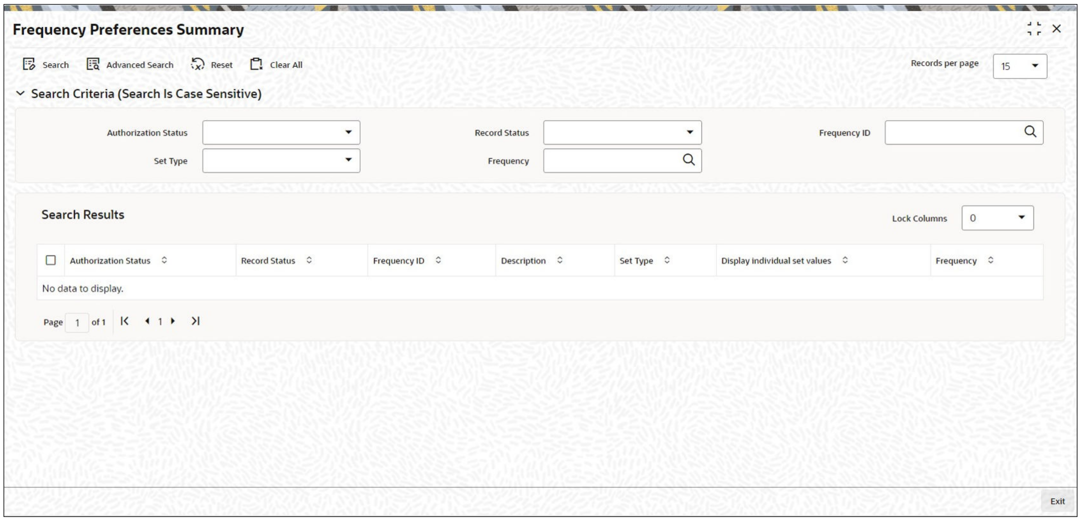
The **Frequency Preferences Summary** screen can be used to view the details regarding setup of dates / days that can be used for mapping in Fund rules and Standing Instructions.

Retrieve Frequency Preference Record

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

   The **Frequency Preferences Summary** screen is displayed.

Figure 2-65   Frequency Preferences Summary



2. On **Frequency Preferences 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**
   - **Frequency ID**
   - **Frequency**
   - **Set Type**
3. Click **Search** button to view the records.

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

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

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

   For Example: You can search the record for Frequency ID by using the combination of % and numeric value:

   - Search by %7:- System will fetch all the records whose Frequency ID Type ends by numeric value’ 7’. For example, 1247.

  - Search by %17%:- System will fetch all the records whose Frequency ID contains the numeric value 17. For example, 1417.

- Edit Frequency Preference Record
  This topic provides the systematic instructions to edit Frequency Preference record.
- View Frequency Preference Record
  This topic provides the systematic instructions to view Frequency Preference record.
- Delete Frequency Preference Record
  This topic provides the systematic instructions to delete Frequency Preference record.
- Authorize Frequency Preference Record
  This topic provides the systematic instructions to authorize Frequency Preference record.
- Amend Frequency Preference Record
  This topic provides the systematic instructions to amend Frequency Preference record.
- Authorize Amended Frequency Preference Record
  This topic provides the systematic instructions to authorize amended Frequency Preference record.
- Copy Attributes
  This topic provides the systematic instructions to copy attributes.

2.55.1 Edit Frequency Preference Record

This topic provides the systematic instructions to edit Frequency Preference record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Frequency Preferences 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 **Frequency Preferences Detail** screen is closed and the changes made are reflected in the **Frequency Preferences Summary** screen.

2.55.2 View Frequency Preference Record

This topic provides the systematic instructions to view Frequency Preference record.

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

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

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

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

   The **Frequency Preferences Detail** screen is displayed.

2.55.3 Delete Frequency Preference Record

This topic provides the systematic instructions to delete Frequency Preference record.

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

1. Start the **Frequency Preferences Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Frequency Preferences 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.

2.55.4 Authorize Frequency Preference Record

This topic provides the systematic instructions to authorize Frequency Preference record.

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

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

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

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

   The **Frequency Preferences 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.

2.55.5 Amend Frequency Preference Record

This topic provides the systematic instructions to amend Frequency Preference record.

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

1. Start the **Frequency Preferences Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

   The **Frequency Preferences 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.

2.55.6 Authorize Amended Frequency Preference Record

This topic provides the systematic instructions to authorize amended Frequency Preference record.

- Authorize an amended frequency preference record for the amendment to be made effective in the system.

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

2.55.7 Copy Attributes

This topic provides the systematic instructions to copy attributes.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new frequency preference with the same attributes of an existing record.
2. Retrieve the record whose attributes the new frequency preference 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 frequency preference. You can, however, change the details of the new record.

2.56 Process FCIS Interest Rate Maintenance Detail

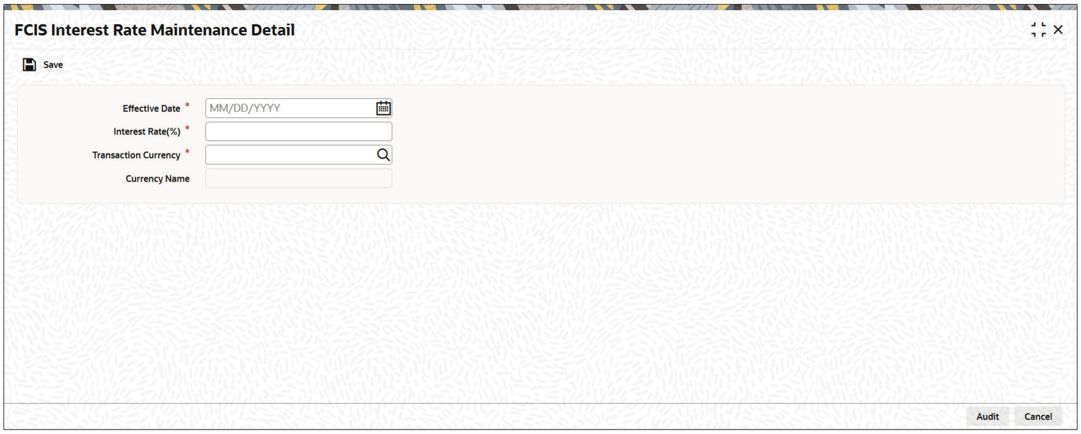
This topic provides the systematic instructions to maintain interest rate that is to be used for interest calculation.

In order to arrive at the rate of interest, you have to maintain the effective date, transaction currency details and interest rate of the transaction.

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

   The **FCIS Interest Rate Maintenance Detail** screen is displayed.

   Figure 2-66 FCIS Interest Rate Maintenance Detail

2. On **FCIS Interest Rate Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-61 FCIS Interest Rate Maintenance Detail - Field Description

Field	Description
Effective Date	*Date Format; Mandatory* Specify the date the system should consider for calculating the rate of interest.
Interest Rate (%)	*Numeric; 30 Characters; Mandatory* Specify the interest rate for the currency you have selected.
Transaction Currency	*Alphanumeric; 3 Characters; Mandatory* Select the currency of transaction from the option list.
Currency Name	*Display* The system displays the name of the selected transaction currency.

2.57 FCIS Interest Rate Maintenance Summary

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

After you have maintained Interest Rates, you must authorize it to be effective in the system. Before the Interest Rates are authorized, you can edit it as many times as necessary.

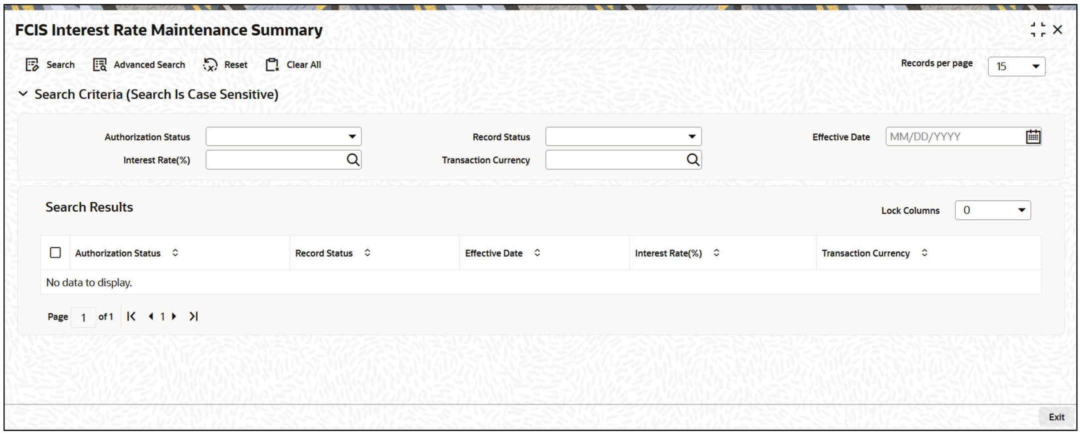
Here, in this screen you can view the summary of all the transactions on different dates, currencies and interest rates. Hence this screen helps you keep track of the interest rates.

Retrieve Interest Rate

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

   The **FCIS Interest Rate Maintenance Summary** screen is displayed.

Figure 2-67 FCIS Interest Rate Maintenance Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **FCIS Interest Rate Maintenance Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Effective Date**
   - **Interest Rate(%)**
   - **Transaction Currency**
3. Click **Search** button to view the records.

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

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

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

   For Example: You can search the record for Interest Rate by using the combination of % and alphanumeric value as follows:-

   - Search by Z%: The system will fetch all the records whose Interest Rate starts from Alphabet 'Z'. For example, ZAR.
   - Search by %2: The system will fetch all the records whose Interest Rate ends by numeric value' 2'. For example, 12.

- Edit Interest Rate
  This topic provides the systematic instructions to edit Interest Rate.
- View Interest Rate
  This topic provides the systematic instructions to view Interest Rate.
- Delete Interest Rate
  This topic provides the systematic instructions to delete Interest Rate.
- Authorize Interest Rate
  This topic provides the systematic instructions to authorize Interest Rate.
- Amend Interest Rate
  This topic provides the systematic instructions to amend Interest Rate.
- Authorize Amended Interest Rate
  This topic provides the systematic instructions to authorize amended Interest Rate.
- Copy Attributes
  This topic provides the systematic instructions to copy Interest Rate attributes.

2.57.1 Edit Interest Rate

This topic provides the systematic instructions to edit Interest Rate.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

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

2.57.2 View Interest Rate

This topic provides the systematic instructions to view Interest Rate.

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

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

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

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

   The **FCIS Interest Rate Maintenance Detail** screen is displayed.

2.57.3 Delete Interest Rate

This topic provides the systematic instructions to delete Interest Rate.

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

1. Start the **FCIS Interest Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Interest Rate 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.

2.57.4 Authorize Interest Rate

This topic provides the systematic instructions to authorize Interest Rate.

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

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

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

   The **FCIS Interest Rate 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.

2.57.5 Amend Interest Rate

This topic provides the systematic instructions to amend Interest Rate.

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 Interest Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **FCIS Interest Rate 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.

2.57.6 Authorize Amended Interest Rate

This topic provides the systematic instructions to authorize amended Interest Rate.

- Authorize an amended Interest Rate for the amendment to be made effective in the system.

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

2.57.7 Copy Attributes

This topic provides the systematic instructions to copy Interest Rate attributes.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new interest rate with the same attributes of an existing record.
2. Retrieve the record whose attributes the new interest rate 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 interest rate. You can, however, change the details of the new record.

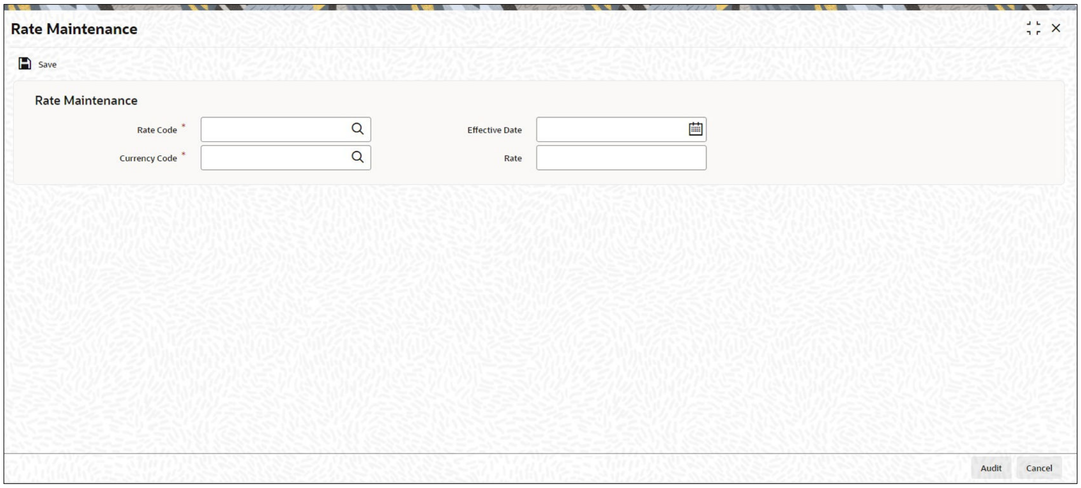
2.58 Process Rate Maintenance

This topic provides the systematic instructions to maintain the interest rate details for hedge funds.

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

   The **Rate Maintenance** screen is displayed.

Figure 2-68 Rate Maintenance



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

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

Table 2-62 Rate Maintenance - Field Description

Field	Description
Rate Code	*Alphanumeric; 10 Characters; Mandatory* Specify the rate code applicable for hedge fund or select the rate code from the option list provided. All rate codes maintained for the system parameter **RATECODE** get displayed in the option list.

Table 2-62 (Cont.) Rate Maintenance - Field Description

Field	Description
Currency Code	*Alphanumeric; 3 Characters; Mandatory* Specify currency code related to the hedge fund or select the same from the option list provided. All valid currency codes maintained in the system get displayed in the option list.
Effective Date	*Date Format; Mandatory* Specify the date on which the selected rate code becomes effective in the system. You can select the date by clicking the **Calendar** icon provided.
Rate	*Numeric; 10 Characters; Mandatory* Specify the interest rate to be applied for hedge funds. The rate specified here becomes effective on the **Effective Date** indicated previously.

Operations on Interest Rate Details
Perform the following operations on an interest rate record.

3. **New** – an unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
4. **Modify** – an unauthorized record can be modified by the maker (edit rights required)
5. **Delete** – an unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).
6. **Authorize** – an unauthorized record can be authorized by anyone other than the maker (authorize rights required)
7. **Amend** – you can also amend a rate record, if required

2.59 Rate Maintenance Summary

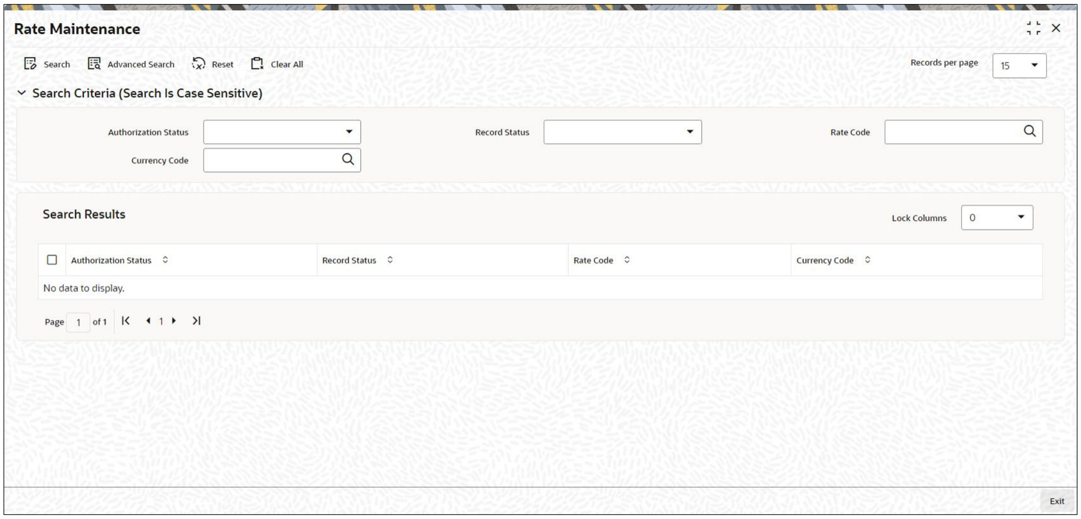
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Rate Maintenance Record

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

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

Figure 2-69 Rate Maintenance Summary



Records per page: 15

Lock Columns: 0

No data to display.

Page 1 of 1

2. On **Rate 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**
   - **Rate Code**
   - **Currency Code**
3. Click **Search** button to view the records.

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

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

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

- Amend Rate Maintenance Record
  This topic provides the systematic instructions to amend Rate Maintenance record.

2.59.1 Edit Rate Maintenance Record

This topic provides the systematic instructions to edit Rate Maintenance record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.59.2 View Rate Maintenance Record

This topic provides the systematic instructions to view Rate Maintenance record.

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

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

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

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

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

2.59.3 Delete Rate Maintenance Record

This topic provides the systematic instructions to delete Rate Maintenance record.

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

1. Start the **Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Rate 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.

2.59.4 Authorize Rate Maintenance Record

This topic provides the systematic instructions to authorize Rate Maintenance record.

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

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

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

   The **Rate 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.

2.59.5 Amend Rate Maintenance Record

This topic provides the systematic instructions to amend Rate 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 **Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

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

   The **Rate 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.

2.60 Process High Water Mark Maintenance

This topic provides the systematic instructions to maintain the details related high water mark for a fund.

High Water Mark (HWM) is defined to determine the performance fee associated with a hedge fund. **High Water Mark** mechanism ensures that the **Fund Managers** do not get the performance fee when the fund has negative performance compared to the previous performance fee period.
The **Fund Manager** receives performance fee only on increases in **Net Asset Value** of the fund, in excess of the highest net asset value **High Water Mark (HWM)** it had previously achieved.

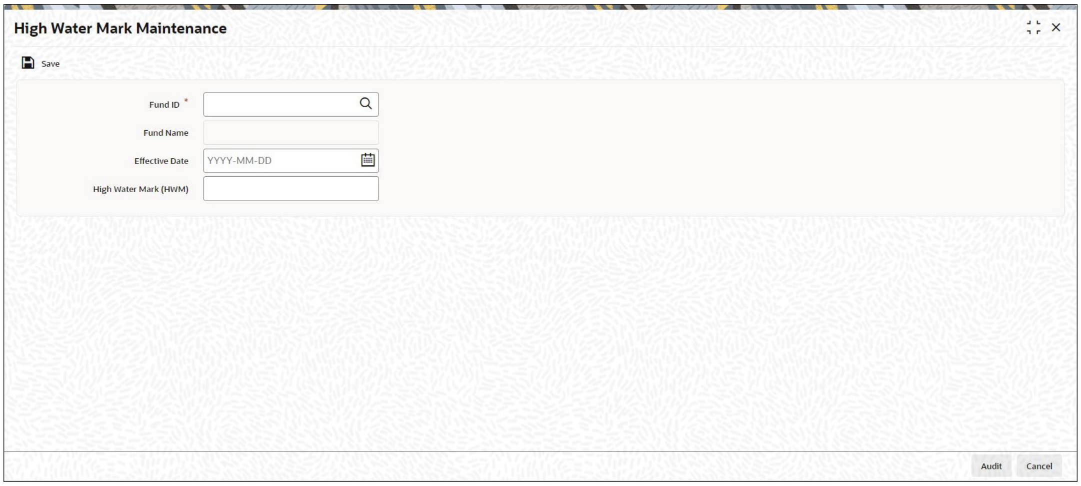
The following example illustrates performance fee calculations for hedge funds having **High Water Marks**:

Example: Assume that a fund launched at a net asset value of $100 per share, rose to $120 in its first year. In this case performance fee would be payable on the $20 return on each share. If in the next year the share value drops to $110, no performance fee will be paid. If in the third year the share value rises to $130, performance fee will be calculated only on the $10 return from the previous highest value, $120 (high water mark), rather than on the full return from $110 to $130.

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

   The **High Water Mark Maintenance** screen is displayed.

Figure 2-70 High Water Mark Maintenance



2. On **High Water Mark Maintenance** screen, click **New** to enter the details.

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

Table 2-63 High Water Mark Maintenance - Field Description

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund Id for which you wish to maintain high water mark or select the fund Id from the option list provided.
Fund Name	*Display* The name of the selected fund gets displayed here.
Effective Date	*Date Format; Mandatory* Specify the date on which the high water mark value becomes effective for the fund. You can also select the date by clicking the **Calendar** icon provided.
High Water Mark	*Numeric; 27 Characters; Mandatory* Specify the high water mark value for the selected fund, beyond which if the fund value increases, the performance fee gets collected. You need to capture this value only for the first valuation period for the fund. For subsequent periods, the system will automatically populate the highest net asset value previously achieved by the fund.

Operations on High Water Mark

3. **New** – An unauthorized record will be created. If you have rights for Authorization, the record will be authorized
4. **Modify** – An unauthorized record can be modified by the maker (edit rights required)
5. **Delete** – An unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).
6. **Authorize** – An unauthorized record can be authorized by anyone other than the maker (authorize rights required)
7. **Amend** – You can amend an HWM record; however the amendment will not be allowed if fund price is maintained for the day later than or equal to HWM effective date.

2.61 High Water Mark Summary

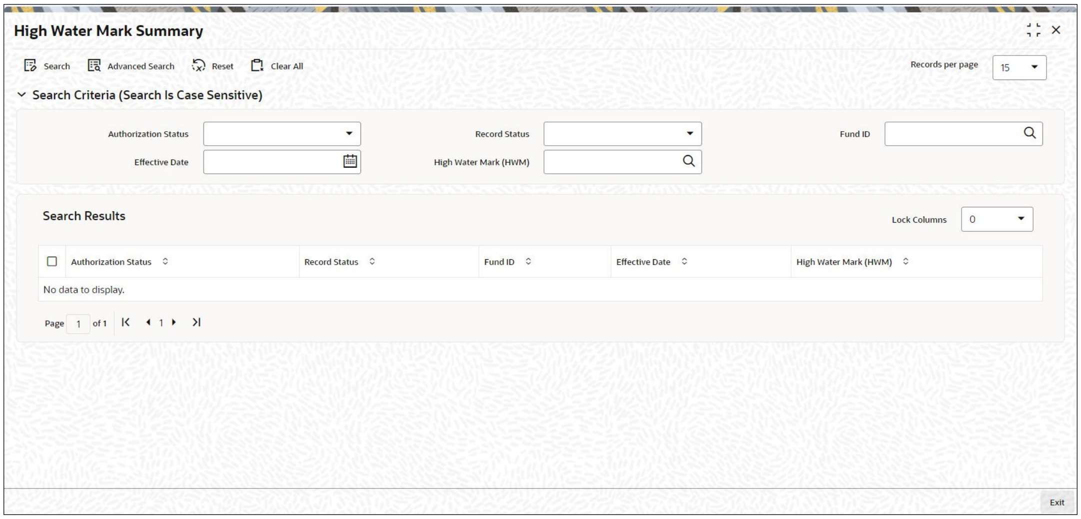
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve High Water Mark Maintenance Record

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

   The **High Water Mark Summary** screen is displayed.

Figure 2-71 High Water Mark Summary



2. On **High Water Mark Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Fund ID**
   - **Effective Date**
   - **High Water Mark(HWM)**
3. Click **Search** button to view the records.

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

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

- Edit High Water Mark Maintenance Record
  This topic provides the systematic instructions to edit High Water Mark Maintenance record.
- View High Water Mark Maintenance Record
  This topic provides the systematic instructions to view High Water Mark Maintenance record.

- Delete High Water Mark Maintenance Record
  This topic provides the systematic instructions to delete High Water Mark Maintenance record.
- Authorize High Water Mark Maintenance Record
  This topic provides the systematic instructions to authorize High Water Mark Maintenance record.
- Amend High Water Mark Maintenance Record
  This topic provides the systematic instructions to amend High Water Mark Maintenance record.

2.61.1 Edit High Water Mark Maintenance Record

This topic provides the systematic instructions to edit High Water Mark Maintenance record.

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

1. Start the **High Water Mark Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **High Water Mark 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 **High Water Mark Detail** screen is closed and the changes made are reflected in the **High Water Mark Summary** screen.

2.61.2 View High Water Mark Maintenance Record

This topic provides the systematic instructions to view High Water Mark Maintenance record.

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

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

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

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

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

   The **High Water Mark Detail** screen is displayed.

2.61.3 Delete High Water Mark Maintenance Record

This topic provides the systematic instructions to delete High Water Mark Maintenance record.

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

1. Start the **High Water Mark Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

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

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

   The **High Water Mark 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.

2.61.4 Authorize High Water Mark Maintenance Record

This topic provides the systematic instructions to authorize High Water Mark Maintenance record.

Authorize an unauthorized High Water Mark Maintenance record must be authorized in the system for it to be processed. Authorize a record as follows:

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

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

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

   The **High Water Mark 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.

2.61.5 Amend High Water Mark Maintenance Record

This topic provides the systematic instructions to amend High Water Mark 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 **High Water Mark Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **High Water Mark 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.

2.62 Process Element Maintenance Detail

This topic provides the systematic instructions to maintain Data Elements.

Data elements are maintained to calculate the performance fee associated with hedge funds. Data elements can be of either of the following two types:

- Non-Derived or factory shipped - e.g. HWM, SUB_PRICE (Subscription price), RED_PRICE (Redemption price) etc.
- Derived - you can define your own set of elements to use while building the performance fee formula

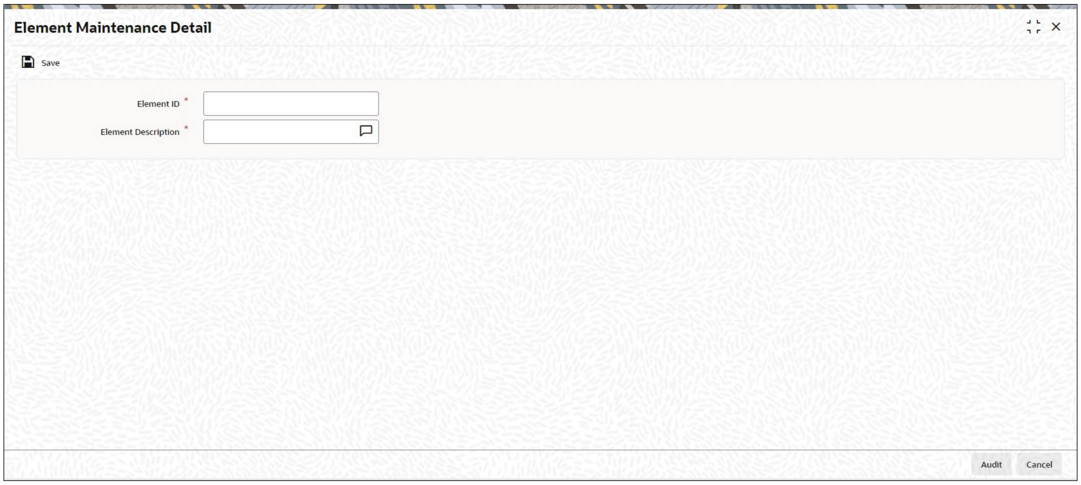
Some of the derived elements like APFPS, CL_FACTOR, RED_AMT, SUB_AMT, RED_UNITS, SUB_UNITS and PF_VAL are also factory shipped.

You can capture the details related to derived data elements in **Element Maintenance Detail** screen.

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

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

Figure 2-72   Element Maintenance Detail



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

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

Table 2-64   Element Maintenance Detail - Field Description

Field	Description
Element ID	*Alphanumeric; 20 Characters; Mandatory* Specify a unique code to identify the data element.
Element Description	*Alphanumeric; 255 Characters; Mandatory* Specify a suitable description for the element.

3. You can also modify an existing derived data element in this screen. The tables given below list the factory-shipped, non-derived and derived data elements:

Table 2-65   Non-derived (Factory Shipped)

Element ID	Element Description
HWM	Latest High Water Mark
HWM_RED	High Water Mark at time of redemption
HWM_SUB	High Water Mark at time of subscription
HWMHR_RED	(High Water Mark+Hurdle Rate) at time of redemption
HWMHR_SUB	(High Water Mark+Hurdle Rate) at time of subscription
HWMHR_LAT	Latest (High Water Mark+Hurdle Rate)
END_PRC	End Price (Price at period end)
SUB_PRC	Subscription Price
RED_PRC	Redemption Price
GAV	Latest Gross Asset Value
GAV_SUB	Gross Asset Value (On Subscription Date)
GAV_RED	Gross Asset Value (On Redemption Date)
LOT_HWM_RED	Lot level High Water Mark at time of redemption
LOT_HWM_SUB	Lot level High Water Mark at time of subscription
LOT_HWMHR_RED	(Lot level High Water Mark+Hurdle) at time of redemption
LOT_HWMHR_SUB	(Lot level High Water Mark+Hurdle) at time of subscription

Table 2-65 (Cont.) Non-derived (Factory Shipped)

Element ID	Element Description
TXN_UNITS	Transaction Units
PF_RATE	Performance Fee Rate defined at Fund/Investor Category level

Table 2-66 Derived (Factory Shipped)

Element ID	Element Description
APFPS_IN	Accrued Performance fee per share calculated during inflow transactions
CLFAC_IN	Contingent Liquidation Factor calculated during inflow transactions
RED_AMT	Redemption Amt
SUB_AMT	subscription Amt
RED_UNITS	Redemption units
SUB_UNITS	subscription units
PF_VAL	PF Value
CL_VAL	Contingent liquidation Value calculated during inflow(Will be used as an expression element id to calculate the total CL value, This represent the additional performance fee investor needs to pay to the fund manager in case of Early redemption /Period End, if Sub Price < HWM + hurdle during subscription and during redemption GAV > red / end price.

Operations on Data Elements

4. **New** –an unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
5. **Modify** – an unauthorized record can be modified by the maker (edit rights required)
6. **Delete** – an unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).
7. **Authorize** – an unauthorized record can be authorized by anyone other than the maker (authorize rights required)

2.63 Element Maintenance Summary

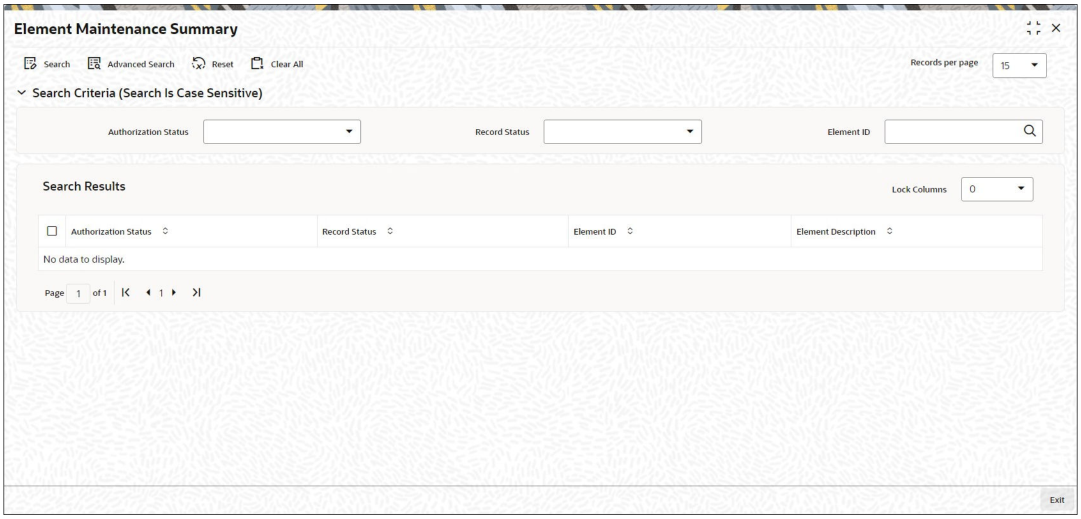
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Element Maintenance record

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

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

Figure 2-73 Element Maintenance Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **Element 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**
   - **Element ID**
3. Click **Search** button to view the records.

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

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

- Edit Element Maintenance record
  This topic provides the systematic instructions to edit Element Maintenance record.
- View Element Maintenance record
  This topic provides the systematic instructions to view Element Maintenance record.
- Delete Element Maintenance record
  This topic provides the systematic instructions to delete Element Maintenance record.
- Authorize Element Maintenance record
  This topic provides the systematic instructions to authorize Element Maintenance record.

2.63.1 Edit Element Maintenance record

This topic provides the systematic instructions to edit Element Maintenance record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.63.2 View Element Maintenance record

This topic provides the systematic instructions to view Element Maintenance record.

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

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

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

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

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

2.63.3 Delete Element Maintenance record

This topic provides the systematic instructions to delete Element Maintenance record.

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

1. Start the **Element Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Element 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.

2.63.4 Authorize Element Maintenance record

This topic provides the systematic instructions to authorize Element Maintenance record.

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

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

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

   The **Element 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.

2.64 Process Rule Maintenance

This topic provides the systematic instructions to maintain the formulas and expressions used to set up the rule for performance fee calculation.

This section contains the following topics:

- Maintaining Rules for Performance Fee Calculation
- Condition Builder Button
- Expression Builder Button

- Operations on Performance Fee Rules

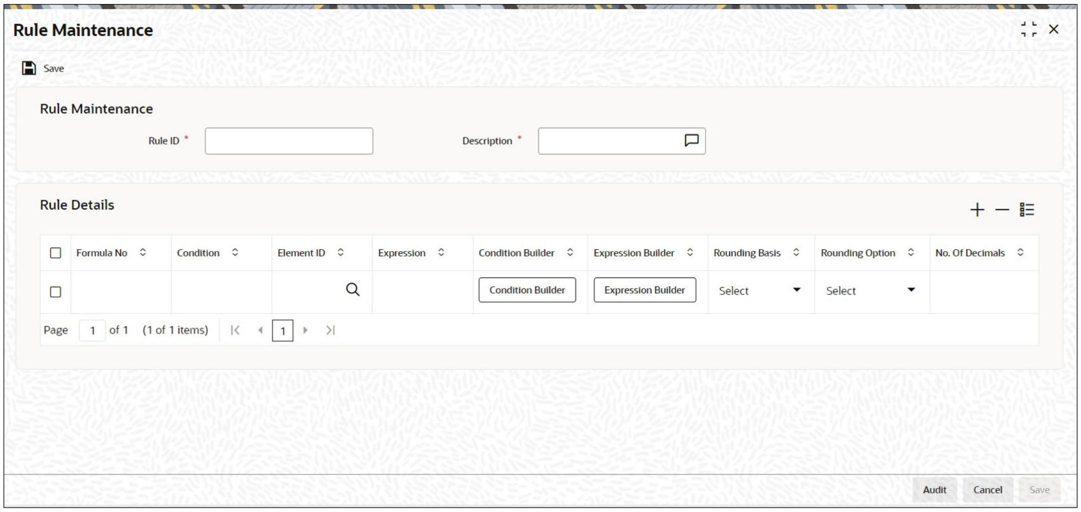
Maintain Rules for Performance Fee Calculation

The derived and non derived data elements are used to create expressions and formula while setting up the rules.

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

   The **Rule Maintenance** screen is displayed.

   Figure 2-74 Rule Maintenance



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

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

Table 2-67 Rule Maintenance - Field Description

Field	Description
Rule ID	*Numeric; 5 Characters; Mandatory* Specify a unique code to identify the performance fee calculation rule.
Description	*Alphanumeric; 255 Characters; Mandatory* Specify a suitable description for the rule.
Rule Details	The section displays the following fields.
Formula No	*Numeric; 5 Characters; Mandatory* Specify the line number associated with the rule.
Condition	*Alphanumeric; 4000 Characters; Optional* Click **Condition Builder** to specify the condition to be associated with the rule. The condition specified in the **Condition Builder** screen is displayed here.
Element ID	*Alphanumeric; 20 Characters; Mandatory* The result obtained from the **Expression Builder** screen is displayed here.

Table 2-67 (Cont.) Rule Maintenance - Field Description

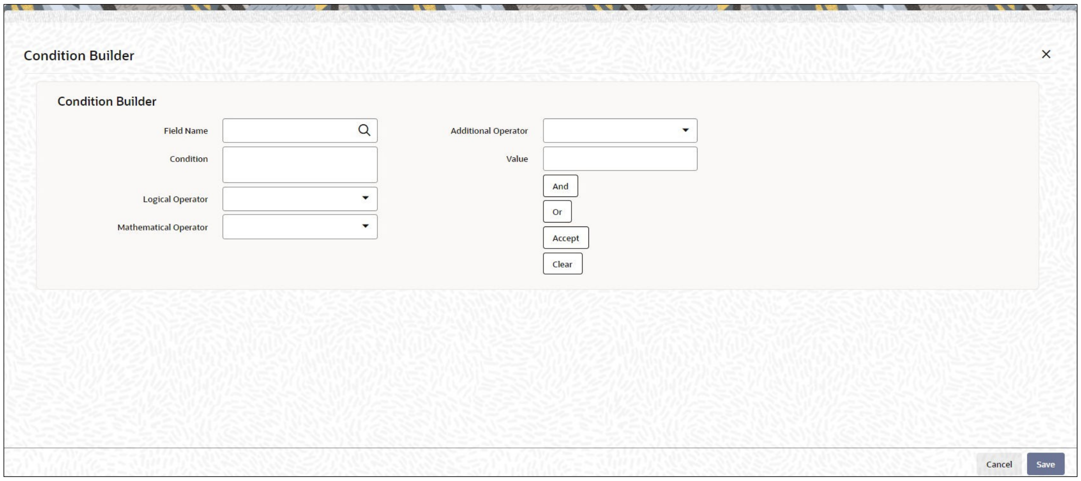
Field	Description
Expression	*Alphanumeric; 4000 Characters; Mandatory* Click **Expression Builder** to specify the expression to be used to derive the performance fee. The condition specified in the **Expression Builder** screen is displayed here.
Rounding Basis	*Mandatory* Select the basis for rounding from the options provided in the drop-down list. The following options are provided: • **Unit Rounding** - unit based rounding defined at the given fund level • **Currency Rounding** - rounding option as defined at FBC • **User defined** - Round up/Round Down /Round/Truncate with number of decimals
Rounding Option	*Optional* Select the rounding options from the drop-down list. The following options are provided: • **Round Standard** • **Rounding Up** • **Rounding Down** • **Truncate**
No of Decimals	*Numeric; 2 Characters; Optional* Specify the number of decimals to be applied during rounding.

Condition Builder

3. Click **Condition Builder** button in **Rule Maintenance** screen, and specify the condition to be checked for performance fee calculation.

   The **Condition Builder** screen is displayed.

Figure 2-75 Rule Maintenance_Condition Builder



4. On **Condition Builder** screen, specify the fields.

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

Table 2-68 Condition Builder - Field Description

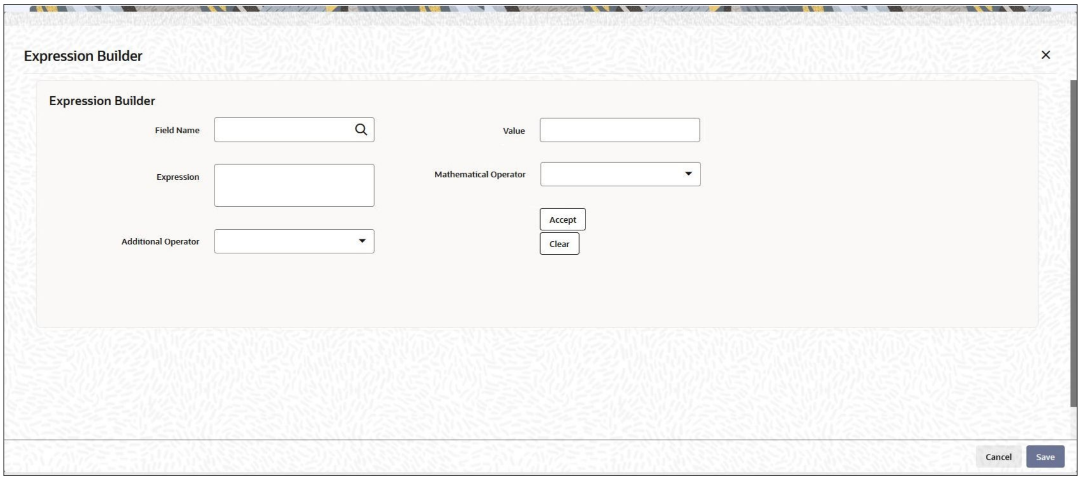
Field	Description
Field Name	*Alphanumeric; 30 Characters; Optional* Specify the data element to be used to derive the condition for the rule or select the element Id from the option list provided.
Condition	*Alphanumeric; 4000 Characters; Optional* Specify the condition to be used.
Logical Operator	*Optional* Select the logical operator to be used to derive the condition for the rule from the drop-down list provided. The list displays the following values: • **<** • **>** • **=** • **<>** • **<=** • **>=**
Mathematical Operator	*Optional* Select the mathematical operator to be used to derive the condition for the rule from the list provided. The list displays the following values: • **+** • **-** • **%** • **/**
Additional Operator	*Optional* Select the additional operator to be used to derive the condition for the rule from the list provided. The list displays the following values: • **Comma** • **(** • **)** • **Min** • **Max**
Value	*Alphanumeric; 30 Characters; Optional* Specify the value. You can use the `And` or `Or` button to join the conditions, if required. Click **Accept** to add to the existing value in the condition and click **Clear** to clear the condition.

Expression Builder

5. Click **Expression Builder** button in **Rule Maintenance** screen, and specify the expression to be evaluated to derive the performance fee.

   The **Expression Builder** screen is displayed.

Figure 2-76   Rule Maintenance_Expression Builder



6. On **Expression Builder** screen, specify the fields.

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

Table 2-69   Expression Builder - Field Description

Field	Description
Field Name	*Alphanumeric; 30 Characters; Optional* Specify the data element to be used to derive the condition for the rule or select the element Id from the option list provided.
Expression	*Alphanumeric; 4000 Characters; Optional* Specify the expression to be used.
Additional Operator	*Optional* Select the additional operator to be used to derive the condition for the rule from the list provided. The list displays the following values: • **Comma** • **(** • **)** • **Min** • **Max**
Mathematical Operator	*Optional* Select the mathematical operator to be used to derive the condition for the rule from the list provided. The list displays the following values: • **+** • **-** • **%** • **/**
Value	*Alphanumeric; 30 Characters; Optional* Specify the value. Click **Accept** to add to the existing value in the condition and click **Clear** to clear the condition.

7. You can specify the expression to derive performance fee in the same manner as condition builder in this screen.

   The result obtained from the **Expression Builder** screen gets displayed at the **Element ID** field.

8. If the system encounters predefined factory shipped elements like RED_AMT, SUB_AMT, RED_UNITS or SUB_UNITS as expression element, then the system generates the transactions as indicated below.
    - **RED_AMT -** amount based (Net) redemption transaction is generated
    - **SUB_AMT -** amount based (Gross) subscription transaction is generated
    - **RED_UNIT -** unit based (Gross) redemption transaction is generated
    - **SUB_UNIT -** unit based (Net) subscription transaction is generated

    For outflow transactions, the elements ‘PF_VAL’ and ‘CL_VAL’ are used for the performance fee calculation.

Operations on Performance Fee Rules

9. **New** –an unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
10. **Modify** – an unauthorized record can be modified by the maker (edit rights required)
11. **Delete** – an unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).
12. **Authorize** – an unauthorized record can be authorized by anyone other than the maker (authorize rights required)

> **Note:**
>
> The dynamic packages will get recreated on unlock, save and authorization.

2.65 Rule Maintenance Summary

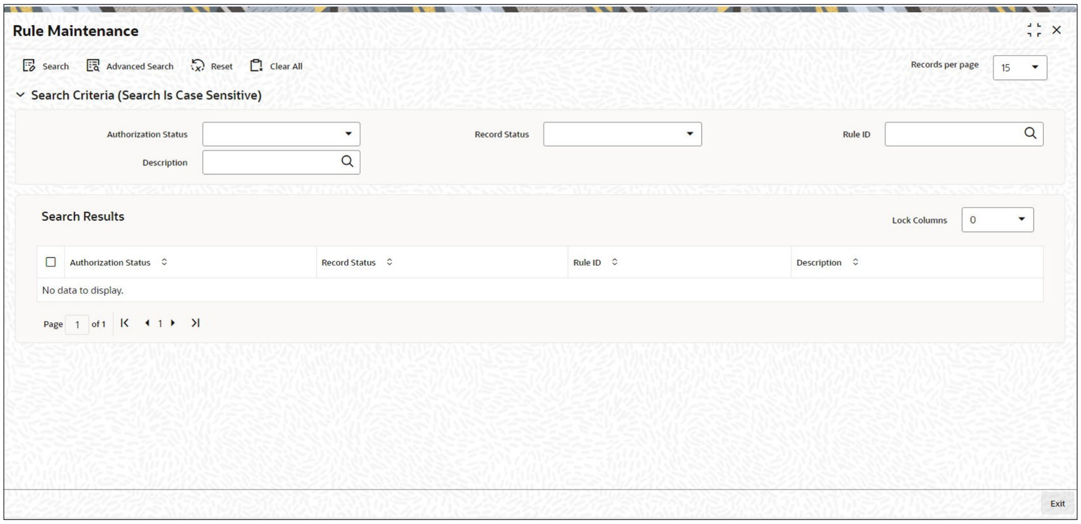
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Rule Maintenance Record

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

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

Figure 2-77   Rule Maintenance Summary



2. On **Rule 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**
   - **Rule ID**
3. Click **Search** button to view the records.

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

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

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

- Edit Rule Maintenance Record
  This topic provides the systematic instructions to edit Rule Maintenance record.
- View Rule Maintenance Record
  This topic provides the systematic instructions to view Rule Maintenance record.
- Delete Rule Maintenance Record
  This topic provides the systematic instructions to delete Rule Maintenance record.

- Authorize Rule Maintenance Record
  This topic provides the systematic instructions to authorize Rule Maintenance record.
- Amend Rule Maintenance Record
  This topic provides the systematic instructions to amend Rule Maintenance record.
- Authorize Amended Rule Maintenance Record
  This topic provides the systematic instructions to authorize amended Rule Maintenance record.

2.65.1 Edit Rule Maintenance Record

This topic provides the systematic instructions to edit Rule Maintenance record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.65.2 View Rule Maintenance Record

This topic provides the systematic instructions to view Rule Maintenance record.

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

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

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

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

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

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

2.65.3 Delete Rule Maintenance Record

This topic provides the systematic instructions to delete Rule Maintenance record.

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

1. Start the **Rule Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Rule 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.

2.65.4 Authorize Rule Maintenance Record

This topic provides the systematic instructions to authorize Rule Maintenance record.

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

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

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

   The **Rule 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.

2.65.5 Amend Rule Maintenance Record

This topic provides the systematic instructions to amend Rule 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 **Rule Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment. You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

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

   The **Rule 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.

2.65.6 Authorize Amended Rule Maintenance Record

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

- Authorize an amended Rule Maintenance record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

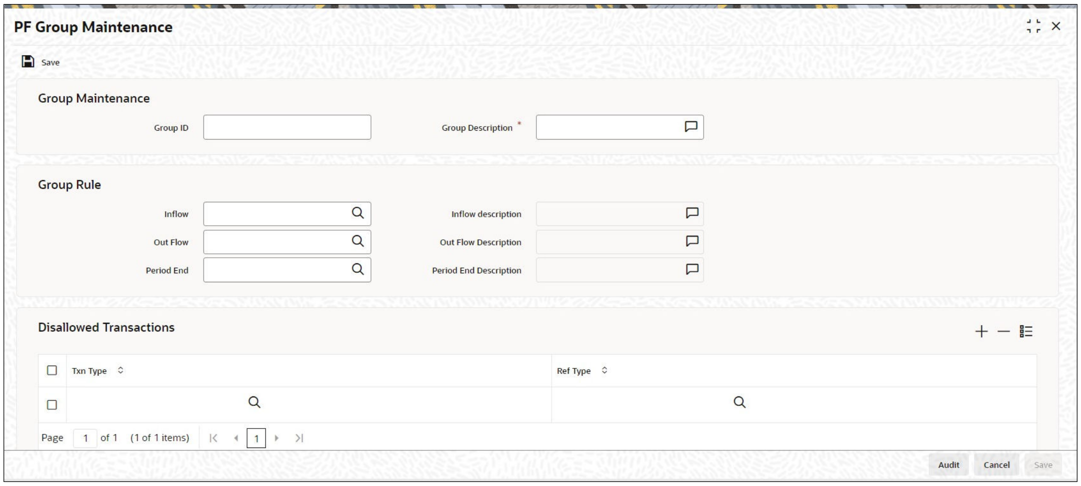
2.66 Process PF Group Maintenance

This topic provides the systematic instructions to define a Group ID and map the default Rule Ids for a given event like Inflow, Outflow or Period End.

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

   The **PF Group Maintenance** screen is displayed.

Figure 2-78 PF Group Maintenance



2. On **PF Group Maintenance** screen, click **New** to enter the details.

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

Table 2-70   PF Group Maintenance - Field Description

Field	Description
Group Maintenance	The section displays the following fields.
Group ID	*Alphanumeric; 5 Characters; Mandatory* Specify a **Group ID** for mapping the rules or select a group Id from the option list provided. This **Group ID** created will get linked at fund level.
Group Description	*Alphanumeric; 255 Characters; Mandatory* Specify a suitable description for the group.
Group Rule	The section displays the following fields.
Inflow	*Alphanumeric; 5 Characters; Optional* Specify the default rule to be used for inflows for the given **Group ID**. You can also select the rule Id from the option list provided.
Inflow description	*Display* The system displays the description for the selected inflow rule.
Outflow	*Alphanumeric; 5 Characters; Mandatory* Specify the default rule to be used for outflows for the given **Group ID**. You can also select the rule Id from the option list provided.
Out Flow Description	*Display* The system displays the description for the selected outflow rule.
Period End	*Numeric; 5 Characters; Optional* Specify the default rule to be used for period end for the given **Group ID**. You can also select the rule Id from the option list provided.
Period End Description	*Display* The system displays the description for the selected period end rule.
Disallowed Transactions	In this section you can indicate if you wish to disallow any transaction based on the transaction type and reference type. For e.g., If you map Rule ID `001` to the event `Inflow` and choose to disallow this rule for transaction type `02` (subscription transaction) and if the reference type is `RE` (Reinvestment), then during processing the system will not apply this rule for reinvestment transactions generated as a result of dividend processing. Disallowed transaction type is applicable for all the rules maintained for the group.
Txn Type	*Alphanumeric; 2 Characters; Optional* Specify the transaction type for which you wish to disallow the transaction or select the transaction type from the option list provided.
Ref Type	*Alphanumeric; 2 Characters; Optional* Specify the transaction reference type for which you wish to disallow the transaction or select the reference type from the option list provided.

Operations on Data Elements

3. **New** – An unauthorized record will be created. If you have rights for auto Authorization, the record will be authorized
4. **Modify** – An unauthorized record can be modified by the maker (edit rights required)
5. **Delete** – An unauthorized record can be deleted by the maker. You can not delete the unauthorized record created by amendment (delete rights required).

6. **Authorize** – An unauthorized record can be authorized by anyone other than the maker (authorize rights required)

2.67 PF Group Maintenance Summary

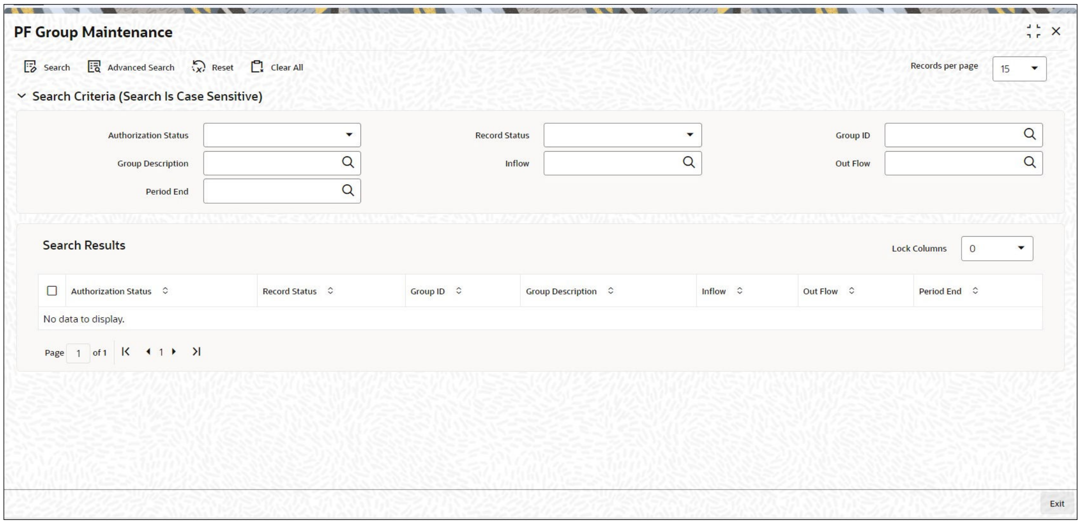
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Group Maintenance record

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

   The **PF Group Maintenance Summary** screen is displayed.

Figure 2-79 PF Group Maintenance Summary



2. On **PF Group 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**
   - **Group ID**
   - **Group Description**
   - **Inflow**
   - **Out Flow**
   - **Period End**
3. Click **Search** button to view the records.

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

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

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

- Edit Group Maintenance record
  This topic provides the systematic instructions to edit Group Maintenance record.
- View Group Maintenance record
  This topic provides the systematic instructions to view Group Maintenance record.
- Delete Group Maintenance record
  This topic provides the systematic instructions to delete Group Maintenance record.
- Authorize Group Maintenance record
  This topic provides the systematic instructions to authorize Group Maintenance record.

2.67.1 Edit Group Maintenance record

This topic provides the systematic instructions to edit Group Maintenance record.

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

1. Invoke the **PF Group Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the Authorization Status field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.67.2 View Group Maintenance record

This topic provides the systematic instructions to view Group Maintenance record.

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

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

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

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

   The **PF Group Maintenance Detail** screen is displayed.

2.67.3 Delete Group Maintenance record

This topic provides the systematic instructions to delete Group Maintenance record.

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

1. Start the **PF Group Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **PF Group 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.

2.67.4 Authorize Group Maintenance record

This topic provides the systematic instructions to authorize Group Maintenance record.

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

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

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

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

   The **PF Group 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.

2.68 Process GF Policy Restrict Mapping

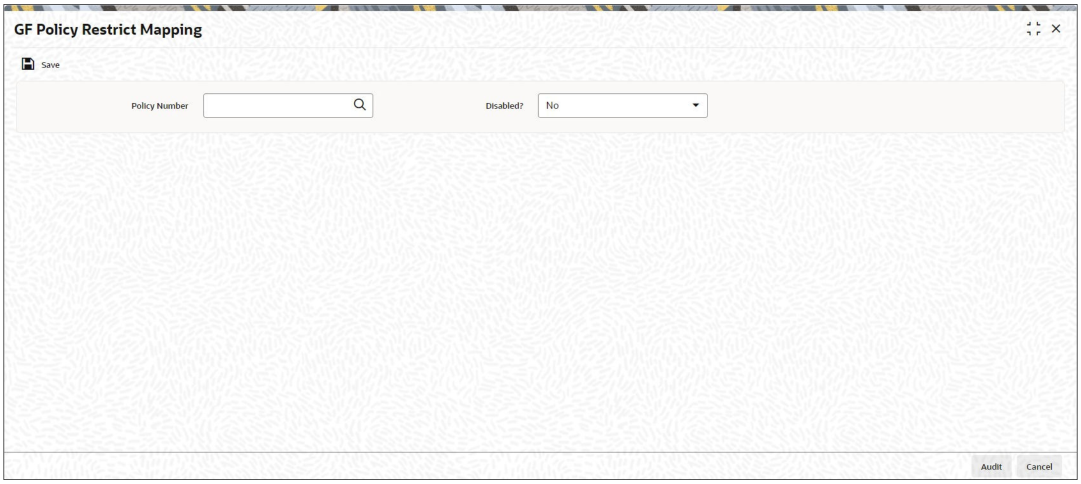
This topic provides the systematic instructions to maintain policy restrictions for Guaranteed Funds.

Maintain a list of policies that you wish to either include or exclude for GF Correction run. You can do this by enabling (disabling to exclude) the policies in the **GF Policy Restrict Mapping** screen.

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

   The **GF Policy Restrict Mapping** screen is displayed.

Figure 2-80 GF Policy Restrict Mapping


GF Policy Restrict Mapping

Disabled? No

2. On **GF Policy Restrict Mapping** screen, click **New** to enter the details.

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

Table 2-71 GF Policy Restrict Mapping - Field Description

Field	Description
Policy Number	*Alphanumeric; 16 Characters; Optional* Specify the policy for which you wish to indicate the correction run preferences. You can also select the policy number from the option list provided.

Table 2-71 (Cont.) GF Policy Restrict Mapping - Field Description

Field	Description
Disabled?	*Optional* Select the option to indicate whether you wish to enable or disable correction run for the policy number specified. You can indicate your preferences for both Simulation run and Final run. For any GF Correction run, the system considers only those policies which have this option enabled. In this screen, you can perform the following operations: • Create a new record • Authorize a record • Amend a record

Refer the topic *End of Day Activities* for details on *Mock Processing for Guaranteed Funds* in **FCIS** system.

2.69 GF Policy Restrict Mapping Summary

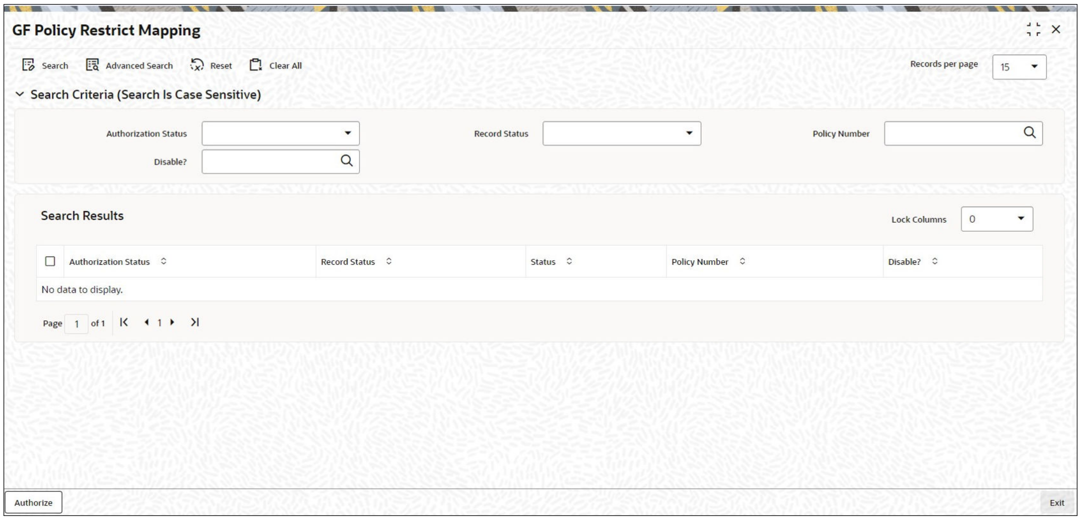
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Policy Guaranteed Fund Record

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

   The **GF Policy Restrict Mapping Summary** screen is displayed.

Figure 2-81 GF Policy Restrict Mapping Summary



Records per page: 15

Lock Columns: 0

No data to display.

Page 1 of 1

2. On **GF Policy Restrict 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**
   - **Policy Number**

- **Disable?**

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

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

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

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

   For Example: You can search the record for Policy Number by using the combination of % and alphanumeric value as follows:-

   - Search by P%: System will fetch all the records whose Policy Number starts from Alphabet 'P'. For example, POLS117, PLY118, PLC110 etc.
   - Search by %7: System will fetch all the records whose Policy Number ends by numeric value' 7'. For example, POL117, GSD267, AGC77 etc.
   - Search by %17%: System will fetch all the records whose Policy Number contains the numeric value 17. For example, POL117, GSD172, AGC17 etc.

- Edit Policy Guaranteed Fund Record
  This topic provides the systematic instructions to edit Policy Guaranteed Fund record.
- View Policy Guaranteed Fund Record
  This topic provides the systematic instructions to view Policy Guaranteed Fund record.
- Delete Policy Guaranteed Fund Record
  This topic provides the systematic instructions to delete Policy Guaranteed Fund record.
- Authorize Policy Guaranteed Fund Record
  This topic provides the systematic instructions to authorize Policy Guaranteed Fund record.
- Amend Policy Guaranteed Fund Record
  This topic provides the systematic instructions to amend Policy Guaranteed Fund record.
- Authorize Amended Policy Guaranteed Fund Record
  This topic provides the systematic instructions to authorize amended Policy Guaranteed Fund record.
- Copy Attributes
  This topic provides the systematic instructions to copy Policy Guaranteed Fund attributes.

2.69.1 Edit Policy Guaranteed Fund Record

This topic provides the systematic instructions to edit Policy Guaranteed Fund record.

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

1. Invoke the **GF Policy Restrict 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **GF Policy Restrict Mapping Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **GF Policy Restrict Mapping Detail** screen is closed and the changes made are reflected in the **GF Policy Restrict Mapping Summary** screen.

2.69.2 View Policy Guaranteed Fund Record

This topic provides the systematic instructions to view Policy Guaranteed Fund record.

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

1. Start the **GF Policy Restrict 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **GF Policy Restrict Mapping Detail** screen is displayed.

2.69.3 Delete Policy Guaranteed Fund Record

This topic provides the systematic instructions to delete Policy Guaranteed Fund record.

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

1. Start the **GF Policy Restrict 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 lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **GF Policy Restrict Mapping Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

2.69.4 Authorize Policy Guaranteed Fund Record

This topic provides the systematic instructions to authorize Policy Guaranteed Fund record.

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

1. Start the **GF Policy Restrict 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 lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **GF Policy Restrict Mapping Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

2.69.5 Amend Policy Guaranteed Fund Record

This topic provides the systematic instructions to amend Policy Guaranteed Fund 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 **GF Policy Restrict 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 lower portion of the screen.

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

   The **GF Policy Restrict Mapping Detail** screen is displayed.

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

2.69.6 Authorize Amended Policy Guaranteed Fund Record

This topic provides the systematic instructions to authorize amended Policy Guaranteed Fund record.

- Authorize an amended Policy Guaranteed Fund Record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

2.69.7 Copy Attributes

This topic provides the systematic instructions to copy Policy Guaranteed Fund attributes.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new Policy Guaranteed Fund record with the same attributes of an existing record.
2. Retrieve the record whose attributes the new Policy Guaranteed Fund 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 Policy Guaranteed Fund record. You can, however, change the details of the new record.

2.70 Process FCIS Delegate Detail

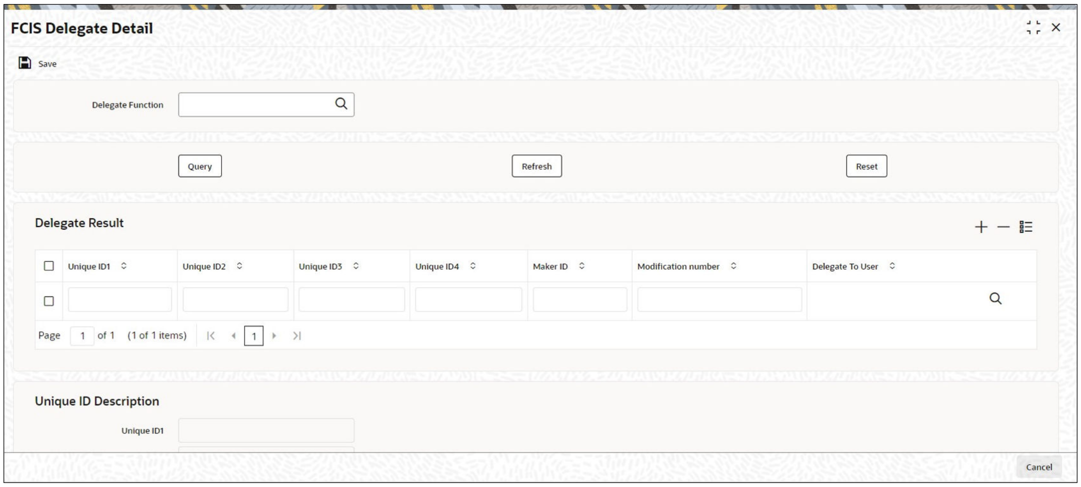
This topic provides the systematic instructions to delegate the amendment or deletion of the fund price to another user to help in reducing the risk of authorizing or wrong fund price.

It will also help to reduce delay in the end of day process for which authorization of a fund price is mandatory.
The delegate operation will allow you to change the maker ID of fund price maintenance. This will enable the new maker to Edit /delete the specific fund price.

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

   The **FCIS Delegate Detail** screen is displayed.

Figure 2-82   FCIS Delegate Detail



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

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

Table 2-72   FCIS Delegate Detail - Field Description

Field	Description
Delegate Function	*Alphanumeric; 25 Characters; Optional* Specify the delegate function. The adjoining option list displays all valid delegate functions maintained in the system. You can choose the appropriate one. from the adjoining drop-down list.

3. For Fund Manager, following are the options available in the option list:
   - Fund Price Maintenance
4. For Agency Branch, following are the options available in the option list:
   - Policy
   - Policy Transaction
   - Unit Holder
   - Unit Trust Transaction
5. Click **Query** button.

   The system displays the following details:
   - The unique fund ID for which the maker ID delegation has to be done
   - Maker identification number of the user who has input the fund price
   - Number of times the fund price maintenance has been modified
   - The list of user IS’s maintained in the system to whom the fund price maintenance can be delegated to
6. Click **Refresh** button to refresh the delegate details.
7. Click **Reset** button to reset the entered details.
8. While saving, the fund price maintenance maker ID is delegated to another user.

> **Note:**
>
> Delegate cannot be supported when Tanking is set.

9. During authorization, the system will validate the current User ID and the original Maker ID. If both are same, then the system will display an error message as `Original/ Delegated Maker cannot authorize the record`.
10. If Unit holder and Fund Price is been selected for delegation and Tanking is enabled, then system will display an error message as `Tanked record cannot be delegated`.

> **Note:**
>
> Based on the role mapped, you can access corresponding screens/batches. For running EOD like operations, separate privileges needs to be maintained and the same needs to be mapped for the user.

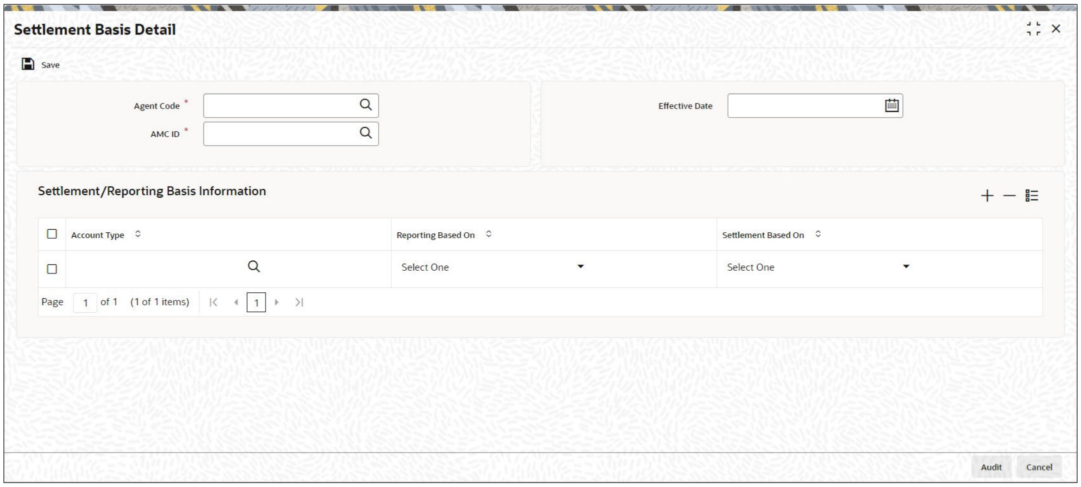
2.71 Process Settlement Basis Detail

This topic provides the systematic instructions to specify the settlement basis for agent code under the AMC for specific account types.

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

   The **Settlement Basis Detail** screen is displayed.

Figure 2-83 Settlement Basis Detail



2. On **Settlement Basis Detail** screen, click **New** to enter the details.

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

Table 2-73 Settlement Basis Detail - Field Description

Field	Description
Agent Code	*Alphanumeric; 12 Characters; Mandatory* Specify the agent code for which the settlement basis needs to be captured. Alternatively, you can select agent code from the option list. The list displays all valid agent code maintained in the system.
AMC ID	*Alphanumeric; 12 Characters; Mandatory* Specify the **AMC ID** for which the settlement basis needs to be captured. Alternatively, you can select **AMC ID** from the option list. The list displays all valid **AMC ID** maintained in the system.
Effective Date	*Date Format; Mandatory* Select the effective date from the adjoining calendar.
Account Type	*Alphanumeric; 2 Characters; Mandatory* Specify the account type for which the settlement basis needs to be captured. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
Reporting Based on	*Optional* Select the reporting base from the list. The list displays the following values: • **Gross** • **Net**
Settlement Based on	*Optional* Select the settlement base from the drop-down list. The list displays the following values: • **Gross** • **Net**

2.72 Settlement Basis Summary

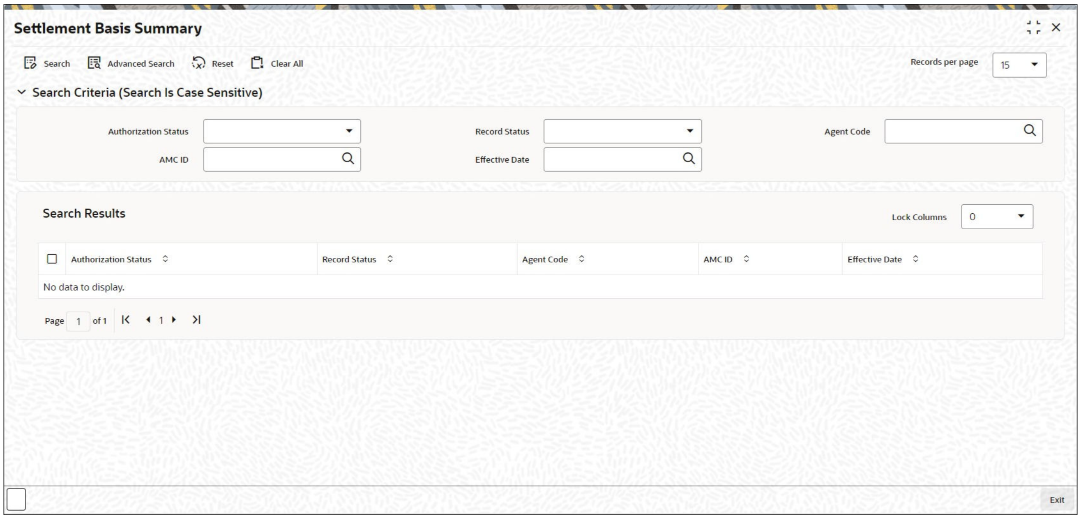
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Settlement Basis Record

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

   The **Settlement Basis Summary** screen is displayed.

Figure 2-84   Settlement Basis Summary



2. On **Settlement Basis Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Agent Code**
   - **Effective Date**
   - **AMC ID**
3. Click **Search** button to view the records.

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

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

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize**, operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

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

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

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

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

2.72.1 Edit Settlement Basis Record

This topic provides the systematic instructions to edit Settlement Basis record.

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

1. Invoke the **Settlement Basis Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Settlement Basis Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Settlement Basis Detail** screen is closed and the changes made are reflected in the **Settlement Basis Summary** screen.

2.72.2 View Settlement Basis Record

This topic provides the systematic instructions to view Settlement Basis record.

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

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

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

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

   The **Settlement Basis Detail** screen is displayed.

2.72.3 Delete Settlement Basis Record

This topic provides the systematic instructions to delete Settlement Basis record.

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

1. Start the **Settlement Basis Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Settlement Basis Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

2.72.4 Authorize Settlement Basis Record

This topic provides the systematic instructions to authorize Settlement Basis record.

Authorize an unauthorized Settlement Basis Record in the system for it to be processed as follows:

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

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

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

   The **Settlement Basis 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.

2.72.5 Amend Settlement Basis Record

This topic provides the systematic instructions to amend Settlement Basis record.

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

1. Start the **Settlement Basis Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

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

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

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

   The **Settlement Basis Detail** screen is displayed.

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

2.72.6 Authorize Amended Settlement Basis Record

This topic provides the systematic instructions to authorize amended Settlement Basis record.

- Authorize an amended Settlement Basis record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

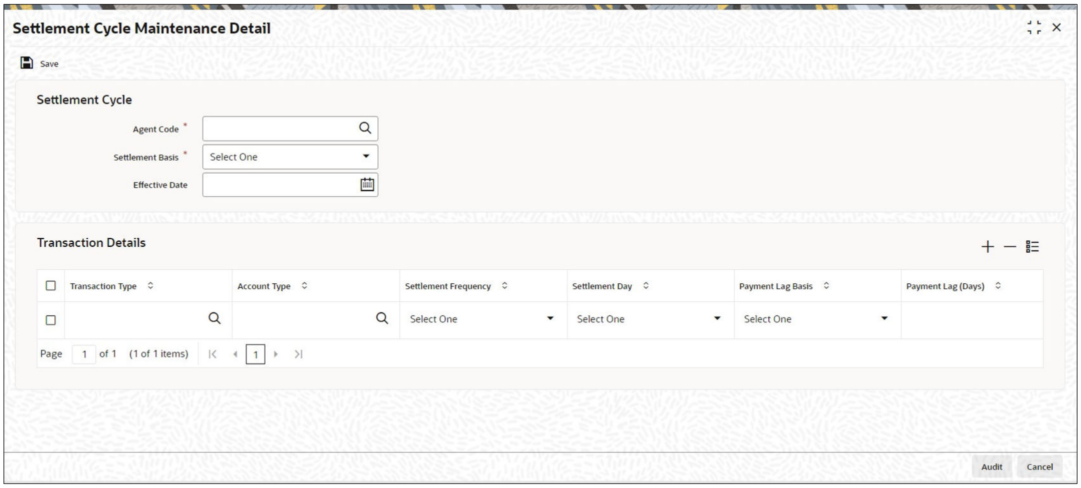
2.73 Process Settlement Cycle Maintenance Detail

This topic provides the systematic instructions to maintain the settlement cycle for agent for the inflow and outflow transactions.

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

   The **Settlement Cycle Maintenance Detail** screen is displayed.

Figure 2-85   Settlement Cycle Maintenance Detail



2. On **Settlement Cycle Maintenance Detail** screen, click **New** to enter the details.

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

Table 2-74   Settlement Cycle Maintenance Detail - Field Description

Field	Description
Settlement Cycle	The section displays the following fields.
Agent Code	*Alphanumeric; 12 Characters; Mandatory* Specify the agent code. Alternatively, you can select agent code from the option list. The list displays all valid agent code maintained in the system.
Settlement Basis	*Mandatory* Select the settlement basis from the drop-down list. The list displays the following values: • **Payment Lag** • **Settlement Frequency**
Effective Date	*Date Format; Mandatory* Select the effective date from the adjoining calendar.
Transaction Details	The section displays the following fields.
Transaction Type	*Alphanumeric; 2 Characters; Mandatory* Specify the transaction type. Alternatively, you can select transaction type from the option list. The list displays all valid transaction type maintained in the system.
Account Type	*Alphanumeric; 2 Characters; Mandatory* Specify the account type. Alternatively, you can select account type from the option list. The list displays all valid account type maintained in the system.
Settlement Frequency	*Optional* Select the settlement frequency from the list. The list displays the following values: • **Weekly**

Table 2-74 (Cont.) Settlement Cycle Maintenance Detail - Field Description

Field	Description
Settlement Day	*Optional* Select the settlement day from the drop-down list. The list displays the following values: • **1st** • **2nd** • **3rd** • **4th** • **5th** • **6th** • **7th**
Payment Lag Basis	*Optional* Select the payment lag basis from the drop-down list. The list displays the following values: • **Fund Calendar** • **System Calendar** • **Currency Calendar**
Payment Lag (Days)	*Numeric; 3 Characters; Optional* Specify the payment lag details.

2.74 Settlement Cycle Maintenance Summary

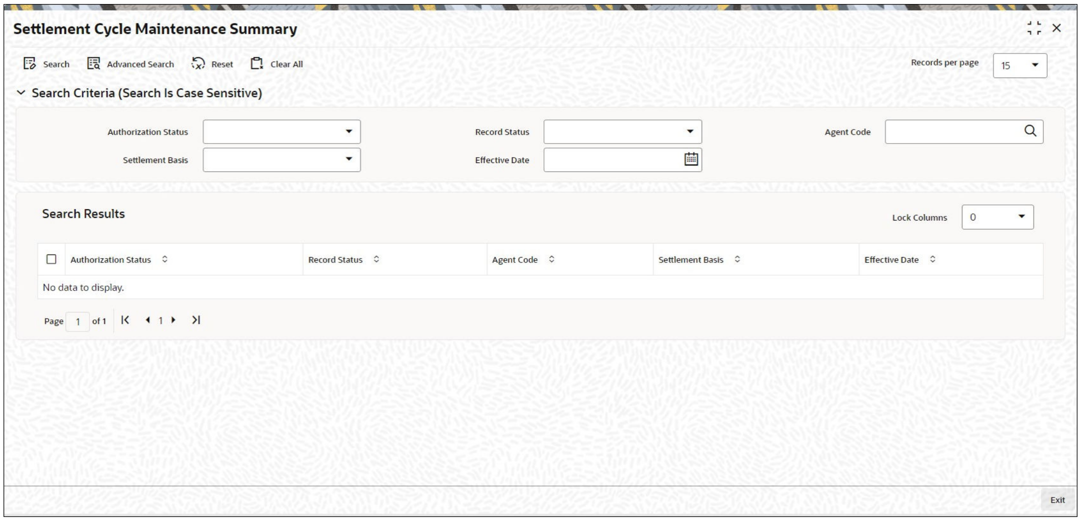
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Settlement Cycle Maintenance Record

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

   The **Settlement Cycle Maintenance Summary** screen is displayed.

Figure 2-86 Settlement Cycle Maintenance Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **Settlement Cycle Maintenance Summary** screen, specify any or all of the following details in the corresponding fields:

  - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
  - **Record status**
  - **Agent Code**
  - **Effective Date**
  - **Settlement Basis**
3. Click **Search** button to view the records.

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

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

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize**, operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

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

   Example: You can search the record for Agent Code by using the combination of % and alphanumeric value as follows:-

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

- Edit Settlement Cycle Maintenance Record
  This topic provides the systematic instructions to edit Settlement Cycle Maintenance record.
- View Settlement Cycle Maintenance Record
  This topic provides the systematic instructions to view Settlement Cycle Maintenance record.
- Delete Settlement Cycle Maintenance Record
  This topic provides the systematic instructions to delete Settlement Cycle Maintenance record.

- Authorize Settlement Cycle Maintenance Record
  This topic provides the systematic instructions to authorize Settlement Cycle Maintenance record.
- Amend Settlement Cycle Maintenance Record
  This topic provides the systematic instructions to amend Settlement Cycle Maintenance record.
- Authorize Amended Settlement Cycle Maintenance Record
  This topic provides the systematic instructions to authorize amended Settlement Cycle Maintenance record.

2.74.1 Edit Settlement Cycle Maintenance Record

This topic provides the systematic instructions to edit Settlement Cycle Maintenance record.

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

1. Invoke the **Settlement Cycle Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

2.74.2 View Settlement Cycle Maintenance Record

This topic provides the systematic instructions to view Settlement Cycle Maintenance record.

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

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

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

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

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

   The **Settlement Cycle Maintenance Detail** screen is displayed.

2.74.3 Delete Settlement Cycle Maintenance Record

This topic provides the systematic instructions to delete Settlement Cycle Maintenance record.

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

1. Start the **Settlement Cycle Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Settlement Cycle 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.

2.74.4 Authorize Settlement Cycle Maintenance Record

This topic provides the systematic instructions to authorize Settlement Cycle Maintenance record.

Authorize an unauthorized Settlement Cycle Maintenance record in the system for it to be processed as follows:

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

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

   The **Settlement Cycle 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.

2.74.5 Amend Settlement Cycle Maintenance Record

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

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

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

   The **Settlement Cycle 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.

2.74.6 Authorize Amended Settlement Cycle Maintenance Record

This topic provides the systematic instructions to authorize amended Settlement Cycle Maintenance record.

- Authorize an amended Settlement Cycle Maintenance record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

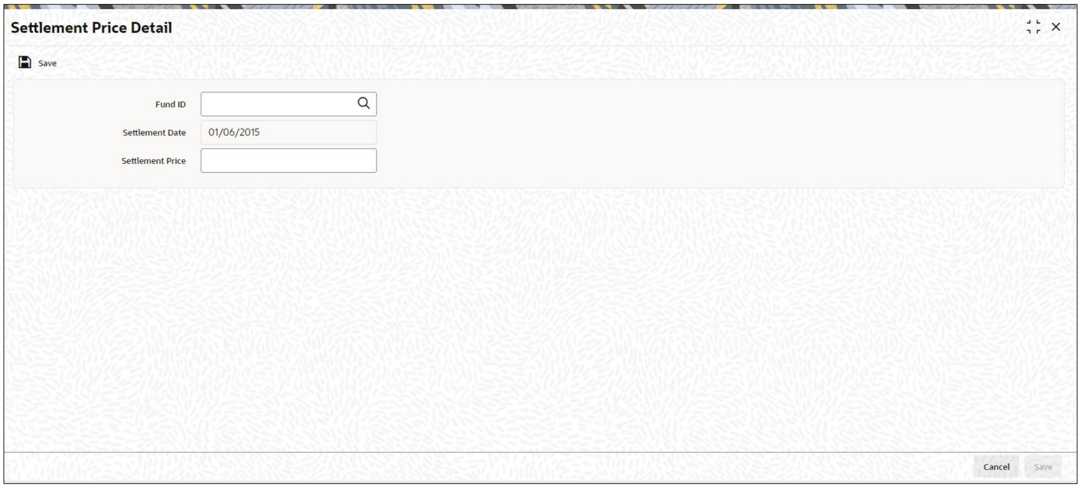
2.75 Process Settlement Price Detail

This topic provides the systematic instructions to update the fund price for the closed ended funds for settlement.

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

   The **Settlement Price Detail** screen is displayed.

Figure 2-87 Settlement Price Detail



Settlement Price Detail

Save

Fund ID

Settlement Date 01/06/2015

Settlement Price

2. On **Settlement Price Detail** screen, click **New** to enter the details.

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

Table 2-75 Settlement Price Detail - Field Description

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the closed ended fund for doing the settlement. Alternatively, you can select **Fund ID** from the option list. The list displays all valid **Fund ID** maintained in the system.
Settlement Date	*Display* The system displays the current application date.
Settlement Price	*Numeric; 22 Characters; Optional* Specify the price for settlement of all eligible redemption transactions for a closed ended funds here. The system allots redemptions based on this price.

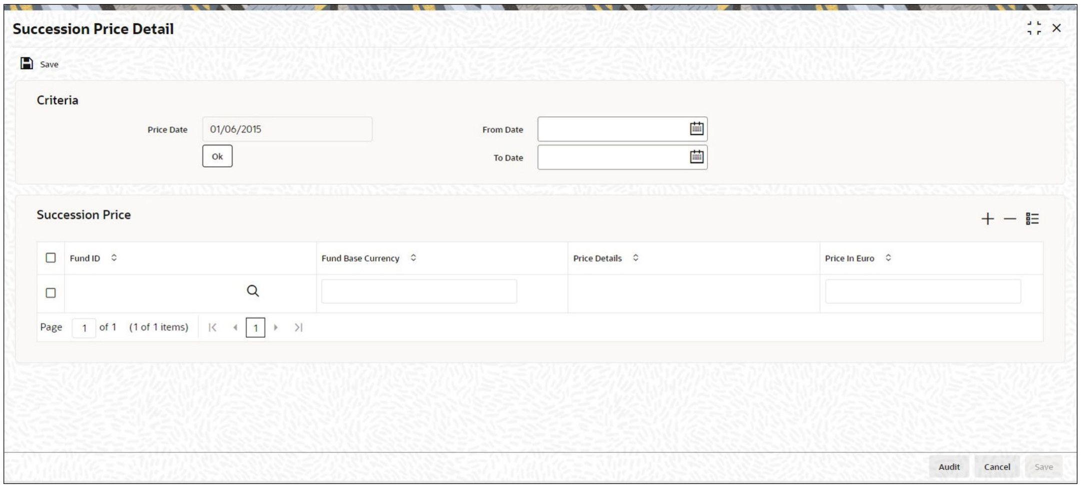
2.76 Process Succession Price Detail

This topic provides the systematic instructions to update the succession price.

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

   The **Succession Price Detail** screen is displayed.

Figure 2-88   Succession Price Detail



Price Date: 01/06/2015

Page 1 of 1 (1 of 1 items)

2. On **Succession Price Detail** screen, click **New** to enter the details.

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

Table 2-76   Succession Price Detail - Field Description

Field	Description
Criteria	The section displays the following fields.
Price Date	*Display* The system displays the price date.
From Date	*Date Format; Mandatory* Select the date from when succession price to be considered from the adjoining calendar.
To Date	*Date Format; Mandatory* Select the date till when succession price to be considered from the adjoining calendar.
Succession Price	The section displays the following fields.
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the **Fund ID**. Alternatively, you can select **Fund ID** from the option list. The list displays all valid **Fund ID** maintained in the system.
Fund Base Currency	*Display* The system displays the fund base currency.
Price Details	*Numeric; 22 Characters; Mandatory* Specify the succession price details.
Price In Euro	*Display* The system displays the price in **Euro**.

2.77 Succession Price Summary

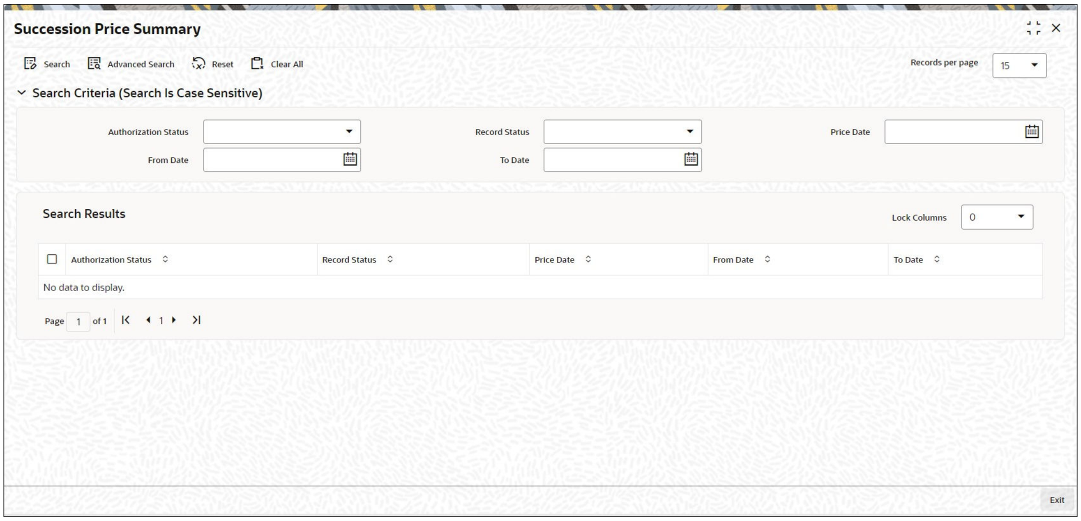
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Succession Price Record

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

The **Succession Price Summary** screen is displayed.

Figure 2-89   Succession Price Summary



No data to display.

2. On **Succession Price 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**
   - **Price Date**
   - **From Date**
   - **To Date**
3. Click **Search** button to view the records.

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

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

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

- Edit Succession Price Record
  This topic provides the systematic instructions to edit Succession Price record.

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

2.77.1 Edit Succession Price Record

This topic provides the systematic instructions to edit Succession Price record.

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

1. Invoke the **Succession Price Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Succession Price 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 **Succession Price Detail** screen is closed and the changes made are reflected in the **Succession Price Summary** screen.

2.77.2 View Succession Price Record

This topic provides the systematic instructions to view Succession Price record.

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

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

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

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

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

   The **Succession Price Detail** screen is displayed.

2.77.3 Delete Succession Price Record

This topic provides the systematic instructions to delete Succession Price record.

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

1. Start the **Succession Price Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Succession Price 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.

2.77.4 Authorize Succession Price Record

This topic provides the systematic instructions to authorize Succession Price record.

Authorize an unauthorized Succession Price Record in the system for it to be processed as follows:

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

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

   The **Succession Price 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.

2.77.5 Amend Succession Price Record

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

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

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

   The **Succession Price 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.

2.77.6 Authorize Amended Succession Price Record

This topic provides the systematic instructions to authorize amended Succession Price record.

- Authorize an amended Succession Price Record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

3

Maintain System Parameters

This topic explains how to maintain system parameters.

In **Oracle® FLEXCUBE Investor Servicing**, you can maintain static parameter data such as additional information heads, fee categories for investors, and codes for additional parameters. You can also map these maintained parameters to be applicable for certain entities such as unit holders and brokers.

The additional parameters enable you to capture information relating to entities such as unit holders and brokers that are not otherwise captured in the system.

System Parameters

This topic describes the definition and maintenance of these parameters in the system. It also includes the definition and maintenance of basic system default data.

Default data is information that will be used as defaulted in any maintenance operation such as setting up investor accounts, setting up entities, setting up brokers and so on.

All the menu options pertaining to the maintenance of system parameters and default information can be accessed through the **System Parameters** menu item in the **Maintenance** menu category of the **Agency Branch** main menu.

The following screens can be accessed through this menu item:

Table 3-1 System Parameters - Menu Options

Field	Description
Defaults Setup	Use this option to access the **Defaults Maintenance** screen, where you can set up the system default information.
Parameters Setup	Use this option to access the **System Parameter Codes Maintenance** screen, where you can view defined codes for parameters that will be used in the maintenance of entities as well as other data in the system, and add any applicable valid values.
Entity Mapping	Use this option to access the **Entity Additional Information Mapping** screen, where you can map any additional information heads to be applicable for the maintenance of entities such as unit holders and brokers.
Addl Info Maint	Use this option to access the **Additional Information Maintenance** screen, where you can define any additional information heads.
Fee Category Setup	Use this option to access the **Fee Category Codes Maintenance** screen, where you can view any specific defined fee category (and sub category) that is applicable to different investor types. You can also add new fee sub-categories.
Data Maintenance	Use this option to access the **FCIS Data Mapping Codes Maintenance** screen, where you can define data mapping between an external system and **FCIS**.

This topic contains the following sub-topics:

- Process Defaults Maintenance
  This topic provides the systematic instructions to set up system default information.
- Process Segment Maintenance Detail
  This topic provides the systematic instructions to set up system segment information.
- Segment Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- System Parameters
  This topic explains about system parameters.
- Process Module Default Detail
  This topic provides the systematic instructions to maintain module details.
- Process Feature Applicable Detail
  This topic provides the systematic instructions to maintain client country features.
- Feature Applicable Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Perform Print Reports
  This topic provides the systematic instructions to update the new cheque number against an old expired dividend payment cheque.
- Process Additional Information Maintenance
  This topic provides the systematic instructions to define additional information pertaining to any entities that you set up in the system.
- Process Entity Additional Information Mapping
  This topic explains about Entity Additional Information Mapping.
- Entity Additional Information Mapping Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Fee Category Setup Detail
  This topic provides the systematic instructions to view a list of defined fee category codes or add any new fee sub-categories.
- Fee Category Setup Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Data Mapping Maintenance Detail
  This topic provides the systematic instructions to map data from external systems to FCIS.
- Process Event User Mapping Detail
  This topic provides the systematic instructions to map an EOD operator with an event.
- Process Dividend Components Detail
  This topic provides the systematic instructions to maintain dividend component details.
- Dividend Components Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Stop Code Maintenance Detail
  This topic provides the systematic instructions to maintain new Stop Codes using the predefined attributes.

- Stop Code Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Perform RDR Parameter Maintenance
  This topic provides the systematic instructions to maintain RDR Parameters.

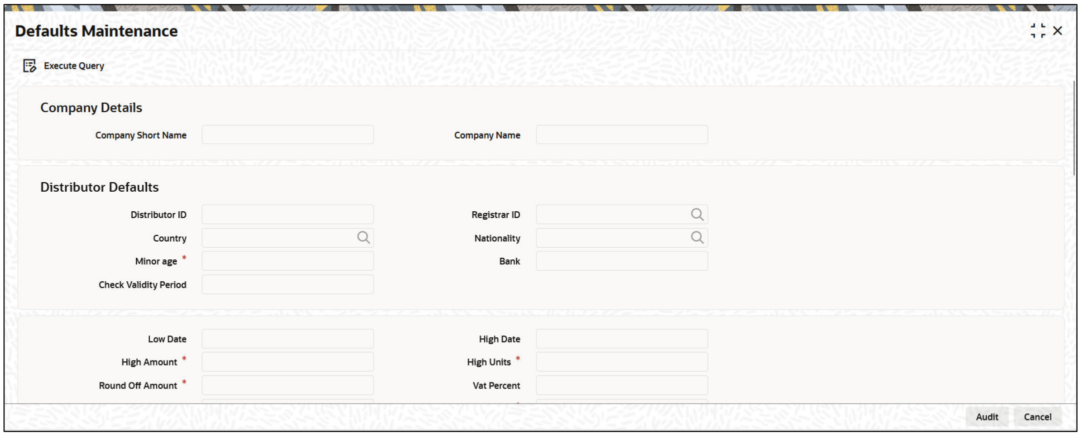
3.1 Process Defaults Maintenance

This topic provides the systematic instructions to set up system default information.

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

   The **Defaults Maintenance** screen is displayed.

Figure 3-1 Defaults Maintenance



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

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

Table 3-2 Defaults Maintenance - Field Description

Field	Description
Company Details	The section displays the following fields.
Company Short Name	*Alphanumeric; 15 Characters; Optional* Enter the short name of the Company that is using **Oracle FLEXCUBE Investor Servicing**.
Company Name	*Alphanumeric; 60 Characters; Optional* Enter the full name of the Company that is using **Oracle FLEXCUBE Investor Servicing**. The system will print this as the company name in all the reports.
Distributor Defaults	In this section, define the default information applicable for the AMC, in any maintenance operation in the system.
Distributor ID	*Alphanumeric; 12 Characters; Optional* Enter the ID of the default distributor for the installation.
Country	*Alphanumeric; 3 Characters; Optional* Enter the default Country of the unit holder.

Table 3-2   (Cont.) Defaults Maintenance - Field Description

Field	Description
Minor Age	*Numeric; 22 Characters; Mandatory* Enter the default age limit for the Minors.
Check Validity Period	*Numeric; 22 Characters; Optional* Enter the number of days for which a Check is valid, by default during transactions.
Registrar ID	*Alphanumeric; 12 Characters; Optional* Enter the ID of the default Registrar for the installation.
Nationality	*Alphanumeric; 3 Characters; Optional* Enter the default Nationality of the unit holder.
Bank	*Alphanumeric; 12 Characters; Optional* Enter the code of the default Bank for the system.
Low Date	*Date Format; Optional* Enter the default Low date value for the system.
High Date	*Date Format; Optional* Enter the default High Date Value for the system.
High Amount	*Numeric; 30 Characters;, Mandatory* Enter the default high amount value.
High Units	*Numeric; 27 Characters;, Mandatory* Enter the default high unit value.
Round Off Amount	*Numeric; 22 Characters;, Mandatory* Enter the default value for round off amount.
VAT Percent	*Numeric; 5 Characters;, Optional* Displays the default value of **Value Added Tax (VAT)** Percentage.
Amend Period	*Numeric; 22 Characters; Optional* Enter the default Amendment period for the Fund Rule/Transactions.
Default Level	*Numeric; 2 Characters; Mandatory* This displays the hierarchy default number in the fund. For instance, if the existing fund has a parent fund, then the default level will be `2`.
High Counter	*Numeric; 22 Characters; Optional* Enter the default high counter value.
Check UH Duplicates	*Mandatory* Select `Yes` or `No` from drop-down list to check for unit holder Duplicates.
Source ID	*Alphanumeric; 6 Characters; Optional* From the list, select the default exchange rate source for the AMC.
Country Code	*Alphanumeric; 3 Characters; Optional* Displays the code given to the country where the client site is located.
Client Code	*Alphanumeric; 15 Characters; Optional* Displays the code given to the client where **Oracle FLEXCUBE Investor Servicing** has been installed.
FPAM Installed	*Optional* If **Oracle FLEXCUBE Asset Management** has been installed at the client site, select `Yes` from the drop-down list.
FPAM User Name	*Alphanumeric; 15 Characters; Optional* Specify the name of the user where **Oracle FLEXCUBE Asset Management** has been installed.

Table 3-2 (Cont.) Defaults Maintenance - Field Description

Field	Description
Tax Year Start	*Date Format, Optional* Specify the start date from which the tax payment should be considered.
Tax Year End	*Date Format, Optional* Specify the date till which the tax payment should be considered.
EUSD Options	*Optional* Select the default EUSD (European Union Savings Directive) option for the segment. The options available are: • **WithHolding Tax (WHT)**: EUSD tax is computed and deducted • **Exchange of Information (EOI):** EUSD tax is computed but not deducted • **Tax Exemption Certificate (TEC):** EUSD tax is computed but not deducted By default, the option is left unchecked. If you do not indicate any EUSD option, then EUSD option will not be applicable for the segment. **Note**: This functionality is applicable only for the Fund Manager module.
Settlement Level	*Optional* Indicate whether the payment amount must be compared with the fund base currency amount or the transaction currency amount from the drop-down list while processing transaction settlements.
Interim Tax Paid Date	*Date Format; Optional* Specify the tax payment date here. This is only applicable for non-pensions funds. **Note**: It is mandatory to specify the interim tax for funds where IOF/IRRF is applicable.
Interim Tax Frequency	*Numeric; 2 Characters; Optional* Specify the tax payment frequency here. This is only applicable for non-pensions funds. **Note**: It is mandatory to specify the interim tax frequency for funds where IOF/IRRF is applicable.
Fund ID Generation Logic	*Alphanumeric; 6 Characters; Optional* Indicate the pattern using which the fund ID needs to be generated, where the first two characters represent the ISO Country Code (except for any jurisdiction with distributor schemas where the 2nd character will designate whether it is "R"egistrar-world or "D"istributor-world) and the following four characters are auto generated numerals.
Branch Defaults	In this section, define the default information applicable for any branch of the AMC, in any maintenance operation in the system.
Title	*Alphanumeric; 15 Characters; Optional* Enter the Title to default during unit holder Data Entry. You can make a blank specification so that a blank entry may be accepted as a title by the system.
Investor Type	*Optional* Enter the default Investor Type, whether Individual or Corporate from the drop-down list, during unit holder data entry.

Table 3-2   (Cont.) Defaults Maintenance - Field Description

Field	Description
Marital Status	*Optional* Select the Marital Status from the drop-down list to default during unit holder data entry. The list displays the following values: • **Divorced** • **Married** • **Not Available** • **Single** • **Widow**
Resident Status	*Optional* Enter **Resident** or **Non-Resident** as the Resident Status to default during unit holder data entry.
Sex	*Optional* Select **Male** or **Female** from drop-down list as the Sex to default during unit holder Data Entry.
Mode of Payment	*Alphanumeric; 1 Character; Optional* Enter **Cash**, **Check** or **Transfer** as the Payment Mode to default during Transaction data entry.
Redemption Mode	*Optional* Enter **Amount** or **Units** as the Redemption Mode to default during transaction acceptance.
Account Type	*Alphanumeric; 1 Character; Optional* Enter **Current**, **Savings** or **Fixed** as the Payment Mode to default during Transaction data entry.
Language	*Alphanumeric; 12 Characters; Optional* Enter **English** or **Non-English** as the default language in which the system should display messages.
Password Valid For (in days)	*Numeric; 22 Characters; Optional* Enter the minimum number of days after which the Users will have to change the Password. At the end of this retention period, the system will automatically prompt the User at login time to change the password.
System General Reference Number	*Mandatory* Enter the option of using a System General Reference Number. If yes, then the Reference Number for all the transactions will also be generated by the system. If not, the Reference Number must be specified at the time of entering the transaction.
Error Level	*Numeric; 22 Characters; Optional* Enter the Error Messages Level. • Enter `1` if you want the system to display an Error Message and not log it. • Enter `2` if you want the system not to display an Error Message but to log it. • Enter `3` if you want the system to display an Error Message and Log it. • If any other level is indicated, the system will display Error Messages and Log it.
Online	*Optional* Select the online status of the branch from the drop-down list, at the time of viewing this record. The list displays the following values: • **Yes** • **No**

Table 3-2 (Cont.) Defaults Maintenance - Field Description

Field	Description
Default Time Zone	*Alphanumeric; 12 Characters; Mandatory; Non-amendable* Select the default time zone from the values available. All time zones you have maintained through the Time Zone Maintenance screen are displayed in the option list.
Auto Clear Reinvestments	*Character Maximum, Alphanumeric, Mandatory* Indicate whether 100% outflow transactions include freeze held and reinvestment units. You can specify any of the following options: • **Option not allowed**: Freeze held/reinvestment units should not be considered while processing 100% outflow transactions. • **Allowed – Default checked:** Freeze held/reinvestment units should be considered while processing 100% outflow transactions by default. • **Allowed – Default unchecked:** Freeze held/reinvestment units will not be considered while processing 100% outflow transactions by default. However, you can check this option while performing transactions.
Auto Clear Provisional Balance	*Mandatory* Indicate whether 100% outflow transactions include provisionally allotted units. You can specify any of the following options: • **Option not allowed:** Provisionally allotted units should not be considered while processing 100% outflow transactions. • **Allowed – Default checked:** Provisionally allotted units should be considered while processing 100% outflow transactions by default. • **Allowed – Default unchecked:** Provisionally allotted units will not be considered while processing 100% outflow transactions by default. However, you can check this option while performing transactions.
Other Defaults	In this section, define the other default information applicable for the AMC, in any maintenance operation in the system.
Database	*Alphanumeric; 15 Characters; Optional* Enter the name of database that contains all the objects (tables, stored procedures, etc.) used by the system. This will be displayed at the footer of all the screens at run time. This field cannot be edited after it has been entered for the first time. When you are in Edit mode, this is a Display Only field.
Agent	*Alphanumeric; 12 Characters; Optional* Enter the code of the default Agent for the system.
Branch	*Alphanumeric; 12 Characters; Optional* Enter the code of the default Agency Branch for the system. When you are in Edit mode, the Agent and Branch fields are Display Only fields.
Component	*Alphanumeric; 1 Character; Optional* Enter the default Component of the system for the installation.

Table 3-2 (Cont.) Defaults Maintenance - Field Description

Field	Description
Segment ID	*Alphanumeric; 12 Characters; Optional; Amendable* Specify the segment ID. Alternatively, you can select segment ID from the LOV. The list displays all the valid segment ID of current Installation maintained in the system. The segment ID maintenance should be done as following, • For Non-Global Transfer Agency Setup, Segment ID should not be maintained. • For Global Transfer Agency Setup, Segment ID has to be selected from LOV in Defaults maintenance and the same will be defaulted to the user in the Local branch in **UTDUH** screen. • For Global Transfer Agency Setup, Segment ID should not be maintained in **Defaults maintenance** whereas in **Unit holder maintenance**, Segment Id has to be selected by the user from LOV in the Global Branch.

3.2 Process Segment Maintenance Detail

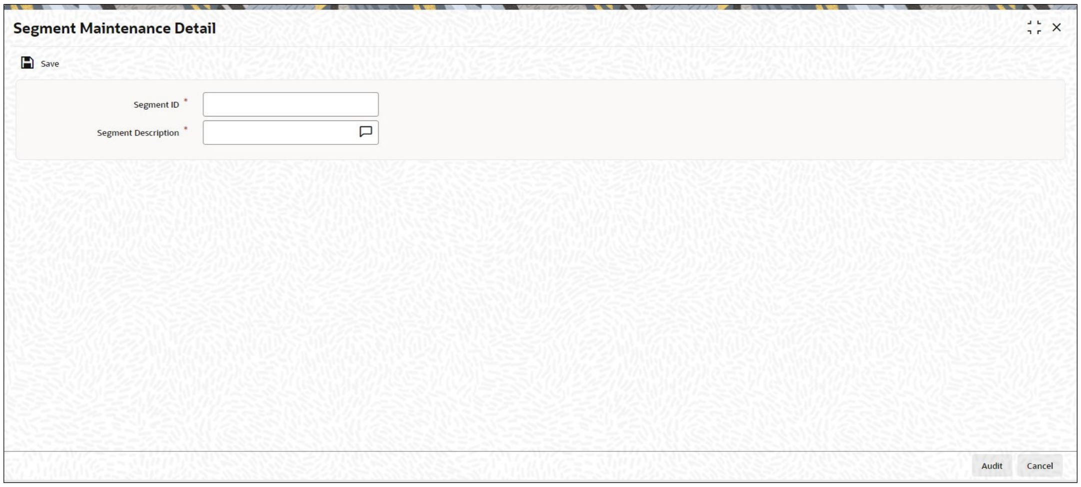
This topic provides the systematic instructions to set up system segment information.

Use the **Segment Maintenance Detail** screen to set up system segment information, which is available only in the fund manager. Each segment can potentially represent one country/ Agency Branch. Multiple segments can be created in the system. The created segments can be associated with Agency Branch, Unit holder and Fund in the system.
This screen supports **New**, **Edit**, **Delete**, **Authorize**, **Copy**, **Amend** and **Close** operations. A Segment can be closed unless it is mapped to any Agency Branch or Unit holder or Fund.

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

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

Figure 3-2 Segment Maintenance Detail



2. On **Segment Maintenance Detail** screen, click **New** to enter the details.

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

Table 3-3 Segment Maintenance Detail - Field Description

Field	Description
Segment ID	*Alphanumeric; 12 Characters; Mandatory; Non Amendable* Enter the segment ID.
Segment Description	*Alphanumeric; 255 Characters; Optional; Amendable* Enter the segment Description. **Note**: On authorization of a new segment, the Pre-EOD list of the corresponding segment will be defaulted from static Pre-EOD list.

3.3 Segment Maintenance Summary

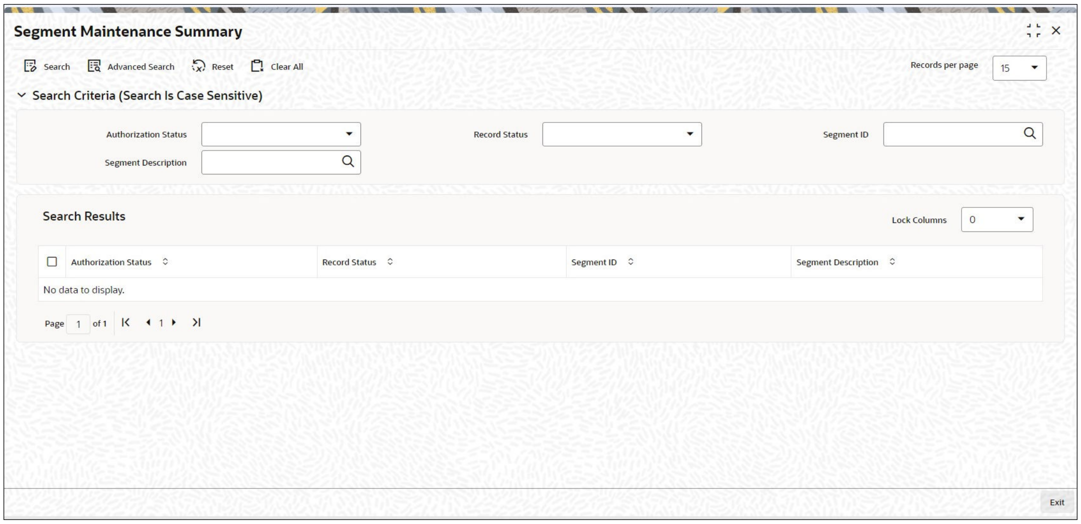
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Segment Maintenance Record

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

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

   Figure 3-3 Segment Maintenance Summary

2. On **Segment 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**
   - **Segment ID**
   - **Segment Description**
3. Click **Search** button to view the records.

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

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

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

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

3.3.1 Edit Segment Maintenance Record

This topic provides the systematic instructions to edit Segment Maintenance record.

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

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

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

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

3.3.2 View Segment Maintenance Record

This topic provides the systematic instructions to view Segment Maintenance record.

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

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

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

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

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

3.3.3 Delete Segment Maintenance Record

This topic provides the systematic instructions to delete Segment Maintenance record.

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

1. Start the **Segment Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Segment Maintenance Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.3.4 Authorize Segment Maintenance Record

This topic provides the systematic instructions to authorize Segment Maintenance record.

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

1. Start the **Segment Maintenance Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

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

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

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

3.3.5 Amend Segment Maintenance Record

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

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

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

   The **Segment 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.

   When you retrieve a segment maintenance record for the purpose of making an information change, it is displayed in the **Segment Maintenance Detail** screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

3.3.6 Authorize Amended Segment Maintenance Record

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

- Authorize an amended segment maintenance record for the amendment to be made effective in the system.

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

3.4 System Parameters

This topic explains about system parameters.

Maintain System Parameters

At the time of installation of **Oracle® FLEXCUBE Investor Servicing**, the implementers set up codes for parameters that will be used in any maintenance operation in the system, involving both static tables and processing. They also set up a list of values that would be considered valid for each parameter code. In any drop-down list in a maintenance screen where the parameter code is used, the valid values list will appear.

The implementers set up these codes and values based on the requirements at each installation. Through the **System Parameters** maintenance, static information such as the following master lists can be maintained:

- Bank account types
- Countries
- Corporation types
- Identification types
- Occupation types
- Dividend component types
- Investor category types
- Investment Component types

User will be able to add to a list of valid values for a parameter code, if so designated by the implementers at the time of installation.

The valid value lists that you set up will be displayed in the option lists in the user interface, in whatever operation a system parameter value is required to be picked up.

For instance, when bank account types are maintained as a system parameter, a value list containing the different account types is maintained as part of the **System Parameters** maintenance. In the system, in any screen that requires an account type as input information, the value list will be displayed to the user to select the required account type.

You must define the various components required for validating Prudential Investment Guidelines/ Foreign Exchange Compliance under the parameter code **INVESTMENTCOMP**.

This is a necessary maintenance required if you have selected Prudential Investment Guidelines as part of the Fund Product categories. The procedure for specifying the investment component code is the same for any other Parameter value to be maintained.

> **Note:**
>
> For communication mode Param value is restricted to the length of `2` characters. No validation will be done during the maintenance.

You cannot modify or delete the factory shipped communication mode in **Parameter Setup Detail** screen. The system will display an error message as `Selected Param value cannot be Modified/Deleted`.

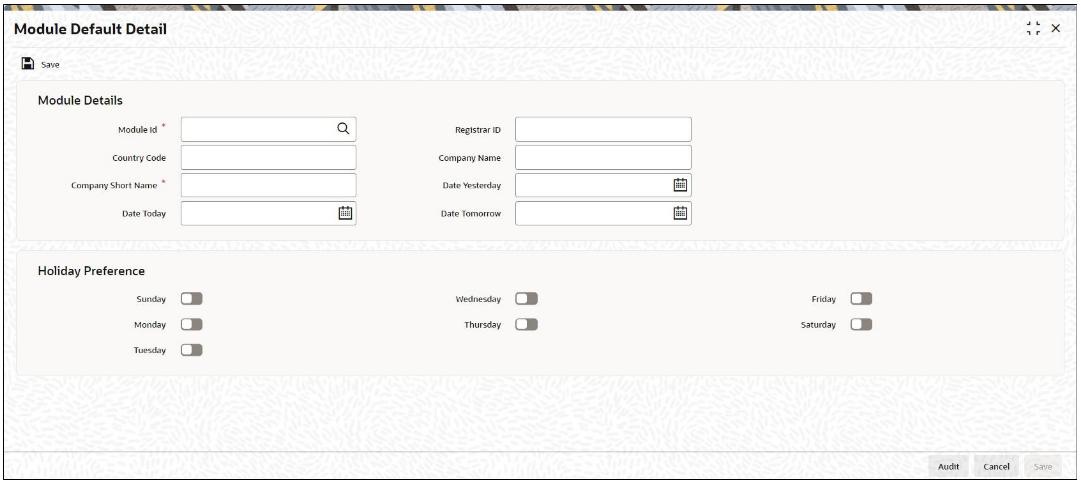
3.5 Process Module Default Detail

This topic provides the systematic instructions to maintain module details.

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

   The **Module Default Detail** screen is displayed.

Figure 3-4 Module Default Detail



2. On **Module Default Detail** screen, click **New** to enter the details.

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

Table 3-4 Module Default Detail - Field Description

Field	Description
Module ID	*Alphanumeric; 50 Characters; Mandatory* Specify the **Module ID**. Alternatively, you can select **Module ID** from the option list. The list displays all valid **Module ID** maintained in the system.
Registrar ID	*Alphanumeric; 12 Characters; Optional* Specify the **Registrar ID**. Alternatively, you can select **Registrar ID** from the option list. The list displays all valid **Registrar ID** maintained in the system.
Country Code	*Alphanumeric; 15 Characters; Optional* Specify the country code.
Company Name	*Alphanumeric; 60 Characters; Optional* Specify the name of the company
Company Short Name	*Alphanumeric; 15 Characters; Optional* Specify the short name of the company.
Date Yesterday	*Date Format; Optional* Select the previous date from the adjoining calendar.
Date Today	*Date Format; Optional* Select the current date from the adjoining calendar.

Table 3-4 (Cont.) Module Default Detail - Field Description

Field	Description
Date Tomorrow	*Date Format; Optional* Select the next date from the adjoining calendar.
Holiday Preference	Select the appropriate check box adjacent to holiday date. The options are as follows: • **Sunday** • **Monday** • **Tuesday** • **Wednesday** • **Thursday** • **Friday** • **Saturday**

3.6 Process Feature Applicable Detail

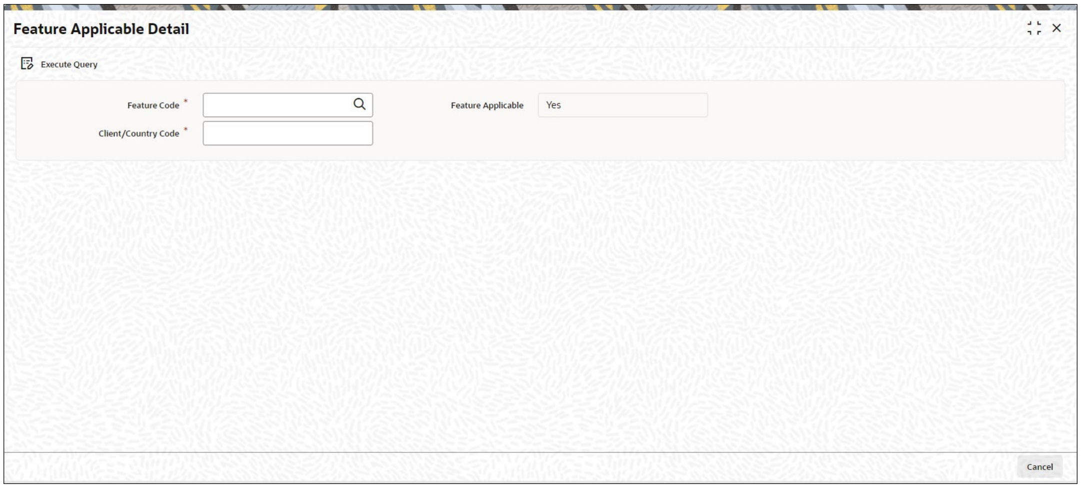
This topic provides the systematic instructions to maintain client country features.

The feature for a Client/Country code can be turned on or off with this screen. It supports **Query** and **Unlock** operation. It can be invoked from the FMG module.

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

   The **Feature Applicable Detail** screen is displayed.

Figure 3-5 Feature Applicable Detail



Feature Applicable: Yes

2. On **Feature Applicable Detail** screen, click **New** to enter the details.

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

Table 3-5 Feature Applicable Detail - Field Description

Field	Description
Feature Code	*Alphanumeric; 15 Characters; Mandatory* Specify the Feature Code. Alternatively, you can select it from the option list. The list displays all valid codes maintained in the system.

Table 3-5 (Cont.) Feature Applicable Detail - Field Description

Field	Description
Client/Country Code	*Display* The system displays the Client/Country Code for the selected Feature Code.
Feature Applicable	Features can be set as applicable or not. **Note**: In GTA Setup, client country **CIFFORLINKENT** should be turned ON and client country **UHFORLINKENTITY** should be turned OFF.

3.7 Feature Applicable Summary

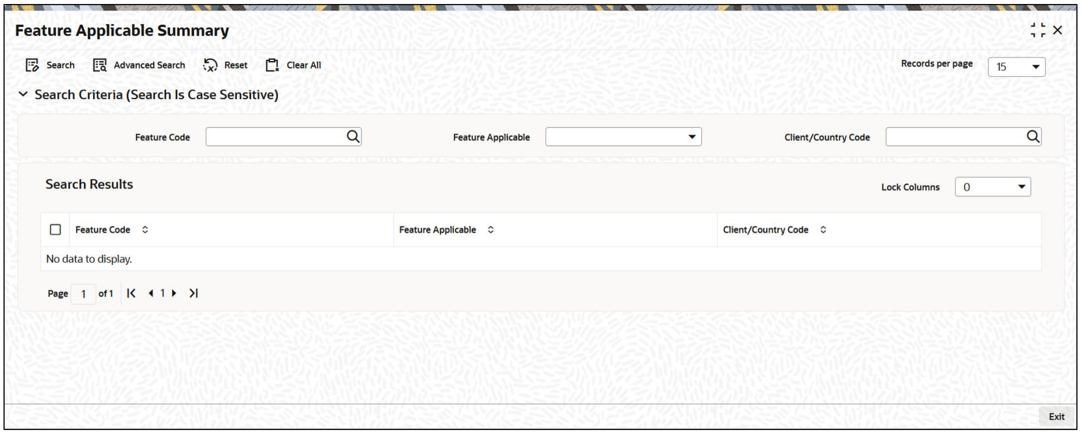
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Feature Applicable Record

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

   The **Feature Applicable Summary** screen is displayed.

Figure 3-6 Feature Applicable Summary



2. On **Settlement Basis Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Feature Code**
   - **Client/Country Code**
3. Click **Search** button to view the records.

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

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

4. Perform **Edit** operation by selecting from the Action list.

- Edit Feature Applicable Record
  This topic provides the systematic instructions to edit Feature Applicable record.
- View Feature Applicable Record
  This topic provides the systematic instructions to view Feature Applicable record.

3.7.1 Edit Feature Applicable Record

This topic provides the systematic instructions to edit Feature Applicable record.

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

1. Invoke the **Feature Applicable Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Feature Applicable 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 **Feature Applicable Detail** screen is closed and the changes made are reflected in the **Feature Applicable Summary** screen.

3.7.2 View Feature Applicable Record

This topic provides the systematic instructions to view Feature Applicable record.

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

1. Start the **Feature Applicable Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

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

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

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

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

   The **Feature Applicable Detail** screen is displayed.

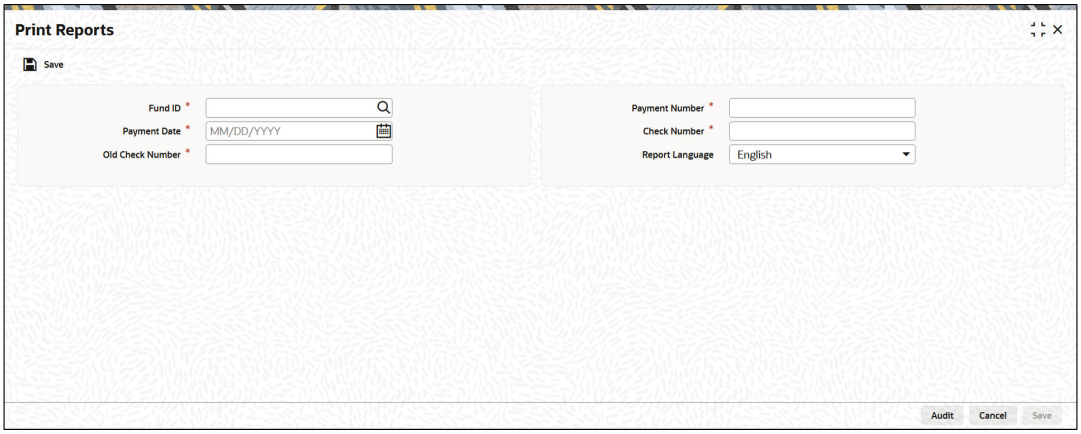
3.8 Perform Print Reports

This topic provides the systematic instructions to update the new cheque number against an old expired dividend payment cheque.

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

   The **Print Reports** screen is displayed.

Figure 3-7 Print Reports



Report Language: English

2. On **Print Reports** screen, click **New** to enter the details.

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

Table 3-6 Print Reports - Field Description

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund ID in which the dividend payment cheque was issued. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Payment Date	*Alphanumeric; 11 Characters; Mandatory* Specify the payment date for the dividend transaction. Alternatively, you can select payment date from the option list.

Table 3-6 (Cont.) Print Reports - Field Description

Field	Description
Payment Number	*Numeric; 5 Characters; Mandatory* Specify the dividend payment number
Old Check Number	*Alphanumeric; 16 Characters; Mandatory* Specify the old cheque number that was issued against the dividend payment.
Check Number	*Alphanumeric; 16 Characters; Mandatory* Specify the new cheque number that is to be issued against the old dividend payment.
Report Language	*Optional* Select the report language from the drop-down list. The list displays the following values: • **English** • **German**

3.9 Process Additional Information Maintenance

This topic provides the systematic instructions to define additional information pertaining to any entities that you set up in the system.

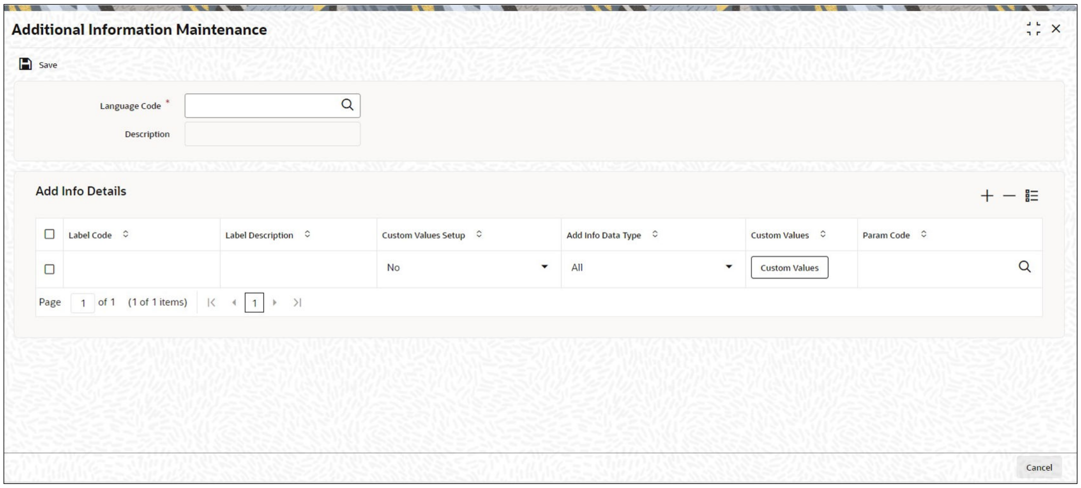
The **Oracle® FLEXCUBE Investor Servicing** system gives you the facility of defining heads under which you can capture any additional information pertaining to any entities that you set up in the system, especially unit holders and brokers. You can also set up a list of acceptable, valid values for each information head.

Use **Additional Information Maintenance** screen to define these additional information heads and their valid values.

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

   The **Additional Information Maintenance** screen is displayed.

Figure 3-8 Additional Information Maintenance


Additional Information Maintenance
Save
Language Code *
Description
Add Info Details
Page 1 of 1 (1 of 1 items)
Cancel

☐	Label Code	Label Description	Custom Values Setup	Add Info Data Type	Custom Values	Param Code
☐			No	All	Custom Values	

2. On **Additional Information Maintenance** screen, click **New** to enter the details.

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

Table 3-7 Additional Information Maintenance - Field Description

Field	Description
Language Code	*Alphanumeric; 12 Characters; Mandatory* Specify the language for which you want to define the additional information heads.
Description	*Display* The system displays the description for the selected language code.
Add Info Details	To add a new information head, click the **Add** link in the **Additional Information Maintenance** screen. A new row is inserted at the bottom of the list.
Label Code	*Alphanumeric; 30 Characters; Mandatory* Specify the label code.
Label Description	*Alphanumeric; 100 Characters; Mandatory* Specify the description of the selected label code.
Custom Values Setup	*Mandatory* Select the custom values setup status from the drop-down list. The list displays the following values: • **Yes** • **No**
Add Info Data Type	*Optional* Select the type of data that can be entered into the additional information field. This specification can be made only for those additional information heads that are not linked to a system parameter. In the system, when a value is entered into the additional information field, the data type of the entered value is validated by the system. The list displays the following values: • **All** • **Alphanumeric** • **Numeric** • **Date**
Param Code	*Alphanumeric; 25 Characters; Optional* Specify the param code.

3. You must also enter the code of the specific system parameter to which the additional information head is linked, if the additional information head being maintained is to be linked to a system parameter that has been maintained for the installation.

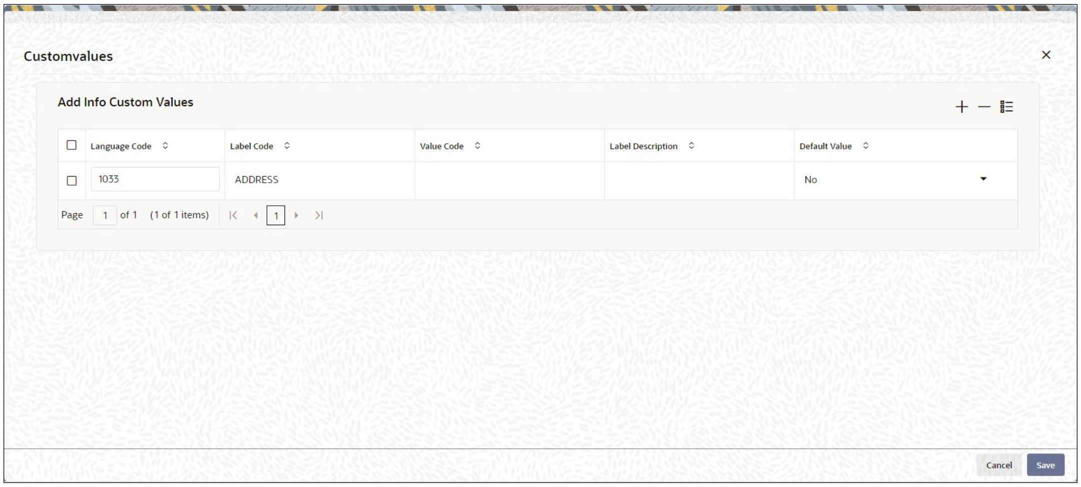
   The values maintained for the linked parameter are also applicable for the additional information head.

4. When you click on the **Custom Values** button, you can select the system parameter to which the additional information head must be linked.

5. Click **Valid Values** button to define set of valid values.

   The following **Custom Values** window is displayed.

Figure 3-9   Additional Information Maintenance_Custom Values Button



☐	Language Code	Label Code	Value Code	Label Description	Default Value
☐	1033	ADDRESS			No

6. On **Custom Values** screen, specify the fields.

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

Table 3-8   Custom values - Field Description

Field	Description
Language Code	*Alphanumeric; 12 Characters; Mandatory* Specify the language for which you want to define the additional information heads.
Label Code	*Alphanumeric; 30 Characters; Mandatory* Specify the label code.
Value Code	*Alphanumeric; 30 Characters; Mandatory* Specify the value code.
Label Description	*Alphanumeric; 100 Characters; Mandatory* Specify the description of the selected label code.
Default Value	*Mandatory* Select if the value is to be shown as default, in the drop down list for this information head, in any maintenance screen in the system. The values available in drop-down list is as follows: • **Yes** • **No**

7. Click **Ok** button.

   The changes are saved, the **List of Values** screen is closed, and you are returned to the main **Additional Information Maintenance** screen.

Linking an additional information head to a system parameter

8. You can use **Link to Param** field to indicate whether the additional information head that is being maintained is linked to a system parameter that has been maintained for the installation.
9. Check this box to indicate such a linkage.

   If a linkage is indicated, you must also enter the code of the specific system parameter to which the additional information head is linked.

The values maintained for the linked parameter are also applicable for the additional information head.

10. When you click on the **Valid Values** button, you can select the system parameter to which the additional information head must be linked.
11. You cannot maintain a restrictive list for an additional information head that is linked to a system parameter.
12. In the system, when the additional information field that is linked to a parameter code is displayed for data entry, a list of values button is provided for selection of the values defined for the linked parameter code.

Specify RPO Code for Account Status as Additional Information Head
When you set up a unit holder account in the system, you can capture the RPO Code that would be used for tracking the status of the account.

The RPO Code is provided as an additional information head in the **Additional Information Maintenance**, with valid values such as Bankrupt, Deceased, Lien on Holdings, Return Mail and so on, as a pre-shipped maintenance.

Table 3-9 RPO Code and Processing Implications

RPO Code	Processing Implications
Normal/Active	No associated RPO Code
Bankrupt	Redemptions, Transfer-In will be allowed. Subscription, Switch-Out, Switch-In, Transfer-Out transactions will not be allowed
Deceased	All transaction types disallowed
Deceased Estate	All transaction types disallowed
Frozen	All transaction types disallowed
Hold	All transaction types disallowed
Blacklist	All transaction types disallowed
Suspicious	All transaction types disallowed
Closed	All transaction types disallowed

The RPO code can be tracked separately for each installation; therefore, the same account could have the **BLOCKED** status in one installation and **ACTIVE** in another. To mark a status, an Information Change must be used.

13. Provide an additional information head RPO Effective Date with the data type as **Date Type** to capture the effective date for the RPO status.

    The format for the date is picked up from the Parameter Code **DATEFORMATFORADDINFO**, which is a pre-shipped maintenance. These additional information heads are provided at your installation only if specifically requested for.

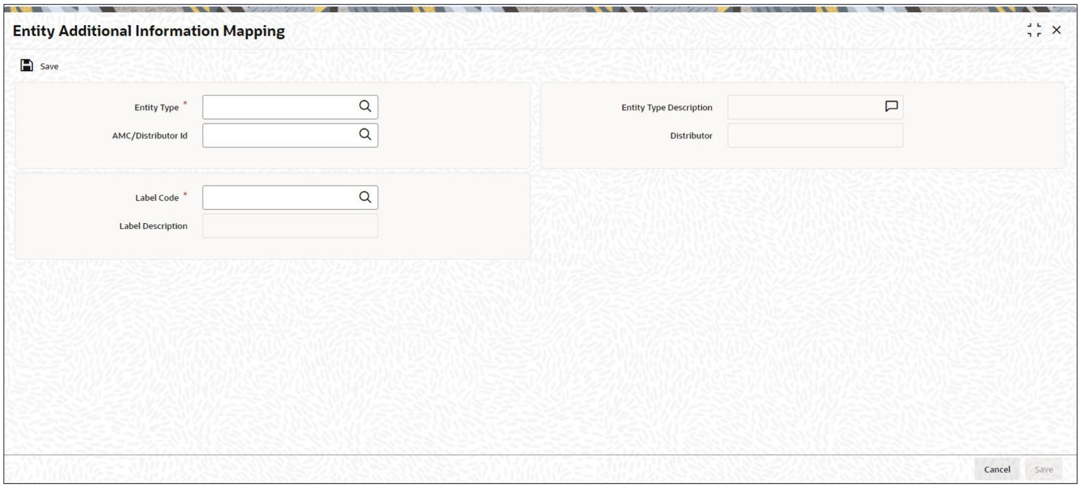
3.10 Process Entity Additional Information Mapping

This topic explains about Entity Additional Information Mapping.

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

   The **Entity Additional Information Mapping** screen is displayed.

Figure 3-10 Entity Additional Information Mapping



2. On **Entity Additional Information Mapping** screen, click **New** to enter the details.

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

Table 3-10 Entity Additional Information Mapping - Field Description

Field	Description
Criteria	The section displays the following fields.
Price Date	*Display* The system displays the price date.
From Date	*Date Format; Mandatory* Select the date from when succession price to be considered from the adjoining calendar.
To Date	*Date Format; Mandatory* Select the date till when succession price to be considered from the adjoining calendar.
Succession Price	The section displays the following fields.
Fund ID	*Alphanumeric; 6 Characters; Optional* Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
Fund Base Currency	*Display* The system displays the fund base currency.
Price Details	*Numeric; 22 Characters; Mandatory* Specify the Entity Additional Information Mappings.
Price In Euro	*Display* The system displays the price in Euro.

3.11 Entity Additional Information Mapping Summary

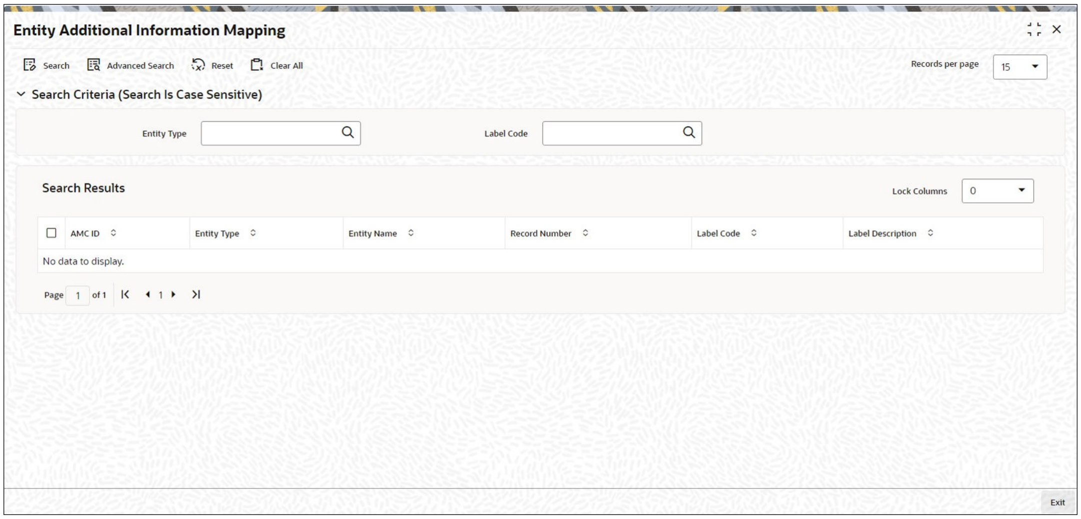
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Entity Additional Information Mapping Record

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

The **Entity Additional Information Mapping Summary** screen is displayed.

Figure 3-11 Entity Additional Information Mapping Summary



Records per page: 15

Lock Columns: 0

2. On **Entity Additional Information 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**
    - **Entity Type**
    - **Label Code**
3. Click **Search** button to view the records.

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

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

- Edit Entity Additional Information Mapping Record
  This topic provides the systematic instructions to edit Entity Additional Information Mapping record.
- View Entity Additional Information Mapping Record
  This topic provides the systematic instructions to view Entity Additional Information Mapping record.

- Delete Entity Additional Information Mapping Record
  This topic provides the systematic instructions to delete Entity Additional Information Mapping record.
- Authorize Entity Additional Information Mapping Record
  This topic provides the systematic instructions to authorize Entity Additional Information Mapping record.
- Amend Entity Additional Information Mapping Record
  This topic provides the systematic instructions to amend Entity Additional Information Mapping record.
- Authorize Amended Entity Additional Information Mapping Record
  This topic provides the systematic instructions to authorize amended Entity Additional Information Mapping record.

3.11.1 Edit Entity Additional Information Mapping Record

This topic provides the systematic instructions to edit Entity Additional Information Mapping record.

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

1. Invoke the **Entity Additional Information 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Entity Additional Information Mapping Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Entity Additional Information Mapping Detail** screen is closed and the changes made are reflected in the **Entity Additional Information Mapping Summary** screen.

3.11.2 View Entity Additional Information Mapping Record

This topic provides the systematic instructions to view Entity Additional Information Mapping record.

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

1. Start the **Entity Additional Information 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Entity Additional Information Mapping Detail** screen is displayed.

3.11.3 Delete Entity Additional Information Mapping Record

This topic provides the systematic instructions to delete Entity Additional Information Mapping record.

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

1. Start the **Entity Additional Information 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 lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Entity Additional Information Mapping Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.11.4 Authorize Entity Additional Information Mapping Record

This topic provides the systematic instructions to authorize Entity Additional Information Mapping record.

Authorize an unauthorized Entity Additional Information Mapping Record in the system for it to be processed as follows:

1. Start the **Entity Additional Information 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 lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Entity Additional Information Mapping Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.11.5 Amend Entity Additional Information Mapping Record

This topic provides the systematic instructions to amend Entity Additional Information 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 **Entity Additional Information 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 lower portion of the screen.
4. Double-click the record that you wish to amend.

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

3.11.6 Authorize Amended Entity Additional Information Mapping Record

This topic provides the systematic instructions to authorize amended Entity Additional Information Mapping record.

- Authorize an amended Entity Additional Information Mapping Record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

3.12 Process Fee Category Setup Detail

This topic provides the systematic instructions to view a list of defined fee category codes or add any new fee sub-categories.

Setting up Fee Categories and Sub-categories

At the time of installation of **Oracle® FLEXCUBE Investor Servicing**, the implementers set up codes for fee categories that will be deemed applicable for specific investor categories. They also set up a list of fee sub-categories that would be considered valid for each fee category.

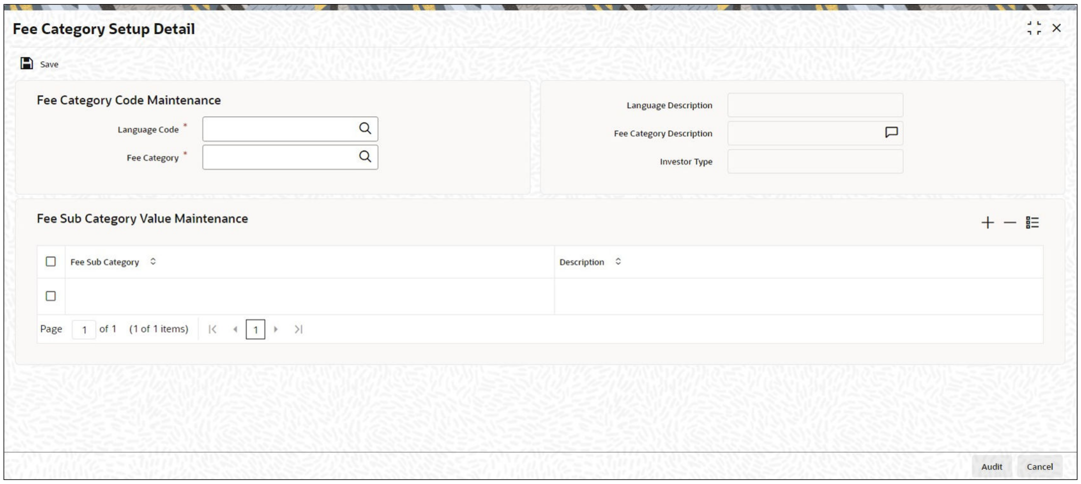
The implementers set up these codes and values based on the requirements at each installation.

You as a user will be able to add to a list of fee sub-categories for a fee category code. However, you cannot set up any new fee categories.

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

The **Fee Category Setup Detail** screen is displayed.

Figure 3-12   Fee Category Setup Detail



2. On **Fee Category Setup Detail** screen, click **New** to enter the details.

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

Table 3-11   Fee Category Setup Detail - Field Description

Field	Description
Fee Category Code Maintenance	The section displays the following fields.
Language Code	*Alphanumeric; 12 Characters; Mandatory* Specify the language for which you want to view the defined fee category codes.
Language Description	*Display* The system displays the description for the selected language code.
Fee Category	*Alphanumeric; 3 Characters; Mandatory* Specify the fee category details. Alternatively, you can select the fee category from the option list. The list displays all defined fee categories for the selected language code.
Fee Category Description	*Display* The system displays the description for the selected fee category.
Investor Type	*Display* The system displays the type of investor.
Fee Sub Category Value Maintenance	Click **Add** link to add a fee sub-category. A new row is inserted at the bottom of the list.
Fee Sub Category	*Alphanumeric; 6 Characters; Mandatory* Specify the fee sub category.
Description	*Alphanumeric; 60 Characters; Mandatory* Specify the description for the selected fee sub category.

3.13 Fee Category Setup Summary

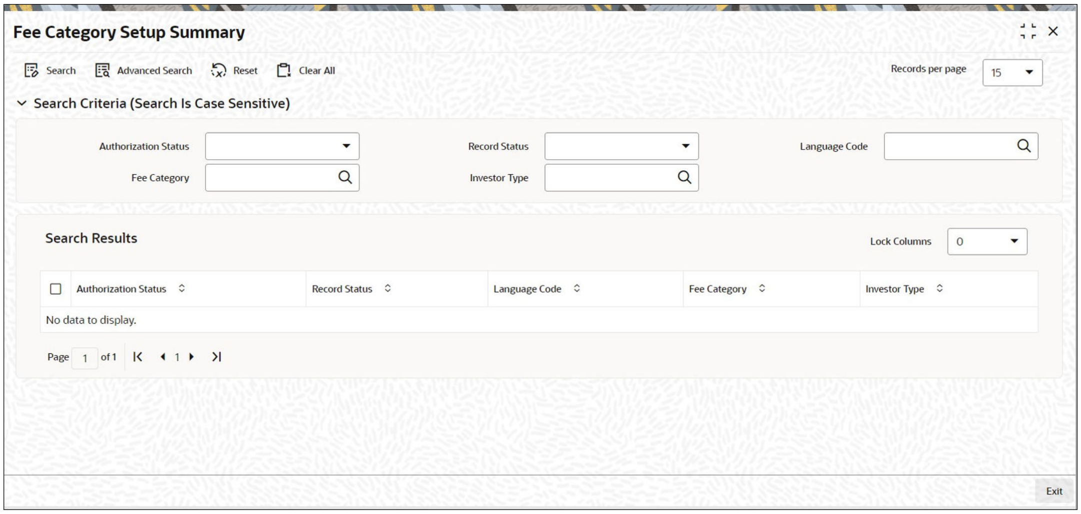
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Fee Category Setup Record

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

   The **Fee Category Setup Summary** screen is displayed.

   Figure 3-13 Fee Category Setup Summary

   No data to display.

2. On **Fee Category 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**
   - **Language Code**
   - **Fee Category**
   - **Investor Type**
3. Click **Search** button to view the records.

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

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

- Edit Fee Category Setup Record
  This topic provides the systematic instructions to edit Fee Category Setup record.
- View Fee Category Setup Record
  This topic provides the systematic instructions to view Fee Category Setup record.

- Delete Fee Category Setup Record
  This topic provides the systematic instructions to delete Fee Category Setup record.
- Authorize Fee Category Setup Record
  This topic provides the systematic instructions to authorize Fee Category Setup record.
- Amend Fee Category Setup Record
  This topic provides the systematic instructions to amend Fee Category Setup record.
- Authorize Amended Fee Category Setup Record
  This topic provides the systematic instructions to authorize amended Fee Category Setup record.

3.13.1 Edit Fee Category Setup Record

This topic provides the systematic instructions to edit Fee Category Setup record.

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

1. Invoke the **Fee Category 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Fee Category 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 **Fee Category Setup Detail** screen is closed and the changes made are reflected in the **Fee Category Setup Summary** screen.

3.13.2 View Fee Category Setup Record

This topic provides the systematic instructions to view Fee Category Setup record.

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

1. Start the **Fee Category 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 lower portion of the screen.

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

   The **Fee Category Setup Detail** screen is displayed.

3.13.3 Delete Fee Category Setup Record

This topic provides the systematic instructions to delete Fee Category Setup record.

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

1. Start the **Fee Category 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 lower portion of the screen.

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

   The **Fee Category Setup Detail** screen is displayed.

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

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

3.13.4 Authorize Fee Category Setup Record

This topic provides the systematic instructions to authorize Fee Category Setup record.

Authorize an unauthorized Fee Category Setup record in the system for it to be processed as follows:

1. Start the **Fee Category 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 lower portion of the screen.

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

   The **Fee Category Setup Detail** screen is displayed.

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

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

3.13.5 Amend Fee Category Setup Record

This topic provides the systematic instructions to amend Fee Category 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 **Fee Category 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 lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Fee Category 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.

3.13.6 Authorize Amended Fee Category Setup Record

This topic provides the systematic instructions to authorize amended Fee Category Setup record.

- Authorize an amended Fee Category Setup record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

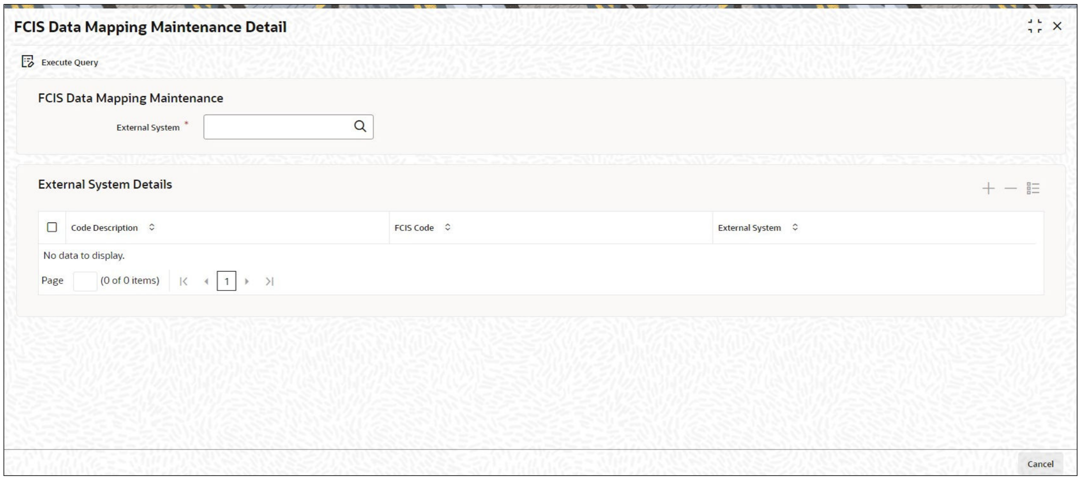
3.14 Process FCIS Data Mapping Maintenance Detail

This topic provides the systematic instructions to map data from external systems to FCIS.

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

   The **FCIS Data Mapping Maintenance Detail** screen is displayed.

Figure 3-14   FCIS Data Mapping Maintenance Detail



2. On **FCIS Data Mapping Maintenance Detail** screen, click **New** to enter the details.

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

Table 3-12   FCIS Data Mapping Maintenance Detail - Field Description

Field	Description
External System	*Alphanumeric; 30 Characters; Mandatory* Specify the external system from which the data needs to be mapped. The options being: • CAMS • TEMPLETON • KARVY • HSBC • Oasis
External System Details	The section displays the following fields.
Code Description	*Alphanumeric; 100 Characters; Mandatory* Specify the category of codes from factory shipped values available.
FCIS Code	*Alphanumeric; 255 Characters; Mandatory* Specify the corresponding factory shipped value available in **FCIS** for the specified category code.
External System Code	*Alphanumeric; 50 Characters; Mandatory* Specify the external system code here. **Note**: If the code description selected from the available list is linked to any existing **PARAMS**, system would display all valid codes irrespective of the maintenance.

3.15 Process Event User Mapping Detail

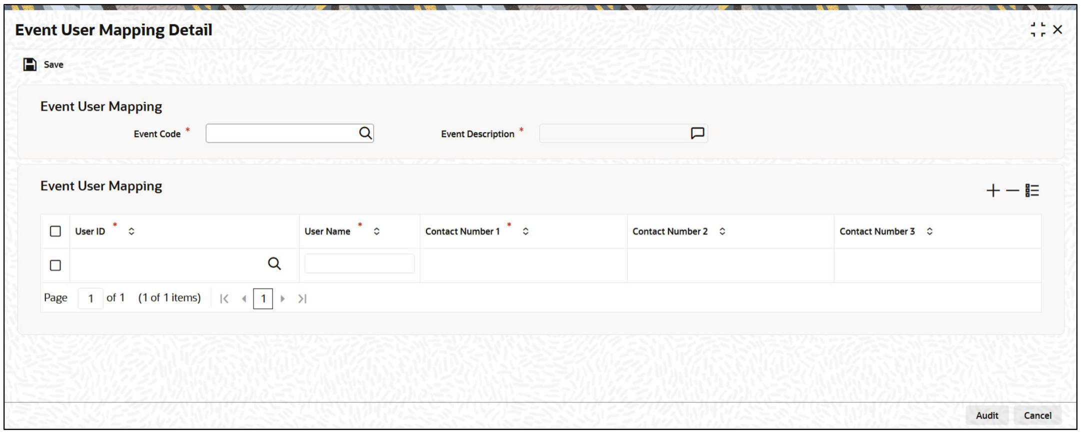
This topic provides the systematic instructions to map an EOD operator with an event.

The **Oracle FLEXCUBE Investor Servicing** provides the facility to map the users responsible for each event that can be raised during the **End of Day (EOD)** process. You can also capture the user’s telephone numbers.

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

The **Event User Mapping Detail** screen is displayed.

Figure 3-15   Event User Mapping Detail



2. On **Event User Mapping Detail** screen, click **New** to enter the details.

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

Table 3-13   Event User Mapping Detail - Field Description

Field	Description
Event Code	*Alphanumeric; 20 Characters; Mandatory* Select the event for which you wish to map a user from the drop-down list. The list contains all the valid event codes maintained in the system.
Event Description	*Display* On selecting the event code, the system displays the description of the event code.
Event User Mapping Section	The section displays the following fields.
User ID	*Alphanumeric; 320 Characters; Mandatory* Select the **User ID** of the person who is to be mapped to the chosen event. The list contains all the valid users maintained in the system.
User Name	*Display* The system displays the name of the user for the selected **User ID**.
Contact Numbers 1 – 3	*Alphanumeric; 16 Characters; Contact Number 1 is Mandatory* Enter the contact telephone numbers of the user. You can enter up to three contact numbers.

3.16 Process Dividend Components Detail

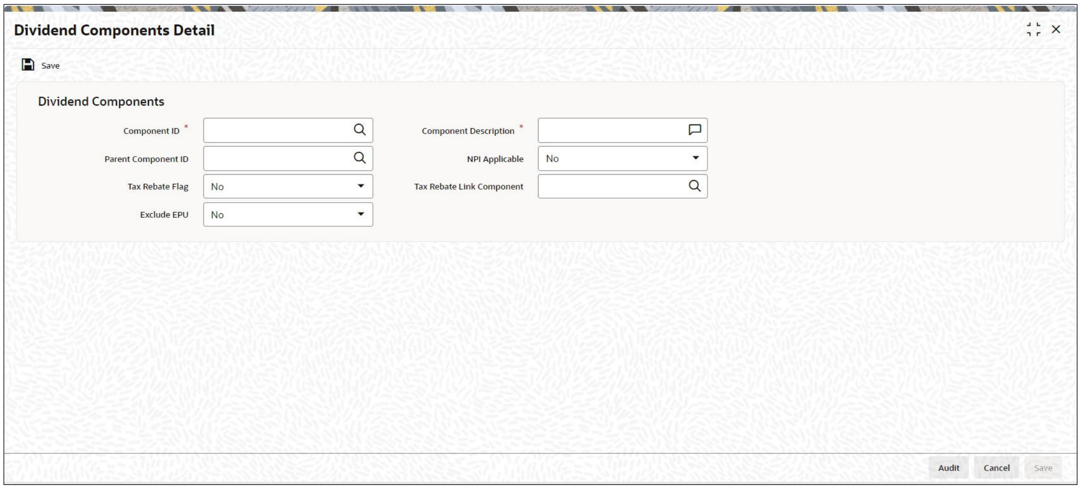
This topic provides the systematic instructions to maintain dividend component details.

Earnings from a dividend can be classified as permissible or non permissible. As per Shariah laws, non permissible income cannot be reinvested into the fund.

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

   The **Dividend Components Detail** screen is displayed.

Figure 3-16   Dividend Components Detail



Component ID *

Component Description *

Parent Component ID

NPI Applicable: No

Tax Rebate Flag: No

Tax Rebate Link Component

Exclude EPU: No

2. On **Dividend Components Detail** screen, click **New** to enter the details.

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

Table 3-14   Dividend Components Detail - Field Description

Field	Description
Component ID	*Alphanumeric; 2 Characters; Mandatory* Enter a unique identifier for the dividend component that is to be classified as Non permissible income.
Component Description	*Display* Enter a description of the component.
Parent Component ID	*Alphanumeric; 2 Characters; Mandatory if the component is NPI Applicable* If the component has been classified as NPI Applicable then specify the parent dividend component. The parent component specified here will be used for reporting purposes. The option list contains the valid dividend component Ids maintained in the system.
NPI Applicable	*Optional* Select `Yes` from drop-down list to indicate that income from this component is non permissible.
Tax Rebate Flag	*Optional* Select if tax to be deducted at source or not from the list. The list displays the following values: • **Yes** • **No**
Tax Rebate Link Component	*Alphanumeric; 2 Characters; Optional* Specify the tax deducted at source link component to be linked.
Exclude EPU	*Optional* Select if EPU component should be marked for exclusion of Tax or not from the adjoining drop-down list. Following are the options available: • **Yes** • **No**

The dividend tax process will check the dividend component ID’s marked as **Tax rebate** and the link component. The system will calculate the dividend withholding tax amount. If the tax difference amount is greater than zero then new WHT amount will be same as of Tax Difference Amount; Otherwise New WH Tax Amount will be zero.

Processing Fund Dividend WHT

3. You can mark the component defined as **Tax rebate** component or as a link component. The component can also be marked to define if the Tax has to be excluded or included.

   The dividend tax process will check if the dividend component ID’s marked as **Tax rebate** and the link component and calculate the dividend withholding tax amount.

   If the tax difference amount is greater than zero then new WHT amount will be same as of Tax Difference Amount; Otherwise New WH Tax Amount will be zero.

4. For all other taxable dividend components (meaning taxable component id which are not maintained as **Tax Rebate**), the system will calculate the dividend withholding tax as per the regular method / calculation.

   This is applicable for both UT and LEP business.

5. If **Exclude EPU** is maintained as `Yes`, then during fund dividend processing (fund dividend screen), the system will not add up to derive the EPU else there will be no change in processing the dividend.

3.17 Dividend Components Summary

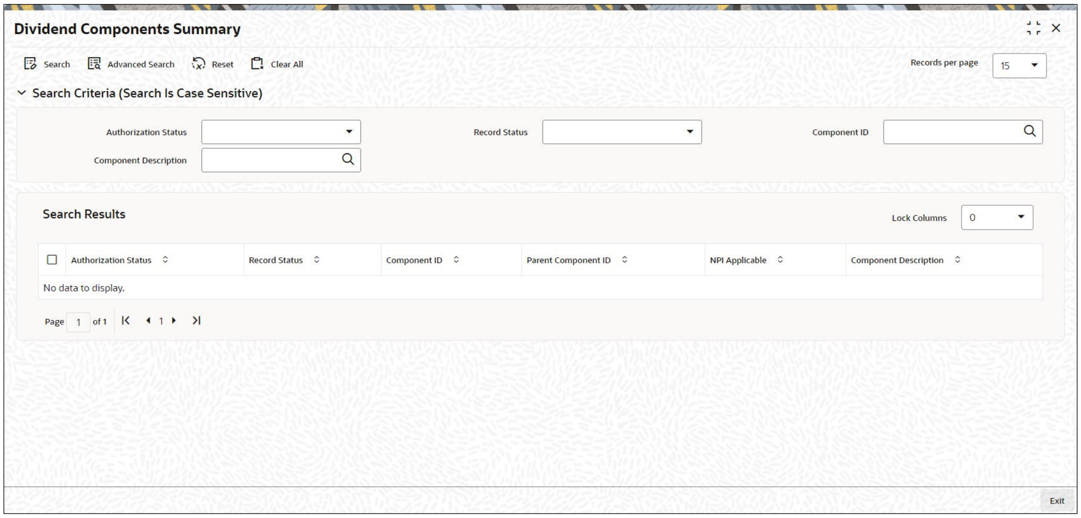
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Dividend Components Record

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

   The **Dividend Components Summary** screen is displayed.

Figure 3-17 Dividend Components Summary



No data to display.

2. On **Dividend Components 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**
    - **Component ID**
    - **Component Description**
3. Click **Search** button to view the records.

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

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

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

3.17.1 Edit Dividend Components Record

This topic provides the systematic instructions to edit Dividend Components record.

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

1. Invoke the **Dividend Components Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

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

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

   The **Dividend Components 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 **Dividend Components Detail** screen is closed and the changes made are reflected in the **Dividend Components Summary** screen.

3.17.2 View Dividend Components Record

This topic provides the systematic instructions to view Dividend Components record.

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

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

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

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

   The **Dividend Components Detail** screen is displayed.

3.17.3 Delete Dividend Components Record

This topic provides the systematic instructions to delete Dividend Components record.

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

1. Start the **Dividend Components Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Dividend Components Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

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

3.17.4 Authorize Dividend Components Record

This topic provides the systematic instructions to authorize Dividend Components record.

Authorize an unauthorized Dividend Components record in the system for it to be processed as follows:

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

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

   The **Dividend Components Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

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

3.17.5 Amend Dividend Components Record

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

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

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

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

3.17.6 Authorize Amended Dividend Components Record

This topic provides the systematic instructions to authorize amended Dividend Components record.

- Authorize an amended Dividend Components record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

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

3.18 Process Stop Code Maintenance Detail

This topic provides the systematic instructions to maintain new Stop Codes using the predefined attributes.

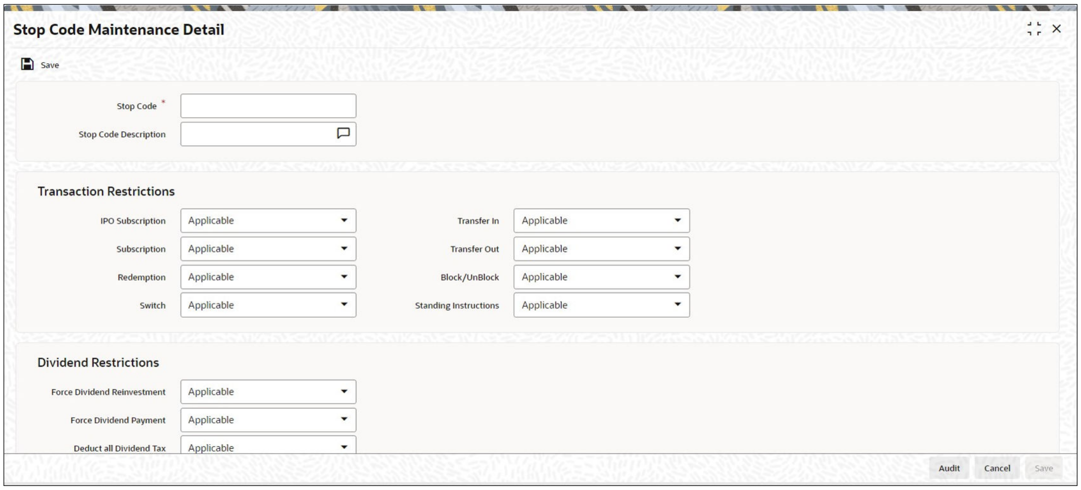
You can maintain the Transaction Restrictions with different attributes such as IPO Subscription (UTDTXN01), Subscription (UTDTXN02), Redemption (UTDTXN03), Switch Out UTDTXN04), Switch In (UTDTXN04), Transfer Out (UTDTXN05), Transfer In (UTDTXN05), Block (UTDTXN06),Unblock (UTDTXN07) and Standing Instruction Set up (UTDSIN). Restrictions applied to these transaction types will be applicable for all ref types under each transaction type.
Once the Stop Code is added and authorized in the system, you cannot delete it.

On modification/ changes in the Stop Codes restrictions (Transaction/Dividend/Payment) in **Stop Codes Maintenance Detail** screen, the restrictions will be effective to all the Unit Holders in the system once the stop codes maintenance screen is authorized.

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

   The **Stop Code Maintenance Detail** screen is displayed.

Figure 3-18   Stop Code Maintenance Detail



IPO Subscription: Applicable
Subscription: Applicable
Redemption: Applicable
Switch: Applicable
Transfer In: Applicable
Transfer Out: Applicable
Block/UnBlock: Applicable
Standing Instructions: Applicable
Force Dividend Reinvestment: Applicable
Force Dividend Payment: Applicable
Deduct all Dividend Tax: Applicable

2. On **Stop Code Maintenance Detail** screen, click **New** to enter the details.

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

Table 3-15   Stop Code Maintenance Detail - Field Description

Field	Description
Stop Code	*Alphanumeric; 25 Characters; Mandatory* Specify the stop code.
Stop Code Description	*Alphanumeric; 255 Characters; Optional* Specify the description for the stop code.
Transaction Restrictions	The section displays the following fields.

Table 3-15 (Cont.) Stop Code Maintenance Detail - Field Description

Field	Description
IPO Subscription	*Optional* Select IPO Subscription transaction restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** • **Applicable with Warning**
Subscription	*Optional* Select Subscription transaction restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** • **Applicable with Warning**
Redemption	*Optional* Select redemption transaction restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** • **Applicable with Warning** If you select **Not Applicable** and you try to map the relevant stop code to the UH, then the system will stop the Redemption payment generation for the UH. If you generate payment for Redemption with restriction as **Not Applicable**, then the system will display an error message stating generating payment is restricted. Redemption transactions which requires confirmations will not be available to confirm in **confirm redemption** batch if **Redemption Payment** is restricted for the UH.
Switch	*Optional* Select switch transaction restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** • **Applicable with Warning**
Transfer In	*Optional* Select transfer in transaction restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** • **Applicable with Warning**
Transfer Out	*Optional* Select transfer out transaction restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** • **Applicable with Warning**
Block/UnBlock	*Optional* Select block/unblock transaction restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** • **Applicable with Warning**

Table 3-15 (Cont.) Stop Code Maintenance Detail - Field Description

Field	Description
Standing Instructions	*Optional* Select standing instruction transaction restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** Note: • If Standing Instructions is **Not Applicable**, then it will Pause the existing SI and will disallow the new ones. • If Standing Instructions is **Applicable**, then it will allow the new SI and Pause SI (if any) will be restarted. In case for a particular transaction type, restriction is **Not Applicable**, then the system will display an error message as `STOPACCOUNT is issued for ‘Transaction Type’ to this Unit Holder` stating this transaction is restricted. In case for a particular transaction type, restriction is **Applicable with Warning**, then the system will display a warning message as `STOPACCOUNT is issued for ‘Transaction Type’ to this Unit Holder` stating this transaction is restricted. You can override the warning message.
Dividend Restrictions	The section displays the following fields.
Force Dividend Reinvestment	*Optional* Select the force dividend reinvestment restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** If the relevant Stop Code where restriction is applied for **Forced Dividend Reinvestment** is mapped to the Unit Holder, the system will reinvest the dividend distribution irrespective of UH IDS maintenance.
Force Dividend Payment	*Optional* Select the force dividend payment restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** If the relevant Stop Code where restriction is applied for **Forced Dividend Payout** is mapped to the Unit Holder, system will Payout the dividend distribution irrespective of UH IDS maintenance.
Deduct all Dividend Tax	*Optional* Select the dividend tax restrictions from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** If the relevant Stop Code where restriction is applied for **Deduct All Dividend Tax** is mapped to the Unit Holder, system will Payout the dividend distribution irrespective of UH IDS maintenance.
Payment Restrictions	The section displays the following fields.

Table 3-15 (Cont.) Stop Code Maintenance Detail - Field Description

Field	Description
Redemption Payout	*Optional* Select the redemption payment restriction from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** If you select **Redemption Payout** field as **Not Applicable**, and the relevant Stop code is mapped to the UH, then the system will stop the Redemption payment generation for the UH. If you try to generate payment for Redemption with this status, then the system will display an error message stating generating payment is restricted.
Dividend Payout	*Optional* Select the dividend payment restriction from the adjoining drop-down list. Following are the options available: • **Applicable** • **Not Applicable** If you select **Dividend Payout** field as **Not Applicable**, and the relevant Stop code is mapped to the UH, then the system will stop the dividend payment generation for the UH. If you try to generate payment for a dividend with this status, then the system will display an error message stating generating payment is restricted. The system will use these restrictions in EFT file generation for Redemptions and Dividend Payments. Check Payments and Transfer will be restricted based on Payment restrictions. Upon release of the Payment restrictions, the system will generate all the pending Dividend and Redemption payments individually.

3.19 Stop Code Summary

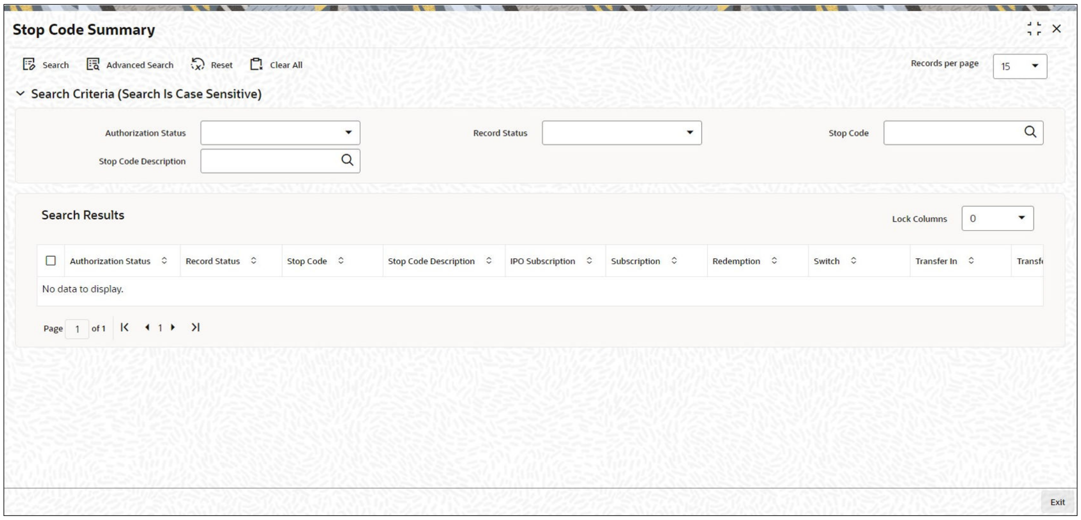
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Stop Code Details

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

   The **Stop Code Summary** screen is displayed.

Figure 3-19 Stop Code Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **Fee Category 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**
   - **Stop Code**
   - **Stop Code Description**
3. Click **Search** button to view the records.

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

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

   For example, you can search the record for Stop Code or Stop Code description by using the combination of % and alphanumeric value as follows:-

   - Search by M%: The system will fetch all the records whose Stop Code description starts from Alphabet ‘M’. For example, Mutual Fund.
   - Search by %7 : The system will fetch all the records whose Stop Code ends by numeric value’ 7’ For example, 217,267,77 and so forth.

  - Search by %17%: The system will fetch all the records whose Stop Code contains the numeric value 17. For example, 3217, 2172 and so forth.

- Edit Stop Code Details
  This topic provides the systematic instructions to edit Stop Code record.
- View Stop Code Details
  This topic provides the systematic instructions to view Stop Code record.
- Delete Stop Code Details
  This topic provides the systematic instructions to delete Stop Code record.
- Authorize Stop Code Details
  This topic provides the systematic instructions to authorize Stop Code record.
- Amend Stop Code Details
  This topic provides the systematic instructions to amend Stop Code record.
- Authorize Amended Stop Code Details
  This topic provides the systematic instructions to authorize amended Stop Code record.

3.19.1 Edit Stop Code Details

This topic provides the systematic instructions to edit Stop Code record.

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

1. Invoke the **Stop Code Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Stop Code 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 **Stop Code Detail** screen is closed and the changes made are reflected in the **Stop Code Summary** screen.

3.19.2 View Stop Code Details

This topic provides the systematic instructions to view Stop Code record.

View a record that you have previously input by retrieving the same in the **Stop Code Summary** screen. Perform this operation as follows:

1. Start the **Stop Code Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to view in the list of displayed records.

   The **Stop Code Detail** screen is displayed.

3.19.3 Delete Stop Code Details

This topic provides the systematic instructions to delete Stop Code record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Stop Code Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you want to delete in the list of displayed records.

   The **Stop Code 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.

3.19.4 Authorize Stop Code Details

This topic provides the systematic instructions to authorize Stop Code record.

Authorize an unauthorized Stop Code record in the system for it to be processed as follows:

1. Start the **Stop Code Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **Stop Code 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.

3.19.5 Amend Stop Code Details

This topic provides the systematic instructions to amend Stop Code 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 **Stop Code Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Stop Code 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.

3.19.6 Authorize Amended Stop Code Details

This topic provides the systematic instructions to authorize amended Stop Code record.

- Authorize an amended Stop Code record for the amendment to be made effective in the system.

  The subsequent process of authorization is the same as that for normal transactions.

3.20 Perform RDR Parameter Maintenance

This topic provides the systematic instructions to maintain RDR Parameters.

Maintain RDR Parameters

The **Financial Services Authority (FSA)** is an independent non-governmental regulatory body. FSA has proposed new regulations **Retail Distribution Review (RDR)** on Retail Advised portion of the Fund Market with effect from 1st January 2013.

The **Retail Distribution Review** regulations ban the payment of commission on retail advised retail business after 31st December 2012. Execution only Business can be defined as transactions by investor post-RDR without any advice from any advisor. While Advised Business can be defined as transactions done by investor post-RDR based on advice from advisor. Post-RDR, neither front-end nor trail commission can be paid on advised new retail business.

However, payment of commission (front-end/trail) can continue on New Business classified as **Execution only Business**. Commission payments can also continue to be paid on **Legacy Business**. Post RDR, the payment of commissions will depend on the classification of transactions (**Legacy Business**, **Advised Business**, and **Execution only Business**).

The RDR regulations will be applicable to UK domiciled advisor irrespective of whether they purchase UK funds or non-UK funds. The TAs for funds outside UK that are purchased as result of advice from a UK domiciled advisor will need to comply with RDR. It will be required to ascertain whether the advisor is domiciled in UK or not.

It is required to define the front-end commission and trail commission payable based on classification of transaction and domicile of advisor. It will be required to provide the audit trail for front-end commission and trail commission.

In the absence of commission payments on new advised business, investor will be required to pay fees to the advisor for the advice received. The advisor fee will be agreed upon by the investor and the advisor. The advisor will also be able to charge for ongoing services provided to investors. It will be required to provide audit trail for advisor fees. These fees are expected to be handled outside the system.

An investor may hold units in a fund and could have made investments based on advice received Pre-RDR and Post-RDR. The payment of commission or fees will depend on the classification of transactions. It will be required to segregate an investors holding (Pre-RDR/ Post-RDR) and classify them. Segregation of investor’s holdings will also be required to classify transactions resulting from reinvestment of dividends. It will be required to provide the audit trail for Pre-RDR and Post-RDR holdings.

Payment of commission on SI transactions will depend on whether the SI transaction is classified as **Legacy Business**, **Advised Business** or **Execution only Business**. The escalation in SI transactions will also need to be classified similarly.

Re-registration of an investment from one platform to another will not be by default classified as an advised event and trail commission can continued to be paid. In case the re-registration is based on advised activity, then trail commission cannot be paid. It will be required to capture whether re-registration is based on advice or not.

Post RDR, in case there is a change in agent, the reason for the same will determine the eligibility for payment of commission. In case the change of agent is due to agent’s decision like old agent selling his business, the new agent will inherit the terms of holdings and receive trail commission. If the change of agent is due decision by investor, no trial commission is payable to the new agent. Trail commission can be paid to the investor and reinvested.

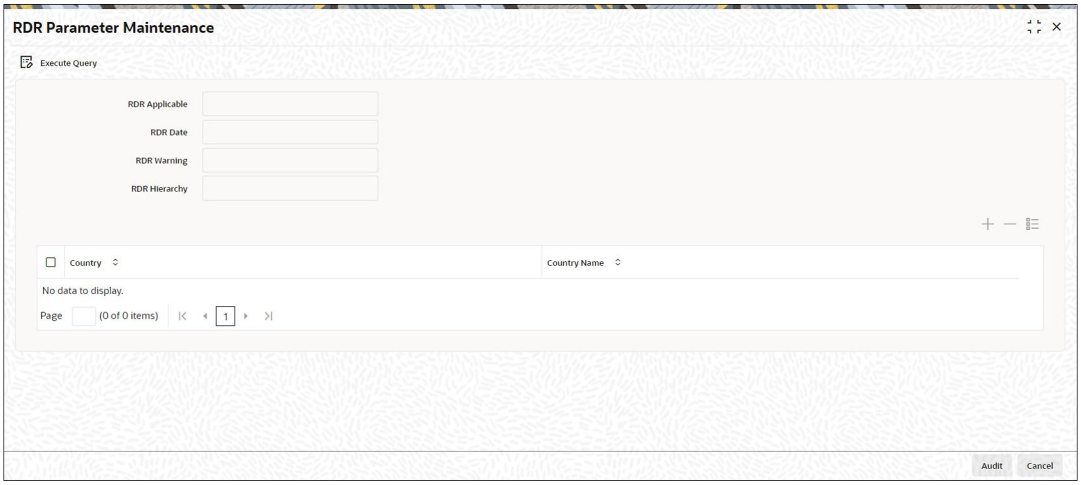
At present, from the management fee charged by the AMC, a portion is paid to advisor as trail commission, portion paid to platform providers and the balance is retained for fund management. The RDR regulations ban payment of trail commission on new retail advised business. In order to comply with the regulations, the AMC may introduce a new fund class for all the existing funds with lower management fees. The AMC may also retain the existing funds and modify the fee structure. Post RDR, AMCs may reduce the management fees or retain the old structure and pay rebate to either or both platform providers and investors. In case platform providers are continued to be paid from the management fees, the same will required to be disclosed to the investors. In the future, the FSA would like to enforce all platforms to receive fees from investors for services provided.

The actual fee charging will be driven by business rules by mapping appropriate load ref type.

1. On **Home** screen, type **UTDRDRPM** in the text box, and click **Next**.

   The **RDR Parameter Maintenance** screen is displayed.

Figure 3-20   RDR Parameter Maintenance



2. On **RDR Parameter Maintenance** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 3-16   RDR Parameter Maintenance - Field Description

Field	Description
RDR Applicable	*Optional* Select if RDR is applicable or not from the adjoining drop-down list. Following are the options available: • **Yes** • **No**
RDR Date	*Date Format; Optional* Specify RDR date.
RDR Warning	*Optional* Select if RDR warning is applicable or not from the adjoining option list. Following are the options available: • **Yes** • **No**
RDR Hierarchy	*Optional* Select if RDR hierarchy is applicable or not from the adjoining option list. Following are the options available: • **Yes** • **No**
Country	*Alphanumeric; 3 Characters; Optional* Specify the country code. This adjoining option list displays all valid country code maintained in the system. You can choose the appropriate one.

Table 3-16 (Cont.) RDR Parameter Maintenance - Field Description

Field	Description
Country Name	*Display* The system displays the name of the country for the selected country code. The system will determine the payment of commission by the classification of transactions, such as, IPO subscriptions, subscription, switch and transfer In, where transaction date is less than RDR Effective date and advisor is UK domiciled broker as **Legacy/Direct Business**. Post RDR for UK domiciled advisor, the system will track the transactions, such as, IPO subscriptions, subscription, switch transfer In and Trail Commission reinvestment as new business. Based on the value of **Transaction Category** field at the transaction level, the system will classify the transactions as either **Legacy/ Direct Business**, **Advised Business** or **Execution Only Business**.

3. Click **Enrich Transaction** button to default the **Transaction Category** field.

   For Non UK domiciled adviser, the system will default the **Transaction Category** to **Legacy/Direct Business**.

4. If you change the **Transaction Category** for non UK domiciled advisor to **Advised/ Execution Only Business**, the system will display the following warning message `Default Transaction Category has been overridden. Do you want to continue?`

   The above validation is also applicable, if you change the transaction category during edit/ amend operation.

5. In case of agent hierarchy, if any entity in the hierarchy is domiciled in UK, you should tag the transaction as **Advised or Execution Business**.

   In such a case, if you choose the transaction category as **Legacy Business**, even if any one of the entity mapped in the Hierarchy is domiciled in UK, then the system will display the following warning message `Default Transaction Category has been overridden. Do you want to continue?`. The above validation is also applicable, if you change the transaction category during edit/ amend operation.

6. The system will default the **Transaction Category** field based on the country of Domicile of Advisor, RDR Applicable, RDR Date and the classification of broker at **UH maintenance** screen.

7. In case the transaction has broker which is not mapped at UH level and if the intermediary is UK domiciled, the system will default the transaction category to Execution. For non UK domiciled intermediary, the system will default the transaction category to **Legacy/Direct Business**.

   The above validation is applicable if RDR Applicable is selected as `Yes` and the transaction date is greater than or equal to RDR Date.

8. Post RDR, the holdings in a fund due to Share Class Conversion, Fund Merger, Fund Split, Dividend Reinvestment, Reverse split will be classified as **Legacy/Direct Business**, **Advised Business** or **Execution Only Business** based on the category of original holdings.

9. If a regular savings plan is in force at the RDR date, the system will continue the front end commission to be paid on each subsequent contribution. In addition, the system will tag the units/ shares allocated to the transaction as legacy/direct.

10. If for a existing or a new SI (post RDR Date), the SI is amended for escalation, then the system will display the following warning message `SI is being escalated for UK domiciled broker transaction – Do you wish to continue?`

    If the transaction category is amended, the system will reflect the new category from next SI generation onwards.

11. For Non-UK domiciled advisor, all transactions including Switch/SI/escalations in SI will continue to be marked as **Legacy/Direct Business** irrespective of the trade date/SI registered Date.

- Process RDR Parameters
  This topic provides information on processing RDR Parameters.
- Front-end Fees and Trail Commission Payments
  This topic explains the Front-end Fees and Trail Commission Payments.

3.20.1 Process RDR Parameters

This topic provides information on processing RDR Parameters.

The system will charge front end fees, post RDR, based on the transaction category. The system will charge front end fees for transactions classified as **Legacy/Direct Business** and **Execution Only Business** done through a UK domiciled advisor.

For agent hierarchy, you need to map appropriate transaction category – depending on the business needs.

- **Case 1**: If agent is domiciled in UK, then irrespective of the hierarchy, they may follow RDR rules.
- **Case 2**: If agent is not domiciled in UK, then irrespective of the domicile of other entities in Hierarchy, they may not follow RDR rules.

Post RDR, the system will compute trail commission based on transaction category for the transactions, such as, **Legacy/Direct Business** and **Execution Only Business** done through a UK domiciled advisor. For **Advised Business** done via a UK domiciled advisor, the system will not compute trail commission. You can maintain different rates of trail commission for the different transaction categories.

You can also set up configuration such that all trailer commission on legacy business get paid to the unitholder.

ost RDR, the AMC can maintain the same management fee for transactions done through a UK domiciled Advisor and give rebate to investor. The management fee (periodic load) with **From Entity** as **AMC** and **To Entity** as **Unit Holder** to be given based on appropriate mapping.

In case of a Product periodic load, if at Unitholder level, and if Trailer commission preference at UH level is reinvestment, then the system will generate transaction into CMA fund for the UH on trailer commission payment date. If CMA fund is not maintained, then the system will generate reinvestment transaction into the preferred fund.If preferred fund is not maintained, then the system will generate reinvestment transaction for all funds available in the policy for which trailer fee has been computed.

The transaction category for this transaction will be legacy/execution depending on the advisor is UK domiciled or non UK domiciled. In case of reinvestment of trailer commissions, the transaction category will be updated as follows:

- Post RDR date, if default broker at UH level is UK domiciled and advise mode at UH level is Advised, then the transaction category will be **Advised Business**, else it will be **Execution Business**.
- Pre RDR Date, if default broker at UH level is UK domiciled, then the Transaction category will be **Legacy/Direct Business**.
- If default broker is non UK domiciled, the generated transaction will have the transaction category as **Legacy/Direct Business**.

The AMC can also decide to lower the management fee to be charged when the advisor is domiciled in UK. The new lower management fee with appropriate category for Advisor domiciled in UK will be mapped.

3.20.2 Front-end Fees and Trail Commission Payments

This topic explains the Front-end Fees and Trail Commission Payments.

For legacy business

In cases, where **To Entity** is **Unitholder**, investor may receive trailer commission in the form of Cash or reinvestment (into same fund) – This is only applicable when from Entity is `M`.

For Execution business

Front end fee:

Table 3-17 Case 1:

Load	From Entity	To Entity
L1	Unit Holder	AMC
L2	AMC	Broker/Agent

Table 3-18 Case 2:

Load	From Entity	To Entity
L1	Unit Holder	Broker
L2	Broker	AMC

Trailer Fee:

Table 3-19 Case 1:

Load	From Entity	To Entity
T1	AMC	Broker/Agent

Table 3-20 Case 2:

Load	From Entity	To Entity
T1	AMC	Broker/Agent
T2	Broker/Agent	Unit Holder

Table 3-21 Case 3:

Load	From Entity	To Entity
T1	AMC	Unit Holder

Table 3-22 Case 4:

Load	From Entity	To Entity
T1	AMC	Broker/Agent
T2	AMC	Unit Holder

Table 3-23 Case 5:

Load	From Entity	To Entity
T1	Unit Holder	Broker/Agent

In this case Unitholder can mention his preferred fund, and fee can be paid by redeeming units from this fund.

For Advisor Business

Front end fee:

Table 3-24 Case 1:

Load	From Entity	To Entity
L1	Unit Holder	AMC

Trailer Fee:

Table 3-25 Case 1:

Load	From Entity	To Entity
T1	AMC	Unit Holder

However the fee configurations are expected to be handled operationally by the business. Hence, for UK domiciled broker when the transaction category is **Advised Business**, you should not map any load which will have **To Entity** as **Broker/Agent/Agency Branch/ Account Officer/IFA**.

Appropriate transaction categories will be mapped to enable system to skip transactions where the transaction category is **Advised Business** for trailer commissions when the **To Entity** is mapped as **Broker/Agent/Agency Branch/Account Officer/IFA**.

In case of Agent/Agency Branch /AO/IFA hierarchy, the system will compute Trailer commission based on the transaction category mapped for the hierarchy.

If the trailer commission computed for the hierarchy does not include **Advised Business** transactions, then commission shared among other entities (in the hierarchy below the entity for which trailer commission has been computed) will also not include the commission eligible due to **Advised Business**.

Post RDR, the system will setup the payment of front-end fees based on load ref type.

In fund load mapping/group load mapping and product load mapping screen, you can map the appropriate load ref type for applying desired fee rate.

4

Import Bulk Client Information

This topic takes you through the processes involved in configuring the system to process bulk import of business information.

The AMC may need to import information relating to investor accounts and investor transactions from an external source or client, into its database. The volume of information that is imported in such cases is usually very large.

The external source or client, in such cases, is called a `bulk client`. The information is usually handed off in flat files, ASCII text or any other text format. The `import` of this information means updation of the AMC database (with the information that is found in the hand-off files) so that the AMC database may reflect the import information. All necessary validations for the successful updating the database with the imported information are performed during the import.

The **Oracle FLEXCUBE Investor Servicing (FCIS)** system enables the AMC to import information in bulk, from an external client, relating to any of the following:

- Unit holder information (setting up of new accounts and changing unit holder information on existing accounts)
- Transactions for unit holders (only new subscription, redemption, transfer and conversion transactions, and amended transactions if indicated for the bulk client)
- Policy transactions for unit holders
- Income distribution setup for unit holders
- Standing instructions for unit holders
- Overrides of loads on transactions, for unit holders
- Fund prices for transactions
- Unit Holder Deal uploads
- Broker details
- Check Book requests
- Fund Rules
- Redemption Checks

The import can be performed using the generic interface or bulk interface facility.

- Process to Import Bulk Client Information
  This topic explains the process to import information from bulk clients and process the same in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system.
- Set up Bulk Import Clients
  This topic explains to set up Bulk Import Clients.
- Interfaces for Import Setup
  This topic explains about Interfaces for Import Setup.
- Import Interfaces Schedule
  This topic explains on Import Interfaces Schedule.

- Imported Bulk Information
  This topic explains how to process imported Bulk Information.
- Errors during Import or Processing of Client Information
  This topic provides information on errors during import or processing of client information.
- Bulk Account Clients Maintenance
  This topic explains about Bulk Account Clients Maintenance.
- Maintain Bulk Client Default Information
  This topic provides instructions to map the default values for all information that must be applicable during bulk information import for a particular bulk client, for a particular AMC or Distributor.
- Default Information for Bulk Client Imports
  This topic provides instructions to maintain default information for bulk imports from a bulk client, to be applicable for a distributor institution.
- Default Information for Fund Rules Imports
  This topic explains the default information for Fund Rules imports.
- FCIS Bulk Clients Defaults - Fund Rule - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - Fund Price - Detail
  This topic provides the default information for fund price imports.
- FCIS Bulk Clients Defaults - Fund Price - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - Income Distribution Rule - Detail
  This topic provides the default information for income distribution setup imports.
- FCIS Bulk Clients Defaults - Income Distribution Setup - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - Redemption Check - Detail
  This topic provides the default information for redemption check imports.
- FCIS Bulk Clients Defaults - Redemption Check - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - Standing Instruction - Detail
  This topic provides the default information for Standing Instruction imports.
- FCIS Bulk Clients Defaults - Standing Instruction - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Bulk Clients Defaults - Transaction - Detail
  This topic provides the default information for transaction imports.
- Bulk Clients Defaults Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - Transaction Load Override - Detail
  This topic provides the default information for transaction load override imports.

- FCIS Bulk Clients Defaults - Transaction Load Override - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Default Information for Unit Holder Accounts Imports
  This topic explains the default information for Unit Holder accounts imports.
- FCIS Bulk Clients Defaults - Unit Holder - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - Cheque Book Request - Detail
  This topic provides the default information for Cheque Book Request imports.
- FCIS Bulk Clients Defaults - Cheque Book Request - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - Policy Transaction - Detail
  This topic provides the default information for Policy Transaction imports.
- FCIS Bulk Clients Defaults - Policy Transaction - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - Broker - Detail
  This topic provides the default information for broker.
- FCIS Bulk Clients Defaults Broker Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FCIS Bulk Clients Defaults - UH Deal Upload - Detail
  This topic provides the default information for UH Deal upload.
- FCIS Bulk Clients Defaults - UH Deal Upload - Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

4.1 Process to Import Bulk Client Information

This topic explains the process to import information from bulk clients and process the same in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system.

1. Set up the bulk client in the system and maintain default information for the client.
2. Set up interfaces that will actually perform the uploading (the import) of information from the hand-off files to the system database.
3. Schedule the interfaces to be run whenever necessary, without manual intervention.

Refer the following topics for a fuller discussion of each of the steps:

- Set up the bulk import clients
- Set up the interfaces for the import
- Schedule the interfaces to be executed

4.2 Set up Bulk Import Clients

This topic explains to set up Bulk Import Clients.

The client from whom bulk information needs to be imported must be introduced into the **Oracle FLEXCUBE Investor Servicing (FCIS)** system.

1. Identify the external client (called the bulk client) in the system by providing a profile for the same. You can do this using the **Bulk Clients Maintenance** screen.
2. Access this screen through the **Bulk Clients Defaults** menu Browser.
3. Set up the information that would be used as default for import of any information from the bulk client. If the import information files from the client do not contain the required data, then the default information maintained for the bulk client in the **FCIS** system is used to furnish the same.
4. Use **Bulk Clients Defaults Maintenance** screen to set up the default information for a bulk client.
5. Access this screen through the **Bulk Clients Defaults** option in the Browser. Click **New** to enter the details.
6. When you set up the default information for a bulk client in the **Bulk Client Default Maintenance** screen, the following considerations must be borne in mind.

> **Note:**
>
> - If any mandatory information required in the FCIS system is not found either in the import hand off file, or the defaults maintained for the client, the entire import fails and the import records are rejected.
> - Each file that needs to be imported from the bulk client into the system for all the information set has a specified format. If the file is formatted in any other way than prescribed in the required format, then the import will fail and all the import records will be rejected.

7. Upload the prescribed formats for the hand-off files from the bulk client.

   Refer topics *Appendix B – Upload File Formats B* of the *Upload Format* User Manual for the formats that are to be uploaded . Refer the same for complete information about the file formats.

Note:

- The default information that you maintain for a **SMDPARAM** bulk client in the **Bulk Clients Defaults Maintenance** screen contains the defaults for all the different types of data imports – unit holder new accounts, information change, transactions, unit holder income distribution setup, standing instructions, transaction load overrides, fund prices, Unit Holder Deal uploads, broker details, check book requests, fund rules and redemption checks.
- When the import of data is performed by the system, the validations for the imported data are performed in the same manner, as they are applicable when you set up the default information for the bulk client in the **Bulk Client Defaults Maintenance** screen.

4.3 Interfaces for Import Setup

This topic explains about Interfaces for Import Setup.

After you have set up the client from whom the bulk information is being imported, you must set up the interfaces in the system that will actually drive the import according to the frequency at which it is required to run.

Note:

Initially, on the first instance that the interfaces are to be set up, the implementers at the installation will do so. Subsequently, the administrator at the installation would perform any change to the interface.

You need to set up the following interfaces:

- One interface to drive the import of all unit holder account-related information. This interface will facilitate the uploading of new unit holder accounts as well as those for which an information change must occur.
- One interface for the import of the following information:
- New and amended transactions.
- Unit holder income distribution setup
- Standing instructions
- Load overrides for transactions
- Fund prices for transactions
- One interface for the export of all records that fail to be imported (that is, those that are rejected by the import process for any reason)
- Through the **Interface Definition (Summary)** screen in the **Maintenance** menu category of the Fund Manager component, authorize the interfaces you have created.
- Uploads for Unit Holder deals
- Broker details

- Check Book requests
- Fund Rules for transactions
- Redemption Checks

You can set up all the interfaces through the **Interface Maintenance** screen that is invoked by clicking the **Interface Maintenance** menu item in the **Maintenance** menu item of the Fund Manager component.

4.4 Import Interfaces Schedule

This topic explains on Import Interfaces Schedule.

Import Interfaces Schedule

Schedule Import Interfaces to be Executed
After you have set up the interfaces that will drive the import of information from an external client, you must schedule their execution, so that the imports can occur according to a predefined frequency, without manual intervention.

You must schedule all the three interfaces that have been set up for the import of bulk information. You can do this as follows

1. For each interface, through the **Task Maintenance** screen, set up the corresponding interface ID as a parameter for the pre-defined task set up for the interface.

   > **Note:**
   >
   > Initially, at the first instance when the interfaces are scheduled, they are associated with the pre-defined tasks in the Scheduler Services Task Maintenance facility. The implementers at the installation will perform this activity. Subsequently, the administrator at the installation would perform any change to the task.

2. Through the **Job Maintenance** screen in the **Maintenance** menu category in the Fund Manager component, set up each of the tasks as jobs in the system.

   These jobs can be scheduled as follows:

   a. You must be set up the import of unit holder new accounts and information changes as a time-based job, with a specific, desired frequency.
   b. You must set up an event-based job for the import of all the information sets apart from unit holder information.
   c. You must set up an event-based job for the export of rejected records.

   Refer the topic *Set up jobs for interface-related tasks* in this user manual to understand how to set up the jobs in the **Job Maintenance** screen.

3. You can authorize the jobs you have created through the Authorize Job screen in the **Authorization** menu category of the Fund Manager component.
4. The system uses the Scheduler Services to actually automatically perform both the import operations and the export of rejected records, based on the authorized jobs that you have maintained.

Set up Jobs for Interface-related Tasks
Set up a job for the import of unit holder information

5. Set up a job for the import of new unit holder accounts and information change accounts as follows.
   a. Access the Job Maintenance screen in the **Maintenance** menu category of the Fund Manager component.
   b. Select the **UHIMPORT** task ID in the Task ID field.
   c. Select the Time-based option in the Frequency Basis field.
   d. Check the Enabled check box so that the job is enabled.
   e. Select the Recurring option in the Schedule section.
   f. Specify the frequency at which the import of unit holder information from the bulk client is required to be executed by the job in the Recurring section.
   g. Specify whether the import is to be executed on a daily, weekly or monthly basis in the Occurs section. If daily, then specify the number of days apart that the import must be executed, in the Daily section.
   h. Specify the start and end dates that will signify the period during which the import is required to be executed in the Duration section. If the import is to run without an end date, then check the No End Date check box.
   i. Specify the start and end times for the first and last occurrence of the execution on the day of occurrence, and the frequency of occurrence between in the Time tab. If it is to be executed only once during the day of occurrence, specify the time of occurrence in the Occurs Once At field.
   j. Save the job.

      The Job ID is displayed by the system.

> **Note:**
>
> Whenever this job is executed, the system creates an event for the execution and inserts it into the event log. Now, the system is ready to perform the other imports, using this one as a trigger for the execution of all the other import as well.

Set up a job for the import of all information other than unit holder information

6. Set up a job for the import of new or amended transactions, income distribution setups and standing instructions for unit holders, load overrides for transactions and fund prices for transactions in the manner described below.
   a. Access the Job Maintenance screen in the Maintenance menu category of the Fund Manager component.
   b. Select the **TXNIMPORT** task ID in the Task ID field.
   c. Select the Event-based option in the Frequency Basis field.
   d. Check the Enabled check box so that the job is enabled.
   e. Select the Recurring option in the Schedule section. If the unit holder import job is scheduled as a recurring job, then this import must also be scheduled the same.
   f. Specify the frequency at which the import of transactions and other information from the bulk client is required to be executed by the job in the Recurring section. It is important that you specify the same frequency as for the unit holder import.

   g. Specify whether the import is to be executed on a daily, weekly or monthly basis in the Occurs section. If daily, then specify the number of days apart that the import must be executed, in the Daily section.
   h. Specify the start and end dates that will signify the period during which the import is required to be executed in the Duration section. If the import is to run without an end date, then check the No End Date check box.
   i. Select the **Bulk UH** option in the Event Code field in the Event tab.
   j. Save the job.

      The Job ID is displayed by the system.

> **Note:**
>
> Typically, the import of any information other than unit holder information is performed after the successful import of unit holder information. Accordingly, when the unit holder import job is executed, the system creates an event (**BulkUH**) for the execution and inserts it into the event log. Now, the system is ready to perform the other imports, using this as a trigger for the execution of all the other imports.

Set up a job for the export of records rejected during import

7. Set up a job for the export of records that are rejected during import as follows.
   a. Access the Job Maintenance screen in the **Maintenance** menu category of the Fund Manager component.
   b. Select the **FAILEDRECS** task ID in the Task ID field.
   c. Select the Event-based option in the Frequency Basis field.
   d. Check the Enabled check box so that the job is enabled.
   e. Select the Recurring option in the Schedule section. If the unit holder and the transactions import jobs are scheduled as recurring jobs, then this export must also be scheduled the same.
   f. Specify frequency at which the export of rejected records must be executed by the job in the Recurring section. It is important that you specify the same frequency as for the unit holder and the transaction imports.
   g. Specify whether the export is to be executed on a daily, weekly or monthly basis in the Occurs section. If daily, then specify the number of days apart that the export must be executed, in the Daily section.
   h. Specify the start and end dates that will signify the period during which the export is required to be executed in the Duration section. If the export is to run indefinitely without an end date, then check the No End Date check box.
   i. Select the **FAILEDRECS** option in the Event Code field in the Event tab.
   j. Save the job.

      The Job ID is displayed by the system.

> **Note:**
>
> Typically, the import of any information other than unit holder information is performed after the successful import of unit holder information. Accordingly, when both the import jobs have been executed, the system creates an event (**FAILEDRECS**) for the execution and inserts it into the event log. All records that have failed the imports are also identified and stored in the database, for the purpose of exporting. The system is now ready to perform the export, using the completion of the two imports as a trigger for the execution of the export.

Refer the *Interfaces* User Manual in **FCIS** system for a fuller discussion of the **Job Maintenance** screen.

4.5 Imported Bulk Information

This topic explains how to process imported Bulk Information.

Process Imported Bulk Information
After you have set up the Scheduler Services to automatically perform the upload of bulk client information, the import and processing of data will proceed according to the defined frequencies.

1. You can find the unique **Process ID** for each file that is imported or exported.

   The import of each file containing bulk client information is given a unique **Process ID**. The export of rejected records corresponding to the import is likewise is given a unique **Process ID**. Therefore, the **Process ID** is unique for each file that is imported or exported.

2. The job that you have set up for the automatic execution of the imports will trigger processes that:
   a. Perform all system and business validations for the data that is being imported.
   b. Update the system database with the imported data.

> **Note:**
>
> The validations for the imported data are performed in the same manner, as they are applicable when you set up the default information for the bulk client in the **Bulk Client Defaults Maintenance** screen.

Bulk Import Processing Work flow

3. After you have set up the import interfaces and scheduled the imports, the system automatically performs the import and the processing of imported information in the following sequence.
   a. Import the unit holder new accounts and information change.

      If errors occur during this import, all subsequent processes are terminated. The details of the errors are logged into the interface error log table.

   b. Process the imported unit holder information.

      Again, if errors occur during this processing, all subsequent processes are terminated. The details of the errors are logged into the interface error log table.

      This results in updating the system database with the new unit holder accounts and the information change accounts.

c. Import and process the unit holder information.

   The event **Bulk UH** is raised by the system upon successful completion of the unit holder information import and processing, and the subsequent bulk imports are triggered.

d. Import and process the new, and amended transactions and standing instructions, load overrides, income distribution setup records and fund prices.

   The system database is updated with the new records created.

e. Import and process the non-unit holder information.

   The event **FAILEDRECS** is raised by the system upon successful completion of all the non-unit holder imports and processing of the same.

f. The **FAILEDRECS** event triggers the export of rejected records and reports the errors encountered during the processing.

   The entire import and processing cycle is now complete.

g. You can find the import and processing cycle, that begins again according to the frequency defined for the unit holder import interface.

> **Note:**
>
> Sequences 1 and 2 are performed by the execution of interface definition you have set up for the unit holder import. Sequence 4 is performed by the execution of the interface definition you have set up for the non-unit holder information import. Sequence 6 is performed by the execution of the interface definition you have set up for the export of rejected records.

4.6 Errors during Import or Processing of Client Information

This topic provides information on errors during import or processing of client information.

If any error occurs during the import of unit holder information or the processing of the same, then the **Bulk UH** event is not raised by the system. Since this event is the trigger for all remaining bulk import processes, all subsequently scheduled imports and processing will terminate.

1. Errors occurring during import of bulk information or processing of the bulk interfaces could be due to:
   - The import information failing to meet system or business validations.
   - The import or hand off file not being in the prescribed format.
   - Abnormal termination of an interface process.
2. You can find the errors logged into the interface error log tables.

   The interface log will display the success or failure of the interface process, and the detail log displays the details of the errors.
3. When the export of rejected records are triggered by the raising of the **FAILEDRECS** events the reporting of logged errors are also triggered. The details of the errors can be obtained in an Excel worksheet for printing.
4. When a bulk interface process is terminated abnormally for reasons other than errors relating to imported data, the system maintains the status of the terminated processes as **In-process** or **Running**.

5. The End of Day process checks for the completion of these processes, and they can be cleared manually.

4.7 Bulk Account Clients Maintenance

This topic explains about Bulk Account Clients Maintenance.

Process Single Entity Maintenance Detail

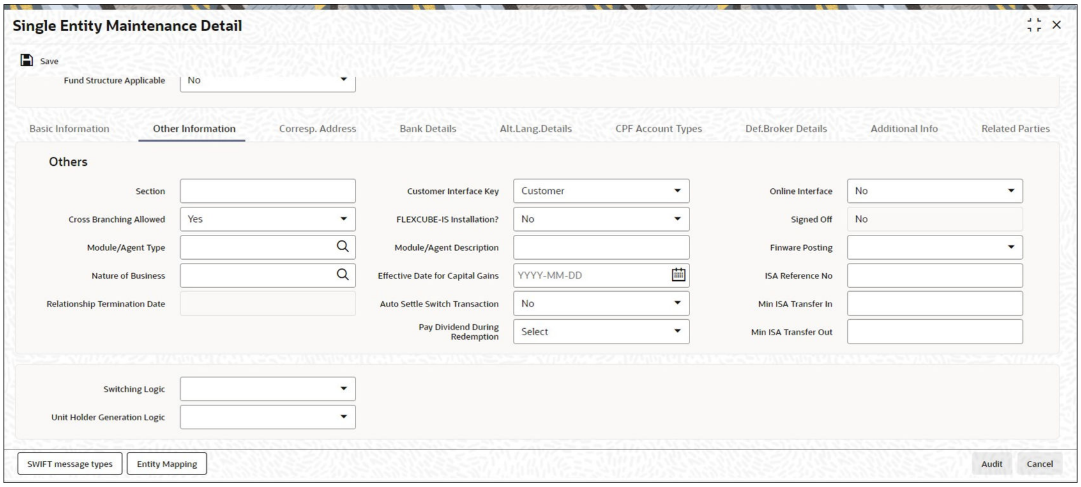
You can enter the record of a client for whom the bulk import facility would be used, into the system, by creating it as an entity.

You can set up a bulk client in the **Single Entity Maintenance Detail** screen.

1. On **Home** screen, type **UTDENTMN** in the text box, and click **Next.**

   The **Single Entity Maintenance Detail** screen is displayed.

Figure 4-1 Single Entity Maintenance Detail



Fund Structure Applicable: No

Section:
Cross Branching Allowed: Yes
Module/Agent Type:
Nature of Business:
Relationship Termination Date:
Customer Interface Key: Customer
FLEXCUBE-IS Installation?: No
Module/Agent Description:
Effective Date for Capital Gains: YYYY-MM-DD
Auto Settle Switch Transaction: No
Pay Dividend During Redemption: Select
Online Interface: No
Signed Off: No
Finware Posting:
ISA Reference No:
Min ISA Transfer In:
Min ISA Transfer Out:

Switching Logic:
Unit Holder Generation Logic:

2. Select the **Bulk Client** option to set up a bulk client from the option list in the **Entity Type** field in the **General Information** section, and then proceed to enter the details for the bulk client.
3. You must specify all information such as the common information, basic information and contact details for any bulk client that you set up.
4. Capture the following additional details specifically for a bulk client.

   Only those fields specific to bulk clients are detailed here.
5. On **Single Entity Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-1 Single Entity Maintenance Detail - Field Description

Field	Description
Other Information Section	The section displays the following fields.

Table 4-1 (Cont.) Single Entity Maintenance Detail - Field Description

Field	Description
Customer Interface Key	*Optional* This facility is to be used if customer information from an installation of **Oracle FLEXCUBE Corporate (FCC)** is to be imported into the **Oracle FLEXCUBE Investor Servicing (FCIS)** system using the bulk interface facility, for the creation of unit holder accounts. The drop-down list displays the following values: • **Customer** • **Account** The customer interface key determines the level at which unit holder account creation must take place in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system, for a given **Customer Information File (CIF)** in **Oracle FLEXCUBE Corporate (FCC)** either at CIF level or at a customer account level. Accordingly, you can indicate either of the following two options: • For each CIF, a corresponding unit holder may be created in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system. For this option, choose **CIF** from the drop-down list in this field. • For each **Customer Access System Account (CASA)** account in a CIF, a corresponding unit holder may be created in the **Oracle FLEXCUBE Investor Servicing (FCIS)** system. For this option, choose **Account** from the drop-down list in this field. The **Oracle FLEXCUBE Investor Servicing (FCIS)** system will create corresponding unit holder accounts when the customer information is imported from **Oracle FLEXCUBE Corporate (FCC)**, according to option you exercise in this field **Note:** If you select either **Oracle FLEXCUBE Retail (FCR)** or **Oracle FLEXCUBE Corporate (FCC)** as the **Bulk Client Type**, then you must specify the **Customer Interface Key** as mandatory information.
Bulk Client Type	*Optional* Select the type of client from which information is to be imported using the bulk interface. This could be any of the following: • **Oracle FLEXCUBE Corporate (FCC)** • **Oracle FLEXCUBE Retail (FCR)**
Online Interface	*Optional* This facility is also available for imports of customer information from **Oracle FLEXCUBE Corporate (FCC)**. It allows you to control the uploading of customer information from **Oracle FLEXCUBE Corporate (FCC)** into the data stores in **Oracle FLEXCUBE Investor Servicing (FCIS)**. • To indicate to the system that the back end data stores in **Oracle FLEXCUBE Investor Servicing (FCIS)** will be uploaded with the customer information (i.e., the interface would be online), check this box. • To indicate that the uploading will take place on a batch or tanked basis, without an online interface, leave this box unchecked.
Print Rejected Imports Report	*Mandatory* Select `Yes` if a report consisting of a list of rejected imports along with the reason for rejection must be printed by the system. If not, select `No`. By default, this field contains a `Yes` value.

Table 4-1 (Cont.) Single Entity Maintenance Detail - Field Description

Field	Description
Print Successful Imports Report	*Mandatory* Select `Yes` if a report consisting of a list of successful imports along with the other details must be printed by the system. If not, select `No`. By default, this field contains a `Yes` value.

Refer topic *Maintain Reference Information* of **Oracle FLEXCUBE Investor Servicing (FCIS)** system for a discussion of the other fields common to all entity type.

4.8 Maintain Bulk Client Default Information

This topic provides instructions to map the default values for all information that must be applicable during bulk information import for a particular bulk client, for a particular AMC or Distributor.

For any import from any bulk client, the information specified in the hand-off file will be accepted and imported as part of the imported record, even if a specification exists in this screen for the same field or column name.

Any information that is not specified in the handoff file will be picked up from the specifications you make in this screen.

You can maintain default information for bulk imports relating to:

- Fund rules
- Fund price
- Check book requests
- Income distribution setup
- Redemption checks
- Standing instructions
- Transactions
- Load override for transactions
- Unit holder accounts
- Uploads for Unit Holder deals
- Broker details

You can invoke this screen by clicking the **Detail** option under the **Bulk Client Defaults** menu in the Browser. Click **New** icon to enter the details.

4.9 Default Information for Bulk Client Imports

This topic provides instructions to maintain default information for bulk imports from a bulk client, to be applicable for a distributor institution.

Maintain Default Information for Bulk Client Imports

In the **Bulk Client Defaults Maintenance** screen, you can maintain default information for bulk imports from a bulk client, to be applicable for a distributor institution. The specifications you make in any of the fields here, for each upload type, are accepted as the default values for the corresponding field or column name, for all bulk imports where the hand off files from the bulk client do not contain the corresponding information.

Accordingly, you must select the ID of the bulk client for whom the default information is applicable, in the **Bulk Account Client Code** field, and the AMC / distributor entity in the AMC / Distributor ID field.

For some of the upload types, the default information consists of fields from the corresponding maintenance in the system; therefore, the default information is very similar to a maintenance template or blueprint. For instance, when you define the defaults for fund rules import, you specify all the fund rules in the **Bulk Clients Defaults Maintenance** screen. This is just like filling in the fund rules in the system for a new fund; validations for all fields are similar to those made in the **Fund Rules** screens when a new fund is entered.

The default information for each upload type is listed in this topic; for field level information, you must refer the topics in the user manual where the corresponding entry screen in the system is discussed.

Note on Scheme/ Cross Reference Number
The Bulk Client would wish to export, in the hand off files, a unique identifying number for each upload type that might be different from that of the **Oracle FLEXCUBE Investor Servicing** generated identification. In such cases it is possible to set a reference between the **Oracle FLEXCUBE Investor Servicing** identification and the unique identifying number given by the bulk client. To specify such a request, use the **Scheme/Cross Reference Number** field; for transaction and unit holder related data imports, and the Fund **Scheme / Cross Reference Number** for fund information related imports.

Effect of applying Scheme / Cross Reference Number

For example, the **Credit Card Number** of investors can be a uniquely identifiable value. In such cases the credit card number can be setup as an additional information and this field can be referred to here as a unique value by making it the Scheme/Cross Reference number column in the Bulk Client -AMC default maintenance. This means that when the unit holder import file upload is performed, the relevant **Scheme/Cross Reference Number** field will be populated with the value given in the import file.

> **Note:**
>
> The **Scheme/Cross Reference Number** value should be given in the appropriate field position in the import file. This is not applicable where the **Scheme/Cross Reference Number** is, itself, the **Unit Holder ID** (for transaction and unit holder related imports) or the **Fund ID** (for fund information related imports).

When the transaction import file upload is performed for the Bulk Client - AMC combination, the **Unit Holder ID** field value should contain the **Scheme/Cross Reference Number** value.

> **Note:**
>
> The system will not validate for uniqueness if the same field is populated with duplicate values through the **Unit Holder Additional Information Maintenance** screen. It is assumed that such cross-reference numbers are populated only through import file uploads.

Scheme / Cross Reference Numbers for Transactions and Unit Holder Related Imports

Scheme / Cross Reference Number from additional information

The specification made in the scheme/cross reference number field will pertain to any one of the fields mentioned below and should be properly specified (in the relevant field position) in the import file given for unit holder new accounts.

For example, if the **Scheme/Cross Reference Number** has been specified as the third additional information set, this information should correspond to being the **AdditionalInformation3** field in the import file.

- AdditionalInformation1
- AdditionalInformation2
- AdditionalInformation3
- AdditionalInformation4
- AdditionalInformation5
- AdditionalInformation6
- AdditionalInformation7
- AdditionalInformation8
- AdditionalInformation9
- AdditionalInformation10

All the above fields are additional information that can be optionally set to capture additional data relating to the investor.

It is possible to set a restrictive list of values to be captured in the additional information value fields.

All additional information setup through the additional information master where the restrictive clause is not applied are considered to be free-format fields. These fields will be the candidates to be set as the scheme/cross reference numbers.

Scheme / Cross Reference Number as Unit Holder ID

If the **Scheme/Cross Reference Number** value is set the same as the **Unit Holder ID**, this means that the bulk client would supply the Unit Holder ID in all the file imports. If the **Scheme/ Cross Reference Number** is another uniquely identifiable value then the relevant value should be specified in the import file. In such cases the system will map the **Scheme/ Cross Reference Number** to **Unit Holder ID** and the transaction will be tagged to the relevant unit holder

Scheme / Cross Reference Number as Unit Holder Reference Number

If the **Scheme/Cross Reference Number** value is set the same as the **Unit Holder Reference Number**, this means that the bulk client would supply the **Unit Holder Reference Number** in all the file imports. If the **Scheme/Cross Reference Number** is another uniquely identifiable value then the relevant value should be specified in the import file. In such cases the system will map the **Scheme/Cross Reference Number** to **Unit Holder Reference Number** and the transaction will be tagged to the relevant unit holder.

Scheme / Cross Reference Numbers for Fund Information Related Imports

For fund information related imports, the scheme / cross-reference number can be set as any of the following:

- **Fund ID**

- **Fund Identification Number**
- **Fund Ticker Symbol**

Specify Generation of System Reference Numbers
It is required in the **FCIS** system that the reference numbers be mentioned along with the unit holder new account details and the transaction details. If this option is specified, the system will generate reference numbers wherever the reference number field in the import file is empty.

Specify Checking of Duplicates during Imports
You can choose this indicate that all the records that have duplicate **Scheme/Cross Reference Number** values should be rejected when the transaction or unit holder import file up-loads are performed. If this option is not chosen, the following processes would occur:

- The system ignores the duplicates in the case of unit holder uploads, and creates unit holders in the system.
- For transaction uploads, the system goes ahead and creates the transaction on behalf of the first **Unit Holder ID** occurrence found in the system.

Specify Generation of Authorized Data during Import
This option, if chosen, signifies which imported information sets would generate authorized records – fund rules, transactions, unit holder accounts, income distribution setup, standing instructions, fund price or transaction load override.

Redemption Payouts to Unit Holder Bank Accounts Only?

Optional

Check this box to indicate that, by default, it must be designated that for all unit holder accounts imported, redemption payouts are to be made to the unit holder bank account only.

4.10 Default Information for Fund Rules Imports

This topic explains the default information for Fund Rules imports.

This topic contains the following sub-topics.

- Bulk Client Tab
  This topic explains the Bulk Client tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.
- Fund Account Details Tab
  This topic explains the fund account details tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.
- Fund Agency Back Dating Tab
  This topic explains the fund agency back dating tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.
- Transaction Processing Rules Tab
  This topic explains the transaction processing rules tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.
- Fund Agent Mapping Tab
  This topic explains the fund agent mapping tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.

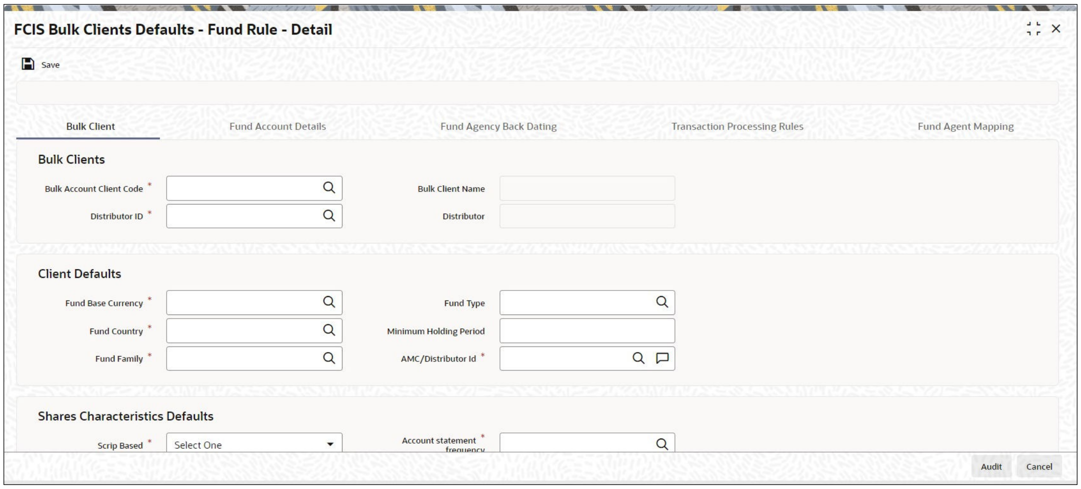
4.10.1 Bulk Client Tab

This topic explains the Bulk Client tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.

1. On **Home** screen, type **UTDBLKFR** in the text box, and click **Next.**

   The **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen is displayed.

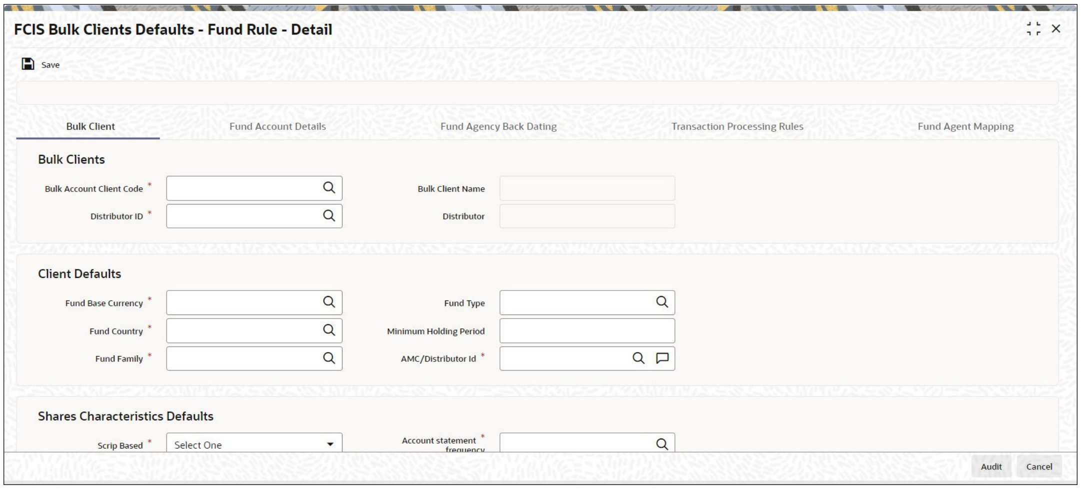
   Figure 4-2 FCIS Bulk Clients Defaults - Fund Rule - Detail

2. On **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen, click **Bulk Client** tab to enter the details.

   The **Bulk Client** details are displayed.

   Figure 4-3 FCIS Bulk Clients Defaults - Fund Rule - Detail_Bulk Client Tab

3. On **Bulk Client**, specify the fields.

   For more information on fields, refer to the field description table.

Table 4-2 Bulk Client Tab - Field Description

Field	Description
Bulk Clients	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the name of the selected bulk client code.
Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC or distributor ID.
Distributor	*Display* The system displays the name of the selected AMC or Distributor ID.
Client Defaults	The section displays the following fields.
Fund Base Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the fund base currency..
Fund Country	*Alphanumeric; 3 Characters; Mandatory* Specify the fund country code.
Fund Family	*Alphanumeric; 6 Characters; Mandatory* Specify the fund family details.
Fund Type	*Alphanumeric; 38 Characters; Mandatory* Specify the type of fund.
Minimum Holding Period	*Numeric; 22 Characters; Mandatory* Specify the minimum holding period.
AMC/Distributor Id	*Alphanumeric; 255 Characters; Mandatory* Specify the AMC or distributor ID.
Shares Characteristics Defaults	The section displays the following fields.
Scrip Based	*Mandatory* Select the scrip based fund from the drop-down list. The list displays the following values: • **Certificate-Option** • **ScripBased** • **ScripLess**
Account statement frequency	*Alphanumeric; 1 Character; Mandatory* Specify the account statement frequency.
General Operating Rules Defaults	The section displays the following fields.
Post Priced?	*Optional* Select if the fund is post priced or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Price Declare Frequency	*Alphanumeric; 1 Character; Optional* Specify the price date frequency
Ageing Policy	*Optional* Select the ageing policy for the fund from the drop-down list. The list displays the following values: • **FIFO** • **Txn-Receipts**

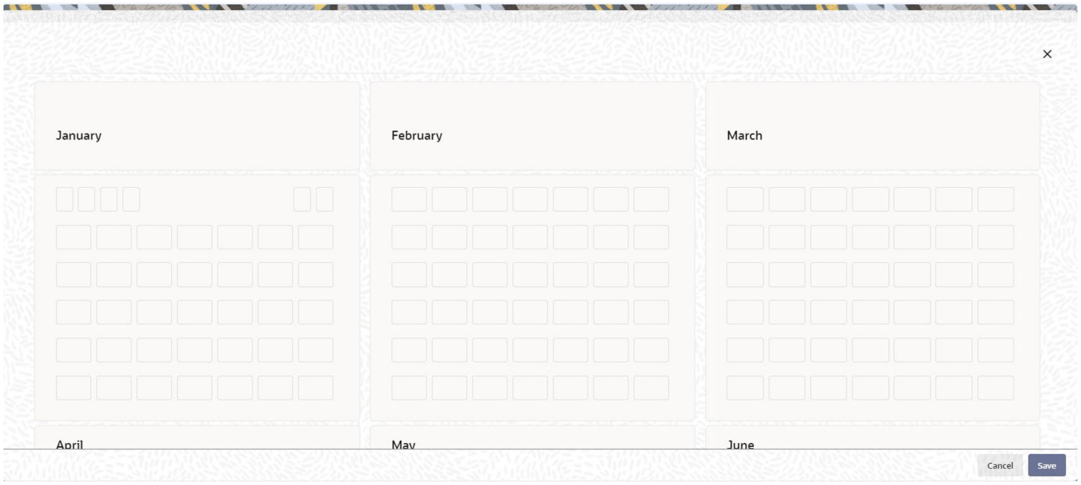
Table 4-2 (Cont.) Bulk Client Tab - Field Description

Field	Description
NAV Lot	*Numeric; 6 Characters; Mandatory* Specify the NAV lot
No of Decimals for NAV	*Numeric; 22 Characters; Mandatory* Specify the number of decimal points to be used for NAV.
Roundin of NAV	*Mandatory* Select the rounding option of NAV from the drop-down list. The list displays the following values: • **Round Off** • **Round Down** • **Round Up**
Minimum Holding Period Violation	*Mandatory* Select if the value of Enforce Minimum Holding Period or Not from the drop-down list. The list displays the following values: • **Yes** • **No**
Income Distribution Rules Defaults	The section displays the following fields.
Default Distribution Mode	*Optional* Select default distribution mode from the drop-down list. The list displays the following values: • **Payout-A/C Transfer** • **Payout-Cheque** • **Full Reinvestment**
EPU Lot	*Numeric; 6 Characters; Mandatory* Specify the EOU lot value.
Look Ahead Processing?	*Optional* Select if fund will be marked for Look Ahead Processing or not during dividend process from the drop-down list. The list displays the following values: • **Yes** • **No**
Fund Level Holiday Defaults	The section displays the following fields.
Holiday Rule	*Mandatory* Select the holiday rule from the drop-down list. The list displays the following values: • **After** • **Prior**

4. Click **Default Holiday Maintenance** button to view calendar.

   The **Default Holiday Maintenance** details are displayed.

Figure 4-4 FCIS Bulk Clients Defaults - Fund Rule - Detail_Bulk Client Tab_Default Holiday Maintenance



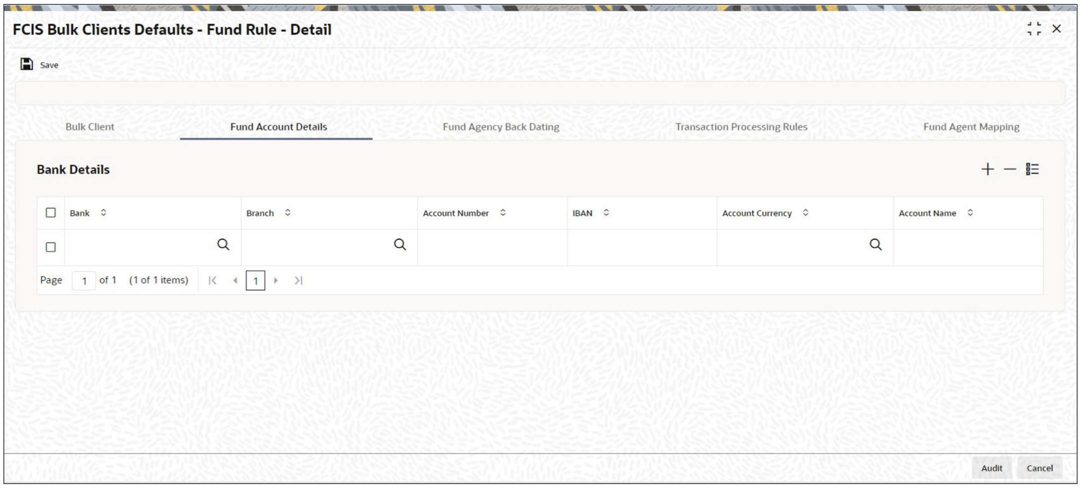
4.10.2 Fund Account Details Tab

This topic explains the fund account details tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.

1. On **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen, click **Fund Account Details** tab to enter the details.

   The **Fund Account Details** are displayed.

Figure 4-5 FCIS Bulk Clients Defaults - Fund Rule - Detail_Fund Account Details Tab



2. On **Fund Account Details**, specify the fields.

   For more information on fields, refer to the field description table.

Table 4-3 Fund Account Details - Field Description

Field	Description
Bank	*Alphanumeric; 12 Characters; Optional* Specify the bank name.
Branch	*Alphanumeric; 50 Characters; Optional* Specify the branch name.
Account Number	*Alphanumeric; 34 Characters; Optional* Specify the account number.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN details.
Account Currency	*Alphanumeric; 3 Characters; Optional* Specify the account currency code.
Account Name	*Alphanumeric; 140 Characters; Optional* Specify the account holder name.

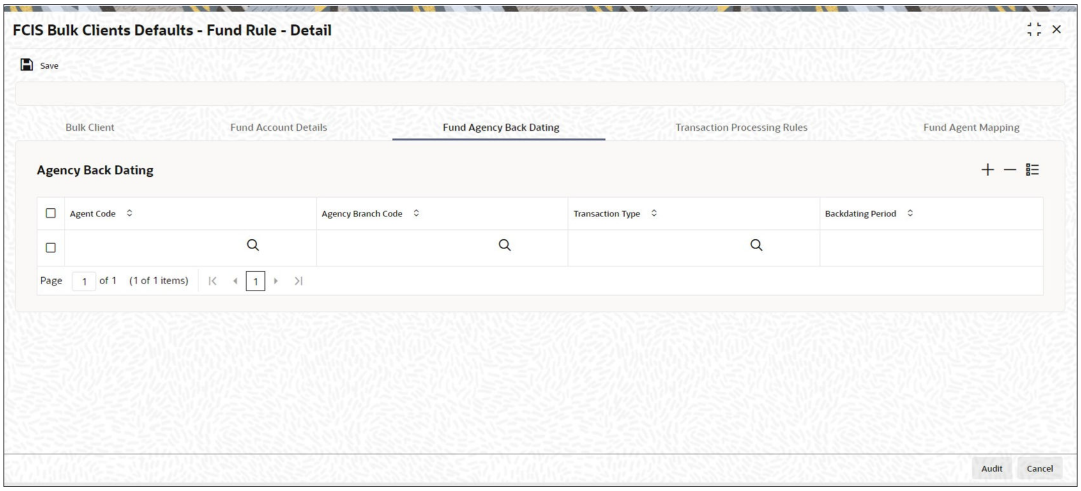
4.10.3 Fund Agency Back Dating Tab

This topic explains the fund agency back dating tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.

1. On **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen, click **Fund Agency Back Dating** tab to enter the details.

   The **Fund Agency Back Dating** details are displayed.

   Figure 4-6 FCIS Bulk Clients Defaults - Fund Rule - Detail_Fund Agency Back Dating Tab

2. On **Fund Agency Back Dating**, specify the fields.

   For more information on fields, refer to the field description table.

Table 4-4 Fund Agency Back Dating - Field Description

Field	Description
Agent Code	*Alphanumeric; 12 Characters; Optional* Specify the agent code.
Agency Branch Code	*Alphanumeric; 12 Characters; Optional* Specify the agency branch code.
Transaction Type	*Alphanumeric; 2 Characters; Optional* Specify the type of transaction.
Backdating Period	*Numeric; 22 Characters; Optional* Specify the backdating period.

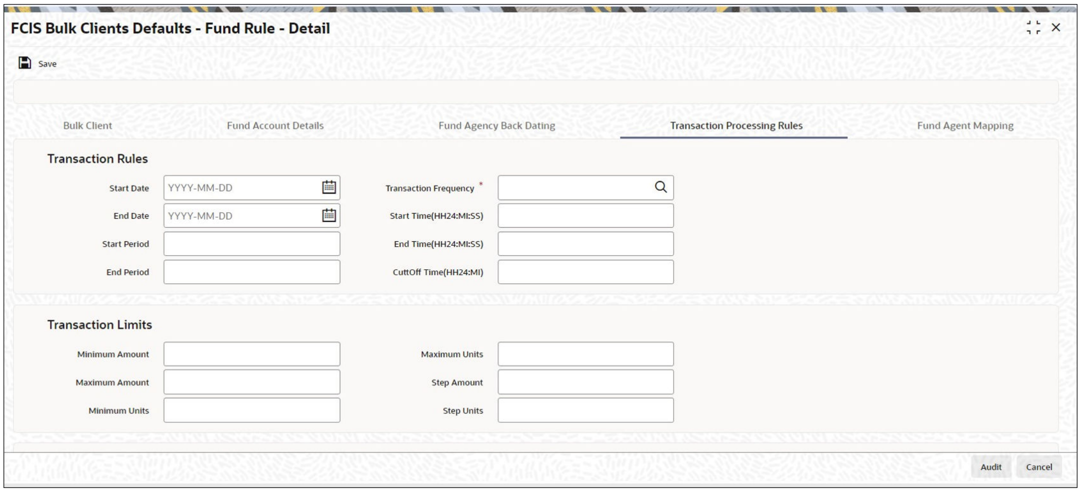
4.10.4 Transaction Processing Rules Tab

This topic explains the transaction processing rules tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.

1. On **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen, click **Transaction Processing Rules** tab to enter the details.

   The **Transaction Processing Rules** details are displayed.

Figure 4-7 FCIS Bulk Clients Defaults - Fund Rule - Detail_Transaction Processing Rules Tab



2. On **Transaction Processing Rules**, specify the fields.

   For more information on fields, refer to the field description table.

Table 4-5 Transaction Processing Rules - Field Description

Field	Description
Transaction Rules	The section displays the following fields.
Start Date	*Date Format; Mandatory* Select the start date from the adjoining calendar.

Table 4-5 (Cont.) Transaction Processing Rules - Field Description

Field	Description
End Date	*Date Format; Mandatory* Select the end date from the adjoining calendar.
Start Period	*Numeric; 22 Characters; Mandatory* Specify the transaction start period.
End Period	*Numeric; 22 Characters; Mandatory* Specify the transaction end period.
Transaction Frequency	*Alphanumeric; 1 Character; Mandatory* Specify the transaction frequency.
Start Time(HH24:MI:SS)	*Alphanumeric; 15 Characters; Mandatory* Specify the transaction start time for a day. By default, the system displays 00:00:01. However, you can amend the value accordingly.
End Time(HH24:MI:SS)	*Alphanumeric; 15 Characters; Mandatory* Specify the transaction end time for a day. By default, the system displays 23:59:00. However, you can amend the value accordingly.
CutOff Time(HH24:MI)	*Alphanumeric; 15 Characters; Mandatory* Specify the transaction cut-off time for a day. By default, the system displays 23:59:00. However, you can amend the value accordingly.
Transaction Limits	The section displays the following fields.
Minimum Amount	*Numeric; 30 Characters; Mandatory* Specify the minimum transaction amount
Maximum Amount	*Numeric; 30 Characters; Mandatory* Specify the maximum transaction amount.
Minimum Units	*Numeric; 27 Characters; Mandatory* Specify the minimum transaction units.
Maximum Units	*Numeric; 27 Characters; Mandatory* Specify the maximum transaction units.
Step Amount	*Numeric; 30 Characters; Mandatory* Specify the step amount for the transaction amount.
Step Units	*Numeric; 27 Characters; Mandatory* Specify the step units for the transaction unit.
Pricing	The section displays the following fields.
Back-Dating Allowed?	*Mandatory* Select if back dating is allowed or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Rounding Precision For Unit Price	*Numeric; 22 Characters; Optional* Specify the rounding precision for unit price.
Rounding Options For Unit Price	*Optional* Select the rounding options for unit price from the drop-down list. the list displays the following values: • **Round Off** • **Round Down** • **Round Up**
Price Lag	*Numeric; 22 Characters; Mandatory* Specify the price lag details.

Table 4-5 (Cont.) Transaction Processing Rules - Field Description

Field	Description
Back-Dating Limit	*Numeric; 22 Characters; Optional* Specify the back-dating limit.
Rounding Options For Units	*Optional* Select the rounding options for units from the drop-down list. the list displays the following values: • **Round Off** • **Round Down** • **Round Up**
Policies	The section displays the following fields.
Allocation Lag	*Numeric; 22 Characters; Mandatory* Specify the allocation lag.
Confirmation Lag	*Numeric; 22 Characters; Mandatory* Specify the confirmation lag.
Check On Par With Cash?	*Mandatory* Select if the check on par with cash is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Credit Card On Par With Cash?	*Mandatory* Select if the credit on par with cash is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Transfer On Par With Cash?	*Mandatory* Select if the transfer on par with cash is required or not from the drop-down list. The list displays the following values: • **Yes** • **No**

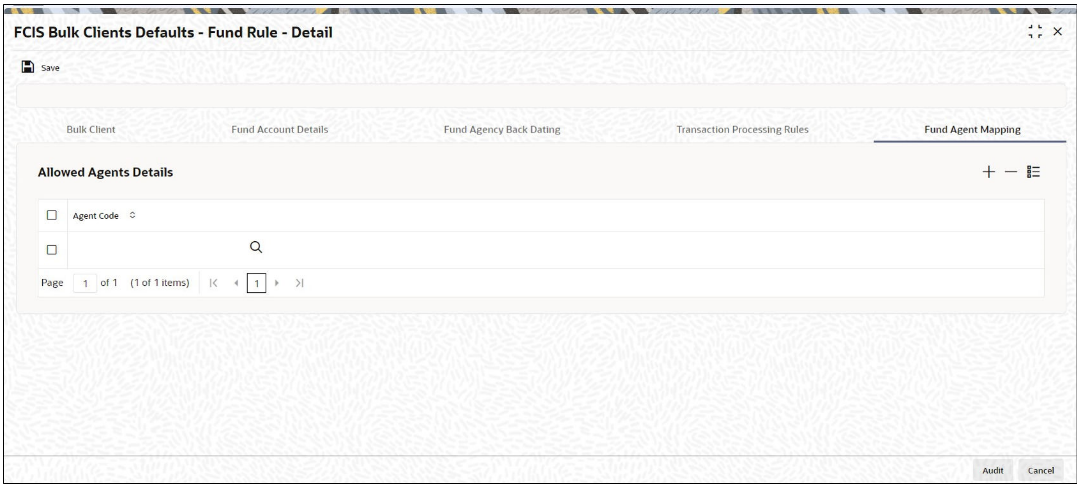
4.10.5 Fund Agent Mapping Tab

This topic explains the fund agent mapping tab of **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen.

1. On **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen, click **Fund Agent Mapping** tab to enter the details.

   The **Fund Agent Mapping** details are displayed.

Figure 4-8   FCIS Bulk Clients Defaults - Fund Rule - Detail_Fund Agent Mapping Tab



2. On **Fund Agent Mapping**, specify the fields.

   For more information on fields, refer to the field description table.

Table 4-6   Fund Agent Mapping - Field Description

Field	Description
Agent Code	*Alphanumeric; 255 Characters; Optional* Specify the agent code.

4.11 FCIS Bulk Clients Defaults - Fund Rule - Summary

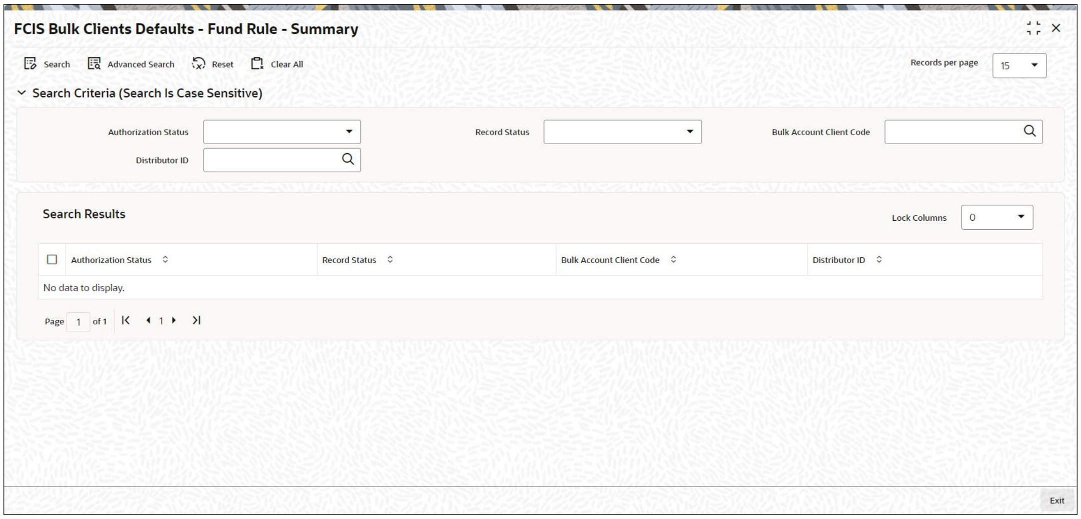
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Fund Rule Details

1. On **Home** screen, type **UTSBLKFR** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Fund Rule - Summary** screen is displayed.

Figure 4-9   FCIS Bulk Clients Defaults - Fund Rule - Summary



No data to display.

2. On **FCIS Bulk Clients Defaults - Fund Rule - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Account Client Code**
   - **Distributor ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - Fund Rule Details
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Fund Rule Details record.
- View Bulk Clients Defaults - Fund Rule Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Fund Rule Details record.

- Delete Bulk Clients Defaults - Fund Rule Details
  This topic provides the systematic instructions to delete Bulk Clients Defaults - Fund Rule Details record.
- Authorize Bulk Clients Defaults - Fund Rule Details
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Fund Rule Details record.
- Amend Bulk Clients Defaults - Fund Rule Details
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Fund Rule Details record.
- Authorize Amended Bulk Clients Defaults - Fund Rule Details
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Fund Rule Details record.

4.11.1 Edit Bulk Clients Defaults - Fund Rule Details

This topic provides the systematic instructions to edit Bulk Clients Defaults - Fund Rule Details record.

Modify the details of Bulk Clients Defaults - Fund Rule Details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Fund Rule - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the Authorization Status field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Fund Rule - Summary** screen.

4.11.2 View Bulk Clients Defaults - Fund Rule Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Fund Rule Details record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Fund Rule - Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Fund Rule - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Fund Rule - Detail** screen is displayed.

4.11.3 Delete Bulk Clients Defaults - Fund Rule Details

This topic provides the systematic instructions to delete Bulk Clients Defaults - Fund Rule Details record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Fund Rule - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Fund Rule - 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 Bulk Clients Defaults - Fund Rule Details

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Fund Rule Details record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - Fund Rule - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults - Fund Rule - 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 Bulk Clients Defaults - Fund Rule Details

This topic provides the systematic instructions to amend Bulk Clients Defaults - Fund Rule Details 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 Bulk Clients Defaults - Fund Rule - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - Fund Rule - 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 Bulk Clients Defaults - Fund Rule Details

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Fund Rule Details record.

1. Authorize an amended Bulk Clients Defaults - Fund Rule for the amendment to be made effective in the system.
2. The subsequent process of authorization is the same as that for normal transactions.

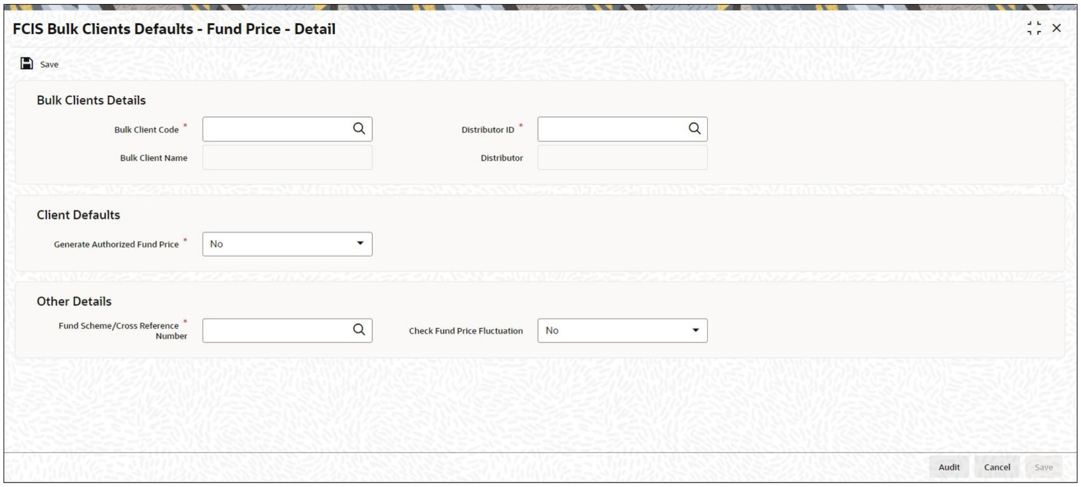
4.12 Process FCIS Bulk Clients Defaults - Fund Price - Detail

This topic provides the default information for fund price imports.

1. On **Home** screen, type **UTDCDFP** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Fund Price - Detail** screen is displayed.

Figure 4-10   FCIS Bulk Clients Defaults - Fund Price - Detail


FCIS Bulk Clients Defaults - Fund Price - Detail
Save
Bulk Clients Details
Bulk Client Code *
Distributor ID *
Bulk Client Name
Distributor
Client Defaults
Generate Authorized Fund Price *
Other Details
Fund Scheme/Cross Reference Number *
Check Fund Price Fluctuation
Audit
Cancel
Save

Generate Authorized Fund Price: No

Check Fund Price Fluctuation: No

2. On **FCIS Bulk Clients Defaults - Fund Price - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-7   FCIS Bulk Clients Defaults - Fund Price - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk client code.
Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.
Generate Authorized Fund Price	*Mandatory* Select `Yes` from list if authorized fund price has to be generated. The options available in the drop-down are as follows: • **Yes** • **No**
Other Details	The section displays the following fields.
Fund Scheme/Cross Reference Number	*Alphanumeric; 60 Characters; Mandatory* Specify the fund scheme or cross reference number.
Check Fund Price Fluctuation	*Optional* Select `Yes` from list to check fund price fluctuation. The options available in the list are as follows: • **Yes** • **No**

4.13 FCIS Bulk Clients Defaults - Fund Price - Summary

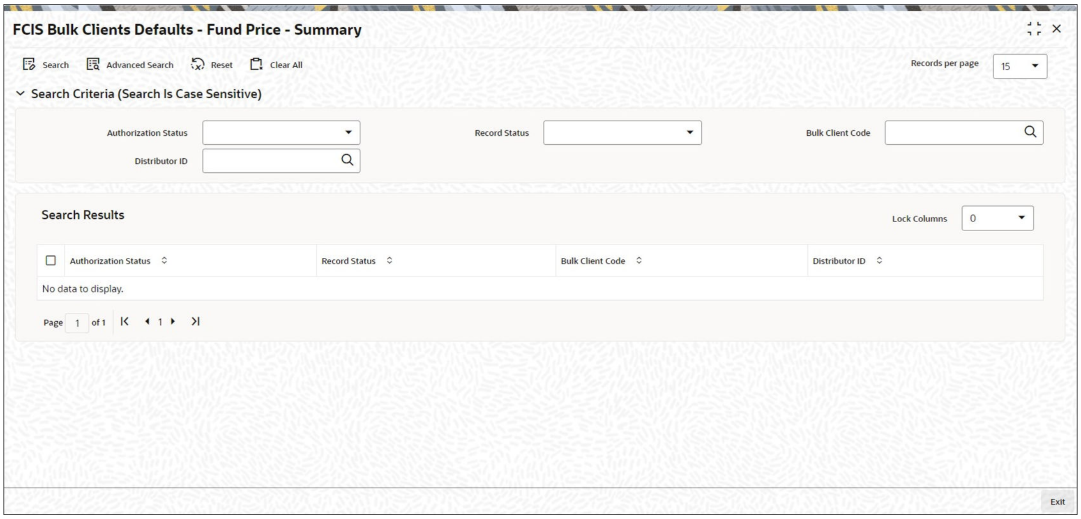
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Fund Price Details

1. On **Home** screen, type **UTSCDFP** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Fund Price - Summary** screen is displayed.

   Figure 4-11 FCIS Bulk Clients Defaults - Fund Price - Summary

2. On **FCIS Bulk Clients Defaults - Fund Price - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **Distributor ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

- Edit Bulk Clients Defaults - Fund Price Details
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Fund Price Details record.
- View Bulk Clients Defaults - Fund Price Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Fund Price Details record.
- Delete Bulk Clients Defaults - Fund Price Details
  This topic provides the systematic instructions to delete Bulk Clients Defaults - Fund Price Details record.
- Authorize Bulk Clients Defaults - Fund Price Details
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Fund Price Details record.
- Amend Bulk Clients Defaults - Fund Price Details
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Fund Price Details record.
- Authorize Amended Bulk Clients Defaults - Fund Price Details
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Fund Price Details record.

4.13.1 Edit Bulk Clients Defaults - Fund Price Details

This topic provides the systematic instructions to edit Bulk Clients Defaults - Fund Price Details record.

Modify the details of Bulk Clients Defaults - Fund Price Details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Fund Price - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Fund Price - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - Fund Price - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Fund Price - Summary** screen.

4.13.2 View Bulk Clients Defaults - Fund Price Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Fund Price Details record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Fund Price - Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Fund Price - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Fund Price - Detail** screen is displayed.

4.13.3 Delete Bulk Clients Defaults - Fund Price Details

This topic provides the systematic instructions to delete Bulk Clients Defaults - Fund Price Details record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Fund Price - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Fund Price - 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 Bulk Clients Defaults - Fund Price Details

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Fund Price Details record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - Fund Price - Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults - Fund Price - 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 Bulk Clients Defaults - Fund Price Details

This topic provides the systematic instructions to amend Bulk Clients Defaults - Fund Price Details 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 Bulk Clients Defaults - Fund Price - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - Fund Price - 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 Bulk Clients Defaults - Fund Price Details

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Fund Price Details record.

1. Authorize an amended Bulk Clients Defaults - Fund Price for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

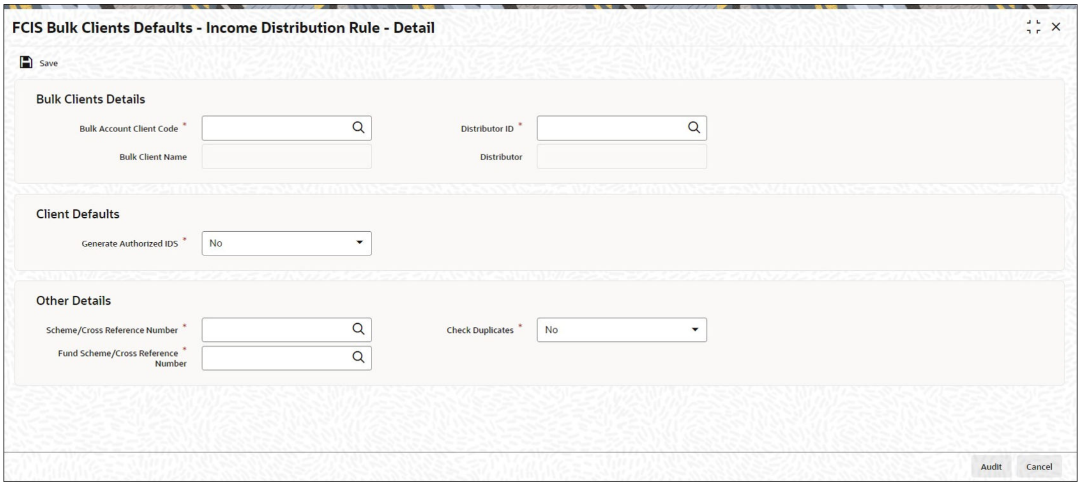
4.14 Process FCIS Bulk Clients Defaults - Income Distribution Rule - Detail

This topic provides the default information for income distribution setup imports.

1. On **Home** screen, type **UTDCDIDS** in the text box, and click **Next**.

The **FCIS Bulk Clients Defaults - Income Distribution Rule - Detail** screen is displayed.

Figure 4-12   FCIS Bulk Clients Defaults - Income Distribution Rule - Detail


FCIS Bulk Clients Defaults - Income Distribution Rule - Detail
Save
Bulk Clients Details
Bulk Account Client Code *
Distributor ID *
Bulk Client Name
Distributor
Client Defaults
Other Details
Scheme/Cross Reference Number *
Fund Scheme/Cross Reference Number *
Audit
Cancel

Generate Authorized IDS *: No

Check Duplicates *: No

2. You must maintain the following for income distribution setup import.
    - Whether authorized income distribution setup records are to be generated in the system
    - Scheme/ Cross Reference Number
    - Fund Scheme/ Cross Reference Number
    - Whether checking for duplicates must be done
3. On **FCIS Bulk Clients Defaults - Income Distribution Rule - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-8   FCIS Bulk Clients Defaults - Income Distribution Rule - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk account client code.
Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.

Table 4-8 (Cont.) FCIS Bulk Clients Defaults - Income Distribution Rule - Detail - Field Description

Field	Description
Generate Authorized IDS	*Mandatory* Select **Yes** from the drop-down list if authorized IDS has to be generated. The options available in the drop-down are as follows: • **Yes** • **No**
Other Details	The section displays the following fields.
Scheme/Cross Reference Number	*Alphanumeric; 12 Characters; Mandatory* Specify the scheme or cross reference number.
Fund Scheme/Cross Reference Number	*Alphanumeric; 60 Characters; Mandatory* Specify the fund scheme or cross reference number.
Check Duplicates	*Mandatory* Select **Yes** from drop-down list if check duplicates are available. The options available in the drop-down are as follows: • **Yes** • **No**

4.15 FCIS Bulk Clients Defaults - Income Distribution Setup - Summary

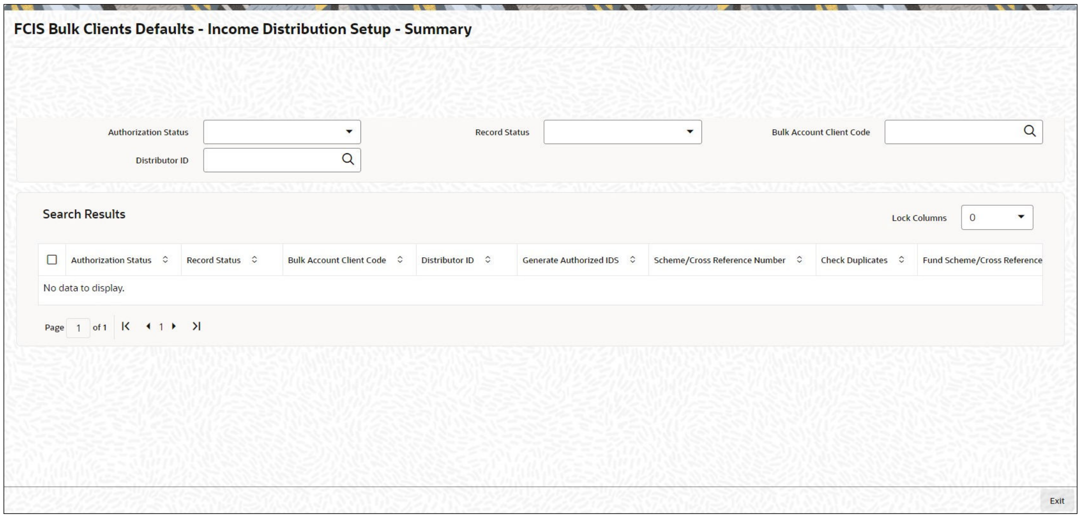
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Income Distribution Setup Details

1. On **Home** screen, type **UTSCDIDS** in the text box, and click **Next.**

   The **FCIS Bulk Clients Defaults - Income Distribution Setup - Summary** screen is displayed.

   Figure 4-13 FCIS Bulk Clients Defaults - Income Distribution Setup - Summary

   Lock Columns: 0

   No data to display.

2. On **FCIS Bulk Clients Defaults - Income Distribution Setup - Summary** screen, specify any or all of the following details in the corresponding fields:

- **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
- **Record status**
- **Bulk Account Client Code**
- **Distributor ID**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - Income Distribution Setup Details
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Income Distribution Setup Details record.
- View Bulk Clients Defaults - Income Distribution Setup Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Income Distribution Setup Details record.
- Delete Bulk Clients Defaults - Income Distribution Setup Details
  This topic provides the systematic instructions to delete Bulk Clients Defaults - Income Distribution Setup Details record.
- Authorize Bulk Clients Defaults - Income Distribution Setup Details
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Income Distribution Setup Details record.
- Amend Bulk Clients Defaults - Income Distribution Setup Details
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Income Distribution Setup Details record.
- Authorize Amended Bulk Clients Defaults - Income Distribution Setup Details
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Income Distribution Setup Details record.

4.15.1 Edit Bulk Clients Defaults - Income Distribution Setup Details

This topic provides the systematic instructions to edit Bulk Clients Defaults - Income Distribution Setup Details record.

Modify the details of Bulk Clients Defaults - Income Distribution Setup Details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Income Distribution Setup - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Income Distribution Setup - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - Income Distribution Setup - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Income Distribution Setup - Summary** screen.

4.15.2 View Bulk Clients Defaults - Income Distribution Setup Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Income Distribution Setup Details record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Income Distribution Setup - Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Income Distribution Setup - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Income Distribution Setup - Detail** screen is displayed.

4.15.3 Delete Bulk Clients Defaults - Income Distribution Setup Details

This topic provides the systematic instructions to delete Bulk Clients Defaults - Income Distribution Setup Details record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Income Distribution Setup - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Income Distribution Setup - Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.15.4 Authorize Bulk Clients Defaults - Income Distribution Setup Details

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Income Distribution Setup Details record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - Income Distribution Setup - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults - Income Distribution Setup - Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

4.15.5 Amend Bulk Clients Defaults - Income Distribution Setup Details

This topic provides the systematic instructions to amend Bulk Clients Defaults - Income Distribution Setup Details 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 Bulk Clients Defaults - Income Distribution Setup - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - Income Distribution Setup - Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.15.6 Authorize Amended Bulk Clients Defaults - Income Distribution Setup Details

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Income Distribution Setup Details record.

1. Authorize an amended Bulk Clients Defaults - Income Distribution Setup for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

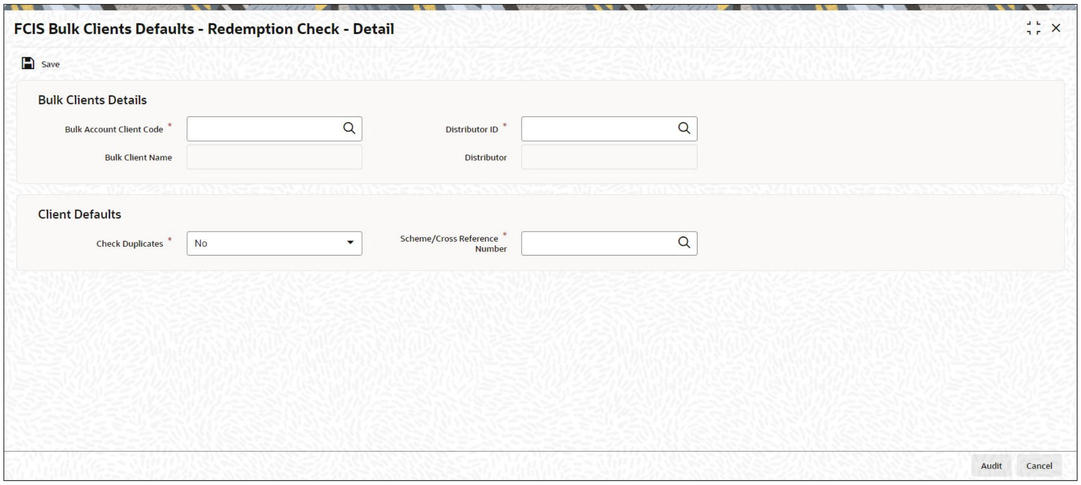
4.16 Process FCIS Bulk Clients Defaults - Redemption Check - Detail

This topic provides the default information for redemption check imports.

1. On **Home** screen, type **UTDBLKRC**in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Redemption Check - Detail** screen is displayed.

Figure 4-14   FCIS Bulk Clients Defaults - Redemption Check - Detail


FCIS Bulk Clients Defaults - Redemption Check - Detail
Save
Bulk Clients Details
Bulk Account Client Code *
Distributor ID *
Bulk Client Name
Distributor
Client Defaults
Check Duplicates *
Scheme/Cross Reference Number *
Audit
Cancel

Check Duplicates: No

2. You must maintain the following for redemption check imports.
   - Whether checking for duplicates must be done
   - **Scheme/ Cross Reference Number**
3. On **FCIS Bulk Clients Defaults - Redemption Check - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-9   FCIS Bulk Clients Defaults - Redemption Check - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk account client code.
Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.
Check Duplicates	*Mandatory* Select **Yes** from drop-down list if check duplicates are available. The options available in the drop-down are as follows: • **Yes** • **No**
Scheme/Cross Reference Number	*Alphanumeric; 12 Characters; Mandatory* Specify the scheme or cross reference number. Alternatively, you can select scheme or cross reference number from the option list. This option list will fetch the add info details for the entity add info for Unit holder as well as unit holder ID and UH reference number.

4.17 FCIS Bulk Clients Defaults - Redemption Check - Summary

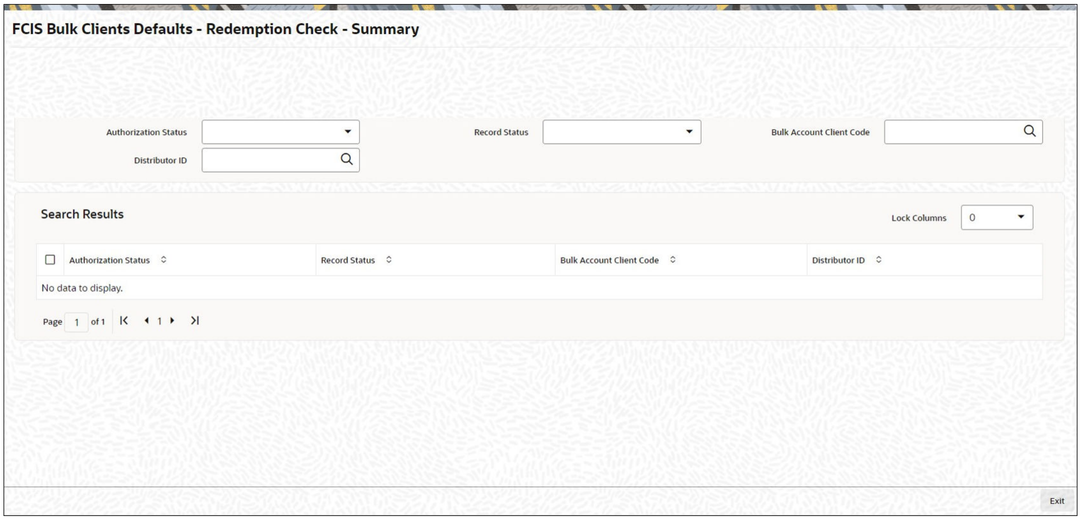
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Redemption Check Details

1. On **Home** screen, type **UTSBLKRC** in the text box, and click **Next.**

   The **FCIS Bulk Clients Defaults - Redemption Check - Summary** screen is displayed.

   Figure 4-15 FCIS Bulk Clients Defaults - Redemption Check - Summary

   Lock Columns: 0

   No data to display.

2. On **FCIS Bulk Clients Defaults - Redemption Check - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **Distributor ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - Redemption Check Details
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Redemption Check Details record.
- View Bulk Clients Defaults - Redemption Check Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Redemption Check Details record.
- Delete Bulk Clients Defaults - Redemption Check Details
  This topic provides the systematic instructions to delete Bulk Clients Defaults - Redemption Check Details record.
- Authorize Bulk Clients Defaults - Redemption Check Details
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Redemption Check Details record.
- Amend Bulk Clients Defaults - Redemption Check Details
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Redemption Check Details record.
- Authorize Amended Bulk Clients Defaults - Redemption Check Details
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Redemption Check Details record.

4.17.1 Edit Bulk Clients Defaults - Redemption Check Details

This topic provides the systematic instructions to edit Bulk Clients Defaults - Redemption Check Details record.

Modify the details of Bulk Clients Defaults - Redemption Check Details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Redemption Check - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Redemption Check - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

The **FCIS Bulk Clients Defaults - Redemption Check - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Redemption Check - Summary** screen.

4.17.2 View Bulk Clients Defaults - Redemption Check Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Redemption Check Details record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Redemption Check - Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Redemption Check - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Redemption Check - Detail** screen is displayed.

4.17.3 Delete Bulk Clients Defaults - Redemption Check Details

This topic provides the systematic instructions to delete Bulk Clients Defaults - Redemption Check Details record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Redemption Check - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Redemption Check - 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 Bulk Clients Defaults - Redemption Check Details

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Redemption Check Details record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - Redemption Check - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults - Redemption Check - 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 Bulk Clients Defaults - Redemption Check Details

This topic provides the systematic instructions to amend Bulk Clients Defaults - Redemption Check Details 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 Bulk Clients Defaults - Redemption Check - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - Redemption Check - 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 Bulk Clients Defaults - Redemption Check Details

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Redemption Check Details record.

1. Authorize an amended Bulk Clients Defaults - Redemption Check for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

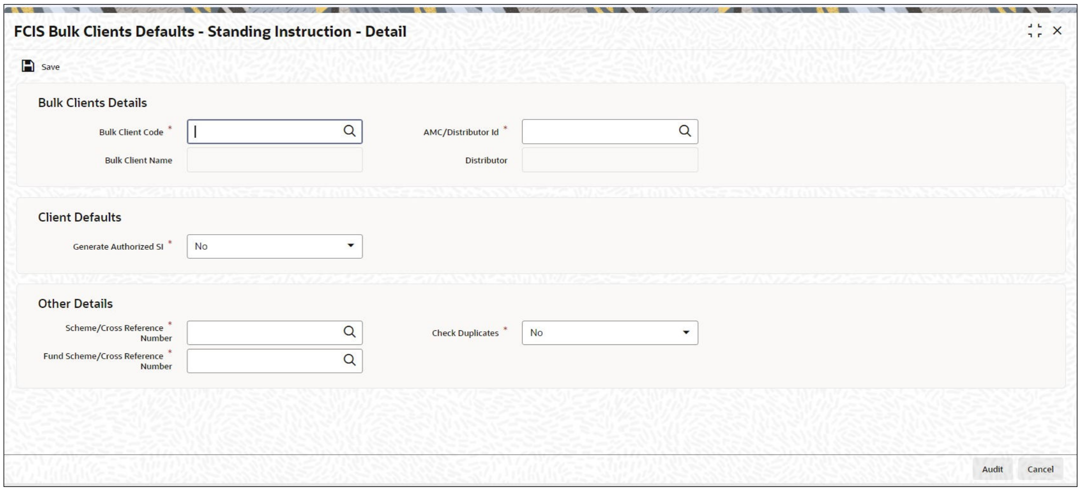
4.18 Process FCIS Bulk Clients Defaults - Standing Instruction - Detail

This topic provides the default information for Standing Instruction imports.

1. On **Home** screen, type **UTDBLKSI** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Standing Instruction - Detail** screen is displayed.

Figure 4-16   FCIS Bulk Clients Defaults - Standing Instruction - Detail



Generate Authorized SI * No

Check Duplicates * No

2. You must maintain the following for standing instructions imports.
   - Whether authorized standing instruction records are to be generated in the system
   - Scheme/ Cross Reference Number
   - Fund Scheme/ Cross Reference Number
   - Whether checking for duplicates must be done
3. On **FCIS Bulk Clients Defaults - Standing Instruction - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-10   FCIS Bulk Clients Defaults - Standing Instruction - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk account client code.
AMC/Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.

Table 4-10 (Cont.) FCIS Bulk Clients Defaults - Standing Instruction - Detail - Field Description

Field	Description
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.
Generate Authorized SI	*Mandatory* Select `Yes` from the drop-down list if authorized SI has to be generated. The options available in the drop-down are as follows: • **Yes** • **No**
Other Details	The section displays the following fields.
Scheme/Cross Reference Number	*Alphanumeric; 12 Characters; Mandatory* Specify the scheme or cross reference number. Alternatively, you can select scheme or cross reference number from the option list. This option list will fetch the add info details for the entity add info for unit holder as well as unit holder ID and UH reference number.
Fund Scheme/Cross Reference Number	*Alphanumeric; 60 Characters; Mandatory* Indicates the param value for the param code **FUNDSCHEMECROSSREFTYPES**.
Check Duplicates	*Mandatory* Select `Yes` from drop-down list if check duplicates are available. The options available in the drop-down are as follows: • **Yes** • **No**

4.19 FCIS Bulk Clients Defaults - Standing Instruction - Summary

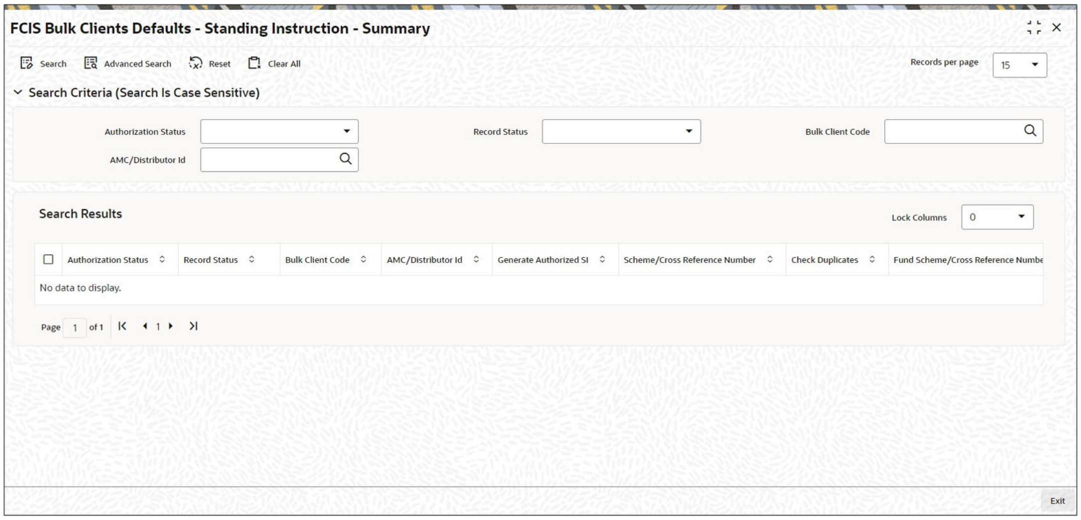
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Standing Instruction Details

1. On **Home** screen, type **UTSBLKSI** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Standing Instruction - Summary** screen is displayed.

Figure 4-17 FCIS Bulk Clients Defaults - Standing Instruction - Summary



No data to display.

2. On **FCIS Bulk Clients Defaults - Standing Instruction - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **AMC/Distributor ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - Standing Instruction Details
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Standing Instruction Details record.
- View Bulk Clients Defaults - Standing Instruction Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Standing Instruction Details record.

- Delete Bulk Clients Defaults - Standing Instruction Details
  This topic provides the systematic instructions to delete Bulk Clients Defaults - Standing Instruction Details record.
- Authorize Bulk Clients Defaults - Standing Instruction Details
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Standing Instruction Details record.
- Amend Bulk Clients Defaults - Standing Instruction Details
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Standing Instruction Details record.
- Authorize Amended Bulk Clients Defaults - Standing Instruction Details
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Standing Instruction Details record.

4.19.1 Edit Bulk Clients Defaults - Standing Instruction Details

This topic provides the systematic instructions to edit Bulk Clients Defaults - Standing Instruction Details record.

Modify the details of Bulk Clients Defaults - Standing Instruction Details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Standing Instruction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Standing Instruction - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - Standing Instruction - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Standing Instruction - Summary** screen.

4.19.2 View Bulk Clients Defaults - Standing Instruction Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Standing Instruction Details record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Standing Instruction - Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Standing Instruction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Standing Instruction - Summary Detail** screen is displayed.

4.19.3 Delete Bulk Clients Defaults - Standing Instruction Details

This topic provides the systematic instructions to delete Bulk Clients Defaults - Standing Instruction Details record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Standing Instruction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Standing Instruction - 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.

4.19.4 Authorize Bulk Clients Defaults - Standing Instruction Details

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Standing Instruction Details record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - Standing Instruction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults - Standing Instruction - 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.

4.19.5 Amend Bulk Clients Defaults - Standing Instruction Details

This topic provides the systematic instructions to amend Bulk Clients Defaults - Standing Instruction Details 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 Bulk Clients Defaults - Standing Instruction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - Standing Instruction -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.

4.19.6 Authorize Amended Bulk Clients Defaults - Standing Instruction Details

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Standing Instruction Details record.

1. Authorize an amended Bulk Clients Defaults - Standing Instruction for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

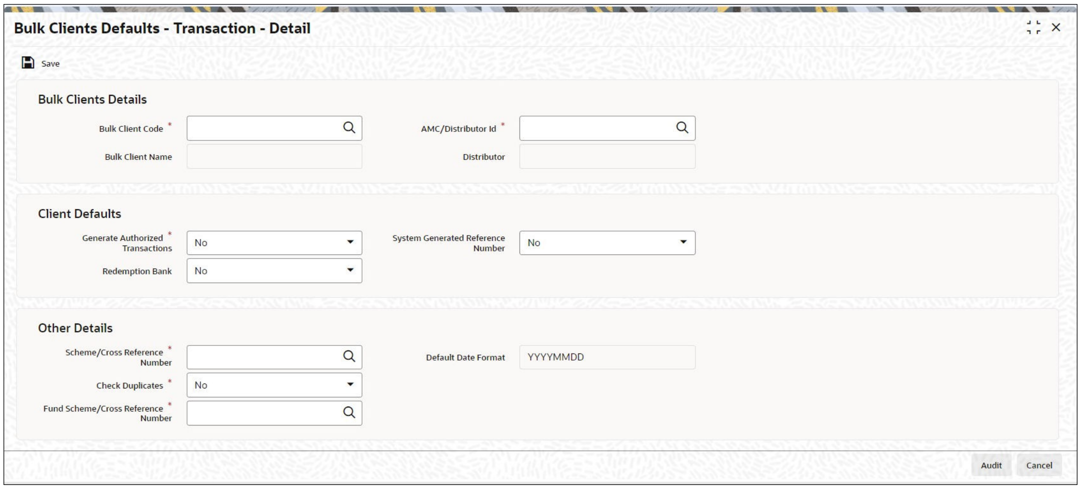
4.20 Process Bulk Clients Defaults - Transaction - Detail

This topic provides the default information for transaction imports.

1. On **Home** screen, type **UTDBLTXN** in the text box, and click **Next**.

   The **Bulk Clients Defaults - Transaction - Detail** screen is displayed.

Figure 4-18   Bulk Clients Defaults - Transaction - Detail



Generate Authorized Transactions *: No
System Generated Reference Number: No
Redemption Bank: No
Scheme/Cross Reference Number *:
Default Date Format: YYYYMMDD
Check Duplicates *: No
Fund Scheme/Cross Reference Number *:

2. You must maintain the following for imports of new subscription, redemption, transfer and conversion transactions, and amended transactions if indicated for the bulk client.
    - Whether authorized transaction records are to be generated in the system
    - Whether it must be designated by default that payouts must be made to the unit holder bank account only
    - Whether a system generated reference number is indicated
    - Scheme / Cross Reference Number
    - Fund Scheme / Cross Reference Number
    - Whether checking for duplicates must be done
    - Default date format
    - Communication mode
    - Sub payment mode
    - Letter of Intent (LOI) applicable
    - Whether translation is required
    - Whether amended transactions must be uploaded

> **Note:**
>
> If you wish to disallow upload of amended transactions for a particular client, select the `No` option in the **Allow Amendment** field, when you are setting up the default information for the bulk client. During bulk upload of transactions from a bulk client, amended orders are not imported if disallowed in the **Bulk Clients Defaults Maintenance** for the bulk client, but errors are logged in respect of them.

3. On **Bulk Clients Defaults - Transaction - Detail** screen, click **New** to enter the details.

    For more information on fields, refer to the field description table.

Table 4-11 Bulk Clients Defaults - Transaction - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk account client code.
AMC/Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.
Generate Authorized Transactions	*Mandatory* Select **Yes** from the drop-down list if authorized transactions has to be generated. The options available in the drop-down are as follows: • **Yes** • **No**
Redemption Bank	*Optional* Select if redemption bank has to be selected or not from the drop-down list. The list displays the following values: • **Yes** • **No**
System Generated Reference Number	*Optional* Select if reference number has to be system generated or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Other Details	The section displays the following fields.
Scheme/Cross Reference Number	*Alphanumeric; 12 Characters; Mandatory* Specify the scheme or cross reference number.
Fund Scheme/Cross Reference Number	*Alphanumeric; 60 Characters; Mandatory* Specify the fund scheme or cross reference number.
Check Duplicates	*Mandatory* Select **Yes** from drop-down list if check duplicates are available. The options available in the drop-down are as follows: • **Yes** • **No**
Default Date Format	*Display* The system displays the date format.
Communication Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the communication mode.
Sub Payment Mode	*Alphanumeric; 2 Characters; Mandatory* Specify the sub payment mode.
LOI Transaction	*Optional* Select LOI transaction status from the drop-down list. The list displays the following values: • **Yes** • **No**

Table 4-11 (Cont.) Bulk Clients Defaults - Transaction - Detail - Field Description

Field	Description
Translation Required	*Optional* Select transaction required or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Amendment Allowed	*Optional* Select if amendment is allowed or not from the drop-down list. The list displays the following values: • **Yes** • **No**

4.21 Bulk Clients Defaults Summary

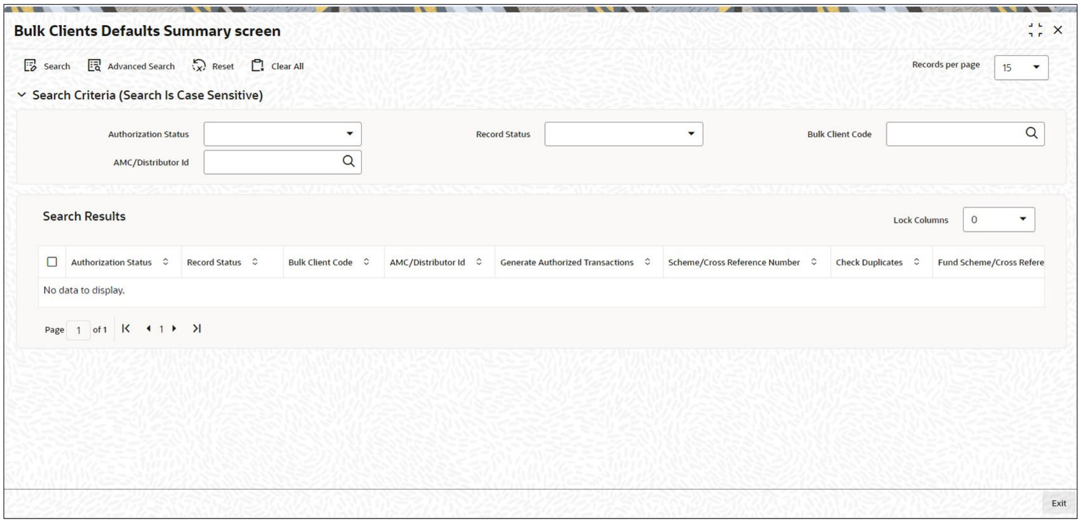
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults Record

1. On **Home** screen, type **UTSBLTXN** in the text box, and click **Next**.

   The **Bulk Clients Defaults Summary** screen is displayed.

Figure 4-19 Bulk Clients Defaults Summary



2. On **Bulk Clients Defaults Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **AMC/Distributor ID**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults Record
  This topic provides the systematic instructions to edit Bulk Clients Defaults record.
- View Bulk Clients Defaults Record
  This topic provides the systematic instructions to view Bulk Clients Defaults record.
- Delete Bulk Clients Defaults Record
  This topic provides the systematic instructions to delete Bulk Clients Defaults record.
- Authorize Bulk Clients Defaults Record
  This topic provides the systematic instructions to authorize Bulk Clients Defaults record.
- Amend Bulk Clients Defaults Record
  This topic provides the systematic instructions to amend Bulk Clients Defaults record.
- Authorize Amended Bulk Clients Defaults Record
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults record.

4.21.1 Edit Bulk Clients Defaults Record

This topic provides the systematic instructions to edit Bulk Clients Defaults record.

Modify the details of Bulk Clients Defaults Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Bulk Clients Defaults Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to modify in the list of displayed records.

   The **Bulk Clients Defaults 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 **Bulk Clients Defaults Detail** screen is closed and the changes made are reflected in the **Bulk Clients Defaults Summary** screen.

4.21.2 View Bulk Clients Defaults Record

This topic provides the systematic instructions to view Bulk Clients Defaults record.

View a record that you have previously input by retrieving the same in the **Bulk Clients Defaults Summary** screen. Perform this operation as follows:

1. Start the **Bulk Clients Defaults Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Bulk Clients Defaults - Transaction - Detail** screen is displayed.

4.21.3 Delete Bulk Clients Defaults Record

This topic provides the systematic instructions to delete Bulk Clients Defaults record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Bulk Clients Defaults Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Bulk Clients Defaults - Transaction - Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.21.4 Authorize Bulk Clients Defaults Record

This topic provides the systematic instructions to authorize Bulk Clients Defaults record.

Authorize an unauthorized Bulk Clients Defaults record in the system for it to be processed as follows:

1. Start the **Bulk Clients Defaults Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Bulk Clients Defaults - Transaction - Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

4.21.5 Amend Bulk Clients Defaults Record

This topic provides the systematic instructions to amend Bulk Clients Defaults 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 **Bulk Clients Defaults Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Bulk Clients Defaults - Transaction - Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.21.6 Authorize Amended Bulk Clients Defaults Record

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults record.

1. Authorize an amended Bulk Clients Defaults record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

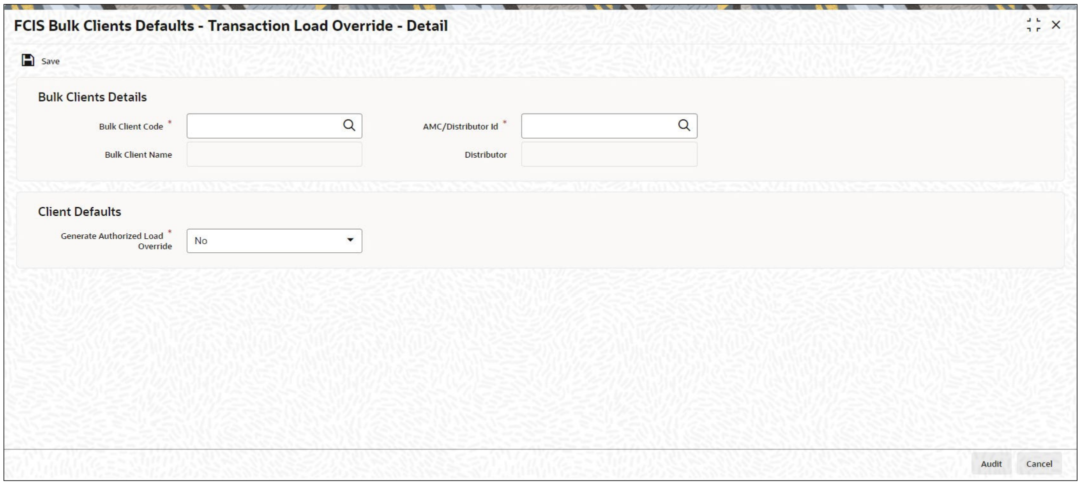
4.22 Process FCIS Bulk Clients Defaults - Transaction Load Override - Detail

This topic provides the default information for transaction load override imports.

1. On **Home** screen, type **UTDBLTLO** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Transaction Load Override - Detail** screen is displayed.

Figure 4-20 FCIS Bulk Clients Defaults - Transaction Load Override - Detail



Generate Authorized Load Override: No

2. You must maintain whether authorized load override records must be generated in the system for load override imports.
3. On **FCIS Bulk Clients Defaults - Transaction Load Override - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-12 FCIS Bulk Clients Defaults - Transaction Load Override - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk account client code.
AMC/Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.

Table 4-12 (Cont.) FCIS Bulk Clients Defaults - Transaction Load Override - Detail - Field Description

Field	Description
Generate Authorized Load Override	*Mandatory* Select **Yes** from the drop-down list if authorized load override has to be generated. The options available in the drop-down are as follows: • **Yes** • **No**

4.23 FCIS Bulk Clients Defaults - Transaction Load Override - Summary

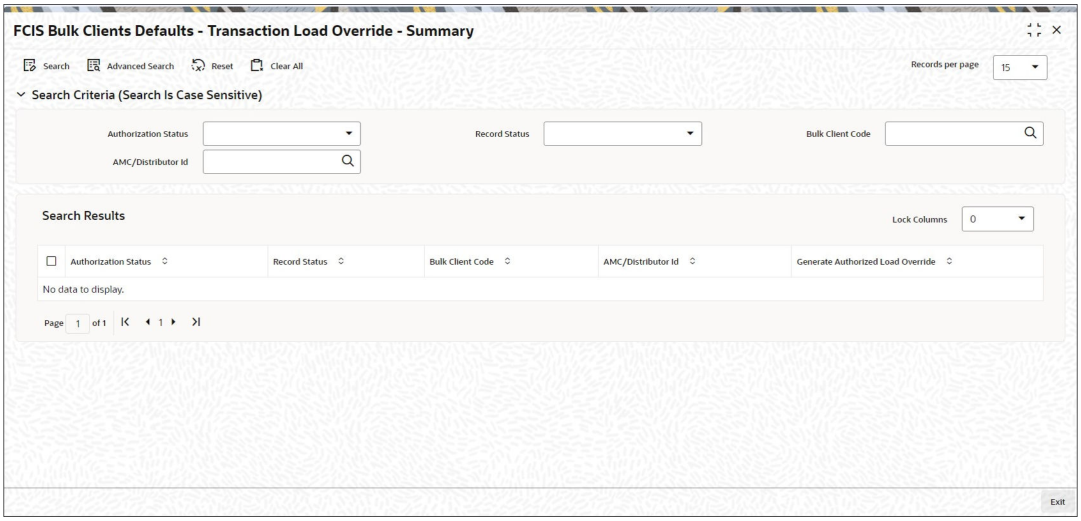
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Transaction Load Override Record

1. On **Home** screen, type **UTSBLTLO** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Transaction Load Override - Summary** screen is displayed.

   Figure 4-21 FCIS Bulk Clients Defaults - Transaction Load Override - Summary

   No data to display.

2. On **FCIS Bulk Clients Defaults - Transaction Load Override - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **AMC/Distributor ID**
3. Click **Search** button to view the records.

All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - Transaction Load Override Record
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Transaction Load Override record.
- View Bulk Clients Defaults - Transaction Load Override Record
  This topic provides the systematic instructions to view Bulk Clients Defaults - Transaction Load Override record.
- Delete Bulk Clients Defaults - Transaction Load Override Record
  This topic provides the systematic instructions to delete Bulk Clients Defaults - Transaction Load Override record.
- Authorize Bulk Clients Defaults - Transaction Load Override Record
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Transaction Load Override record.
- Amend Bulk Clients Defaults - Transaction Load Override Record
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Transaction Load Override record.
- Authorize Amended Bulk Clients Defaults - Transaction Load Override Record
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Transaction Load Override record.

4.23.1 Edit Bulk Clients Defaults - Transaction Load Override Record

This topic provides the systematic instructions to edit Bulk Clients Defaults - Transaction Load Override record.

Modify the details of Bulk Clients Defaults - Transaction Load Override Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Transaction Load Override - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Transaction Load Override - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - Transaction Load Override - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Transaction Load Override - Summary** screen.

4.23.2 View Bulk Clients Defaults - Transaction Load Override Record

This topic provides the systematic instructions to view Bulk Clients Defaults - Transaction Load Override record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Transaction Load Override - Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Transaction Load Override - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Transaction Load Override - Detail** screen is displayed.

4.23.3 Delete Bulk Clients Defaults - Transaction Load Override Record

This topic provides the systematic instructions to delete Bulk Clients Defaults - Transaction Load Override record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Transaction Load Override - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Transaction Load Override - Detail** screen is displayed.

5. Select **Delete** operation from the Action list.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.23.4 Authorize Bulk Clients Defaults - Transaction Load Override Record

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Transaction Load Override record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - Transaction Load Override - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults - Transaction Load Override - Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

4.23.5 Amend Bulk Clients Defaults - Transaction Load Override Record

This topic provides the systematic instructions to amend Bulk Clients Defaults - Transaction Load Override 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 Bulk Clients Defaults - Transaction Load Override - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to amend.

The **FCIS Bulk Clients Defaults - Transaction Load Override - Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.23.6 Authorize Amended Bulk Clients Defaults - Transaction Load Override Record

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Transaction Load Override record.

1. Authorize an amended Bulk Clients Defaults - Transaction Load Override for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

4.24 Default Information for Unit Holder Accounts Imports

This topic explains the default information for Unit Holder accounts imports.

This topic contains the following sub-topics.

- Bulk Client Tab
  This topic explains the Bulk Client tab of **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen.
- Additional Info Tab
  This topic explains the additional info tab of **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen.
- Other Details Tab
  This topic explains the other details tab of **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen.

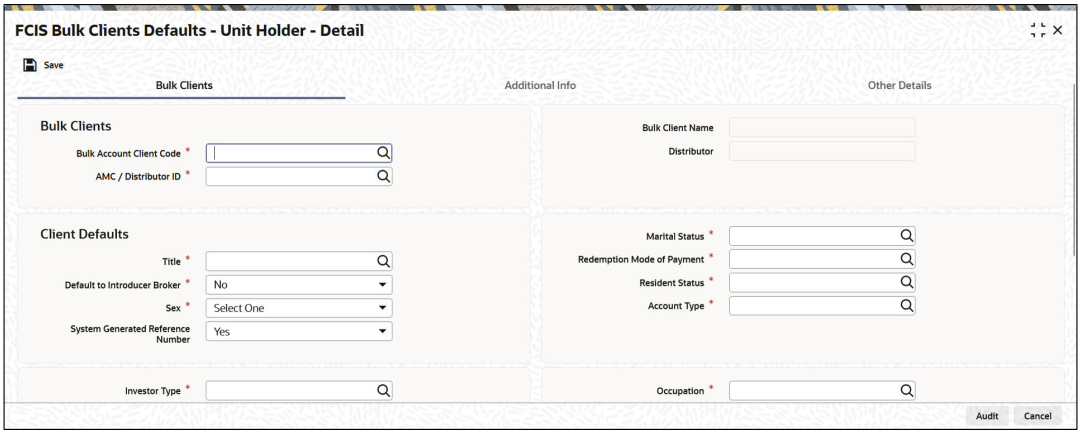
4.24.1 Bulk Client Tab

This topic explains the Bulk Client tab of **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen.

1. On **Home** screen, type **UTDBLKUH** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen is displayed.

Figure 4-22 FCIS Bulk Clients Defaults - Unit Holder - Detail

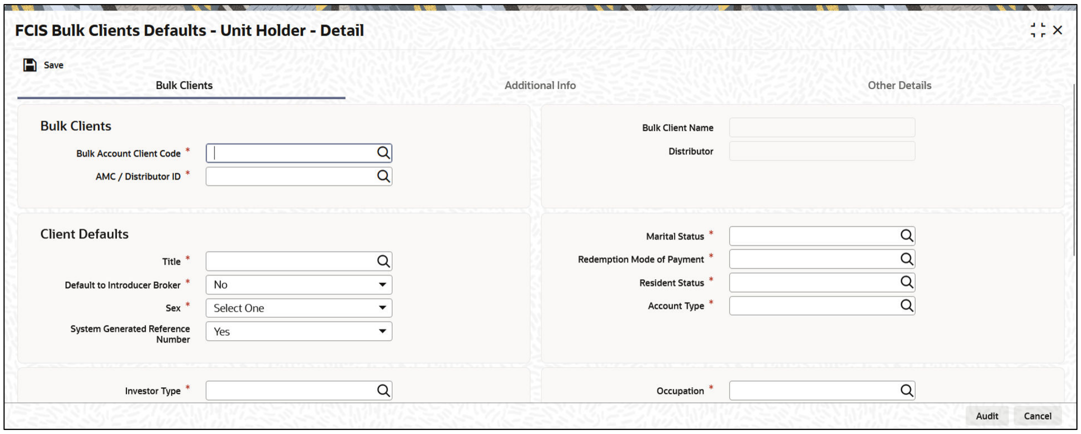


Default to Introducer Broker *: No
Sex *: Select One
System Generated Reference Number: Yes

2. On **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen, you can view the following tabs.
    - Bulk Clients Tab
    - Additional Info Tab
    - Other Details Tab
3. On **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen, click **Bulk Clients** tab to enter the details.

    The **Bulk Clients** details are displayed.

Figure 4-23 FCIS Bulk Clients Defaults - Unit Holder - Detail_Bulk Clients Tab



Default to Introducer Broker *: No
Sex *: Select One
System Generated Reference Number: Yes

.

4. On **Bulk Clients**, specify the fields.

    For more information on fields, refer to the field description table.

Table 4-13 Bulk Clients Tab - Field Description

Field	Description
Bulk Clients	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the name of the selected bulk client code.
Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC or distributor ID.
Distributor	*Display* The system displays the name of the selected AMC or Distributor ID.
Client Defaults	The section displays the following fields.
Title	*Alphanumeric; 15 Characters; Mandatory* Specify the customer title.
Default to Introducer Broker	*Mandatory* Select if the client details has to be defaulted to introducer broker or not from the drop-down list. The list displays the following values: • Yes • No
Sex	*Mandatory* Select the options from the drop-down list. The list displays the following values: • Male • Female • Not Available
System Generated Reference Number	*Optional* Select if reference number has to be system generated or not from the drop-down list. The list displays the following values: • Yes • No
Marital Status	*Alphanumeric; 1 Character; Mandatory* Specify the marital status.
Redemption Mode of Payment	*Alphanumeric; 1 Character; Mandatory* Specify the redemption mode of payment.
Resident Status	*Alphanumeric; 1 Character; Mandatory* Specify the resident status.
Account Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of account.
Investor Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of investor.
Account Operation Type	*Alphanumeric; 1 Character; Mandatory* Specify the account operation type of the customer.
Country	*Alphanumeric; 3 Characters; Mandatory* Specify the country code of the customer.
Identification Type	*Alphanumeric; 3 Characters; Mandatory* Specify the identification type.

Table 4-13 (Cont.) Bulk Clients Tab - Field Description

Field	Description
Occupation	*Alphanumeric; 3 Characters; Mandatory* Specify the occupation of the customer.
Account Statement Frequency	*Alphanumeric; 1 Character; Optional* Specify the account statement frequency.
Corporation	*Alphanumeric; 3 Characters; Mandatory* Specify the corporation details.
Introducer Broker	*Alphanumeric; 12 Characters; Mandatory* Specify the introducer broker details of the unit holder.
Language	*Alphanumeric; 12 Characters; Mandatory* Specify the language code.
Unit Holder Base Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the unit holder base currency code.
Nationality	*Alphanumeric; 3 Characters; Mandatory* Specify the nationality of the customer.
Bank Account Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the bank account currency code.
Category (Individual)	*Alphanumeric; 2 Characters; Optional* Specify the individual category code.
Account Statement Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the account statement currency code.
Category (Corporate)	*Alphanumeric; 2 Characters; Optional* Specify the corporate category code.
Template ID	*Alphanumeric; 6 Characters; Optional* Specify the template ID.
Place of Issue	*Alphanumeric; 3 Characters; Optional* Specify the place of issue details.
Preferred Fund ID for Redemption	*Alphanumeric; 6 Characters; Optional* Specify the preferred fund ID for redemption.

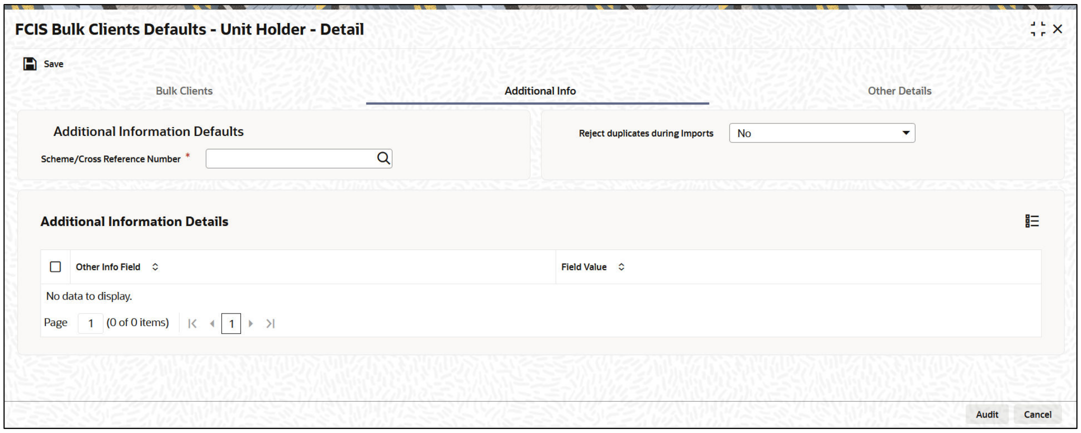
4.24.2 Additional Info Tab

This topic explains the additional info tab of **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen.

1. On **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen, click **Additional Info** tab to enter the details.

   The **Additional Info** details are displayed.

Figure 4-24 FCIS Bulk Clients Defaults - Unit Holder - Detail_Additional Info Tab


FCIS Bulk Clients Defaults - Unit Holder - Detail
Save
Bulk Clients
Additional Info
Other Details
Additional Information Defaults
Scheme/Cross Reference Number *
Reject duplicates during Imports
No
Additional Information Details
Other Info Field
Field Value
No data to display.
Page 1 (0 of 0 items)
1
Audit
Cancel

2. On **Additional Info**, specify the fields.

   For more information on fields, refer to the field description table.

Table 4-14 Additional Info Tab - Field Description

Field	Description
Additional Information Defaults	The section displays the following fields.
Scheme/Cross Reference Number	*Alphanumeric; 12 Characters; Mandatory* Specify the scheme/ cross reference number.
Reject duplicates during Imports	*Optional* Select if duplicate records needs to be deleted during import or not from the drop-down list. The list displays the following values: • Yes • No
Additional Information Details	The section displays the following fields.
Other Info Field	*Alphanumeric; 100 Characters; Optional* Specify the other additional information.
Field Value	*Alphanumeric; 100 Characters; Optional* Specify the field value based on the other info field.

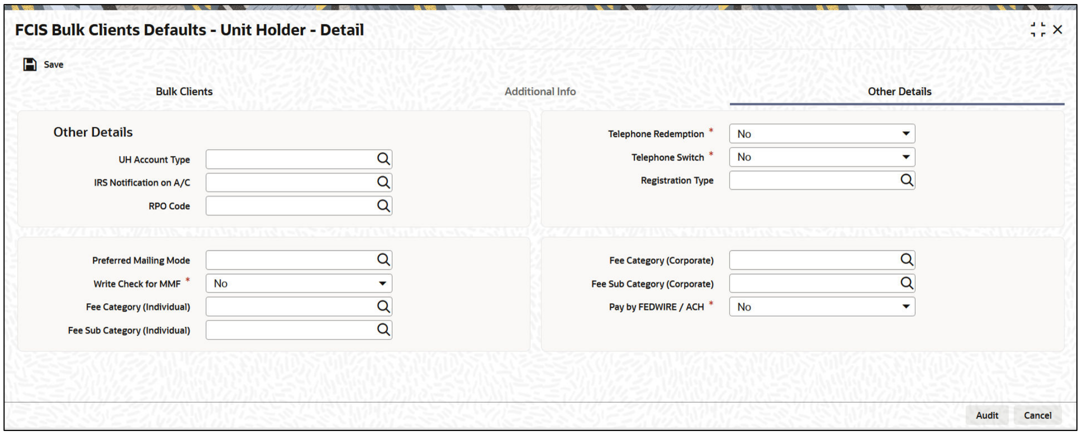
4.24.3 Other Details Tab

This topic explains the other details tab of **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen.

1. On **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen, click **Other Details** tab to enter the details.

   The **Other Details** are displayed.

Figure 4-25   FCIS Bulk Clients Defaults - Unit Holder - Detail_Other Detais Tab



Other Details

UH Account Type
IRS Notification on A/C
RPO Code
Telephone Redemption * No
Telephone Switch * No
Registration Type
Preferred Mailing Mode
Write Check for MMF * No
Fee Category (Individual)
Fee Sub Category (Individual)
Fee Category (Corporate)
Fee Sub Category (Corporate)
Pay by FEDWIRE / ACH * No

2. On **Other Details**, specify the fields.

   For more information on fields, refer to the field description table.

Table 4-15   Other Details Tab - Field Description

Field	Description
Other Details	The section displays the following fields.
UH Account Type	*Alphanumeric; 2 Characters; Optional* Specify the unit holder account type.
IRS Notification on A/C	*Alphanumeric; 10 Characters; Optional* Specify the IRS notification on account.
RPO Code	*Alphanumeric; 10 Characters; Optional* Specify the RPO code.
Telephone Redemption	*Mandatory* Select if redemption request by telephone is allowed or not from the drop-down list. The list displays the following values: • Yes • No
Telephone Switch	*Mandatory* Select if switch request by telephone is allowed or not from the drop-down list. The list displays the following values: • Yes • No
Registration Type	*Alphanumeric; 2 Characters; Optional* Specify the type of registration.
Preferred Mailing Mode	*Alphanumeric; 2 Characters; Optional* Specify the preferred mailing mode.
Write Check for MMF	*Mandatory* Select `Yes` option from drop-down list if system allows check writing.
Fee Category (Individual)	*Alphanumeric; 3 Characters; Optional* Specify the fee category for an individual.
Fee Sub Category (Individual)	*Alphanumeric; 6 Characters; Optional* Specify the fee sub category for an individual.

Table 4-15 (Cont.) Other Details Tab - Field Description

Field	Description
Fee Category (Corporate)	*Alphanumeric; 3 Characters; Optional* Specify the fee category for corporate.
Fee Sub Category (Corporate)	*Alphanumeric; 6 Characters; Optional* Specify the fee sub category for corporate.
Pay by FEDWIRE / ACH	*Mandatory* Select `Yes` option from drop-down list if paid by **FEDWIRE/ ACH**.

Choosing Template for Automatic Replication
Modifications made to a unit holder account under a CIF, through an Information Change operation, might require to be replicated to all unit holder accounts under the CIF. The **Oracle FLEXCUBE Investor Servicing** provides the facility of configuring the system so that automatic replication could be achieved, through automatic replication templates.

For each bulk client, you can define the template to be used for automatic replication, as part of the client default information. The automatic replication template you select here is used for replication of changes made to a unit holder account through Information Change, to all unit holder accounts belonging to the CIF.

3. **How the template is used:** Any changes that have been made through Information Change, to any of the fields defined in the template, are replicated to all unit holder accounts belonging to the CIF, when the Information Change is authorized. The replication occurs at the level defined for the template – CIF level (changes made to CIF fields are replicated) or Identification Type level (changes made to Identification Type fields are replicated)
4. **Additional Information Defaults:** For the additional information defaults, the list shown is the additional information for which the valid values (restrictive list) are maintained as part of Additional Information Master Setup and Additional Information Valid Values Setup.

4.25 FCIS Bulk Clients Defaults - Unit Holder - Summary

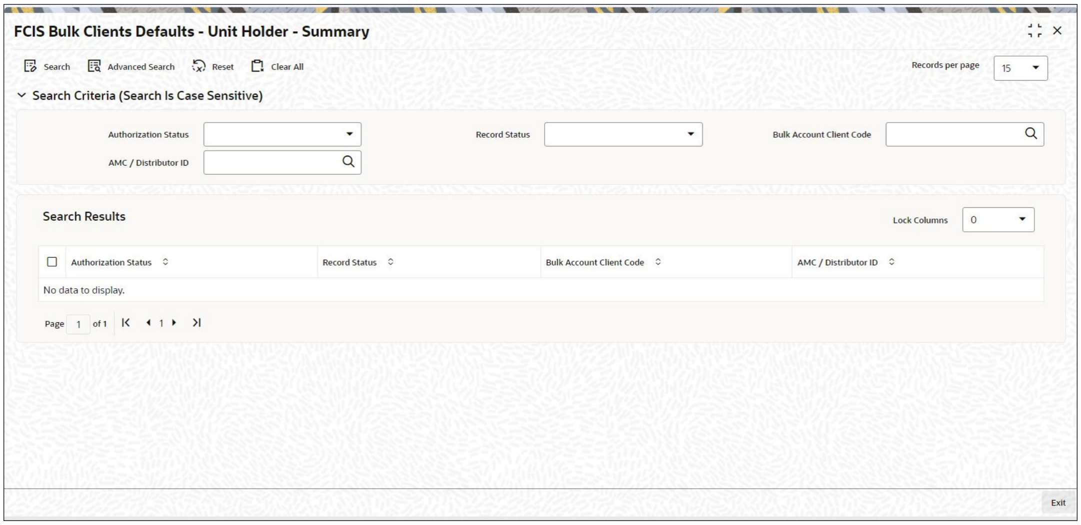
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Unit Holder Record

1. On **Home** screen, type **UTSBLKUH** in the text box, and click **Next.**

   The **FCIS Bulk Clients Defaults - Unit Holder - Summary** screen is displayed.

Figure 4-26 FCIS Bulk Clients Defaults - Unit Holder - Summary



No data to display.

2. On **FCIS Bulk Clients Defaults - Unit Holder - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Account Client Code**
   - **AMC / Distributor ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - Unit Holder Record
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Unit Holder record.
- View Bulk Clients Defaults - Unit Holder Record
  This topic provides the systematic instructions to view Bulk Clients Defaults - Unit Holder record.

- Delete Bulk Clients Defaults - Unit Holder Record
  This topic provides the systematic instructions to delete Bulk Clients Defaults - Unit Holder record.
- Authorize Bulk Clients Defaults - Unit Holder Record
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Unit Holder record.
- Amend Bulk Clients Defaults - Unit Holder Record
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Unit Holder record.
- Authorize Amended Bulk Clients Defaults - Unit Holder Record
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Unit Holder record.

4.25.1 Edit Bulk Clients Defaults - Unit Holder Record

This topic provides the systematic instructions to edit Bulk Clients Defaults - Unit Holder record.

Modify the details of Bulk Clients Defaults - Unit Holder Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Unit Holder - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Unit Holder - Summary** screen.

4.25.2 View Bulk Clients Defaults - Unit Holder Record

This topic provides the systematic instructions to view Bulk Clients Defaults - Unit Holder record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Unit Holder - Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Unit Holder - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen is displayed.

4.25.3 Delete Bulk Clients Defaults - Unit Holder Record

This topic provides the systematic instructions to delete Bulk Clients Defaults - Unit Holder record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Unit Holder - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Unit Holder - 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.

4.25.4 Authorize Bulk Clients Defaults - Unit Holder Record

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Unit Holder record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - Unit Holder - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults - Unit Holder - 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.

4.25.5 Amend Bulk Clients Defaults - Unit Holder Record

This topic provides the systematic instructions to amend Bulk Clients Defaults - Unit Holder 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 Bulk Clients Defaults - Unit Holder - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - Unit Holder - Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.25.6 Authorize Amended Bulk Clients Defaults - Unit Holder Record

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Unit Holder record.

1. Authorize an amended Bulk Clients Defaults - Unit Holder for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

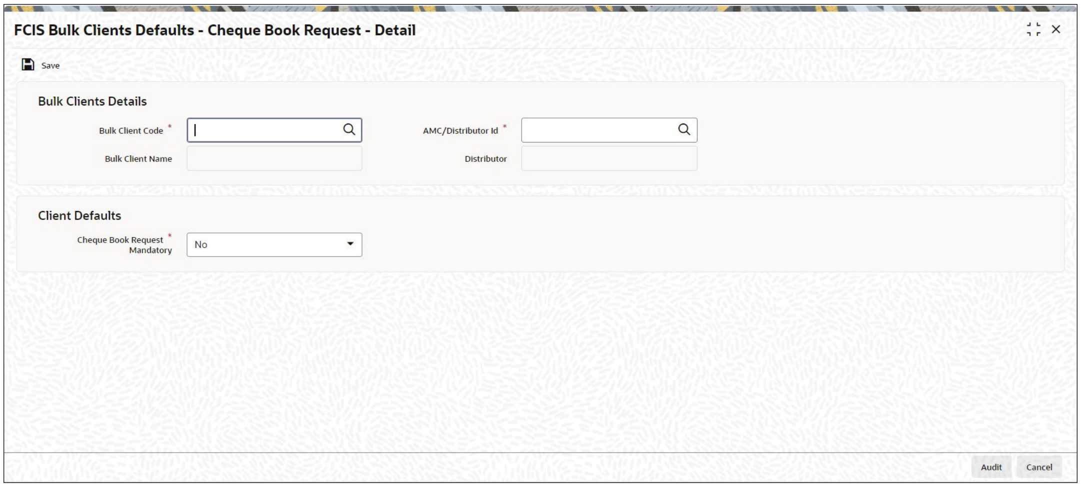
4.26 Process FCIS Bulk Clients Defaults - Cheque Book Request - Detail

This topic provides the default information for Cheque Book Request imports.

1. On **Home** screen, type **UTDBLCBR** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Cheque Book Request - Detail** screen is displayed.

Figure 4-27   FCIS Bulk Clients Defaults - Cheque Book Request - Detail


FCIS Bulk Clients Defaults - Cheque Book Request - Detail

Bulk Clients Details

Bulk Client Code *
AMC/Distributor Id *
Bulk Client Name
Distributor

Client Defaults

Cheque Book Request Mandatory * : No

2. On **FCIS Bulk Clients Defaults - Cheque Book Request - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-16   FCIS Bulk Clients Defaults - Cheque Book Request - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk account client code.
AMC/Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.
Cheque Book Request Mandatory	*Mandatory* Select if check book request is mandatory or not from the drop-down list. The list displays the following values: • **Yes** • **No**

4.27 FCIS Bulk Clients Defaults - Cheque Book Request - Summary

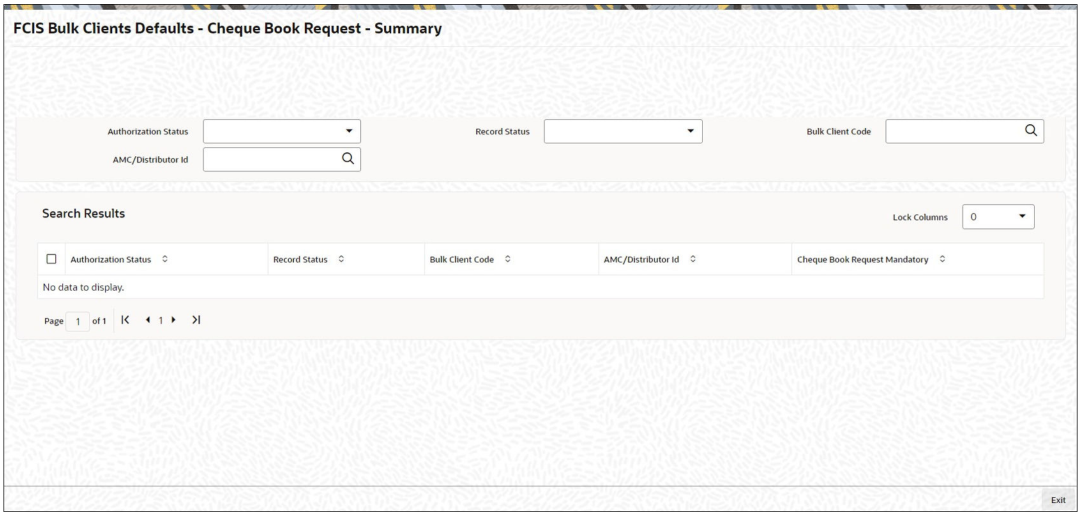
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Cheque Book Request Details

1. On **Home** screen, type **UTSBLCBR** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Cheque Book Request - Summary** screen is displayed.

   Figure 4-28 FCIS Bulk Clients Defaults - Cheque Book Request - Summary

   No data to display.

2. On **FCIS Bulk Clients Defaults - Cheque Book Request - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **AMC / Distributor ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - Cheque Book Request Details
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Cheque Book Request record.

- View Bulk Clients Defaults - Cheque Book Request Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Cheque Book Request record.
- Delete Bulk Clients Defaults - Cheque Book Request Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Cheque Book Request record.
- Authorize Bulk Clients Defaults - Cheque Book Request Details
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Cheque Book Request record.
- Amend Bulk Clients Defaults - Cheque Book Request Details
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Cheque Book Request record.
- Authorize Amended Bulk Clients Defaults - Cheque Book Request Details
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Cheque Book Request record.

4.27.1 Edit Bulk Clients Defaults - Cheque Book Request Details

This topic provides the systematic instructions to edit Bulk Clients Defaults - Cheque Book Request record.

Modify the details of Bulk Clients Defaults - Cheque Book Request details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Cheque Book Request - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Cheque Book Request - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - Cheque Book Request - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Cheque Book Request - Summary** screen.

4.27.2 View Bulk Clients Defaults - Cheque Book Request Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Cheque Book Request record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Cheque Book Request - Summary**

1. Start the **FCIS Bulk Clients Defaults - Cheque Book Request - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Cheque Book Request - Detail** screen is displayed.

4.27.3 Delete Bulk Clients Defaults - Cheque Book Request Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Cheque Book Request record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Cheque Book Request - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Cheque Book Request - Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.27.4 Authorize Bulk Clients Defaults - Cheque Book Request Details

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Cheque Book Request record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - Cheque Book Request - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults - Cheque Book Request - Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

4.27.5 Amend Bulk Clients Defaults - Cheque Book Request Details

This topic provides the systematic instructions to amend Bulk Clients Defaults - Cheque Book Request record.

Modify the details of an authorized record using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Bulk Clients Defaults - Cheque Book Request - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - Cheque Book Request - Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.27.6 Authorize Amended Bulk Clients Defaults - Cheque Book Request Details

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Cheque Book Request record.

1. Authorize an amended Bulk Clients Defaults - Cheque Book Request for the amendment to be made effective in the system.
2. The subsequent process of authorization is the same as that for normal transactions.

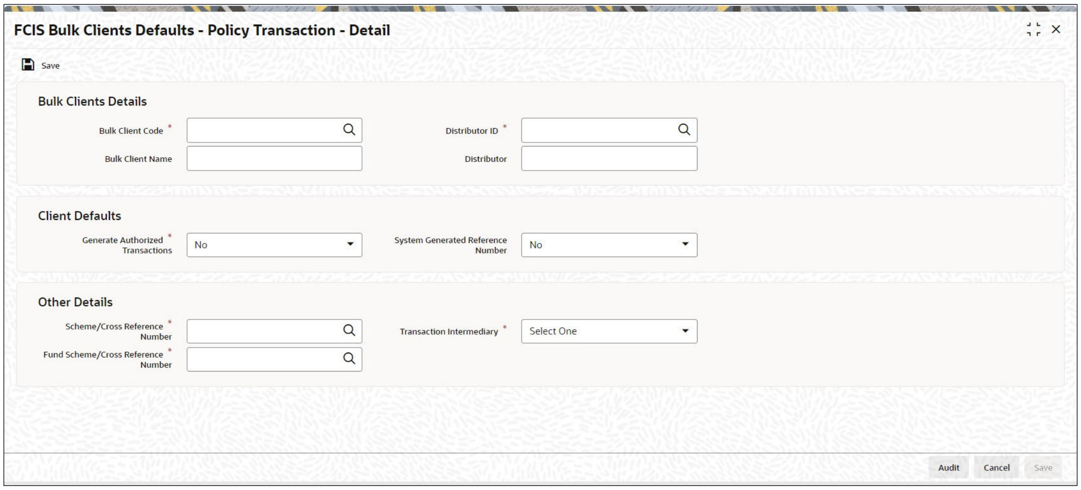
4.28 Process FCIS Bulk Clients Defaults - Policy Transaction - Detail

This topic provides the default information for Policy Transaction imports.

1. On **Home** screen, type **UTDBLKPT** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Policy Transaction - Detail** screen is displayed.

Figure 4-29 FCIS Bulk Clients Defaults - Policy Transaction - Detail



Generate Authorized Transactions * No
System Generated Reference Number No
Transaction Intermediary * Select One

2. You must maintain the following for policy transactions import.
   - Whether authorized transaction records are to be generated in the system
   - Whether a system generated reference number is indicated
   - **Scheme / Cross Reference Number**
   - **Fund Scheme / Cross Reference Number**
   - Whether the broker associated in policy creation or the default broker details of the unit holder are to be defaulted if intermediary details are not provided.
3. On **FCIS Bulk Clients Defaults - Policy Transaction - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-17 FCIS Bulk Clients Defaults - Policy Transaction - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk account client code.

Table 4-17 (Cont.) FCIS Bulk Clients Defaults - Policy Transaction - Detail - Field Description

Field	Description
AMC/Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.
Generate Authorized Transactions	*Mandatory* Select if authorized transactions needs to be generated or not from the drop-down list. The list displays the following values: • **Yes** • **No**
System Generated Reference Number	*Optional* Select if reference number needs to be system generated or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Other Details	The section displays the following fields.
Scheme/Cross Reference Number	*Alphanumeric; 12 Characters; Mandatory* Specify the scheme/cross reference number. Alternatively, you can select scheme or cross reference number from the option list. This option list will fetch the add info details for the entity add info for Unit holder as well as unit holder ID and UH reference number.
Fund Scheme/Cross Reference Number	*Alphanumeric; 60 Characters; Mandatory* Indicates the param value for the param code **FUNDSCHEMECROSSREFTYPES**.
Transaction Intermediary	*Mandatory* Select the transaction intermediary option from the drop-down list. The list displays the following values: • **Unit Holder** • **Policy**

4.29 FCIS Bulk Clients Defaults - Policy Transaction - Summary

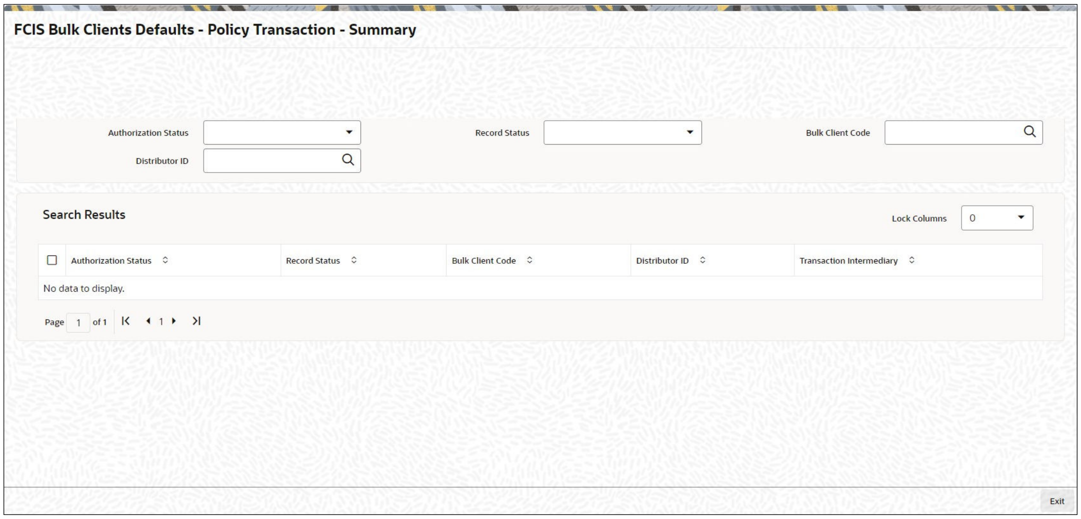
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - Policy Transaction Details

1. On **Home** screen, type **UTSBLKPT** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Policy Transaction - Summary** screen is displayed.

Figure 4-30 FCIS Bulk Clients Defaults - Policy Transaction - Summary



Lock Columns 0

No data to display.

2. On **FCIS Bulk Clients Defaults - Policy Transaction - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **Distributor ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - Policy Transaction Details
  This topic provides the systematic instructions to edit Bulk Clients Defaults - Policy Transaction record.
- View Bulk Clients Defaults - Policy Transaction Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Policy Transaction record.

- Delete Bulk Clients Defaults - Policy Transaction Details
  This topic provides the systematic instructions to view Bulk Clients Defaults - Policy Transaction record.
- Authorize Bulk Clients Defaults - Policy Transaction Details
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - Policy Transaction record.
- Amend Bulk Clients Defaults - Policy Transaction Details
  This topic provides the systematic instructions to amend Bulk Clients Defaults - Policy Transaction record.
- Authorize Amended Bulk Clients Defaults - Policy Transaction Details
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Policy Transaction record.

4.29.1 Edit Bulk Clients Defaults - Policy Transaction Details

This topic provides the systematic instructions to edit Bulk Clients Defaults - Policy Transaction record.

Modify the details of Bulk Clients Defaults - Policy Transaction details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - Policy Transaction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Policy Transaction - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - Policy Transaction - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - Policy Transaction - Summary** screen.

4.29.2 View Bulk Clients Defaults - Policy Transaction Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Policy Transaction record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - Policy Transaction - Summary**

1. Start the **FCIS Bulk Clients Defaults - Policy Transaction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Policy Transaction - Detail** screen is displayed.

4.29.3 Delete Bulk Clients Defaults - Policy Transaction Details

This topic provides the systematic instructions to view Bulk Clients Defaults - Policy Transaction record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - Policy Transaction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - Policy Transaction - Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.29.4 Authorize Bulk Clients Defaults - Policy Transaction Details

This topic provides the systematic instructions to authorize Bulk Clients Defaults - Policy Transaction record.

Authorize an unauthorized record in the system for it to be processed record as follows:

1. Start the **FCIS Bulk Clients Defaults - Policy Transaction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

The **FCIS Bulk Clients Defaults - Policy Transaction - Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

4.29.5 Amend Bulk Clients Defaults - Policy Transaction Details

This topic provides the systematic instructions to amend Bulk Clients Defaults - Policy Transaction record.

Modify the details of an authorized record using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **FCIS Bulk Clients Defaults - Policy Transaction - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - Policy Transaction - Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

4.29.6 Authorize Amended Bulk Clients Defaults - Policy Transaction Details

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - Policy Transaction record.

1. Authorize an amended Bulk Clients Defaults - Policy Transaction for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

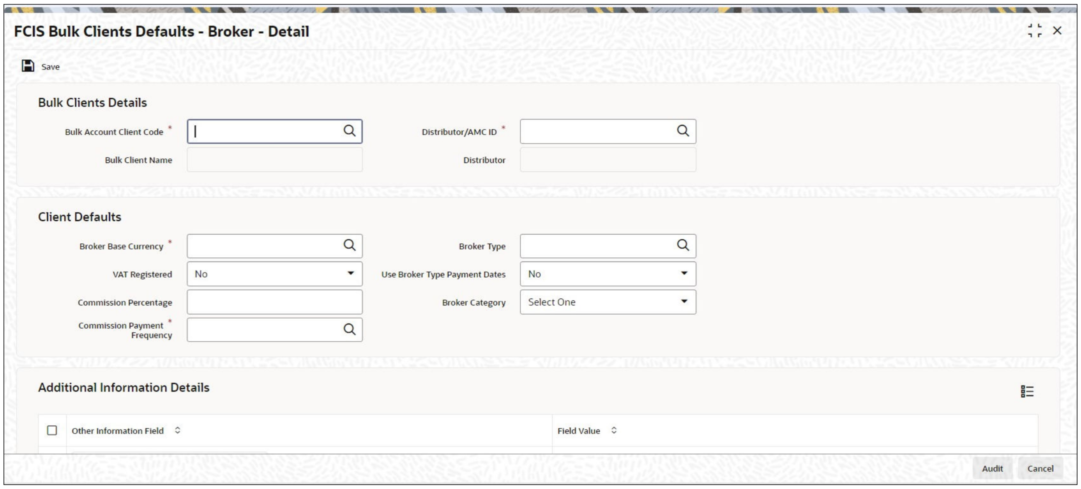
4.30 Process FCIS Bulk Clients Defaults - Broker - Detail

This topic provides the default information for broker.

1. On **Home** screen, type **UTDBLCBD** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - Broker - Detail** screen is displayed.

Figure 4-31 FCIS Bulk Clients Defaults - Broker - Detail



VAT Registered: No

Use Broker Type Payment Dates: No

Broker Category: Select One

2. You must maintain the following for Brokers import.
   - **Broker Base Currency**
   - **Commission Payment Frequency**
   - **Commission Percentage**
3. On **FCIS Bulk Clients Defaults - Broker - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-18 FCIS Bulk Clients Defaults - Broker - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the bulk client name for the selected bulk account client code.
AMC/Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the distributor ID.
Distributor	*Display* The system displays name of the distributor for the selected distributor ID.
Client Defaults	The section displays the following fields.
Broker Base Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the broker base currency code.
VAT Registered	*Optional* Select if VAT is registered or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Commission Percentage	*Numeric; 5 Characters; Mandatory* Specify the commission percentage.

Table 4-18 (Cont.) FCIS Bulk Clients Defaults - Broker - Detail - Field Description

Field	Description
Commission Payment Frequency	*Alphanumeric; 1 Character; Mandatory* Specify the commission payment frequency.
Broker Type	*Alphanumeric; 6 Characters; Optional* Specify the broker type.
Use Broker Type Payment Dates	*Optional* Select if broker type payment dates can be used or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Broker Category	*Optional* Select broker category from the drop-down list. The list displays the following values: • **Individual** • **Corporate**
Additional Information Details	The section displays the following fields.
Other Information Field	*Display* The system displays the mapped field against that function ID.
Field Value	*Display* The system displays the field value based on other information field.

4.31 FCIS Bulk Clients Defaults Broker Summary

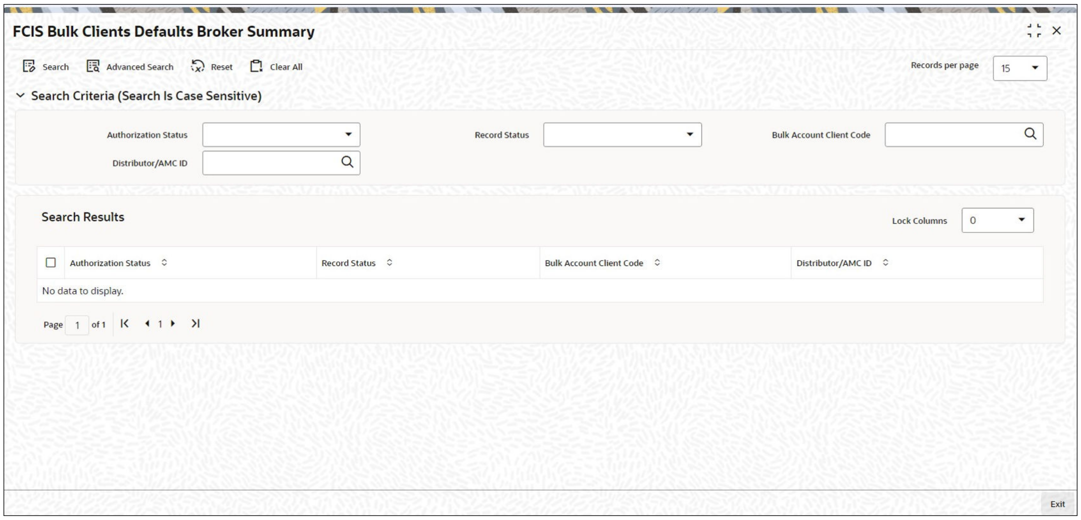
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve FCIS Bulk Clients Defaults Broker Record

1. On **Home** screen, type **UTSBLCBD** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults Broker Summary** screen is displayed.

Figure 4-32 FCIS Bulk Clients Defaults Broker Summary



2. On **FCIS Bulk Clients Defaults Broker Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **Distributor / AMC ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

- Edit FCIS Bulk Clients Defaults Broker Record
  This topic provides the systematic instructions to edit FCIS Bulk Clients Defaults Broker record.
- View FCIS Bulk Clients Defaults Broker Record
  This topic provides the systematic instructions to view FCIS Bulk Clients Defaults Broker record.
- Delete FCIS Bulk Clients Defaults Broker Record
  This topic provides the systematic instructions to delete FCIS Bulk Clients Defaults Broker record.
- Authorize FCIS Bulk Clients Defaults Broker Record
  This topic provides the systematic instructions to authorize FCIS Bulk Clients Defaults Broker record.
- Amend FCIS Bulk Clients Defaults Broker Record
  This topic provides the systematic instructions to amend FCIS Bulk Clients Defaults Broker record.
- Authorize Amended FCIS Bulk Clients Defaults Broker Record
  This topic provides the systematic instructions to authorize amended FCIS Bulk Clients Defaults Broker record.

4.31.1 Edit FCIS Bulk Clients Defaults Broker Record

This topic provides the systematic instructions to edit FCIS Bulk Clients Defaults Broker record.

Modify the details of FCIS Bulk Clients Defaults Broker Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults Broker Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults Broker Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults Broker Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults Broker Summary** screen.

4.31.2 View FCIS Bulk Clients Defaults Broker Record

This topic provides the systematic instructions to view FCIS Bulk Clients Defaults Broker record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults Broker Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults Broker Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults Broker Detail** screen is displayed.

4.31.3 Delete FCIS Bulk Clients Defaults Broker Record

This topic provides the systematic instructions to delete FCIS Bulk Clients Defaults Broker record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults Broker Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults Broker Detail** screen is displayed.
5. Select **Delete** operation from the Action list.

   The system prompts you to confirm the deletion and the record is physically deleted from the system database.

4.31.4 Authorize FCIS Bulk Clients Defaults Broker Record

This topic provides the systematic instructions to authorize FCIS Bulk Clients Defaults Broker record.

Authorize an unauthorized FCIS Bulk Clients Defaults Broker Record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults Broker Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **FCIS Bulk Clients Defaults Broker Detail** screen is displayed.
5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

4.31.5 Amend FCIS Bulk Clients Defaults Broker Record

This topic provides the systematic instructions to amend FCIS Bulk Clients Defaults Broker 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 Bulk Clients Defaults Broker Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults Broker Detail** screen is displayed.

5. Select **Unlock** operation from the Action List to amend the record.

6. Amend the necessary information and click **Save** to save the changes.

4.31.6 Authorize Amended FCIS Bulk Clients Defaults Broker Record

This topic provides the systematic instructions to authorize amended FCIS Bulk Clients Defaults Broker record.

1. Authorize an amended FCIS Bulk Clients Defaults Broker Record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

2. The subsequent process of authorization is the same as that for normal transactions.

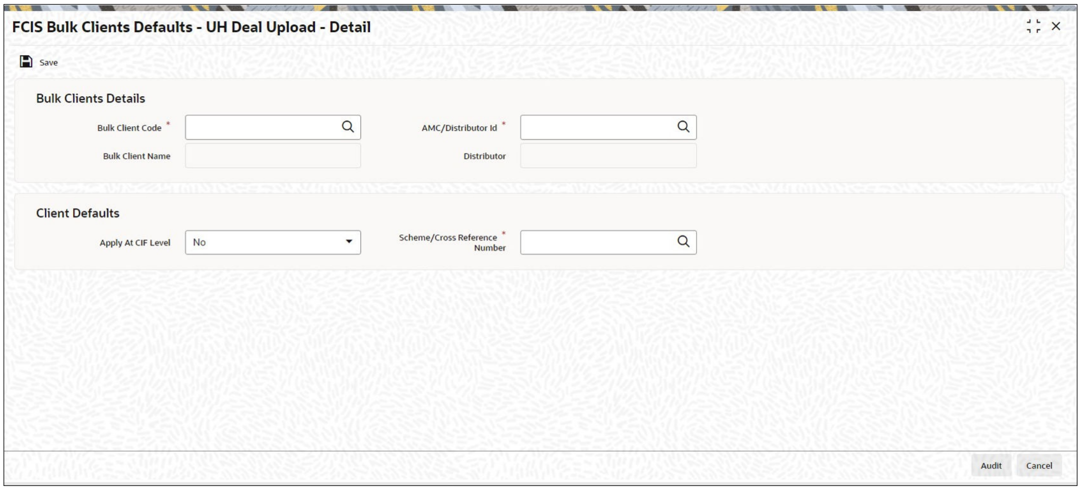
4.32 Process FCIS Bulk Clients Defaults - UH Deal Upload - Detail

This topic provides the default information for UH Deal upload.

1. On **Home** screen, type **UTDBLUHD** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - UH Deal Upload - Detail** screen is displayed.

Figure 4-33 FCIS Bulk Clients Defaults - UH Deal Upload - Detail



Apply At CIF Level: No

2. You must maintain the following for UH deal import.

   - **Scheme/ Cross Reference Number**

Only those fields in the header portion of the screen are discussed here. For the other fields, depending upon the upload type, you must refer the user manual files for the corresponding maintenance in the system.

3. On **FCIS Bulk Clients Defaults - UH Deal Upload - Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 4-19 FCIS Bulk Clients Defaults - UH Deal Upload - Detail - Field Description

Field	Description
Bulk Clients Details	The section displays the following fields.
Bulk Account Client Code	*Alphanumeric; 12 Characters; Mandatory* Specify the bulk account client code.
Bulk Client Name	*Display* The system displays the name of the selected bulk client code.
Distributor ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC or distributor ID.
Distributor	*Display* The system displays the name of the selected AMC or Distributor ID.
Client Defaults	The section displays the following fields.
Apply At CIF Level	*Optional* Select if UH deal has to be applied at CIF level or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Scheme/Cross Reference Number	*Alphanumeric; 12 Characters; Mandatory* Specify the scheme/cross reference number.

4.33 FCIS Bulk Clients Defaults - UH Deal Upload - Summary

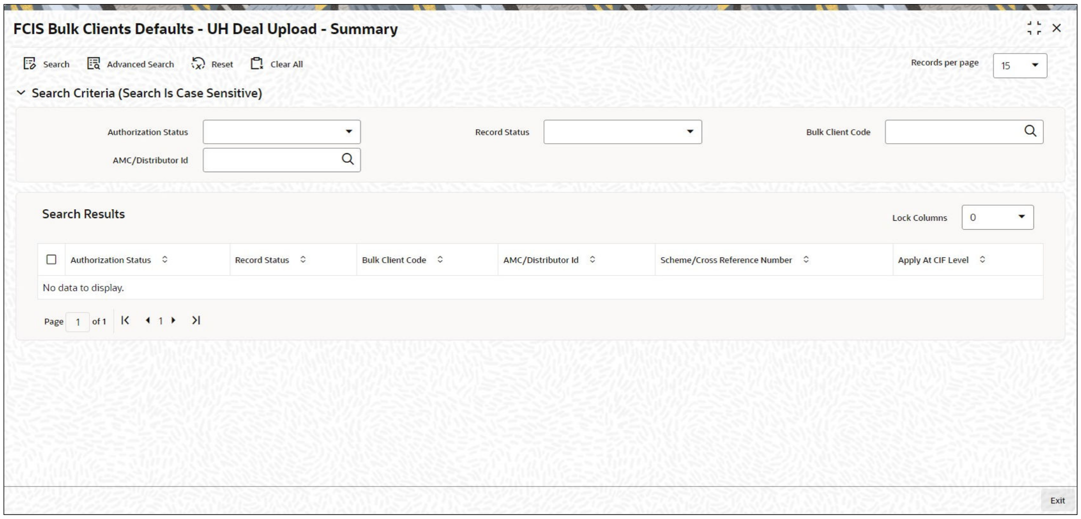
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Bulk Clients Defaults - UH Deal Upload Record

1. On **Home** screen, type **UTSBLUHD** in the text box, and click **Next**.

   The **FCIS Bulk Clients Defaults - UH Deal Upload - Summary** screen is displayed.

Figure 4-34 FCIS Bulk Clients Defaults - UH Deal Upload - Summary



2. On **FCIS Bulk Clients Defaults - UH Deal Upload - Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status** - If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Bulk Client Code**
   - **AMC / Distributor ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Bulk Clients Defaults - UH Deal Upload Record
  This topic provides the systematic instructions to edit Bulk Clients Defaults - UH Deal Upload record.
- View Bulk Clients Defaults - UH Deal Upload Record
  This topic provides the systematic instructions to view Bulk Clients Defaults - UH Deal Upload record.

- Delete Bulk Clients Defaults - UH Deal Upload Record
  This topic provides the systematic instructions to delete Bulk Clients Defaults - UH Deal Upload record.
- Authorize Bulk Clients Defaults - UH Deal Upload Record
  This topic provides the systematic instructions to authorize Bulk Clients Defaults - UH Deal Upload record.
- Amend Bulk Clients Defaults - UH Deal Upload Record
  This topic provides the systematic instructions to amend Bulk Clients Defaults - UH Deal Upload record.
- Authorize Amended Bulk Clients Defaults - UH Deal Upload Record
  This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - UH Deal Upload record.

4.33.1 Edit Bulk Clients Defaults - UH Deal Upload Record

This topic provides the systematic instructions to edit Bulk Clients Defaults - UH Deal Upload record.

Modify the details of Bulk Clients Defaults - UH Deal Upload record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - UH Deal Upload - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **FCIS Bulk Clients Defaults - UH Deal Upload - Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **FCIS Bulk Clients Defaults - UH Deal Upload - Detail** screen is closed and the changes made are reflected in the **FCIS Bulk Clients Defaults - UH Deal Upload - Summary** screen.

4.33.2 View Bulk Clients Defaults - UH Deal Upload Record

This topic provides the systematic instructions to view Bulk Clients Defaults - UH Deal Upload record.

View a record that you have previously input by retrieving the same in the **FCIS Bulk Clients Defaults - UH Deal Upload - Summary** screen. Perform this operation as follows:

1. Start the **FCIS Bulk Clients Defaults - UH Deal Upload - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **FCIS Bulk Clients Defaults - UH Deal Upload - Detail** screen is displayed.

4.33.3 Delete Bulk Clients Defaults - UH Deal Upload Record

This topic provides the systematic instructions to delete Bulk Clients Defaults - UH Deal Upload record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **FCIS Bulk Clients Defaults - UH Deal Upload - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **FCIS Bulk Clients Defaults - UH Deal Upload - 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.

4.33.4 Authorize Bulk Clients Defaults - UH Deal Upload Record

This topic provides the systematic instructions to authorize Bulk Clients Defaults - UH Deal Upload record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **FCIS Bulk Clients Defaults - UH Deal Upload - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

The **FCIS Bulk Clients Defaults - UH Deal Upload - 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.

4.33.5 Amend Bulk Clients Defaults - UH Deal Upload Record

This topic provides the systematic instructions to amend Bulk Clients Defaults - UH Deal Upload 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 Bulk Clients Defaults - UH Deal Upload - Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **FCIS Bulk Clients Defaults - UH Deal Upload - 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.

4.33.6 Authorize Amended Bulk Clients Defaults - UH Deal Upload Record

This topic provides the systematic instructions to authorize amended Bulk Clients Defaults - UH Deal Upload record.

1. Authorize an amended Bulk Clients Defaults - UH Deal Upload record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

5

Maintain Currencies

The **Oracle FLEXCUBE Investor Servicing** system provides the AMC with the facility of transacting with different currencies, maintaining different exchange rate sources and also capturing exchange rates.

The following menu options are available in the **Data Entry Menu Item** of the Fund Manager component to take care of these functions:

- Currency Maintenance
- Country Currency Maintenance
- Source Maintenance
- Exchange Rate Maintenance
- Currency Cutoff - Time Maintenance

- Process Currency Maintenance Detail
  This topic provides the systematic instructions to set up the currencies in the system.
- Currency Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Country Currency Maintenance Detail
  This topic provides the systematic instructions to set up the country-currency association.
- Country Currency Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Source Currency Pair Maintenance Detail
  This topic provides the systematic instructions to maintain exchange rate sources.
- Source Currency Pair Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Exchange Rate Maintenance Detail
  This topic provides the systematic instructions to capture exchange rates manually in the system.
- Exchange Rate Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Currency Cutoff Detail
  This topic provides the systematic instructions to capture cut off time for each currency that is maintained in the system.
- Currency Cutoff Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

5.1 Process Currency Maintenance Detail

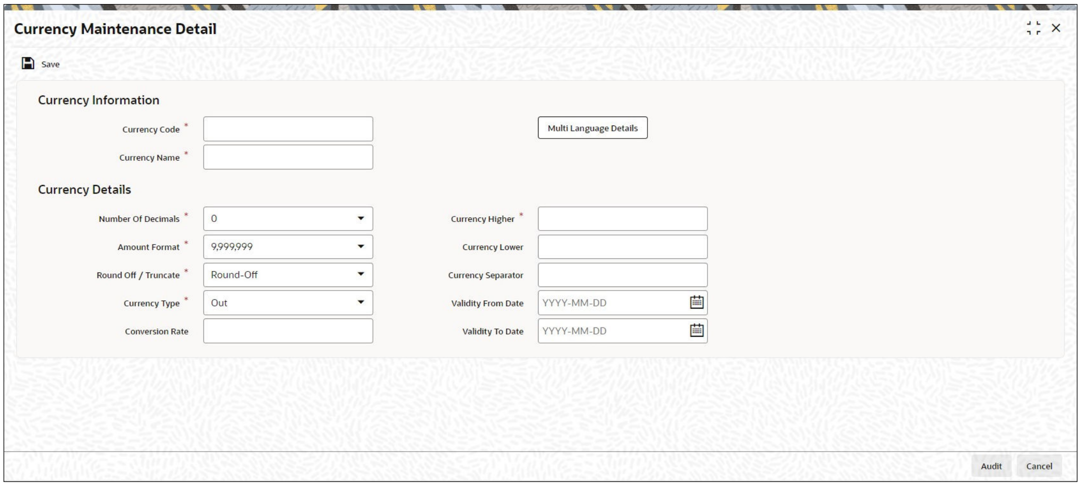
This topic provides the systematic instructions to set up the currencies in the system.

The different currencies that will be in use in the processing of transactions must be uniquely identified in the system and a profile maintained for each.

1. On **Home** screen, type **UTDCURMA** in the text box, and click **Next**.

   The **Currency Maintenance Detail** screen is displayed.

   Figure 5-1 Currency Maintenance Detail

   Number Of Decimals * 0

   Amount Format * 9,999,999

   Round Off / Truncate * Round-Off

   Currency Type * Out

   Validity From Date YYYY-MM-DD

   Validity To Date YYYY-MM-DD

2. You can maintain a profile for each currency that includes the following details.
   - The **Currency Type**. There are three types of currencies that you can maintain, and these are enumerated below in the discussion for the **Currency Type** field in this screen.
   - The currency separators
   - The fixed conversion rate for In currencies
   - The number of decimals for the currency
   - The round-off/ truncate setup for the currency
   - The amount formats
   - The validity period for In currencies
3. You must maintain the currency Euro with a profile of its own in the maintenance screen.

   After the **Euro Currency** has been defined and set up, no other currency can be designated to be of currency type Euro, which means that only one currency can be set up as a **Euro Currency** in the system.
4. On **Currency Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 5-1 Currency Maintenance Detail - Field Description

Field	Description
Currency Information	The section displays the following fields.
Currency Code	*Alphanumeric; 3 Characters; Mandatory* Specify a unique 3-character code for the currency that is being maintained in this record.
Currency Name	*Alphanumeric; 35 Characters; Mandatory* Specify a unique name for the currency that is being maintained in this record.
Currency Details	The section displays the following fields.
Number of Decimals	*Mandatory* Select the number of decimals to be displayed and considered in the amount formats for the currency from the drop-down list. The list displays the following values: • **0** • **1** • **2** • **3** This value is used by the system to determine the relationship between the Higher and Lower Currencies. For example, let us suppose that the number of decimals specified is **2**. This would mean that 100 units of the Lower Currency must be considered as equivalent to one unit of the Higher Currency. Similarly, if the number of decimals specified is **3**, 1000 units of the Lower Currency must be considered as equivalent to one unit of the Higher Currency.
Amount Format	*Mandatory* Select the format in which amounts in this currency must appear either Millions or Crores.
Round-Off/Truncate	*Mandatory* Indicate whether the currency format is to be rounded off or truncated.
Currency Type	*Mandatory* Select the type of currency that is being maintained in this record from the drop-down list. This could be any of the following 3 types: • **Out Currency:** Select this option to maintain a currency that will be not subsumed into the **Euro Currency** and will always have an exchange rate against the Euro. Therefore, no validity periods or fixed conversion rates will need to be captured for this currency, and none of the restrictions that apply to In currencies will be applicable. Once a currency is designated as an **Out Currency**, it can later be designated as an **In Currency** on editing its record profile in this screen. • **In Currency:** Select this option to maintain a currency that will be subsumed by the **Euro Currency** as a matter of course. For such currencies, the validity period must be captured, as well as the fixed conversion rate against the Euro. Once a currency is designated to be an **In Currency**, it cannot later be designated to be an **Out Currency.** • **Euro Currency:** Select this option to maintain the **Euro Currency** in this screen. This is typically an initial setup that will not be changed later on. Once the **Euro Currency** is maintained by choosing this option, it is disabled and no other currency can be designated as **Euro Currency**.

Table 5-1 (Cont.) Currency Maintenance Detail - Field Description

Field	Description
Conversion Rate	*Numeric; 6 Characters; Optional* Specify the fixed conversion rate that will apply for this currency against the **Euro Currency**. This will be used in processing transactions that will use this currency.
Currency Higher	*Alphanumeric; 15 Characters; Mandatory* Specify the actual currency for example the US Dollar
Currency Lower	*Alphanumeric; 15 Characters; Optional* Express the currency specified above in its lower denomination for example Cents if the higher currency is USD.
Currency Separator	*Alphanumeric; 15 Characters; Optional* You can maintain the separator details for the currencies. The **Currency Higher** must be specified because it is mandatory, but if the number of decimals has been specified as zero, the **Currency Lower** and the **Currency Separator** details need not be specified.
Validity From and To Dates	*Date Format; Conditional Mandatory* Specify the date range that represents the validity period for this In Currency. During this validity period, the currency will be used as a physical currency, but the conversion rates will apply. At the end of this period, this currency will cease to exist and will be subsumed by the **Euro Currency**. These dates may be altered on editing the record. The **Validity From Date** must not be earlier than application date of the system. The **Validity To Date** is defaulted to a date 3 years later than the specified **Validity From Date**. This can be altered, but it must always be later than the **Validity From Date**, and must not be earlier than the application date of the system.

5. Click **Multi Language Details** button to access the **Multi Language Details** screen.

   The system displays the following values:

   - **Currency code**
   - **Currency Name**
   - **Language Code**
   - **Language Name**

Refer topic *Maintaining Reference Information* in **FCIS** system for information about Multiple language support.

5.2 Currency Maintenance Summary

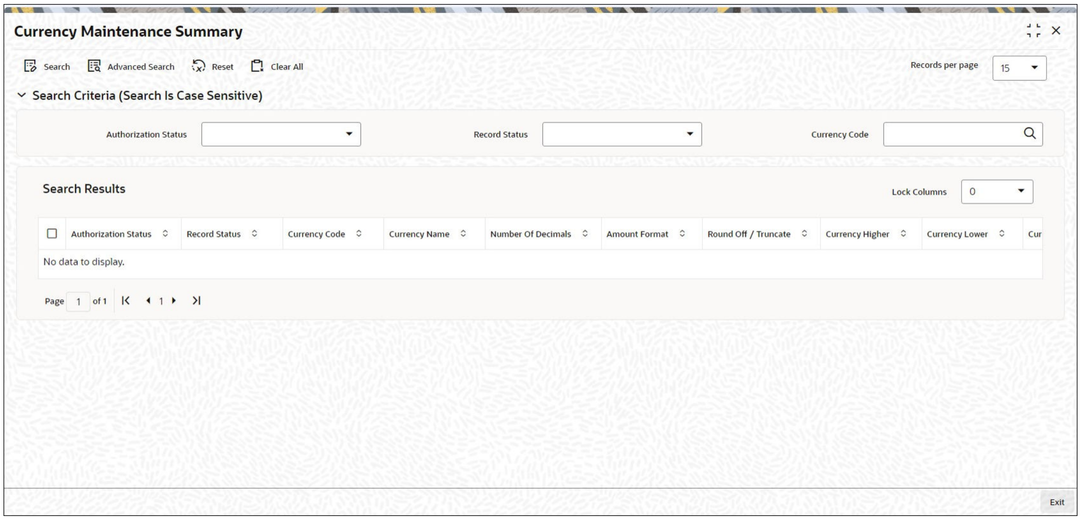
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Currency Record

1. On **Home** screen, type **UTSCURMA** in the text box, and click **Next**.

   The **Currency Maintenance Summary** screen is displayed.

Figure 5-2 Currency Maintenance Summary



Records per page 15

Lock Columns 0

No data to display.

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2. On **Currency 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**
   - **Currency Code**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. You must have another user to authorize after you have set up a currency, so that it would be effective in the system.

   An unauthorized currency cannot be associated with any entity in the system.
5. You can edit the details as many times as necessary before the currency is authorized. You can also delete it before it is authorized.
6. You can only make changes to any of the details through an amendment after authorization, except in the following circumstances:
   - The currency selected for deletion is in use as a source reference currency for an exchange rate source in the system.
   - There is at least one fund bank account maintained in this currency in the system.

    - There is at least one unit holder bank account maintained in this currency in the system.
    - The currency selected for deletion has already been associated with a country in the Country Currency Maintenance.

7. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

   You can search the record for Currency Record ID by using the combination of % and alphanumeric value as follows:

    - Search by Z%: The system will fetch all the records whose currency code starts from Alphabet ‘Z’. For example, ZAR.

- Edit Currency Record
  This topic provides the systematic instructions to edit Currency record.
- View Currency Record
  This topic provides the systematic instructions to view Currency record.
- Delete Currency Record
  This topic provides the systematic instructions to delete Currency record.
- Authorize Currency Record
  This topic provides the systematic instructions to authorize Currency record.
- Amend Currency Record
  This topic provides the systematic instructions to amend Currency record.
- Authorize Amended Currency Record
  This topic provides the systematic instructions to authorize amended Currency record.
- Copy Attributes
  This topic provides the systematic instructions to copy attributes of Currency records.

5.2.1 Edit Currency Record

This topic provides the systematic instructions to edit Currency record.

Modify the details of Currency Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Currency 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 **Currency Maintenance Detail** screen is closed and the changes made are reflected in the **Currency Maintenance Summary** screen.

5.2.2 View Currency Record

This topic provides the systematic instructions to view Currency record.

View a record that you have previously input by retrieving the same in the **Currency Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Currency Maintenance Detail** screen is displayed.

5.2.3 Delete Currency Record

This topic provides the systematic instructions to delete Currency record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Currency 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.

5.2.4 Authorize Currency Record

This topic provides the systematic instructions to authorize Currency record.

Authorize an unauthorized Currency Record in the system for it to be processed as follows:

1. Start the **Currency Maintenance Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Currency 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.

5.2.5 Amend Currency Record

This topic provides the systematic instructions to amend Currency 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 **Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Currency 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.

5.2.6 Authorize Amended Currency Record

This topic provides the systematic instructions to authorize amended Currency record.

1. Authorize an amended Currency Record for the amendment to be made effective in the system.
2. The process of subsequent authorization is the same as that for normal transactions.

5.2.7 Copy Attributes

This topic provides the systematic instructions to copy attributes of Currency records.

1. Click **Copy** to create a new **Currency Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Currency 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 **Currency Record**. You can, however, change the details of the new record.

5.3 Process Country Currency Maintenance Detail

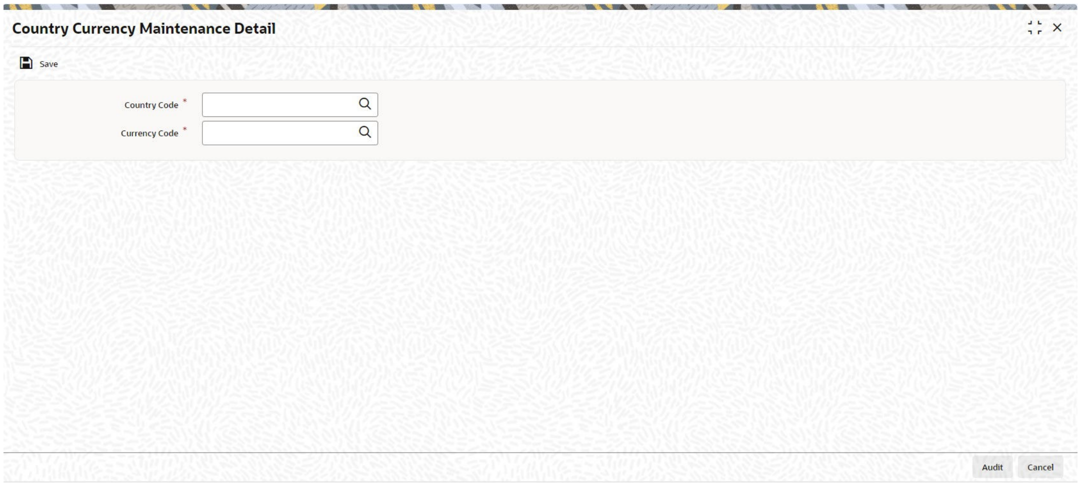
This topic provides the systematic instructions to set up the country-currency association.

The countries maintained in the system must be associated with their respective currencies. This association is used in the Fund Rules setup for a fund, where the base currency of the fund may be defaulted to the currency associated with the country of domicile of the fund.

1. On **Home** screen, type **UTDCONCU** in the text box, and click **Next**.

   The **Country Currency Maintenance Detail** screen is displayed.

Figure 5-3 Country Currency Maintenance Detail



2. Before you associate a country with its currency, it is desirable to ensure that the following information is already setup in the system:
   - The countries that must be associated with their currencies must be set up in the system in the Country Maintenance.
   - The currencies must also be set up in the system in the Currency Maintenance.
3. On **Country Currency Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 5-2 Country Currency Maintenance Detail - Field Description

Field	Description
Country Code	*Alphanumeric; 3 Characters; Mandatory* Select the country that must be associated with its currency, from the list provided. A country can be associated with only one currency in the system.
Currency Code	*Alphanumeric; 3 Characters; Mandatory* Select the currency that must be associated with the selected country.

5.4 Country Currency Maintenance Summary

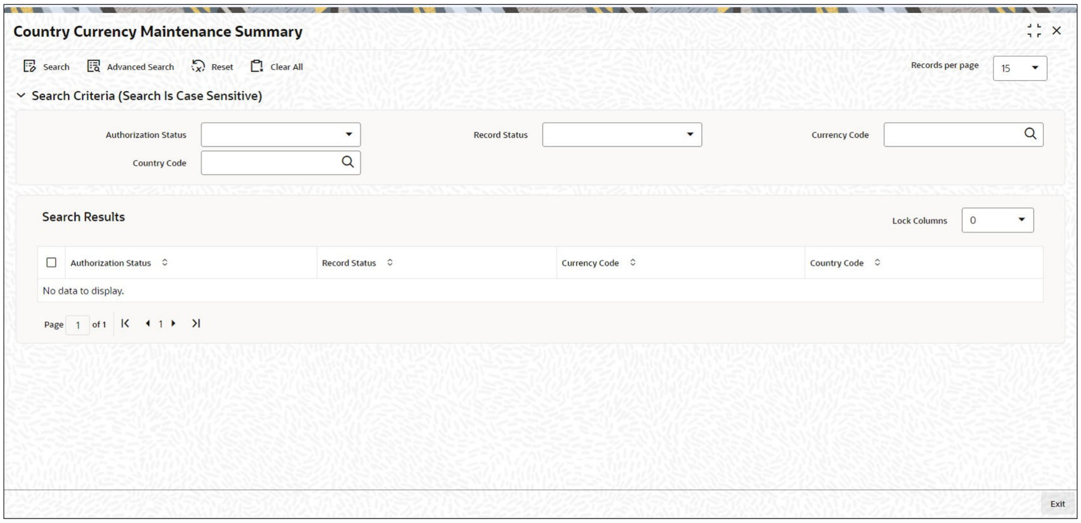
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Country Currency Association Details

1. On **Home** screen, type **UTSCONCU** in the text box, and click **Next**.

   The **Country Currency Maintenance Summary** screen is displayed.

   Figure 5-4 Country Currency Maintenance Summary

2. You must have another user authorize the mapping after you have mapped a country to a currency. An unauthorized mapping cannot be used in the system.
3. You can edit it as many times as necessary before a Country Currency Maintenance association is authorized. An unauthorized Country Currency Maintenance mapping can also be deleted.
4. You can only make changes to any of the details through an amendment after authorization, except in the following circumstances:
   - The Country Currency Maintenance record has not been used in a unit holder account as the domicile or preferred currency.
   - The Country Currency Maintenance record is not in use as a base currency for an entity, broker, agency branch or fund.
   - The currency that is part of the record is not in use as a source reference currency for an exchange rate source in the system.
   - There is not even a single fund bank account maintained in this currency
   - There is not even a single unit holder bank account maintained in this currency.

   If any of these conditions is true, the Country Currency Maintenance association record cannot be changed through an amendment.
5. On **Country Currency 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**
   - **Country Code**
   - **Currency Code**
6. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

- Edit Country Currency Association Details
  This topic provides the systematic instructions to edit Country Currency Association record.
- View Country Currency Association Details
  This topic provides the systematic instructions to view Country Currency Association record.
- Delete Country Currency Association Details
  This topic provides the systematic instructions to delete Country Currency Association record.
- Authorize Country Currency Association Details
  This topic provides the systematic instructions to authorize Country Currency Association record.
- Amend Country Currency Association Details
  This topic provides the systematic instructions to amend Country Currency Association record.
- Authorize Amended Country Currency Association Details
  This topic provides the systematic instructions to authorize amended Country Currency Association record.

5.4.1 Edit Country Currency Association Details

This topic provides the systematic instructions to edit Country Currency Association record.

Modify the details of Country Currency Association details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Country Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Country Currency 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 **Country Currency Maintenance Detail** screen is closed and the changes made are reflected in the **Country Currency Maintenance Summary** screen.

5.4.2 View Country Currency Association Details

This topic provides the systematic instructions to view Country Currency Association record.

View a record that you have previously input by retrieving the same in the **Country Currency Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Country Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Country Currency Maintenance Detail** screen is displayed.

5.4.3 Delete Country Currency Association Details

This topic provides the systematic instructions to delete Country Currency Association record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Country Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

The **Country Currency 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.

5.4.4 Authorize Country Currency Association Details

This topic provides the systematic instructions to authorize Country Currency Association record.

Authorize an unauthorized Country Currency Association details in the system for it to be processed as follows:

1. Start the **Country Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Country Currency 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.

5.4.5 Amend Country Currency Association Details

This topic provides the systematic instructions to amend Country Currency Association 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 **Country Currency Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Country Currency 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.

5.4.6 Authorize Amended Country Currency Association Details

This topic provides the systematic instructions to authorize amended Country Currency Association record.

1. Authorize an amended Country Currency Maintenance Association details for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

5.5 Process Source Currency Pair Maintenance Detail

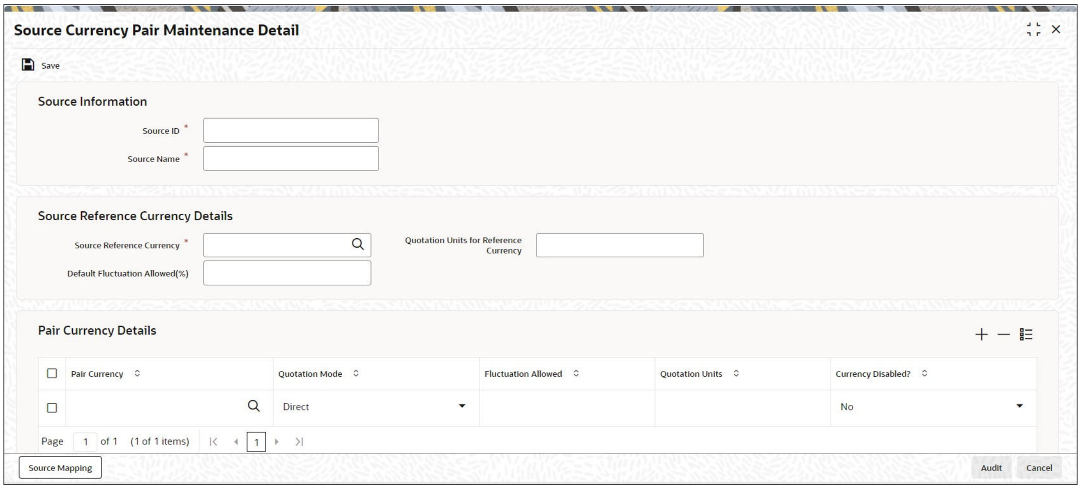
This topic provides the systematic instructions to maintain exchange rate sources.

All sources that will be used to derive prevailing exchange rates between any two currencies must be identified in the system, with a unique identification and a profile.

1. On **Home** screen, type **UTDSORCE** in the text box, and click **Next**.

   The **Source Currency Pair Maintenance Detail** screen is displayed.

Figure 5-5 Source Currency Pair Maintenance Detail


Source Currency Pair Maintenance Detail
Save
Source Information
Source ID *
Source Name *
Source Reference Currency Details
Source Reference Currency *
Quotation Units for Reference Currency
Default Fluctuation Allowed(%)
Pair Currency Details
Pair Currency
Quotation Mode
Fluctuation Allowed
Quotation Units
Currency Disabled?
Direct
No
Page 1 of 1 (1 of 1 items)
1
Source Mapping
Audit
Cancel

2. The profile for each source will consist of the following details:
   - The unique ID and the name of the source
   - The reference currency associated with this source, against which exchange rates for all other currencies will be derived.
   - The default fluctuation percentage that is admissible for this source. Exchange Rates derived from this source can be overridden only within this percentage range.
   - Units of quotation for the source reference currency, which will be used for the direct rates.
   - The pair currencies for which the exchange rates will be captured against the reference currency. This setup can be maintained in the **Pair Currencies Details** section of the **Source Currency Pair Maintenance Detail** screen and is discussed later on this topic.
3. Before you maintain an exchange rate source in this screen, it is desirable to ensure that the currencies must be set up in the system in the Currency Maintenance.
4. On **Source Currency Pair Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 5-3 Source Currency Pair Maintenance Detail - Field Description

Field	Description
Source Information Section	The section displays the following fields.
Source ID	*Alphanumeric; 6 Characters; Mandatory* Specify a unique identification for the Source that is to be maintained.
Source Name	*Alphanumeric; 60 Characters; Mandatory* Specify the name of the Source that is to be maintained.
Source Reference Currency Details	The section displays the following fields.
Source Reference Currency	*Alphanumeric; 3 Characters; Mandatory* Select the currency that is to be designated as the reference currency for this source. This is the currency in which the rates are to be maintained for the other currencies. An **In Currency** can be designated as the reference currency for a Source only if the validity period (transition period) for the currency has not commenced. At that point when the validity period commences, exchange rates can no longer be captured for this Source. The reference currency is defaulted once you select the Source.
Default Fluctuation Allowed (%)	*Numeric; 5 Characters; Mandatory* Specify the default percentage by which the exchange rates can be overridden or within which they can be allowed to fluctuate.
Quotation Units for Reference Currency	*Alphanumeric; 27 Characters; Mandatory* Specify the units of quotation that must be used for direct rates for the reference currency.
Pair Currency Details Section	Before you set up the pair currencies for a source, it is desirable to ensure that the following information is already setup in the system: • The source for which the currency pair setup must be maintained has already been set up in the Source Maintenance. • The currencies have already been maintained in the Currency Maintenance.
Pair Currency	*Alphanumeric; 3 Characters; Mandatory* Select the currency that must be set up as a pair currency for the source, from the drop-down list. An **In Currency** can be designated as a **Pair Currency** for a particular reference currency only if the validity period (transition period) for the currency has not commenced. At that point when the validity period commences, no exchange rates can be maintained for this currency. The **Pair Currency** is already set up for the source; you have to only select the pair currency for which exchange rate needs to be maintained
Quotation Mode	*Mandatory* Select the mode of quotation that will be used to derive the exchange rate for this currency pair from the drop-down list. It could be a direct or an indirect quote.
Fluctuation Allowed	*Numeric; 5 Characters; Mandatory* Specify the default percentage by which the exchange rates can be overridden or within which they can be allowed to fluctuate for this currency pair. This is defaulted to the value specified in the Source Maintenance record for this source, but it can be altered at this stage.

Table 5-3 (Cont.) Source Currency Pair Maintenance Detail - Field Description

Field	Description
Quotation Units	*Numeric; 5 Characters; Mandatory* Specify the units of quotation that must be used in direct rates for this currency pair. This is defaulted to the units specified in the Source Maintenance record for this source. If the mode of quotation specified for the pair is direct, then the default value cannot be altered. If the mode is indirect, then the default value may be altered.
Currency Disabled?	*Mandatory* Select `Yes` option if currency is disabled from the drop-down list. Else select `No`.

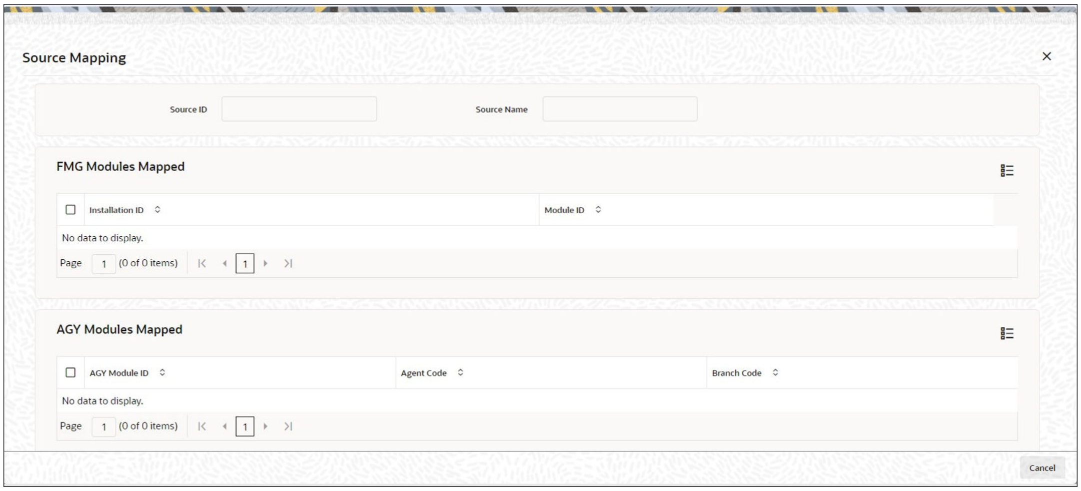
Source Mapping

It displays the lists of FMG and Agency branch modules mapped to the Exchange Rate source.

5. Click **Source Mapping** to view the mapped FMG and AGY Modules.

   The **Source Mapping** screen is displayed.

Figure 5-6 Source Currency Pair Maintenance Detail_Source Mapping Button



6. On **Source Mapping** screen, specify the fields.

   For more information on fields, refer to the field description table.

Table 5-4 Source Mapping - Field Description

Field	Description
Source Mapping	*Display* • **Source ID** • **Source Name**
Source ID	*Display* The system displays the specified Source ID.
Source Name	*Display* The system displays the specified source Name.

Table 5-4 (Cont.) Source Mapping - Field Description

Field	Description
FMG Module Mapped	The system displays the mapped FMG Module with following fields. • **Installation ID** • **Module ID**
Installation ID	*Display* The system displays the Installation ID.
Module ID	*Display* The system displays the Module ID.
AGY Module Mapped	The system displays the mapped AGY Module with following fields. • **AGY Module ID** • **Agent Code** • **Branch Code**
AGY Module ID	*Display* The system displays the AGY Module ID.
Agent Code	*Display* The system displays the agent code.
Branch Code	*Display* The system displays the branch code.

5.6 Source Currency Pair Maintenance Summary

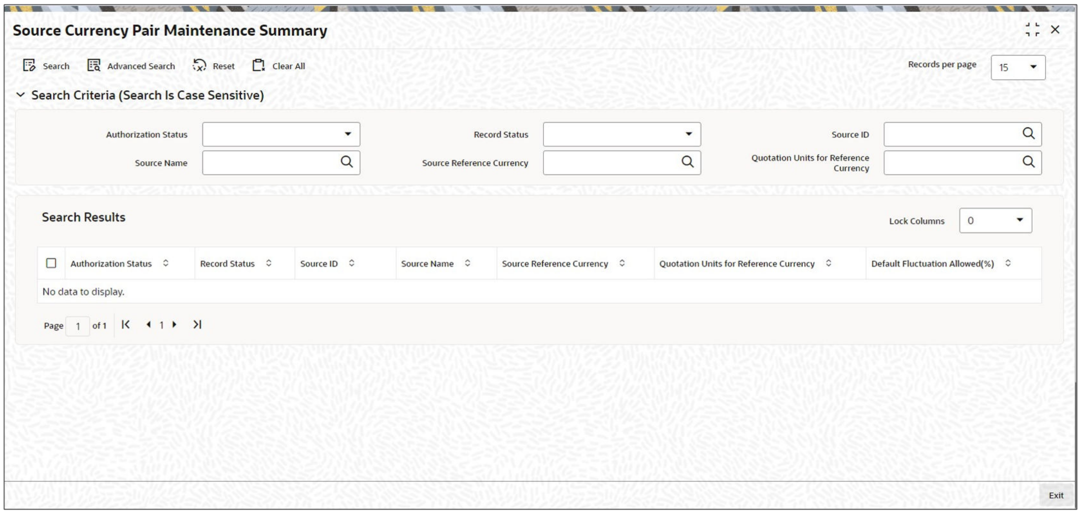
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Source Currency Pair Record

1. On **Home** screen, type **UTSSORCE** in the text box, and click **Next.**

   The **Source Currency Pair Maintenance Summary** screen is displayed.

Figure 5-7 Source Currency Pair Maintenance Summary


Source Currency Pair Maintenance Summary
Search
Advanced Search
Reset
Clear All
Search Criteria (Search Is Case Sensitive)
Authorization Status
Record Status
Source ID
Source Name
Source Reference Currency
Quotation Units for Reference Currency
Search Results
Page 1 of 1
Exit

Records per page 15

Lock Columns 0

☐	Authorization Status	Record Status	Source ID	Source Name	Source Reference Currency	Quotation Units for Reference Currency	Default Fluctuation Allowed(%)
No data to display.							

2. On **Source Currency Pair 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**
- **Source ID**
- **Source Name**
- **Source Reference Currency**
- **Quotation Units for Reference Currency**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. You must have another user authorize it so that it would be effective in the system after you have set up an exchange rate source. Exchange rates for an unauthorized source will not be used in the system.
5. You can edit its details as many times as necessary before the exchange rate source with its associated pair currencies is authorized. You can also delete it before it is authorized.
6. You can only make changes to any of the details through an amendment after authorization, except in the following circumstances:
   - It has been specified as the default source for the AMC in the Defaults Maintenance.
   - Exchange Rates have been captured for the source
   - The currency combination selected for amendment is in use as a fund base currency - transaction currency combination for any one fund in the system.
   - The currency combination selected for deletion is being used to arrive at a derived rate between two currencies that do not form part of a currency pair for a source.
7. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

   You can search the record for Source ID by using the combination of % and alphanumeric value as follows:

   - Search by R%: The system will fetch all the records whose Source ID starts from Alphabet ‘R’. For example, Reuters.

- Edit Source Currency Pair Record
  This topic provides the systematic instructions to edit Source Currency Pair record.
- View Source Currency Pair Record
  This topic provides the systematic instructions to view Source Currency Pair record.

- Delete Source Currency Pair Record
  This topic provides the systematic instructions to delete Source Currency Pair record.
- Authorize Source Currency Pair Record
  This topic provides the systematic instructions to authorize Source Currency Pair record.
- Amend Source Currency Pair Record
  This topic provides the systematic instructions to amend Source Currency Pair record.
- Authorize Amended Source Currency Pair Record
  This topic provides the systematic instructions to authorize amended Source Currency Pair record.
- Copy Attributes of Source Currency Pairs
  This topic provides the systematic instructions to copy attributes of Source Currency Pairs.

5.6.1 Edit Source Currency Pair Record

This topic provides the systematic instructions to edit Source Currency Pair record.

Modify the details of Source Currency Pair record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Source Currency Pair Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Source Currency Pair 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 **Source Currency Pair Maintenance Detail** screen is closed and the changes made are reflected in the **Source Currency Pair Maintenance Summary** screen.

5.6.2 View Source Currency Pair Record

This topic provides the systematic instructions to view Source Currency Pair record.

View a record that you have previously input by retrieving the same in the **Source Currency Pair Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Source Currency Pair Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Source Currency Pair Maintenance Detail** screen is displayed.

5.6.3 Delete Source Currency Pair Record

This topic provides the systematic instructions to delete Source Currency Pair record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Source Currency Pair Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Source Currency Pair 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.

5.6.4 Authorize Source Currency Pair Record

This topic provides the systematic instructions to authorize Source Currency Pair record.

Authorize an unauthorized Source Currency Pair record in the system for it to be processed as follows:

1. Start the **Source Currency Pair Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Source Currency Pair 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.

5.6.5 Amend Source Currency Pair Record

This topic provides the systematic instructions to amend Source Currency Pair 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 **Source Currency Pair Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Source Currency Pair 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.

5.6.6 Authorize Amended Source Currency Pair Record

This topic provides the systematic instructions to authorize amended Source Currency Pair record.

1. Authorize an amended Source Currency Pair record for the amendment to be made effective in the system.
2. The process of subsequent authorization is the same as that for normal transactions.

5.6.7 Copy Attributes of Source Currency Pairs

This topic provides the systematic instructions to copy attributes of Source Currency Pairs.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new **Source Currency Pair Record** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new payment 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 **Source Currency Pair Record**. You can, however, change the details of the new record.

5.7 Process Exchange Rate Maintenance Detail

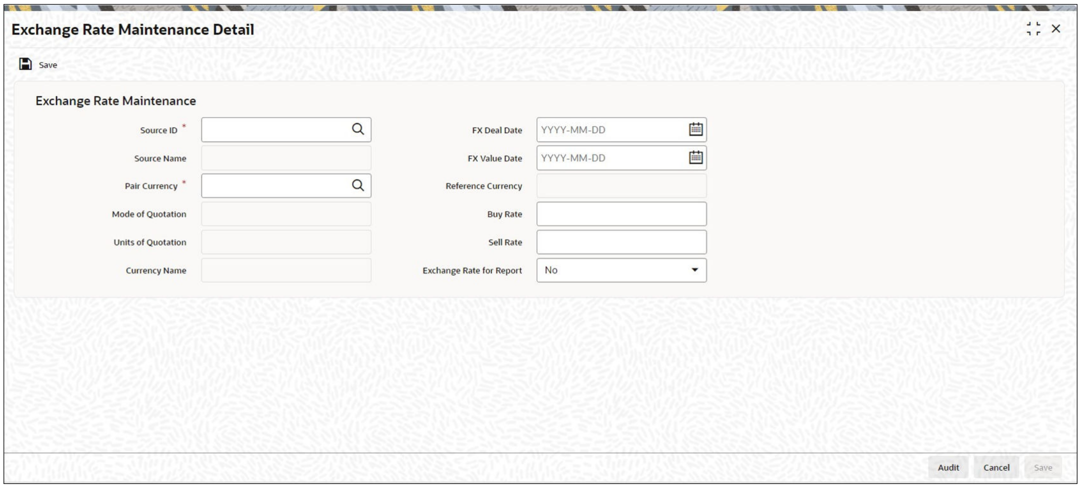
This topic provides the systematic instructions to capture exchange rates manually in the system.

Exchange rates must be captured manually in the system. Use **Exchange Rate Maintenance Detail** screen to enter exchange rates.

1. On **Home** screen, type **UTDEXCRM** in the text box, and click **Next**.

   The **Exchange Rate Maintenance Detail** screen is displayed.

   Figure 5-8 Exchange Rate Maintenance Detail

2. Enter exchange rates for each currency pair that is maintained for an exchange rate source maintained in the system.
3. Exchange rates can be entered as many times during the course of a working business day, and are effective as and when they are entered. No authorization is necessary.
4. Enter a buy rate and sell rate for each currency pair that is maintained for a source.
5. Before you capture an exchange rate for a currency pair in a source, it is desirable to ensure that the following information is already setup in the system:
   - The different exchange rate sources must be set up in the system in the Source Maintenance.
   - The different currency pairs must be set up for the exchange rate sources, in the Currency Pair Setup maintenance.
6. On **Exchange Rate Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 5-5   Exchange Rate Maintenance Detail - Field Description

Field	Description
Source ID	*Alphanumeric; 6 Characters; Mandatory* Specify the **Source ID** of the source for which the exchange rates are being entered. When the selected **Source ID** is populated in this field, the following fields are populated with the corresponding details of the source, from the Source Maintenance record for the source: • The **Source Name** • The Source Reference Currency • The different Pair Currencies that have been maintained for the source • The **Mode of Quotation** specified for each currency pair that has been maintained for the source. • The **Units of Quotation** for the reference currency that have been maintained for each currency pair.
Source Name	*Display* The system displays the source name for the selected source ID.
Pair Currency	*Alphanumeric; 3 Characters; Mandatory* Select the currency that must be set up as a pair currency for the source.
Mode of Quotation	*Display* The system displays the mode of quotation that will be used to derive the exchange rate for this currency pair. It could be a direct or an indirect quote.
Units of Quotation	*Display* The system displays the units of quotation that must be used in direct rates for this currency pair. This is defaulted to the units specified in the Source Maintenance record for this source.
Currency Name	*Display* The system displays currency name here.
FX Deal Date	*Date Format; Mandatory* Specify the deal date for the currency pair. This date cannot be earlier or later than the application date.
FX Value Date	*Date Format, Mandatory* Specify the date on which the exchange rates must be effective. This date cannot be lesser than the date specified as the **FX Deal Date**, Additionally, you can enter a future date as the **FX Value Date** only if you have set the **Exchange Rate for Report** as `No`. The exchange rates may be captured any number of times during a business day. Each exchange rate is given a serial number in the system, and the entry bearing the latest number is deemed to be the latest rate that will be effective. **Note:** The system will allow input in the **FX Value Date** and **FX Value Date** fields only if the client country parameter **FORWARD_FX_RATE** is set to `true`. If this parameter is set to `false`, then the system will allow only the application date as valid values in both these fields.
Reference Currency	*Display* The system displays the currency that is to be designated as the reference currency for this source. This is the currency in which the rates are to be maintained for the other currencies.

Table 5-5 (Cont.) Exchange Rate Maintenance Detail - Field Description

Field	Description
Buy Rate	*Numeric; 21 Characters; Mandatory* Select `Yes` option if currency is disabled from the drop-down list. Else select `No`.
Sell Rate	*Numeric; 21 Characters; Mandatory* Specify the sell rate for the pair currency. This rate must always be greater than zero and greater than the buy rate.
Exchange Rate for Report	*Optional* You can indicate whether multiple exchange rates for a date in the past are allowed. The system will use only those exchange rates where this option is not checked for calculation purposes in various batch processes of **FCIS**.

5.8 Exchange Rate Maintenance Summary

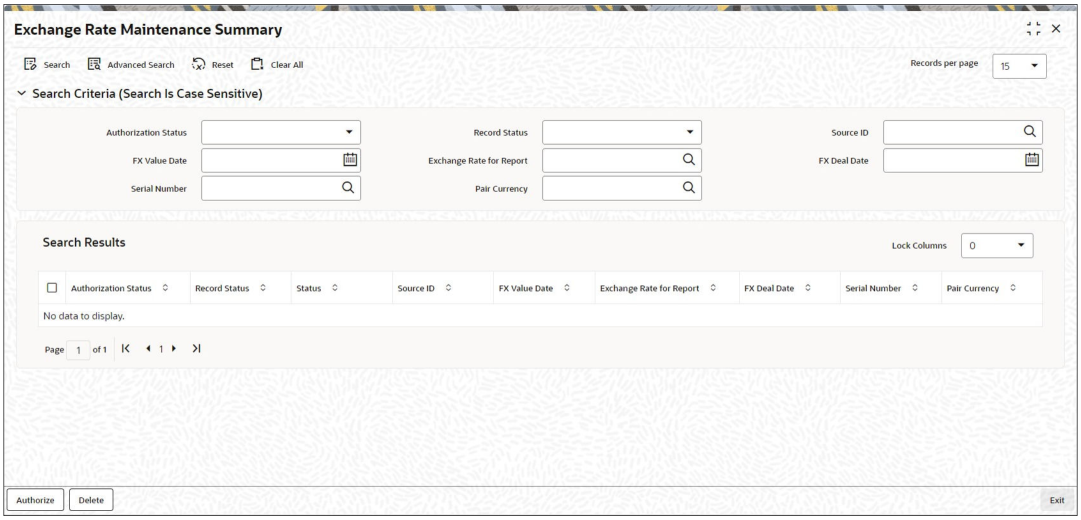
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Exchange Rate Record

1. On **Home** screen, type **UTSEXCRM** in the text box, and click **Next**.

   The **Exchange Rate Maintenance Summary** screen is displayed.

Figure 5-9 Exchange Rate Maintenance Summary



2. On **Exchange Rate 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**
   - **Source ID**

   - **Exchange Rate for Report**
   - **Serial Number**
   - **FX Value Date**
   - **FX Deal Date**
   - **Pair Currency**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. You must have another user authorize it so that it would be effective in the system after you have entered an exchange rate. An unauthorized exchange rate will not be picked up for processing in the system.
5. You can edit only on the latest exchange rate entered. Deletion of an exchange rate that has not been used in the system is possible.
6. You can only make changes to any of the details through an amendment after authorization, except in the following circumstances:
   - The most recent exchange rate (or the latest rate) that has been entered and authorized can be amended, but if this rate has already been used in processing, then amendment is not possible.
7. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

   You can search the record for Source ID by using the combination of % and alphanumeric value as follows:

   - Search by R%: The system will fetch all the records whose Source ID starts from Alphabet ‘R’. For example, Reuters.

- Edit Exchange Rate Record
  This topic provides the systematic instructions to edit Exchange Rate record.
- View Exchange Rate Record
  This topic provides the systematic instructions to view Exchange Rate record.
- Delete Exchange Rate Record
  This topic provides the systematic instructions to delete Exchange Rate record.
- Authorize Exchange Rate Record
  This topic provides the systematic instructions to authorize Exchange Rate record.
- Amend Exchange Rate Record
  This topic provides the systematic instructions to amend Exchange Rate record.

- Authorize Amended Exchange Rate Record
  This topic provides the systematic instructions to authorize amended Exchange Rate record.
- Copy Attributes of Exchange Rates
  This topic provides the systematic instructions to copy attributes of Exchange Rates.

5.8.1 Edit Exchange Rate Record

This topic provides the systematic instructions to edit Exchange Rate record.

Modify the details of Exchange Rate Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Exchange Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Exchange Rate 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 **Exchange Rate Maintenance Detail** screen is closed and the changes made are reflected in the **Exchange Rate Maintenance Summary** screen.

5.8.2 View Exchange Rate Record

This topic provides the systematic instructions to view Exchange Rate record.

View a record that you have previously input by retrieving the same in the **Exchange Rate Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Exchange Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

The **Exchange Rate Maintenance Detail** screen is displayed.

5.8.3 Delete Exchange Rate Record

This topic provides the systematic instructions to delete Exchange Rate record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Exchange Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Exchange Rate 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.

5.8.4 Authorize Exchange Rate Record

This topic provides the systematic instructions to authorize Exchange Rate record.

Authorize an unauthorized Exchange Rate Record in the system for it to be processed as follows:

1. Start the **Exchange Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Exchange Rate 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.

5.8.5 Amend Exchange Rate Record

This topic provides the systematic instructions to amend Exchange Rate 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 **Exchange Rate Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to amend.

   The **Exchange Rate 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.

5.8.6 Authorize Amended Exchange Rate Record

This topic provides the systematic instructions to authorize amended Exchange Rate record.

1. Authorize an amended Exchange Rate Record for the amendment to be made effective in the system.
2. The process of subsequent authorization is the same as that for normal transactions.

5.8.7 Copy Attributes of Exchange Rates

This topic provides the systematic instructions to copy attributes of Exchange Rates.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new **Exchange Rate** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Exchange Rate** 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 **Exchange Rate**. You can, however, change the details of the new record.

5.9 Process Currency Cutoff Detail

This topic provides the systematic instructions to capture cut off time for each currency that is maintained in the system.

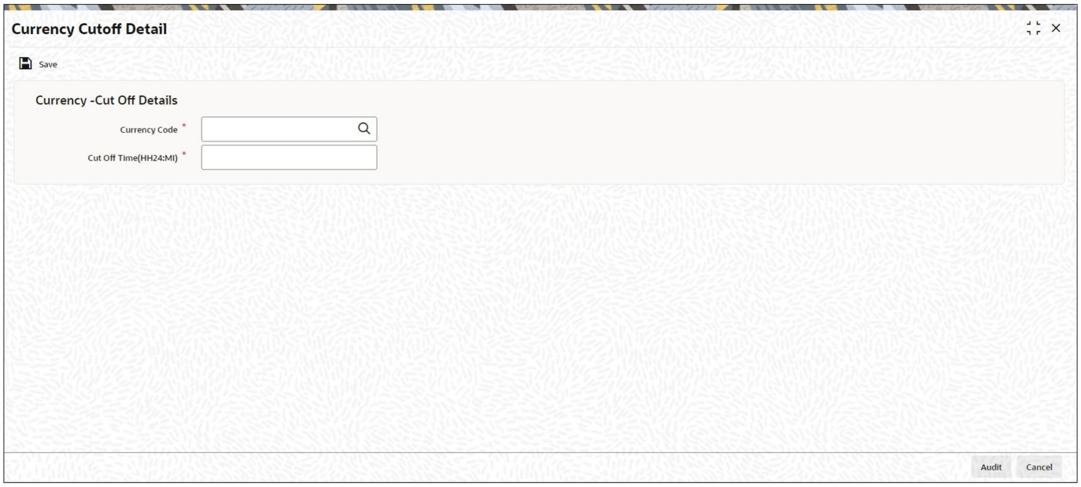
Transaction instructions received post cut off time of the currency involved in the transaction, then the transaction will be processed on the next working day.

Use **Currency Cutoff Detail** screen to enter cut off time for currencies.

1. On **Home** screen, type **UTDCURCT** in the text box, and click **Next**.

   The **Currency Cutoff Detail** screen is displayed.

Figure 5-10   Currency Cutoff Detail



2. On **Currency Cutoff Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 5-6   Currency Cutoff Detail - Field Description

Field	Description
Currency	*Alphanumeric; 3 Characters; Mandatory* Enter the currency code for which you wish to maintain the cut off time.
Cut Off Time	*Alphanumeric; 5 Characters; Mandatory* Enter the cut off time for the chosen currency. The cut off time should be within 00:00 to 23:59.

3. Click **Ok** button to store the record in the database.

   The system checks for any duplicate records while saving. If the record is being modified by any other user at the time of saving, then system throws up an error.

5.10 Currency Cutoff Summary

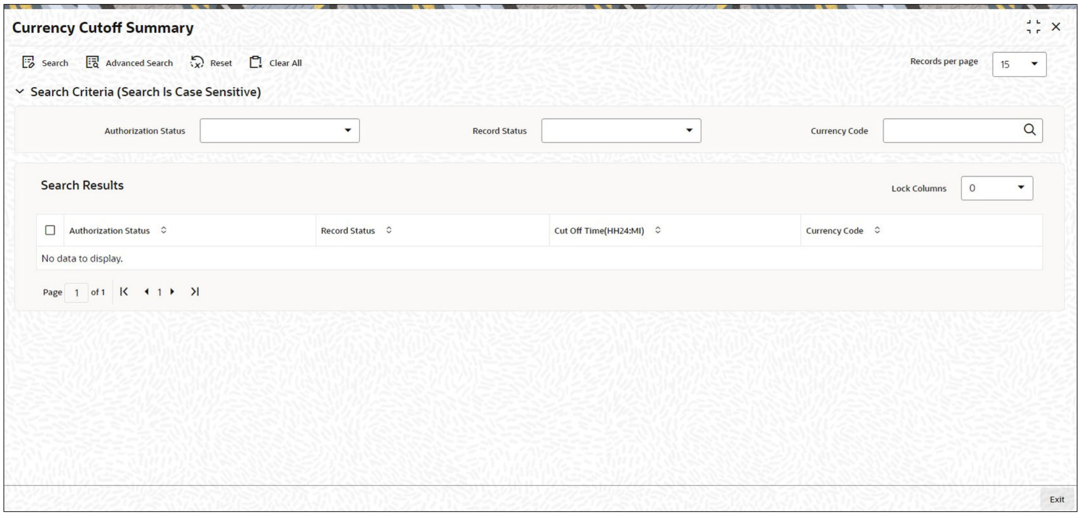
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Currency Cutoff Time

1. On **Home** screen, type **UTSCURCT** in the text box, and click **Next**.

   The **Currency Cutoff Summary** screen is displayed.

Figure 5-11 Currency Cutoff Summary



No data to display.

2. Before you associate a country with its currency, it is desirable to ensure that the currencies must be set up in the system in the Currency Maintenance.
3. On **Currency Cutoff 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**
   - **Currency Code**
4. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

5. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

   You can search the record for Currency Code by using the combination of % and alphanumeric value as follows:

   Search by Z%:- System will fetch all the records whose Currency Code starts from Alphabet ‘Z’. For example, ZAR

- Edit Currency Cutoff Time
  This topic provides the systematic instructions to edit Currency Cutoff Time record.
- View Currency Cutoff Time
  This topic provides the systematic instructions to view Currency Cutoff Time record.
- Delete Currency Cutoff Time
  This topic provides the systematic instructions to delete Currency Cutoff Time record.
- Authorize Currency Cutoff Time
  This topic provides the systematic instructions to authorize Currency Cutoff Time record.
- Amend Currency Cutoff Time
  This topic provides the systematic instructions to amend Currency Cutoff Time record.
- Authorize Amended Currency Cutoff Time
  This topic provides the systematic instructions to authorize amended Currency Cutoff Time record.
- Copy Attributes of Cutoff Time
  This topic provides the systematic instructions to copy attributes of Cutoff Time.

5.10.1 Edit Currency Cutoff Time

This topic provides the systematic instructions to edit Currency Cutoff Time record.

Modify the details of Cutoff time for a currency that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Currency Cutoff Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Currency Cutoff 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 **Currency Cutoff Detail** screen is closed and the changes made are reflected in the **Currency Cutoff Summary** screen.

5.10.2 View Currency Cutoff Time

This topic provides the systematic instructions to view Currency Cutoff Time record.

View a record that you have previously input by retrieving the same in the **Currency Cutoff Summary** screen. Perform this operation as follows:

1. Start the **Currency Cutoff Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to view in the list of displayed records.

   The **Currency Cutoff Detail** screen is displayed.

5.10.3 Delete Currency Cutoff Time

This topic provides the systematic instructions to delete Currency Cutoff Time record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Currency Cutoff Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you want to delete in the list of displayed records.

   The **Currency Cutoff 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.

5.10.4 Authorize Currency Cutoff Time

This topic provides the systematic instructions to authorize Currency Cutoff Time record.

Authorize an unauthorized Currency Cutoff time in the system for it to be processed as follows:

1. Start the **Currency Cutoff Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **Currency Cutoff Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

5.10.5 Amend Currency Cutoff Time

This topic provides the systematic instructions to amend Currency Cutoff Time record.

After a Currency Cutoff time is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **Currency Cutoff Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Currency Cutoff Detail** screen is displayed.
5. Select **Unlock** operation from the Action List to amend the record.
6. Amend the necessary information and click **Save** to save the changes.

5.10.6 Authorize Amended Currency Cutoff Time

This topic provides the systematic instructions to authorize amended Currency Cutoff Time record.

1. Authorize an amended Currency Cutoff time for the amendment to be made effective in the system.
2. The process of subsequent authorization is the same as that for normal transactions.

5.10.7 Copy Attributes of Cutoff Time

This topic provides the systematic instructions to copy attributes of Cutoff Time.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new **Currency Cutoff Time** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **Currency Cutoff Time** 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 **Currency Cutoff Time**. You can, however, change the details of the new record.

6

Foreign Account Tax Compliance Act (FATCA)

This topic deals with Foreign Account Tax Compliance regulation.

FATCA is the acronym for **Foreign Account Tax Compliance Act** enacted by the US Government as part of the **Hiring Incentives to Restore Employment (HIRE) Act**, in 2010.

The purpose of FATCA is to help **Internal Revenue Service (IRS)** to identify and collect tax from US Persons (USP) holding financial assets outside US.

This topic deals with Foreign Account Tax Compliance regulation. It includes the description about functions that would help **FCIS** to support FATCA.

This topic contains the following sub-topics:

- System Parameters
- Entity FATCA Classification
- Entity FATCA Classification Maintenance
- FATCA WHT Repayment

- FATCA - System Parameters
  This topic explains about FATCA system parameters.
- Process Entity FATCA Classification Maintenance Detail
  This topic provides the systematic instructions to maintain FATCA Classification and record document details.
- Entity FATCA Classification Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process FATCA WHT Repayment
  This topic provides the systematic instructions to maintain FATCA with holding tax repayment.

6.1 FATCA - System Parameters

This topic explains about FATCA system parameters.

The below mentioned table describes the system parameters for the related fields.

Table 6-1 Field and System Parameters

Field	System Parameter	Maximum Length
FATCA Classification –Individual	**FATCACATIND**	10
FATCA Classification –Corporate	**FATCACATCOR**	10
FATCA Classification Reasons	**FATCACATREASON**	10
FATCA Effective Date	**FATCAEFFDATE**	10
FATCA Individual UH Reporting	**FATCAINDUHLIMIT**	10

Table 6-1 (Cont.) Field and System Parameters

Field	System Parameter	Maximum Length
FATCA Corporate UH Reporting	**FATCACORPUHLIMIT**	10
FATCA Verification Time Limit in days	**FATCAVERTMLIMIT**	4
FATCA Due Diligence Date	**FATCADUEDELIGENCEDATE**	10
FATCA Country Code	**FATCACNTRYCD**	3
FATCA Amount Limit	**FATCAAMOUNTLIMIT**	10
FATCA WHT Applicable	**FATCAWHTAPPLICABLE**	3
FATCA WHT Effective Date	**FATCAWHTEFFDT**	10
FATCA WHT Percentage	**FATCAWHTPERCENTAGE**	3
Document for individuals	**MASTERDOCIND**	Max
Document for corporate	**MASTERDOCCORP**	Max
Category of the documents	**MASTERDOCCAT**	3,2
Max % of holding for Corporate UH for the defined directors	**FATCAMINPCNTHLDG**	Max
The international dialling country code	**INTDIALCODE**	

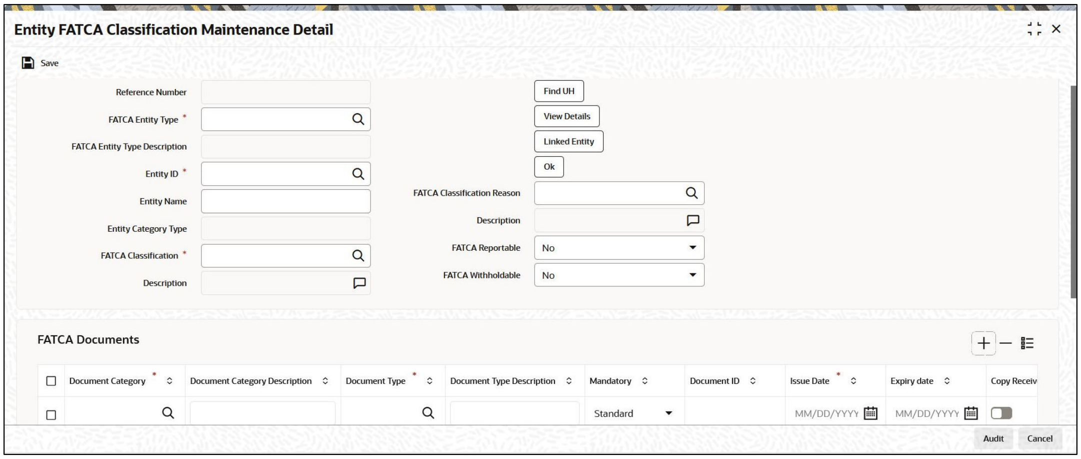
6.2 Process Entity FATCA Classification Maintenance Detail

This topic provides the systematic instructions to maintain FATCA Classification and record document details.

1. On **Home** screen, type **UTDFATMT** in the text box, and click **Next**.

   The **Entity FATCA Classification Maintenance Detail** screen is displayed.

Figure 6-1 Entity FATCA Classification Maintenance Detail



FATCA Reportable: No
FATCA Withholdable: No
Mandatory: Standard

2. On **Entity FATCA Classification Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 6-2   Entity FATCA Classification Maintenance Detail - Field Description

Field	Description
Reference Number	*Display* The system displays the reference number.
FATCA Entity Type	*Alphanumeric; 2 Characters; Mandatory* Select the FATCA entity type from the adjoining option list. The options available are: • **Unit Holder** • **Broker** • **Single Entity** • **Nominee**
FATCA Entity Type Description	*Display* The system displays the description for the selected FATCA entity type.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Select the Entity identification from the adjoining option list. You can also query for entity ID by clicking **Find UH** button.
Entity Name	*Display* The system defaults the entity name from the entity record.
Entity Category Type	*Display* The system displays the entity category type.
FATCA Classification	*Alphanumeric; 25 Characters; Mandatory* Select the FATCA Classification from the adjoining option list.
Description	*Display* The system displays the description for the selected FATCA classification.
FATCA Classification Reason	*Alphanumeric; 25 Characters; Mandatory* Select the reason for FATCA classification from the adjoining option list.
Description	*Display* The system displays the description for the selected FATCA classification reason.
FATCA Reportable	*Optional* Select the FATCA Reportable status for the entity selected from the drop-down list. The list displays the following values: • **Yes** • **No**
FATCA With holdable	*Optional* Select the FATCA with holdable status for the entity selected from the drop-down list. The list displays the following values: • **Yes** • **No**
FATCA Documents	The section displays the following fields.
Document Category	*Alphanumeric; 25 Characters; Mandatory* Select the document category from the adjoining option list.
Document Category Description	*Display* The system displays the description for the selected document category.
Document Type	*Alphanumeric; 25 Characters; Mandatory* Select the type of the document from the adjoining option list.

Table 6-2 (Cont.) Entity FATCA Classification Maintenance Detail - Field Description

Field	Description
Document Type Description	*Display* The system displays the description for the selected document type.
Mandatory	*Optional* You need to indicate whether the document is mandatory or optional. The drop-down list displays the following options: • **Standard** - This indicates that the document is mandatory • **Additional** - This indicates that the document is optional Select the appropriate option.
Document ID	*Alphanumeric; 25 Characters; Optional* Specify the document identification.
Issue Date	*Date Format; Mandatory* Specify the issue date of the received document.
Expiry Date	*Date Format; Optional* Specify the expiry date of the received document.
Copy Received	*Mandatory* Check this box to indicate that the copy is received.
Original Received	*Mandatory* Check this box to indicate that the original is received.
Received Date	*Date Format; Optional* Specify the document received date.
Document Reference Number	*Alphanumeric; Optional* Specify the document tracking reference number.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Chasing Date	*Date Format; Optional* Specify the document chasing date.
Document Reference Number	*Alphanumeric; 255 Characters; Optional* Specify the document reference number
Document Serial Number	*Display* The system displays the document serial number.
Document Upload	Click this button to upload or view the documents.
FATCA Status	The section displays the following fields.
FATCA Compliant	*Display* The system displays whether you are FATCA compliant.
Description	*Display* The system displays the description for the FATCA compliant.
Reason	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.

3. Click **View Details** button.

   The **Single Entity Maintenance Detail** screen is displayed. You can maintain the details of single entity in this screen.

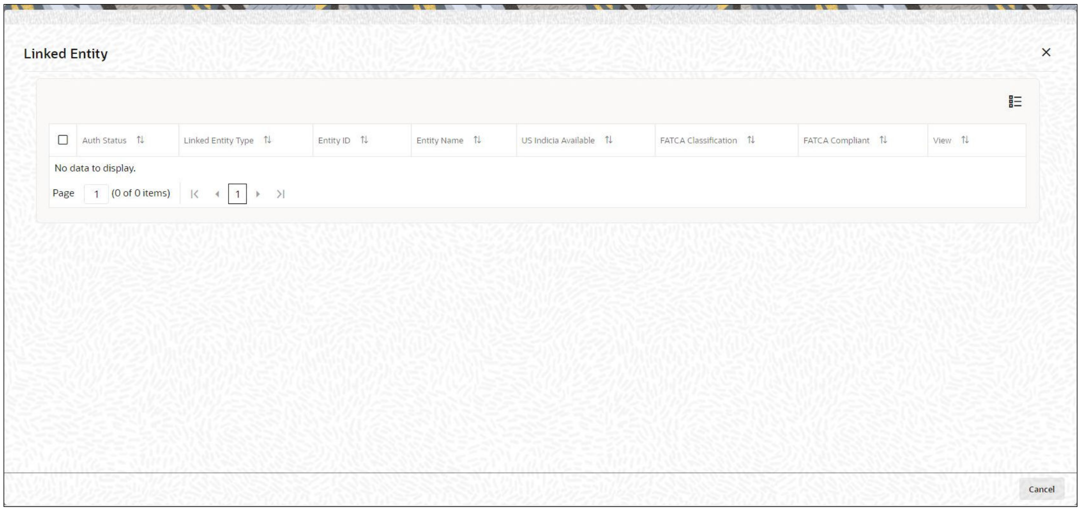
4. Click **Ok** button to store the record in the database.

   The system checks for any duplicate records while saving. If the record is being modified by any other user at the time of saving, then system throws up an error.

5. Click **Linked Entity** button to view linked entity details.

   The **Linked Entity** screen is displayed.

Figure 6-2 Entity FATCA Classification Maintenance Detail_Linked Entity Button



Linked Entity

☐	Auth Status	Linked Entity Type	Entity ID	Entity Name	US Indicia Available	FATCA Classification	FATCA Compliant	View

No data to display.

Page 1 (0 of 0 items)

The system displays the following values:

- **Auth Status**
- **Linked Entity Type**
- **Entity ID**
- **Entity Name**
- **US Indicia Available**
- **FATCA Classification**
- **FATCA Compliant**

6. Click **View** to view the details of FATCA Maintenance of a linked entity.

Note:

During UT Transaction capture for US Indicia Available Funds, if the FATCA Status of the unit holder or linked entity of a unit holder is:

- Pending, then the system displays a warning message as `Maintain FATCA Classification for UH/Linked entity`.
- Recalcitrant, then the system displays warning message as `Unit Holder or Linked entities mapped to the Unit Holder is FATCA is recalcitrant`.

During LEP Transaction capture for US Indicia Available Funds, if the FATCA Status of the unit holder or linked entity of a unit holder is:

- Pending, then the system displays a warning message as `Maintain FATCA Classification for UH/Linked entity`.
- Recalcitrant, then the system displays warning message as `Unit Holder or Linked entities mapped to the Unit Holder is FATCA is recalcitrant`.

If the US Indicia is available for one of the customer during the CIF merge, then the customer account to which this account is being merged will also be US Indicia.

6.3 Entity FATCA Classification Maintenance Summary

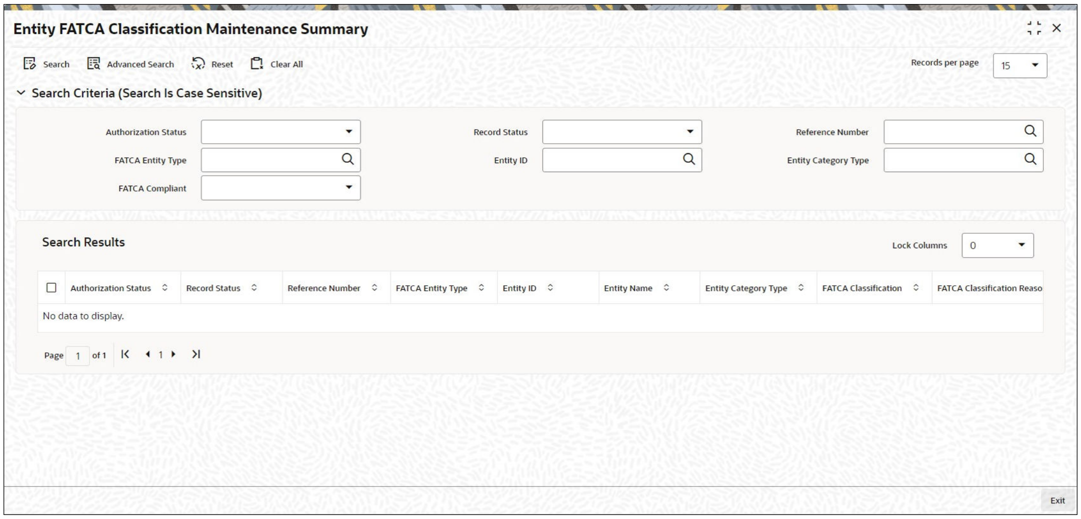
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Entity FATCA Classification Maintenance Details

1. On **Home** screen, type **UTSFATMT** in the text box, and click **Next**.

   The **Entity FATCA Classification Maintenance Summary** screen is displayed.

Figure 6-3   Entity FATCA Classification Maintenance Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **Entity FATCA Classification 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**
    - **FATCA Compliant**
    - **FATCA Entity Type**
    - **Entity Category Type**
3. Click **Search** button to view the records.

   You can also search a record by using a combination of % and alphanumeric value.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

- Edit Entity FATCA Classification Maintenance Details
  This topic provides the systematic instructions to edit Entity FATCA Classification Maintenance record.
- View Entity FATCA Classification Maintenance Details
  This topic provides the systematic instructions to view Entity FATCA Classification Maintenance record.
- Delete Entity FATCA Classification Maintenance Details
  This topic provides the systematic instructions to delete Entity FATCA Classification Maintenance record.
- Authorize Entity FATCA Classification Maintenance Details
  This topic provides the systematic instructions to authorize Entity FATCA Classification Maintenance record.

6.3.1 Edit Entity FATCA Classification Maintenance Details

This topic provides the systematic instructions to edit Entity FATCA Classification Maintenance record.

Modify the details of unauthorized records that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Entity FATCA Classification Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to modify in the list of displayed records.

   The **Entity FATCA Classification 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 **Entity FATCA Classification Maintenance Detail** screen is closed and the changes made are reflected in the **Entity FATCA Classification Maintenance Summary** screen.

6.3.2 View Entity FATCA Classification Maintenance Details

This topic provides the systematic instructions to view Entity FATCA Classification Maintenance record.

View a record that you have previously input by retrieving the same in the **Entity FATCA Classification Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Entity FATCA Classification Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Entity FATCA Classification Maintenance Detail** screen is displayed.

6.3.3 Delete Entity FATCA Classification Maintenance Details

This topic provides the systematic instructions to delete Entity FATCA Classification Maintenance record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Entity FATCA Classification Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Entity FATCA Classification 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.

6.3.4 Authorize Entity FATCA Classification Maintenance Details

This topic provides the systematic instructions to authorize Entity FATCA Classification Maintenance record.

Authorize an unauthorized record in the system for it to be processed as follows:

1. Start the **Entity FATCA Classification Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Entity FATCA Classification 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.

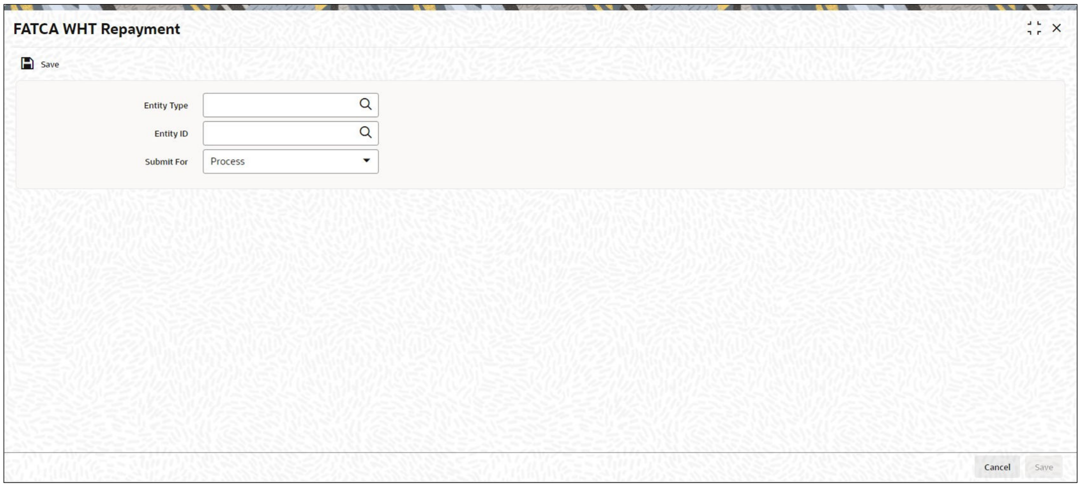
6.4 Process FATCA WHT Repayment

This topic provides the systematic instructions to maintain FATCA with holding tax repayment.

1. On **Home** screen, type **UTDFATRP** in the text box, and click **Next**.

   The **FATCA WHT Repayment** screen is displayed.

   Figure 6-4   FATCA WHT Repayment

   Submit For: Process

2. On **FATCA WHT Repayment** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 6-3   FATCA WHT Repayment - Field Description

Field	Description
Entity Type	*Alphanumeric; 1 Character; Optional* Specify the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity types maintained in the system.
Entity ID	*Alphanumeric; 12 Characters; Optional* Specify the entity ID. Alternatively, you can select entity ID from the option list. The list displays all valid entity ID maintained in the system.
Submit For	*Optional* Select the submit option from the drop-down list. The list displays the following values: • **Process** • **Execute**

7

Set up Loads

This topic explains about the process of setting up the different fees and incentives that would be applied by AMC.

Loads

This topic contains the following sub-topics:

- Types of Loads
- Parameters that form Basis for Applying Load
- Set up Loads in System

Types of Loads

When an investor transacts in an AMC, the AMC may charge the investor a certain fee for any or all of the transactions requested. On the other hand, the AMC may give the investor an incentive for reasons of continued loyalty, or for initial investment. These fees or incentives are identified as loads.

A load involves payment by one entity to another. Any entity that makes the payment is known as the **From** entity, and any entity that receives such payment is known as the **To** entity.

Accordingly, there are two basic types of loads, from which all other loads derive:

- Fees: Any payment for transaction charges that investors make to the AMC are fees.
- Incentives: An AMC sometimes makes a special preference in terms of charges for initial investors and for those investors that have transacted with the AMC over a considerable period of time. These preferences are known as incentives.

For instance, an AMC may stipulate that for the first 10 investors that invest in a newly floated fund, a differential favorable price would be applied. This is an incentive.

The recipient (or the **To** entity) of an incentive could be a unit holder, a broker or another entity.

A broker may also be required to pay a fee to the AMC for services rendered, such as commission processing and payment, reinvestment processing and so on. If the unit holder is not any of the involved parties then that load is a commission. (that is, the **From** or **To** entities are not unit holders).

Parameters that form Basis for Applying Load

Fees, incentives and commissions may be based on many different parameters, or combinations of these parameters, depending upon the requirements of the AMC.

While transacting, the AMC may attach loads to any transaction, be it a fee, incentive or a commission, which may be computed and applied on the basis of any of the following parameters:

Date: For instance, for any transaction request that is accepted on a certain date or a certain period bounded by any two dates, an incentive may be applied on the amount of the transaction, as follows:

Slab	From Date	To Date	Return Value
0-10000	15-10-2000	15-12-2000	5%

Here the slab value may be reckoned as an amount or a number of units.

This means that for all transactions requested after 15-10-2000 and before 15-12-2000, for a volume that lies within the slab, the percentage of the load (incentive) applied is 5%. In such a case, for a transaction coming in on 15-10-2000, if the transaction amount is 5000 Rand, then the investor would be given an incentive amounting to an additional 250 Rand (5/100 * 5000) worth of units in the fund.

In the same case, if the load were a fee, then the investor would be given only 4750 Rand {5000 - (5/100 * 5000)} worth of units in the fund.

Generally, this is an early bird incentive in case of an IPO or subscription transaction period.

Load	Period	Return Value
L45	45 Days	5%
L4M	4 Months	4%
L1Y	1 Year	3%

Transaction Reference Number	Transaction Type	Transaction Amount	Transaction Date
T1	Subscription	1000	3-1-2001
T2	Subscription	2000	3-4-2001
T3	Redemption	3000	3-7-2001

For the redemption transaction on 3-7-2001, the load based on period is explained below. The load for this transaction is based on the period that has elapsed between the original subscription transaction and the redemption transaction through which the units resulting from the original transaction are redeemed.

> **Note:**
>
> The three loads in this example are to be reckoned as separate loads. A single load cannot have slabs based on all three parameters - days, months and years.

Load applied based on the subscription transaction T1:

The number of days between the transaction T1 and T3 = Difference in days between 3-7-2001 and 3-1-2001 = 180 days. This period falls in the slab for load L1Y, above, and the load applied will be 3% of the transaction amount:

```
Load = 3/100 * 3000 = 90
```

Load applied based on the subscription transaction T2:

The number of days between the transaction T2 and T3 = Difference in days between 3-7-2001 and 3-4-2001 = 90 days. This period falls in the slab for load L4M, above, and the load applied will be 4% of the transaction amount:

```
Load = 4/100 * 3000 = 120
```

Therefore, the total load amount applied for the redemption transaction T3 is 90+120 = 210.

> **Note:**
>
> Both the loads applied as shown in the example above are based on periods, and also on the original subscription transaction(s) that have generated the units being redeemed, in a subsequent redemption transaction. These loads have no other basis than these two factors. Since they are based on the period for which the unit holder has continued with the fund, they are known as aging loads.

Loading based on aging policy

In the example given above, the units value considered for the redemption transaction T3 could also be dependent on the aging policy designated for the fund. If the aging policy is designated to be FIFO (first-in, first-out), the aging would apply as follows:

Out of the 3000 units being redeemed, 1000 units would be aged to 180 days (as corresponding to the first subscription transaction T1).

Therefore, the load for the redemption of these 1000 units would be calculated as follows:

3/100 * 1000 = 30

The remaining 2000 units would be aged to 90 days (as corresponding to the first subscription transaction T2).

Therefore, the load for the redemption of these 2000 units would be calculated as follows:

4/100 * 2000 = 80

Therefore, the total loading for T3, with an ageing policy of FIFO, would be 30+80 = 110.

Loading based on Amount

For each amount slab, the AMC could charge a fee. This would be an amount-based load.

Loading based on Units

Similarly, as with amount-based loads, the AMC could charge a fee for each slab of units.

Loading based on Date and Amount

The fee charged could also be operable within a date range, and an amount range.

Loading based on Period and Amount

The fee could be charged on each amount slab based on a certain number of days, months or years that the unit holder remains in the fund.

> **Note:**
>
> If the lower boundary is to be inclusive, then a transaction value of 1000 currency units would be reckoned as falling in the slab 002 for any of the loads. If not, as in this case, then the transaction value of 1000 currency units would be reckoned as falling in the slab 001 for any of the loads.

Transaction Reference Number	Transaction Type	Transaction Amount	Transaction Date
T1	Subscription	1000	3-1-2001
T2	Subscription	2000	3-4-2001
T3	Redemption	3000	3-7-2001

For the redemption transaction on 3-7-2001, the load based on period and amount is explained below, assuming that the ageing policy for the fund is designated to be FIFO (first-in, first-out). The load for this transaction is based on the period that has elapsed between the original subscription transaction and the redemption transaction through which the units resulting from the original transaction are redeemed. It also takes into account the amount being redeemed.

Load applied based on the subscription transaction T1:

The number of days between the transaction T1 and T3 = Difference in days between 3-7-2001 and 3-1-2001 = 180 days. This period falls in the period slab for load L1Y, above, and the number of units falls in the units slab 001 for L1Y. The return value for the load applied will be 75 currency units.

Load applied based on the subscription transaction T2:

The number of days between the transaction T2 and T3 = Difference in days between 3-7-2001 and 3-4-2001 = 90 days. This period falls in the period slab for load L4M, above, and the number of units falls in the units slab 002 for L1Y. The return value for the load applied will be 100 currency units.

Therefore, the total load amount applied for the redemption transaction T3 is 75+100 = 175 currency units.

Note:

Both the loads applied as shown in the example above are based on periods and amounts, and also on the original subscription transaction(s) that have generated the units being redeemed, in a subsequent redemption transaction. These loads have no other basis than these two factors. Consequently, they are known as aging loads.

Date and Units: The fee charged could also be operable within a date range, and a units range.

Period and Units

Load	Period	Slab	From Units	To Units	Return Value	Lower Boundary Inclusive
L45	45 days	001	0	1000	5%	No
L45	45 days	002	1000	2000	4%	No
L4M	4 months	001	0	1000	4%	No
L4M	4 months	002	1000	2000	3%	No
L1Y	1 year	001	0	1000	3%	No
L1Y	1 year	002	1000	2000	2%	No

Transaction Reference Number	Transaction Type	Transaction Amount	Transaction Date
T1	Subscription	1000	3-1-2001
T2	Subscription	2000	3-4-2001
T3	Redemption	3000	3-7-2001

For the redemption transaction on 3-7-2001, the load based on period is explained below. The load for this transaction is based on the period that has elapsed between the original subscription transaction and the redemption transaction through which the units resulting from the original transaction are redeemed.

Load applied based on the subscription transaction T1:

The number of days between the transaction T1 and T3 = Difference in days between 3-7-2001 and 3-1-2001 = 180 days.

This period falls in the slab for load L1Y, above, and the load applied will be 3% of the transaction amount:

```
Load = 3/100 * 3000 = 90
```

(Here again, if the aging policy is FIFO, only 1000 units would be aged, and the load would be 3/100 * 1000 = 30)

Load applied based on the subscription transaction T2:

The number of days between the transaction T2 and T3 = Difference in days between 3-7-2001 and 3-4-2001 = 90 days.

This period falls in the slab for load L4M, above, and the load applied will be 4% of the transaction amount:

```
Load = 4/100 * 3000 = 120
```

(Here again, if the aging policy is FIFO, only 2000 units would be aged, and the load would be 4/100 * 2000 = 80)

Therefore, the total load amount applied for the redemption transaction T3 is 90+120 = 210.

If the aging policy is FIFO, the total load amount would be 30 + 80 = 110.

> **Note:**
>
> Both the loads applied as shown in the example above are based on periods, and also on the original subscription transaction(s) that have generated the units being redeemed, in a subsequent redemption transaction. These loads have no other basis than these two factors. Since they are based on the period for which the unit holder has continued with the fund, they are known as aging loads.

Loading based on aging date

Ageing for period based loads is calculated based on the ageing date specified at the time of setting up a fund. It can be the dealing date, transaction date or the confirmation date. Period is calculated using the following formula:

Period = Transaction/Dealing date/Price date of the redemption Link transaction date of the corresponding subscription transaction.

Here, the link transaction date of the subscription is the date of inflow for the redemption.

Set up Loads in System

The **Oracle FLEXCUBE Investor Servicing** system provides the facility of setting up the pattern according to which you can process loads.

To configure the system to process a load, you must:

1. Initiate the load in the system, with all its parameters, in the **Load Maintenance (Detail)** screen. You can access this screen from the **Maintenance** menu category of the Fund Manager component. At this time, you must also create any derived loads or basis loads, as applicable, for the load.
2. Have another user authorize this load, in the **Load Maintenance** Find (Summary) screen. This screen may be accessed from the **Maintenance** menu category of the Fund Manager component. When a load is authorized, all the derived and basis loads (if any) that you have created for the load are also authorized simultaneously.
3. At this point, you can edit any details for the load, including details of any derived or basis loads that you have created for the load.
4. Map this load to be applied on transactions in the desired funds, in the Fund Load Setup screen. You can access this screen through the **Fund Demographics** screen, from the Fund Rules (Detail) option in the **Maintenance** menu category of the Fund Manager component.
5. You can also map the load to be applicable for a group of funds defined as a load group. You can do this through the **Group Load Mapping** screen, accessing it through the **Maintenance** menu category of the Fund Manager component.
6. Authorize the fund (with all its fund rules) in the **Fund Rule** Find (Summary) screen. You can access this screen from the **Maintenance** menu category of the Fund Manager component.

> **Note:**
>
> - After you create a load in the **Load Maintenance** screen, you can edit the details as many times as possible, as long as the load is not authorized. During editing, you can define any new derived loads or basis loads, or edit any previously created loads.
> - After a load is authorized, you can edit the details, provided the load is not already mapped to a fund or a load group, through the **Fund Load Setup** or **Group Load Mapping** screens. If you do edit an authorized load under these constraints, your changes will be saved as unauthorized changes. These must be subsequently authorized to be reflected in the database.
> - After a load is authorized and then subsequently mapped to a fund or a load group, you cannot edit any of the load details.

Refer topic *Setting up Funds and Authorization*, respectively, in this user manual for more information on the *Fund Load Setup* screen and the authorization of a fund.

- Process Load Maintenance Detail
  This topic provides the systematic instructions to capture cut off time for each currency that is maintained in the system.

- Load Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Across Schemas Load Mapping Detail
  This topic provides the systematic instructions to map loads to different schemas.
- Across Schemas Load Mapping Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Exchange Rate Source Mapping Detail
  This topic provides the systematic instructions to map the Exchange Rate Sources created across schemas.
- Exchange Rate Source Mapping Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Trailing Fees
  This topic explains about Trailing Fees.
- Process Payment Group Maintenance
  This topic provides the systematic instructions to maintain payment groups.
- Payment Group Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Periodic Load Maintenance Detail
  This topic provides the systematic instructions to maintain periodic loads.
- Periodic Load Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Computation of Trailing Fees
  This topic explains about computation of trailing fees.
- Methodologies of Trailer Commission Computation
  This topic explains about maintenance required for various methods of computation for trailer commission.
- Process Trailing Commission Accrual Processing
  The accrual of trailer commission for a fund or group of funds can be executed as a job, which you can trigger in the **Trailing Commission Accrual Processing** screen.
- Process Trailing Commission Payment Processing
  The payment of accrued trailer commission for a fund or group of funds can be executed as a job, which you can trigger in the **Trailing Commission Payment Processing** screen.
- Process Target Based Fee
  This topic explains the systematic instructions to maintain target based brokerage at AMC-Fund-Broker level.
- Target Based Fee Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Entity Commission Sharing Detail
  This topic provides the systematic instructions to set up the rules according to which trailer commissions could be shared.

- Entity Commission Sharing Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Campaign Maintenance
  This topic provides the systematic instructions to maintain the campaign details.
- Campaign Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Campaign Group Maintenance
  This topic provides the systematic instructions to group the selective campaign maintenance into one campaign group.
- Campaign Group Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Campaign Counter Updation
  This topic provides the systematic instructions to update campaign counter for a particular transaction number.
- Campaign Counter Updation Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Admin Tax Maintenance Detail
  This topic provides the systematic instructions to maintain the Admin Tax calculated.
- Admin Tax Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

7.1 Process Load Maintenance Detail

This topic provides the systematic instructions to capture cut off time for each currency that is maintained in the system.

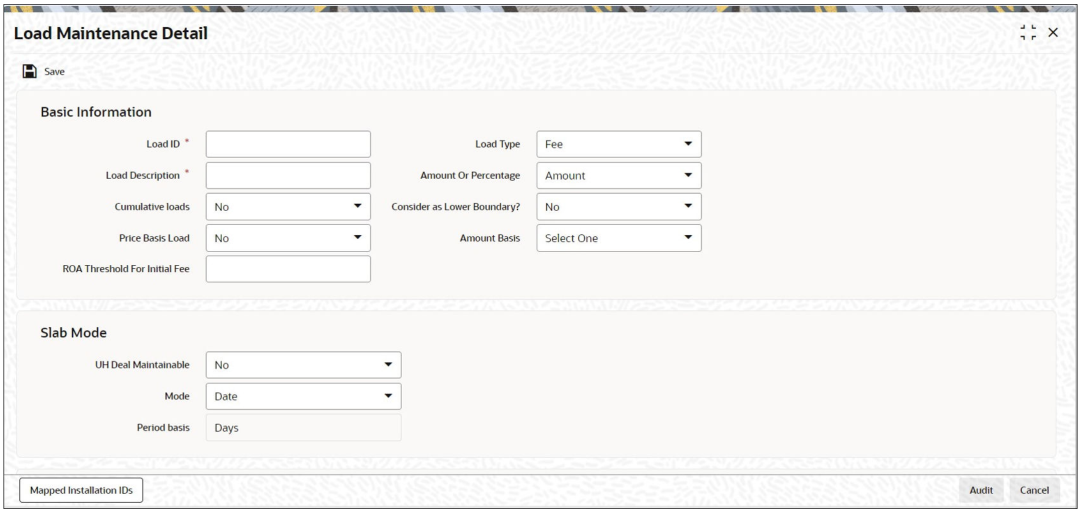
Transaction instructions received post cut off time of the currency involved in the transaction, then the transaction will be processed on the next working day.

Use **Load Maintenance Detail** screen to enter cut off time for currencies.

1. On **Home** screen, type **UTDLOADM/ UTDLODM** in the text box, and click **Next**.

   The **Load Maintenance Detail** screen is displayed.

Figure 7-1   Load Maintenance Detail



Load Maintenance Detail

Basic Information

Load ID *:
Load Description *:
Cumulative loads: No
Price Basis Load: No
ROA Threshold For Initial Fee:
Load Type: Fee
Amount Or Percentage: Amount
Consider as Lower Boundary?: No
Amount Basis: Select One

Slab Mode

UH Deal Maintainable: No
Mode: Date
Period basis: Days

2. Specify the basic parameters on the basis of which the load will be applied and computed, in the main **Load Maintenance Detail** screen. These include the following mandatory information:
    - a. A unique identifier for the load, in the **Load ID** field.
    - b. Descriptive or narrative text qualifying the load, in the Description field.
    - c. Whether the load is fee or an incentive, in the **Load Type** field.

      The system deems the load as a fee or an incentive based on the fund load mapping for a fund.
    - d. Whether the return value of the load is arrived at based on an amount or a percentage, in the Amount or Percentage field.
    - e. Whether the load being defined is a price basis load, in the Price Basis Load field.
    - f. The applicable slab type for the load, in the Slab Mode section.
    - g. The basis upon which the period is reckoned, in the Period Basis field.
    - h. The method of calculation to be used for the load, in the Load Calculation Method field.
    - i. Whether a deal can be maintained for a unit holder based on the load, in the UH Deal Maintainable field.
    - j. Whether the load is a cumulative load, in the Cumulative Loads field.
    - k. Whether the lower boundary of a slab is inclusive for the slab, in the Consider as Lower Boundary field.
    - l. Click **OK** to save your changes.
    - m. Specify the details of slabs for the load and their boundaries in the **Load Details** section, in the lowest portion of the screen.

      Setting up slab details for a load is mandatory. When you have set up the slabs, you need to save the changes.
    - n. If you are not setting up a criteria-based load, basis load or derived load, you can save the load in the main **Load Definition** screen at this stage.
3. If you are setting up a criteria-based load, basis load or derived load, click the appropriate button as follows:

   a. Click **Basis** link if the load is a basis load.

      The **Basis Definition** screen is opened, and you can set up the load.

   b. Click **Derived** link if the load is a derived load.

      The **Derived Load** screen is opened, and you can set up the derived load in this screen.

   c. Click **Criteria** link if the load is based on criteria.

      The **Query Builder** is opened, and you can set up the criteria for the load.

4. You must save your changes in each of the screens.

   The system closes the screen and returns you to the main **Load Definition** screen, where you must save the load record again.

> **Note:**
>
> When you create a load for the first time in this screen, it is advisable that you set up any criteria-based loads, derived loads or basis loads simultaneously

5. After a load is authorized, no changes are possible to the load details, i.e., you cannot subsequently set up derived, basis or criteria-based loads, if it has been already mapped to a fund or a group.
6. To support benefit plans for investors based on successful deduction counter, the system will setup load based on deduction counter.
7. On **Load Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-1 Load Maintenance Detail - Field Description

Field	Description
Basic Information Section	The section displays the following fields.
Load ID	*Numeric; 5 Characters; Mandatory* Specify a unique alphanumeric identifier for the load. Do not specify the ID of an existing load here.
Load Description	*Alphanumeric; 60 Characters; Mandatory* Enter some descriptive or narrative text, qualifying the load. It should describe the purpose for which the load has been set.
Cumulative Loads	*Optional* Select yes to indicate that the load is cumulative in nature. If you check this box, it will be applied based on the static options set up for processing cumulative loads for the AMC. This type of a load is applicable for funds for which the **Rights of Accumulation (ROA)** facility is applicable.

Table 7-1 (Cont.) Load Maintenance Detail - Field Description

Field	Description
Price Basis Load	*Optional* You can use this field to indicate whether the load being defined is a price basis load, that is, whether the load could be an inherent fee or incentive in respect of fund prices for which price bases other than the NAV and Transaction Base Price components are used. **Note:** Any loads that have been defined as price basis loads are only used as the indicator for computing load values, and are not picked up during evaluation of criteria. That is, the other load details specified for such loads, such as the return value, slabs and so on, are not taken into consideration. The difference between the Transaction Base Price and the Price Basis defined for the transaction is considered as an inherent fee or incentive, during allocation. For instance, if the Price Basis for a transaction is **Offer Price**, and Transaction Base Price is 1.009 and the Offer Price is 1.060, the difference (1.06-1.009 = 0.051, without currency rounding) is considered as the inherent fee (since the TBP is less than the offer price). If the offer price were less than the TBP, the difference between the two is considered an inherent incentive.
ROA Threshold for Initial Fee	*Numeric; 22 Characters; Mandatory* Specify a threshold for initial fees for ROA based loads. The system compares the value specified with the cumulative AUM of the client to determine what a client should be charged by way of initial fees. If the cumulative AUM exceeds the threshold value maintained, the system considers the Cumulative AUM for load slab pick up basis. If the cumulative AUM is lower than the Threshold value maintained, the system considers the transaction value for load slab pick up basis.
Load Type	*Optional* Indicate whether the load is to be applied and processed as a fee or an incentive, by choosing the appropriate value from the drop-down list. The list displays the following values: • **Fee** • **Incentive**
Amount or Percentage	*Optional* Indicate whether the return value for the load is a flat Amount or a Percentage of the Base Price/Transaction Amount, by choosing the appropriate value from the drop-down list. The list displays the following values: • **Amount** • **Percentage**
Consider as Lower Boundary?	*Optional* Select **Yes** to indicate that a slab basis value (either amount or units or period or date) that is a boundary value separating slabs, must be considered as the lower boundary of a slab.

Table 7-1 (Cont.) Load Maintenance Detail - Field Description

Field	Description
Amount Basis	*Optional* Select whether the load return value is to be applied on the fund capital from the drop-down list. The list displays the following values: • **Net** • **Gross** This specification is applicable only for **Loaded to Price (LTP)** loads. Select the **Gross** option to indicate that the load return value is to be applied on the fund capital. If not, select the **Net** option.
Slab Mode	The section displays the following fields.
UH Deal Maintainable	*Optional* Select **Yes** from drop-down list to indicate whether maintaining any deal based on the load would be permitted for unit holders. The list displays the following values: • **Yes** • **No**
Mode	*Optional* Indicate the parameter, upon which basis the slabs for the load will be defined from the list. The list displays the following values: • **Date** • **Period** • **Date Amount** • **Period Amount** • **Amount** • **Units** • **Date Units** • **Period Units** • **Deduction Counter**
Period Basis	*Optional* Indicate the basis upon which the period specified for period-based loads must be interpreted, by choosing the appropriate option from the drop-down list. The list displays the following values: • **Days** • **Months** • **Years** This information is mandatory for slab modes based on Period, Period and Amount or Period and Units.
Load Calculation Method	*Optional* From the list, select the option that indicates the method by which the load must be computed. The following methods of calculation are available: • **Slab Basis** • **Linear Interpolation** • **Weighted Average** • **Progressive Weighted Average** Refer topic *Managing Investor Accounts* in the *Agency Branch User Manual* for more information on deals for unit holder.

Table 7-1 (Cont.) Load Maintenance Detail - Field Description

Field	Description
Tables Referred	You can define a single criterion for a single load. Criteria can be based on any one of the ten parameters given under the Tables Referred section. You can check the relevant boxes from the following list: • **Agent** • **Agency Branch** • **Broker** • **IFA** • **Investor** • **Payment Mode** • **Fund** • **Investor Fund** • **Investor Transaction** • **Account Officer** • **Transaction Rule** • **Transaction Details** • **Custom Values**

- Load Maintenance Detail - Criteria Button
  This topic explains the Criteria button of the **Load Maintenanace Detail** screen.
- Load Maintenance Detail - Derived Button
  This topic explains the Derived button of the **Load Maintenanace Detail** screen.
- Load Maintenance Detail - Basis Button
  This topic explains the Basis button of the **Load Maintenanace Detail** screen.

7.1.1 Load Maintenance Detail - Criteria Button

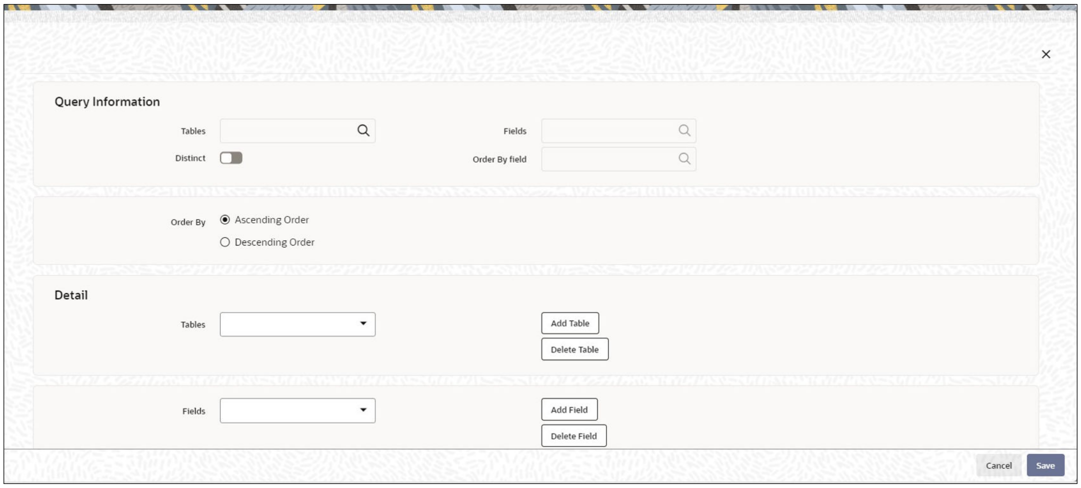
This topic explains the Criteria button of the **Load Maintenanace Detail** screen.

1. Click **Criteria** button to specify criteria for criteria-based loads.

   The criteria could be based on the parameters given.

   The **Query Information** screen is displayed.

Figure 7-2 Load Maintenance Detail_Criteria Button



2. Select one from the list box and select an **Operator** like (=, >, <) and enter the value you want to assign.

   The system will validate the specified criteria and the load will be applied only on successful validation of the same.

3. On **Query Information** screen, specify the required criteria fields.

   For more information on fields, refer to the field description table.

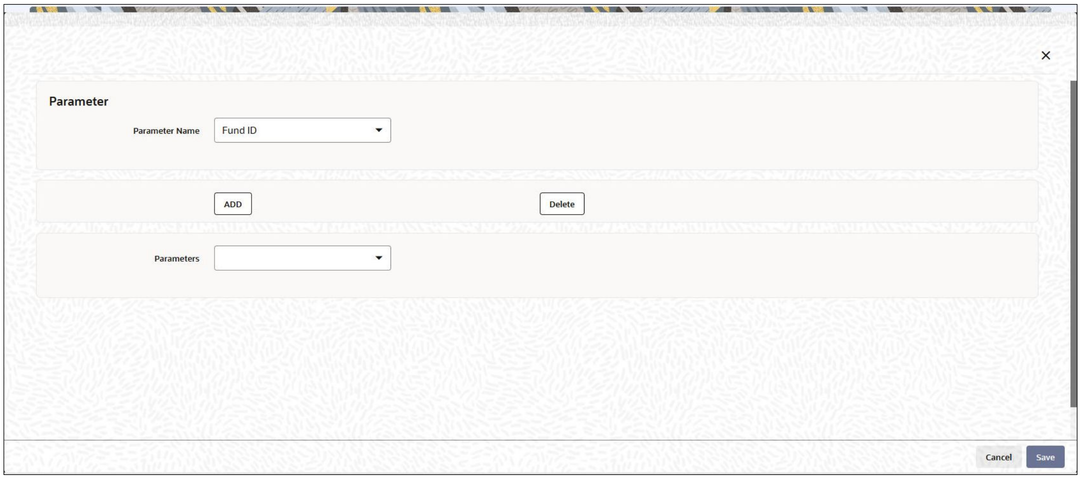
Table 7-2 Query Information - Field Description

Field	Description
Query Information	The section displays the following fields.
Tables	*Alphanumeric; 35 Characters; Optional* Specify table details to query.
Distinct	*Optional* Check this box for distinct query.
Fields	*Display* The system displays the fields value.
Order By field	*Display* The system displays the order by field value.
Order By	*Optional* Select order by option by selecting one of the following options: • **Ascending Order** • **Descending Order**
Detail	The section displays the following fields.
Add Table	Click **Add Table** button to add the table information inside Tables field.
Delete Table	Click **Delete Table** button to delete the table information inside Tables field.
Add Field	Click **Add Field** button to add the field information inside Fields field.
Delete Field	Click **Delete Field** button to delete the field information inside Fields field.
Add Order By	Click **Add Order By** button to add the field information inside Fields field.
Delete Order By	Click **Delete Order By** button to delete the field information inside Fields field.
Join Tables	Click **Join Tables** button to join the 2 tables.
Group By	Click **Group By** button to group the tables.

4. Click the **Parameters** button to input the following details

   The **Parameters** screen is displayed.

Figure 7-3   Load Maintenance Detail_Criteria_Parameters



5. On **Parameters** screen, specify the required criteria fields.

   For more information on fields, refer to the field description table.

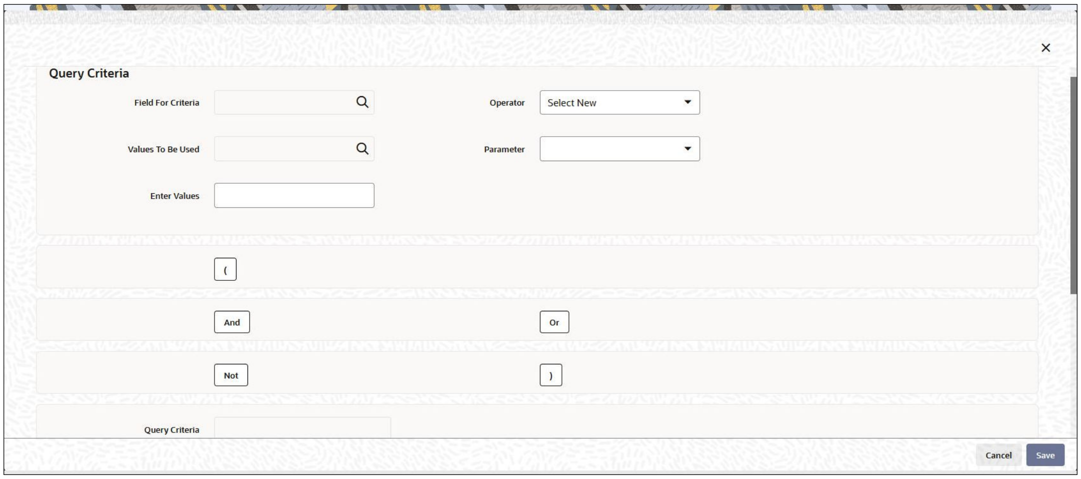
Table 7-3   Parameter - Field Description

Field	Description
Parameter Name	*Optional* Select the name of the parameter from the drop-down list. The list displays the following options: • **Fund ID** • **Unit Holder ID** • **Load ID** • **Transaction Type** • **Transaction Date** • **Transaction Amount** • **Transaction Units** • **MOP** • **To Unit Holder ID** • **To Fund ID** • **Broker Code** • **Parent Broker Code** • **Agent Code** • **Branch** • **From Date** • **To Date**
ADD	Click **ADD** button to add the required parameters details to parameters field after selecting the required parameters name.
Delete	Click **Delete** button to delete the added parameters by selecting the same if required.

6. Click the **Where Criteria** button to enter the query details.

   The **Query Criteria** screen is displayed.

Figure 7-4 Load Maintenance Detail_Criteria_Where Criteria



7. On **Query Criteria** screen, specify the required criteria fields.

   For more information on fields, refer to the field description table.

Table 7-4 Query Criteria - Field Description

Field	Description
Field For Criteria	*Alphanumeric; 50 Characters; Optional* Specify the field for criteria.
Operator	*Optional* Select operator details from the drop-down list. The list displays the following values: • = • <> • <= • < • >= • > • Like • Not Like
Values To Be Used	*Alphanumeric; 1 Character; Optional* Specify the values to be used.
Parameter	*Optional* Select the parameter details.
Enter Values	*Alphanumeric; 6 Characters; Optional* Specify the values to be entered to query Click one of the following expressions button to add it in the Query Criteria field: • (• And • Or • Not •)
Clear	Click **Clear** button to clear the specified details.

8. Click the **Show Details** button to view the criteria entered.

9. Use the following table.

   Requirement for fee based on communication mode and /or investor account classification / category will be handled via criteria based load in **Load Maintenance** using the following table.

   Table 7-5 Criteria based load

Table Name to be used in criteria	Column Name to be used in 'Where' clause
TRANSACTIONDETAILS	TRANSACTIONDETAILS.COMMUNICATIONMODE
INVESTOR	NVESTOR.UNITHOLDERCATEGORY

10. You need to maintain criteria based load to apply short trade penalty for the applicable outflow transactions.
    - Following are the 2 separate loads to be used for short trade period transactions and transactions with short trade units:
      - For Short Trade Period, select the following options:
      - In **Mode** field, select **Period**
      - In **Period Basis** field, select **Days**
      - In **Criteria** field, specify the transaction details table and short trade units column., i.e., for short trade period, specify where `TRANSACTIONDETAILS.SHORTTRADEUNITS = 0`
    - For Short Trade Units, select the following options:
      - In **Mode** field, select **Date**
      - In **Criteria** field, specify the transaction details table and short trade units column, i.e., for short trade units, specify where `TRANSACTIONDETAILS.SHORTTRADEUNITS <> 0`

- Load Details
  This topic provides information on Load Details.

7.1.1.1 Load Details

This topic provides information on Load Details.

After you have set up the basic parameters for a load in the main Load Definition screen, you must set up the details of any applicable slabs and any criteria for the load, before you actually save the load into the system database. To do so, scroll down to the Load Details section at the lowest portion of the Load Maintenance screen. Here, you can specify the following information for each slab that you want to define for the load:

For loads with the Slab Mode Date, Date and Amount, or Date and Units

1. Specify the lower and upper date boundaries for each slab, in the From Date and To Date fields.
2. Specify the lower and upper amount or units boundaries for each slab, in the From Amount and To Amount fields, or the From Units and To Units fields, as applicable.
3. Specify the applicable return value for each slab in the Return Value field.
4. Specify the floor and ceiling values, if any.
5. Save your specifications.

For loads with the Slab Mode Period, Period and Amount, or Period and Units

1. Specify the lower and upper period boundaries for each slab, in the From Period and To Period fields.
2. Specify the lower and upper amount or units boundaries for each slab, in the From Amount and To Amount fields, or the From Units and To Units fields, as applicable.
3. Specify the applicable return value for each slab in the Return Value field.
4. Specify the floor and ceiling values, if any.
5. Save your specifications.

Load setup for short trade period and units

Load setup for short trade period and units are as follows:

transactiondetails.ShorttradeloadAppl = Y for short trade units and short trade period.

In case of Pseudo Switch, if From Fund ID and To Fund ID is of same Fund Family, then **transactiondetails.ShorttradeloadAppl** will be set to **N**.

In case of Pseudo Switch, if From Fund ID and To Fund Id is of different fund Family then **transactiondetails.ShorttradeloadAppl** will be set to **Y**.

For all other transaction type **transactiondetails.ShorttradeloadAppl** will be set to **Y**.

Load set up for Short Trade Period

Criteria for the Load applicable for Short trade period is `transactiondetails.shorttradeunits = 0` and `transactiondetails.ShorttradeloadAppl` = **Y**

Load Details for the Load applicable for Short trade period will be from Period 0 and To Period 7.

To Period 7, the number of days as decided by the business for the fund maintained in **Fund Preference Maintenance (UTDFPMNT)**. It will be calendar days.

Return value will be 10%.

The system maps the load for all applicable fund with Based on Income Short Trade selected as Period (T).

Load set up for Short Trade Units

Criteria for the Load applicable for Short trade units is `transactiondetails.shorttradeunits <> 0` and `transactiondetails.ShorttradeloadAppl` = **Y**.

Load Details for the Load applicable for Short trade Date will be from 01/01/1900 and To 12/31/2999.

Return value will be 10%.

The system maps the load for the applicable fund with Based on Income Short Trade selected as Units (U).

Load Details Section

In the **Load Details** section, for more fields refer to the following table.

Table 7-6   Load Details

Field	Description
Slab Sequence No	*Display* This number is generated by the system for each slab in the order of entry of the slab details. The sequence number begins with `1`. You can set up multiple slabs for every load.
From Date	*Date Format; Mandatory only for date-based loads* For date-based loads (i.e., the slab mode you selected for the load in the main **Load Definition** screen is either **Date**, **Date and Amount** or **Date and Units**), specify the date on and following which the slab is applicable. Any transaction date higher than this date is reckoned as part of the slab. If you have designated the lower boundary as inclusive the load by checking the **Consider as Lower Boundary** check box in the main **Load Definition** screen, then any transaction date that is equal to the date you specified here is also reckoned as part of the slab.
To Date	*Date Format; Optional* For date-based loads (i.e., the slab mode you selected for the load in the main **Load Definition** screen is either **Date**, **Date and Amount** or **Date and Units**), specify the date up to which the slab is applicable. Specifying the **To Date** is optional. If not specified, the system defaults the same, based on the system High Date Value maintained in the Defaults Maintenance.
From Amount	*Numeric, 12 Characters; Mandatory for all loads with Slab Mode as Amount, Date and Amount or Period and Amount only* Specify the lower amount boundary for the slab. Any amount higher than this amount is reckoned as part of the slab. If you have designated the lower boundary as inclusive the load by checking the **Consider as Lower Boundary** check box in the main **Load Definition** screen, then any transaction amount that is equal to the amount you specified here is also reckoned as part of the slab.
To Amount	*Numeric; 30 Characters; Optional* Specify the upper amount boundary for the slab. Any amount lower than this amount is reckoned as part of the slab. Specifying the **To Amount** is optional. If not specified, the system defaults the same, based on the system High Amount Value maintained in the Defaults Maintenance.
From Units	*Numeric; 27 Characters; Mandatory for all loads with Slab Mode as Units, Date and Units or Period and Units only* Specify the lower units boundary for the slab. Any number of units higher than this value is reckoned as part of the slab. If you have designated the lower boundary as inclusive the load by checking the **Consider as Lower Boundary** check box in the main **Load Definition** screen, then a number of units applied that is equal to the value you specified here is also reckoned as part of the slab.
To Units	*Numeric; 27 Characters; Optional* Specify the upper units boundary for the slab. Any number of units lower than this value is reckoned as part of the slab. Specifying the **To Units** is optional. If not specified, the system defaults the same, based on the system High Units Value maintained in the Defaults Maintenance.

Table 7-6 (Cont.) Load Details

Field	Description
From Period	*Numeric; 22 Characters; Mandatory only for period-based loads* For period-based loads (that is, the slab mode you selected for the load in the main **Load Definition** screen is either **Period**, **Period and Amount** or **Period and Units**), specify the beginning of the period in which the slab is applicable. Any period higher than this is reckoned as part of the slab. If you have designated the lower boundary as inclusive the load by checking the **Consider as Lower Boundary** check box in the main **Load Definition** screen, then any period that is equal to this specified here is also reckoned as part of the slab. The period you specify here will be interpreted by the basis you have specified in the **Period Basis** field in the main **Load Definition** screen. For instance, if you enter a value `1`, then it will be deemed as `1` day of the period basis is **Days**, `1` month if the period basis is **Months** and `1` year if the period basis is **Years**.
To Period	*Numeric; 22 Characters; Optional* For period-based loads (i.e., the slab mode you selected for the load in the main **Load Definition** screen is either **Period**, **Period and Amount** or **Period and Units**), specify the end of the period in which the slab is applicable. The period you specify here will be interpreted by the basis you have specified in the **Period Basis** field in the main **Load Definition** screen. For instance, if you enter a value `1`, then it will be deemed as `1` day of the period basis is **Days**, `1` month if the period basis is **Months** and `1` year if the period basis is **Years**. Specifying the **To Period** is optional. If not specified, the system defaults the same, based on the system High Period Value maintained in the Defaults Maintenance.
From Counter	*Numeric; 22 Characters; Optional* Specify the range value applicable for mode deduction counter.
To Counter	*Numeric; 22 Characters; Optional* Specify the range value applicable for mode deduction counter.
Return Value	*Numeric; 30 Characters; Mandatory* Enter the load value applicable for the slab. This is the value that will be applied if the load is applicable for any transaction. If the return value is indicated to be a percentage of the base price / transaction amount then the value entered should not be greater than one hundred percent.
Floor Value	*Numeric; 22 Characters; Optional* Specify the minimum amount that must be paid for this load. If the computation of the load returns a value that is lower than this figure, then the applicable load considered is this figure.
Ceiling Value	*Numeric; 30 Characters; Optional* Specify the maximum amount that must be paid for this load. If the computation of the load returns a value that is higher than this figure, then the applicable load considered is this figure.
UH Deal Ceiling Value	*Numeric; 30 Characters; Optional* You can specify the UH deal ceiling value either in terms of amount or in terms of percentage.

Refer topic *Arriving at the Load Return Value and Load Amounts* in *The Allocation Process* in *Fund Manager* User Manual for details.

7.1.2 Load Maintenance Detail - Derived Button

This topic explains the Derived button of the **Load Maintenanace Detail** screen.

A load can be defined not only on the basis of the parameters, but also ‘deriving’ from (or dependant on) another load. Such loads are termed as derived loads.

In a typical AMC scenario, for example, the charges that are collected from an investor could constitute the parent load and the particulars, that are dependent on the initial collected charges, could be the derived loads. These could comprise broker charges, VAT component, and so on.

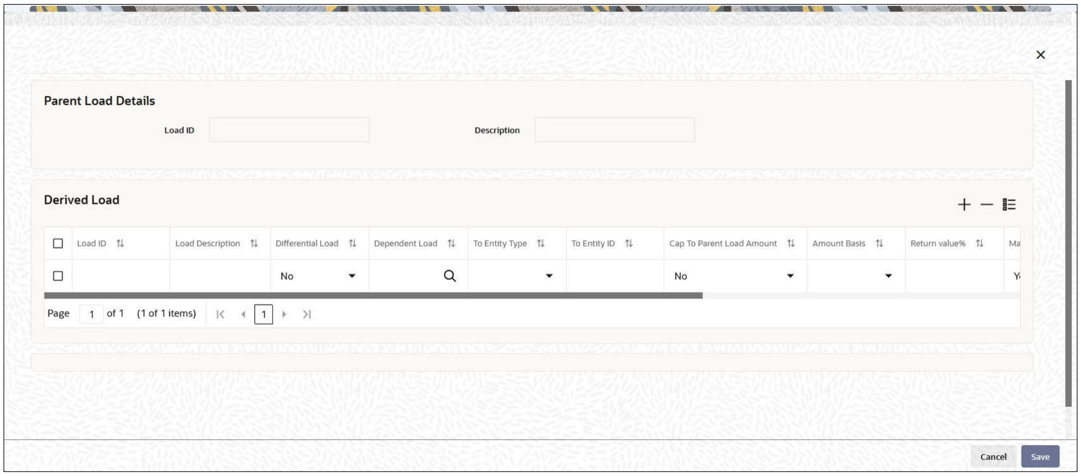
In the **Oracle FLEXCUBE Investor Servicing** system, you can define loads based on other loads. This means that you can map any load that you set up to a parent load. A tree - structure with multiple levels is therefore possible for loads. The lowest level loads are called Parent Loads, and all other loads will be defined as loads that are dependent on these loads. The loads that are dependent are called derived loads.

Derived loads could also be defined to effect fee and commission sharing between a Distributor and the other intermediaries in the hierarchy, for a transaction.

1. Create a derived load that is dependent on the main load after you have created a load in the **Load Definition** screen.
2. Click **Derived** button.

   The **Derived Load Set Up** screen is displayed.

Figure 7-5 Load Maintenance Detail_Derived Button



☐	Load ID ⇅	Load Description ⇅	Differential Load ⇅	Dependent Load ⇅	To Entity Type ⇅	To Entity ID ⇅	Cap To Parent Load Amount ⇅	Amount Basis ⇅	Return value% ⇅	Ma
☐			No ▾	🔍	▾		No ▾	▾		Y

3. On **Derived Load Set Up** screen, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-7   Derived Load Set Up - Field Description

Field	Description
Load ID	*Display Only* The ID of the Load to which the derived load that is being set up should be mapped, is displayed here, from the **Load Definition** screen. This is the parent load.
Description	*Display* The system displays the description of the load ID.
Derived Load Section	In this section, you may specify the parameters for a new derived load. Once you tab out of the last field in the row, (i.e. the Criteria field), the record is saved automatically.
Load ID	*Numeric; 5 Characters; Mandatory* Specify a unique alphanumeric identifier for the derived load. This ID must not be the ID of a load already existing in the system database.
Load Description	*Alphanumeric; 60 Characters; Mandatory* Enter some descriptive or narrative text, qualifying the derived load. It should describe the purpose for which the load has been set.
Differential Load	*Optional* Select the differential load status from the drop-down list. The list displays the following values: • **Yes** • **No**
Dependent Load	*Alphanumeric; 6 Characters; Mandatory* Specify the dependent load.
To Entity Type	*Optional* Select the type of entity that will be the recipient of the derived load from the drop-down list. The load setup must be applicable for the entity type you select in this field. The list displays the following values: • **Agent** • **Broker** • **Bulk Client** • **Distributor** • **Fund** • **Bank Branch** • **Bank** • **Clearing Agent** • **AMC** • **Agency Branch** • **Policy** • **Check Vendor** • **Registrar** • **Custodian** • **Trustee** • **Investor** • **Accounting and Valuation Agent** • **Underwriter** • **Transaction** • **Fund Price**

Table 7-7 (Cont.) Derived Load Set Up - Field Description

Field	Description
To Entity ID	*Alphanumeric; 12 Characters; Optional* Specify the ID of the entity to which this load is payable. This must be the ID of a valid entity in the system, and the load setup must be applicable for this entity type.
Cap to Parent Load Amount	*Optional* Select `Yes` to indicate that the derived load amount is to be capped to the parent load amount. If selected as `Yes` then the sum of derived load amounts cannot be greater than the parent load amount. If not, the net derived amount can be negative (that is, the resultant front end load for a particular entity could be negative). This specification is used for derived loads that are set up for the purpose of fee/commission sharing between the AMC and the Distributors.
Amount Basis	*Optional* In this field, you can indicate whether the derived load is a percentage of the parent load amount, or whether it is derived based on the transaction amount. Select either **Gross** or **Net** to indicate that the derived load is to be derived based on the transaction amount; leave this field blank to indicate that the derived load is a percentage of the parent load amount. This specification is used for derived loads that are set up for the purpose of fee/ commission sharing between the AMC and the Distributors.
Return Percentage	*Numeric; 22 Characters; Optional* Enter the load percentage that is applicable for this derived load. This value must be greater than zero and less than one hundred.
Mandatory	*Optional* Select `Yes` to indicate that the derived load is to be processed as a mandatory load. If you select `No` then the derived load is deemed to be an optional load. A mandatory derived load will be applied (or processed) based on the criteria setup for this load. An optional derived load will be applied based on the priority you assign to it, depending upon the priority number you specify in the **Priority No.** field in this screen.
Priority No.	*Numeric; 22 Characters; Optional* Specify the priority number that will indicate the priority of application for the derived load.

4. Click **Criteria** link to specify the criteria.

   The **Query Builder** is opened and you can specify an SQL statement, by the directives of which the load will be processed.

5. Click **Criteria** button to invoke **Criteria** screen.

7.1.3 Load Maintenance Detail - Basis Button

This topic explains the Basis button of the **Load Maintenanace Detail** screen.

The basis of application of a load is not restricted only to the following parameters:

- Date

- Period
- Amount
- Units
- Date and Amount
- Date and Units
- Period and Amount
- Period and Units

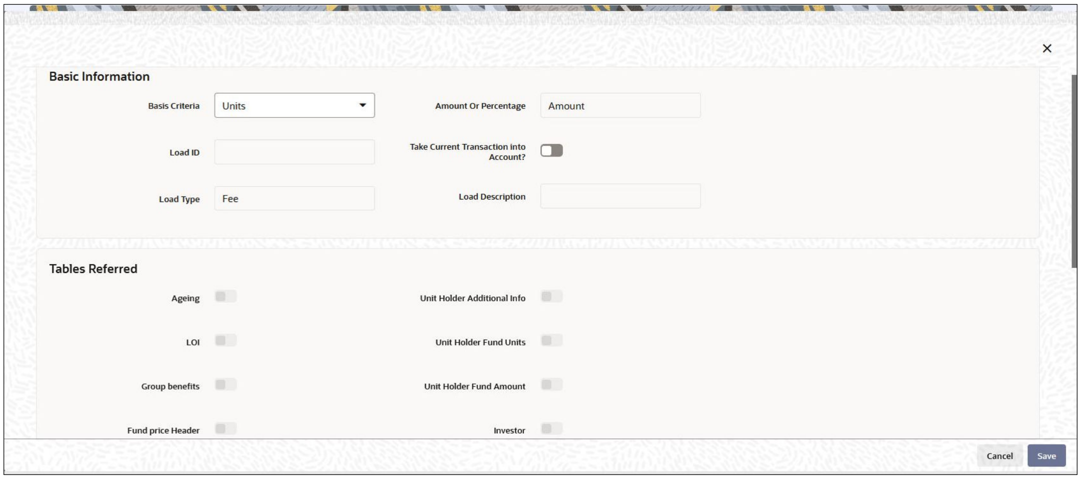
The following example will make this clear:

Basis definitions are usually defined based on a number of holdings units, or a period of time, in days.

1. In **Oracle FLEXCUBE Investor Servicing**, you can create a basis definition for any load, through the **Basis Definition** screen, after you have created a load in the **Load Definition** screen.
2. Click **Basis** button.

   The **Basis Load Set Up** screen is displayed.

Figure 7-6 Load Maintenance Detail_Basis Button



Basic Information

Basis Criteria: Units

Amount Or Percentage: Amount

Load Type: Fee

> **Note:**
>
> - You cannot build a basis definition more than once on the same load.
> - You can build a basis definition using either the units or period as a basis parameter. It is not possible to build a basis definition using amount as a basis parameter in this screen.
> - Basis definitions can be built only on Period and Units as parameters.

3. On **Basis Load Set Up** screen, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-8 Basis Load Set Up - Field Description

Field	Description
Basis Information	The section displays the following fields.
Basis Criteria	*Optional* In this section, you can set up the criteria that will characterize this basis definition. Depending upon whether the basis is reckoned on a number of units or a number of days click the **Criteria** link and then use the **Query Builder** to make your specification. To do so, click the **Criteria** link. The **Query Builder** is opened. The criteria that you set up through the Query Builder must return a single value. Once you have saved your specification and closed the Query Builder, the SQL statement corresponding to the desired criteria appears in the **Criteria** box, and the tables that have been referred in the execution of the criteria are clicked in the Tables Referred Box.
Load ID	*Display* The ID of the load that you specified in the **Load Definition** screen, for which you are creating a basis definition, is displayed here.
Load Type	*Display* The type of the load for which you are creating a basis definition is displayed here, from the **Load Definition** screen.
Amount Or Percentage	*Display* The system displays if load is amount or percentage.
Take Current Transaction into Account	*Optional* Check this box to indicate the basis definition you are making in this record must take any current transactions into account while computing the return values. By default, this box is not checked.
Load Description	*Display* The system displays the load description.
Tables Referred	The section displays the following fields.
Display Only	After you have saved your criteria specification in the **Query Builder**, and closed the same, the SQL statement corresponding to the desired criteria appears in the **Criteria** box, and the tables that have been referred in the execution of the criteria are clicked in this Box. Criteria can be based on any one of the eight parameters given under the **Tables Referred** section. They can be any of the following: • **Ageing** • **LOI** • **Group Benefits** • **Fund Price Header** • **Unit Holder Additional Info** • **Unit Holder Fund Units** • **Unit Holder Fund Amount** • **Investor** **Note:** The dynamic packages will get recreated on unlock, save and authorization.

7.2 Load Maintenance Summary

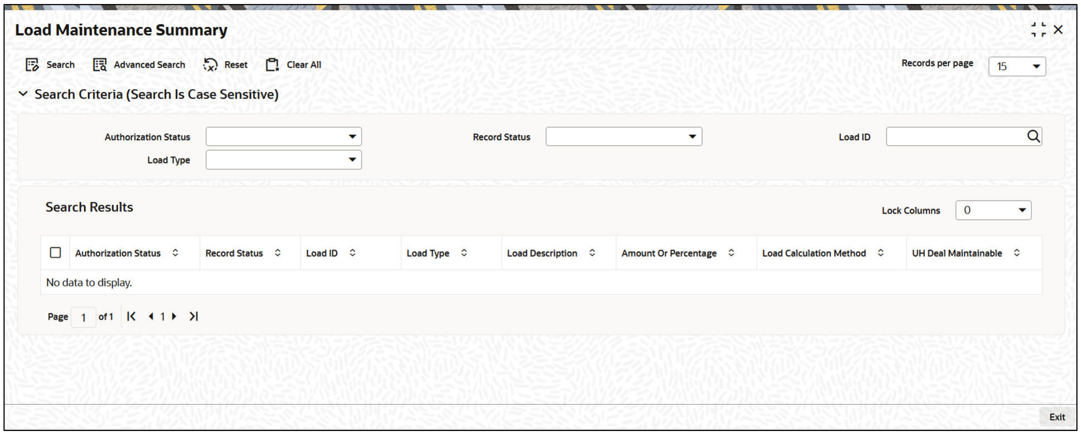
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Load Maintenance Details

1. On **Home** screen, type **UTSLOADM** in the text box, and click **Next**.

   The **Load Maintenance Summary** screen is displayed.

   Figure 7-7 Load Maintenance Summary

   No data to display.

2. On **Load 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**
   - **Load ID**
   - **Load Type**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. You must have another user authorize it so that it would be effective in the system after you have set up a load.

5. You can edit the load as many times as necessary before the load is authorized. You can also delete a load before it is authorized.
6. You can only make changes to a load (or any components such as derived or basis loads) through an amendment after authorization.
7. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

   You can search the record for Load ID by using the combination of % and alphanumeric value as follows:

   - Search Load Description by C%: The system will fetch all the records whose Load ID starts from Alphabet ‘C’. For example, Common Load
   - Search Load ID by %5: The system will fetch all Load ID which end by 5. For example: 5415

- Edit Load Maintenance Details
  This topic provides the systematic instructions to edit Load Maintenance record.
- View Load Maintenance Details
  This topic provides the systematic instructions to view Load Maintenance record.
- Delete Load Maintenance Details
  This topic provides the systematic instructions to delete Load Maintenance record.
- Authorize Load Maintenance Details
  This topic provides the systematic instructions to authorize Load Maintenance record.
- Amend Load Maintenance Details
  This topic provides the systematic instructions to amend Load Maintenance record.
- Authorize Amended Load Maintenance Details
  This topic provides the systematic instructions to authorize amended Load Maintenance record.
- Copy Attributes of Load Maintenance
  This topic provides the systematic instructions to copy attributes of Load Maintenance.
- Maintain Fees Applicable on Periodic Basis
  This topic provides the systematic instructions to maintain Load Maintenance records.
- Process Load and Commission
  This topic provides the systematic instructions to process Load Maintenance record.

7.2.1 Edit Load Maintenance Details

This topic provides the systematic instructions to edit Load Maintenance record.

Modify the details of Load Maintenance that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Load Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to modify in the list of displayed records.

   The **Load 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 **Load Maintenance Detail** screen is closed and the changes made are reflected in the **Load Maintenance Summary** screen.

7.2.2 View Load Maintenance Details

This topic provides the systematic instructions to view Load Maintenance record.

View a record that you have previously input by retrieving the same in the **Load Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Load Maintenance Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.

4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to view in the list of displayed records.

   The **Load Maintenance Detail** screen is displayed.

7.2.3 Delete Load Maintenance Details

This topic provides the systematic instructions to delete Load Maintenance record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Load Maintenance Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for deletion.

3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you want to delete in the list of displayed records.

   The **Load 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.

7.2.4 Authorize Load Maintenance Details

This topic provides the systematic instructions to authorize Load Maintenance record.

Authorize an unauthorized Currency Cutoff time in the system for it to be processed as follows:

1. Start the **Load Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Load 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.

7.2.5 Amend Load Maintenance Details

This topic provides the systematic instructions to amend Load 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 **Load Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Load 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.

7.2.6 Authorize Amended Load Maintenance Details

This topic provides the systematic instructions to authorize amended Load Maintenance record.

1. You can make changes to any of the details of the load after a load is authorized in the **Load Authorization** screen, provided the authorized load has not already been designated as applicable for a fund or load group.
2. If the load has already been mapped to a fund or a load group in the **Fund Load Setup** screen or the **Group Load Mapping** screen, you cannot amend the load.

3. Provided amendment is possible for the load, you can modify the slab details, any derived or basis loads. If there are no derived loads or basis loads created for the load, you can set up these during amendment.
4. When you amend an authorized load (provided editing is possible), the changes you make will be saved as unauthorized changes in the database. You must subsequently authorize the record of the load again, so that the changes are effected as authorized in the database.
5. An amended load must be authorized for the amendment to be made effective in the system. The process of authorization is the same as that of normal authorization process.

7.2.7 Copy Attributes of Load Maintenance

This topic provides the systematic instructions to copy attributes of Load Maintenance.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new **load** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **load** 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 **load**. You can, however, change the details of the new record.

7.2.8 Maintain Fees Applicable on Periodic Basis

This topic provides the systematic instructions to maintain Load Maintenance records.

To create a new record that you have previously created. Perform this operation as follows:

1. Some fees or incentives are periodic in nature, that is, they may not be processed each time a transaction is requested or allocated, but they are paid on a periodic basis.
2. For instance, trailing commission paid to brokers is typically applicable over a period, irrespective of whether any transactions have been entered. Similarly, a management fee charged by an AMC can be applicable on a monthly basis, or a any other frequency, irrespective of whether any transactions have occurred or not.

7.2.9 Process Load and Commission

This topic provides the systematic instructions to process Load Maintenance record.

1. In case of transactions done in currency of expression, the load amount during the transaction allocation will be calculated in currency of expression as well as in FBC. If a trade is in FBC; commission will be calculated in FBC.

   The system internally computes the gross amount and net amount in Fund base currency; these fields are mandatory fields that are to be computed as part of core allocation process.
2. In case of slab based load, the slab amounts will be held in FBC. The transaction amount in currency of expression will be exchanged to FBC by taking the COE conversion factor and the value will be matched against the slab to get the proper applicable load.

The system will calculate the Normal Average Cost and Weighted Average Cost in Fund Base Currency. The gain will be calculated in Fund Base Currency. The Withholding Tax (EUSD) will be calculated in Fund Base Currency.

3. The maintained fund formula for that fund will be applicable to all the prices in all allowed currency of expression for the Fund along with FBC.

   For instance, the formula maintained for OFFER component as OFFER = NAV+3%of NAV (or the formula maintained can be NAV+2). The formula will be considered to derive the OFFER price component in FBC and other maintained Fund Price currencies for that fund using the NAV entered for respective currencies. This will be similar for other price components maintained in Fund Formula.

4. The price calculation method must be identical for each transaction currency within each share class. Trailer commission will be calculated in FBC.

5. In case of load held as amount, the system will apply the COE conversion factor and also the floor, ceiling and return value held in FBC will also use COE currency factor. All the amount values maintained in Load maintenance will be in FBC and the system will use CEO conversion factor for amount based load.

7.3 Process Across Schemas Load Mapping Detail

This topic provides the systematic instructions to map loads to different schemas.

Map Loads

For criteria load mapping, the dynamic package will generate in the new schema upon authorization. You can map loads created in other schema using **Load Mapping Detail** screen.

During mapping operation, the system will display all the loads across schemas stored globally and not only those created in that particular schema. This will avoid re-entry and duplication of data.

The workflow is as follows:

- Assume operations in two countries Bermuda and Luxembourg, where a fund manager FUNMGR operates. You need to login and choose the module Fund manager of Bermuda (probably represented as FMGBDAAMC) and create a Load ID 1080.
- You should open Fund Manager module of LUX (probably represented as FMGLUXAMC) and do a map operation of load maintenance in the **Across Schemas Load Mapping Detail** screen.
- Select this load record and click **Save** button. The system will enable the LUX schema/ segment also to see the Load ID in the respective LOBs of Loads after the record is authorized.
- Upon mapping the load, the system will allow you to map the load created in different schema.

Within the same installation if duplication of data needs to be avoided, then you can use the mapping details to map the load created in one schema into the other.

Loads will be available in the Schema in which they are created similar to Entity Maintenance. The loads will not be defaulted/displayed in all other schemas.

Only authorized Load records will be available for mapping in the **Across Schemas Load Mapping Detail** screen. You can map the loads created across schemas in the schema in which you have logged in by using the new **Across Schemas Load Mapping Detail** screen.

You can view only the loads which are mapped to the current module from the detail screen.

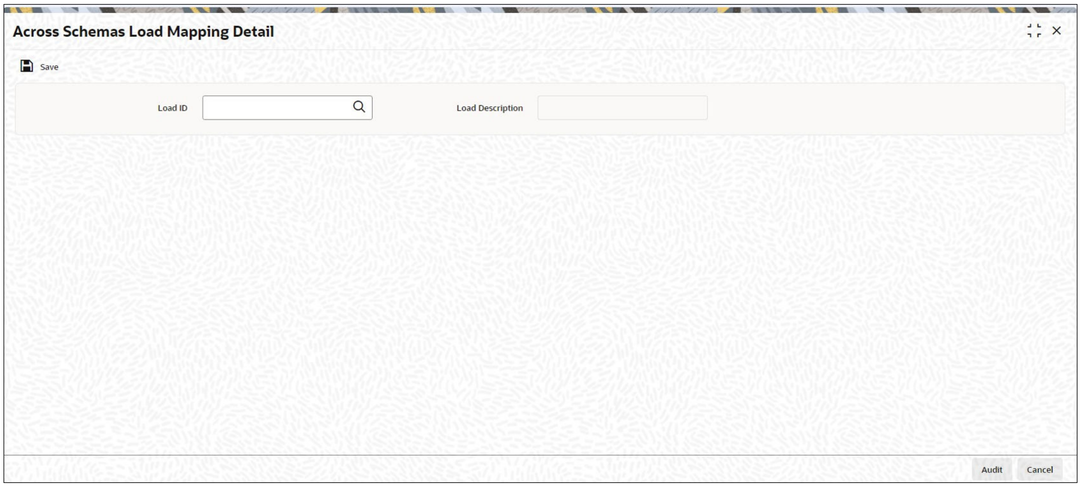
Amendment and Modification of load is limited only to the Parent schema in which the load is created. However, Loads will not be allowed for any modification or amendment if it is mapped in the system in any other schemas.

For Criteria Load mapping, on authorization of the load using **Load Mapping** (UTDLOAMP) screen, the system will generate the dynamic package.

1. On **Home** screen, type **UTDLOAMP** in the text box, and click **Next**.

   The **Across Schemas Load Mapping Detail** screen is displayed.

   Figure 7-8   Across Schemas Load Mapping Detail

2. On **Across Schemas Load Mapping Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

   Table 7-9   Across Schemas Load Mapping Detail - Field Description

Field	Description
Load ID	*Numeric; 5 Characters; Mandatory* Specify the load ID across schema will be available for mapping. Alternatively, you can select the load ID from the option list. The list displays all valid load ID maintained in the system.
Load Description	*Display* The system displays the description for the selected load ID.

7.4 Across Schemas Load Mapping Summary

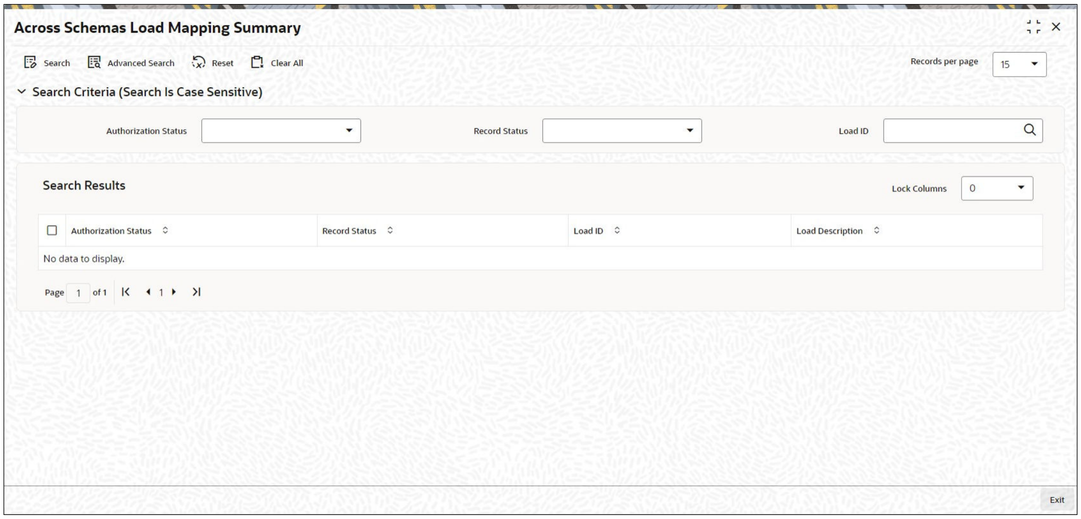
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Across Schemas Load Mapping Details

1. On **Home** screen, type **UTSLOAMP** in the text box, and click **Next**.

   The **Across Schemas Load Mapping Summary** screen is displayed.

Figure 7-9 Across Schemas Load Mapping Summary



Records per page 15

Lock Columns 0

No data to display.

Page 1 of 1

2. On **Across Schemas Load 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**
   - **Load ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Authorize** operation by selecting from the Action list. You can also search a record by using a combination of % and alphanumeric value.

   You can search the record for load mapping by using the combination of % and alphanumeric value as follows:
   - Search by A%: The system will fetch all the records whose Load ID starts from Alphabet ‘A’. For example, ACCB.
   - Search by %7: The system will fetch all the records whose Load ID has 7. For example: ACT7.

- Edit Across Schemas Load Mapping Details
  This topic provides the systematic instructions to edit Across Schemas Load Mapping record.
- View Across Schemas Load Mapping Details
  This topic provides the systematic instructions to view Across Schemas Load Mapping record.
- Authorize Across Schemas Load Mapping Details
  This topic provides the systematic instructions to authorize Across Schemas Load Mapping record.

7.4.1 Edit Across Schemas Load Mapping Details

This topic provides the systematic instructions to edit Across Schemas Load Mapping record.

Modify the details of load mapping record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Across Schemas Load 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Across Schemas Load Mapping Detail** screen is displayed.
6. Select **Unlock** operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Across Schemas Load Mapping Detail** screen is closed and the changes made are reflected in the **Across Schemas Load Mapping Summary** screen.

7.4.2 View Across Schemas Load Mapping Details

This topic provides the systematic instructions to view Across Schemas Load Mapping record.

View a record that you have previously input by retrieving the same in the **Across Schemas Load Mapping Summary** screen. Perform this operation as follows:

1. Start the **Across Schemas Load 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 lower portion of the screen.

5. Double-click the record that you want to view in the list of displayed records.

   The **Across Schemas Load Mapping Detail** screen is displayed.

7.4.3 Authorize Across Schemas Load Mapping Details

This topic provides the systematic instructions to authorize Across Schemas Load Mapping record.

An unauthorized load mapping record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **Across Schemas Load 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 lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **Across Schemas Load Mapping Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

7.5 Process Exchange Rate Source Mapping Detail

This topic provides the systematic instructions to map the Exchange Rate Sources created across schemas.

Map Exchange Rate Source

1. Use exchange rate in other schemas only when it is mapped.

   For instance, assume operations in two countries Bermuda and Luxembourg, where a fund manager FUNMGR operates. You need to login and choose the module Fund manager of Bermuda (probably represented as FMGBDAAMC) and create an Exchange Rate Source **Reuter**.

   The system will display all the exchange rate source across schemas stored globally and not only those created in that particular schema.

2. You open Fund Manager module of LUX (probably represented as FMGLUXAMC) and do a map operation of exchange rate maintenance in the **Exchange Rate Source Mapping** screen.
3. You need to select this source record and click **Save** button.

   The system will enable the LUX schema/segment also to see the Exchange Rate Source (Reuter) in the respective LOBs of Exchange rates after the record is authorized.

4. You can map the source created in different schema upon mapping the exchange rate source.

Once the exchange rate source is mapped into the schema, the same will be available for mapped schema across all applicable functions.

5. Exchange rate source will be available in the Schema in which they are created similar to Entity Maintenance.

   The source will not be defaulted/displayed in all the schemas.

6. Map only authorized exchange rate source records in the **Exchange Rate Source Mapping Detail** screen. Also map the Exchange Rate Sources created across schemas in the schema in which you are logged in by using this screen.

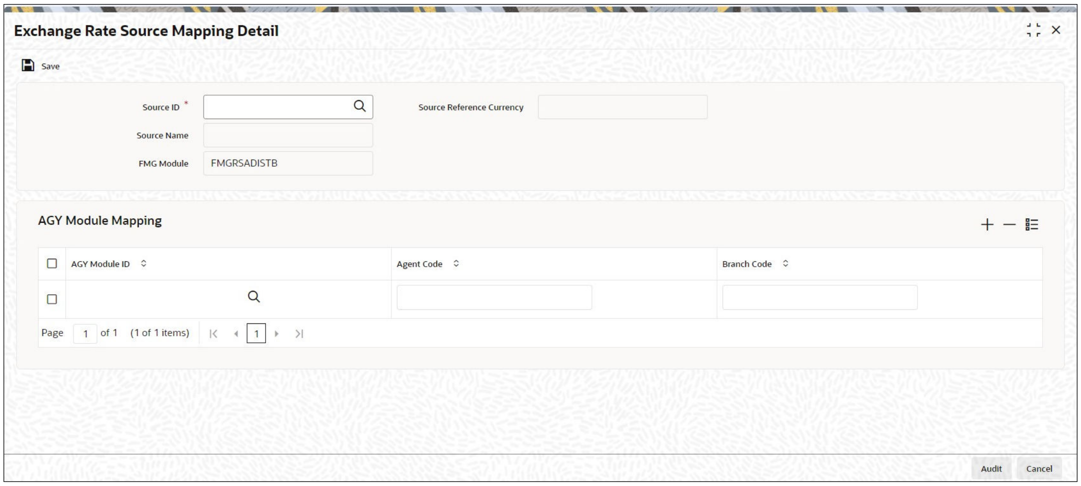
7. View Exchange Rate Sources which are mapped to the current module from the detail screen.

Exchange Rate Source Mapping Detail

8. On **Home** screen, type **UTDEXRMP** in the text box, and click **Next**.

   The **Exchange Rate Source Mapping Detail** screen is displayed.

Figure 7-10 Exchange Rate Source Mapping Detail



FMG Module: FMGRSADISTB

9. On **Exchange Rate Source Mapping Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-10 Exchange Rate Source Mapping Detail - Field Description

Field	Description
Source ID	*Alphanumeric; 6 Characters; Mandatory* Specify the source ID across schema will be available for mapping. Alternatively, you can select the source ID from the option list. The list displays all valid source ID maintained in the system.
Source Name	*Display* The system displays the source name for the selected source ID.
Source Reference Currency	*Display* The system displays the source reference currency code.
FMG Module	*Display; Alphanumeric; 30 Characters* The system displays the current logged in FMG Module.

Table 7-10   (Cont.) Exchange Rate Source Mapping Detail - Field Description

Field	Description
AGY Module Mapping	AGY Module Mapping is used to map the required exchange rate sources to one or more AGY modules of the Fund manager. It includes the following fields. • **AGY Module ID** • **Agent Code** • **Branch Code** **Note:** If there is no module mapped in **AGY Module Mapping** section, then the entity will be listed in all Agency branches of the mapped Fund Manager. If there is any module mapped in **AGY Module Mapping** section, then the entity will be listed only in the mapped Agency branch of the mapped Fund Manager.
AGY Module ID	*Alphanumeric; 30 Characters; Mandatory* Specify the AGY module ID. Alternatively, you can select the AGY module ID from the LOV. The list displays the same maintained in the system.
Agent Code	*Display* The system displays the default agent code for the selected AGY Module ID.
Branch Code	*Display* The system displays the default branch code for the selected AGY Module ID.

7.6 Exchange Rate Source Mapping Summary

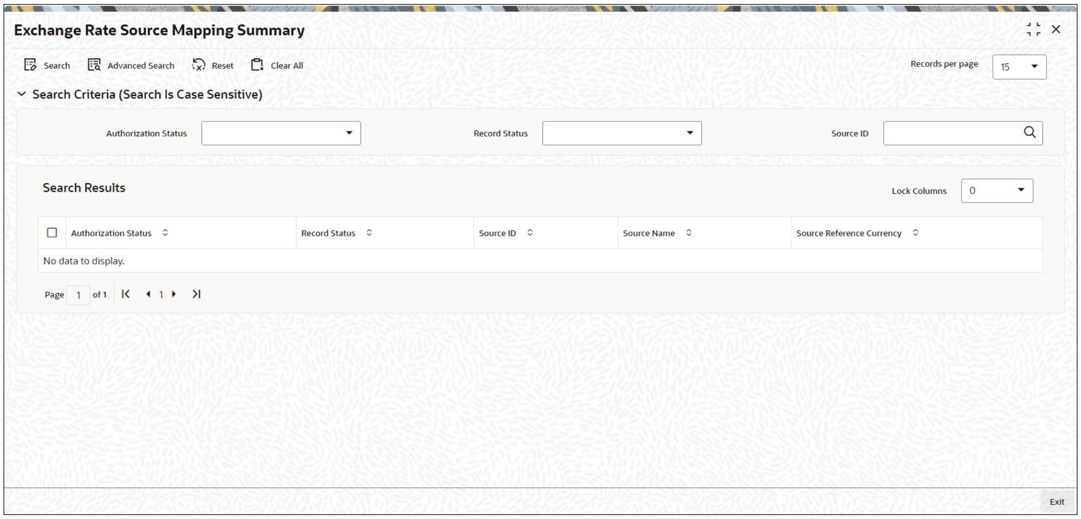
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Exchange Rate Source Mapping Details

1. On **Home** screen, type **UTSEXRMP** in the text box, and click **Next**.

   The **Exchange Rate Source Mapping Summary** screen is displayed.

Figure 7-11   Exchange Rate Source Mapping Summary



2. On **Exchange Rate Source 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**
    - **Source ID**
3. Click **Search** button to view the records.

    All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Authorize** operation by selecting from the Action list. You can also search a record by using a combination of % and alphanumeric value.

    You can search the record for source mapping by using the combination of % and alphanumeric value as follows:
    - Search by A%: The system will fetch all the records whose Source ID starts from Alphabet ‘A’. For example, ACCB.
    - Search by %7: The system will fetch all the records whose Source ID has 7. For instance: ACT7.

- Edit Exchange Rate Source Mapping Details
  This topic provides the systematic instructions to edit Exchange Rate Source Mapping record.
- View Exchange Rate Source Mapping Details
  This topic provides the systematic instructions to view Exchange Rate Source Mapping record.
- Authorize Exchange Rate Source Mapping Details
  This topic provides the systematic instructions to authorize Exchange Rate Source Mapping record.

7.6.1 Edit Exchange Rate Source Mapping Details

This topic provides the systematic instructions to edit Exchange Rate Source Mapping record.

Modify the details of source mapping record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Exchange Rate Source 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Exchange Rate Source Mapping Detail** screen is displayed.
6. Select **Unlock** Operation from the Action list to modify the record. Modify the necessary information.
7. Click **Save** to save your changes.

   The **Exchange Rate Source Mapping Detail** screen is closed and the changes made are reflected in the **Exchange Rate Source Mapping Summary** screen.

7.6.2 View Exchange Rate Source Mapping Details

This topic provides the systematic instructions to view Exchange Rate Source Mapping record.

View a record that you have previously input by retrieving the same in the **Exchange Rate Source Mapping Summary** screen. Perform this operation as follows:

1. Start the **Exchange Rate Source 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Exchange Rate Source Mapping Detail** screen is displayed.

7.6.3 Authorize Exchange Rate Source Mapping Details

This topic provides the systematic instructions to authorize Exchange Rate Source Mapping record.

Authorize an unauthorized source mapping record in the system for it to be processed as follows:

1. Start the **Exchange Rate Source 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 lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **Exchange Rate Source Mapping Detail** screen is displayed.

5. Select **Authorize** operation from the Action List.

   When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the **Save** operation are displayed. If any of these overrides results in an error, the checker must reject the record.

7.7 Trailing Fees

This topic explains about Trailing Fees.

A trailing fee is defined as the commission or incentive that is paid, normally by the fund, to unit holders, brokers, agents, agency branches, account officer or IFA for the continued loyalty of the unit holders to the fund. Here the term loyalty refers to the fact that unit holders who are allocated units hold them for a certain minimum period of time, which in turn results in the fund manager being able to project cash flows and investments with a greater degree of accuracy.

The fee is calculated based on the holdings of the investor, using any of the following methods:

- Quarterly Average Holding
- Average Holdings
- Average Units
- Latest Balance

A minimum period can also be set, for which the balances must be held, before a trailing fee can be applied.

FCIS provides the facility to compute trailer commission at any level i.e. Agent, Agency Branch, Account officer or IFA. The commission sharing will be applicable below the level at which trailer commission is computed.

For instance, if trailer commission is computed at Agency branch level, commission sharing on flat percentage will be applicable to all levels below agency branch.

7.8 Process Payment Group Maintenance

This topic provides the systematic instructions to maintain payment groups.

Payment Groups

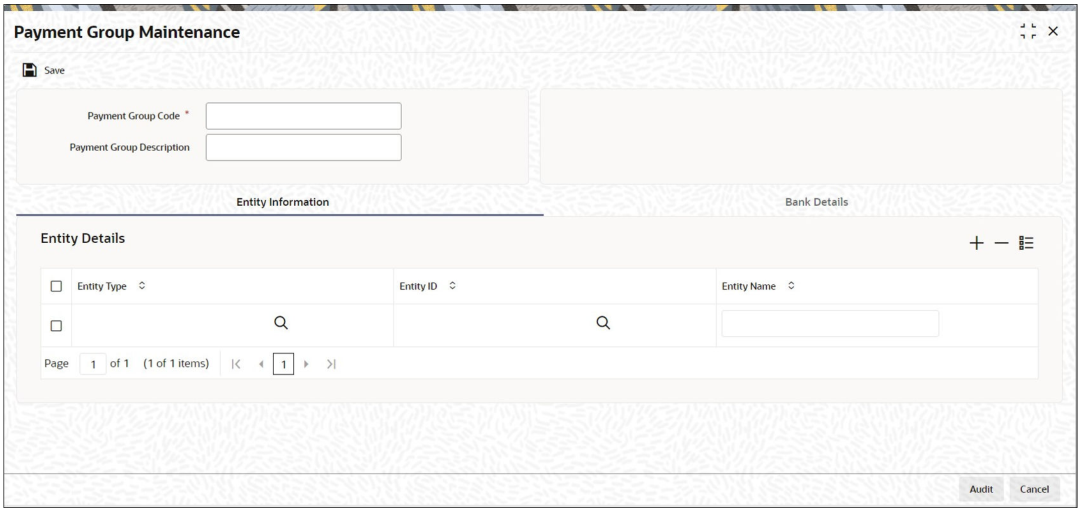
- Maintaining Payment Groups
- Entity Information Tab
- Bank Details Tab
- Ongoing Management Fees

You can maintain payment groups for the unit holder/ agent/ agency branch separately to support different trailing fee rate across the different groups using **Payment Group Maintenance** screen.

1. On **Home** screen, type **UTDPAYGP** in the text box, and click **Next**.

   The **Payment Group Maintenance** screen is displayed.

Figure 7-12 Payment Group Maintenance



2. On **Payment Group Maintenance** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-11 Payment Group Maintenance - Field Description

Field	Description
Payment Group Code	*Alphanumeric; 6 Characters; Mandatory* Specify the code to identify the payment group.
Payment Group Description	*Alphanumeric; 6 Characters; Optional* Specify the description of the payment group.

- Entity Information Tab
  This topic explains the entity information tab to specify the entity information details for the payment group.
- Bank Details Tab
  This topic explains the bank details tab to specify the bank details for the payment group.

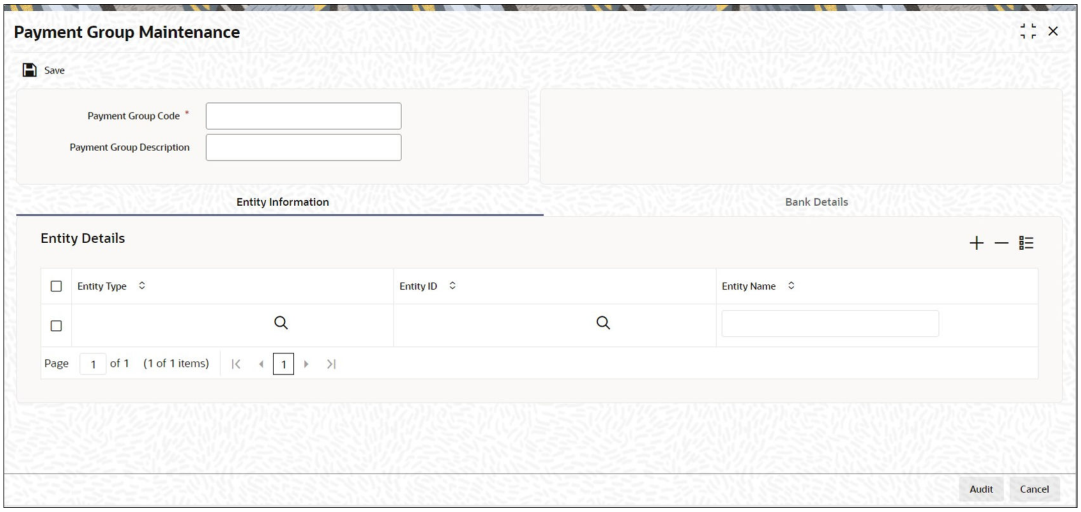
7.8.1 Entity Information Tab

This topic explains the entity information tab to specify the entity information details for the payment group.

1. On **Payment Group Maintenance** screen, click **Entity Information** tab to enter the details.

   The **Entity Information** details are displayed.

Figure 7-13   Payment Group Maintenance_Entity Information Tab



2. On **Entity Information Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-12   Entity Information - Field Description

Field	Description
Entity Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of entity. You can also select the entity type from the option list provided. The list consists of all the valid and authorized entities type. You can also link multiple entities of same type to the payment group. However, if a entity is already mapped to a payment group, then you cannot map it again to a different payment group.
Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the type of entity ID. You can also select the ID from the option list provided. The list consists of all the valid and authorized entities.
Entity Name	*Display* Base on the ID selected, the name of the entity is displayed.

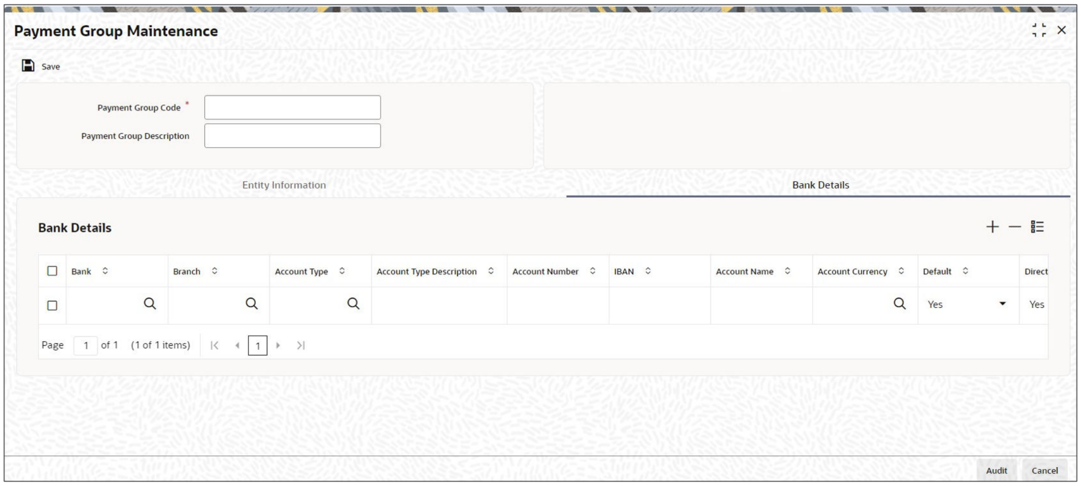
7.8.2 Bank Details Tab

This topic explains the bank details tab to specify the bank details for the payment group.

1. On **Payment Group Maintenance** screen, click **Bank Details** tab to capture the bank details.

   The **Bank Details** are displayed.

Figure 7-14 Payment Group Maintenance_Bank Details Tab



2. On **Bank Details Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-13 Bank Details - Field Description

Field	Description
Bank	*Alphanumeric; 12 Characters; Mandatory* Specify the name of the bank for receiving the payment. You can also select the bank from the option list provided. The list consists of all the valid bank names maintained in the system.
Branch	*Alphanumeric; 12 Characters; Mandatory* Specify the branch of the bank. You can also select the branch name from the option list provided. The list consists of all the valid bank branches maintained in the system.
Account Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of account. You can also select the account type from the option list provided. The list consists of all the valid and authorized account types maintained in the system.
Account Type Description	*Display* Account description is displayed based on the account type selected.
Account Number	*Alphanumeric; 34 Characters; Mandatory* Specify the account for receiving the payment.
IBAN	*Alphanumeric; 40 Characters; Optional* Specify the IBAN of the account holder.
Account Name	*Alphanumeric; 140 Characters; Mandatory* Specify the name of the account holder.
Account Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the account currency. You can also select the currency from the option list provided. The list consists of all the valid and authorized currencies maintained in the system.
Default	*Mandatory* Select `Yes` option to set this bank account as the default account to receive the payments. You shall set at least one account as default for each of the currency.

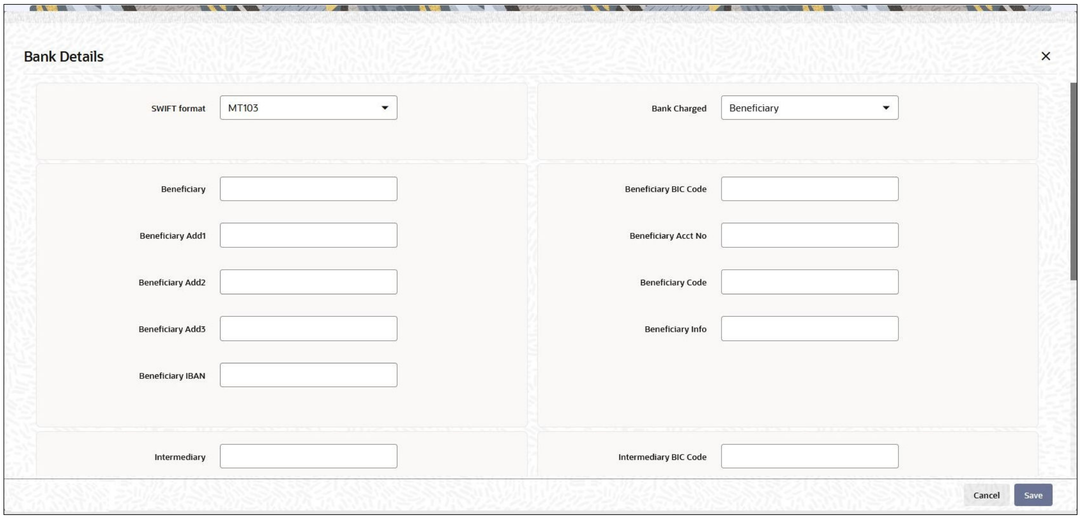
Table 7-13 (Cont.) Bank Details - Field Description

Field	Description
Direct Debit Allowed	*Optional* Select `Yes` option to debit the account directly.

3. On **Bank Details Tab**, click **Bank Details** button in the **Payment Group Maintenance** screen to maintain the additional bank details.

   The **Bank Details** screen is displayed.

Figure 7-15 Payment Group Maintenance_Bank Details Tab_Bank Details Button



SWIFT format: MT103

Bank Charged: Beneficiary

4. On **Bank Details** screen, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-14 Bank Details Button - Field Description

Field	Description
SWIFT Format	*Optional* Select the SWIFT format from the drop-down list for receiving the payments. The drop-down list consists of the following SWIFT message formats: • **MT103** • **MT102**
Bank Charged	*Optional* Select the bank to be charged. Select any of the following options: • **Beneficiary** • **Remitter** • **Share**
Beneficiary	*Alphanumeric; 35 Characters; Optional* Specify the beneficiary of the payment group.
Beneficiary Add1 - 3	*Alphanumeric; 105 Characters; Optional* Specify the beneficiary address.
Beneficiary IBAN	*Alphanumeric; 35 Characters; Optional* Specify the beneficiary IBAN.

Table 7-14 (Cont.) Bank Details Button - Field Description

Field	Description
Beneficiary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC of the beneficiary.
Beneficiary Acct No	*Alphanumeric; 34 Characters; Optional* Specify the beneficiary account number.
Beneficiary Code	*Alphanumeric; 24 Characters; Optional* Specify the beneficiary code.
Beneficiary Info	*Alphanumeric; 100 Characters; Optional* Specify any other information of the beneficiary.
Intermediary	*Alphanumeric; 35 Characters; Optional* Specify the intermediary of the payment group.
Intermediary Add1 - 3	*Alphanumeric; 105 Characters; Optional* Specify the intermediary address.
Intermediary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the beneficiary IBAN.
Intermediary BIC Code	*Alphanumeric; 24 Characters; Optional* Specify the BIC of the intermediary.
Intermediary Acct No	*Alphanumeric; 34 Characters; Optional* Specify the intermediary account number.
Intermediary Code	*Alphanumeric; 24 Characters; Optional* Specify the intermediary code.
Intermediary Info	*Alphanumeric; 100 Characters; Optional* Specify any other information of the intermediary.
Further Credit Name	*Alphanumeric; 35 Characters; Optional* Enter further credit name.
Further Credit Acct No	*Alphanumeric; 35 Characters; Optional* Enter further credit account number.
Reference1 and Reference2	*Alphanumeric; 35 Characters; Optional* Specify the reference for the account holder.

> **Note:**
>
> The detail maintained through **Payment Group Maintenance** screen does not have any processing impact on trailing commission and this is just an informative maintenance.

Ongoing Management Fees

Ongoing management fees are levied by an AMC as payment for maintenance services rendered to unit holders.

5. In the **Periodic Load Details** screen, management fee loads are always set up at a fund group level, and are applied based on the **Assets Under Management (AUM)**, in respect of all the funds in the fund group.
6. Management fee loads can only be set in the **Periodic Load Details** screen if the trailer commission computation method is Average Daily Balance and daily accrual frequency.

   The load computation method (Nature of Load) for management fee loads can either be Simple Slab or Weighted Average.

7. Distribution of commission below the level set in periodic load should be through entity commission sharing.

   For instance, if the periodic load setup is at Agency branch level, then for commission distribution to Account Officer and IFA, commission sharing should be setup.

7.9 Payment Group Maintenance Summary

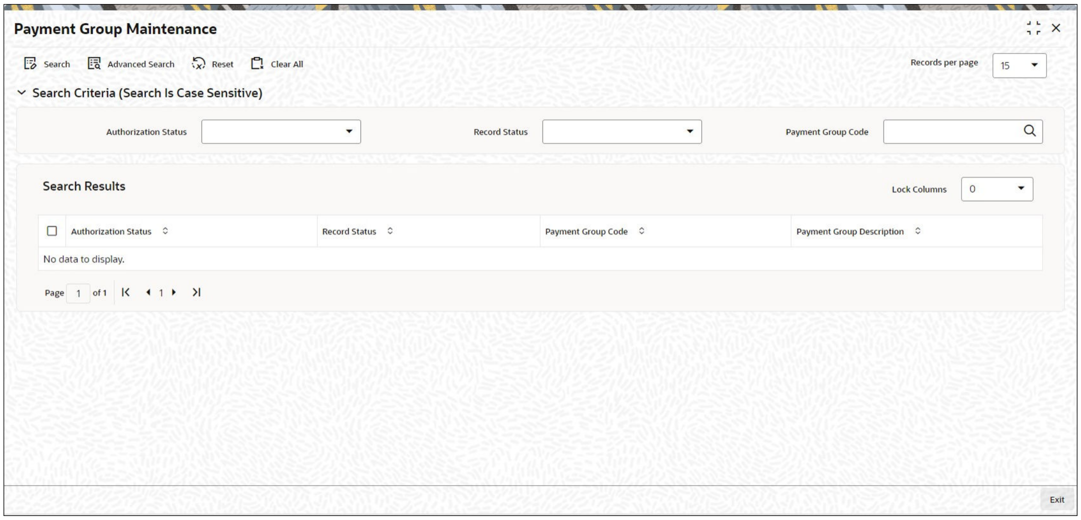
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Payment Group Maintenance Record

1. On **Home** screen, type **UTSPAYGP** in the text box, and click **Next**.

   The **Payment Group Maintenance Summary** screen is displayed.

Figure 7-16 Payment Group Maintenance Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **Payment Group 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**
   - **Payment Group Code**
3. 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.
4. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

- Edit Payment Group Maintenance Record
  This topic provides the systematic instructions to edit Payment Group Maintenance record.
- View Payment Group Maintenance Record
  This topic provides the systematic instructions to view Payment Group Maintenance record.
- Delete Payment Group Maintenance Record
  This topic provides the systematic instructions to delete Payment Group Maintenance record.
- Authorize Payment Group Maintenance Record
  This topic provides the systematic instructions to authorize Payment Group Maintenance record.
- Amend Payment Group Maintenance Record
  This topic provides the systematic instructions to amend Payment Group Maintenance record.
- Authorize Amended Payment Group Maintenance Record
  This topic provides the systematic instructions to authorize amended Payment Group Maintenance record.

7.9.1 Edit Payment Group Maintenance Record

This topic provides the systematic instructions to edit Payment Group Maintenance record.

Modify the details of Payment Group Maintenance Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Payment Group Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Payment Group 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 **Payment Group Maintenance Detail** screen is closed and the changes made are reflected in the **Payment Group Maintenance Summary** screen.

7.9.2 View Payment Group Maintenance Record

This topic provides the systematic instructions to view Payment Group Maintenance record.

View a record that you have previously input by retrieving the same in the **Payment Group Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Payment Group Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Payment Group Maintenance Detail** screen is displayed.

7.9.3 Delete Payment Group Maintenance Record

This topic provides the systematic instructions to delete Payment Group Maintenance record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Payment Group Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Payment Group 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.

7.9.4 Authorize Payment Group Maintenance Record

This topic provides the systematic instructions to authorize Payment Group Maintenance record.

Authorize an unauthorized Payment Group Maintenance Record in the system for it to be processed as follows:

1. Start the **Payment Group Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Payment Group 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.

7.9.5 Amend Payment Group Maintenance Record

This topic provides the systematic instructions to amend Payment Group 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 **Payment Group Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Payment Group 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.

7.9.6 Authorize Amended Payment Group Maintenance Record

This topic provides the systematic instructions to authorize amended Payment Group Maintenance record.

1. Authorize an amended Payment Group Maintenance Record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

2. The subsequent process of authorization is the same as that for normal transactions.

7.10 Process Periodic Load Maintenance Detail

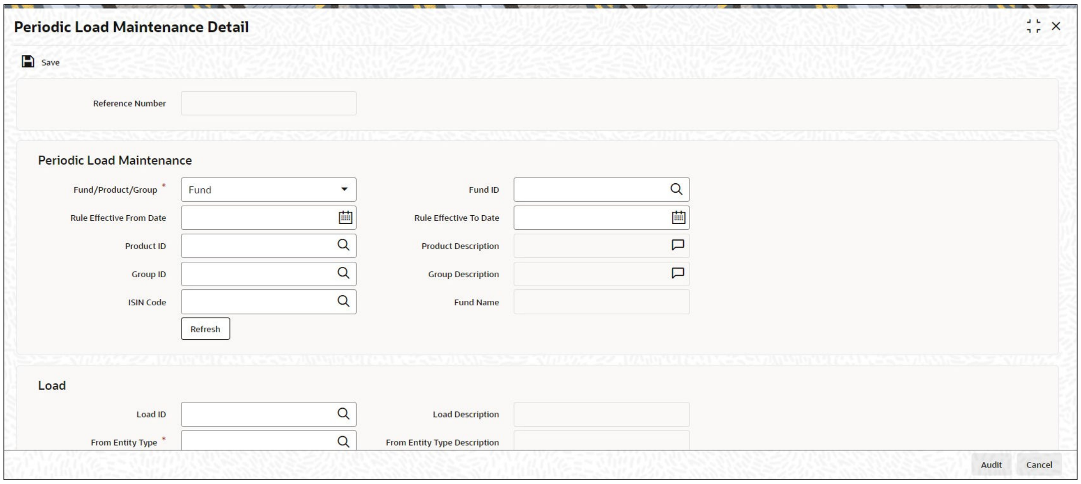
This topic provides the systematic instructions to maintain periodic loads.

The system facilitates the processing of trailing fees or management fees payable from any entity in the system to another entity. This trailing fee is set up in the system as a load in the Loads Maintenance.

1. On **Home** screen, type **UTDPERLM** in the text box, and click **Next**.

   The **Periodic Load Maintenance Detail** screen is displayed.

Figure 7-17 Periodic Load Maintenance Detail



2. The **Periodic Load Setup** screen facilitates the mapping of the trailing fee (load) to a fund, and setting up the following details regarding the fee:
   - The period in respect of which the trailing fee is to be computed.
   - The From and To entities in respect of which the trailing fee will be paid out/received
   - The frequency at which the trailing fee is processed
   - The computation method (nature) of the fee
   - The event of application or action of the fee
   - The last processed date and the next date on which the fee must be processed
   - The number of decimals for the load
3. Before you set up the details for a **trailing fee** load or periodic load, and apply it to a fund, it is desirable to ensure that the following information is already set up in the system.
   - The trailing fee that must be applied must be set up as a periodic load in the Loads Maintenance.
   - The fund that the load must be associated to must be an authorized fund.
   - The different entities which will be the payees or recipients in respect of the trailing fee must be set up in the system.
4. A trailing fee / management fee is usually computed as a percentage of the holdings of the investor, based on the method of computation specified for the fee.

5. Set up the fee to apply to the holdings of an investor in:
    - Any individual funds
    - Funds belonging to a load group
    - Funds part of a product or policy / plan portfolio.
6. Proceed as follows to set up the trailing fee in the **Periodic Load Setup** screen.
    - Choose the `Fund` option to set up the trailing fee for a fund in the Fund/Product section in the top right portion of the screen. Choose the `Product` option to set up the trailing fee for a product. Select the `Group` option to set up the fee for a load group.
    - Select the ID of the fund, product or group for which you are setting up the trailing fee in the Fund / Product / Group ID field. Any loads that have already been mapped to the selected fund, product or group are displayed with the details in the grid portion in the middle of the screen.
    - Specify the dates that form the period in respect of which the computation of the load must be arrived at, in the Rule Effective Date From and To fields.
    - For funds, specify the load details in the Load and Load Details sections in the lowest part of the screen, and save the record.
    - For products, specify the load details in the Load and Load Details sections. Also, specify the underlying funds or groups for which the load must be applied, and then save the record.
7. On **Periodic Load Maintenance Detail** screen, click **New** to enter the details.

    For more information on fields, refer to the field description table.

Table 7-15 Periodic Load Maintenance Detail - Field Description

Field	Description
Reference Number	*Display* The system displays the reference number.
Periodic Load Maintenance	If you are defining the periodic fee to be applicable for a product, you must define the specific funds and /or groups in the product portfolio to which the fee would be applied. When you select the product in the Fund/Product/Group ID field, any groups or funds that are mapped to the product portfolio are displayed in these sections. To specify the funds or groups to which the fee must be applicable, use the arrow buttons to move the selected funds or groups from the Available Portfolios / Available Groups boxes to the Mapped boxes. **Note:** It is mandatory that you map all available portfolios to the groups.
Fund/Product/Group	*Mandatory* You can use this field to indicate whether the periodic fee is being set up to be applicable for a fund, a product or a group. The drop-down list displays the following values: • Fund • Product • Group
Fund ID	*Alphanumeric; 12 Characters; Mandatory* Specify the fund ID.

Table 7-15 (Cont.) Periodic Load Maintenance Detail - Field Description

Field	Description
Rule Effective From Date	*Date Format; Mandatory* By specifying the two dates, indicate the period in respect of which the trailing fee computation must be arrived at. The system will allow backdating the periodic load Rule effective date for new loads for a fund. For funds where there is no load attached; a new load can be created with 'Rule Effective Date' as back date. This date cannot be less than the 'First price declare date' and 'fund rule effective date'.
Rule Effective To Date	*Date Format; Mandatory* Specify the period in respect of which the trailing fee computation must be arrived at.
Product ID	*Alphanumeric; 12 Characters; Optional* Specify the product ID.
Product Description	*Display* The system displays description for the specified product based on the details maintained for at **Product Fund Maintenance** level.
Group ID	*Alphanumeric; 12 Characters; Optional* Specify the group ID.
Group Description	*Display* The system displays description for the specified group based on the details maintained for at **Payment Group Maintenance** level.
ISIN Code	*Alphanumeric; 12 Characters; Optional* Specify the ISIN Code for the periodic fee. If you specify ISIN code then system displays the fund ID and vice versa.
Fund Name	*Display only* The system displays description for the specified fund based on the details maintained for at **Fund Maintenance** level. Click **Refresh** button to refresh the details.
Load	The section displays the following fields.
Load ID	*Numeric; 5 Characters; Optional* Select the load that represents the trailing fee / management fee that is to be associated and processed for the fund, product or group, from the drop-down list. For funds where there is periodic load available and there is change in load information; then you should amend the load ID. After this maintenance, during EOD, the system will start accrual from the first accrual day of this payment cycle till application date/valid accrual date.
Load Description	*Display* The system displays description for the specified load based on the details maintained at **Load Maintenance** level.
From Entity Type	*Alphanumeric; 1 Character; Mandatory* Select the entities that are to be payees of the trailing fee. The 'From' entities could be any of the following: • Unit Holder • Funds • AMC • Distributor

Table 7-15 (Cont.) Periodic Load Maintenance Detail - Field Description

Field	Description
From Entity Type Description	*Display* The system displays description for the entity types maintained as From Entity IDs based on the details maintained at **Entity Maintenance** level.
To Entity Type	*Alphanumeric; 1 Character; Mandatory* Select the entities that are to be recipients of the trailing fee. The ‘To’ entities could be any of the following: • Broker • AMC • Distributor • Unit Holder • Agent • Product Administrator • Agency Branch • Account Officer • IFA
To Entity Type Description	*Display* The system displays description for the entity types maintained as To Entity IDs respectively, based on the details maintained at **Entity Maintenance** level.
Nature of Load	*Alphanumeric; 10 Characters; Mandatory* Specify the method of computation to be used for the trailing fee represented by the selected load. This could be any of the following options: • Average Holdings • Quarterly Average Holdings • Latest Balance • Average of Opening and Closing Balance • Average Holdings Across Funds • Pro-rata of holdings across funds
Nature of Load Description	*Display* The system displays the method you need to use for the computation of trailing fee represented by the selected load.

Table 7-15 (Cont.) Periodic Load Maintenance Detail - Field Description

Field	Description
Action for Load	*Alphanumeric; 10 Characters; Mandatory* Select the event at which the fee would be applied and computed. The possible options are: • **Payout in Next Commission**: If you select this option, the trailer commission payment would be processed according to the rules maintained in the Entity Commission Payment Setup as well as the payment frequency and payment details maintained in the Entity Payment Details. The settlement can be triggered using the EFT function or through check printing, based on the payment mode. • **Report Trailing Commission**: The commission payment data can be viewed as a report. • **Adjust UH Balances**: If you select this option, the Unit Holder balance gets adjusted accordingly and there will not be a broker commission payout/adjustment transaction. **Note:** If you select the option `Adjust UH Balance`, it is mandatory that you select the option `Unit Holder` against the field **To Entity Type** or **From Entity Type**. • **Adjust and Pay Broker**: Appropriate broker commission will be done prior to netting (if applicable) and adjustment transaction generation. The commission payout will be according to the Income Distribution Setup for the broker. **Note:** If you select the option `Adjust and Pay Broker`, it is mandatory that you select the option `Broker` against the field **To Entity Type**.
Action Name	*Display* The system displays the description for the event at which you need to apply and compute the field.
Management Fee Load ID	*Alphanumeric; 10 Characters; Optional* Management fee loads are always set up at a fund group level, and are applied based on the **Assets Under Management (AUM)**, in respect of all the funds in the fund group. Management fee loads are set up with the Average Daily Balance computation method, with Accrual Frequency as Daily, and can only be set when the periodic load setup is at a group level. The load computation method (Nature of Load) for management fee loads can either be Simple Slab or Weighted Average.
Load Description	*Display* The system displays the description for the selected management fee load ID.

Table 7-15 (Cont.) Periodic Load Maintenance Detail - Field Description

Field	Description
Intermediary	*Alphanumeric; 1 Character; Mandatory* In this field, you can indicate whether the periodic fee payment is to be made to the intermediary of the transaction that resulted in the periodic fee or to the default intermediary specified for the unit holder involved in the transaction that resulted in the periodic fee. If you are setting up periodic load for Agent, Agency Branch, Account officer or IFA, the Intermediary should be set to either **Hierarchy** or **Transaction**. • If the Intermediary is set to **Hierarchy**, the commission will be processed to the default entities maintained at SLA. • If the Intermediary is set to **Transaction**, the commission will be processed to the entities maintained at the Transaction level. In case of CIF Merger/ Hierarchy merger, Trailer commission will be processed to the respective entities till the merger and from the date of merger, the same is processed to the new entities.
Intermediary Details	*Display* The system displays the description of the intermediary to which you need to pay the periodic fee.
Last Processed Date	*Display* This indicates the date when the last payment was made.
Sub Type	*Alphanumeric; 3 Characters; Optional* Specify the sub type to map the transaction sub type created earlier (69A or 69B or 86A) for Fee/incentive Transaction (‘69’/’86’) for given periodic load setup.
Load Details	The section displays the following fields.
Processing Frequency	*Alphanumeric; 1 Character; Mandatory* Specify the frequency at which the load that represents the trailing fee must be computed in the system. The system will then automatically compute the trailing commission as part of End of Day Processing based on this frequency, and a report will be generated. By default, for daily accrual frequencies, the monthly accrual frequency is set; for other accrual frequencies, the processing frequency is deemed to be the same as the accrual frequency. The default option can be changed. If so, the processing frequency specified must always be greater than the accrual frequency. The following frequencies are possible: • Monthly • Quarterly • Half yearly • Yearly
Processing Frequency Description	*Display* The system displays the description for the selected processing frequency.
No of Decimals	*Alphanumeric; 1 Character; Mandatory* Specify the number of decimals for the periodic load. Typically, this must be equal to the number of decimals designated for the currency of payment. Trailer commissions are typically paid in the base currency of the fund.
Next Date to Process	*Date Format; Mandatory* When you are setting up a periodic fee for the first time, you must specify the date on which the fee is to be first processed.

Table 7-15 (Cont.) Periodic Load Maintenance Detail - Field Description

Field	Description
Round-off/Truncate	*Mandatory* Select whether the computed load must be rounded-off or truncated from the drop-down list.
Payment Lag Frequency	*Alphanumeric; 1 Character; Optional* Specify the payment lag frequency from the option list.
Payment Lag Frequency Description	*Display* The system displays description for the specified payment lag frequency based on the details maintained in the system.
Minimum Holding Period	*Numeric; 5 Characters; Optional* You can indicate a minimum period for which the units must be held, before they can be considered for computation of the trailing fee. This value is reckoned in days. It is not mandatory to set a minimum holding period. If this value is not specified, all holdings during the trailer commission period are eligible for trailer commission.
Accrual Frequency	*Alphanumeric; 1 Character; Mandatory* Specify the frequency at which the fee must be accrued in the system. Any of the following frequencies can be set: • Daily • Monthly • Quarterly • Half yearly • Yearly
Accrual Frequency Description	*Display* The system displays the description for the selected accrual frequency.
Last Accrual Date	*Display* This indicates the last date on which the periodic fee was accrued.
Last Accrual Application Date	*Display* This indicates the last application date when the periodic fee was accrued.
Next Accrual Date	*Display* This indicates the next date when the periodic fee will accrue.
FDAP Income	*Optional* Select to indicate periodic load being distributed is FDAP income or not from the drop-down list. Following are the options available in the drop-down list: • Yes • No
Payment Lag	*Numeric; 22 Characters; Optional* Specify the payment lag to be applicable for the trailing commission fee.
First Load To Be Computed	Select the first load to be computed from AUM. Following are the options available in the list: • Trailer Commission • Management Fee By default, First Load to be Computed is Trailer Fee.

Table 7-15 (Cont.) Periodic Load Maintenance Detail - Field Description

Field	Description
Netted AUM for Second Load	Select if second load has to be computed on netted AUM. Following are the options available in the list: • Yes • No If First Load to be Computed is Management Fee then while calculating Trailer Fee, system reduces the AUM by the Management Fee accrual amount and calculate Trailer Fee accrual.
Reversal	The section displays the following fields.
Reversal Date Basis	*Alphanumeric; 1 Character; Mandatory* In this field, you can specify whether the impact of transaction reversals must be affected from the transaction date (Reversal at Source) or from the reversal date (Reversal at Current). Depending upon the option you specify here, the basis units for trailer commission would be affected as of the date of reversal (Reversal at Current) or as of the date of the original transaction (Reversal at Source). If you opt for the Reversal at Source option, you can choose either the transaction date or the price date option.
Reversal Date Basis Description	*Display* The system displays description for the specified reversal date basis based on the details maintained in the system. In cases where the accrual frequency is **Daily**, and the Reversal at Source option is applicable, and a transaction is reversed, if the transaction date is earlier than the last accrued date for trailer commission, the system recalculates the daily trailer commission from the transaction date to the last accrued date. Also, in cases where the accrual frequency and payment frequency are different, and the Reverse at Source option is applicable, and a transaction is reversed with the transaction date being earlier than the last paid date, the holdings of such a transaction would have already been considered in the previous trailer commission computation. In respect of such a transaction, the system logs the following details, indicating that the transaction payment has already been done: • Fund ID and AMC ID • Distributor hierarchy details • Trailer commission last paid date • Original trailer commission amount accrued • Original transaction number • New transaction number • Original transaction value • Current value (zero in case of reversals)
Others	The section displays the following fields.
Price Basis	*Mandatory* Here, you can indicate the price basis for periodic load computation. The options are: • NAV • Component Base
Vat Percentage	*Numeric; 5 Characters; Optional* Specify a valid percentage you need to apply for the period load commission.

Table 7-15 (Cont.) Periodic Load Maintenance Detail - Field Description

Field	Description
Price Component	*Alphanumeric; 10 Characters; Mandatory if the Price Basis is Component Base* If the price basis for periodic load computation is component based, then select the fund price component to be utilized for computation from the list. The list displays all the components belonging to the type 'User Entered'.
Basis for Units	*Mandatory* In this field, you can indicate whether the trailing commission is to be based on settled units or all units (both provisional and settled) from the drop-down list.
Include for Netting?	*Optional* Select `Yes` from the adjoining drop-down list, if you need to net the fees or incentive amount. The system defaults the value as `No`.
Holiday Rule for NAV	*Alphanumeric; 1 Character; Mandatory* In this field, you can indicate whether the previous day's NAV (Prior) or the following day's NAV (After) is to be considered for market value calculation, if there is an intermediate holiday during the trailer commission period.
Holiday Rule for NAV Description	*Display* The system displays the description for the selected holiday rule for NAV.
Trailer Commission Transaction Pickup Basis	*Alphanumeric; 1 Character; Mandatory* In this field you can indicate the basis upon which the AUM for the trailer commission would be arrived at. The options available are: • Price date: All transactions with price date in trailing commission period and which have a non-zero holding in the trailer commission period are considered. The commission would accrue as of the price date. The AUM is computed as `{Total units as of price date} * {NAV as of price date}` • Transaction date: All transactions with transaction date in trailing commission period and which have a non-zero holding in the trailer commission period are considered. The commission would accrue as of the transaction date. The AUM is computed as `{Total units as of transaction date} * {NAV as of transaction date}` • Allocation date: All transactions with allocation date in trailing commission period and which have a non-zero holding in the trailer commission period are considered. The commission would accrue as of the allocation date. The AUM is computed as `{Total units as of allocation date} * {NAV as of allocation date}` • Dealing Date: All transactions with dealing date in trailing commission period and which have non-zero holding in the trailer commission period are considered. The commission would accrue as of the dealing date.
Description	*Alphanumeric; 60 Characters; Optional* Specify description for the specified trailing commission transaction pickup basis.
Transaction Choose Basis	*Alphanumeric; Optional* Specify the transaction choose basis details. Alternatively, you can select transaction choose basis details from the option list. The list displays all valid transaction choose basis maintained in the system.

Table 7-15 (Cont.) Periodic Load Maintenance Detail - Field Description

Field	Description
Txn Choose Basis Description	*Display* The system displays the description for the selected transaction Choose basis value as follows: - Methodology 1 - Subscription and Redemption for trade date, T, is only accounted for Total Units on T + 1 (Where T + 1 includes all non-trading day) - Methodology 2 - Subscription and Redemption for trade date, T, is only accounted for Total units on T + 1 (where T + 1 excludes all non-trading day) - Methodology 3 - Rejection for trade date, R, is accounted for Total units on R – 1 (where R-1 includes all non-trading day)
Threshold on Ongoing Fee	*Alphanumeric; 30 Characters; Optional* Specify threshold amount for ongoing fees, if the load type mapped is ‘ROA’ load. The system compares the value specified with the cumulative AUM of the client to determine the Trailer fees to be charged.
Trailer Comm Aum Slab Basis	*Mandatory* Select a valid basis system to pick up AUM to determine the trailer commission load slab from the drop-down list. The list displays the following values: - UH-Product-Policy-Fund-Level - UH-Product-Policy-Level - UH-Product-Level - UH-Level - CIF- Product-Level - CIF- Level You can not change the AUM basis specified for trailer commission in the accrual cycle after it is defined.
Fund Load Details	The section displays the following fields.
Fund ID	*Alphanumeric; 12 Characters; Mandatory* Specify the fund id. The adjoining option list displays valid fund ids maintained in the system. You can choose the appropriate one.
Load ID	*Numeric; 22 Characters; Optional* Specify the load id. The adjoining option list displays valid load ids maintained in the system. You can choose the appropriate one.
Management Fee Load ID	*Numeric; 22 Characters; Optional* Specify the load id of the management fee. The adjoining option list displays valid management fee load IDs maintained in the system. You can choose the appropriate one.
Transaction Category	The section displays the following fields.
Transaction Category	*Alphanumeric; 1 Character; Mandatory* Specify the transaction category. Alternatively, you can select transaction category from the option list. The list displays all valid transaction category maintained in the system.
Description	*Display* The system displays the description for the selected transaction category.

7.11 Periodic Load Maintenance Summary

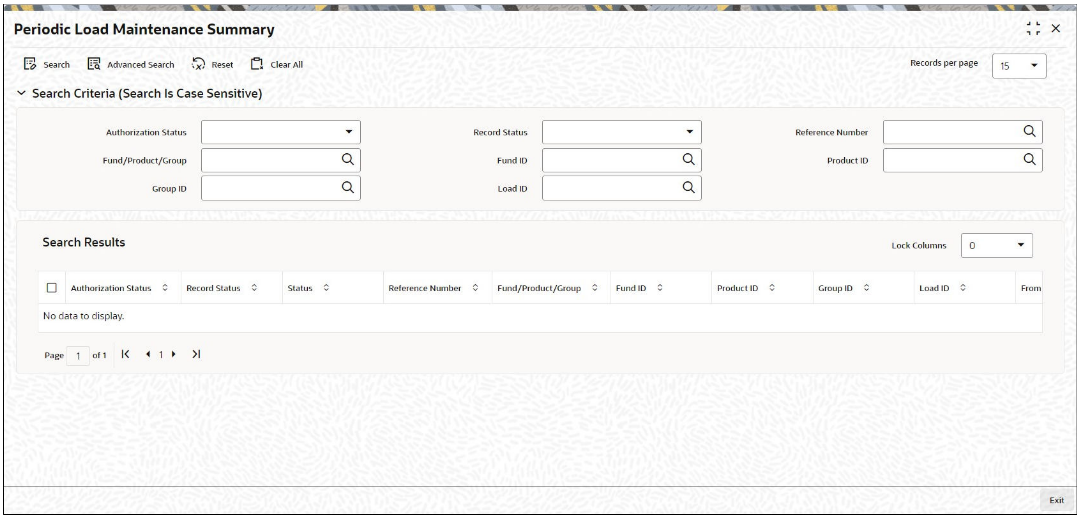
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Periodic Load Maintenance Details

1. On **Home** screen, type **UTSPERLM** in the text box, and click **Next**.

   The **Periodic Load Maintenance Summary** screen is displayed.

   Figure 7-18 Periodic Load Maintenance Summary

2. On **Periodic Load 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**
   - **Fund/Product/Group**
   - **Fund ID**
   - **Product ID**
   - **Group ID**
   - **Load ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

   For example, You can search the record for Load ID by using the combination of % and alphanumeric value:-

   - Search Fund ID by F%: The system will fetch all the records whose Fund ID starts from Alphabet ‘F’. Example: Fund1.
   - Search Fund by%7: The system will fetch all the records whose Fund ID ends with 7. Example: FUND7.

- Edit Periodic Load Maintenance Details
  This topic provides the systematic instructions to edit Periodic Load Maintenance record.
- View Periodic Load Maintenance Details
  This topic provides the systematic instructions to view Periodic Load Maintenance record.
- Delete Periodic Load Maintenance Details
  This topic provides the systematic instructions to delete Periodic Load Maintenance record.
- Authorize Periodic Load Maintenance Details
  This topic provides the systematic instructions to authorize Periodic Load Maintenance record.
- Amend Periodic Load Maintenance Details
  This topic provides the systematic instructions to amend Periodic Load Maintenance record.
- Authorize Amended Periodic Load Maintenance Details
  This topic provides the systematic instructions to authorize amended Periodic Load Maintenance record.
- Copy Attributes of Periodic Load Maintenance
  This topic provides the systematic instructions to copy attributes of Periodic Load Maintenance.

7.11.1 Edit Periodic Load Maintenance Details

This topic provides the systematic instructions to edit Periodic Load Maintenance record.

Modify the details of Periodic Load that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Periodic Load Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Periodic Load 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 **Periodic Load Maintenance Detail** screen is closed and the changes made are reflected in the **Periodic Load Maintenance Summary** screen.

7.11.2 View Periodic Load Maintenance Details

This topic provides the systematic instructions to view Periodic Load Maintenance record.

View a record that you have previously input by retrieving the same in the **Periodic Load Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Periodic Load Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Periodic Load Maintenance Detail** screen is displayed.

7.11.3 Delete Periodic Load Maintenance Details

This topic provides the systematic instructions to delete Periodic Load Maintenance record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Periodic Load Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

The **Periodic Load 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.

7.11.4 Authorize Periodic Load Maintenance Details

This topic provides the systematic instructions to authorize Periodic Load Maintenance record.

Authorize an unauthorized Periodic Load Maintenance record in the system for it to be processed as follows:

1. Start the **Periodic Load Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Periodic Load 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.

7.11.5 Amend Periodic Load Maintenance Details

This topic provides the systematic instructions to amend Periodic Load 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 **Periodic Load Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Periodic Load 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.

7.11.6 Authorize Amended Periodic Load Maintenance Details

This topic provides the systematic instructions to authorize amended Periodic Load Maintenance record.

1. Authorize an amended Periodic Load Maintenance record for the amendment to be made effective in the system.
2. The subsequent process of authorization is the same as that for normal transactions.

7.11.7 Copy Attributes of Periodic Load Maintenance

This topic provides the systematic instructions to copy attributes of Periodic Load Maintenance.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new periodic load with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **load** 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 periodic load. You can, however, change the details of the new record.

7.12 Computation of Trailing Fees

This topic explains about computation of trailing fees.

The computation of trailing fees depends upon the method of calculation that is specified for the trailing fee load. The fee can be calculated either using the Average Holdings approach or the Quarterly Average Holdings approach.

The method of computation also depends upon the entity for whom the fee is payable (i.e., the From Entity). The **From Entity** could be the fund, the AMC or the unit holder.

The two approaches are explained below. Let us suppose that the trailing fee has been set up with the following slabs:

Table 7-16 Computation of Trailing Fees

From Amount	To amount	Return Value (%age)
0	10000	1.25%
10000	30000	2.50%
30000	And above	3.50%

Quarterly Average Holdings approach (when the From entity is the fund or the AMC)

In this approach, instead of considering the value of holdings on each day leading up to the processing date, the balances as on every quarter are considered for calculating the average, on the processing date.

Average Holdings approach (when the From entity is the unit holder)

In this approach, the holdings held by each unit holder associated with the broker for whom the fee is being calculated are summed up for each day till the day of processing is reached, and the average value is taken on that date.

7.13 Methodologies of Trailer Commission Computation

This topic explains about maintenance required for various methods of computation for trailer commission.

The maintenance required for various methods of computation for trailer commission is indicated below:

Table 7-17 Methodology of Trailer Commission Computation

Methodology	Trailer commission	Accrual frequency	Payment frequency
Daily trailer commission, based on AUM and Trailer Commission (TC) rate	Daily trailer commission = (Daily AUM * TC rate) / 365	Daily or greater than daily; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Daily trailer commission (based on AUM, Management fee, TC rate)	Daily trailer commission = (Daily AUM * Management fee rate * TC rate) / 365	Daily or greater than daily; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Monthly trailer commission (based on AUM on last day of month)	Monthly trailer commission = (AUM on last day of month * TC rate)/12	Monthly or greater than Monthly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Monthly trailer commission (based on Average AUM for the month)	Monthly trailer commission = (Average AUM for the month * TC rate) / 12 Average AUM for month = Sum(Daily AUM for the month) / Actual number of days in month	Monthly or greater than Monthly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Monthly trailer commission (based on Opening and Closing AUM for the month)	Monthly trailer commission = (Average of Opening and Closing balance of AUM * TC rate) / 12	Monthly or greater than Monthly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Quarterly trailer commission (based on AUM on last day of quarter)	Quarterly trailer commission = (AUM on last day of quarter * TC rate) / 4	Quarterly or greater than Quarterly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Quarterly trailer commission (based on Average AUM for the quarter)	Quarterly trailer commission = (Average AUM for the quarter * TC Rate)/4	Quarterly or greater than Quarterly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly
Quarterly Trailer Commission (based on Opening and Closing AUM for the quarter)	Quarterly trailer commission = (Average of opening and Closing balance of AUM * TC rate) / 4	Quarterly or greater than Quarterly; should be less than payment frequency	Monthly Quarterly Half yearly Yearly

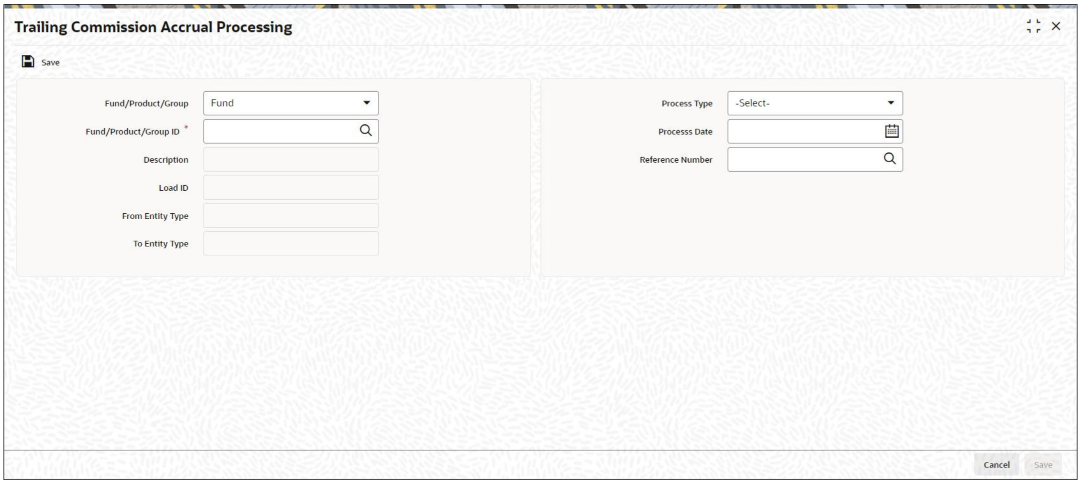
7.14 Process Trailing Commission Accrual Processing

The accrual of trailer commission for a fund or group of funds can be executed as a job, which you can trigger in the **Trailing Commission Accrual Processing** screen.

1. On **Home** screen, type **UTDTCAC** in the text box, and click **Next**.

   The **Trailing Commission Accrual Processing** screen is displayed.

Figure 7-19   Trailing Commission Accrual Processing



Fund/Product/Group: Fund

2. On **Trailing Commission Accrual Processing** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-18   Trailing Commission Accrual Processing - Field Description

Field	Description
Fund/Product/Group	*Optional* Select the category from the adjoining drop-down list. Following are the options available: • Fund • Product • Group
Fund/Product/Group ID	*Alphanumeric; 50 Characters; Mandatory* Specify the ID of the fund or fund group for which the trailing commission is to be accrued.
Description	*Display* The system displays the description for the selected Fund/Product/Group ID.
Load ID	*Display* The system displays the load ID based on the reference number selected.
From Entity Type	*Display* The system displays the from entity type based on the reference number selected.
To Entity Type	*Display* The system displays the to entity type based on the reference number selected.

Table 7-18 (Cont.) Trailing Commission Accrual Processing - Field Description

Field	Description
Process Type	*Optional* Select the processing type from the drop-down list. The list displays the following values: • Mock • Actual
Process Date	*Date Format; Optional* Specify the actual date in this field. As required you can alternatively specify mock accrual date. The process date should be less than the application date. You can also change the date to a back date, but the data output will be from last process date till the date provided while running this accrual. The date input should be greater than last process date (payment date). The system will use From date as last processed date and To date as the report date/application date -1. If you provide last process date, then the system will not do any new accrual for that date and there will be output till the last process date. For instance, if the payment is monthly, and if 31-Dec was last payment date, then 01-Jan will be the From date. If the report is run on 20-Jan as application date, then mock output will be from 01-Jan to 19-Jan.
Reference Number	*Alphanumeric; 50 Characters; Mandatory* Specify the trailer fee for which the accrual can be fetched. The adjoining option list displays all valid reference number maintained in the system for periodic load. You can choose the appropriate one. This field is applicable only for mock type

Process Periodic Commission
The Periodic commission as on date process will support all the methods of calculation currently supported in the system. The accrual frequency applicable is for all methods other than daily accrual. The accruals will be done in Fund base currencies only.

The process can be run multiple times, but the earlier data will be overridden with the latest data stored in a new table. However, you can change the date to a back date, in that case the data output will be from last process date till the date provided while running this accrual.

The date input should be greater than last process date (accrual date). The system will use from date as last processed date and to date as the report date/application date -1. For instance, if the payment is monthly say 31st Dec was last payment date then 1st Jan will be the from date. If the report is run on 20th Jan as application date then mock output will be from 1st Jan to 19th Jan.

> **Note:**
>
> - Quarterly average holding method supports quarterly accrual and yearly payment frequency.
> - Quarterly average holding method is supported for broker set up only

3. Following client country needs to be `ON` for this method to be functional in system:

a. TCQ computation will be done only when the client country **AOSTRAILCOMM** is `ON` during payment processing.

b. The quarterly average holdings computation will be done only when the client country **HBGTRAILCOMM** is `ON`.

c. If the client country **AOSTRAILCOMM** is `OFF`, accrual entries will be posted but with basis amount as zero and resulting in zero accrual amount.

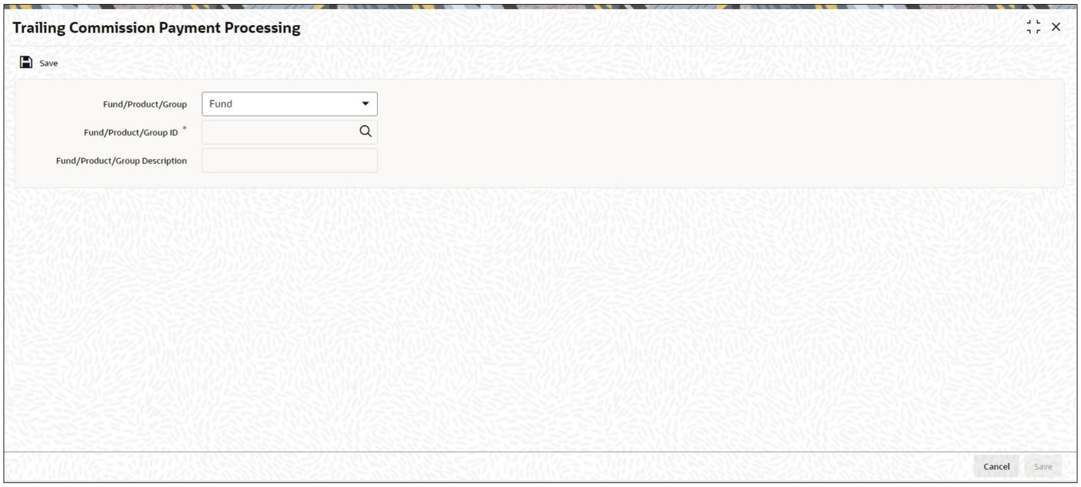
7.15 Process Trailing Commission Payment Processing

The payment of accrued trailer commission for a fund or group of funds can be executed as a job, which you can trigger in the **Trailing Commission Payment Processing** screen.

1. On **Home** screen, type **UTDTCPP** in the text box, and click **Next**.

   The **Trailing Commission Payment Processing** screen is displayed.

Figure 7-20 Trailing Commission Payment Processing



Fund/Product/Group: Fund
Fund/Product/Group ID *:
Fund/Product/Group Description:

2. On **Trailing Commission Payment Processing** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-19 Trailing Commission Payment Processing - Field Description

Field	Description
Fund/Product/Group	*Optional* Select the category from the adjoining drop-down list. Following are the options available: • Fund • Product • Group
Fund/Product/Group ID	*Alphanumeric; 50 Characters; Mandatory* Specify the ID of the fund or fund group for which the trailing commission is to be accrued.
Description	*Display* The system displays the description for the selected Fund/Product/Group ID.

7.16 Process Target Based Fee

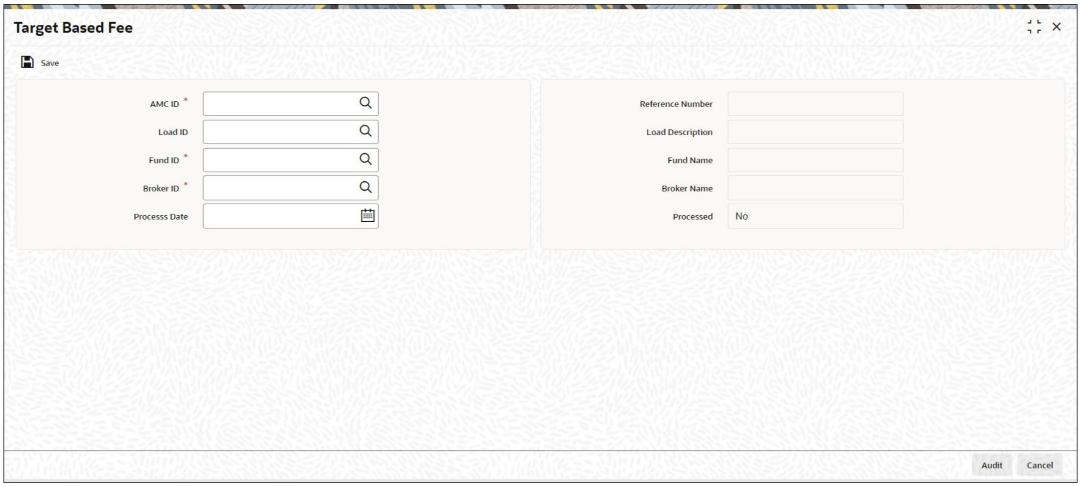
This topic explains the systematic instructions to maintain target based brokerage at AMC-Fund-Broker level.

On achieving target sales for a given period, an agent/broker is paid an additional fee/ brokerage. The broker/agent is eligible to receive a commission on total sales done by him in a given period.

1. On **Home** screen, type **UTDTGBFE** in the text box, and click **Next**.

   The **Target Based Fee** screen is displayed.

Figure 7-21 Target Based Fee



Processed: No

2. On **Target Based Fee** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-20 Target Based Fee - Field Description

Field	Description
AMC ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC. You can also select the AMC for target based fee from the adjacent option list. The list displays all the valid authorized values maintained in the system. You can select **ALL** option if you want to select all the valid AMC maintained in the system.
Load ID	*Numeric; 5 Characters; Mandatory* Specify the Load. You can also select the load from the adjacent option list. The authorized loads having the **Slab Mode** option selected as **Date Amount** will be displayed in the option list.
Load Description	*Display* The description of the selected load is displayed.

Table 7-20 (Cont.) Target Based Fee - Field Description

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund. You can also select the fund from the adjacent option list. The list displays all the valid authorized values maintained in the system. You can select **ALL** option if you want to select all the valid funds maintained in the system.
Fund Name	*Display* The description of the selected fund is displayed.
Broker ID	*Alphanumeric; 12 Characters; Mandatory* Specify the broker ID. You can also select the broker from the adjacent option list. The list displays all the valid authorized values maintained in the system. You can select **ALL** option if you want to select the entire valid broker maintained in the system.
Broker Name	*Display* The description of the selected broker is displayed.
Process Date	*Date Format; Mandatory* Specify the processing date. The target based brokerage is processed on this date. If the date maintained here is a system holiday, then the system will process the brokerage only on the next working day.
Reference Number	*Display* On saving the transaction, a unique reference number is generated.
Processed	*Display* The system displays **Yes** value if the transaction is processed on the processed date. During EOD batch, all the unprocessed transactions with processing date less than or equal to application date will be considered for processing. Based on the load setup, all the transactions with transaction date within the date range specified in the load will be considered. Transaction amount (in fund base currency) will be the basis amount for fee computation. In case of unit based transaction, units applied and latest available NAV will be used to derive the basis amount. If latest NAV is not available, then the system will use the par value. Transaction with in-complete exchange rate details will not be considered for processing. The computed brokerage will be stored in the system.

7.17 Target Based Fee Summary

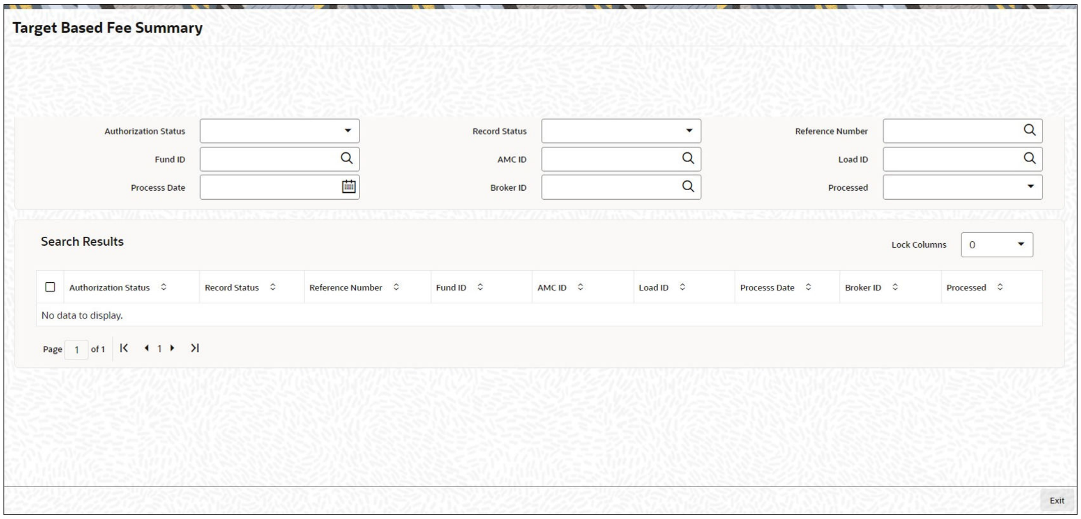
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Target Based Fees

1. On **Home** screen, type **UTSTGBFE** in the text box, and click **Next**.

   The **Target Based Fee Summary** screen is displayed.

Figure 7-22   Target Based Fee Summary



No data to display.

2. The **Target Based Fee Summary** screen can be used for the following operations:
   - Retrieving target based fee for viewing
   - Editing unauthorized target based fee
   - Deleting unauthorized target based fee
   - Authorizing setups
   - Amending authorized setups
   - Close target based fee
   - Reopen target based fee
3. On **Target Based Fee 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**
   - **Fund ID**
   - **AMC ID**
   - **Load ID**
   - **Process Date**
   - **Broker ID**
   - **Processed**
4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Close**, and **Reopen** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Target Based Fees
  This topic provides the systematic instructions to edit Target Based Fees record.

- View Target Based Fees
  This topic provides the systematic instructions to view Target Based Fees record.
- Delete Target Based Fees
  This topic provides the systematic instructions to delete Target Based Fees record.
- Authorize Target Based Fees
  This topic provides the systematic instructions to authorize Target Based Fees record.
- Authorize Amended Target Based Fees
  This topic provides the systematic instructions to authorize amended Target Based Fees record.
- Close Target Based Fees
  This topic provides the systematic instructions to close Target Based Fees record.
- Reopen Target Based Fees
  This topic provides the systematic instructions to reopen Target Based Fees records.

7.17.1 Edit Target Based Fees

This topic provides the systematic instructions to edit Target Based Fees record.

Modify the details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Target Based Fee Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Target Based Fee 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 **Target Based Fee Detail** screen is closed and the changes made are reflected in the **Target Based Fee Summary** screen.

7.17.2 View Target Based Fees

This topic provides the systematic instructions to view Target Based Fees record.

View a record that you have previously input by retrieving the same in the **Target Based Fee Summary** screen. Perform this operation as follows:

1. Start the **Target Based Fee Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Target Based Fee Detail** screen is displayed.

7.17.3 Delete Target Based Fees

This topic provides the systematic instructions to delete Target Based Fees record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Target Based Fee Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Target Based Fee 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.

7.17.4 Authorize Target Based Fees

This topic provides the systematic instructions to authorize Target Based Fees record.

Authorize an unauthorized Target Based Fees in the system for it to be processed as follows:

1. Start the **Target Based Fee Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Target Based Fee 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.

7.17.5 Authorize Amended Target Based Fees

This topic provides the systematic instructions to authorize amended Target Based Fees record.

1. Authorize an amended Target Based Fee for the amendment to be made effective in the system.
2. The process of subsequent authorization is the same as that for normal transactions.

7.17.6 Close Target Based Fees

This topic provides the systematic instructions to close Target Based Fees record.

Close a record after a Target Based Fee is authorized, use the **Close** operation from Action list.

1. Start the **Target Based Fee Summary** screen from the Browser.
2. Specify any or all of the details of the record in the corresponding fields on the screen.
3. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Target Based Fee Summary** screen is displayed.
5. Click **Close** from the action list to create a new record.

   The record with the details are closed.
   You can re-open any closed record at a later point in time.

7.17.7 Reopen Target Based Fees

This topic provides the systematic instructions to reopen Target Based Fees records.

Reopen a record after a Target Based Fee is closed, use the **Reopen** operation from Action list.

1. Start the **Target Based Fee Summary** screen from the Browser.
2. Select the status of the record that you wish to reopen.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to reopen.

   The **Target Based Fee** screen is displayed.
5. Select **Reopen** operation from the Action List to reopen the record.

7.18 Process Entity Commission Sharing Detail

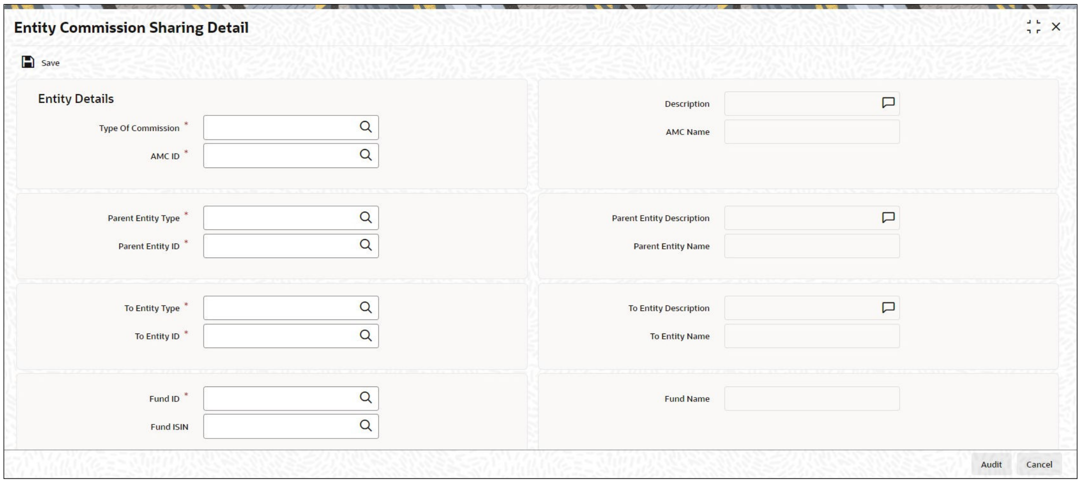
This topic provides the systematic instructions to set up the rules according to which trailer commissions could be shared.

Trailer commission on holdings in a fund, is typically paid by the fund to the master distributor agent, and the sharing of trailer commission between the master distributor and other transaction intermediaries is processed based on the hierarchy level holdings.

1. On **Home** screen, type **UTDENTCO** in the text box, and click **Next**.

   The **Entity Commission Sharing Detail** screen is displayed.

Figure 7-23 Entity Commission Sharing Detail



2. On **Entity Commission Sharing Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-21 Entity Commission Sharing Detail - Field Description

Field	Description
Type Of Commission	*Alphanumeric; 12 Characters; Mandatory* Specify the type of commission being shared – Transaction Fee Commission, Trailer Fee Commission or Admin Tax.
Description	*Display* The system displays the description for the selected type of commission.
AMC ID	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC for which you are defining the sharing setup. If the same setup is applicable for all AMCs, you can select the **ALL** option.
AMC Name	*Display* The system displays the description for the selected AMC ID.
Parent Entity Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of entity for which the trailer commission sharing is applicable. This could be the Distributor Agent, Branch, Account Officer or IFA.

Table 7-21 (Cont.) Entity Commission Sharing Detail - Field Description

Field	Description
Parent Entity Description	*Display* The system displays the description for the selected parent entity type.
Parent Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the ID of the specific entity of the selected type, for which the trailer commission sharing is applicable. If the same setup is applicable for all underlying entities of the selected type, you can select the **ALL** option.
Parent Entity Name	*Display* The system displays the description for the selected parent entity name.
To Entity Type	*Alphanumeric; 1 Character; Mandatory* Specify the type of entity for which the trailer commission sharing is applicable.
To Entity Description	*Display* The system displays the description for the selected To Entity type.
To Entity ID	*Alphanumeric; 12 Characters; Mandatory* Specify the ID of the specific entity of the selected type, for which the trailer commission sharing is applicable.
To Entity Name	*Display* The system displays the description for the selected To Entity name.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund of the AMC for which you are defining the sharing setup. If the same setup is applicable for all funds of the AMC, you can select the **ALL** option.
Fund Name	*Display* The system displays the description for the selected fund ID.
Fund ISIN	*Display* The system displays the fund ISIN code for the selected fund ID. If you have specified Fund ISIN code, then the system displays the fund ID.
Group ID	*Alphanumeric; 6 Characters; Optional* Specify the group ID.
Group Description	*Display* The system displays the description for the selected group ID.
Commission Sharing Methods	*Alphanumeric; 2 Characters; Mandatory* Specify the commission sharing methods.
Description	*Display* The system displays the description for the selected commission sharing methods.
Commission Percentage	*Numeric; 2 Characters; Optional* Specify the commission percentage. **Note:** You will not be able to specify the commission percentage, if Admin Tax Sharing is opted as the type of commission to be shared.
Performance Parameters	The section displays the following fields.
Load ID	*Alphanumeric; 5 Characters; Optional* Specify the load ID.

Table 7-21 (Cont.) Entity Commission Sharing Detail - Field Description

Field	Description
Description	*Display* The system displays the description for the selected load ID.
Commission Currency	*Alphanumeric; 3 Characters; Optional* Specify the commission currency code.
Description	*Display* The system displays the description for the selected commission currency.
Processing Frequency	*Alphanumeric; 1 Character; Optional* Specify the processing frequency for the sharing, and the next processing date for the commission sharing.
Description	*Display* The system displays the description for the selected processing frequency.
Calculation Method	*Alphanumeric; 1 Character; Optional* Specify the calculation method. The calculation method could either be Daily or Average Balance.
Description	*Display* The system displays the description for the selected calculation method.
Next Processing Date	*Date Format; Optional* Specify the next processing date for the commission sharing. Based on the AMC-Distributor agreement, the commission share of the Branches and IFAs could be processed at the AMC. For this, the commission sharing set up is to be maintained at fund level. At the AMC installation, the set up applies only to AMC funds; at the Distributor, the set up applies to other funds too.

7.19 Entity Commission Sharing Summary

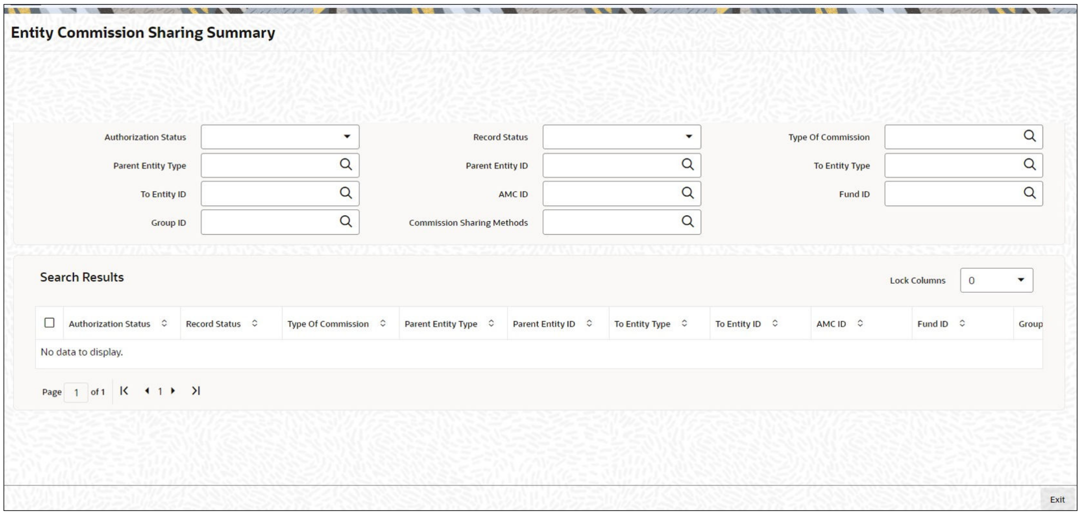
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Entity Commission Sharing Record

1. On **Home** screen, type **UTSENTCO** in the text box, and click **Next.**

   The **Entity Commission Sharing Summary** screen is displayed.

Figure 7-24   Entity Commission Sharing Summary



Lock Columns: 0

No data to display.

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2. On **Entity Commission Sharing Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Type Of Commission**
   - **Parent Entity ID**
   - **To Entity ID**
   - **Fund ID**
   - **Commission Sharing Methods**
   - **Parent Entity Type**
   - **To Entity Type**
   - **AMC ID**
   - **Group ID**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

- Edit Entity Commission Sharing Record
  This topic provides the systematic instructions to edit Entity Commission Sharing record.
- View Entity Commission Sharing Record
  This topic provides the systematic instructions to view Entity Commission Sharing record.
- Delete Entity Commission Sharing Record
  This topic provides the systematic instructions to delete Entity Commission Sharing record.
- Authorize Entity Commission Sharing Record
  This topic provides the systematic instructions to authorize Entity Commission Sharing record.
- Amend Entity Commission Sharing Record
  This topic provides the systematic instructions to amend Entity Commission Sharing record.
- Authorize Amended Entity Commission Sharing Record
  This topic provides the systematic instructions to authorize amended Entity Commission Sharing record.

7.19.1 Edit Entity Commission Sharing Record

This topic provides the systematic instructions to edit Entity Commission Sharing record.

Modify the details of Entity Commission Sharing Record that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Entity Commission Sharing Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Entity Commission Sharing 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 Commission Sharing Detail** screen is closed and the changes made are reflected in the **Entity Commission Sharing Summary** screen.

7.19.2 View Entity Commission Sharing Record

This topic provides the systematic instructions to view Entity Commission Sharing record.

View a record that you have previously input by retrieving the same in the **Entity Commission Sharing Summary** screen. Perform this operation as follows:

1. Start the **Entity Commission Sharing Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to view in the list of displayed records.

   The **Entity Commission Sharing Detail** screen is displayed.

7.19.3 Delete Entity Commission Sharing Record

This topic provides the systematic instructions to delete Entity Commission Sharing record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Entity Commission Sharing Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you want to delete in the list of displayed records.

   The **Entity Commission Sharing 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.

7.19.4 Authorize Entity Commission Sharing Record

This topic provides the systematic instructions to authorize Entity Commission Sharing record.

Authorize an unauthorized Entity Commission Sharing Record in the system for it to be processed as follows:

1. Start the **Entity Commission Sharing Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **Entity Commission Sharing 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.

7.19.5 Amend Entity Commission Sharing Record

This topic provides the systematic instructions to amend Entity Commission Sharing 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 Commission Sharing Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Entity Commission Sharing 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.

7.19.6 Authorize Amended Entity Commission Sharing Record

This topic provides the systematic instructions to authorize amended Entity Commission Sharing record.

1. Authorize an amended Entity Commission Sharing Record for the amendment to be made effective in the system.
2. The process of subsequent authorization is the same as that for normal transactions.

7.20 Process Campaign Maintenance

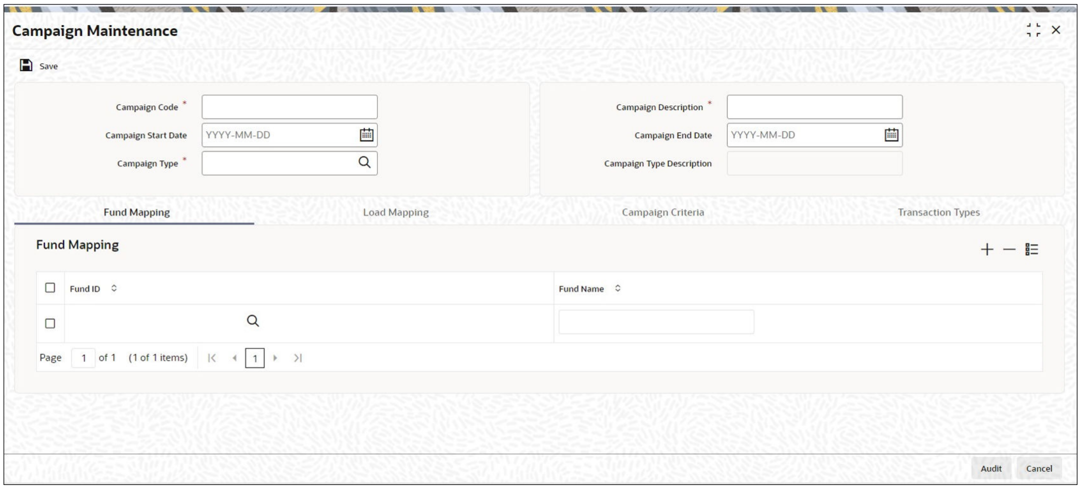
This topic provides the systematic instructions to maintain the campaign details.

On certain instances, based on some criteria an AMC may offer certain discount to the investors on a fund or group of funds or for all funds. Encouraging business by offering certain discounts to the investor is called **Campaign**. It is similar to the incentive/fee concept.

1. On **Home** screen, type **UTDCMPMN** in the text box, and click **Next**.

   The **Campaign Maintenance** screen is displayed.

Figure 7-25   Campaign Maintenance



2. On **Campaign Maintenance** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-22   Campaign Maintenance - Field Description

Field	Description
Campaign Code	*Alphanumeric; 10 Characters; Mandatory* Specify the code to identify the campaign.
Campaign Description	*Alphanumeric; 60 Characters; Mandatory* Specify a name to the campaign.
Campaign Start Date	*Date Format; Mandatory* Specify the campaign start date.
Campaign End Date	*Date Format; Mandatory* Specify the campaign end date. The end date cannot be less than or equal to the Application date.
Campaign Type	*Alphanumeric; 1 Character; Optional* Specify the type of campaign. Alternatively, you can select campaign code from the option list. The list displays all valid campaign type maintained in the **CAMPAIGNTYPES** parameter list.
Campaign Type Description	*Display* The system displays the description for the selected campaign type.

The system maintains **CAMPAIGNTYPES** parameter as follows:

Table 7-23   CAMPAIGNTYPES

Param Code	Param Description	Max Length (Param Value)	Maintainable	List of values
CAMPAIGN TYPES	Specifies the different campaign types	20	Yes	Account opening date, Transaction date, Loyalty, Birthday.

Example 1 - Transaction campaign

Any Individual investor has done an investment more than 1000 TWD from 01-Jan-2017 to 01-Feb-2017 via e-mail will be eligible for the campaign. The system will setup Campaign CMP001 with following attributes:

Table 7-24 Transaction campaign

Attributes	Values
Activity period Basis	Transaction Date
Campaign code	CMP001
Campaign Type	Transaction campaign
Campaign Name	New year campaign
Campaign Start Date	1-Jan-17
Campaign End Date	1-Feb-17
Activity Period from	1-Jan-17
Activity Period (to)	1-Feb-17
Minimum Investment	1000
Investor type	Individual
Communication Mode	E-mail
Fund Load	Return value 5%
Overridden Load	Return value 3%

Example 2 - Birthday Range campaign

Any Individual investor has done an investment more than 1000 TWD from 01-Jan-2017 to 31-Dec-2017 via e-mail and having birth dates between 01-JAN-1980 and 01-JAN-1985 will be eligible for the campaign. The system will setup Campaign CMP002 as follows:

Table 7-25 Birthday Range campaign

Attributes	Values
Activity period Basis	Birthday Range
Campaign code	CMP002
Campaign Type	Transaction campaign
Campaign Name	Young Investor campaign
Campaign Start Date	1-Jan-17
Campaign End Date	31-Dec-17
Activity Period from	1-Jan-80
Activity Period (to)	1-Jan-85
Minimum Investment	1000
Investor type	Individual
Communication Mode	E-mail
Fund Load	101 (Return value 5%)
Overridden Load	104(Return value 2%)

Example 3 - New Investor campaign

Any Individual investor has done an investment more than 1000 TWD from 01-Jan-2017 to 31-Dec-2017 via e-mail and have opened account between 01-Jan-2017 to 01-May-2017 will be eligible for the campaign. The system will setup Campaign CMP003 as follows:

Table 7-26 New Investor campaign

Attributes	Values
Activity period Basis	Account opening date
Campaign code	CMP003
Campaign Type	Transaction campaign
Campaign Name	New Investor campaign
Campaign Start Date	1-Jan-17
Campaign End Date	31-Dec-17
Activity Period from	1-Jan-17
Activity Period (to)	1-May-17
Minimum Investment	1000
Investor type	Individual
Communication Mode	E-mail
Fund Load	101 (Return value 5%)
Overridden Load	105 (Return value 1%)

Example 4 - Age Range campaign

Any Individual investor has done an investment more than 1000 TWD from 01-Jan-2017 to 31-Dec-2017 via E-mail and having age range between 20 to 40 will be eligible for the campaign. The system will setup Campaign CMP004 as follows:

Table 7-27 Age Range campaign

Attributes	Values
Campaign code	CMP004
Campaign Type	Transaction campaign
Campaign Name	Age campaign
Campaign Start Date	1-Jan-17
Campaign End Date	31-Dec-99
Age from	20
Age to	40
Minimum Investment	1000
Investor type	Individual
Communication Mode	E-mail
Fund Load	101 (Return value 5%)
Overridden Load	104(Return value 2%)

Example 5 - Loyalty campaign

Any Individual investor having successful deduction count above 60 months in onshore funds, will be eligible for the fee waiver for subsequent RSP/DRSP transactions. The system will setup Campaign CMP005 as follows:

Table 7-28 Loyalty campaign

Attributes	Values
Campaign code	CMP005
Campaign Type	Loyalty campaign
Campaign Name	Loyalty campaign
Campaign Start Date	1-Jan-17
Campaign End Date	31-Dec-50
Investor type	Individual
Fund Load	101 (Return value 5%)
Overridden Load	104(Return value 0%)
Fund/Fund Type	Onshore
Period	Monthly
Transaction Type	41 (RSP)/45 (DRSP)

- Fund Mapping Tab
  This topic explains the basic fund mapping tab of Campaign Maintenance.
- Load Mapping Tab
  This topic explains the basic load mapping tab of Campaign Maintenance.
- Campaign Criteria Tab
  This topic explains the basic Campaign Criteria tab of Campaign Maintenance.
- Transaction Types Tab
  This topic explains the basic Transaction Types tab of Campaign Maintenance.

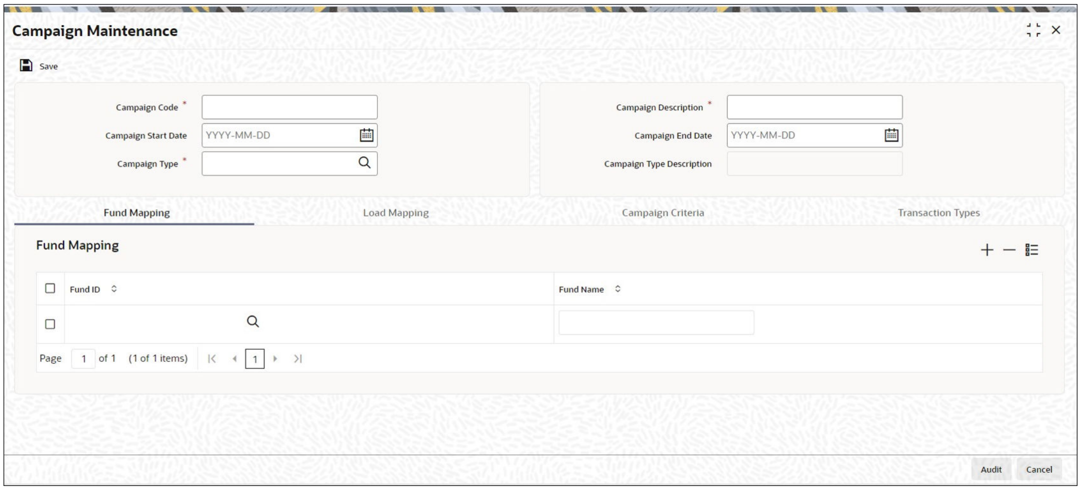
7.20.1 Fund Mapping Tab

This topic explains the basic fund mapping tab of Campaign Maintenance.

1. On **Campaign Maintenance** screen, click **Fund Mapping** tab to enter the details.

   The **Fund Mapping** details are displayed.

Figure 7-26 Campaign Maintenance_Fund Mapping Tab



2. On **Fund Mapping Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-29 Fund Mapping - Field Description

Field	Description
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Specify the fund which has to be mapped to the campaign. You can also select the funds to be mapped from the option list provided. The option list consists of valid and authorised funds maintained in the system. Select `ALL` option, if you wish to apply the campaign for all the funds
Fund Name	*Display* On selecting the fund ID, the fund name is displayed.

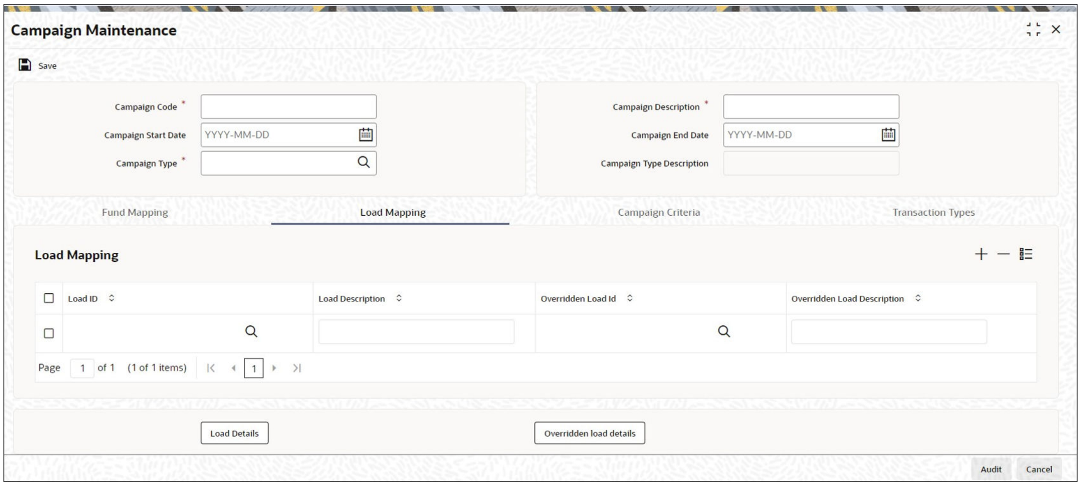
7.20.2 Load Mapping Tab

This topic explains the basic load mapping tab of Campaign Maintenance.

1. On **Campaign Maintenance** screen, click **Load Mapping** tab to map a load with an override load.

   The **Load Mapping** details are displayed.

Figure 7-27 Campaign Maintenance_Load Mapping Tab



2. On **Load Mapping Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-30 Load Mapping - Field Description

Field	Description
Load ID	*Numeric; 5 Characters; Mandatory* Specify the load ID which should be mapped to the overridden load.
Load Description	*Display* The description of the load is displayed.

Table 7-30 (Cont.) Load Mapping - Field Description

Field	Description
Overridden Load ID	*Alphanumeric; 5 Characters; Mandatory* Specify the overridden load ID which should override the **From Load**.
Override Load Description	*Display* The description of the load is displayed.

3. Click **Load Details** button to invoke **Load Maintenance Detail** screen.

   You can view the load information details.

4. Click **Overridden Load Details** button to invoke **Load Maintenance Detail** screen.

   You can view Overridden Load Information details.

> **Note:**
>
> The Fund Load and the Campaign load (which will override Fund Load) to be of the same type. i.e. either they should be a percentage based return value or amount based return value load.

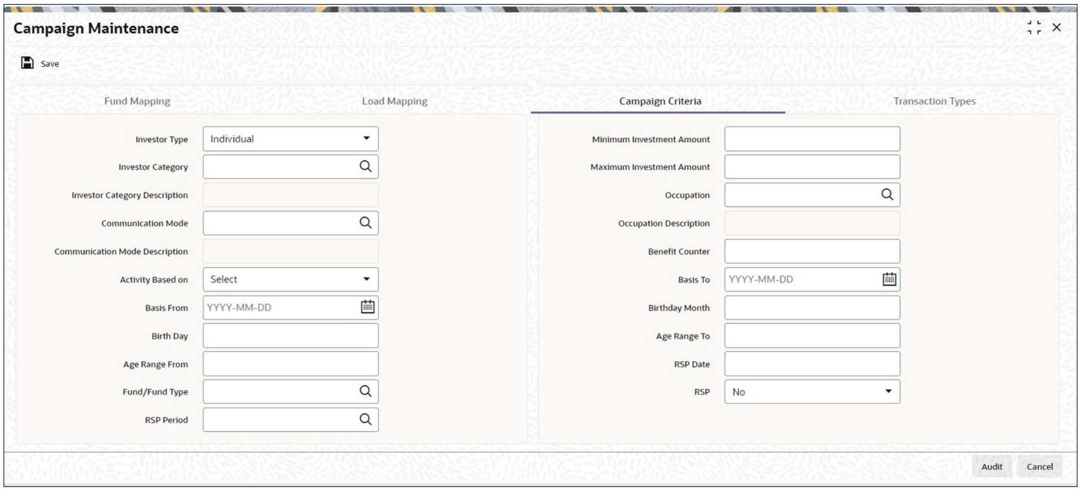
7.20.3 Campaign Criteria Tab

This topic explains the basic Campaign Criteria tab of Campaign Maintenance.

1. On **Campaign Maintenance** screen, click **Campaign Criteria** tab to maintain the criterion for the campaign.

   The **Campaign Criteria** details are displayed.

Figure 7-28 Campaign Maintenance_Campaign Criteria Tab



Investor Type	Individual	Minimum Investment Amount	
Investor Category		Maximum Investment Amount	
Investor Category Description		Occupation	
Communication Mode		Occupation Description	
Communication Mode Description		Benefit Counter	
Activity Based on	Select	Basis To	YYYY-MM-DD
Basis From	YYYY-MM-DD	Birthday Month	
Birth Day		Age Range To	
Age Range From		RSP Date	
Fund/Fund Type		RSP	No
RSP Period			

2. On **Campaign Criteria Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-31 Campaign Criteria - Field Description

Field	Description
Investor Type	*Optional* Select the investor type from the drop-down list. The list displays the following values: - Individual - Corporate
Investor Category	*Alphanumeric; 2 Characters; Optional* Specify the investor’s category. You can also select the category from the adjacent option list. The list consists of valid investor categories maintained in the system.
Investor Category Description	*Display* The system displays the description for the selected investor category.
Communication Mode	*Alphanumeric; 2 Characters; Optional* Specify the mode of communication. You can also select the mode of communication from the option list provided. The list consists of valid communication modes maintained in the system.
Communication Mode Description	*Display* The system displays the description for the selected communication mode.
Activity Based on	*Optional* Select the activity based on which the campaign maintenance is done from the drop-down list. The list displays the following values: - Transaction Date - Account Opening Date - Birthday Range
Basis From	*Date Format; Optional* Specify the basis from date.
Birthday	*Alphanumeric; 50 Characters; Optional* Specify the birth day of the investor.
Age Range From	*Numeric; 22 Characters; Optional* Specify the From age range.
Fund/ Fund Type	*Alphanumeric; 2 Characters; Optional* Specify the fund/ fund type level deduction counter derivation. Alternatively, you can select fund or fund type maintained in the system. **Note;** The option list displays all fund types maintained in the system except Money market funds. If **fund** is chosen, then the system will derive successful deduction counter at the fund for which RSP is mapped If **fund type** is chosen, then the system will derive successful deduction counter for the UH across RSPs for the specific fund type. If **Onshore** is chosen, then the system will derive successful deduction counter for the UH across RSPs invested in Onshore funds. If **Offshore** is chosen, then the system will derive successful deduction counter for the UH across RSPs invested in Offshore funds.

Table 7-31 (Cont.) Campaign Criteria - Field Description

Field	Description
RSP Period	*Numeric; 1 Character; Optional* Specify the RSP period to define deduction counter derivation based on period like **Monthly**/ **Quarterly**/ **Yearly**. Alternatively, you can select period from the option list. The list displays all valid period maintained in the system. The system will derive the deduction counter based on period mentioned. If **Monthly** option is selected, and if there are multiple successful transactions in a month for a specified parameter combination, the system will count successful debit counter as only 1. If **Quarterly** option is selected, and if there are multiple successful transactions in a quarter for a specified parameter combination, the system will count successful debit counter for that quarter as only 1. If **Yearly** option is selected, and if there are multiple successful transactions in a year for a specified parameter combination, the system will count successful debit counter for that year as only 1.
Minimum Investment Amount	*Numeric; 30 Characters; Optional* Specify the minimum range of investment applicable for this investment.
Maximum Investment Amount	*Numeric; 30 Characters; Optional* Specify the maximum range of investment applicable for this investment.
Occupation	*Alphanumeric; 3 Characters; Optional* Specify the occupation of the investor.
Occupation Description	*Display* The system displays the description for the selected occupation.
Benefit Counter	*Numeric; 22 Characters; Mandatory* Specify the maximum number of benefit that can be utilized by a unit holder.
Basis To	*Date Format; Optional* Specify the activity period to.
Birthday Month	*Alphanumeric; 50 Characters; Optional* Specify the birth month.
Age Range To	*Numeric; 22 Characters; Optional* Specify the To age range.
RSP Date	*Date Format; Optional* Select the RSP date to define deduction counter derivation based on RSP days from the adjoining calendar. If multiple SI days is considered, the same needs to be entered with comma separated. For instance, if you input 8, 28 as RSP date, the system will derive the successful deduction at UH level and consider the RSP transactions on 8, 28.

Table 7-31 (Cont.) Campaign Criteria - Field Description

Field	Description
RSP	*Alphanumeric; 8 Characters; Optional* Specify the RSP details to define deduction counter derivation at RSP plan level. If this is chosen, the system will derive the counter based on the RSP on which the campaign is applied. This feature is available only for subscription, switch in and RSP type of transaction. If more than one campaign is running at the same time for a fund, user will select the best campaign for the investor while capturing the transaction.

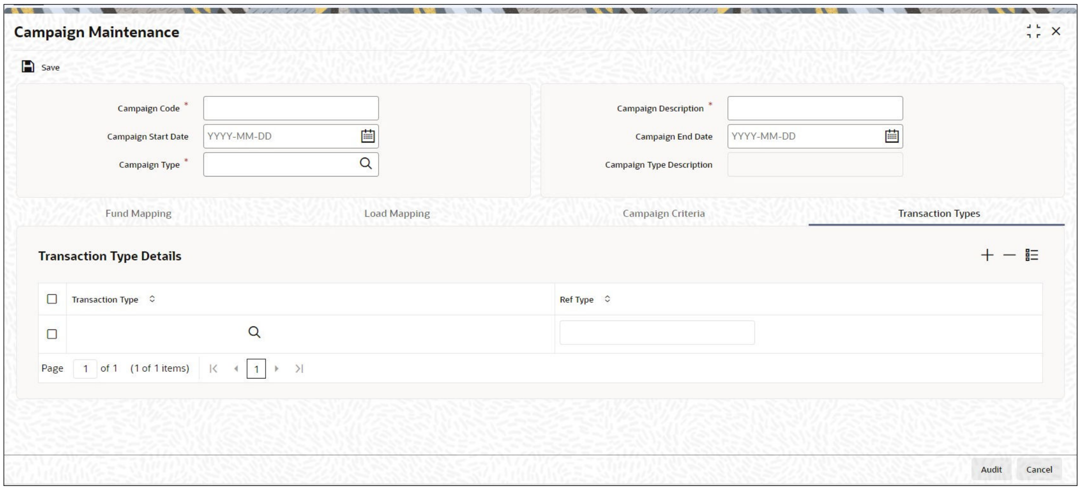
7.20.4 Transaction Types Tab

This topic explains the basic Transaction Types tab of Campaign Maintenance.

1. On **Campaign Maintenance** screen, click **Transaction Types** tab to enter the details.

   The **Transaction Types** details are displayed.

   Figure 7-29 Campaign Maintenance_Transaction Types Tab

2. On **Transaction Types Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 7-32 Transaction Types - Field Description

Field	Description
Transaction Type	*Alphanumeric; 2 Characters; Mandatory* Specify the transaction type applicable for the campaign. Alternatively, you can select transaction type from the option list. The list displays all valid transaction type maintained in the system.
Ref Type	*Display* The system displays the ref type based on the selected transaction type.

Processing of Deduction Counter Tracking
Campaign Maintenance Changes

3. You can set up Campaigns with the following logic for deriving the deduction counter based on the attributes available at campaign setup level. For any of the following methods, the system will not consider RSP into Money Market Fund for successful deduction count.

   Example
   Assume the parameter with **Period** selected as **Monthly**. If the investor has 3 RSP plans for Fund A, Fund B and Fund C on dates 8, 18 and 28 respectively, the counter should be derived as 1 if at least 1 of these RSP transactions is successful.

   In the second month, the counter will be derived as 2, if at least 1 of these RSP transaction is successful in 2nd month.

   Assume the parameter with **Period** selected as **Monthly** and RSP Plan as `Yes`. If the investor has 3 RSP plans for Fund A, Fund B and Fund C on dates 8, 18 and 28 respectively, the counter should be derived as 3 if all these 3 transactions are successful.(If only 2 transactions are successful, the counter will be derived as 2).

   In the second month, the counter will be derived as 6, if all 3 RSP transactions are successful in 2nd month.

   Select **Fund Type** options as **Onshore**. If the investor has performed 3 successful RSP transactions in an onshore fund and 2 successful RSP transactions in an offshore fund, the successful debit counter will be derived as 3. The 2 successful transactions in offshore fund will not be considered for debit counter derivation.

   - Plan 1, Plan 2, Plan 3 - Select **Period** as **Monthly**, Fund Type as **Equity** and RSP Plan as `Yes`.
   - Plan 4, Plan 5, Plan 6 – Select **Period** as **Monthly**, Fund Type as **Bond** and RSP Plan as `Yes`.
   - Plan 1, Plan 2, Plan 3 - If the investor has 3 RSP plans for Fund A, Fund B and Fund C on dates 8, 18 and 28 respectively, the counter should be derived as 1 if at least 1 of these RSP transactions is successful.

   In the second month, the counter will be derived as 2, if at least 1 of these RSP transaction is successful in 2nd month.

   Plan 4, Plan 5, Plan 6 - If the investor has 3 RSP plans for Fund A, Fund B and Fund D on dates 8, 18 and 28 respectively, the counter should be derived as 3 if all these 3 transactions are successful. If only 2 transactions are successful, the counter will be derived as 2.

   Rules for defining criteria:

   Combination of above criteria along with other campaign criteria will be supported with following restrictions:

   - Fund/ Fund Type can be combined with Period and RSP Date based criteria
   - RSP Plan level cannot be combined with other criteria.

   Campaign criteria evaluation will always check whether all criteria are met.

7.21 Campaign Summary

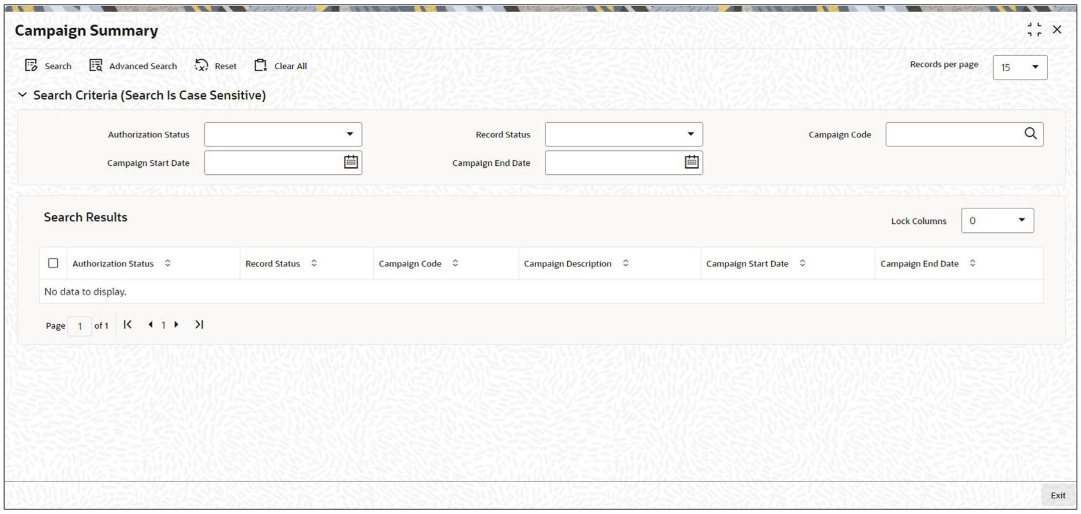
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Campaign Record

1. On **Home** screen, type **UTSCMPMN** in the text box, and click **Next**.

The **Campaign Summary** screen is displayed.

Figure 7-30   Campaign Summary



Records per page 15

Lock Columns 0

No data to display.

Page 1 of 1

2. On **Campaign Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Campaign Code**
   - **Campaign Start Date**
   - **Campaign End Date**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

- Edit Campaign Record
  This topic provides the systematic instructions to edit Campaign record.
- View Campaign Record
  This topic provides the systematic instructions to view Campaign record.
- Delete Campaign Record
  This topic provides the systematic instructions to delete Campaign record.

- Authorize Campaign Record
  This topic provides the systematic instructions to authorize Campaign record.
- Amend Campaign Record
  This topic provides the systematic instructions to amend Campaign record.
- Authorize Amended Campaign Record
  This topic provides the systematic instructions to authorize amended Campaign record.

7.21.1 Edit Campaign Record

This topic provides the systematic instructions to edit Campaign record.

Modify the campaign details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Campaign Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Campaign 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 **Campaign Maintenance** screen is closed and the changes made are reflected in the **Campaign Summary** screen.

7.21.2 View Campaign Record

This topic provides the systematic instructions to view Campaign record.

View a record that you have previously input by retrieving the same in the **Campaign Summary** screen. Perform this operation as follows:

1. Start the **Campaign Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to view in the list of displayed records.

   The **Campaign Maintenance** screen is displayed.

7.21.3 Delete Campaign Record

This topic provides the systematic instructions to delete Campaign record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Campaign Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Campaign 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.

> **Note:**
>
> The maker of the record can only delete the unauthorized record.

7.21.4 Authorize Campaign Record

This topic provides the systematic instructions to authorize Campaign record.

Authorize an unauthorized Campaign Record in the system for it to be processed as follows:

1. Start the **Campaign Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Campaign 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.

7.21.5 Amend Campaign Record

This topic provides the systematic instructions to amend Campaign 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 **Campaign Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Campaign 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.

> **Note:**
>
> While amending the campaign details, the campaign end date should not be less than or equal to the Application date.

7.21.6 Authorize Amended Campaign Record

This topic provides the systematic instructions to authorize amended Campaign record.

1. Authorize an amended Campaign Record for the amendment to be made effective in the system.
2. The process of subsequent authorization is the same as that for normal transactions.

7.22 Process Campaign Group Maintenance

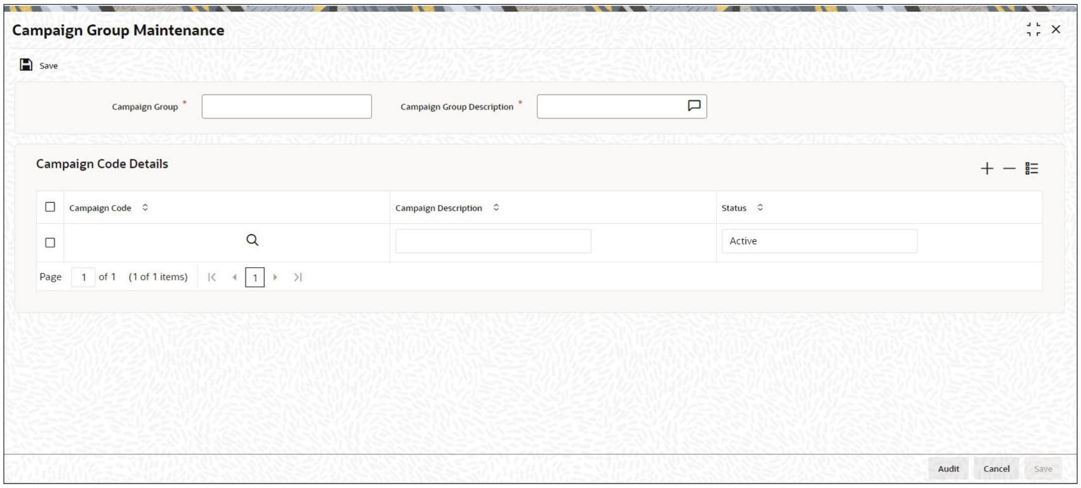
This topic provides the systematic instructions to group the selective campaign maintenance into one campaign group.

You can close and reopen this operation. You can add or delete a campaign in campaign group maintenance screen.

1. On **Home** screen, type **UTDCMPGR** in the text box, and click **Next**.

   The **Campaign Group Maintenance** screen is displayed.

Figure 7-31 Campaign Group Maintenance



2. On **Campaign Group Maintenance** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-33 Campaign Group Maintenance - Field Description

Field	Description
Campaign Group	*Alphanumeric; 10 Characters; Mandatory* Specify the campaign group. Alternatively, you can select campaign code from the option list. The list displays all valid campaign group maintained in the system.
Campaign Group Description	*Alphanumeric; 255 Characters; Mandatory* Specify the description for the campaign group.
Campaign Code Details	The section displays the following fields.
Campaign Code	*Alphanumeric; 10 Characters; Mandatory* Specify the campaign code. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the system.
Campaign Description	*Display* The system displays the description for the selected campaign code.
Status	*Optional* Select the status of the campaign from the drop-down list. The list displays the following values: • Active • Expired

7.23 Campaign Group Summary

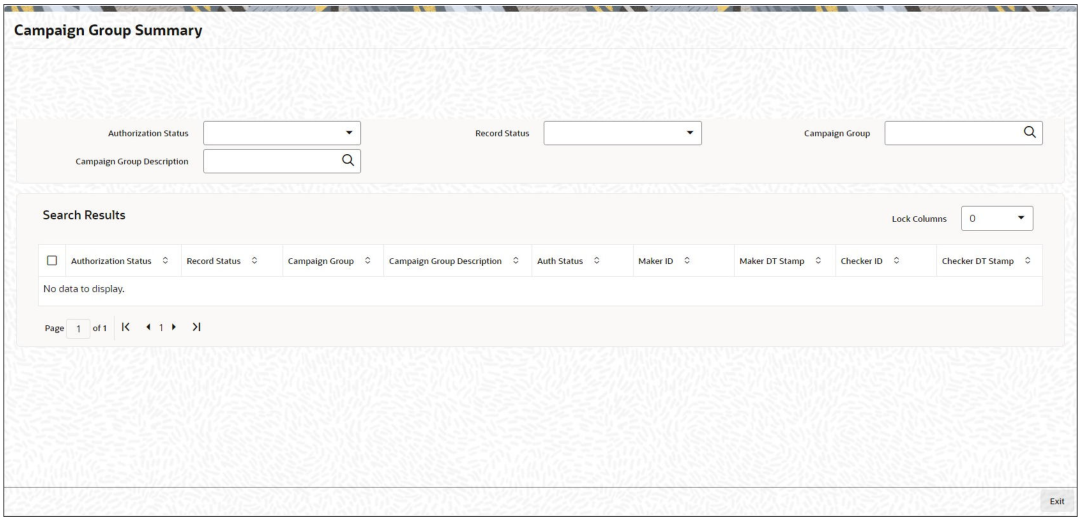
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Campaign Group Record

1. On **Home** screen, type **UTSCMPGR** in the text box, and click **Next**.

   The **Campaign Group Summary** screen is displayed.

Figure 7-32 Campaign Group Summary



2. On **Campaign Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Campaign Group**
   - **Campaign Group Description**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

> **Note:**
>
> The status field in the Records pane of the summary screen displays the bulk operation results.

- Edit Campaign Group Record
  This topic provides the systematic instructions to edit Entity Campaign Group record.
- View Campaign Group Record
  This topic provides the systematic instructions to view Campaign Group record.
- Delete Campaign Group Record
  This topic provides the systematic instructions to delete Campaign Group record.
- Authorize Campaign Group Record
  This topic provides the systematic instructions to authorize Campaign Group record.
- Amend Campaign Group Record
  This topic provides the systematic instructions to amend Campaign Group record.
- Authorize Amended Campaign Group Record
  This topic provides the systematic instructions to authorize amended Campaign Group record.

7.23.1 Edit Campaign Group Record

This topic provides the systematic instructions to edit Entity Campaign Group record.

Modify the campaign group details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Campaign Group Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Campaign Group 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 **Campaign Group Detail** screen is closed and the changes made are reflected in the **Campaign Group Summary** screen.

7.23.2 View Campaign Group Record

This topic provides the systematic instructions to view Campaign Group record.

View a record that you have previously input by retrieving the same in the **Campaign Group Summary** screen. Perform this operation as follows:

1. Start the **Campaign Group Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.

3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Campaign Group Detail** screen is displayed.

7.23.3 Delete Campaign Group Record

This topic provides the systematic instructions to delete Campaign Group record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Campaign Group Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Campaign Group 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.

7.23.4 Authorize Campaign Group Record

This topic provides the systematic instructions to authorize Campaign Group record.

An unauthorized Campaign Group Record must be authorized in the system for it to be processed. Authorize a record as follows:

1. Start the **Campaign Group Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Campaign Group 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.

7.23.5 Amend Campaign Group Record

This topic provides the systematic instructions to amend Campaign Group record.

After a Campaign Group Record is authorized, it can be modified using the **Unlock** operation from the Action List. To make changes to a record after authorization:

1. Start the **Campaign Group Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Campaign Group 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.

7.23.6 Authorize Amended Campaign Group Record

This topic provides the systematic instructions to authorize amended Campaign Group record.

1. An amended Campaign Group Record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The process of subsequent authorization is the same as that for normal transactions.

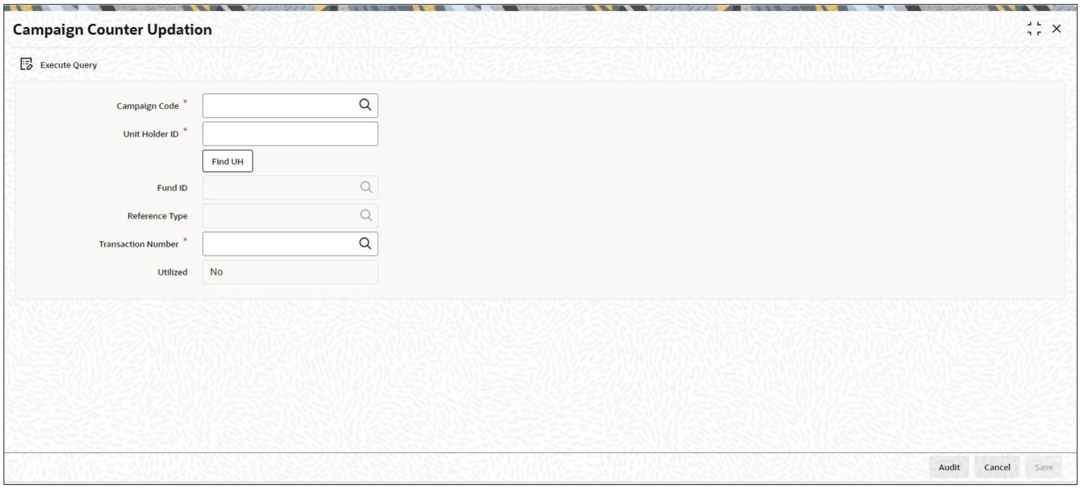
7.24 Process Campaign Counter Updation

This topic provides the systematic instructions to update campaign counter for a particular transaction number.

1. On **Home** screen, type **UTDCMPUP** in the text box, and click **Next**.

   The **Campaign Counter Updation** screen is displayed.

Figure 7-33 Campaign Counter Updation



Utilized: No

2. On **Campaign Counter Updation** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-34 Campaign Counter Updation - Field Description

Field	Description
Campaign Code	*Alphanumeric; 10 Characters; Mandatory* Specify the campaign code. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the system.
Unit Holder ID	*Alphanumeric; 12 Characters; Mandatory* 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. Click **Find UH** button to fetch unit holder details.
Fund ID	*Display* The system displays the fund ID.
Reference Type	*Display* The system displays the reference type.
Transaction Number	*Alphanumeric; 16 Characters; Mandatory* 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.
Utilized	*Optional* Select if the campaign should be re-used again for the unit holder from the drop-down list. The list displays the following values: • Yes • No You can reuse a campaign for a particular transaction number by selecting **Utilized** field as `No`. The system will in turn update the benefit counter in the campaign.

7.25 Campaign Counter Updation Summary

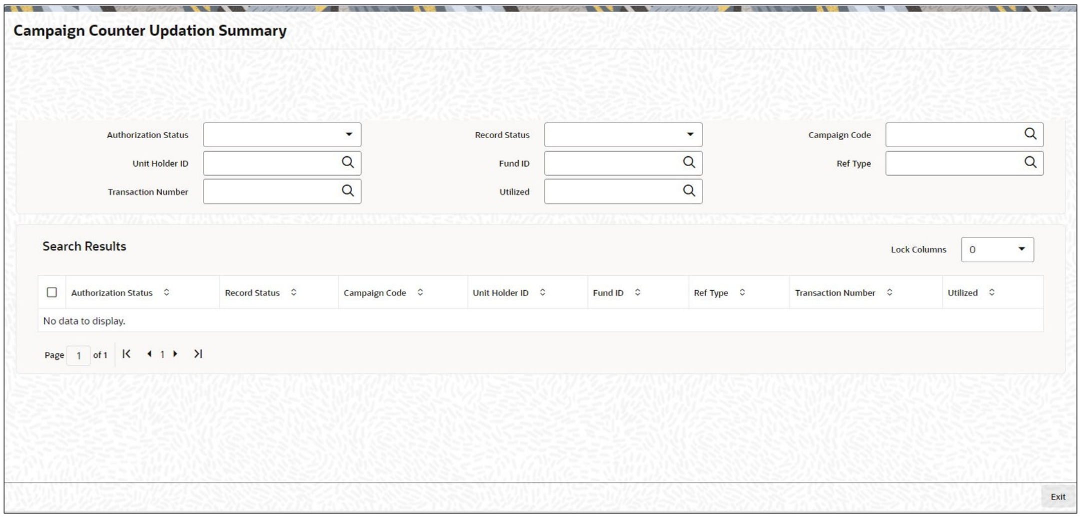
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Campaign Counter Updates

1. On **Home** screen, type **UTSCMPUP** in the text box, and click **Next.**

   The **Campaign Counter Updation Summary** screen is displayed.

   Figure 7-34 Campaign Counter Updation Summary

2. On **Campaign Counter Updation Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Campaign Code**
   - **Fund ID**
   - **Transaction Number**
   - **Unit Holder ID**
   - **Reference Type**
   - **Utilized**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

   For example, you can search the record for Fund ID description by using the combination of % and alphanumeric value as follows:

   - Search by M%: The system will fetch all the records whose Fund ID description starts from Alphabet ‘M’. For example, Mutual Fund.
   - Search by %7 : The system will fetch all the records whose Fund ID ends by numeric value’ 7’ For example, 217,267,77 and so forth.
   - Search by %17%: The system will fetch all the records whose Fund ID contains the numeric value 17. For example, 3217, 2172 and so forth.

- Edit Campaign Counter Updates
  This topic provides the systematic instructions to edit Campaign Counter Updates record.
- View Campaign Counter Updates
  This topic provides the systematic instructions to view Campaign Counter Updates record.
- Delete Campaign Counter Updates
  This topic provides the systematic instructions to delete Campaign Counter Updates record.
- Authorize Campaign Counter Updates
  This topic provides the systematic instructions to authorize Campaign Counter Updates record.
- Amend Campaign Counter Updates
  This topic provides the systematic instructions to amend Campaign Counter Updates record.
- Authorize Amended Campaign Counter Updates
  This topic provides the systematic instructions to authorize amended Campaign Counter Updates record.

7.25.1 Edit Campaign Counter Updates

This topic provides the systematic instructions to edit Campaign Counter Updates record.

Modify the details of a campaign counter updates that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Campaign Counter Updation Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Campaign Counter Updation** 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 **Campaign Counter Updation** screen is closed and the changes made are reflected in the **Campaign Counter Updation Summary** screen.

7.25.2 View Campaign Counter Updates

This topic provides the systematic instructions to view Campaign Counter Updates record.

View a record that you have previously input by retrieving the same in the **Campaign Counter Updation Summary** screen. Perform this operation as follows:

1. Start the **Campaign Counter Updation Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Campaign Counter Updation** screen is displayed.

7.25.3 Delete Campaign Counter Updates

This topic provides the systematic instructions to delete Campaign Counter Updates record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Campaign Counter Updation Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

The **Campaign Counter Updation** 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.

7.25.4 Authorize Campaign Counter Updates

This topic provides the systematic instructions to authorize Campaign Counter Updates record.

Authorize an unauthorized Campaign Counter Updates in the system for it to be processed as follows:

1. Start the **Campaign Counter Updation Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Campaign Counter Updation** 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.

7.25.5 Amend Campaign Counter Updates

This topic provides the systematic instructions to amend Campaign Counter Updates 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 **Campaign Counter Updation Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Campaign Counter Updation** 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.

7.25.6 Authorize Amended Campaign Counter Updates

This topic provides the systematic instructions to authorize amended Campaign Counter Updates record.

1. Authorize an amended Campaign Counter Updates for the amendment to be made effective in the system.
2. The process of subsequent authorization is the same as that for normal transactions.

7.26 Process Admin Tax Maintenance Detail

This topic provides the systematic instructions to maintain the Admin Tax calculated.

Admin Tax calculated by an external system will be sent to **FCIS** System as an external file. This can be interfaced and imported into **FCIS** system.

The Admin Tax calculated by an external system, can be imported into **FLEXCUBE**.

The amount is accrued and proportionately distributed among the credit unions with respect to the business made till date.

If Calculation method is set to **Daily**, then the admin tax is computed and processed daily taking outstanding balance till date into consideration.

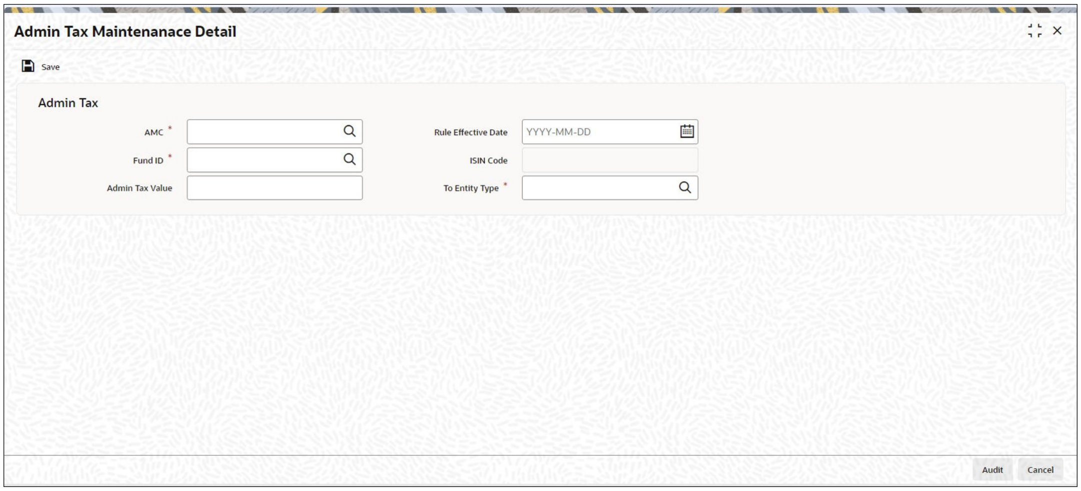
On the other hand, if the calculation method is set to **Average**, the admin tax is computed monthly taking average balance into consideration.

> **Note:**
>
> This feature is only available if your installation has requested for it.

1. On **Home** screen, type **UTDADTAX** in the text box, and click **Next**.

   The **Admin Tax Maintenance Detail** screen is displayed.

   Figure 7-35 Admin Tax Maintenance Detail

2. On **Admin Tax Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 7-35 Admin Tax Maintenance Detail - Field Description

Field	Description
AMC	*Alphanumeric; 12 Characters; Mandatory* Specify the AMC from which the Admin tax would be distributed. You can make your choice by using the option list.
Rule Effective Date (DD/MM/YYYY)	*Date Format; Optional* Specify the date on which the admin tax needs to be captured. **Note:** The effective date can be lesser than or equal to the system date.
Fund ID	*Alphanumeric; 6 Characters; Mandatory* Select the ID of the fund to which the admin tax needs to be distributed.
ISIN Code	*Display* The system displays the ISIN Code of the fund to which the admin tax needs to be distributed.
Admin Tax Value	*Numeric; 22 Characters; Mandatory* Specify the admin tax value to be distributed here. **Note:** The amount specified here should be greater than zero.
To Entity Type	*Alphanumeric; 1 Character; Mandatory* Specify the entity to which the admin tax needs to be distributed. You can make your choice by using the drop-down list.

7.27 Admin Tax Maintenance Summary

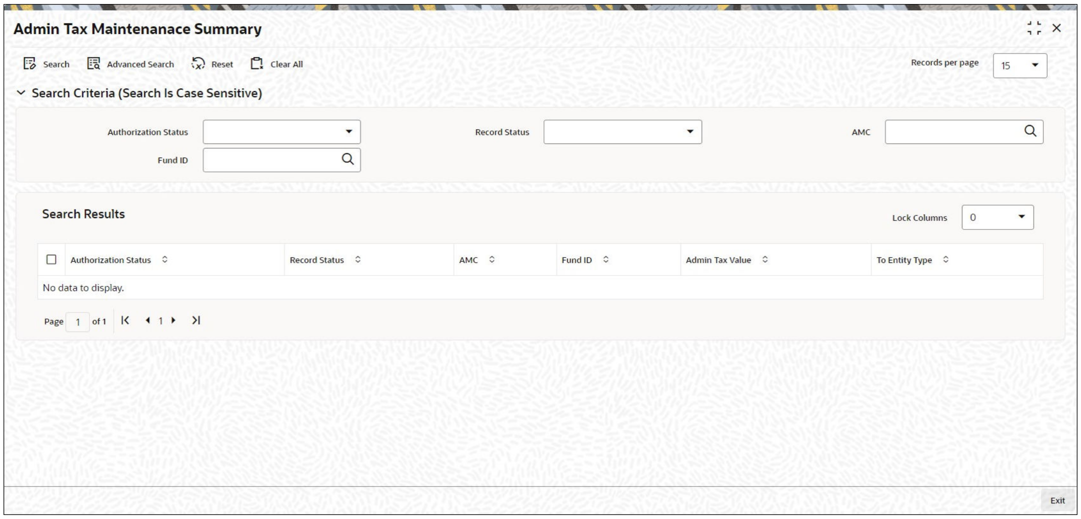
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Admin Tax Maintenance Record

1. On **Home** screen, type **UTSADTAX** in the field at the top right corner and click **Next**.

   The **Admin Tax Maintenance Summary** screen is displayed.

Figure 7-36 Admin Tax Maintenance Summary



2. On **Admin Tax Maintenance Summary** screen, specify any or all of the following details in the corresponding fields:

- **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
- **Record status**
- **AMC**
- **Fund ID**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

   For example, you can search the record for Fund ID by using the combination of % and alphanumeric value as follows:

   - Search by M%: The system will fetch all the records whose Fund ID description starts from Alphabet 'M'. For example, Mutual Fund.
   - Search by %7 : The system will fetch all the records whose Fund ID ends by numeric value' 7' For example, 217,267,77 and so forth.
   - Search by %17%: The system will fetch all the records whose Fund ID contains the numeric value 17. For example, 3217, 2172 and so forth.

- Edit Admin Tax Maintenance Record
  This topic provides the systematic instructions to edit Admin Tax Maintenance record.
- View Admin Tax Maintenance Record
  This topic provides the systematic instructions to view Admin Tax Maintenance record.
- Delete Admin Tax Maintenance Record
  This topic provides the systematic instructions to delete Admin Tax Maintenance record.
- Authorize Admin Tax Maintenance Record
  This topic provides the systematic instructions to authorize Admin Tax Maintenance record.
- Amend Admin Tax Maintenance Record
  This topic provides the systematic instructions to amend Admin Tax Maintenance record.
- Authorize Amended Admin Tax Maintenance Record
  This topic provides the systematic instructions to authorize amended Admin Tax Maintenance record.

7.27.1 Edit Admin Tax Maintenance Record

This topic provides the systematic instructions to edit Admin Tax Maintenance record.

Modify the Admin Tax details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Admin Tax Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Admin Tax 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 **Admin Tax Maintenance Detail** screen is closed and the changes made are reflected in the **Admin Tax Maintenance Summary** screen.

7.27.2 View Admin Tax Maintenance Record

This topic provides the systematic instructions to view Admin Tax Maintenance record.

View a record that you have previously input by retrieving the same in the **Admin Tax Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Admin Tax Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Admin Tax Maintenance Detail** screen is displayed.

7.27.3 Delete Admin Tax Maintenance Record

This topic provides the systematic instructions to delete Admin Tax Maintenance record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Admin Tax Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Admin Tax 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.

7.27.4 Authorize Admin Tax Maintenance Record

This topic provides the systematic instructions to authorize Admin Tax Maintenance record.

Authorize an unauthorized Admin Tax Maintenance Record in the system for it to be processed as follows:

1. Start the **Admin Tax Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Admin Tax 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.

7.27.5 Amend Admin Tax Maintenance Record

This topic provides the systematic instructions to amend Admin Tax 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 **Admin Tax Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to amend.

   The **Admin Tax 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.

7.27.6 Authorize Amended Admin Tax Maintenance Record

This topic provides the systematic instructions to authorize amended Admin Tax Maintenance record.

1. Authorize an amended Admin Tax Maintenance Record for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The process of subsequent authorization is the same as that for normal transactions.

8

Maintain Time Zones

This topic contains the following subtopics:

- Time Zone
- Time Zone Maintenance Summary Screen
- Default Time Zones and Scheduler Changes Maintenance
- Process Time Zone Maintenance Detail
  This topic provides the systematic instructions to capture time zones for various modules.
- Time Zone Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Default Time Zones and Scheduler Changes Maintenance
  This topic explains about Default Time Zones and Scheduler Changes Maintenance.

8.1 Process Time Zone Maintenance Detail

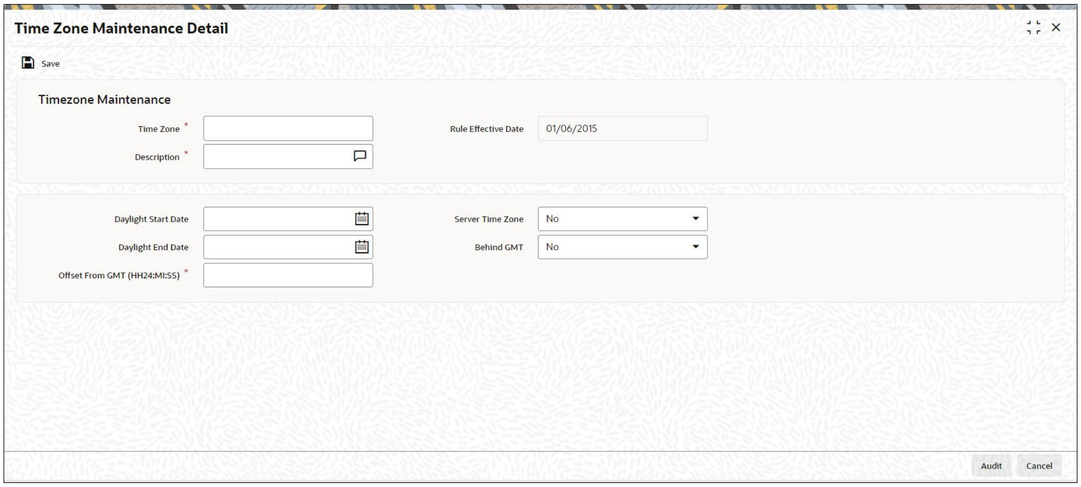
This topic provides the systematic instructions to capture time zones for various modules.

You capture time zones for a particular module. This feature is particularly applicable if you are using **Oracle FLEXCUBE Investor Servicing** for your Financial Services across the globe.

1. On **Home** screen, type **UTDTIMEZ** in the text box, and click **Next**.

   The **Time Zone Maintenance Detail** screen is displayed.

   Figure 8-1 Time Zone Maintenance Detail

   Rule Effective Date: 01/06/2015

   Server Time Zone: No

   Behind GMT: No

2. On **Time Zone Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 8-1 Time Zone Maintenance Detail - Field Description

Field	Description
Time Zone	*Alphanumeric; 12 Characters; Mandatory* Enter the Time Zone. This can be captured for a particular entity.
Description	*Alphanumeric; 255 Characters; Mandatory* Enter a brief description of the Time Zone specified.
Rule Effective Date	*Date Format; Mandatory* Enter the date from when the Time Zone has to be considered for any particular entity.
Daylight Start Date	*Date Format; Optional* Specify the date from when the Daylight Saving Time or Summer Time starts.
Daylight End Date	*Date Format; Optional* Specify the date from when the Daylight Saving Time or Summer Time ends.
Offset From GMT (HH24:MI:SS)	*Numeric; 24 Characters; Mandatory* Enter the time difference between the Time Zone and Greenwich Meridian Time.
Server Time Zone	*Optional* Select `Yes` from drop-down list to specify if the time zone code is where the server would be located.
Behind GMT	*Optional* Select `Yes` from drop-down list to denote that the Time Zone being maintained is behind GMT.

3. Click **Ok** button to save the Time Zone captured in the system.

> **Note:**
>
> - If there are multiple time zones within a country, one Front office module (agency branch) has to be created and associated to each time zone.
> - The latest rule of the time zone incase it has been amended is updated during BOD processing.

8.2 Time Zone Summary

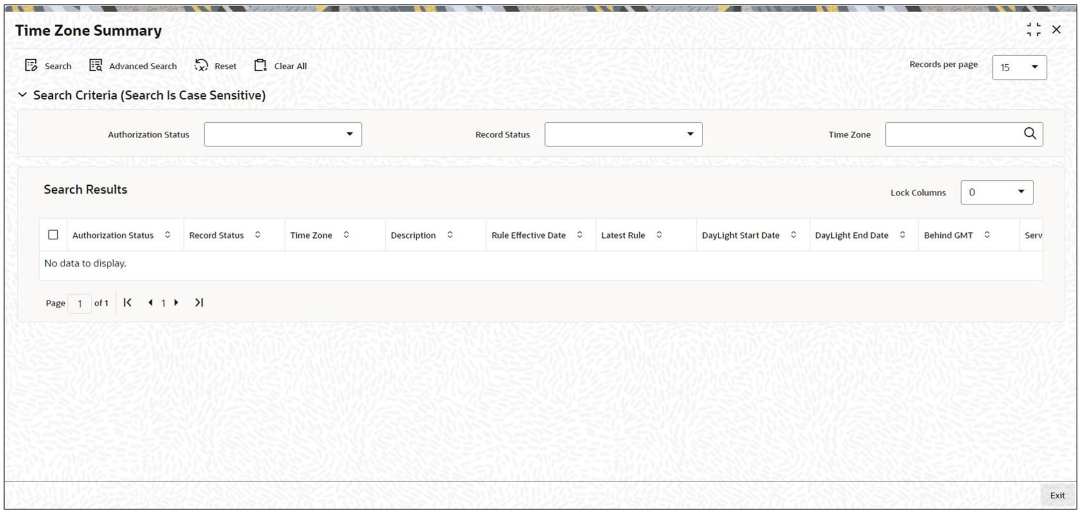
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Time Zone Details

1. On **Home** screen, type **UTSTIMEZ** in the text box, and click **Next**.

   The **Time Zone Summary** screen is displayed.

Figure 8-2 Time Zone Summary



Records per page 15

Lock Columns 0

2. On **Time Zone Summary** screen, specify any or all of the following details in the corresponding fields:
   - **Authorization Status -** If you choose the status, then the records matching the specified status are retrieved. If you do not choose any option, then all the records are retrieved.
   - **Record status**
   - **Time Zone**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, **Authorize**, **Reverse**, and **Confirm** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

   You can search the record for Time Zone by using the combination of % and alphanumeric value as follows:
   - Search by I%: The system will fetch all the records whose Time Zone starts from Alphabet ‘I’. For example, IST and so forth.
   - Search by %7 : The system will fetch all the records whose Time Zone ends by numeric value’ 7’ .For example, AGC17,GSD267,AGC77 and so forth.
   - Search by %17%: The system will fetch all the records whose Time Zone contains the numeric value 17. For example, GSD217, GSD172, AGC17 and so forth.

- Edit Time Zone Details
  This topic provides the systematic instructions to edit Time Zone record.
- View Time Zone Details
  This topic provides the systematic instructions to view Time Zone record.
- Delete Time Zone Details
  This topic provides the systematic instructions to delete Time Zone record.
- Authorize Time Zone Details
  This topic provides the systematic instructions to authorize Time Zone record.
- Amend Time Zone Details
  This topic provides the systematic instructions to amend Time Zone record.
- Authorize Amended Time Zone Details
  This topic provides the systematic instructions to authorize amended Time Zone record.
- Copy Attributes of Time Zone
  This topic provides the systematic instructions to copy attributes of Time Zone.
- Database and Web Server Time
  This topic provides the systematic instructions to Database and Web Server Time.

8.2.1 Edit Time Zone Details

This topic provides the systematic instructions to edit Time Zone record.

Modify the details of Time Zone that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Time Zone Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Time Zone 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 **Time Zone Maintenance Detail** screen is closed and the changes made are reflected in the **Time Zone Summary** screen.

8.2.2 View Time Zone Details

This topic provides the systematic instructions to view Time Zone record.

View a record that you have previously input by retrieving the same in the **Time Zone Summary** screen. Perform this operation as follows:

1. Start the **Time Zone Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Time Zone Maintenance Detail** screen is displayed.

8.2.3 Delete Time Zone Details

This topic provides the systematic instructions to delete Time Zone record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Time Zone Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Time Zone 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.

8.2.4 Authorize Time Zone Details

This topic provides the systematic instructions to authorize Time Zone record.

Authorize an unauthorized Time Zone Details in the system for it to be processed as follows:

1. Start the **Time Zone Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Time Zone 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.

8.2.5 Amend Time Zone Details

This topic provides the systematic instructions to amend Time Zone 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 **Time Zone Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Time Zone 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.

8.2.6 Authorize Amended Time Zone Details

This topic provides the systematic instructions to authorize amended Time Zone record.

1. Authorize an amended Time Zone Maintenance for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.
2. The subsequent process of authorization is the same as that for normal transactions.

8.2.7 Copy Attributes of Time Zone

This topic provides the systematic instructions to copy attributes of Time Zone.

To create a new record that you have previously created. Perform this operation as follows:

1. Click **Copy** to create a new **Time Zone** with the same attributes of an existing record.
2. Retrieve the record whose attributes the new **load** 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 **Time Zone**. You can, however, change the details of the new record.

8.2.8 Database and Web Server Time

This topic provides the systematic instructions to Database and Web Server Time.

1. The Agency Branch is the entity for which a Time Zone is associated. The Agency Branch module time is used instead of the Database server time as the transaction save and authorization time. The Agency Branch time is arrived by the time zone set for it with respect to the module from which the transaction is being captured.
2. During handoff of Fund Rule, the cut off time is not changed as per the local time, but Fund Amendment is allowed from distributor. The fund cut off time must be amended manually to reflect the local time by the Distributor. This Fund local time is used to arrive into transaction cut off time at the time of transaction capturing from distributor and if the fund local time exceeds the fund cut off time the transaction date is captured as next working date.

8.3 Default Time Zones and Scheduler Changes Maintenance

This topic explains about Default Time Zones and Scheduler Changes Maintenance.

- You can associate Agency Branch with a time zone.

  This time zone is used in case a country has multiple time zones.
- You can schedule a job based on the client time while setting up the job for scheduler.

  This time has to be the web server time for that module.
- The **Defaults Maintenance** screen allows you to capture the default time zone.

  Refer topic *Maintaining System Parameters* in this *User Manual* for further information on the *Defaults Maintenance* screen.

9

Common Reporting Standard

This topic explains about Common Reporting Standard.

The **Common Reporting Standard (CRS)**, formally referred to as the Standard for Automatic Exchange of Financial Account Information, is an information standard for the **Automatic Exchange Of Information (AEOI)**, developed in the context of the **Organization for Economic Co-operation and Development (OECD)**.

The legal basis for exchange of data is the Convention on Mutual Administrative Assistance in Tax Matters and the idea is based on the USA **Foreign Account Tax Compliance Act (FATCA)** implementation agreements.

On May 6, 2014, Forty-seven countries tentatively agreed on a **Common Reporting Standard**, an agreement to share information on resident's assets and incomes automatically in conformation with the standard. Until now, the parties to most treaties which are in place for sharing information have shared information upon request, which has not proved effective in preventing tax evasion.

The new system will automatically and systematically transfer all the relevant information. This agreement is informally referred to as **GATCA (the Global version of FATCA)**, but 'CRS is not just an extension of FATCA'.

Endorsing countries included all OECD countries, as well as Argentina, Brazil, China, Colombia, Costa Rica, India, Indonesia, Latvia, Lithuania, Malaysia, Saudi Arabia, Singapore, and South Africa. In September 2014, the G-20, at its meeting in Cairns, Australia, issued the G20 Common Reporting Standard Implementation Plan as part of its official resources.

On 29 October 2014, 51 jurisdictions signed an agreement to automatically exchange information based on Article 6 of the Convention on Mutual Administrative Assistance in Tax Matters. This agreement specifies the details of what information will be exchanged and when, as set out in the Standard. China, Hong Kong and more than 80 countries have agreed to become signatories.

- PARAM Maintenance
  This topic explains on PARAM Maintenance.
- Process Tax Compliance Setup Detail
  This topic provides the systematic instructions to capture tax compliance type, limit maintenance, and limit currency details.
- Tax Compliance Setup Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Tax Compliance Source Country Maintenance
  This topic provides the systematic instructions to maintain source country and the respective reportable countries for a rule type.
- Tax Compliance Source Country Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.

- Process Tax Compliance Document Maintenance Detail
  This topic provides the systematic instructions to maintain the list of tax compliance Document details.
- Tax Compliance Document Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Tax Compliance Classification Maintenance Detail
  This topic provides the systematic instructions to maintain tax compliance classification.
- Tax Compliance Classification Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Third Party Entity Maintenance Detail
  This topic provides the systematic instructions to maintain third party entity.
- Third Party Entity Maintenance Summary
  This topic provides the systematic instructions to perform the basic operations on the selected records.
- Process Due Diligence Detail
  This topic provides the systematic instructions to maintain due diligence details.

9.1 PARAM Maintenance

This topic explains on PARAM Maintenance.

Maintain PARAM Codes

Following PARAM codes support Common Reporting Standard:

Param Code	Param description	Max Length (Param Value)	Maintainable	Param Value-Param Text (Examples of List of Values)
COMPLIANCECODES	The regulatory rule applicable e.g. Common Reporting Standard	10	Yes	**Common Reporting Standard(CRS)**
COMPLIANCECLASSIND	Classification individual	10	Yes	**Resident Individual Account(RIA)** **Foreign Individual Account(FIA)** **Non Resident Individual Account(NRIA)**
COMPLIANCECLASSCORP	Classification – Corporate	10	Yes	**Financial Institution(FI)** **Non reportable FI(NFI)** **Non Financial Entity(NFE)** **Passive NFE(PNFE)**

Param Code	Param description	Max Length (Param Value)	Maintainable	Param Value-Param Text (Examples of List of Values)
COMPLIANCECLASSREASON	Classification Reasons	10	Yes	• **Resident(RES)** • **ARUSP** - Auth Rep is a resident • **BIRTH** - Country of Birth • **NA** - Not applicable
MASTERDOCIND	Document for individuals	MAX	Yes	Self Certification or KYC documents
MASTERDOCCORP	Document for corporate	MAX	Yes	Self certification or KYC documents
MASTERDOCCAT	Category of the documents	MAX	Yes	Address Proof ID Identification Self certification

9.2 Process Tax Compliance Setup Detail

This topic provides the systematic instructions to capture tax compliance type, limit maintenance, and limit currency details.

You can also maintain the financial calendar year for reporting account balance.

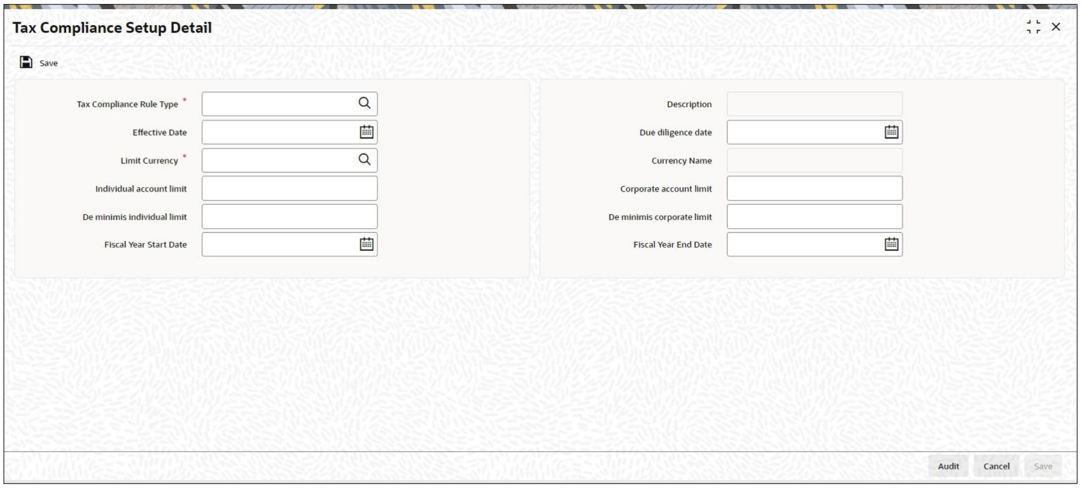
As part of reporting requirement, you need to submit the account balance as on a calendar year for high value reportable accounts. The financial start and end date field will define the calendar year followed for the reporting.

You can also use **Tax Compliance Setup Detail** to define the rule effective date, due diligence date, individual account limit, corporate account limit and calendar year to be followed for reporting.

1. On **Home** screen, type **UTDTCS** in the text box, and click **Next**.

   The **Tax Compliance Setup Detail** screen is displayed.

Figure 9-1   Tax Compliance Setup Detail



2. On **Tax Compliance Setup Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 9-1   Tax Compliance Setup Detail - Field Description

Field	Description
Tax Compliance Rule Type	*Alphanumeric; 10 Characters; Mandatory* Specify the tax compliance codes applicable based on rules maintained at **PARAMS**. Alternatively, you can select tax compliance code from the option list. The list displays all valid tax compliance maintained in the system.
Description	*Display* The system displays the description for the selected tax compliance code.
Effective Date	*Date Format; Mandatory* Select the effective date for the tax rule to be applicable in the system from the adjoining calendar.
Due Diligence Date	*Date Format; Mandatory* Select the due diligence date for the rule being implemented.
Limit Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the limit currency in which the tax rule type is applicable.
Currency Name	*Display* The system displays the name of the currency for the selected limit currency code.
Individual Account Limit	*Numeric; 18 Characters; Optional* Specify the account balance value for individual account.
Corporate Account Limit	*Numeric; 18 Characters; Optional* Specify the account balance value for corporate accounts.
De minimis Individual Limit	*Numeric; 18 Characters; Optional* Specify the de minimis limit for individual account.
De minimis Corporate Limit	*Numeric; 18 Characters; Optional* Specify the de minimis limit for corporate accounts.

Table 9-1 (Cont.) Tax Compliance Setup Detail - Field Description

Field	Description
Fiscal Year Start Date	*Date Format; Mandatory* Specify the financial year start date for reporting the account balances of the reportable account.
Fiscal Year End Date	*Date Format; Mandatory* Specify the financial year end date for reporting the account balances of the reportable account. **Note:** Once the financial year start and end date are authorized, you cannot change these values. The system will do the incremental date change.

3. Create only one Tax compliance type in the system, for instance, for **Compliance Type** selected as **Common Reporting Standard**, the system will not allow one more tax compliance type for common reporting standard.
4. You cannot delete or change the Tax rule and effective date once saved and authorized.

   The rule will be applicable across UT and LEP income for a UH and reportable country. The unit holder income reportable will be for confirmed units which include blocked units as well.

9.3 Tax Compliance Setup Summary

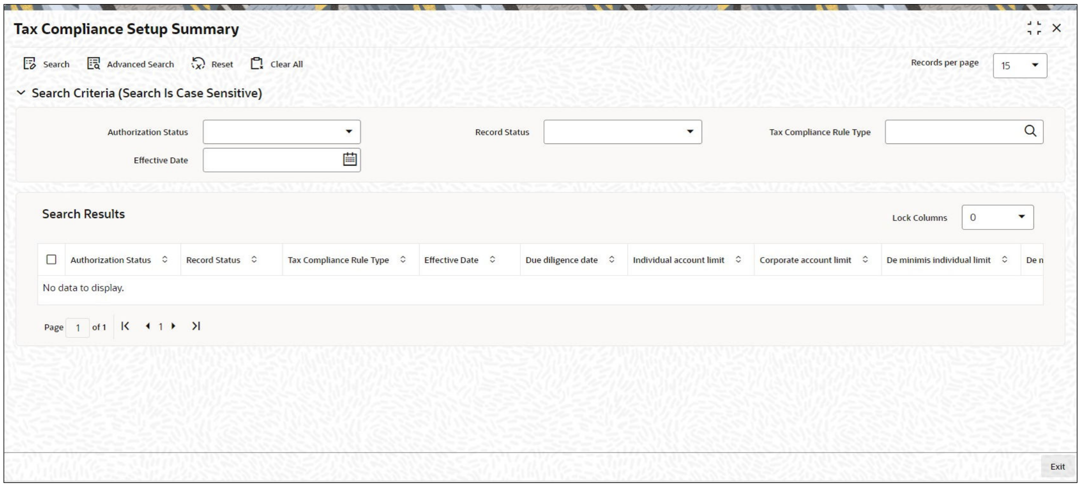
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Tax Compliance Record

1. On **Home** screen, type **UTSTCS** in the text box, and click **Next**.

   The **Tax Compliance Setup Summary** screen is displayed.

Figure 9-2 Tax Compliance Setup Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **Tax Compliance 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**
   - **Tax Compliance Rule Type**
   - **Effective Date**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

   For example, you can search the record for tax compliance code by using the combination of % and alphanumeric value.

   - Search by A%: The system will fetch all the records whose Tax Compliance Rule Type starts from Alphabet ‘A’. For example, ACCB.
   - Search by %7: The system will fetch all the records whose Tax Compliance Rule Type has 7. For example: ACT7

- Edit Tax Compliance Record
  This topic provides the systematic instructions to edit Tax Compliance record.
- View Tax Compliance Record
  This topic provides the systematic instructions to view Tax Compliance record.
- Authorize Tax Compliance Record
  This topic provides the systematic instructions to authorize Tax Compliance record.
- Amend Time Zone Details
  This topic provides the systematic instructions to amend Tax Compliance record.
- Authorize Amended Tax Compliance Record
  This topic provides the systematic instructions to authorize amended Tax Compliance record.

9.3.1 Edit Tax Compliance Record

This topic provides the systematic instructions to edit Tax Compliance record.

Modify the tax compliance details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Tax Compliance 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Tax Compliance 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 **Tax Compliance Setup Detail** screen is closed and the changes made are reflected in the **Tax Compliance Setup Summary** screen.

9.3.2 View Tax Compliance Record

This topic provides the systematic instructions to view Tax Compliance record.

View a record that you have previously input by retrieving the same in the **Tax Compliance Setup Summary** screen. Perform this operation as follows:

1. Start the **Tax Compliance 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Tax Compliance Setup Detail** screen is displayed.

9.3.3 Authorize Tax Compliance Record

This topic provides the systematic instructions to authorize Tax Compliance record.

Authorize an unauthorized Tax Compliance Record in the system for it to be processed as follows:

1. Start the **Tax Compliance 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 lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **Tax Compliance 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.

9.3.4 Amend Time Zone Details

This topic provides the systematic instructions to amend Tax Compliance 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 **Tax Compliance 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 lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Tax Compliance 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.

9.3.5 Authorize Amended Tax Compliance Record

This topic provides the systematic instructions to authorize amended Tax Compliance record.

1. Authorize an amended tax compliance record for the amendment to be made effective in the system.
2. The subsequent process of authorization is the same as that for normal transactions.

9.4 Process Tax Compliance Source Country Maintenance

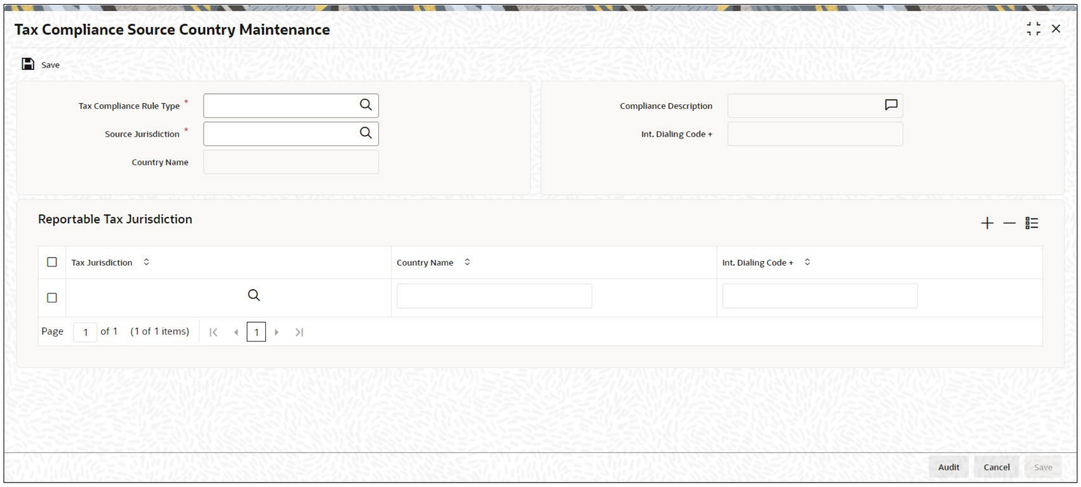
This topic provides the systematic instructions to maintain source country and the respective reportable countries for a rule type.

For instance, for a Rule type Common Reporting standard, you can maintain a source country for an LOB with multiple reportable countries.

1. On **Home** screen, type **UTDTCSCM** in the text box, and click **Next**.

   The **Tax Compliance Source Country Maintenance** screen is displayed.

Figure 9-3   Tax Compliance Source Country Maintenance



2. On **Tax Compliance Source Country Maintenance** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 9-2   Tax Compliance Source Country Maintenance - Field Description

Field	Description
Tax Compliance Rule Type	*Alphanumeric; 10 Characters; Mandatory* Specify the tax compliance codes applicable based on rules maintained at **PARAMS**. Alternatively, you can select tax compliance code from the option list. The list displays all valid tax compliance maintained in the system.
Compliance Description	*Display* The system displays the description for the selected tax compliance code.
Source Jurisdiction	*Alphanumeric; 3 Characters; Mandatory* Specify the source jurisdiction code. Alternatively, you can select source jurisdiction code from the option list. The list displays all valid source jurisdiction code maintained in the system.
Int. Dialing Code +	*Display* The system displays the international dialling code based on the source jurisdiction code maintained. For instance, if you have selected source jurisdiction code as India, then the system will display international dialling code as 91.
Country Name	*Display* The system displays the name of the country for the selected source jurisdiction code.
Reportable Tax Jurisdiction	This section displays the following fields.
Tax Jurisdiction	*Alphanumeric; 3 Characters; Mandatory* Specify the tax jurisdiction code. Alternatively, you can select tax jurisdiction code from the option list. The list displays all valid tax jurisdiction code maintained in the system.
Country Name	*Display* The system displays the name of the country for the selected source jurisdiction code.

Table 9-2 (Cont.) Tax Compliance Source Country Maintenance - Field Description

Field	Description
Int. Dialing Code +	*Display* The system displays the international dialling code based on the source jurisdiction code maintained. For instance, if you have selected source jurisdiction code as India, then the system will display international dialling code as 91.

3. Click **Ok** button to save the Time Zone captured in the system.

> **Note:**
>
> - If there are multiple time zones within a country, one Front office module (agency branch) has to be created and associated to each time zone.
> - The latest rule of the time zone incase it has been amended is updated during BOD processing.

9.5 Tax Compliance Source Country Maintenance Summary

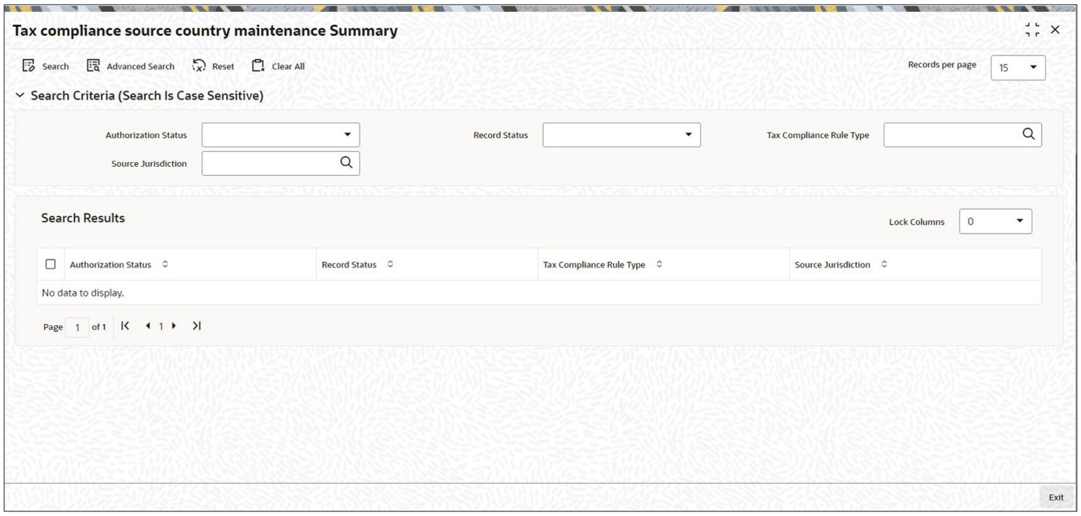
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Tax Compliance Source Country Record

1. On **Home** screen, type **UTSTCSCM** in the text box, and click **Next**.

   The **Tax Compliance Source Country Maintenance Summary** screen is displayed.

Figure 9-4 Tax Compliance Source Country Maintenance Summary



Records per page 15

Lock Columns 0

No data to display.

2. On **Tax Compliance Source Country 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**
  - **Tax Compliance Rule Type**
  - **Source Jurisdiction**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

   For example, you can search the record for tax compliance code by using the combination of % and alphanumeric value.

   - Search by A%: The system will fetch all the records whose Tax Compliance Rule Type starts from Alphabet ‘A’. For example, ACCB.
   - Search by %7: The system will fetch all the records whose Tax Compliance Rule Type has 7. For example: ACT7

- Edit Tax Compliance Source Country Record
  This topic provides the systematic instructions to edit Tax Compliance Source Country record.
- View Tax Compliance Source Country Record
  This topic provides the systematic instructions to view Tax Compliance Source Country record.
- Delete Tax Compliance Source Country Record
  This topic provides the systematic instructions to delete Tax Compliance Source Country record.
- Authorize Tax Compliance Source Country Record
  This topic provides the systematic instructions to authorize Tax Compliance Source Country record.
- Amend Tax Compliance Source Country Record
  This topic provides the systematic instructions to amend Tax Compliance Source Country record.
- Authorize Amended Tax Compliance Source Country Record
  This topic provides the systematic instructions to authorize amended Tax Compliance Source Country record.

9.5.1 Edit Tax Compliance Source Country Record

This topic provides the systematic instructions to edit Tax Compliance Source Country record.

Modify the tax compliance source country details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Tax Compliance Source Country Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Tax Compliance Source Country 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 **Tax Compliance Source Country Maintenance** screen is closed and the changes made are reflected in the **Tax Compliance Source Country Maintenance Summary** screen.

9.5.2 View Tax Compliance Source Country Record

This topic provides the systematic instructions to view Tax Compliance Source Country record.

View a record that you have previously input by retrieving the same in the **Tax Compliance Source Country Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Tax Compliance Source Country Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Tax Compliance Source Country Maintenance** screen is displayed.

9.5.3 Delete Tax Compliance Source Country Record

This topic provides the systematic instructions to delete Tax Compliance Source Country record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Tax Compliance Source Country Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.
3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Tax Compliance Source Country 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.

9.5.4 Authorize Tax Compliance Source Country Record

This topic provides the systematic instructions to authorize Tax Compliance Source Country record.

Authorize an unauthorized Tax Compliance Source Country Record in the system for it to be processed as follows:

1. Start the **Tax Compliance Source Country Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Tax Compliance Source Country 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.

9.5.5 Amend Tax Compliance Source Country Record

This topic provides the systematic instructions to amend Tax Compliance Source Country 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 **Tax Compliance Source Country Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Tax Compliance Source Country 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.

9.5.6 Authorize Amended Tax Compliance Source Country Record

This topic provides the systematic instructions to authorize amended Tax Compliance Source Country record.

1. Authorize an amended Tax Compliance Source Country Record for the amendment to be made effective in the system.
2. The subsequent process of authorization is the same as that for normal transactions.

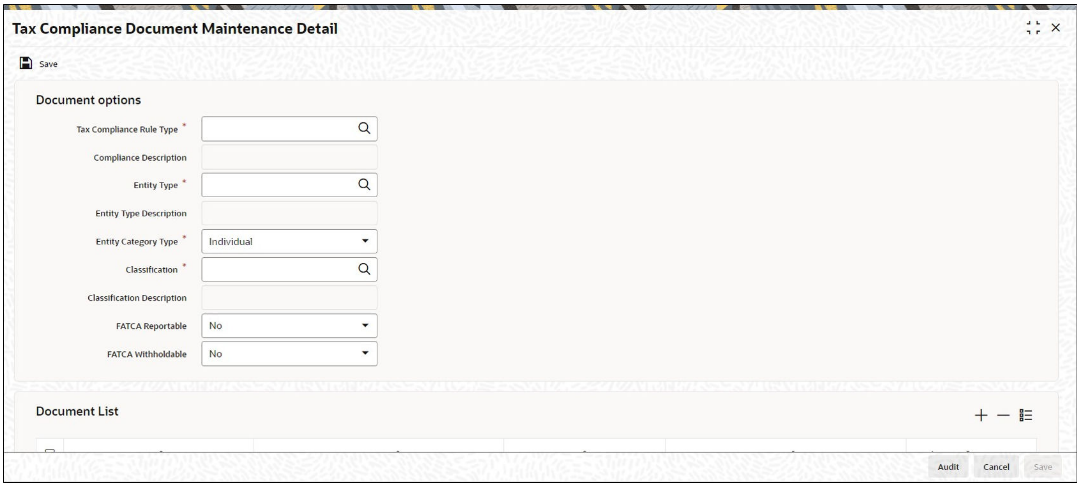
9.6 Process Tax Compliance Document Maintenance Detail

This topic provides the systematic instructions to maintain the list of tax compliance Document details.

1. On **Home** screen, type **UTDFATDT** in the text box, and click **Next**.

   The **Tax Compliance Document Maintenance Detail** screen is displayed.

Figure 9-5   Tax Compliance Document Maintenance Detail



Entity Category Type *: Individual
FATCA Reportable: No
FATCA Withholdable: No

2. On **Tax Compliance Document Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 9-3   Tax Compliance Document Maintenance Detail - Field Description

Field	Description
Document Options	The section displays the following fields.
Tax Compliance Rule Type	*Alphanumeric; 10 Characters; Mandatory* Specify the tax compliance rule type. Alternatively, you can select Tax compliance rule type from the option list. The list displays all valid tax compliance rule type maintained in the system.
Compliance Description	*Display* The system displays the description for the selected tax compliance rule type.
Entity Type	*Alphanumeric; 2 Characters; Mandatory* Specify the FATCA entity type. Alternatively, you can select entity rule from the option list. The list displays all valid entity type maintained in the system.
Entity Type Description	*Display* The system displays the description for the selected entity type.
Entity Category Type	*Mandatory* Select the entity category type from the drop-down list. The list displays the following values: • **Individual** • **Corporate**
Classification	*Alphanumeric; 25 Characters; Mandatory* Select the FATCA Classification. Alternatively, you can select entity rule from the option list. The list displays all valid entity type maintained in the system.
Classification Description	*Display* The system will display the description based on the selected FATCA Classification.

Table 9-3 (Cont.) Tax Compliance Document Maintenance Detail - Field Description

Field	Description
FATCA Reportable	*Optional* FATCA Reportable gets defaulted from the **FATCA Document Maintenance** for the entity selected. You can change the value from **Yes** to **No**, but vice versa is not allowed. The system defaults **FATCA Reportable** as **No**.
FATCA Withholdable	*Optional* FATCA With holdable gets defaulted from the FATCA document maintenance for the entity selected. You can change the value from **Yes** to **No**, but vice versa is not allowed. The system defaults **FATCA Withholdable** as **No**.
Document List	The section displays the following fields.
Document Category	*Alphanumeric; 25 Characters; Mandatory* Select the category of the document. Alternatively, you can select document category from the option list. The list displays all valid document category maintained in the system.
Document Category Description	*Display* The system displays the document category description based on the selected document category.
Document Type	*Alphanumeric; 25 Characters; Mandatory* Select the type of document. Alternatively, you can select document type from the option list. The list displays all valid document type maintained in the system.
Document Type Description	*Display* The system displays the document type based on the selected document type.
Mandatory	*Mandatory* Select if the document is mandatory or optional from the drop-down list. The list displays the following values: • Standard - This indicates that the document is mandatory • Additional - This indicates that the document is optional Select the appropriate option.
Minimum Document Reqd	The section displays the following fields.
Document Category	*Alphanumeric; 25 Characters; Mandatory* Select the document category. Alternatively, you can select document category from the option list. The list displays all valid document category maintained in the system.
Document Category Description	*Display* The system displays the document category description based on the selected document category.
Minimum Number Reqd	*Numeric; 22 Characters; Mandatory* Specify the minimum number of the standard documents that is required.

9.7 Tax Compliance Document Maintenance Summary

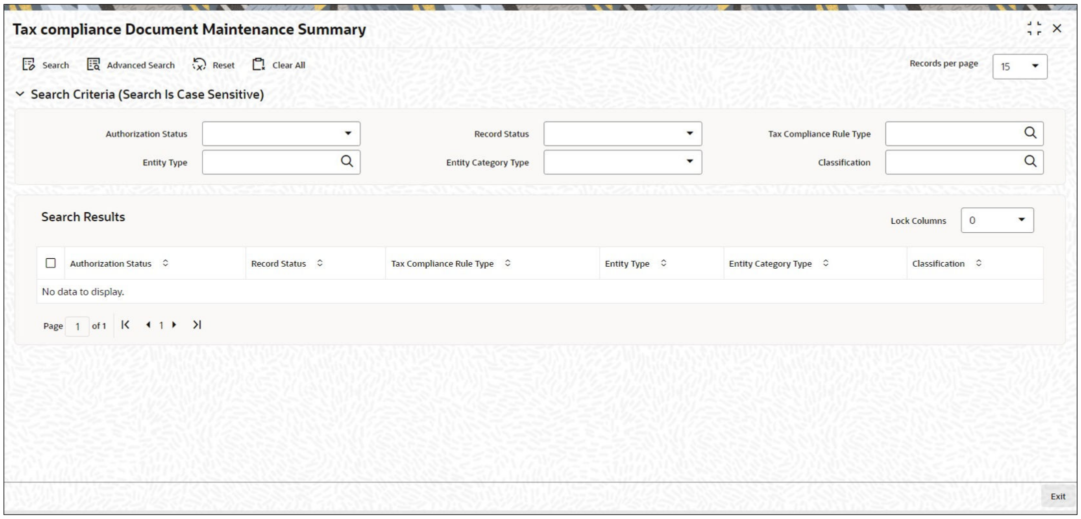
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Tax Compliance Document Maintenance Details

1. On **Home** screen, type **UTSFATDT** in the text box, and click **Next**.

   The **Tax Compliance Document Maintenance Summary** screen is displayed.

   Figure 9-6   Tax Compliance Document Maintenance Summary

   Records per page 15

   Lock Columns 0

   No data to display.

   Page 1 of 1

2. On **Tax Compliance Document 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**
   - **Tax Compliance Rule Type**
   - **Entity Type**
   - **Entity Category Type**
   - **Classification**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

- Edit Tax Compliance Document Maintenance Details
  This topic provides the systematic instructions to edit Tax Compliance Document Maintenance record.

- View Tax Compliance Document Maintenance Details
  This topic provides the systematic instructions to view Tax Compliance Document Maintenance record.
- Authorize Tax Compliance Document Maintenance Details
  This topic provides the systematic instructions to authorize amended Tax Compliance Document Maintenance record.

9.7.1 Edit Tax Compliance Document Maintenance Details

This topic provides the systematic instructions to edit Tax Compliance Document Maintenance record.

Modify the tax compliance document maintenance details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Tax Compliance Document Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Tax Compliance Document 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 **Tax Compliance Document Maintenance Detail** screen is closed and the changes made are reflected in the **Tax Compliance Document Maintenance Summary** screen.

9.7.2 View Tax Compliance Document Maintenance Details

This topic provides the systematic instructions to view Tax Compliance Document Maintenance record.

View a record that you have previously input by retrieving the same in the **Tax Compliance Document Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Tax Compliance Document Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

All records with the specified fields are retrieved and displayed in the lower portion of the screen.

5. Double-click the record that you want to view in the list of displayed records.

   The **Tax Compliance Document Maintenance Detail** screen is displayed.

9.7.3 Authorize Tax Compliance Document Maintenance Details

This topic provides the systematic instructions to authorize amended Tax Compliance Document Maintenance record.

Authorize an unauthorized Tax Compliance Document Maintenance Details in the system for it to be processed as follows:

1. Invoke the **Tax Compliance Document Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Tax Compliance Document 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.

9.8 Process Tax Compliance Classification Maintenance Detail

This topic provides the systematic instructions to maintain tax compliance classification.

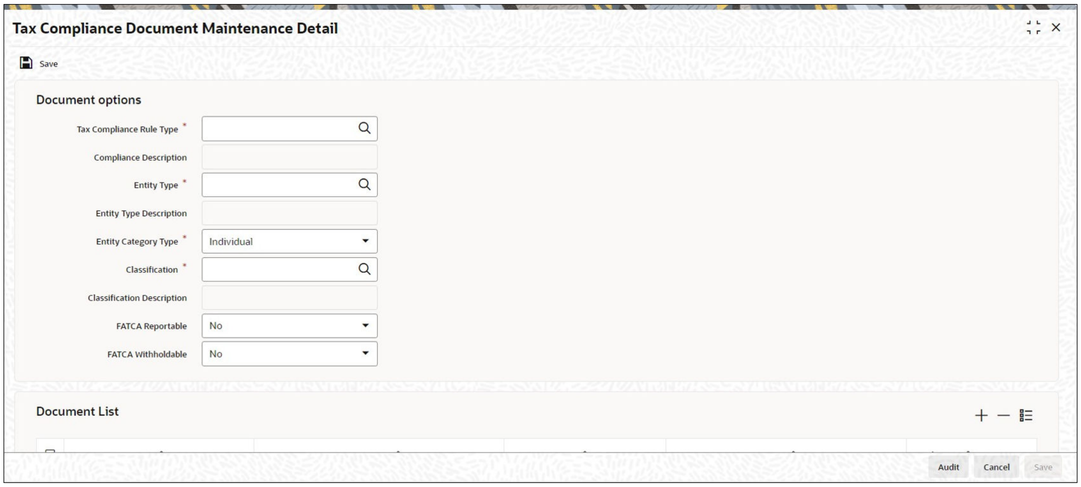
Maintain Tax compliance Classification Maintenance and record document details for Unit Holder. You can mark the documents collected in the system, classify the entity in the system and also map the indicia to the UH.

The **Tax Compliance Classification Maintenance Detail** screen will be available as part of AGY for UH only. You can maintain tax compliance classification maintenance record using this screen.

1. On **Home** screen, type **UTDCOMCL** in the text box, and click **Next**.

   The **Tax Compliance Classification Maintenance Detail** screen is displayed.

Figure 9-7   Tax Compliance Classification Maintenance Detail



Entity Category Type *: Individual
FATCA Reportable: No
FATCA Withholdable: No

2. On **Tax Compliance Classification Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 9-4   Tax Compliance Classification Maintenance Detail - Field Description

Field	Description
Tax Compliance Rule Type	*Alphanumeric; 10 Characters; Mandatory* Specify the tax compliance rule type. Alternatively, you can select Tax compliance rule type from the option list. The list displays all valid tax compliance rule type maintained in the system.
Compliance Description	*Display* The system displays the description for the selected tax compliance rule type.
Entity Type	*Alphanumeric; 2 Characters; Mandatory* Specify the entity type. Alternatively, you can select entity type from the option list. The list displays all valid entity type maintained in the system. Click **Find UH** button to select the entity type holder in the system.
Entity Type Description	*Display* The system displays the description for the selected entity type.
Entity ID	*Alphanumeric; 20 Characters; Mandatory* Specify the entity ID to be classified.
Entity Name	*Display* The system displays the name of the specified entity ID.
Entity Category	*Display* The system displays the category of the specified entity ID.
Source Jurisdiction	*Alphanumeric; 3 Characters; Mandatory* Specify the source jurisdiction code.
Jurisdiction Name	*Display* The system displays the name of the specified jurisdiction code.
Classification	*Alphanumeric; 25 Characters; Optional* Specify the classification details. Alternatively, you can select classification code from the option list. The list displays all valid classifications maintained in the system.

Table 9-4 (Cont.) Tax Compliance Classification Maintenance Detail - Field Description

Field	Description
Classification Description	*Display* The system displays the description for the selected classification code.
Classification Reason	*Alphanumeric; 255 Characters; Optional* Specify the classification reason. Alternatively, you can select classification reason from the option list. The list displays all valid classification reasons maintained in the system.
Classification Reason Description	*Display* The system displays the description for the selected classification reason.
Account Value	*Optional* Select the value of an account from the drop-down list. The list displays the following values: • **Low** • **High** Click **Indicia Details** button to specify indicia and document details.
Indicia Details	The section displays the following fields.
Reportable Jurisdiction	*Alphanumeric; 3 Characters; Optional* Specify the reportable jurisdiction details for which Indicia are found. Alternatively, you can select reportable jurisdiction details from the option list. The list displays all valid reportable country list maintained as part of tax rule maintenance.
Description	*Display* The system displays the description for the selected reportable jurisdiction.
Indicia	*Optional* Select the indicia status from the drop-sown list. The list displays the following values: • **Yes** • **No** The indicia identification will be based on the criteria defined and this is identified on save for new accounts and for pre existing accounts through due diligence process.
Compliance Status	*Mandatory* Select if the account has to be reported to the reportable jurisdiction or not from the drop-down list. The list displays the following values: • **Reportable** • **Non Reportable** If a UH with no indicia trigger is classified the values will be blank.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Document Details	The section displays the following fields.
Document Category	*Alphanumeric; 25 Characters; Optional* Specify the document category such as address proof, ID proof. Alternatively, you can select document category from the option list. The list displays all valid document categories maintained in the system.

Table 9-4 (Cont.) Tax Compliance Classification Maintenance Detail - Field Description

Field	Description
Document Category Description	*Display* The system displays the description for the selected document category.
Document Type	*Alphanumeric; 25 Characters; Optional* Specify the document type such as passport details. Alternatively, you can select document type from the option list. The list displays all valid document type maintained in the system.
Document Type Description	*Display* The system displays the description for the selected document type.
Mandatory	*Optional* Select if the document category to be defined as standard set or additional set of document from the drop-down list. The list displays the following values: • **Standard** • **Additional Documents**
Document ID	*Alphanumeric; 25 Characters; Optional* Specify the document identification number.
Issue Date	*Date Format; Optional* Select the issue date from the adjoining calendar.
Expiry Date	*Date Format; Optional* Select the expiry date from the adjoining calendar.
Copy Received	*Optional* Check this box if the copy is received.
Original Received	*Optional* Check this box if the original document is received.
Received Date	*Date Format; Optional* Select the date when the documents were received from the adjoining calendar.
Remarks	*Alphanumeric; 255 Characters; Optional* Specify remarks, if any.
Document Reference Number	*Alphanumeric; 255 Characters; Optional* Specify the document reference number.

3. Click the **Upload** button to upload all the required set of documents.
4. You can classify the unit holder accordingly based on the documents submitted by the unit holder.

   Post authorization of the unit holder, the unit holder will be available for **Tax Compliance Classification Document Maintenance**.
5. Once the unit holder is classified in **Tax Compliance Document Classification Maintenance** screen, if you update any details as **Reportable** status then the same is updated back to the **Tax Compliance** tab in **UH maintenance** screen.
6. If you identify new Indicia and Tax jurisdiction along with system identified details, then the new details will also be added as part of UH (Tax compliance sub screen).
7. Once the Indicia is identified by the system and classified, the system will not derive indicia status again. The Tax classification document maintenance will be the final status. In case new Indicia is to be added or deleted, you can do the same through this **Tax Compliance Classification Maintenance Detail (UTDCOMCL)** only.

In case indicia is identified /not identified and in case classification is done for the UH (through **Tax Compliance Classification Maintenance Detail (UTDCOMCL)**) upon UH amendment indicia will not be system derived.

8. You can change the **Compliance Status**, once indicia is identified.
9. You can view the following table that explains the indicia attribute and the corresponding field mapped to the system that trigger indicia for a unit holder.

Table 9-5 Individual Accounts (New)

Indicia attributes	Field at UH	Tab	Function ID	Logic
Residence address/ mailing address	Country Field (correspondence country field)	Contact Details TAB	**UTDUH**	If the country field and telephone no (Tel 1, Tel 2, Cell phone number, Fax number) is one of the reportable jurisdiction country then indicia is triggered for the UH.
Resident of reportable jurisdiction	Domicile Country	Client preference TAB	**UTDUH**	If the country of domicile is one of the reportable jurisdiction then indicia is triggered for the UH
Effective POA granted to a person with an address in reportable jurisdiction	Auth Rep ID (if an auth rep is mapped to an UH then the country code of auth rep is to be checked for)	Country code field in the Auth rep maintenance	**UTDATREP**	If the country code mapped at Auth rep maintenance is one of the reportable jurisdiction then indicia is triggered for the UH
Telephone of a reportable jurisdiction or no telephone numbers in participating country	International dialing codes (All four country codes Tel 1, Tel 2, Cell phone number, Fax number)	Contact Details TAB	**UTDUH**	If anyone of the international dialing code maintained is the dialing code of the reportable jurisdiction then indicia to be triggered for the UH and if anyone of the international dialing code maintained is that of a source/ participating jurisdiction then indicia should not be triggered

Table 9-5 (Cont.) Individual Accounts (New)

Indicia attributes	Field at UH	Tab	Function ID	Logic
Bank details of a reportable jurisdiction	bank branch country code	Single entity maintenance- Bank branch maintenance	**UTDTPMN**	If the bank branch country code is one of the reportable jurisdiction then the UH which is mapped with that bank branch will be triggered with indicia.
Linked Entity-Joint/Nominee (TIN and Date of birth and place of birth)	Issuing jurisdiction	Multiple Tax id details	**UTDUH**	If the issuing jurisdiction of the Tax id is one/all of the reportable jurisdiction then indicia is triggered for the UH
Nominee/Joint	Correspondence address country field and tax issuing jurisdiction	Nominee/ Joint holder- if they are third party mapped	**UTDUH**	If the UH being mapped at joint holder/nominee is a third party then; the correspondence address country code field or Tax issuing jurisdictions fields are one of the reportable jurisdiction maintained then indicia is triggered for the UH
Nominee/Joint	NA	Nominee/ Joint holder- if its and existing UH in the system	**UTDUH**	If the UH mapped is an existing UH in the system and has indicia triggered then the same indicia triggers will be applicable for the UH. If an existing CIF is being mapped then the county of domicile to trigger indicia.

Table 9-6 Entity Accounts (New accounts)

Indicia attributes	Field at UH	Tab	Function ID	Logic
Residence address/ mailing address	Country Field (correspondence country field)	Contact Details TAB	**UTDUH**	If the country field telephone no (Tel 1, Tel 2, Cell phone number, Fax number) is one of the reportable jurisdiction country then indicia is triggered for the UH
Resident of reportable jurisdiction	country of incorporation	Corporate Details TAB	**UTDUH**	If the country of incorporation is one of the reportable jurisdiction then indicia is triggered for the UH
Telephone of a reportable jurisdiction or no telephone numbers in participating country	International dialing codes (All four country codes Tel 1, Tel 2, Cell phone number, Fax number)	Contact Details TAB	**UTDUH**	If anyone of the international dialling code maintained is the dialling code of the reportable jurisdiction then indicia to be triggered for the UH And if anyone of the international dialling code maintained is that of a source/ participating jurisdiction then indicia should not be triggered
Bank details of a reportable jurisdiction	bank branch country code	Single entity maintenance-Bank branch maintenance	**UTDTPMN**	If the bank branch country code is one of the reportable jurisdiction then the UH which is mapped with that bank branch will be triggered with indicia.

Table 9-6 (Cont.) Entity Accounts (New accounts)

Indicia attributes	Field at UH	Tab	Function ID	Logic
Linked Entitydirector (TIN and Date of birth and place of birth)	Issuing jurisdiction	Multiple Tax id details	**UTDUH**	The Tax ID issuing jurisdiction is one of the reportable jurisdiction then indicia is triggered for the UH- only if the director is marked as controlling person
Director	Correspondence address country field and tax issuing jurisdiction	Director- if its and existing UH/CIF in the system	**UTDUH**	If the UH being mapped as director is a third party then; the correspondence address country code field or Tax issuing jurisdictions fields are one of the reportable jurisdiction maintained then indicia is triggered for the UH. If the UH mapped is an existing Uh in the system and has indicia triggered then the same indicia triggers will be applicable for the UH. If an existing CIF is being mapped then the county of incorporation to trigger indicia.- only if the director is marked as controlling person

For a corporate account (UH) created, if you map one or all of the director as existing UH in the system there will be no check, if the linked UH is an individual UH in the system. If you map a corporate UH as one of the director then there will be no check and this will be operationally controlled process in the system.

Similarly for a individual account(UH) created, if you map one or all of the joint/Nominee as existing UH in the system there will be no check, if the linked UH is an individual UH in the system. If you map a corporate UH as one of the director then there will be no check and this will be operationally controlled process in the system.

For a corporate account(UH) created, if you map one or all of the director as external entity (Third party) in the system there will be no check if the linked third party is an individual entity in the system. If you map a corporate third party as one of the director then there will be no check and this will be operationally controlled process in the system.

Similarly for an individual account (UH) created; if you map one or all of the external entity (Third party) in the system there will be no check, if the linked third party is an individual entity (third party) in the system. If you map a corporate third party as one of the director then there will be no check and this will be operationally controlled process in the system.

If a unit holder created does not have any indicia triggering attributes except the linked UH (which can be a nominee, joint holder or director for a corporate UH); and if the linked UH has indicia triggered for multiple jurisdictions then the main UH will be triggered with indicia for all the jurisdictions.

If you map UH as joint holder/nominee and if indicia is selected as `Yes` then; the correspondence address country code field (including the International dialling code)/ Tax issuing jurisdictions/ country of birth field are one of the reportable jurisdiction maintained then indicia is triggered at the main UH.

9.9 Tax Compliance Classification Maintenance Summary

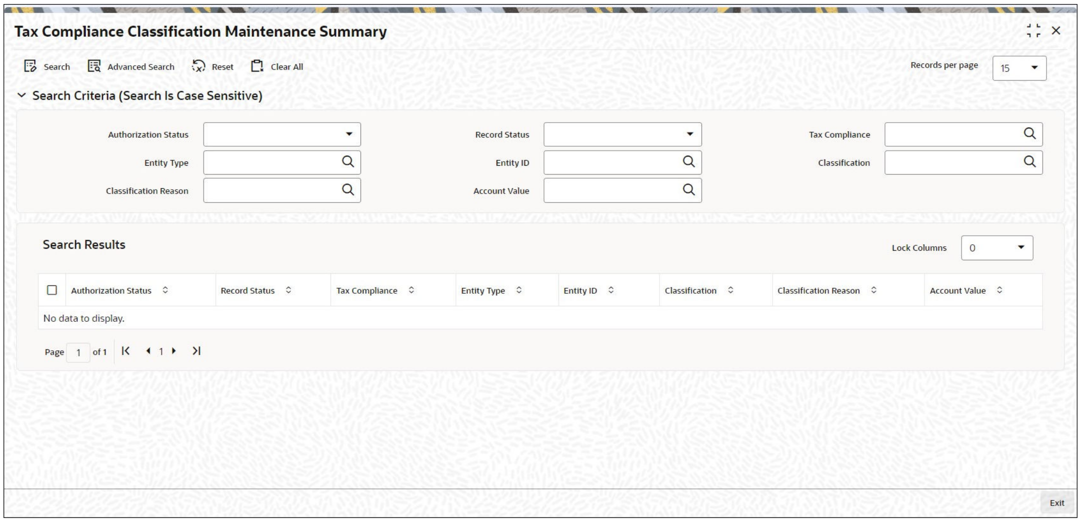
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Tax Compliance Classification Maintenance Details

1. On **Home** screen, type **UTSCOMCL** in the text box, and click **Next**.

   The **Tax Compliance Classification Maintenance Summary** screen is displayed.

Figure 9-8 Tax Compliance Classification Maintenance Summary



2. On **Tax Compliance Classification 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**
   - **Tax Compliance**
   - **Entity Type**
   - **Entity ID**

- **Classification**
- **Classification Reason**
- **Account Value**

3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

   > **Note:**
   >
   > You can also retrieve the individual record detail from the detail screen by querying in the following manner:
   >
   > - Press F7
   > - Input any parameter in the screen
   > - Press F8

- Edit Tax Compliance Classification Maintenance Details
  This topic provides the systematic instructions to edit Tax Compliance Classification Maintenance record.
- View Tax Compliance Classification Maintenance Details
  This topic provides the systematic instructions to view Tax Compliance Classification Maintenance record.
- Delete Tax Compliance Classification Maintenance Details
  This topic provides the systematic instructions to delete Tax Compliance Classification Maintenance record.
- Authorize Tax Compliance Classification Maintenance Details
  This topic provides the systematic instructions to authorize amended Tax Compliance Classification Maintenance record.
- Amend Tax Compliance Classification Maintenance Details
  This topic provides the systematic instructions to amend Tax Compliance Classification Maintenance record.
- Authorize Amended Tax Compliance Source Country Record
  This topic provides the systematic instructions to authorize amended Tax Compliance Source Country record.

9.9.1 Edit Tax Compliance Classification Maintenance Details

This topic provides the systematic instructions to edit Tax Compliance Classification Maintenance record.

Modify the Tax Compliance Classification Maintenance Details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Tax Compliance Classification Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for modification in the **Authorization Status** field.

   You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.

3. Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
4. Click **Search** button.

   All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Tax Compliance Classification 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 **Tax Compliance Classification Maintenance Detail** screen is closed and the changes made are reflected in the **Tax Compliance Classification Maintenance Summary** screen.

9.9.2 View Tax Compliance Classification Maintenance Details

This topic provides the systematic instructions to view Tax Compliance Classification Maintenance record.

View a record that you have previously input by retrieving the same in the **Tax Compliance Classification Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Tax Compliance Classification Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for viewing in the Authorization Status field.

   You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
3. Specify any or all of the details of the record in the corresponding fields on the screen.
4. Click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Tax Compliance Classification Maintenance Detail** screen is displayed.

9.9.3 Delete Tax Compliance Classification Maintenance Details

This topic provides the systematic instructions to delete Tax Compliance Classification Maintenance record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Tax Compliance Classification Maintenance Summary** screen from the Browser.
2. Select the status of the record that you want to retrieve for deletion.

3. Specify any or all of the details and click **Search** button.

   All records with the specified fields are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you want to delete in the list of displayed records.

   The **Tax Compliance Classification 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.

9.9.4 Authorize Tax Compliance Classification Maintenance Details

This topic provides the systematic instructions to authorize amended Tax Compliance Classification Maintenance record.

Authorize an unauthorized Tax Compliance Classification Maintenance Details in the system for it to be processed as follows:

1. Invoke the **Tax Compliance Classification Maintenance Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.

3. Specify any or all of the details and click **Search** button.

   All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to authorize.

   The **Tax Compliance Classification 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.

9.9.5 Amend Tax Compliance Classification Maintenance Details

This topic provides the systematic instructions to amend Tax Compliance Classification 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 **Tax Compliance Classification Maintenance Summary** screen from the Browser.

2. Select the status of the record that you want to retrieve for amendment.

   You can only amend authorized records.

3. Specify any or all of the details and click **Search** button.

   All records with the specified details are retrieved and displayed in the lower portion of the screen.

4. Double-click the record that you wish to amend.

   The **Tax Compliance Classification 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.

9.9.6 Authorize Amended Tax Compliance Source Country Record

This topic provides the systematic instructions to authorize amended Tax Compliance Source Country record.

1. Authorize an amended Tax Compliance Source Country Record for the amendment to be made effective in the system.
2. The subsequent process of authorization is the same as that for normal transactions.

9.10 Process Third Party Entity Maintenance Detail

This topic provides the systematic instructions to maintain third party entity.

You can map the joint holder/ Nominee/ Director/ Beneficiary at UH maintenance using **Third Party Entity Maintenance Detail** screen if **UH/CIF** field is selected as `No` in **Unit Holder Maintenance** screen (Joint/ Director/ Nominee/ Beneficiary sub screen).

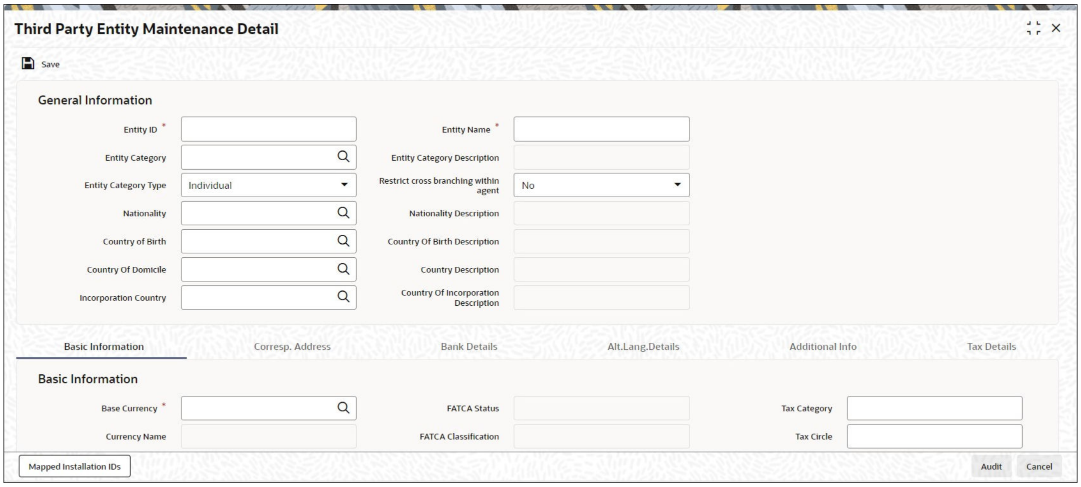
The third party entity can be a Joint Holder/ Nominee/ Director that is outside the system. This third party entity can be an individual or a corporate.

> **Note:**
>
> The **Third Party Entity Maintenance Detail** screen is available at Agency Branch module.

1. On **Home** screen, type **UTDTPMN** in the text box, and click **Next**.

   The **Third Party Entity Maintenance Detail** screen is displayed.

Figure 9-9 Third Party Entity Maintenance Detail



Entity Category Type: Individual

Restrict cross branching within agent: No

2. On **Third Party Entity Maintenance Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 9-7   Third Party Entity Maintenance Detail - Field Description

Field	Description
Entity ID	*Alphanumeric; 12 Characters; Mandatory* The Entity ID is a unique Identification for an entity in the system. Any detail regarding an entity is obtained by using the entity ID for reference. The ID you specify here must be unique and not already in use for any other entity in the system.
Entity Name	*Alphanumeric; 60 Characters; Mandatory* Specify the name (or description) of the entity being set up in the system.
Entity Category	*Alphanumeric; 2 Characters; Optional* Specify the category to which the entity belongs. Alternatively, you can select entity category from the option list. The list displays all valid entity category maintained in the system.
Entity Category Description	*Display* The system displays the description for the selected entity category.
Entity Category Type	*Optional* Select whether the entity being maintained belongs to the **Individual** or **Corporate** categories from the drop-down list. The list displays the following values: • **Individual** • **Corporate**
Restrict Cross Branching within Agent	*Optional* Select if cross branching within agent is restricted or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Nationality	*Alphanumeric; 3 Characters; Mandatory* Select the nationality of the customer. Alternatively, you can select nation code from the option list. The list displays all valid nation codes maintained in the system.
Nationality Description	*Display* The system displays the description for the selected nation code.
Country of Birth	*Alphanumeric; 3 Characters; Mandatory* Select the country of birth of the customer. Alternatively, you can select country code from the option list. The list displays all valid country code maintained in the system.
Country Of Birth Desc	*Display* The system displays the description for the selected country code.
Country of Domicile	*Alphanumeric; 3 Characters; Mandatory* Select the country of domicile of the customer. Alternatively, you can select country code from the option list. The list displays all valid country code maintained in the system.
Country Desc	*Display* The system displays the description for the selected country code.
Incorporation Country	*Alphanumeric; 3 Characters; Optional* Select the Incorporation country code of the customer. Alternatively, you can select country of incorporation code from the option list. The list displays all valid country code maintained in the system.
Country Of Incorporation Desc	*Display* The system displays the description for the selected country of incorporation code.

- Basic Information Tab
  This topic explains the basic information tab of Third Party Entity Maintenance Detail.
- Correspondence Address Tab
  This topic explains the correspondence address tab of Third Party Entity Maintenance Detail.
- Bank Details Tab
  This topic explains the bank details tab of Third Party Entity Maintenance Detail.
- Alternate Language Details Tab
  This topic explains the Alternate Language Details tab of Third Party Entity Maintenance Detail.
- Additional Info Tab
  This topic explains the additional information tab of Third Party Entity Maintenance Detail.
- Tax Details Tab
  This topic explains the tax details tab of Third Party Entity Maintenance Detail.
- Mapped Installation IDs Button
  This topic explains the mapped installation IDs button of Third Party Entity Maintenance Detail.

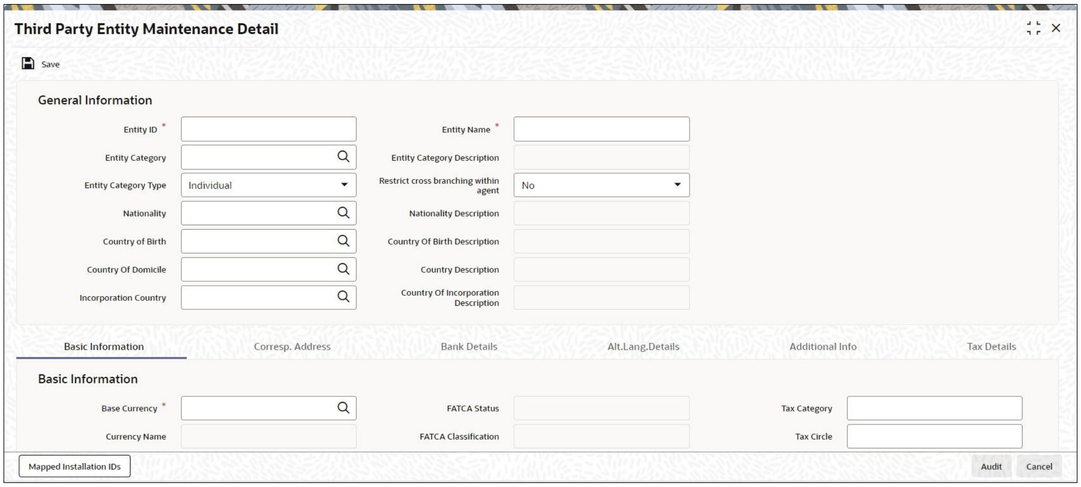
9.10.1 Basic Information Tab

This topic explains the basic information tab of Third Party Entity Maintenance Detail.

1. On **Third Party Entity Maintenance Detail** screen, click **Basic Information** tab to enter the details.

   The **Basic Information** details are displayed.

   Figure 9-10 Third Party Entity Maintenance Detail_Basic Information Tab

   Entity Category Type: Individual

   Restrict cross branching within agent: No

2. On **Basic Information Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 9-8 Basic Information - Field Description

Field	Description
Base Currency	*Alphanumeric, 3 Characters; Mandatory* Select the base currency of the entity. Alternatively, you can select base currency code from the option list. The list displays all valid base currency code maintained in the system. This is the currency in which the entity normally transacts.
Currency Name	*Display* The system displays the name of the currency for the selected currency code.
Authorized Signatory	*Alphanumeric; 70 Characters; Optional* Enter the name of the Authorized Signatory at the office of the AMC.
MICR Code	*Alphanumeric; 12 Characters; Optional* Specify MICR code of the specified Bank here. This code is applicable for both Bank and Bank Branch entity.
Date of Birth	*Date Format; Optional* Select the date of birth details for an individual entity being created from the adjoining calendar.
Default Agency Branch	*Optional* Check this box to default the agency branch code.
FATCA Status	*Display* The system displays the FATCA status based on the FATCA maintenance.
FATCA Classification	*Display* The system displays the FATCA classification type.
Description	*Display* The system displays the description for the selected FATCA classification type.
Employer ID Number (EIN)	*Alphanumeric; 50 Characters; Optional* Specify employee identification number.
Tax Category	*Alphanumeric; 10 Characters; Optional* Specify the tax category details.
Tax Circle	*Alphanumeric; 15 Characters; Optional* Specify the tax circle country details.
Tax ID	*Alphanumeric; 50 Characters; Optional* Specify the tax identification.
Tax Certificate Effective Date	*Date Format; Optional* Specify the date from which the tax certificate is effective.
Tax Certificate Expiry Date	*Date Format; Optional* Specify the expiry date of the tax certificate.
Week	Check the appropriate box to indicate the day in a week. The options are as follows: • **Sunday** • **Monday** • **Tuesday** • **Wednesday** • **Thursday** • **Friday** • **Saturday**

9.10.2 Correspondence Address Tab

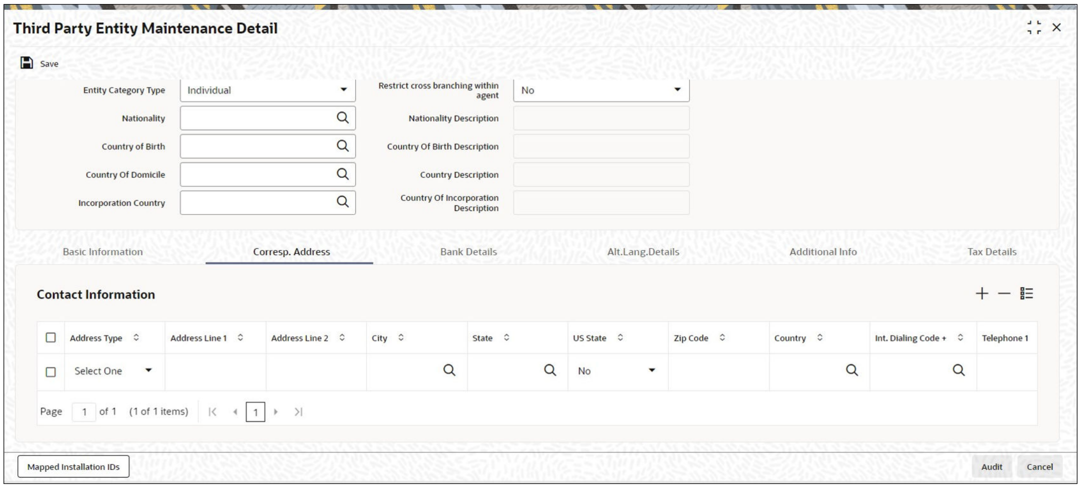
This topic explains the correspondence address tab of Third Party Entity Maintenance Detail.

1. On **Third Party Entity Maintenance Detail** screen, click **Correspondence Address** tab to maintain the correspondence details.

   You can capture correspondence address, alternate address and SWIFT address as part of correspondence details.

   The **Correspondence Address** details are displayed.

   Figure 9-11 Third Party Entity Maintenance Detail_Correspondence Address Tab

   Entity Category Type: Individual

   Restrict cross branching within agent: No

   Address Type: Select One

   US State: No

2. On **Correspondence Address Tab**, specify the fields.

   For more information on fields, refer to the field description table.

   Table 9-9 Correspondence Address - Field Description

Field	Description
Address Type	*Mandatory* Select the address type from the drop-down list. The list displays the following values: • **Correspondence Address** • **Alternate Address** • **SWIFT Address**
Address Lines 1-2	*Alphanumeric; 105 Characters; Optional (Address Line 1 is Mandatory)* Enter the address of the third party entity being set up in the system.
City	*Alphanumeric; 80 Characters; Optional* Enter the city where the entity is located. You can select the city from the drop down list provided. The available options depend on the values defined at the **PARAM Maintenance**. If the city is not available in the list, you can specify the city in the field provided alongside.

Table 9-9 (Cont.) Correspondence Address - Field Description

Field	Description
State	*Alphanumeric; 80 Characters; Optional* Specify the **State** where the **City** is located. Alternatively, you can select state code from the option list. The list displays all valid state code defined at the **PARAM Maintenance**. If the **State** is not available in the list, you can specify the **City** in the field provided alongside.
US State	*Optional* Select if the specified **State** is a **US (United States)** or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Zip Code	*Alphanumeric; 10 Characters; Optional* Enter the **Zip Code** of the address of the entity being set up.
Country	*Alphanumeric, 3 Characters; Mandatory* Specify the **Country** in which the entity is based. Alternatively, you can select country code from the option list. The list displays all valid country code maintained in the system. If the **Address Type** is **SWIFT Address**, enter the country of the SWIFT address for the entity.
Int. Dialing Code +	*Numeric; 10 Characters; Optional* Specify the international dialling code. Alternatively, you can select international dialling code from the option list. The list displays all valid international dialling code maintained in the system.
Telephone 1	*Alphanumeric; 60 Characters; Optional* Specify the telephone number.
Int. Dialing Code +	*Numeric; 10 Characters; Optional* Specify the international dialling code. Alternatively, you can select international dialling code from the option list. The list displays all valid international dialling code maintained in the system.
Telephone 2	*Alphanumeric; 60 Characters; Optional* Specify the alternative telephone number.
Int. Dialing Code +	*Numeric; 10 Characters; Optional* Specify the international dialling code. Alternatively, you can select international dialling code from the option list. The list displays all valid international dialling code maintained in the system.
Fax	*Alphanumeric; 120 Characters; Optional* Specify the fax number of the third party entity who is being set up in the system.
Email	*Alphanumeric; 255 Characters; Optional* Specify the Email address of the third party entity being set up.
Contact Person	*Alphanumeric; 70 Characters; Optional* Specify the name of the contact person at the entity's offices.
Int. Dialing Code +	*Numeric; 10 Characters; Optional* Specify the international dialling code. Alternatively, you can select international dialling code from the option list. The list displays all valid international dialling code maintained in the system.
Cell Phone Number	*Alphanumeric; 60 Characters; Optional* Specify the cell phone number of the third party entity being set up.

Table 9-9 (Cont.) Correspondence Address - Field Description

Field	Description
Effective From Date	*Date Format; Optional* This is applicable if the **Address Type** is **Alternate Address**. Specify the date that marks the beginning of the period for which the specified alternate address is in effect.
Effective To Date	*Date Format; Optional* This is applicable if the **Address Type** is **Alternate Address**. Specify the date that marks the end of the period for which the specified alternate address is in effect.
BIC Code	*Alphanumeric; 12 Characters; Optional* Specify the **Bank Identifier Code (BIC)** of the entity.

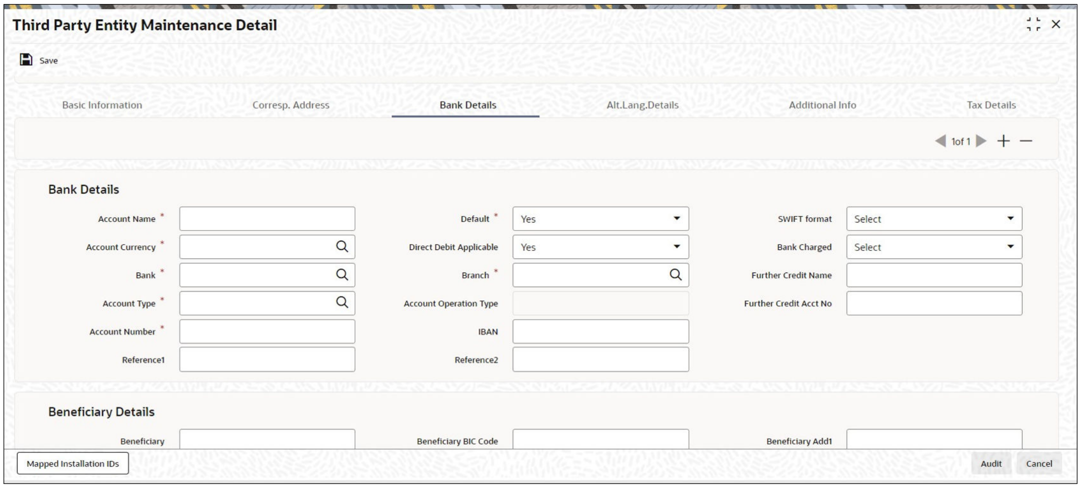
9.10.3 Bank Details Tab

This topic explains the bank details tab of Third Party Entity Maintenance Detail.

1. On **Third Party Entity Maintenance Detail** screen, click **Bank Details** tab to enter the details.

   The **Bank Details** are displayed.

Figure 9-12 Third Party Entity Maintenance Detail_Bank Details Tab



Default * Yes
Direct Debit Applicable Yes
SWIFT format Select
Bank Charged Select

2. On **Bank Details Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 9-10 Bank Details - Field Description

Field	Description
Account Name	*Alphanumeric; 140 Characters; Mandatory* Specify the account holder name.
Account Currency	*Alphanumeric; 3 Characters; Mandatory* Specify the account currency code.

Table 9-10 (Cont.) Bank Details - Field Description

Field	Description
Bank	*Alphanumeric; 12 Characters; Mandatory* Specify the bank code.
Account Type	*Alphanumeric; 1 Character; Mandatory* Specify the account type.
Account Operation Type	*Display* The system displays the type of account operation.
Account Number	*Alphanumeric; 34 Characters; Mandatory* Specify the account number.
Reference1	*Alphanumeric; 35 Characters; Optional* Specify the reference details.
Default	*Mandatory* Select default status from the drop-down list. The list displays the following values: • **Yes** • **No**
Direct Debit Applicable	*Optional* Select if direct debit is applicable or not from the drop-down list. The list displays the following values: • **Yes** • **No**
Branch	*Alphanumeric; 12 Characters; Mandatory* Specify the branch details.
IBAN	*Alphanumeric; 40 Characters; Mandatory* Specify the IBAN details.
IReference2	*Alphanumeric; 35 Characters; Optional* Specify the reference details.
SWIFT format	*Optional* Select **SWIFT format** from the drop-down list. The list displays the following values: • **MT103** • **MT202**
Bank Charged	*Optional* Select the bank charged details from the drop-down list. The list displays the following values: • **Beneficiary** • **Remitter** • **Share**
Further Credit Name	*Alphanumeric; 35 Characters; Optional* Specify the further credit name.
Further Credit Acct No	*Alphanumeric; 35 Characters; Optional* Specify the further credit account number.
Beneficiary Details	The section displays the following fields.
Beneficiary	*Alphanumeric; 35 Characters; Optional* Specify the beneficiary details.
Beneficiary Acct No	*Alphanumeric; 34 Characters; Optional* Enter beneficiary Account Number.
Beneficiary Info	*Alphanumeric; 100 Characters; Optional* Enter beneficiary information.

Table 9-10 (Cont.) Bank Details - Field Description

Field	Description
Beneficiary BIC Code	*Alphanumeric; 24 Characters; Optional* Enter beneficiary BIC Code.
Beneficiary Code	*Alphanumeric; 24 Characters; Optional* Enter beneficiary code.
Beneficiary IBAN	*Alphanumeric; 40 Characters; Optional* Specify the beneficiary IBAN details.
Beneficiary Address1-3	*Alphanumeric; 105 Characters; Optional* Enter beneficiary address.
Intermediary Details	The section displays the following fields.
Intermediary	*Alphanumeric; 35 Characters; Optional* Enter the intermediary details.
Intermediary Acct No	*Alphanumeric; 34 Characters; Optional* Enter intermediary Account Number.
Intermediary Info	*Alphanumeric; 100 Characters; Optional* Enter intermediary information.
Intermediary BIC Code	*Alphanumeric; 24 Characters; Optional* Enter intermediary BIC Code.
Intermediary Code	*Alphanumeric; 24 Characters; Optional* Enter intermediary code.
Intermediary IBAN	*Alphanumeric; 40 Characters; Optional* Enter intermediary IBAN details.
Intermediary Address 1-3	*Alphanumeric; 105 Characters; Optional* Enter intermediary address.

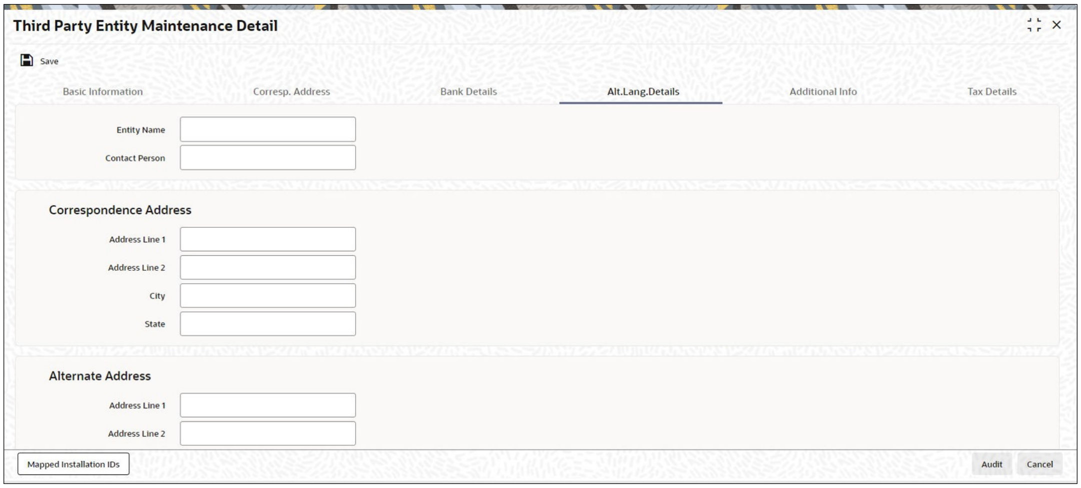
9.10.4 Alternate Language Details Tab

This topic explains the Alternate Language Details tab of Third Party Entity Maintenance Detail.

1. On **Third Party Entity Maintenance Detail** screen, click **Alternate Language Details** tab to enter the details.

   The **Alternate Language Details** are displayed.

Figure 9-13 Third Party Entity Maintenance Detail_Alternate Language Details Tab



2. On **Alternate Language Details Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 9-11 Alternate Language Details - Field Description

Field	Description
Entity Name	*Alphanumeric; 60 Characters; Optional* Specify the name of the entity.
Contact Person	*Alphanumeric; 70 Characters; Optional* Specify the contact person details.
Correspondence Address	The section displays the following fields.
Address Line 1 - 2	*Alphanumeric; 105 Characters; Optional* Specify the address details.
City	*Alphanumeric; 80 Characters; Optional* Specify the city name.
State	*Alphanumeric; 80 Characters; Optional* Specify the state name.
Alternate Address	The section displays the following fields.
Address Line 1 - 2	*Alphanumeric; 105 Characters; Optional* Specify the address details.
City	*Alphanumeric; 80 Characters; Optional* Specify the city name.
State	*Alphanumeric; 80 Characters; Optional* Specify the state name.

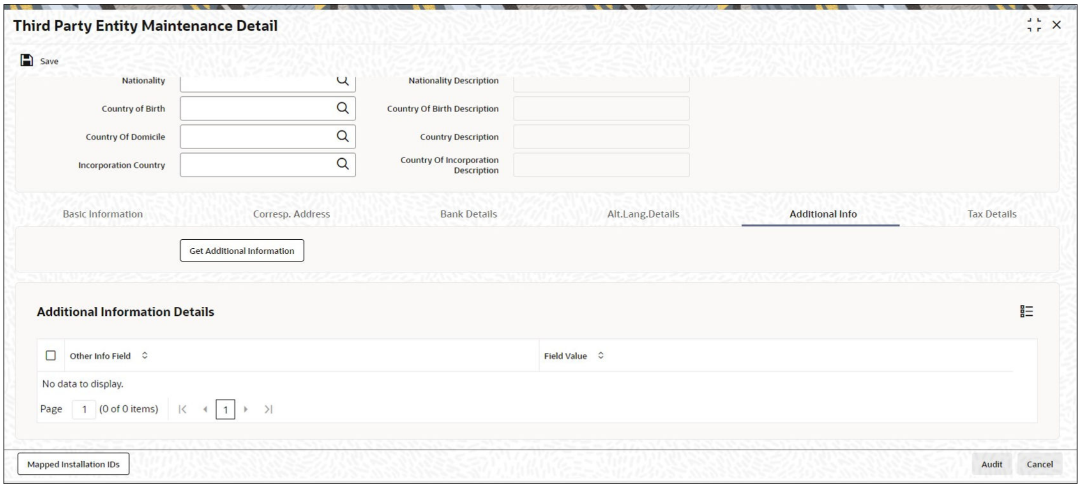
9.10.5 Additional Info Tab

This topic explains the additional information tab of Third Party Entity Maintenance Detail.

1. On **Third Party Entity Maintenance Detail** screen, click **Additional Info** tab to enter the details.

   The **Additional Information** details are displayed.

Figure 9-14 Third Party Entity Maintenance Detail_Additional Info Tab



No data to display.

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2. Click **Get Additional Information** button to view additional information details.

   View the additional information details as follows:

   - **Other Info Field**
   - **Field Value**

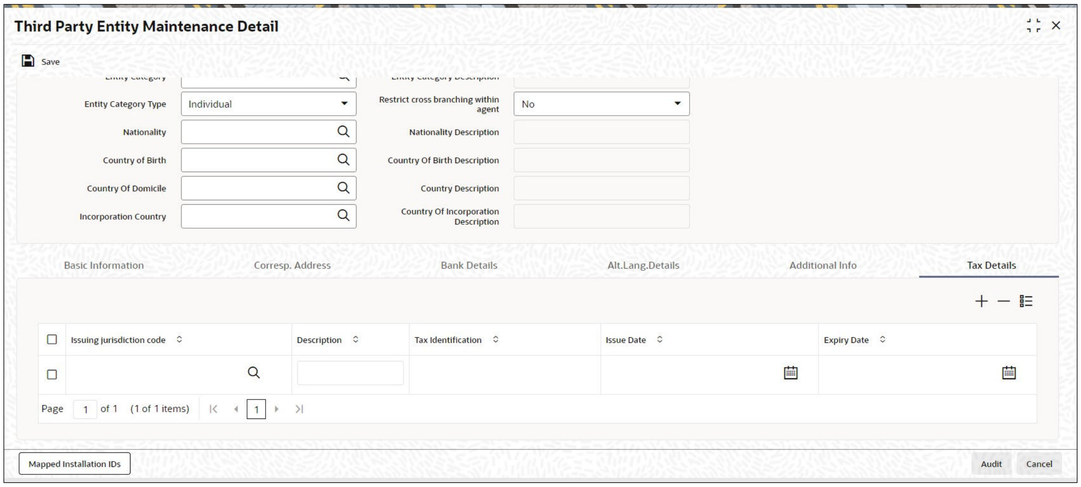
9.10.6 Tax Details Tab

This topic explains the tax details tab of Third Party Entity Maintenance Detail.

1. On **Third Party Entity Maintenance Detail** screen, click **Tax Details** tab to enter the details.

   The **Tax Details** are displayed.

Figure 9-15 Third Party Entity Maintenance Detail_Tax Details Tab



Entity Category Type: Individual

Restrict cross branching within agent: No

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2. On **Tax Details Tab**, specify the fields.

   For more information on fields, refer to the field description table.

Table 9-12 Tax Details - Field Description

Field	Description
Issuing Jurisdiction Code	*Alphanumeric; 3 Characters; Optional* Specify the country code of the issuing country. Alternatively, you can select the country code from the option list. The list displays all valid country code maintained in the system.
Description	*Display* The system displays the description for the selected country code.
Tax Identification	*Alphanumeric; 50 Characters; Optional* Specify the tax identification number of the unit holder.
Issue Date	*Date Format; Optional* Specify the issue date of the tax ID.
Expiry Date	*Date Format; Optional* Specify the expiry date of the tax ID.

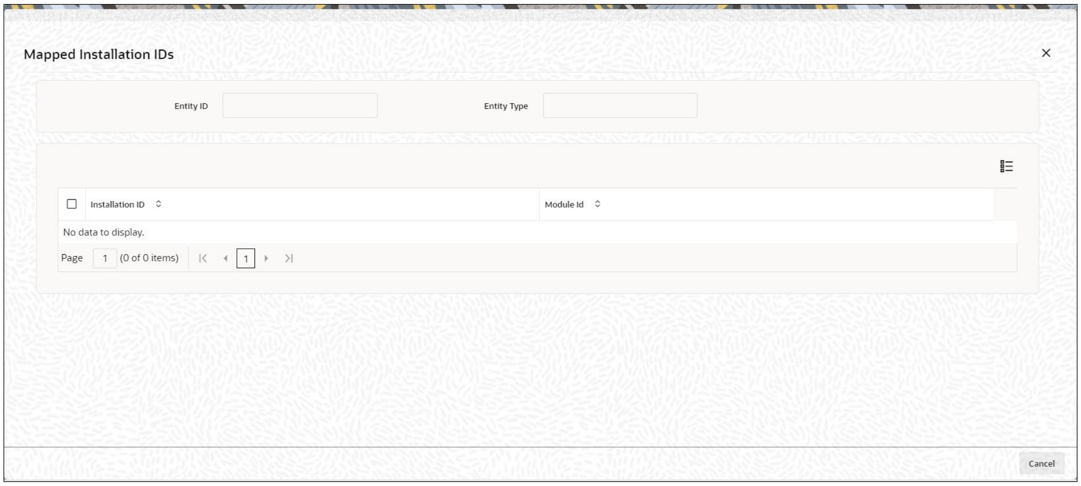
9.10.7 Mapped Installation IDs Button

This topic explains the mapped installation IDs button of Third Party Entity Maintenance Detail.

1. On **Third Party Entity Maintenance Detail** screen, click **Mapped Installation IDs** button to enter the details.

   The **Mapped Installation IDs** screen is displayed.

   Figure 9-16 Third Party Entity Maintenance Detail_Mapped Installation IDs Button

   No data to display.

2. On **Mapped Installation IDs** screen, you can view the following details.

   The following details are displayed:

   - Entity ID
   - Entity Type
   - Installation ID
   - Module Id

9.11 Third Party Entity Maintenance Summary

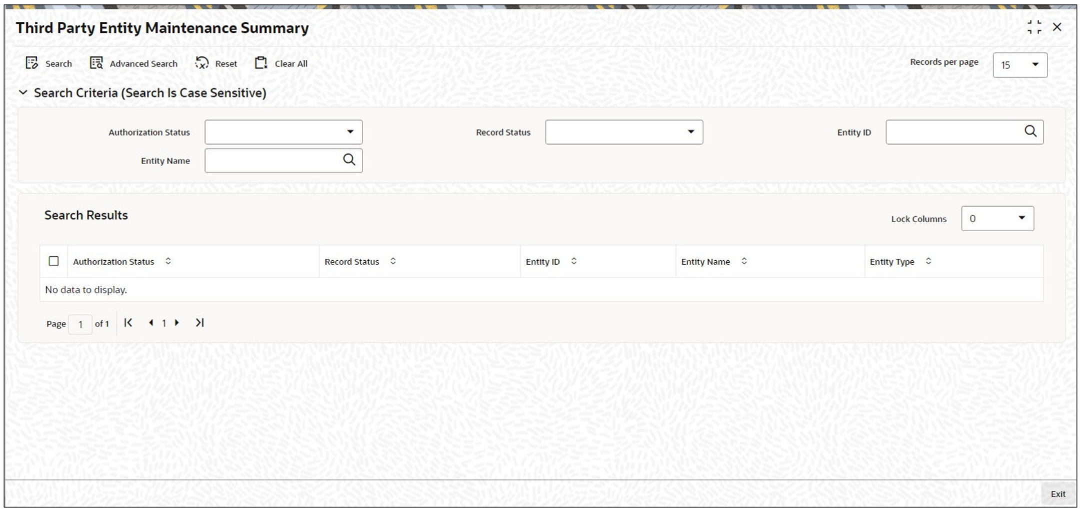
This topic provides the systematic instructions to perform the basic operations on the selected records.

Retrieve Third Party Entity Record

1. On **Home** screen, type **UTSTPMN** in the text box, and click **Next**.

   The **Third Party Entity Maintenance Summary** screen is displayed.

   Figure 9-17 Third Party Entity Maintenance Summary

   No data to display.

2. On **Third Party 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**
   - **Entity ID**
   - **Entity Name**
3. Click **Search** button to view the records.

   All the records with the specified details are retrieved and displayed in the lower portion of the screen.

> **Note:**
>
> You can also retrieve the individual record detail from the detail screen by querying in the following manner:
>
> - Press F7
> - Input any parameter in the screen
> - Press F8

4. Perform **Edit**, **Delete**, **Amend**, and **Authorize** operations by selecting the desired operation from the Action list. You can also search a record by using a combination of percentage and alphanumeric value.

- Edit Third Party Entity Record
  This topic provides the systematic instructions to edit Third Party Entity record.
- View Third Party Entity Record
  This topic provides the systematic instructions to view Third Party Entity record.
- Delete Third Party Entity Record
  This topic provides the systematic instructions to delete Third Party Entity record.
- Authorize Third Party Entity Record
  This topic provides the systematic instructions to authorize Third Party Entity record.
- Amend Third Party Entity Record
  This topic provides the systematic instructions to amend Third Party Entity record.
- Authorize Amended Third Party Entity Record
  This topic provides the systematic instructions to authorize amended Third Party Entity record.

9.11.1 Edit Third Party Entity Record

This topic provides the systematic instructions to edit Third Party Entity record.

Modify the third party entity details that you have already entered into the system, provided it has not subsequently authorized. Perform this operation as follows:

1. Start the **Third Party 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 lower portion of the screen.
5. Double-click the record that you want to modify in the list of displayed records.

   The **Third Party Entity 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 **Third Party Entity Maintenance Detail** screen is closed and the changes made are reflected in the **Third Party Entity Maintenance Summary** screen.

9.11.2 View Third Party Entity Record

This topic provides the systematic instructions to view Third Party Entity record.

View a record that you have previously input by retrieving the same in the **Third Party Entity Maintenance Summary** screen. Perform this operation as follows:

1. Start the **Third Party 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 lower portion of the screen.
5. Double-click the record that you want to view in the list of displayed records.

   The **Third Party Entity Maintenance Detail** screen is displayed.

9.11.3 Delete Third Party Entity Record

This topic provides the systematic instructions to delete Third Party Entity record.

Delete a record that you have previously entered. You can delete only unauthorized records in the system as follows:

1. Start the **Third Party 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 lower portion of the screen.
4. Double-click the record that you want to delete in the list of displayed records.

   The **Third Party Entity 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.

9.11.4 Authorize Third Party Entity Record

This topic provides the systematic instructions to authorize Third Party Entity record.

Authorize an unauthorized Third Party Entity Record in the system for it to be processed as follows:

1. Invoke the **Third Party 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 lower portion of the screen.
4. Double-click the record that you wish to authorize.

   The **Third Party Entity 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.

9.11.5 Amend Third Party Entity Record

This topic provides the systematic instructions to amend Third Party Entity 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 **Third Party 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 lower portion of the screen.
4. Double-click the record that you wish to amend.

   The **Third Party Entity 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.

9.11.6 Authorize Amended Third Party Entity Record

This topic provides the systematic instructions to authorize amended Third Party Entity record.

1. Authorize an amended Third Party Entity Record for the amendment to be made effective in the system.
2. The subsequent process of authorization is the same as that for normal transactions.

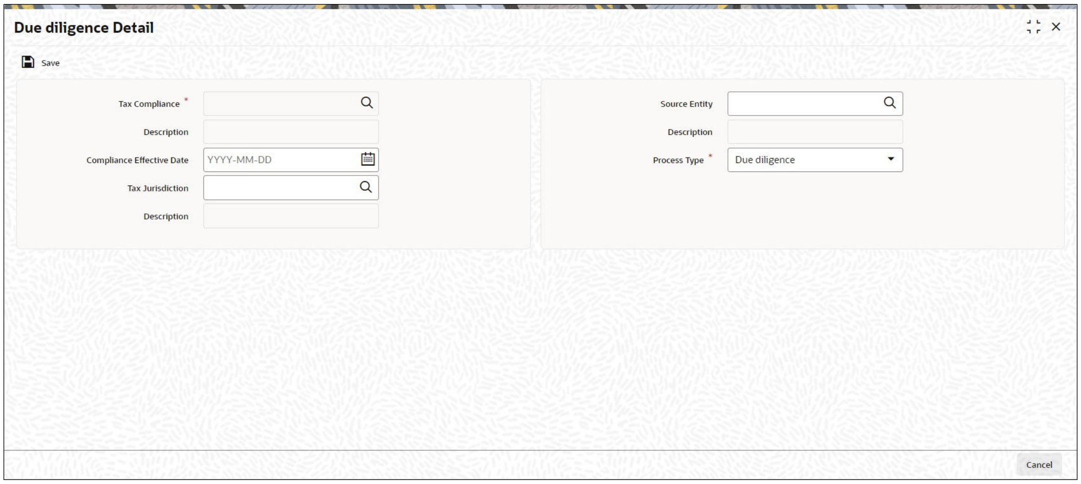
9.12 Process Due Diligence Detail

This topic provides the systematic instructions to maintain due diligence details.

1. On **Home** screen, type **UTDDUDEL** in the text box, and click **Next**.

   The **Due Diligence Detail** screen is displayed.

Figure 9-18   Due Diligence Detail



Due diligence Detail

Process Type * Due diligence

2. On **Due Diligence Detail** screen, click **New** to enter the details.

   For more information on fields, refer to the field description table.

Table 9-13   Due Diligence Detail - Field Description

Field	Description
Tax Compliance	*Alphanumeric; 4 Characters; Mandatory* Specify the tax compliance details. Alternatively, you can select tax compliance details from the option list. The list displays all valid tax compliance details maintained in the system.
Description	*Display* The system displays the description for the selected tax compliance details.
Compliance Effective Date	*Date Format; Mandatory* Select the compliance effective date to process the due diligence from the adjoining calendar. The default value will be effective date maintained in the **Tax Compliance Setup Detail**. You should not specify the date less than the effective date and greater than the application date. The system will pick all accounts opened on or before the date input here. It will be applicable for all process type. For due diligence process the date cannot be less than the effective date and greater than the application date. For Diminimis process, the date cannot be less than the due diligence date maintained as part of Tax compliance setup and not greater than the application date. For diminimis yearly process, the date cannot be less than the last diminimis or dimininis yearly batch and not greater than the application date
Tax Jurisdiction	*Alphanumeric; 3 Characters; Mandatory* Specify the tax jurisdiction details. The list displays all valid tax jurisdiction details maintained in the system.
Description	*Display* The system displays the description for the selected tax jurisdiction details.

Table 9-13 (Cont.) Due Diligence Detail - Field Description

Field	Description
Source Entity	*Alphanumeric; 12 Characters; Mandatory* Specify the source entity code. Alternatively, you can select source entity code from the option list. The list displays all valid source entity code maintained in the system.
Description	*Display* The system displays the description for the selected source entity code.
Process Type	*Mandatory* Select the process type to be executed from the drop-down list. The list displays the following values: • **Due Diligence** • **De minimis** • **De minimis yearly**

Refer to the topic *Due Diligence Batch Process* for further details on due diligence batch process in *Batch Process* User Manual.

10

Appendix

This topic gives the systematic instructions to perform basic activities in the **Oracle FLEXCUBE Investor Servicing** browser.

The **Oracle FLEXCUBE Investor Servicing** is accessibility compliant.

This topic deals with the following activities on the screens available in the browser:

- Minimize Main Screens – explains methods of minimizing screens.
- Keyboard Compatibility – helps you to comfortably navigate using keyboard.

Minimize Main Screens

1. Click **Minimize** button to minimize main screens.

   The minimized screens reside in the provided task bar.

2. Maximize the minimized screens either from the task bar or from the windows menu option.

Keyboard Compatibility
This topic contains the following sub-topics:

- Keyboard Shortcut Navigation
- Landing Page – Keyboard Compatibility
- Navigating through Side Bar

3. **Keyboard Shortcut Navigation** The **Oracle FLEXCUBE Investor Servicing** is compatible with keyboard. You can comfortably navigate using arrow keys and tab keys. You can use the appropriate keyboard shortcuts to navigate through the following sections:

   Landing Page

   - Side Bar Menu
   - Toolbar

   Custom Windows

   - Detail Screen
   - Summary Screen

4. **Landing Page – Keyboard Compatibility** The **Oracle FLEXCUBE Investor Servicing** provides keyboard compatibility in navigating through Side Bar and Toolbar of the Application Browser.

5. **Navigating through Side Bar** Side bar menu refers to the menus available in the Application Browser. You can navigate through the side bar menus using Tab Key, Shift and Tab Key, and Arrow Keys. The side bar menus include Menu, Workflow, Customer, My Dashboard, etc.,

   For more information, refer the following table.

Table 10-1   Navigating through Side Bar

Keys	Functions
Tab Key	To move from the selected side bar menu header to the first element of the selected side bar menu container. To move the focus to the first enabled Action key in the toolbar from any of the side bar menu. **Note:** If the action keys are hidden, then it moves to the first drop-down menu.
Shift + Tab Key	To move the focus at the selected side bar menu header. To move the focus to the selected side bar menu header, when the focus is on any of the side bar. **Note:** If the element of the side bar menu container further opens its details in the dashboard then the focus will shift to the first element of the detail.
Arrow Keys	To navigate within the elements of the side bar menu container To navigate between the side bar menus.

6. **Navigating through Toolbar** You can even navigate through the toolbar options using keyboard.

   For more information, refer the following table.

Table 10-2   Navigating through Toolbar

Keys	Functions
Action Key	You can navigate through Action Keys using keyboard. **Tab Key** To move the focus to the first drop-down menu. **Shift + Tab Key** To move the focus to the selected side bar menu header. **Arrow Keys** To navigate between the action keys that are enabled.

Table 10-2 (Cont.) Navigating through Toolbar

Keys	Functions
Drop-down Menu	You can navigate through drop-down menus using keyboard. **Tab Key** To move the focus to the fast-path. **Shift + Tab Key** To move the focus to the first action key in the toolbar that is enabled. **Arrow Keys** To navigate between the drop-down menus. To navigate between the items of the selected drop-down menu. **Note:** If the action keys are hidden, then it moves the focus to the last side bar menu. **Esc** To close the drop-down menu.

Custom Window – Keyboard Compatibility
This topics contain the following sub-topics:

- Detail Screen Navigation
- Summary Screen Navigation

7. **Detail Screen Navigation** The **Oracle FLEXCUBE Investor Servicing** provides keyboard compatibility to navigate through Detail and Summary screens. Detail screens contain Tabs and Buttons. Clicking them opens a sub-screen. Hence, navigation in these screens is handled in different stages.

   For more information, refer the following table.

Table 10-3 Detail Screen Navigation

Keys	Functions
Generic Navigation	Generic navigation involves navigating through the general fields available. **Tab Key** To navigate through the fields. To move the focus from the first field to the next. **Shift + Tab Key** To move the focus to the previous fields. **Shortcut keys** To navigate through LOV, Calendar, Pop-up editor buttons.
Tabs Navigation	Tabs navigation involves navigating through the tabs available. **Tab Key** To focus on the first element of the same tab. **Shift + Tab Key** To move the focus to the first text field in the header of the screen. **Arrow Keys** To navigate through multiple tabs.

Table 10-3 (Cont.) Detail Screen Navigation

Keys	Functions
Data Table Navigation	Data Table navigation involves navigating through the rows and cells of the rows in the table. **Tab Key** To navigate to the next cell in the row. **Shift + Tab Key** To navigate to the previous cell in the row. **Up and Down Arrow Keys** To navigate through Data Table rows. **Shortcut Keys** To avoid focusing on pagination, adding row, deleting row, and single view buttons of data table; the following shortcut keys are available: • First page – **Home** • Previous page – **Page Up** • Next Page – **Page Down** • Last Page – **End** • Add Row – **Ctrl + Insert** • Delete Row – **Ctrl + Delete** • Single View – **Ctrl + I** • Navigation to the form field after data table – **Ctrl + Tab** • Navigation to the form field before data table – **Ctrl + Shift + Tab**
Single View Screen Navigation	You can open single view screen by using **Ctrl + I** shortcut key **Tab Key** To navigate between the fields **Esc** To close the window. **Shortcut Keys** To avoid focusing on navigation buttons, the following shortcut keys are available: • Previous Record – **Up Arrow** Key • Next Record – **Down Arrow** Key
LOV Navigation	You can open LOV window by pressing **F4** key. LOV navigation involves navigating through the list of values available. **Tab Key** To navigate through reduction fields. To move focus to the cross button in the window title bar. **Shift +Tab Key** To move focus to the first element of the header of result block. **Esc** To close the LOV window. **Arrow Keys** To navigate between the elements of the result block. **Shortcut Keys** To avoid focusing on navigation buttons, the following shortcut keys are available: • First page – **Home** • Previous page – **Page Up** • Next Page – **Page Down** • Last Page – **End** • Next Record – **Down Arrow** Key

Table 10-3 (Cont.) Detail Screen Navigation

Keys	Functions
Calendar Navigation	You can open Calendar window by pressing **F4** key. Calendar navigation involves navigating through the years, months, and days. **Tab Key** To move focus to the exit button in the window title bar. **Shift +Tab Key** To move focus to the first navigation button. **Esc** To close the calendar window. **Arrow Keys** To navigate between the dates. **Shortcut Keys** To avoid focusing on navigation buttons, the following shortcut keys are available: • Previous Year – **Home** • Previous Month – **Page Up** • Next Month – **Page Down** • Next Year – **End**
Editor Navigation	You can open Editor window by pressing **F4** key. **Tab Key** To navigate between the text area and buttons. **Esc** To close the editor window. **Note:** Press **Enter** if the editor window is only a display field.

8. **Summary Screen Navigation** Summary screens display details related to a specific query based on the selected criteria available in the screen. Navigation through these criteria can be handled through keyboard keys.

   For more information, refer the following table.

Table 10-4 Summary Screen Navigation

Keys	Functions
Generic Navigation	**Tab Key** From any element of the header key to move focus to the first element of the first row of the result block. If the result block is empty, then moves focus to the exit button. From any element of any row to shift focus to the exit button. **Shift + Tab Key** To move focus to the previous enabled field. To move the focus to the first element of the result block header. **Arrow Keys** To navigate through header of the result block. To navigate between the elements of the rows in the result block. **Shortcut keys** To avoid focusing on navigation buttons, the following shortcut keys are available: • Previous Page – **Home** • Previous Page – **Page Up** • Next Page – **Page Down** • Next Page – **End**
Advance Search Navigation	**Advance Search** navigation involves navigating through **Query** criteria and other fields listed in the window. **Tab Key** To navigate between other fields listed in the window. **Arrow Keys** To navigate through multiple tabs.

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