**Functionalities - Back Office Software (NGBO)-Light Version**

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| Module Name | Sub-Module Name | SL NO. | Name of Functionality/Reports | Functionality in Brief |
| **Admin & Security Configuration** |  | 1 | Users | User map with role and approval level |
| 2 | Menus | Menu map with approving and applicable for Broker/Merchant Bank/Dealer |
| 3 | Roles | Create, modify and delete role and Map with user |
| 4 | Non-Fin. App Level (Sub) | Assign, modify approval level for sub menu |
| 5 | Users Branch | Allow or revoke permission from accessing multiple branch |
| 6 | Users Report | Assign user and investor level security to access system generated reports |
| 7 | Users Operation Access | Assign access control for specific UI (Non-Financial approval only) |
| 8 | Reset User Password | Super user (Ex: Admin) may change password for  particular user |
| **Parameter setting**  (Company, Broker, Branch and Other Business setting) | System Configuration | 9 | Meta Configuration | Create, modify and delete Exchange |
| Basic Configuration | 10 | Exchange | Create, modify and delete Exchange |
| 11 | Depository | Create, modify and delete Depository |
| 12 | Bank | Create, modify and delete Bank and Bank Branch |
| 13 | Broker | Create, modify, and delete Broker information and Map with Exchange information, TWS |
| 14 | Merchant Bank | Create, modify, and delete Merchant Bank information and Map with Omnibus BO |
| 15 | Branch | Create, modify, and delete Branch |
| 16 | Organogram | Create, modify, and delete organization hierarchy |
| 17 | Employee Profile | Create, modify, and delete Employee information (Transfer, Promotion, User login, Release) |
| 18 |  |  |
| 19 | Product | Create, modify, and delete Product (Cash, Margin & Dealer) |
| 20 | Product Deposit Range | Set range for product (product switching) |
| 21 | Tax Setup | Create, modify, and delete tax information |
| 22 | Settlement Schedule | Create, modify, and delete Settlement Schedule (Exchange, Broker, Investor, Merchant Bank) |
| 23 | Netting | Create, modify, and delete Netting Schedule (Exchange, Broker, Investor, Merchant Bank) |
| 24 | Company Group | Create, modify, and delete Company Group (e.g. Beximco, Square) |
| 25 | Company | Create, modify, and delete Company (e.g. Beximco Pharmaceuticals Limited, AB Bank Limited) |
| 26 | Instrument | Create, modify, and delete Instrument information and Map with Company |
| 27 |  |  |
| 28 |  |  |
| 29 | Formula Setup | Create, modify Formula based on the existing operands/drivers |
| 30 | Calendar | Create, modify, and delete Calendar (Weekends, Holiday, Non-Trade Day) |
| 31 | Management Post | Create, modify, and delete Management Post |
| 32 | Clearing BO | Create, modify, and delete Clearing BO information |
| 33 | Agents | Create, modify, and delete Agent Information |
| 34 | BS Reports | Business setup related reports |
| **Customer Profile** |  | 35 | Investor Account | Create, modify investor information |
| 36 | Investor Margin Assign | Map Margin with investor |
| 37 | Investor Interest Assign | Map Interest with investor |
| 38 | Investor Code | Investor Code generation policy |
| 39 | IP Reports | Investor Profile related reports |
| **eKYC** |  |  | eKYC Profile Form | Create, modify investor information  Like source of fund, occupation, contact etc. |
|  | Risk Grading | Risk type Simplification by placing customer risk related information. |
| **Charges and Margin** |  |  | Charge | Create, modify, and delete Charge. Map with applicable criteria (Branch, Product Type, Product, Account Level). Dynamically GL integration |
|  | Brokerage and Margin Interest Configuration | Create, modify and delete Brokerage, Margin and Interest Information |
|  | Margin Interest Setup | Map margin and Interest with different criteria (Branch, Product) |
| **Settlement & CDBL Operation** |  |  |  |  |
|  |  | 40 | Public Offer | Public offer operation |
| 41 | Corporate Offer | Corporate offer operation |
| 42 | Fraction Share | Fraction share collection operation |
| 43 | Remat/Demat | Specific investor instrument can remat and demat |
| 44 | Locking/Unlocking | Specific investor instrument can lock and unlock manually |
| 45 | Preference Share | Preference share declare, order, application, allocation or refund |
| 46 | Physical Receive/Delivery | Investor's physical share receive and delivery |
| 47 | Conversion | Convert one instrument into another |
| 48 | Depository File Process | CDBL file process ( BO registration, IPO confirmation, Transmission In, Transmission Out, Transfer In, Transfer Out, Change Ownership In, Change Ownership Out, Clearing Information, Daily Charge, Pay in Confirmation, Custody Charge Information, Payin Reconciliation, Payout Confirmation, Payout Reconciliation, Nominee Information, Pledge, Unpledge, Dividend Receivable, Corporate Action) |
| 49 | Split Share | Instrument Split information |
| 50 | Merge Share | Instrument Merge information |
| 51 | Electronic Receive/Delivery | Investor's electronic share receive and delivery |
| 52 | Corporate Action Policy | Rule (financial)setup for public offer application |
| 53 | IPO App. Refund Upload | Issue to broker file upload & process |
| 54 | IPO App. File Download | Generate Broker to issuer file |
| 55 | IM Reports | Instrument management related reports |
| **Loan Management** |  |  | [Loan Requisition Memo](http://192.168.100.25/mint/Branch/LoanRequisitionMemoUI.aspx?SiteMapTreeExpanded=178) | Create, modify-Initiator and Client information with allowable script. Loan amount and expiry data followed by providing Loan agreement. |
| [Loan Requisition Memo](http://192.168.100.25/mint/Branch/LoanRequisitionMemoUI.aspx?SiteMapTreeExpanded=178) Approval | Initiator loan related data for approval followed by RM, Branch Manager and Management. |
| Loan Interest Configuration | Create, modify and delete Loan and Interest Information |
| Loan Interest Setup | Map Loan and Interest with different criteria (Branch, Product) |
| **Processes** |  | 56 | Cash/Share Limit | Cash and Share limit generation (Exchange, Broker) |
| 57 | Pay In/Pay Out | Pay In/Pay Out file generation (Exchange) |
| 58 | Trade File Process | Trade (Price, DSE, CSE) file upload, Validate (Unapproved instrument, Purchase Power, short sale, Trader, Invalid records, BDA Allocation), and Process |
| 59 | Purchase Power | Purchase power generation |
| 60 | Pay in | Generation & download pay in file |
| 61 | Day Start | After day start system updates fund, instrument and other schedules |
| 62 | Day End | After day end system updates accrued, apply periodic charges, accrued and applied interest, Portfolio, GL transaction, and day history |
| 63 | Manual Settlement | For DVP instrument settlement |
| 64 | TM Reports | Trade related reports |
| **Financial Transaction** |  | 65 | FTP Configuration | Setup FTP server configuration |
| 66 | Flex Log Files | Upload Log files |
| 67 | Client Limit | Client limit file generation, process, download & send to FTP server |
| 68 | Position Limit | Position limit file generation, process, download & send to FTP server |
| 69 | Omnibus Cash File | Upload & process omnibus cash file |
| 70 | Omnibus Share File | Upload & process omnibus share file |
| 71 | Omnibus Trade Files | Generate, validate & download omnibus trade file |
| **Accounting System** | Receive | 72 | Cheque Layout | Cheque Layout for different Bank |
| 73 | Cheque Inventory | Creating and update Cheque Information |
| 74 | Merchant Payment Receive | After Buy/Sell, Broker can fund settle with different Merchant Bank |
| 75 | Exchange Payment Receive | After Buy/Sell, Broker can fund settle with different exchange |
| 76 | Fund Receive | Investor fund receive (Cash, Cheque and other form) |
| Fund Withdraw | 77 | Fund Withdraw Policy | Investor fund withdraw policy can be setup on different criteria |
| 78 | Withdraw Request | Investor fund withdraw request generation |
| 79 | Withdraw Through Bank | Investor fund withdraw through instruction |
| 80 | Withdraw Through Cheque | Investor fund withdraw through Cheque |
| 81 | Internal Transfer | Investor fund transfer from one account to another account (only single and joint account can transfer) |
| 82 | FT Reports | Financial transaction related reports |
| **Accounting System**  **Approval** | GL Integration | 83 | GL Configuration | Chart of accounts level definition |
| 84 | Currency Setup | Set up currency for GL operation |
| 85 | GL Branch | Set up GL branch |
| 86 | Account Category | Set up account category |
| 87 | Bank Payment | Create transaction for bank payment operation |
| 88 | Narration Codes | Narration definition |
| 89 | Chart Of Accounts | Create, modify, delete GL account information |
| 90 | Chart Query | Searching GL account information |
| 91 | Cash Register | Create, modify , delete Cash register and map with GL |
| 92 | Bank Account | Create, modify , delete Bank account and map with GL |
| 93 | Account Definition | Map GL with Profit/loss account, Cheque account, and Provision for Tax |
| 94 | Bank Transaction | Using for Bank Transaction (other than investor transaction) |
| 95 | Cash Transaction | Using for Cash Transaction (other than investor transaction) |
| 96 | Journal Voucher | Using for Journal voucher (other than investor transaction) |
| 97 | Delete Transaction | Using for deleting transaction for current date |
| 98 | Edit/Delete Un App. Trans. | Modify or delete un-approved gl transaction |
| GL Integration | 99 | Merchant Bank Integration | GL integration for Merchant Bank Payable / Receivable |
| 100 | Exchange Integration | GL integration for Exchange Payable / Receivable |
| 101 | Product Integration | GL integration for product (investor's deposit, loan, accrued interest, applied interest) |
| 102 | Sub-Product Integration | GL integration for sub-product (investor's deposit, loan, accrued interest, applied interest) |
| 103 | Depository Integration | GL integration for Depository Payable / Receivable |
| 104 | Agent Integration | GL integration for Agent Payable / Receivable |
| 105 | Branch Integration | GL integration for multiple branch |
| 106 | GL Reports | General ledger related reports |
| **Approval** |  | 107 | GL Approval Data | GL related data for approval |
| 108 | Fund Receive Approval Data | Fund receive related data for approval |
| 109 | Receive Payment App Data | Merchant Bank, Broker payment/receive related data for approval |
| 110 | Exchange Receive Payment App Data | Exchange payment/receive related data for approval |
| 111 | Fund Withdraw Approval Data | Fund withdraw related data for approval |
| 112 | MBank Recv. Payment App Data | Broker payment/receive related data for approval |
| 113 | Approval Status (Non-Fin) | Approval status for non-financial approval |
| 114 | Charge Approval | Charge related data for approval |
| 115 | Investor Account Approval Data | Investor account related data for approval |
| 116 | Common Approval (Non-Fin) | Common approval related data |
| 117 | Instrument Approval | Instrument related data for approval |
| **Email**  **SMS** |  | 118 | Email Template | Create, modify, and delete email template |
| 119 | Email Configuration | Map file for email |
| 120 | Send Mail | Search investor, template and send the email based on the template |
| 121 | View Mail | View email status |
|  |  |  |  |  |
|  |  | 122 | SMS Template | Sending SMS template |
| 123 | SMS Configuration | Map SMS to required process |

**Reports:**

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| --- | --- |
| **Module** | **MENUNAME** |
|  | Chart of Account |
| **Accounts** | Bank Branch EFTN |
| Broker Monthly SEC Report |
| Client Closing Bal Recon |
| Client Loan Comparison |
| Client Rcv Pay Summary |
| Client Type Wise CSE Trunover |
| Client Wihdrawable Balance |
| Company BuySell |
| Omnibus Buy/Sell |
| Omnibus Receive/Payment |
| Client Daily Payment Reconcile |
| GL Wise Transaction |
| Third Party Ledger |
| Branch wise PL/IncomeExpense |
| Fund Transfer |
| Daily Transaction |
| Profit Loss A/C |
| Trial Balance |
| Cash And Cheque Receive/Payment |
| Prefix Wise Turnover |
| Client Account Status |
| Manual Charges |
| Daily Interest |
| Brokerage Commission |
| Trade Confirmation Statement(Prefix Wise) |
| **Branch** | Branch Wise Actual TurnOver |
| Branch Wise Client Portfolio |
| Branch Wise Expected TurnOver |
| Branch Wise Turnover |
| Risk Based Client Portfolio |
| Trader Portfolio |
| Trader Performance |
| Sales Performance |
| Party Performance |
| Trader Client List |
| Party Client List |
| Sales Client List |
| Sales Performance Details |
| Sales Commission |
| Live Trade Report |
| Client Wise Total TurnOver |
| Branch Wise Commission |
| Client Buy Sell Order Register |
| Client Charges Details |
| Client ShareInOut Details |
| Branch Wide Restricted Code List |
| Client Transfer Memo Hist |
| Client Reports |
| Client Profit Loss Analysis |
| Client Dividend Ledger Details |
| Loan Requisition Memo Hist |
| Commission Change Memo Hist |
| Loan Requisition Memo Stat |
| Client BuySell Book Requisition List |
| Short Sale List |
| e-KYC Report |
| Client Insurance List |
| Nominee Information |
| TradeXpress Report |
| **Business Dev** | Booth Peer Turnover Comparison |
| Branch Trader Turnover Comparison |
| Trader Portfolio and Client |
| **Business Mngr** | Booth-Trader Turnover |
| Branch Loan |
| Branch Trader Turnover |
| Company Turnover |
| **Compliance** | Age Analysis of Debt |
| Change In Loan |
| Client Purchase Power |
| Client Exposure On All Equity |
| Client List |
| Client Trade Confirmation |
| Client Trade Confirmation Market Wise |
| Investor Debit Balance with No Stock |
| Margin Call Letter |
| Buy/Sell |
| Net Brokerage Commission |
| Negetive Equity Or Non Performing Loan |
| Scheme LBSL |
| Scheme SEC Letter for Affected Investors |
| Short Sell/Over Purchase Letter |
| Single Instrument Netting |
| Trade File Changes Summary |
| Trade File Compare |
| Turnover To Debt Ratio |
| Share Trading Info |
| User Action Log |
| Margin Client Instrument Information |
| **Settlement** | CDBL Distribution DP Wise |
| CDBL Holding DP Wise |
| CDBL Stock Holding Mismatch |
| Cash Dividend Allocation Info |
| Instrument Collection Information |
| Settlement Miscellaneous |
| Company Wise Instrument Information |
| **Tax** | Client Tax Statement |
| Portfolio (As On Date) |
| Portfolio Certificate(As On Date) |
| **IPO** | IPO Application |
| IPO Application Status |
| IPO Acknowledgement Slip |
| **CRM** | Top Holdings |
| Sector Holdings |
| Volume Monitoring |
| Terminal Wide Active Client Info |
| Market Comparison |
| Client Category wide Turnover Info |