

Information Documents

Customization Upgrade Guide
Release 5.4
Area: Investment advisory

Latest version of this document

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Version history

Date	Section	Description of the change
22 April 2022		Described customization updates to be made for the retrieval of post-trade delivery documents.

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1 Introduction

This document describes the changes you may need to make to your customization when you upgrade to Avaloq Core release 5.4.

1.1 Retrieval of documents with a post-trade delivery distribution

Before release 5.4, when the distribution of a document was set to "post-trade delivery", the Investment Suitability Framework switched its state to "Okay" ("green").

From release 5.4, a post-trade delivery document results in a restricted ("orange") investor protection status (just like with a "required" document), which is also reflected in the overall investor protection status. The document must now be retrieved (i.e. generated). The only difference to a mandatory (and optional) document is that no client confirmation is required, even when specified by the corresponding information duty rule.

1.1.1 Upgrade instructions

Existing order validation is likely to use the investor protection overall status to determine whether a given trade may be executed or not. If this is how your custom order validation is set up, you may need to update it to take into account the fact that a restricted overall status may be due to certain documents still needing to be retrieved (restricted "orange" status) or handed over (confirm "yellow" status) after trade execution (post-trade delivery).