

Journey of Reconciliation

Mutual Fund

HSBC PWS

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Revision History

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Distribution List

Team	Person

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1. Introduction

Reconciliation is the process of matching transactions that have been recorded internally against statements from external sources such as RTA to see if there are differences in the records and to identify if there are any discrepancies. The system supports three types of reconciliations-

1. Transactions Reconciliation
2. AUM Reconciliation
3. Trail Fee Reconciliation

Reconciliation is a three-step process

1. Defining Rule
2. Defining Threshold
3. Matching Records

2. Prerequisites

S No	Process	Reference Document
1	Order Capture	Journey from Order Placement till Settlement
2	Trail Fee	Trail Fee Computation
3	User Maintenance	Journey of Defining Maintenance

3. Flow Diagram

The below flow diagram illustrates the journey of order capture, process of reconciliation and settlement



Transactions
Recon.png

[Journey of Reconciliation](#)

4. Process Description

Reconciliation is a three-step process

1. Defining Rule
2. Defining Threshold
3. Matching Records and Recon View

The above three steps will help the system to match with the external records (CAMS/Karvy) against outstanding orders in the wealth system based on the rules defined. Based on the matching algorithm, the below status would be displayed for the records

1. Perfectly Matched (PMAT) – Records that are perfectly matched as per the rule defined
2. Differential Matched (DMAT) - Records that are not perfectly matched but are within the threshold defined for rule
3. Manually Matched (MMAT) – Records that are neither PMAT nor DMAT but manually matched by the user (or) auto-matched by the system when there are no records present in the wealth system for the system to reconcile (e.g. Dividend Payments, Dividend Reinvestment, etc.)
4. OPEN – Records that are not matched with any external record in the system
5. REJECTED – Wealth records that are rejected by the user when external records are rejected (by RTA)

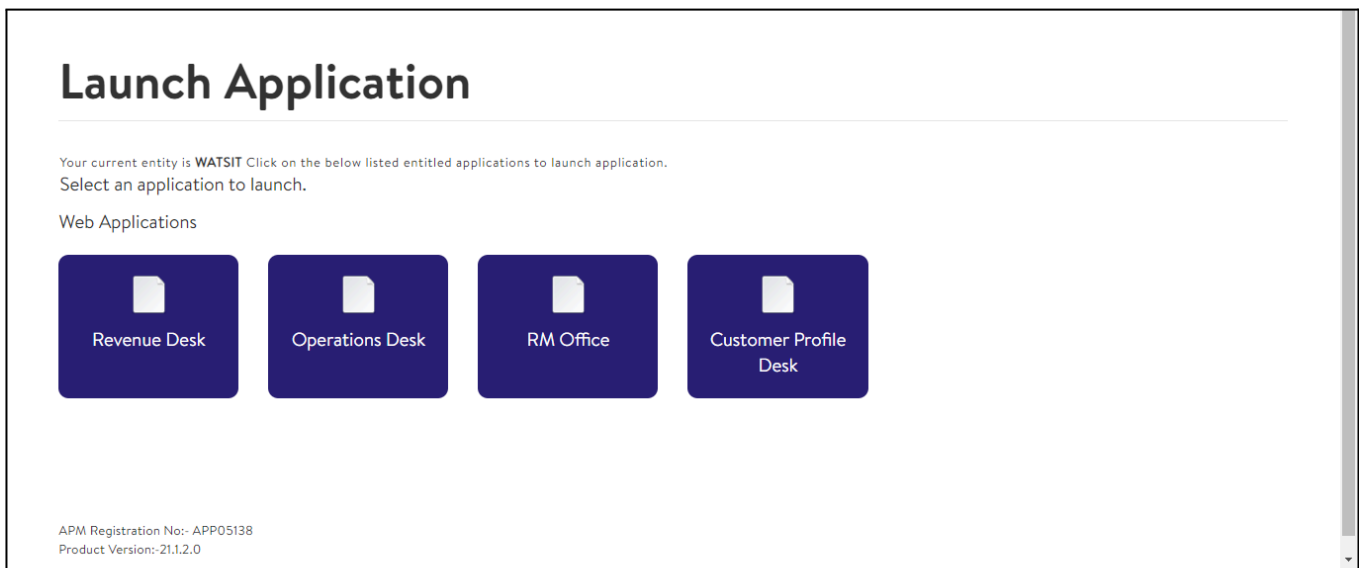
4.1. Login

1. The user enters their credentials and logs into the application



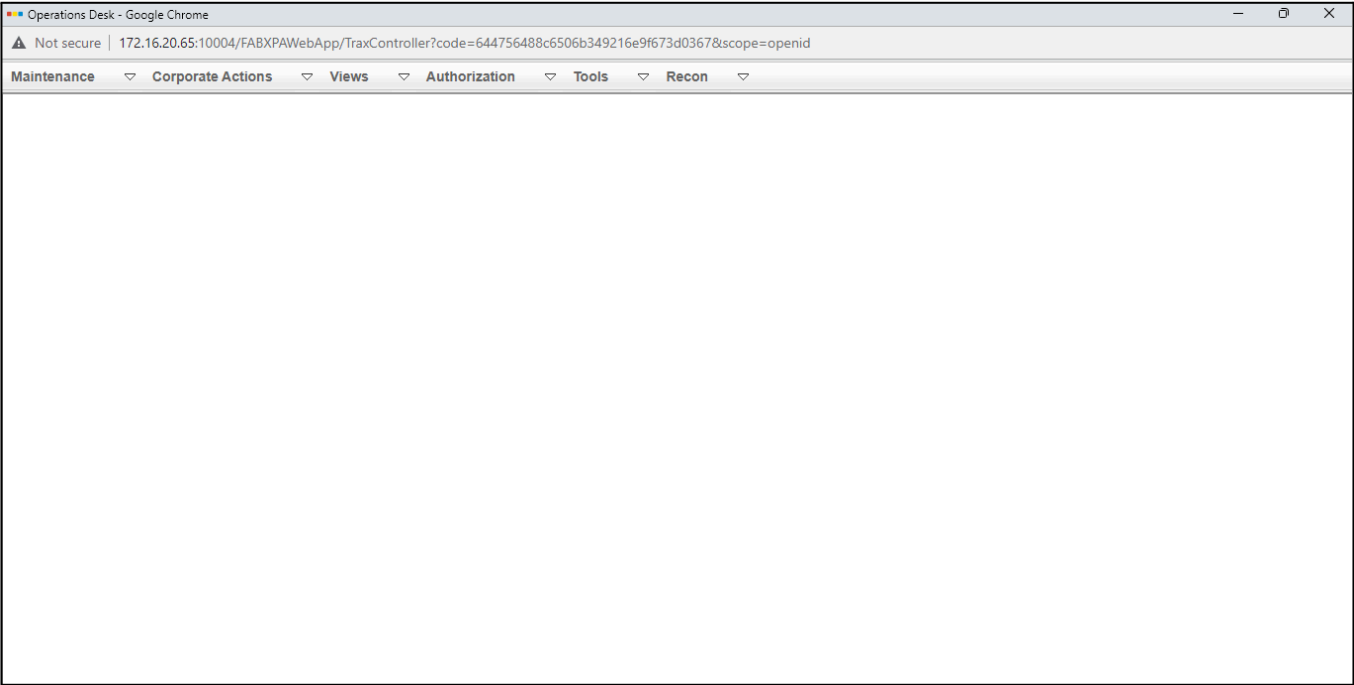
Screen: Launch the Application

2. Once logged in, the user clicks on “Operations Desk” to launch the operations office application.



Screen: Select Operations Desk

3. The following screen appears

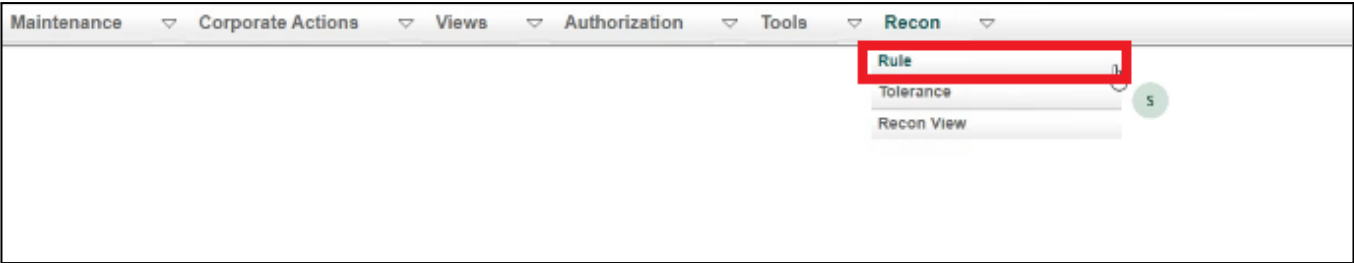


Screen: Intellect_PMX

4.2. Define Rule

Rule Definition refers to the process of defining the parameters based on which system does the reconciliation

- 1. The User hovers over the “Recon” menu option, and selects “Rule” from the dropdown



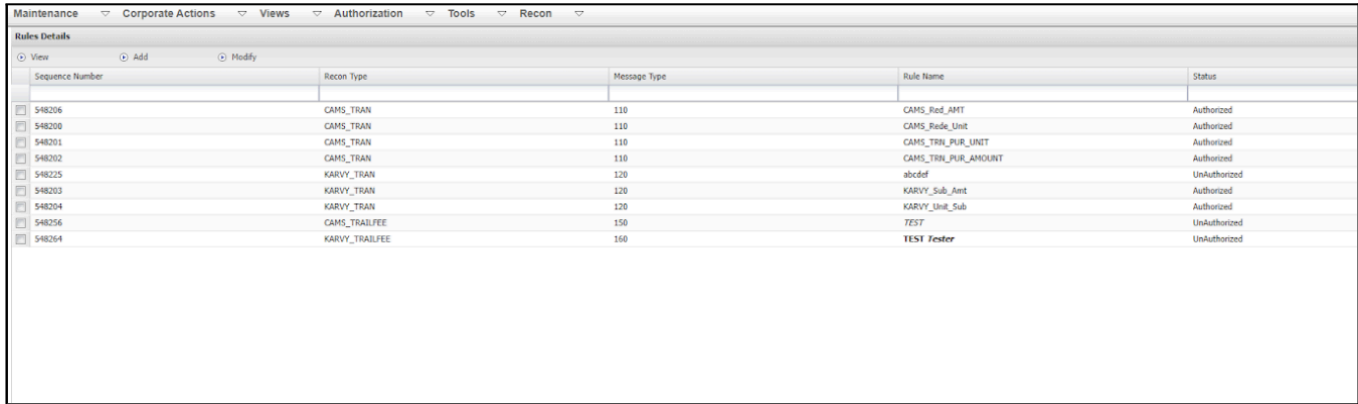
Screen: Select Rule

- 2. The Rules details grid displays all the records that are currently maintained in the system

Rules Details					
<div>View Add Modify</div>					
Sequence Number	Recon Type	Message Type	Rule Name	Status	
<input checked="" type="checkbox"/> 548206	CAMS_TRAN	110	CAMS_Ried_AMIT	Authorized	
<input checked="" type="checkbox"/> 548200	CAMS_TRAN	110	CAMS_Ried_Unit	Authorized	
<input checked="" type="checkbox"/> 548201	CAMS_TRAN	110	CAMS_TRH_PUR_UNIT	Authorized	
<input checked="" type="checkbox"/> 548202	CAMS_TRAN	110	CAMS_TRH_PUR_AMOUNT	Authorized	
<input checked="" type="checkbox"/> 548225	KARVY_TRAN	120	abcdcf	Unauthorized	
<input checked="" type="checkbox"/> 548203	KARVY_TRAN	120	KARVY_Sub_Amt	Authorized	
<input checked="" type="checkbox"/> 548204	KARVY_TRAN	120	KARVY_Unit_Sub	Authorized	
<input checked="" type="checkbox"/> 548256	CAMS_TRAILFEE	150	TEST	Unauthorized	
<input checked="" type="checkbox"/> 548264	KARVY_TRAILFEE	160	TEST Tester	Unauthorized	

Screen: Rules Details

3. Users can take the following actions
 - a. Add – Allows the User to add new Rules in the system
 - b. View – Allows the User to view the rules details
 - c. Modify – Allows the User to modify the rule details



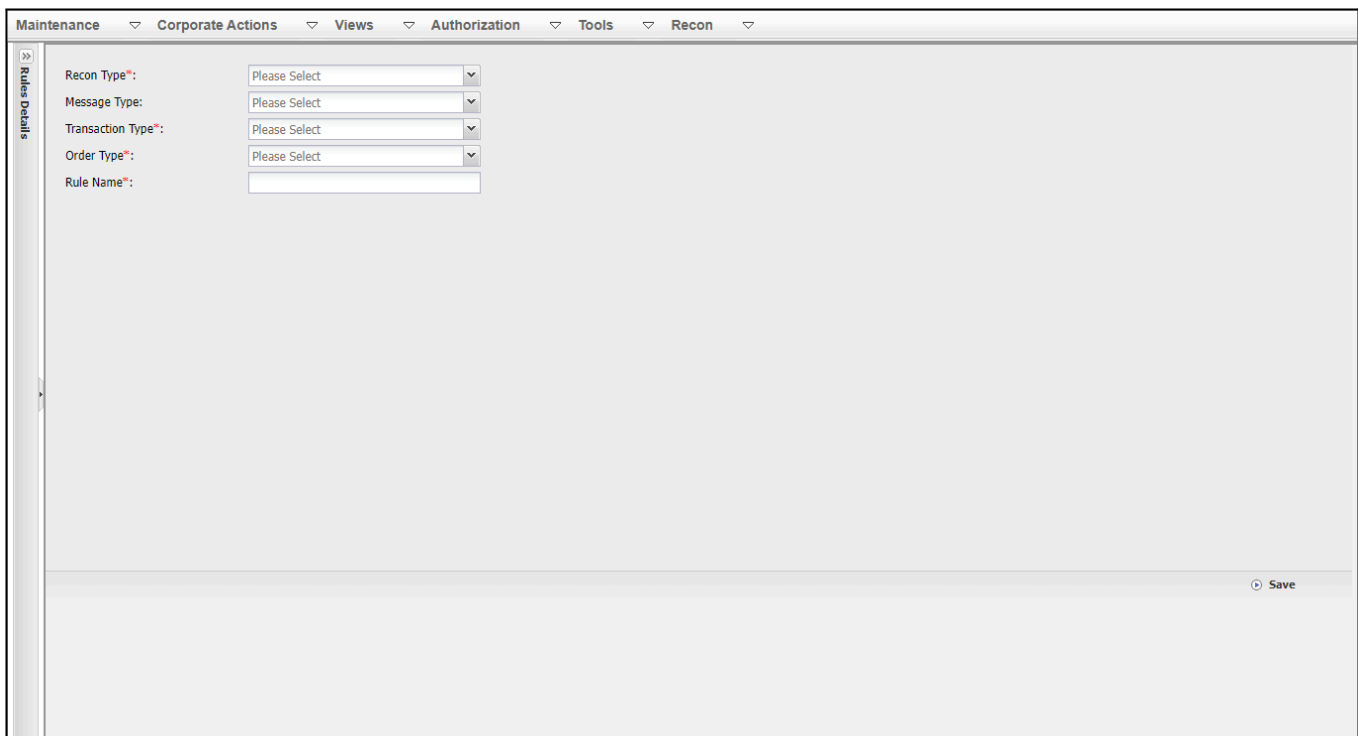
The screenshot shows the 'Rules Details' screen with a table of rules. The table has columns for Sequence Number, Recon Type, Message Type, Rule Name, and Status. There are 10 rows of data, including rules like CAMS_TRAN, KARVY_TRAN, and CAMS_TRAILFEE.

Sequence Number	Recon Type	Message Type	Rule Name	Status
548206	CAMS_TRAN	110	CAMS_Ried_AMIT	Authorized
548200	CAMS_TRAN	110	CAMS_Ried_Unit	Authorized
548201	CAMS_TRAN	110	CAMS_TRH_PUR_UNIT	Authorized
548202	CAMS_TRAN	110	CAMS_TRH_PUR_AMOUNT	Authorized
548225	KARVY_TRAN	120	abcdcf	Unauthorized
548203	KARVY_TRAN	120	KARVY_Sub_Amt	Authorized
548204	KARVY_TRAN	120	KARVY_Unit_Sub	Authorized
548256	CAMS_TRAILFEE	150	TEST	Unauthorized
548264	KARVY_TRAILFEE	160	TEST Tester	Unauthorized

Screen: Rules Grid

4.2.1. Add Rule

1. To add a new Rule, the User clicks on the Add button
2. Once the Rule forms load up, the User can select fields like Recon Type, Message Type, Transaction Type, Order Type, and inputs Rule Name



The screenshot shows the 'Add Rule' form in the 'Rules Details' screen. The form has fields for Recon Type, Message Type, Transaction Type, Order Type, and Rule Name. Each of the first four fields is a dropdown menu with 'Please Select' as the current selection. The Rule Name field is a text input box. A 'Save' button is located at the bottom right of the form.

Recon Type*	Please Select
Message Type:	Please Select
Transaction Type*:	Please Select
Order Type*:	Please Select
Rule Name*:	

Screen: Rules Details

3. In the Define Rule screen, users can define what fields/data to be matched for each type of reconciliation like Transactions/AUM/Trail Fee by selecting the type of Recon Type.
4. If the Recon type is Transaction, then the user has to define the rules at transaction type (Subscription/ Redemption/ Switch) and Order Type (Amount bases/Unit based). For Example, Transaction orders can be of 2 types - Units or Amount-based. If it is unit-based then the system checks for the unit definition and if it is amount-based based system checks for the amount and performs matching

Maintenance Corporate Actions Views Authorization Tools Recon

Rules Details

Recon Type*: CAMS Transaction Recon

Message Type: 110

Transaction Type*: Purchase

Order Type*: Amount Based

Rule Name*: Unit Based

Add Delete

Fields*	Match*
---------	--------

Save

Screen: Add Rules

5. The user adds the fields/parameters and matching criteria for defining the rule and clicks on Save

Maintenance ▾ Corporate Actions ▾ Views ▾ Authorization ▾ Tools ▾ Recon ▾

Rules Details

Recon Type*: CAMS Transaction Recon ▾
 Message Type: 110 ▾
 Transaction Type*: Purchase ▾
 Order Type*: Amount Based ▾
 Rule Name*: CAMS Transaction

Fields*	Match*
Please Select ▾	
AMC Code	
Transaction Amount	
Folio Number	
Primary Holder PAN	
Scheme Code	
Transaction Date	
Transaction Type Code	
Units	
User Transaction Number	

Screen: Selection of Rules

Rules Details

Recon Type*: CAMS Transaction Recon ▾
 Message Type: 110 ▾
 Transaction Type*: Subscription ▾
 Order Type*: Amount Based ▾
 Rule Name*: 23423434

Fields*	Match*
Folio Number	
Primary Holder PAN	

Confirm

Are you sure you want to Save the Data?

Screen: Rule Submission

- Each Transaction Type and Order Type will have only one matching rule. The system doesn't allow multiple rules for the same combination. In case of an existing record system will show an error message.

Rules Details

Recon Type*: CAMS Transaction Recon
 Message Type: 110
 Transaction Type*: Subscription
 Order Type*: Amount Based
 Rule Name*: 23423434

Fields* Match*

Folio Number
 Primary Holder PAN

Status
 Rule already exists for given Recon Type, Message Type, Transaction Type and Order Type
 OK

Save

Screen: Error Message

- After successful submission, the record will be in unauthorized status. Once the record is created, the same needs to be authorized by the Checker. After authorization, the status of the record will be updated to "Authorized"

4.2.2. View Rule

- To view an existing rule, the User can select the desired record and click on the "View" button
- The Rule details form will load up with details of the selected record in read-only mode
- To navigate back to the grid, the User clicks on the "Close" button

Maintenance Corporate Actions Views Authorization Tools Recon

Rules Details

Recon Type*: CAMS AUM Recon
 Message Type: 130
 Rule Name*: CAMS_AUM_REC

Fields* Match*

Balance Date	Yes
Folio Number	Yes
Rupee Balance	Yes
Product Code	Yes
Product Name	Yes
Unit Balance	Yes

Close

4.2.3. Modify Rule

1. To modify an existing rule, the User can select the desired record and click on the “Modify” button
2. The Rules details form loads up with the details of the selected record
3. The User can modify the editable fields for the Rules. In case they want to return to the main grid without making changes, they can click on the “Close” button
4. After successful modification, the record will be in “Modified” status. Once the record is modified, the same needs to be authorized by the Checker. After authorization, the status of the record will be updated to “Authorized”

Maintenance ▾ OMS ▾ Blotter ▾ Trade Management ▾ Corporate Actions ▾ Views ▾ Authorization ▾ Model Portfolio ▾ Tools ▾ Recon ▾

Recon Type*: CAMS AUM Recon
Message Type: 130
Rule Name*: CAMS_AUM_REC

▾ Add ▾ Delete

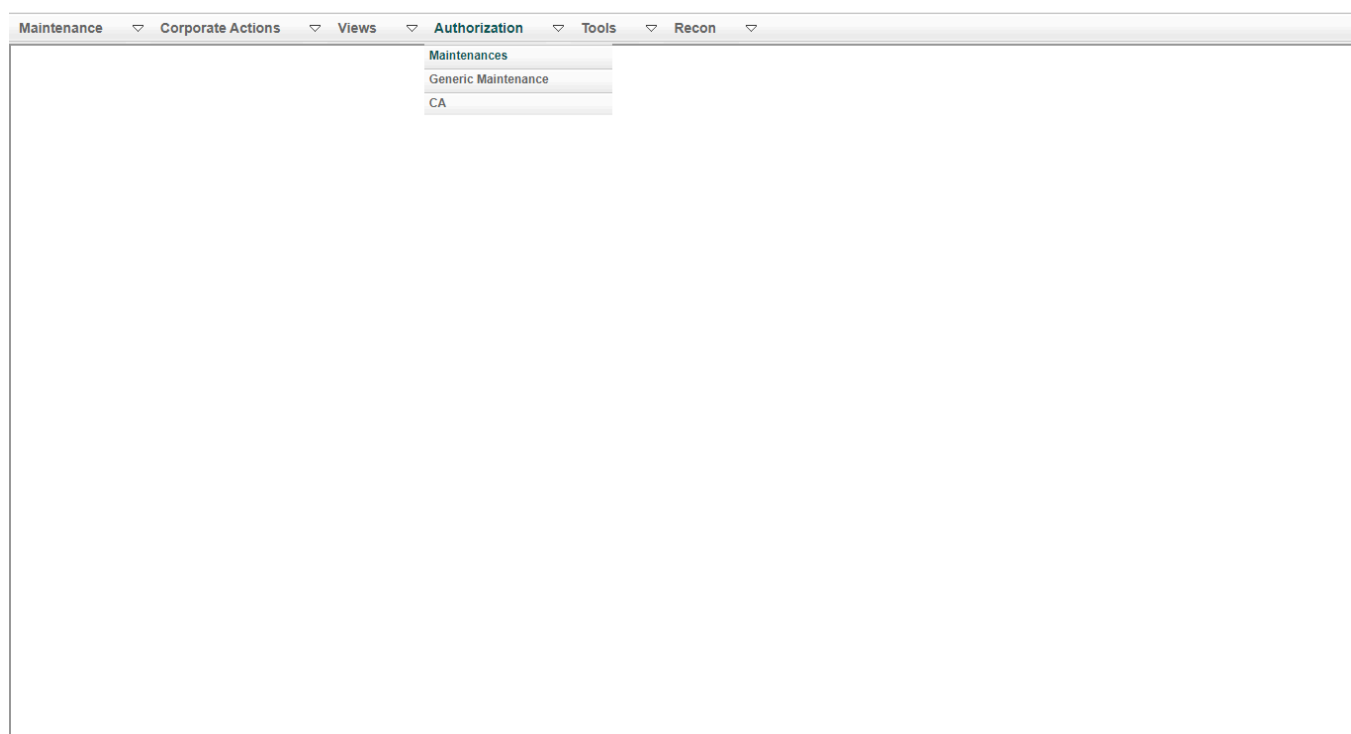
Fields*	Match*
Balance Date	Yes
Folio Number	Yes
Rupee Balance	Yes
Product Code	Yes
Product Name	Yes
Unit Balance	Yes

Status
Rules CAMS_AUM_REC is modified Successfully
OK

Save

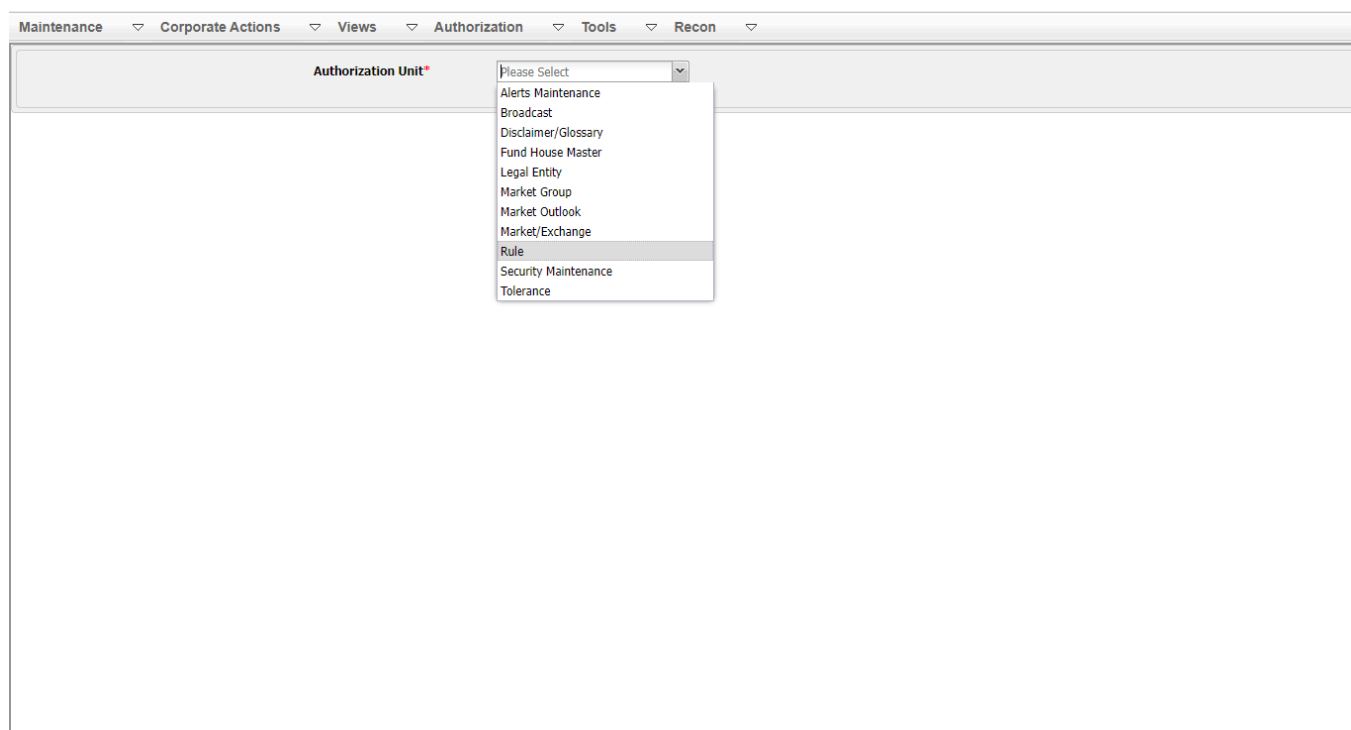
4.2.4. Authorization

1. After the Rule is created/ modified, the same needs to be authorized by the Checker for the changes to take effect
2. The Checker needs to log in to the application and navigate to Operations Office
3. The Checker then hovers over the Authorization menu and clicks on “Maintenances”



Screen: Select Maintenances

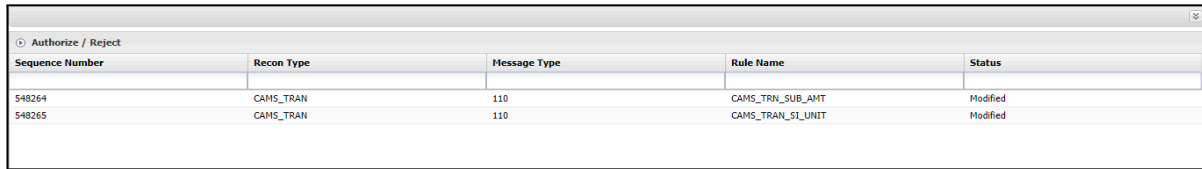
4. The Checker will select Rule from the drop-down menu of authorization Unit



Screen: Select Rule Authorization

5. All the records that are currently pending for approval are loaded up

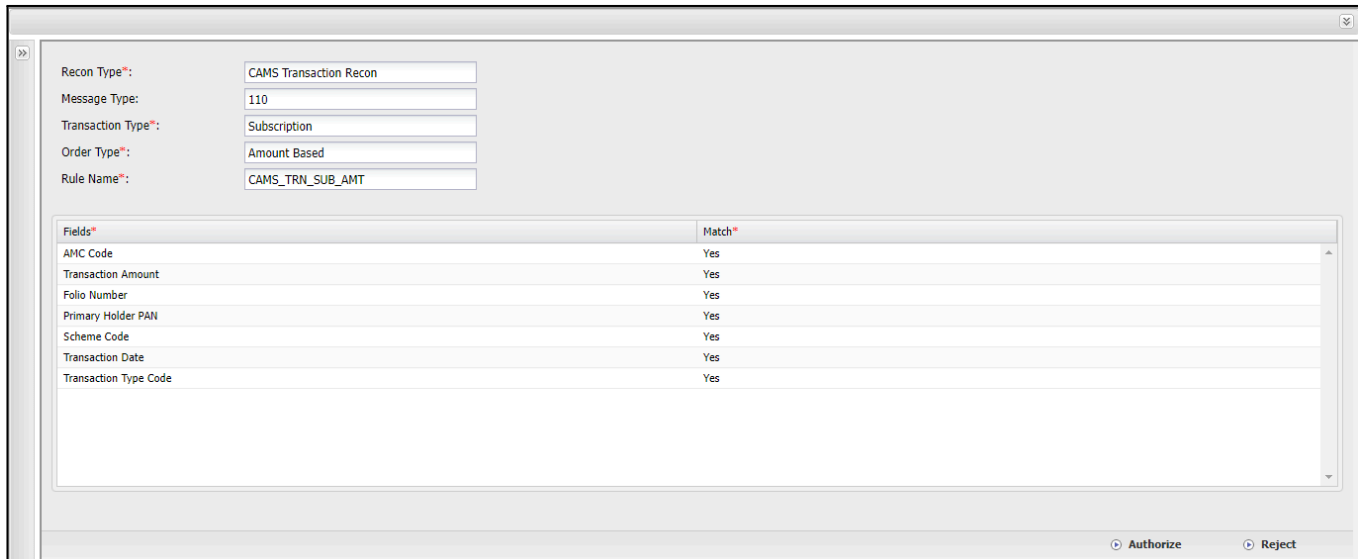
6. The Checker selects the desired record and clicks on the “Authorize / Reject” button



Sequence Number	Recon Type	Message Type	Rule Name	Status
548264	CAMS_TRAN	110	CAMS_TRN_SUB_AMT	Modified
548265	CAMS_TRAN	110	CAMS_TRAN_SI_UNIT	Modified

Screen: Rule Authorize/Reject

7. The Rules details form is loaded up in the application
8. The Checker can review the record and click on “Authorize” to authorize the record in the system. The status is updated as Authorized



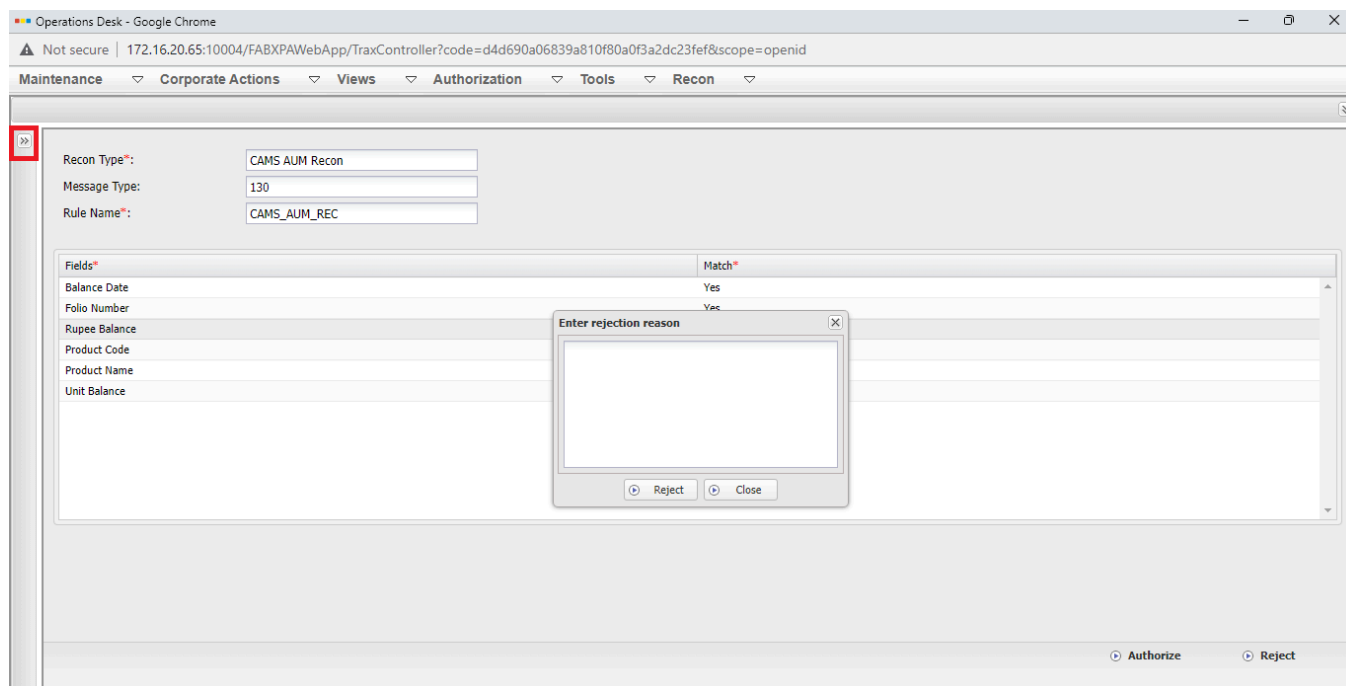
Recon Type*: CAMS Transaction Recon
Message Type: 110
Transaction Type*: Subscription
Order Type*: Amount Based
Rule Name*: CAMS_TRN_SUB_AMT

Fields*	Match*
AMC Code	Yes
Transaction Amount	Yes
Folio Number	Yes
Primary Holder PAN	Yes
Scheme Code	Yes
Transaction Date	Yes
Transaction Type Code	Yes

Authorize Reject

Screen: Authorize/Reject Rule

9. To reject, the Checker can click on “Reject”. The system will prompt the Checker to enter the rejection reason. The status is updated as Rejected. The maker can view the rejection reason in view mode and modify the record to send it again for approval



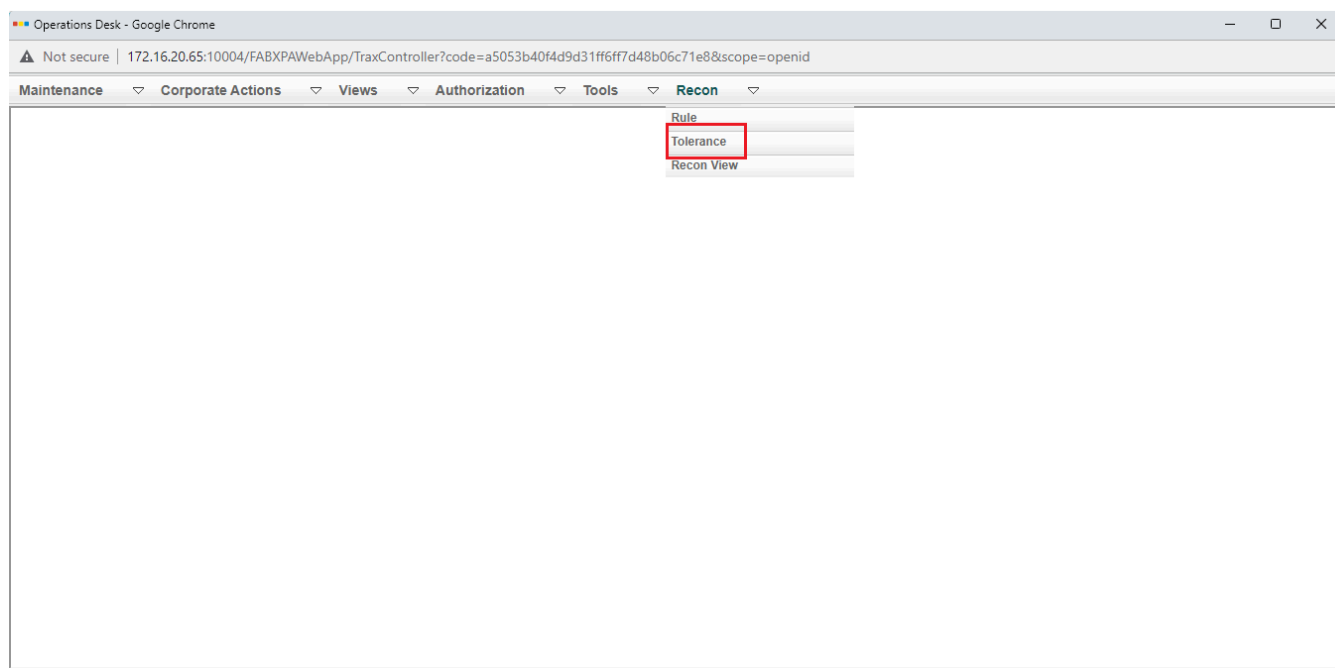
Screen: Reject Rule

10. In case the Checker wants to navigate back to the Authorization grid without authorizing/rejecting the record, they can click on the ">>" icon on the page.

4.3. Defining Tolerance

Threshold Definition refers to the process of defining the thresholds for the rules that are created in the system. The system will reconcile the records based on the thresholds defined for the parameters to identify if the deviations are within the threshold defined

1. The User logs into the Operations Desk and hovers over the "Recon" menu option, and selects "Tolerance" from the dropdown.



Screen: Select Tolerance

2. The Tolerance details grid displays all the records that are currently maintained in the system

The screenshot shows the 'Tolerance Details' grid in the Operations Desk application. The grid has a header with 'View', 'Add', and 'Modify' buttons. Below the header is a table with the following columns: Sequence Number, Recon Type, Message Type, Rule Name, and Status. The table contains 17 rows of data, each with a checkbox in the first column. The status of the records varies, including 'Modified' and 'Authorized'.

Sequence Number	Recon Type	Message Type	Rule Name	Status
<input type="checkbox"/> 548732	CAMS_TRAN	110	CAMS_TRN_SUB_AMT	Modified
<input type="checkbox"/> 548733	CAMS_TRAN	110	CAMS_TRAN_SI_UNIT	Modified
<input type="checkbox"/> 548734	CAMS_TRAN	110	CAMS_TRAN_SO_UNIT	Authorized
<input type="checkbox"/> 548735	CAMS_TRAN	110	CAMS_TRN_SUB_UNIT	Authorized
<input type="checkbox"/> 548737	CAMS_TRAN	110	CAMS_TRAN_RED_UNIT	Authorized
<input type="checkbox"/> 548739	CAMS_TRAN	110	CAMS_TRAN_SI_AMOUNT	Modified
<input type="checkbox"/> 548738	CAMS_TRAN	110	CAMS_TRAN_SO_AMOUNT	Authorized
<input type="checkbox"/> 548736	CAMS_TRAN	110	CAMS_TRN_RED_AMOUNT	Authorized
<input type="checkbox"/> 548747	KARVY_TRAN	120	KARVY_TRN_SI_UNIT	Authorized
<input type="checkbox"/> 548745	KARVY_TRAN	120	KARVY_TRN_SO_UNIT	Authorized
<input type="checkbox"/> 548740	KARVY_TRAN	120	KARVY_TRAN_SUB_AMT	Authorized
<input type="checkbox"/> 548743	KARVY_TRAN	120	KARVY_TRN_RED_UNIT	Authorized
<input type="checkbox"/> 548741	KARVY_TRAN	120	KARVY_TRAN_SUB_UNIT	Authorized
<input type="checkbox"/> 548746	KARVY_TRAN	120	KARVY_TRN_SI_AMOUNT	Authorized
<input type="checkbox"/> 548744	KARVY_TRAN	120	KARVY_TRN_SO_AMOUNT	Authorized
<input type="checkbox"/> 548742	KARVY_TRAN	120	KARVY_TRN_RED_AMOUNT	Authorized
<input type="checkbox"/> 548764	KARVY_TRAILFEE	160	KARVY_TRAILFEE_RULE	Authorized

At the bottom of the grid, there is a pagination bar showing 'Page 1 of 1' and a status bar indicating 'Displaying Records 1 - 17 of 17'.

Screen: Tolerance Details

3. Users can take the following actions
 - a. Add – Allows the User to add new Tolerance in the system
 - b. View – Allows the User to view the threshold details
 - c. Modify – Allows the User to modify the tolerance details

Operations Desk - Google Chrome

Not secure | 172.16.20.65:10004/FABXPAWebApp/TraxController?code=a5053b40f4d9d31ff6ff7d48b06c71e8&scope=openid

Maintenance ▾ Corporate Actions ▾ Views ▾ Authorization ▾ Tools ▾ Recon ▾

Tolerance Details

View Add Modify

Sequence Number	Recon Type	Message Type	Rule Name	Status
<input type="checkbox"/> 548732	CAMS_TRAN	110	CAMS_TRN_SUB_AMT	Modified
<input type="checkbox"/> 548733	CAMS_TRAN	110	CAMS_TRAN_SI_UNIT	Modified
<input type="checkbox"/> 548734	CAMS_TRAN	110	CAMS_TRAN_SO_UNIT	Authorized
<input type="checkbox"/> 548735	CAMS_TRAN	110	CAMS_TRN_SUB_UNIT	Authorized
<input type="checkbox"/> 548737	CAMS_TRAN	110	CAMS_TRAN_RED_UNIT	Authorized
<input type="checkbox"/> 548739	CAMS_TRAN	110	CAMS_TRAN_SI_AMOUNT	Modified
<input type="checkbox"/> 548738	CAMS_TRAN	110	CAMS_TRAN_SO_AMOUNT	Authorized
<input type="checkbox"/> 548736	CAMS_TRAN	110	CAMS_TRN_RED_AMOUNT	Authorized
<input type="checkbox"/> 548747	KARVY_TRAN	120	KARVY_TRN_SI_UNIT	Authorized
<input type="checkbox"/> 548745	KARVY_TRAN	120	KARVY_TRN_SO_UNIT	Authorized
<input type="checkbox"/> 548740	KARVY_TRAN	120	KARVY_TRAN_SUB_AMT	Authorized
<input type="checkbox"/> 548743	KARVY_TRAN	120	KARVY_TRN_RED_UNIT	Authorized
<input type="checkbox"/> 548741	KARVY_TRAN	120	KARVY_TRAN_SUB_UNIT	Authorized
<input type="checkbox"/> 548746	KARVY_TRAN	120	KARVY_TRN_SI_AMOUNT	Authorized
<input type="checkbox"/> 548744	KARVY_TRAN	120	KARVY_TRN_SO_AMOUNT	Authorized
<input type="checkbox"/> 548742	KARVY_TRAN	120	KARVY_TRN_RED_AMOUNT	Authorized
<input type="checkbox"/> 548764	KARVY_TRAILFEE	160	KARVY_TRAILFEE_RULE	Authorized

Page 1 of 1

Displaying Records 1 - 17 of 17

Screen: Tolerance Grid

4.3.1. Add Tolerance

1. To add a new tolerance, the User clicks on the Add button
2. Once the tolerance forms load up, the User can select Rule names defined in the system

Maintenance ▾ Corporate Actions ▾ Views ▾ Authorization ▾ Tools ▾ Recon ▾

Tolerance Details

Rule Name*:

- KARVY_TRN_SO_UNIT
- CAMS_TRN_SUB_UNIT
- CAMS_TRN_SUB_AMT
- KARVY_TRAN_SUB_UNIT
- CAMS_TRAN_REJ_P_AMT
- KARVY_TRAN_REJ_SI_UN
- KARVY_TRAILFEE_RULE
- CAMS_TRAILFEE_RC_RUL
- KRY_REJ_TRAN_P_UNIT
- KARVY_TRN_SI_UNIT
- CAMS_TRAN_REJ_SI_UNIT
- KARVY_TRAN_REJ_SO_UN
- CAMS_TRN_RED_AMOUNT
- KARVY_TRN_RED_AMOUNT
- KARVY_TRN_SI_AMOUNT

Save

Screen: Select Rule Name

3. In the Tolerance details screen, users can define a minimum and maximum threshold for each type of reconciliation like Transactions/AUM/Trail Fee and click on save. If the defined differences are within the threshold system auto matches. For example, while doing AUM Reconciliation if we define unit threshold 0.0010, as long as Units difference is less than 0.0010 systems match automatically and update the status as Differentially Matched (DMAT)

Maintenance ▾ Corporate Actions ▾ Views ▾ Authorization ▾ Tools ▾ Recon ▾

Tolerance Details

Rule Name*: KARVY_TRN_SO_UNIT

⊕ Add ⊖ Delete

Fields*	Minimum Allowed*	Maximum Allowed*
---------	------------------	------------------

Save

Screen: Add Tolerance

Maintenance ▾ Corporate Actions ▾ Views ▾ Authorization ▾ Tools ▾ Recon ▾

Tolerance Details

Rule Name*: KARVY_TRN_SO_UNIT

⊕ Add ⊖ Delete

Fields*	Minimum Allowed*	Maximum Allowed*
UNITS	0	0.01

Confirm

Are you sure you want to Save the Data?

Yes No

Save

Screen: Tolerance sent for authorization

4. Threshold details for a rule will be unique. The system doesn't allow multiple thresholds for a rule. In case of an

existing record system will show an error message.

The screenshot shows a web application window titled "Tolerance Details". At the top, there is a "Rule Name" dropdown menu set to "CAMS_TRN_SUB_UNIT". Below this is a table with three columns: "Fields", "Minimum Allowed", and "Maximum Allowed". The table contains one row with the value "UNITS" in the "Fields" column, "0.0010" in the "Minimum Allowed" column, and "0.0020" in the "Maximum Allowed" column. A modal dialog box titled "Status" is displayed in the center of the window. The message inside the dialog reads: "Tolerance already exists for given Rule Name :CAMS_TRN_SUB_UNIT". There is an "OK" button at the bottom of the dialog. In the bottom right corner of the main window, there is a "Save" button.

Screen: Tolerance error

5. After successful submission, the record will be in unauthorized status. Once the record is created, the same needs to be authorized by the Checker. After authorization, the status of the record will be updated to "Authorized"

4.3.2. View Tolerance

1. To view an existing tolerance, the User can select the desired record and click on the "View" button
2. The tolerance details form will load up with details of the selected record in read-only mode
3. To navigate back to the grid, the User clicks on the "Close" button

Maintenance ▾ Corporate Actions ▾ Views ▾ Authorization ▾ Tools ▾ Recon ▾

Tolerance Details

Rule Name*: CAMS_TRN_SUB_AMT

Fields*	Minimum Allowed*	Maximum Allowed*
AMOUNT	0.5	2

Close

Screen: View Tolerance

4.3.3. Modify Tolerance

1. To modify an existing tolerance, the User can select the desired record and click on the “Modify” button
2. The tolerance details form loads up with the details of the selected record
3. The User can modify the editable fields for the Rules. In case they want to return to the main grid without making changes, they can click on the “Close” button

Tolerance Details

Rule Name*: CAMS_TRAN_RED_UNIT

Add Delete

Fields*	Minimum Allowed*	Maximum Allowed*
UNITS	4	5

Confirm

Are you sure you want to Save the Data?

Yes No

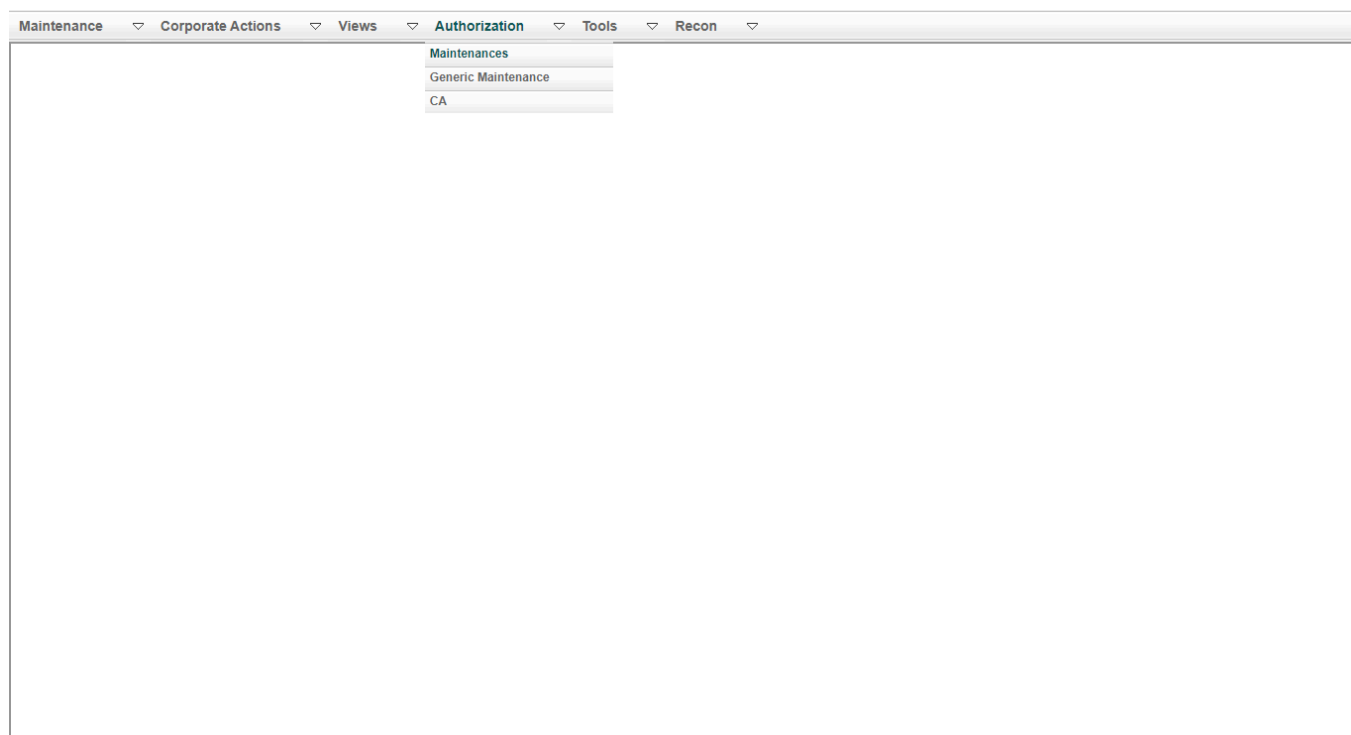
Screen: Modify Tolerance

4.3.4. Authorization

1. After the tolerance is created/ modified, the same needs to be authorized by the Checker for the changes to take

effect

2. The Checker needs to log in to the application and navigate to Operations Office
3. The Checker then hovers over the Authorization menu and clicks on “Maintenances”.
4. The Checker will select Rule from the drop-down menu of authorization Unit



Screen: Select Maintenances

The screenshot shows the 'Authorization Unit' dropdown menu open. The menu is titled 'Please Select' and contains the following options: Alerts Maintenance, Broadcast, Disclaimer/Glossary, Fund House Master, Legal Entity, Market Group, Market Outlook, Market/Exchange, Rule, Security Maintenance, and Tolerance. The 'Tolerance' option is currently selected and highlighted.

Screen: Select Tolerance Authorization

5. All the records that are currently pending approval are loaded up
6. The Checker selects the desired record and clicks on the “Authorize / Reject” button

The screenshot shows the 'Tolerance Authorization' screen. At the top, there is a tab labeled 'Authorize / Reject'. Below the tab is a table with the following columns: Sequence Number, Recon Type, Message Type, Rule Name, and Status. The table contains two rows of data.

Sequence Number	Recon Type	Message Type	Rule Name	Status
548733	CAMS_TRAN	110	CAMS_TRAN_SI_UNIT	Modified
548739	CAMS_TRAN	110	CAMS_TRAN_SI_AMOUNT	Modified

Screen: Tolerance Authorization

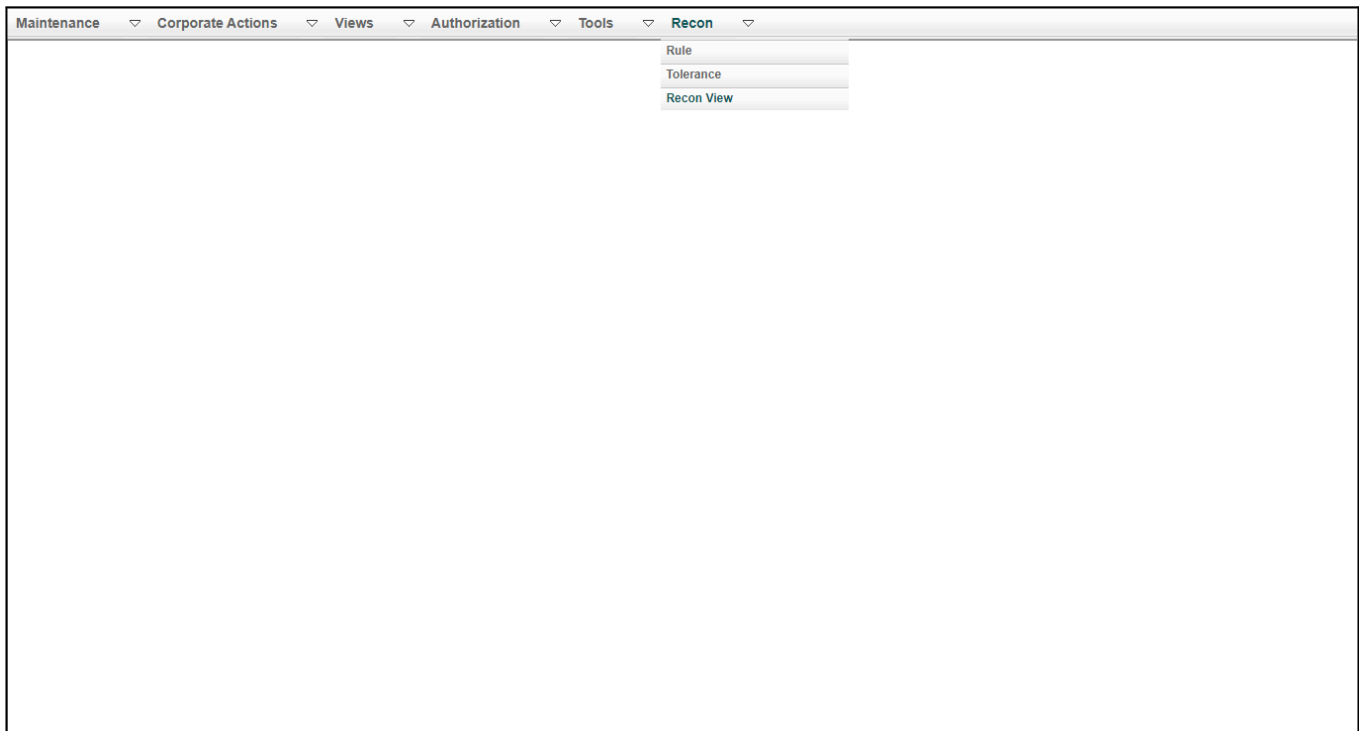
7. The Tolerance details form is loaded up in the application
8. The Checker can review the record and click on “Authorize” to authorize the record in the system. The status is

updated as Authorized

9. To reject, the Checker can click on “Reject”. The system will prompt the Checker to enter the rejection reason. The status is updated as Rejected. The maker can view the rejection reason in view mode and modify the record to send it again for approval
10. In case the Checker wants to navigate back to the Authorization grid without authorizing/rejecting the record, they can click on the “Close” button.

4.4. Recon View- Matching Records

1. The User logs into the Operations Desk hovers over the “Recon” menu option, and selects “Recon View” from the dropdown



Screen: Select Recon View

2. After clicking on Recon view, the system loads the screen and the user has to select the Recon type from the dropdown menu

Recon Type*

Please Select

- CAMS AUM Recon
- CAMS Trade Recon
- CAMS Trail Fee Recon
- KARVY AUM Recon
- KARVY Trade Recon
- KARVY Trail Fee Recon

Screen: Select Recon Type

- In Recon View, users can see all files that were processed by reconciliation with Upload Date and Time. Users would be able to identify the file by Upload Type, File Name and the system shows the number of Perfectly Matched, Differential Matched, Open Internal, and Open External records. The system allows filtering the records based on uploads done today, week, month, and date range. Users can also download the records in the Excel format

Upload Type	Upload Date & Time	File Name	Perfect Match	Differential Match	Manual Match	Open-Internal	Open-External
CAMS_TRAN	14-FEB-2022 04:59:09	CAMS_TRAN_RECON_20220214170309	0	0	0	1	1
CAMS_TRAN	14-FEB-2022 10:54:00	CAMS_TRAN_RECON_20220214105752	0	0	0	4	0
CAMS_TRAN	14-FEB-2022 11:09:26	CAMS_TRAN_RECON_20220214111321	2	0	2	0	0
CAMS_TRAN	14-FEB-2022 04:00:39	CAMS_TRAN_RECON_20220214160442	0	0	0	1	0
CAMS_TRAN	14-FEB-2022 04:13:43	CAMS_TRAN_RECON_20220214161741	0	0	0	1	1
CAMS_TRAN	10-FEB-2022 03:10:28	CAMS_TRAN_RECON_20220210151422	0	0	1	0	0
CAMS_TRAN	10-FEB-2022 05:47:56	CAMS_TRAN_RECON_20220210175142	0	0	1	1	0
CAMS_TRAN	10-FEB-2022 08:25:34	CAMS_TRAN_RECON_20220210202933	0	0	1	1	1
CAMS_TRAN	14-FEB-2022 05:36:03	CAMS_TRAN_RECON_20220214174004	0	0	0	1	5
CAMS_TRAN	10-FEB-2022 04:21:40	CAMS_TRAN_RECON_20220210162535	0	0	1	0	0
CAMS_TRAN	11-FEB-2022 08:13:16	CAMS_TRAN_RECON_20220211201716	1	0	3	0	0
CAMS_TRAN	14-FEB-2022 06:18:38	CAMS_TRAN_RECON_20220214182239	0	0	0	1	1
CAMS_TRAN	10-FEB-2022 05:57:57	CAMS_TRAN_RECON_20220210180150	0	1	0	0	0
CAMS_TRAN	11-FEB-2022 06:48:30	CAMS_TRAN_RECON_20220211185231	0	0	1	0	0
CAMS_TRAN	14-FEB-2022 06:31:06	CAMS_TRAN_RECON_20220214183508	0	0	5	1	1
CAMS_TRAN	11-FEB-2022 07:01:36	CAMS_TRAN_RECON_20220211190539	0	0	0	0	1
CAMS_TRAN	11-FEB-2022 07:08:37	CAMS_TRAN_RECON_20220211191240	0	0	0	0	1
CAMS_TRAN	14-FEB-2022 11:54:05	CAMS_TRAN_RECON_20220214115804	0	0	2	0	0
CAMS_TRAN	11-FEB-2022 05:53:39	CAMS_TRAN_RECON_20220211175742	1	0	1	8	0
CAMS_TRAN	14-FEB-2022 03:21:34	CAMS_TRAN_RECON_20220214152530	0	0	0	1	0
CAMS_TRAN	14-FEB-2022 03:54:26	CAMS_TRAN_RECON_20220214155829	0	0	0	1	0

Screen: Recon View

- The user can search the file name, select the record, and click on “View” to view the detailed summary of the upload result

View	Today	Week	Month	Range					
Upload Type	Upload Date & Time	File Name	Perfect Match	Differential Match	Manual Match	Open-Internal	Open-External		
		CAMS_TRAN_RECON_20220210162535							
<input checked="" type="checkbox"/> CAMS_TRAN	10-FEB-2022 04:21:40	CAMS_TRAN_RECON_20220210162535	0	0	1	0	0		

Screen: Search by Name

- The user views the detailed summary of the uploaded file. The user can further check the Recon status (PMAT/DMAT/MMAT/Open), and other details displayed against each record and can take appropriate action(Accept/Reject/Manual Match)

Source	Match Id	AMC CODE	Folio Number	Scheme Code	Scheme Name	Primary Holder Name	Transaction Type Code	Transaction Number	Transaction Mode	Transaction S
<input checked="" type="checkbox"/> INTELLECT		AAM	NA	AMF	Axis Multicap Fund	Nikhil Raj	P			
<input checked="" type="checkbox"/> INTELLECT		AAM	NA	AMF	Axis Multicap Fund	Nikhil Raj	P			
<input checked="" type="checkbox"/> INTELLECT		AAM	NA	AMF	Axis Multicap Fund	Nikhil Raj	P			
<input checked="" type="checkbox"/> INTELLECT		AAM	NA	AMF	Axis Multicap Fund	SHIVANCI GUPTA	P			
<input checked="" type="checkbox"/> INTELLECT		AAM	NA	AMF	Axis Multicap Fund	Nikhil Raj	P			

Screen: Recon View

4.4.1. Reconciliation Process

4.4.1.1. Trade Reconciliation

- Trade Reconciliation is done daily between RTA transactions feed file and Wealth outstanding successful pending orders by each RnTA wise
- The system will try to match with the CAMS/Karvy Transaction transaction feed file against outstanding successful orders based on rules defined like AMC Code, Scheme Code, Folio No, Transaction Reference No, Units/Amount for TRXNTYPE (P-Purchase, R-Redemption, SI-Switch In, SO-Switch Out, TI-Transfer In, TO-Transfer Out). There are different Recon statuses as mentioned below-
 - PMAT- If records are perfectly matched, then shown under PMAT
 - DMAT- If records are matched within the threshold difference, then shown under DMAT
 - MMAT- If records are manually matched by the users (or) manually matched by the system since there will be no orders for those transactions in the wealth system (e.g. Dividend Payment, Dividend Reinvest, etc.), then shown under MMAT
 - ERROR- If records are not matched then shown under ERROR
- If the investor has placed Purchase/SIP the first time, then the system will not have any folio number, however, RTA will provide a folio number in reverse feed. So the system will reconcile all other details in the RTA reverse feed file and if it perfectly matches/differential matches (within a threshold) except folio number, then transaction, holding details and folio details as well would be updated in the wealth system
- In the first-time subscription record from RTA, the system would not be able to identify the Investment Account, so in this scenario, the system will map the new Folio No with the existing Investment Account for the Customer as per the holdings pattern in the folio.
- For all Dividend Payout (DP), Dividend Reinvestment (DR), Transfer IN (TI/TICOB) and Transfer OUT (TO/TOCOB) systems will not do reconciliation so such records will be updated as MMAT Records. This will be done as default by the system and the corresponding holdings will be updated as per the transaction type

6. For Open Records Ops users have to verify each record and need to take corrective actions through the system or outside the system. Through system, user can take three actions (Accept, Manual Match and Reject)

Screen: Recon View

- a. Accept: This helps to auto process orders based on RTA transaction feed file. Few scenarios of Wealth and RTA feed file and system action on clicking the Accept button is mentioned below-

S.No	Tran Type	Transaction Mode	Wealth	RnTA	Accept
1	Redemption	Normal	1000	600	System auto process 600 Qty as Redemption and 400 Qty auto process as Rejected
2	Redemption	Normal		1000	System auto process 1000 Qty as Redemption without generating RnTA Outbound Feed
3	Subscription	Normal		1000	System auto process 1000 Qty as Subscription without generating RnTA Outbound Feed and Accounting
4	Switch Out	Normal		500	System auto process 500 Qty as Switch Out without generating RnTA Outbound Feed
5	Switch In	Normal		500	System auto process 500 Qty as Switch In without generating RnTA Outbound Feed
6	Subscription	Reversal		1000	System auto process 1000 Qty as Subscription Reversal based on Original Transaction Number without any Accounting
7	Redemption	Reversal		1000	System auto process 1000 Qty as Redemption Reversal based on Original Transaction Number without any Accounting
8	Switch Out	Reversal		500	System auto process 500 Qty as Switch Out Reversal based on Original Transaction Number
9	Switch In	Reversal		500	System auto process 500 Qty as Switch In Reversal based on Original Transaction Number

- b. Manual Match: This helps to process manual matches if the threshold is a little higher than the defined tolerance. For Example if threshold defined for Units is 0.0020, and the difference between Wealth and RTA is 0.0023. If Operation users want to proceed with this small difference, user can select these two records and do Manual Match. Accordingly, the system will match these records
- c. Reject: This helps to reject transactions which were initiated by the system but confirmation not received from RTA. For ex-A redemption transactions placed from our system but RTA has processed holdings held with another distributor. In this scenario users need to reject the orders in Wealth side. Only orders from wealth side can be rejected, system does not allow rejecting RTA orders



KARVY TRADE
RECON.xls



CAMS TRADE
RECON.xls



Consolidated_Trade_
Recon.xls

4.4.1.2. AUM Reconciliation

1. Reconciliation happens between the holdings held in the Wealth system and RTA AUM feed file. System will fetch outstanding holdings as on REP_DATE (CAMS)/CRDATE(Karvy) from Wealth and reconcile with CAMS/Karvy AUM file based on matching rules defined like AMC Code, Scheme Code, Folio No and Close Balance
2. If Folio No is not found in the system and received in RTA Feed File, then remark of “Non Wealth Customer Holdings” will be there for such orders
3. For AUM Recon, there will be 3 types of recon status (PMAT, DMAT and ERROR) however actions (Accept, Manual Match and Reject) will not be applicable, as there would not be any orders processing while doing AUM Recon
4. Operation users need to work on Open records by providing valid Remarks and Save the Reconciliation



KARVY AUM
recon.xlsx



CAMS AUM
Recon.xlsx

4.4.1.3. Trail Fee Reconciliation

1. In the Trail Fee Reconciliation system, reconcile at each lot level in the Wealth system with an RTA Trail Fee feed file
2. System computes lot wise brokerage information from as per Brokerage From and Brokerage To Date and reconcile with RTA Feed File based on the basis of defined rule like AMC Code, Scheme Code, Transaction Ref. No, Brokerage Amount/Clawback Amount
3. In Karvy both Brokerage and Clawback amounts are getting in the same field with different signs, positive amount refers to Brokerage and negative amount refers to Clawback
4. In both RTAs, Clawback provides reversals of monthly brokerage received till date by lot level. Example: If an investor subscribed on JAN and redeemed on JUN in the same year, then the system will reverse 5 records (JAN-MAY) in JUN month brokerage file
5. If Folio No is not found in the system and received in RTA Feed File, then Remark of “Non Wealth Customer Holdings” will be there for such records
6. For Trail Fee Recon also there would be 3 types of recon status (PMAT, DMAT and ERROR) however actions (Accept, Manual Match and Reject) will not be applicable as there would not be any orders processing while doing Trail Fee Recon
7. Operation users need to work on ERROR records by providing valid Remarks and Save the Reconciliation



CAMS_TRAILFEE_RE
CON_20221011162901



KARVY_TRAILFEE_R
ECON_202207211841

4.4.1.4. ARN Transfer

ARN Transfer refers to transfer of holdings and transactions of a folio from one broker to another broker

CAMS

Transfer In

1. System processes all the “Transfer In” historical transactions. The historical transactions will have subscription/redemption/switch/dividend transactions
2. For all the historical transactions the Transfer Flag in the transaction card will be displayed as “Transfer In” and the transactions are inserted into the folio.
3. The ARN Transfer In transactions will be treated like subscription/redemption/switch/dividend transactions for computing holdings, realized gain and unrealized gain

Transfer Out

1. For all the historical transactions present for the folio, system will insert the reversal transactions and the Transfer Flag as “Transfer Out” in the transaction card. Holdings, realized gain, unrealized gain and dashboard will become 0 for this folio for all the schemes
2. System will mark this Folio’s Active Flag as “No” which has been transferred out. Folios with Active Flag = “No” cannot be used for placing orders

Karvy

Transfer In

1. System processes all the “Transfer In” historical transactions. The historical transactions will have subscription/redemption/switch/dividend transactions
2. For all these historical transactions, the Transfer Flag in transaction card will be displayed as “Transfer In” and the transactions are inserted into the folio.
3. The ARN Transfer In transactions will be treated like normal subscription/redemption/switch/dividend transactions for computing holdings, realized gain and unrealized gain

Transfer Out

1. For all the historical transactions present for the folio, system will insert the reversal transactions and the Transfer Flag as “Transfer Out” in the transaction card. Holdings, realized gain, unrealized gain and dashboard will become 0 for this folio for all the schemes
2. System will mark this Folio’s Active Flag as “No” which has been transferred out. Folios with Active Flag = “No” cannot be used for placing orders

5. Field Level Details

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
Rule – Grid								
1	Sequence No	Displays the unique sequence no	Display	No	Numeric	Not Applicable	Not Applicable	
2	Recon Type	Displays the type of reconciliation	Display	No	String	Not Applicable	1.CAMS Transaction Recon 2.KARVY Transaction Recon 3.CAMS AUM Recon 4.KARVY AUM Recon 5.CAMS Trail Fee Recon 6.KARVY Trail fee	

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
							recon 7. CAMS Rejected Recon 8. KARVY Rejected Recon	
3	Message Type	Displays the code for message type	Display	No	Numeric	Not Applicable	1. CAMS Transaction Recon- 110 2. CAMS Rejected Transaction- 170 3. KARVY Rejected Transaction- 180 4. CAMS Trail Fee Recon- 150 5. KARVY Transaction Recon- 120 6. CAMS AUM Recon- 130 7. KARVY AUM Recon- 140 8. KARVY Trail Fee Recon- 160	
4	Rule Name	Displays the name of Rule	Display	No	String	Not Applicable	Not Applicable	
5	Status	Displays the authorization status of rule	Display	No	Character	Not Applicable	1. Authorized 2. Modified 3. Rejected	
Rule – Details								
1	Recon Type	Allows the user to select the type of reconciliation	Select	Yes	String	Yes	1.CAMS Transaction Recon 2.KARVY Transaction Recon 3.CAMS AUM Recon 4.KARVY AUM Recon 5.CAMS Trail Fee Recon 6.KARVY Trail fee recon 7. CAMS Rejected Recon 8. KARVY Rejected Recon	
2	Message Type	Select the code for message type	Display	No	Numeric	Not Applicable	1. CAMS Transaction Recon- 110 2. CAMS Rejected Transaction- 170	

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
							3. KARVY Rejected Transaction- 180 4. CAMS Trail Fee Recon- 150 5. KARVY Transaction Recon- 120 6. CAMS AUM Recon- 130 7. KARVY AUM Recon- 140 8. KARVY Trail Fee Recon- 160	
3	Transaction Type	Allows the user to select the type of transaction	Select	Yes	String	Conditional mandatory	1.Purchase 2.Redemption 3.Switch In 4.Switch Out	Appears only If Recon type is Transaction Recon
4	Order Type	Allows the user to select the type of order	Select	Yes	String	Conditional mandatory	1. Amount Based 2.Unit Based	Appears only If Recon type is Transaction Recon
5	Rule Name	Allows the user to input Rule Name	Input	Yes	String	Yes	Not Applicable	
6	Fields	Allows the user to select the fields	Select	Yes	String	Yes	Refer Annexure for Details	
7	Match	Allows the user to select the match	Select	Yes	String	Yes	1. Yes 2. No	
S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
Tolerance – Grid								
1	Sequence No	Displays the unique sequence no	Display	No	Numer ic	Not Applicable	Not Applicable	
2	Recon Type	Displays the type of reconciliation	Display	No	String	Not Applicable	1. CAMS Transaction Recon 2.KARVY Transaction Recon 3.CAMS AUM Recon 4.KARVY AUM Recon 5.CAMS Trail Fee Recon	

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
							6.KARVY Trail fee recon 7. CAMS Rejected Recon 8. KARVY Rejected Recon	
3	Message Type	Displays the code for message type	Display	No	Numer ic	Not Applicable	1. CAMS Transaction Recon- 110 2. CAMS Rejected Transaction- 170 3. KARVY Rejected Transaction- 180 4. CAMS Trail Fee Recon- 150 5. KARVY Transaction Recon- 120 6. CAMS AUM Recon- 130 7. KARVY AUM Recon- 140 8. KARVY Trail Fee Recon- 160	
4	Rule Name	Displays the name of Rule	Display	No	String	Not Applicable	Not Applicable	
5	Status	Displays the authorization status of rule	Display	No	Charac ter	Not Applicable	1. Authorized 2. Modified 3. Rejected	
Tolerance – Details								
1	Rule Name	Allows the user to select Rule Name	Select	No	String	Yes	List of Rules transaction type wise	
2	Fields	Allows the user to select the fields	Select	Yes	String	Yes	Refer Annexure for Details	
3	Minimum Allowed	Allows the user to input minimum threshold	Input	Yes	Numer ic	Yes	Not Applicable	
4	Maximum Allowed	Allows the user to input maximum threshold	Input	Yes	Numer ic	Yes	Not Applicable	
S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
Recon View – Grid								
1	Recon Type	Allows the user to select the type of reconciliation	Select	Yes	String	Yes	1.CAMS Trade Recon 2.KARVY Trade Recon 3.CAMS AUM	

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
							Recon 4.KARVY AUM Recon 5.CAMS Trail Fee Recon 6.KARVY Trail fee recon	
2	Upload Type	Displays the Recon Type	Display	No	String	Not Applicable	1. CAMS Transaction Recon 2.KARVY Transaction Recon 3.CAMS AUM Recon 4.KARVY AUM Recon 5.CAMS Trail Fee Recon 6.KARVY Trail fee recon 7. CAMS Rejected Recon 8. KARVY Rejected Recon	
3	Upload Date & Time	Displays the upload date and time of file	Display	No	Numer ic	Not Applicable	Not Applicable	
4	File Name	Displays the File Name	Display	No	String	Not Applicable	Not Applicable	
5	Perfect Match	Displays the count of matched records	Display	No	Numer ic	Not Applicable	Not Applicable	
6	Differential match	Displays the count of matched record within tolerance limit	Display	No	Numer ic	Not Applicable	Not Applicable	
7	Manual Match	Displays the count of manual matched record	Display	No	Numer ic	Not Applicable	Not Applicable	
8	Open-Internal	Displays the count of open internal records i.e. Orders	Display	No	Numer ic	Not Applicable	Not Applicable	
9	Open-External	Displays the count of open external records i.e. RTA records	Display	No	Numer ic	Not Applicable	Not Applicable	
Recon View –Trade Recon Details								
1	Source	Displays the source of file	Display	No	String	Not Applicable	1. CAMS 2. KARVY 3. IWMS	

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
2	Match id	Displays the Match ID	Display	No	Numer ic	Not Applicable	Not Applicable	
3	AMC Code	Displays the AMC Code	Display	No	Numer ic	Not Applicable	Not Applicable	
4	Folio Number	Displays the folio no	Display	No	Numer ic	Not Applicable	Not Applicable	
5	Scheme Code	Displays the scheme code	Display	No	String	Not Applicable	Not Applicable	
6	Scheme Name	Displays the scheme name	Display	No	String	Not Applicable	Not Applicable	
7	Primary Holder Name	Displays the primary holder name	Display	No	String	Not Applicable	Not Applicable	
8	Transaction type code	Displays the transaction Type code	Display	No	String	Not Applicable	List of transaction types	
9	Transaction Number	Displays the unique transaction no	Display	No	Numer ic	Not Applicable	Not Applicable	
10	Transaction Mode	Displays the transaction mode	Display	No	String	Not Applicable		
11	Transaction status	Displays the transaction status	Display	No	String	Not Applicable		
12	Source Code	Displays the code of source	Display	No	String	Not Applicable	Not Applicable	
13	User Transaction Number	Displays the user transaction number	Display	No	Numer ic	Not Applicable	Not Applicable	
14	Transaction Date	Displays the transaction date	Display	No	Numer ic	Not Applicable	Not Applicable	
15	Settlement Date	Displays the settlement date	Display	No	String	Not Applicable	Not Applicable	
16	Price	Displays the Price of transaction	Display	No	Numer ic	Not Applicable	Not Applicable	
17	Units	Displays the units allotted in transaction	Display	No	Numer ic	Not Applicable	Not Applicable	
18	Transaction Amount	Displays the transaction amount	Display	No	Numer ic	Not Applicable	Not Applicable	
19	Broker Code	Displays the broker code	Display	No	String	Not Applicable	Not Applicable	
20	Entry/Exit load	Displays the entry/exit load if applicable	Display	No	Numer ic	Not Applicable	Not Applicable	
21	Primary Holder PAN	Displays the primary holder PAN no	Display	No	String	Not Applicable	Not Applicable	

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
22	SIP Transaction Number	Displays the SIP Transaction no	Display	No	Numer ic	Not Applicable	Not Applicable	
23	Reversal Code	Displays the unique reversal code	Display	No	String	Not Applicable		
24	Recon Status	Displays the status of reconciliation	Display	No	String	Not Applicable	1. PMAT 2. MMAT 3. Open	
25	Remarks	Displays the Remarks if any	Display	No	String	Not Applicable	Not Applicable	
Recon View –AUM Recon Details								
1	Source	Displays the source of file	Display	No	String	Not Applicable	1. CAMS 2. KARVY 3. IWMS	
2	Match id	Displays the Match ID	Display	No	Numer ic	Not Applicable	Not Applicable	
3	Folio /Account no.	Displays the folio no/ Account number	Display	No	Numer ic	Not Applicable	Not Applicable	
4	Product Code	Displays the Product code	Display	No	String	Not Applicable	Not Applicable	
5	Fund description	Displays the scheme name	Display	No	String	Not Applicable	Not Applicable	
6	Primary Holder Name	Displays the primary holder name	Display	No	String	Not Applicable	Not Applicable	
7	Units	Displays the units allotted in transaction	Display	No	Numer ic	Not Applicable	Not Applicable	
8	Recon Status	Displays the status of reconciliation	Display	No	String	Not Applicable	1. PMAT 2. MMAT 3. Open	
9	Remarks	Displays the Remarks if any	Display	No	String	Not Applicable	Not Applicable	
10	Market Value	Displays the Market value of the Order	Display	No	String	Not Applicable	Not Applicable	
11	Position as of Date	Displays the Market Value Date	Display	No	String	Not Applicable	Not Applicable	
Recon View –Trail Fee Recon Details								
1	Source	Displays the source of file	Display	No	String	Not Applicable	1. CAMS 2. KARVY 3. IWMS	
2	Match id	Displays the Match ID	Display	No	Numer ic	Not Applicable	Not Applicable	
3	AMC Code	Displays the AMC Code	Display	No	Numer ic	Not Applicable	Not Applicable	

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
4	Folio Number	Displays the folio no	Display	No	Numeric	Not Applicable	Not Applicable	
5	Scheme Code	Displays the scheme code	Display	No	String	Not Applicable	Not Applicable	
6	Primary Holder Name	Displays the primary holder name	Display	No	String	Not Applicable	Not Applicable	
7	Transaction type	Displays the transaction Type	Display	No	String	Not Applicable	Refer the Transaction Types in Annexure	
8	Transaction Captured Date	Displays the Date of Transaction when it was Captured	Display	No	String	Not Applicable	Not Applicable	
9	Transaction Expense Ratio Location	Displays the Location of the Transaction	Display	No	String	Not Applicable	Not Applicable	
10	AE Code	Displays the branch code	Display	No	String	Not Applicable	Not Applicable	
11	Brokerage Type	Displays the Type of Brokerage	Display	No	String	Not Applicable	1. T30 2. B30 3. Perpetual 4. Special	
12	Brokerage Rate	Displays the Brokerage rate	Display	No	String	Not Applicable	Not Applicable	
13	Brokerage Amount	Displays the Brokerage amount Calculated	Display	No	String	Not Applicable	Not Applicable	
14	Brokerage From date	Displays the date from which brokerage is calculated	Display	No	String	Not Applicable	Not Applicable	
15	Brokerage To date	Displays the date to which brokerage is calculated	Display	No	String	Not Applicable	Not Applicable	
16	Process From date	Displays the starting date of the Month for which brokerage is calculated	Display	No	String	Not Applicable	Not Applicable	
17	Process To date	Displays the end date of the Month for which brokerage is calculated	Display	No	String	Not Applicable	Not Applicable	
18	Claw Back Amount	Displays the Applicable Claw Back amount	Display	No	String	Not Applicable	Not Applicable	

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
19	Average Assets	Displays the Average assets on which brokerage is calculated	Display	No	String	Not Applicable	Not Applicable	
20	Number of Days	Displays the Number of days for which brokerage is calculated	Display	No	Numer ic	Not Applicable	Not Applicable	
21	Claw Back period	Displays the Claw Back Period	Display	No	Numer ic	Not Applicable	Not Applicable	
22	Transaction Number	Displays the unique transaction no	Display	No	Numer ic	Not Applicable	Not Applicable	
23	Units	Displays the units allotted in transaction	Display	No	Numer ic	Not Applicable	Not Applicable	
24	Amount	Displays the transaction amount	Display	No	Numer ic	Not Applicable	Not Applicable	
25	Recon Status	Displays the status of reconciliation	Display	No	String	Not Applicable	1. PMAT 2. MMAT 3. Open	
26	Remarks	Displays the Remarks if any	Display	No	String	Not Applicable	Not Applicable	

6. Validations

1. System would validate if all the mandatory fields, marked with * are filled or not

7. Actor/Entitlements

1. Operations Team

8. Annexure



Reconciliation Rules
and Tolerance Details



Transaction types
CAMS & KARVY.xlsx



RTA Feed file
list.xlsx



Order Statuses.xlsx

9. Glossary

1. **RTA** - RTA expands to Registrar and Transfer agents. RTAs help mutual fund companies with record maintenance. RTAs give investors a single-window reference for all their mutual fund investment-related information. They are private firms and are registered with the Securities and Exchange Board of India (SEBI)
2. **AMC/Fund House** - Alternatively known as Asset Management Companies (AMC), fund houses are organizations that invest pooled in money from investors into financial instruments like equities, mutual funds, securities, etc. In simple words, these companies manage the money pooled from a number of investors
3. **Reconciliation** - Reconciliation is an accounting process that compares two sets of records to check that figures are correct and in agreement. ... Account reconciliation is particularly useful for explaining the difference between two financial records or account balances
4. **By Us** – Orders placed from the wealth system and transactions received for the same
5. **On Us** – Orders not placed from the wealth system but received the transaction