(R6) SWED-44081 [ETI Transfers] External Transfers In and Out (ISK, GIA)

Epic
SWED-44081 - [ETI Transfers] External Transfers In and Out (ISK, GIA) OPEN

1.0 Overview

This epic covers the functionality to transfer ETIs in and out of GIA and ISK accounts.

Definition of Done

Definition of done is considered when the admin user is able to:

- instruct ETI Transfer In on a GIA account via admin UI and API
- instruct ETI Transfer In on ISK account via admin UI and API
- instruct ETI Transfer Out on ISK account via admin UI
- instruct ETI Transfer Out on GIA account via admin UI

Definition of done is considered when the platform is able to:

- process and complete the transfer instruction
- correctly journal the ETI movements

1.1 Business Objective/Goals

SWED-44081 - [ETI Transfers] External Transfers In and Out (ISK, GIA) OPEN

In scope for R6

Enable external transfers of ETIs

HLR:

Transfer In GIA-GIA:
To be able to support transfers of ETIs from an external provider into the platform.
To be able to support instruction via admin UI.
To be able to support instruction via API.
To be able to support the interactions with Swedbank Ops

Transfer In ISK-ISK:
To be able to support transfers of ETIs from an external provider into the platform.
To be able to support instruction via admin UI.
To be able to support instruction via API.
To be able to support the interactions with Swedbank Ops

Transfer Out ISK-ISK:
To be able to support transfers of ETIs from an external provider into the platform.
To be able to support instruction via admin UI.
To be able to support the interactions with Swedbank Ops

1.2 Assumptions, Constraints & Dependencies

see original EPIC pages

(R4) SWED-8426 Transfer In GIA-GIA

(R4) SWED-8434 Transfer In/Out and Inter for ISK-ISK ETIs

1.3 User Stories Overview

Key	Summary	User Story	Status
SWED-41549	Flag ISK ETI orders so that they do not trade in the SI	As a client user, I want my ISK trades to trade on public venues, so that I comply with regulation	CLOSED
SWED-15135	Transfer Out GIA-GIA Private and Corporate - ETIs	As a Platform Administrator User, I want the platform to support the Transfer Out of ETIs, so that users can perform transfers between GIA	FNZ TEST
SWED-9223	Transfer In ISK - ETIs	As a Platform Administrator User, I want the platform to support ETI Transfers In, so that users can perform transfers between ISK accounts.	CLIENT TEST
SWED-9222	Transfer Out ISK - ETIs	As a Platform Administrator User, I want the platform to support Transfer Out for ETIs , so that users can perform transfers between ISK accounts.	CLIENT TEST
SWED-8732	Transfer In GIA-GIA Private and Corporate - ETIs	As a Platform Administrator User, I want the platform to support ETI Transfers In, so that users can perform transfers between GIA private accounts.	FNZ TEST

5 issues

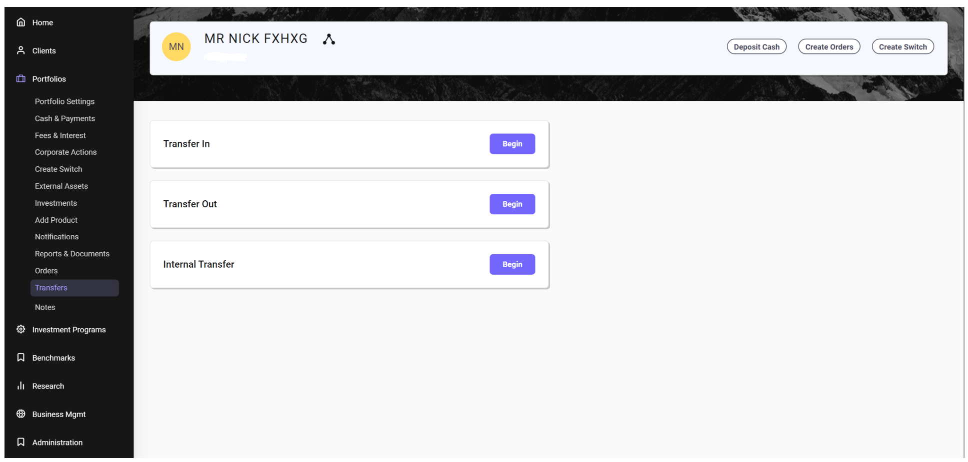
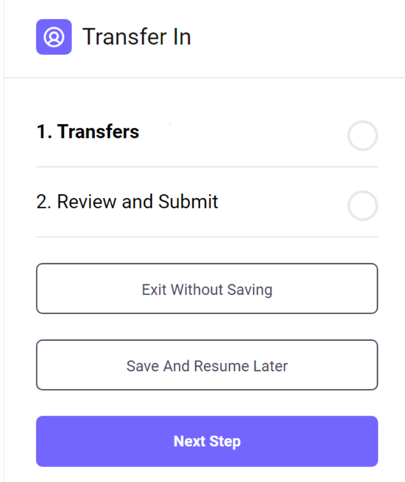
2.0 Solution Design

2.1 SWED-8732 As a Platform Administrator User, I want the platform to support ETI Transfers In, so that users can perform transfers between GIA private accounts.

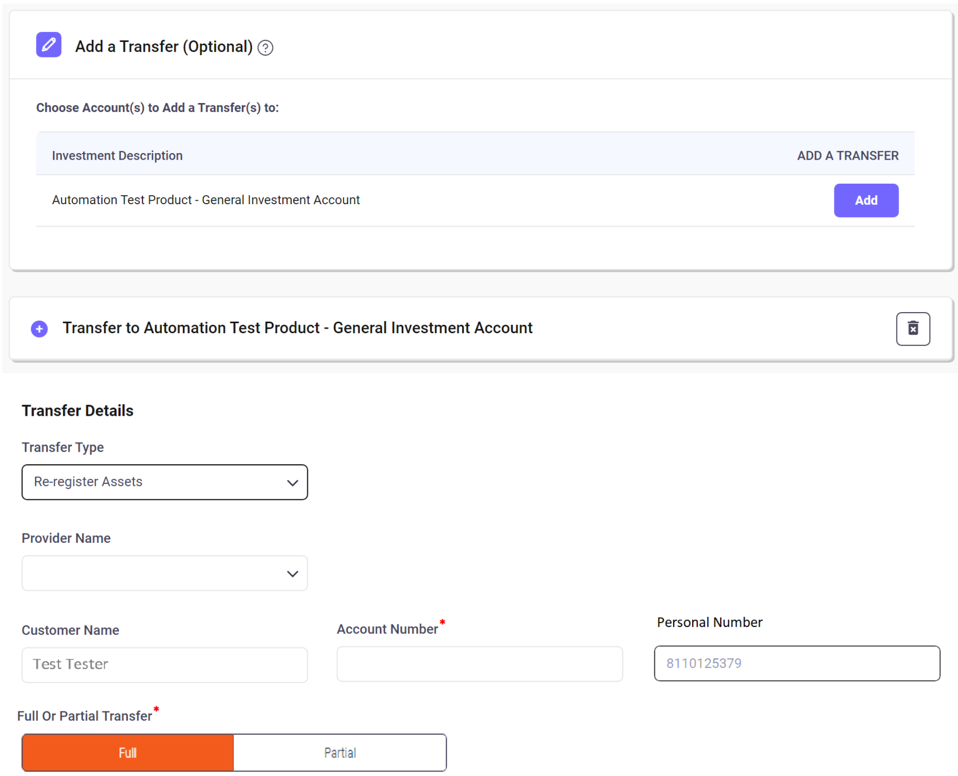
2.1.1 User Stories

SWED-8732 - Transfer In GIA-GIA Private R2 - ETIs ANALYSIS

2.1.2 User Story Description

ID	Requirement Type	Description
SWED-8732.FR.01	Functional	On admin UI, Transfer In wizard is supported for GIA product type.
SWED-8732.FR.02	Functional	The navigation to the Transfer In Wizard will be as follows: Admin site => Client Search => Account selection => Portfolios => Transfers => Transfer In tab  Transfer In wizard will consist of 2 separate steps: 1. Transfers 2. Review and Submit  The user will be able to Exit the page without saving, Save and Resume Later or Proceed to the Next Step once the mandatory f

<table>
<tr>
<td>SWED-8732.FR.03</td>
<td>Functional</td>
<td>By clicking on Transfer In the Admin User will be taken to the first step of the journey 'Transfers' and will be presented with the fc
Once the Add button is clicked on a new section called 'Provider Details' will appear underneath

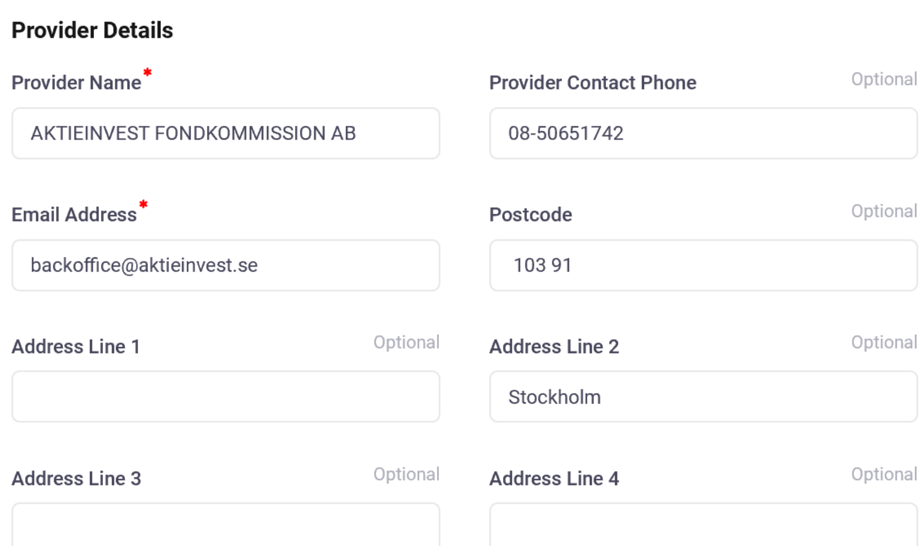


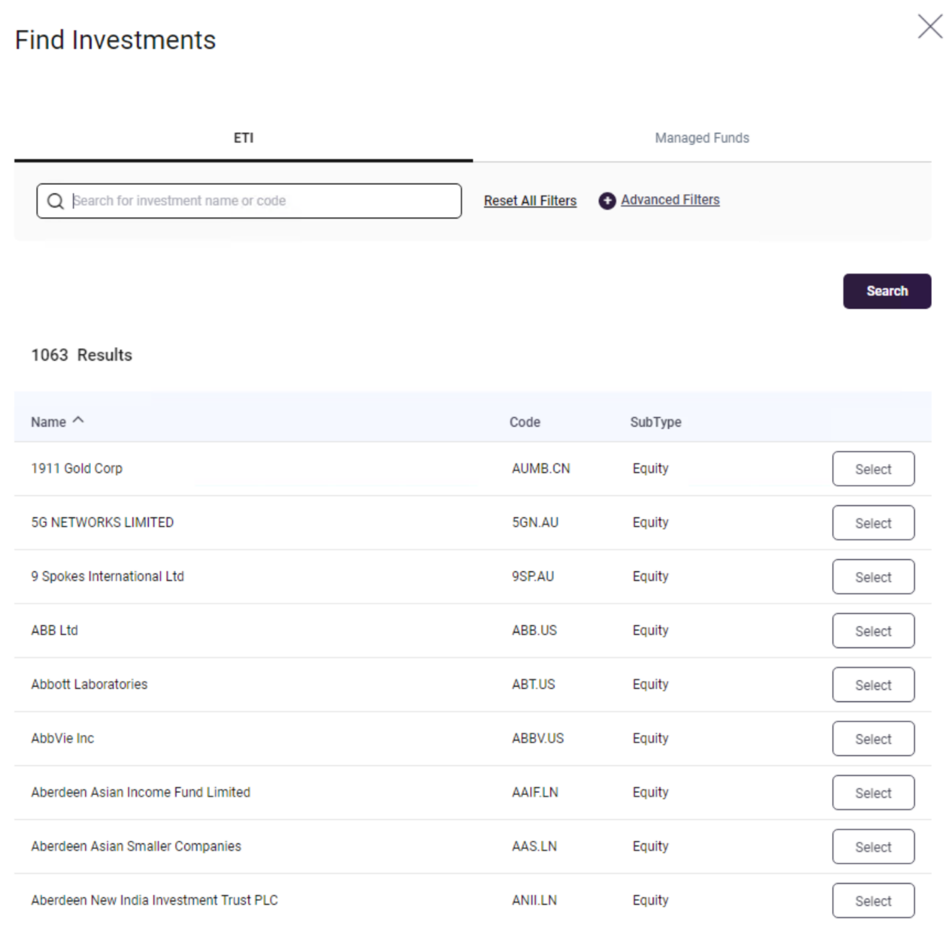
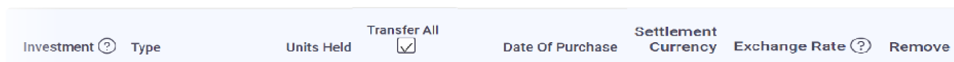
The wizard will allow the user to select only Re-register assets as Transfer Type.

User will fill in Account number at the ceding provider.

Customer Name and Personal Number will be pre-populated and displayed as read-only fields.

Full Transfer option is selected by default, however user will also be able to select Partial as a transfer in option.</td>
</tr>
<tr>
<td>SWED-8732.FR.04</td>
<td>Functional</td>
<td>Once a Provider Name has been selected, the Provider Details mandatory fields will be populated automatically.


</td>
</tr>
</table>

SWED-8732.FR.05	Functional	Cross-transfer (Inter-division transfer) between GIA and GIA of different provider to support ETIs as per ~~SWED-32324~~
SWED-8732.FR.06	Functional	By clicking on Add Investment An Investment Selector Tool (IST) will be launched allowing the user to search for an ETI by name  Once an ETI is selected, the information from the IST will be populated automatically in the Investment Breakdowns rows.  After selecting the instruments, Transfer All tickboxes will be ticked by default indicating a full Transfer in. If investor intends to make a partial transfer, they will untick the box and insert the quantity to Transfer In.
SWED-8732.FR.07	Functional	If Transfer All is unselected, it will be mandatory to submit the desired unit quantity. Validation will be in place.
SWED-8732.FR.08	Functional	Validations in place will restrict the transfer in of Finnish ETIs for individual customers with Finnish primary tax residency
SWED-8732.FR.09	Functional	User can remove previously selected ETIs by clicking on the remove button against the particular instrument

SWED-8732.FR.10	Functional	The user will be able to transfer MF and ETIs simultaneously in the same transfer request.
SWED-8732.FR.11	Functional	User can select whether they would like to instruct account closure at the ceding provider by ticking the tickbox stating: ***Close account at Ceding Provider after Completion*** The purpose of this tickbox would be solely informative and the data collected would be used by FNZ Ops to instruct the Ceding
SWED-8732.FR.12	Functional	If the user clicks on the 'Exit without Saving' button on the bottom of the right side of the wizard, they are automatically redirectec
SWED-8732.FR.13	Functional	User can click 'Next' only when all mandatory fields are filled out otherwise they would get a validation message
SWED-8732.FR.14	Functional	Clicking 'Next' will take user to "Review & Submit" section. The fields will reflect and match the values chosen in previous steps a The user will be able to click on Submit and the following message would appear on top of the screen: 'Wizard has been successfully submitted'
SWED-8732.FR.15	Functional	When the transfer in wizard is submitted, the user is returned to the client dashboard
SWED-8732.FR.16	Functional	The instruction of ETI transfers via API will be supported as per the same logic.

2.3.3 Supporting Examples

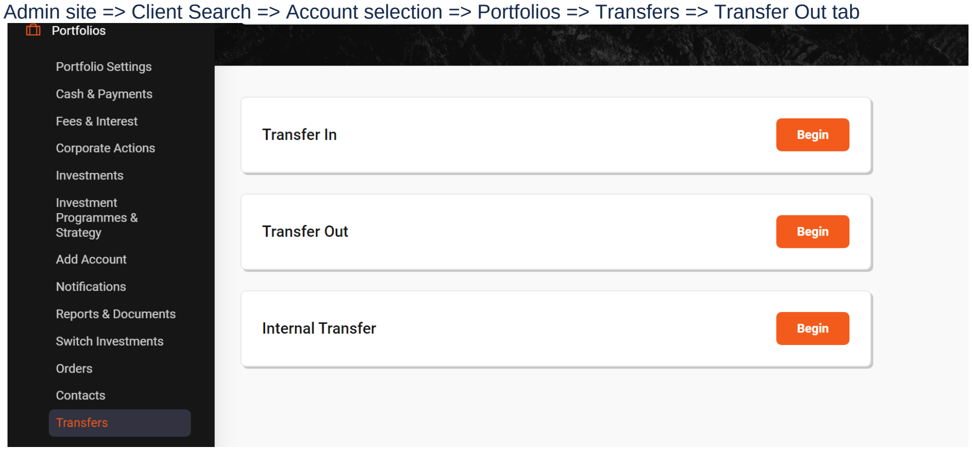
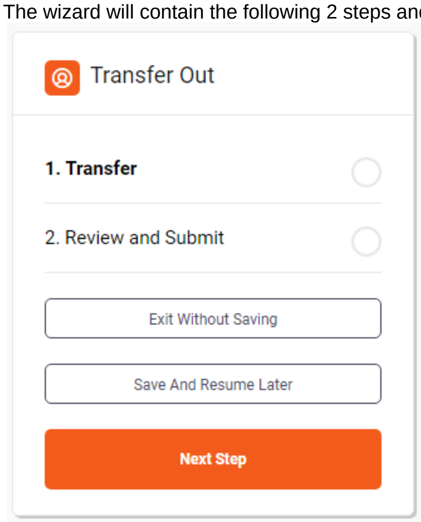
2.3.4 Outstanding Areas/Questions

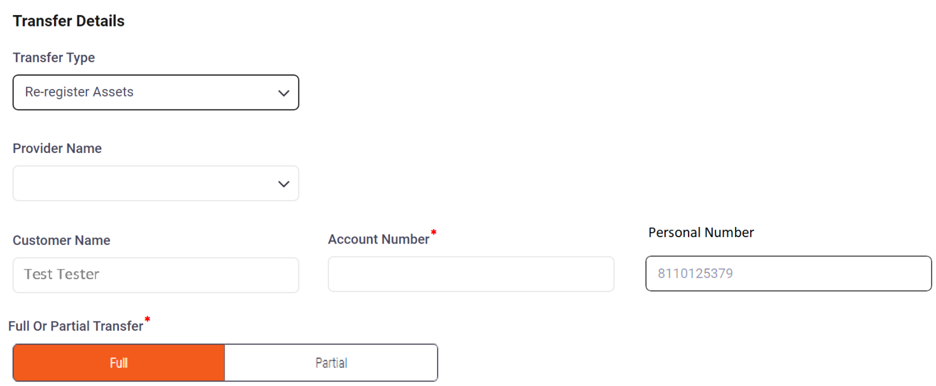
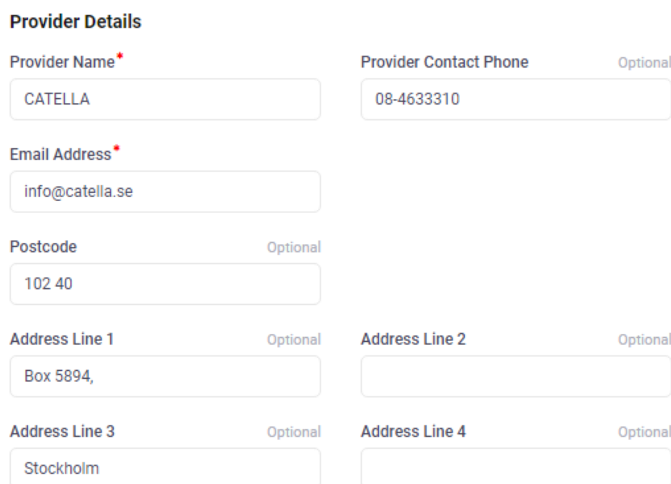
2.2 SWED-15135 As a Platform Administrator User, I want the platform to support the Transfer Out of ETIs, so that users can perform transfers between GIA private and corporate accounts.

2.2.1 User Stories

SWED-15135 - Transfer Out GIA-GIA Private and Corporate - ETIs OPEN

2.2.2 User Story Description

ID	Requirement Type	Description
ID	**Requirement Type**	**Description**
SWED-15135. FR.01	Functional	In R6 the admin user will also be able to start the Transfer Out journey by searching for Individual Customer using Personal number in the Admin UI Client search
SWED-15135. FR.02	Functional	Once the customer is selected, the admin user is able to choose the account from which the asset will be transferred out of
SWED-15135. FR.03	Functional	Transfer Out wizard will support GIA product
SWED-15135. FR.04	Functional	The navigation to the Transfer Out Wizard will be as follows : Admin site => Client Search => Account selection => Portfolios => Transfers => Transfer Out tab 
SWED-15135. FR.05	Functional	The wizard will contain the following 2 steps and they will be seen on the top right of the page: 

SWED-15135.FR.06	Functional	Step 1 of the Transfer Out Wizard: The Transfer to Investments section would allow the user to select only Re-register assets as Transfer Type. User will fill in Account number at the receiving provider. Customer Name and Personal Number will be pre-populated and displayed as read-only fields. Full Transfer option is selected by default, however user will also be able to select Partial as a transfer out option. 
SWED-15135.FR.07	Functional	User can select a Provider from the dropdown menu under Provider Name and all the fields in the Provider Details section will be automatically populated with information held in the database : 

<table>
<tr><td>SWED-15135.FR.08</td><td>Functional</td><td>
Underneath Select Assets to Transfer or Redeem, the Investment Account holdings of the investor will be shown. Both Managed Funds and ETIs will be visible in the table.
Transfer All tickboxes will be ticked by default. Quantity to Transfer is automatically filled and equal to Available Quantity.
Select Assets to Transfer
<table>
<tr><th>Investment Name</th><th>Investment Code</th><th>Available Quantity</th><th>Quantity to Transfer</th><th>Transfer All ☑</th></tr>
<tr><td>Luxembourg</td><td></td><td></td><td></td><td></td></tr>
<tr><td>C Worldwide Sweden Small Cap 1A</td><td>LU0424682077.SEK</td><td>79.1200</td><td>79.12</td><td>☑</td></tr>
<tr><td>BlackRock Strategic Funds - Americas Diversified Equity Absolute Return Fund A2 SEK Hedged</td><td>LU0765562458.SEK</td><td>57.0800</td><td>57.08</td><td>☑</td></tr>
<tr><td>AB - US High Yield Portfolio A2 SEK H Acc</td><td>LU2221865798.SEK</td><td>185.2195</td><td>185.2195</td><td>☑</td></tr>
</table>
If user intends to make a partial transfer, they will untick the respective box and insert the quantity to Transfer out.
Select Assets to Transfer
<table>
<tr><th>Investment Name</th><th>Investment Code</th><th>Available Quantity</th><th>Quantity to Transfer</th><th>Transfer All ☐</th></tr>
<tr><td>Luxembourg</td><td></td><td></td><td></td><td></td></tr>
<tr><td>C Worldwide Sweden Small Cap 1A</td><td>LU0424682077.SEK</td><td>79.1200</td><td>79.12</td><td>☑</td></tr>
<tr><td>BlackRock Strategic Funds - Americas Diversified Equity Absolute Return Fund A2 SEK Hedged</td><td>LU0765562458.SEK</td><td>57.0800</td><td>20</td><td>☐</td></tr>
<tr><td>AB - US High Yield Portfolio A2 SEK H Acc</td><td>LU2221865798.SEK</td><td>185.2195</td><td>185.2195</td><td>☑</td></tr>
</table>
</td></tr>
<tr><td>SWED-15135.FR.09</td><td>Functional</td><td>User should be able to transfer out both MFs and ETIs simultaneously.</td></tr>
<tr><td>SWED-15135.FR.10</td><td>Functional</td><td> In the event that an equity cannot be transferred to the receiving provider, the transfer instruction will be rejected and the customer will be asked to sell ETIs manually (CP will take the contact will the client) and place new transfer out with only transferrable ETIs. Sell all tickbox should not be available on Admin site for ETIs transfers for GIA. </td></tr>
<tr><td>SWED-15135.FR.11</td><td>Functional</td><td>Validations in place will restrict the transfer out of Finnish ETIs for individual customers with Finnish primary tax residency</td></tr>
<tr><td>SWED-15135.FR.12</td><td>Functional</td><td>Only one tickbox can be ticked against an investment.</td></tr>
<tr><td>SWED-15135.FR.13</td><td>Functional</td><td> Review and Submit step of the wizard will show the information input by the user in the previous step. The fields will reflect and match the values chosen in previous steps and would allow the user to complete the process and submit the wizard. The user will be able to click on 'Submit' button and the following message would appear on top of the screen:
'Wizard has been successfully submitted' </td></tr>
<tr><td>SWED-15135.FR.14</td><td>Functional</td><td>Once a Transfer Out Wizard has been submitted the units will be ringfenced, preventing the user to key in a new transfer with these units.
The units will remain ringfenced until the correct status is set in the Managing Inflight Transfers page in back office</td></tr>
</table>

2.2.3 Supporting Examples

2.2.4 Outstanding Areas/Questions

Item	Owner	Outcome

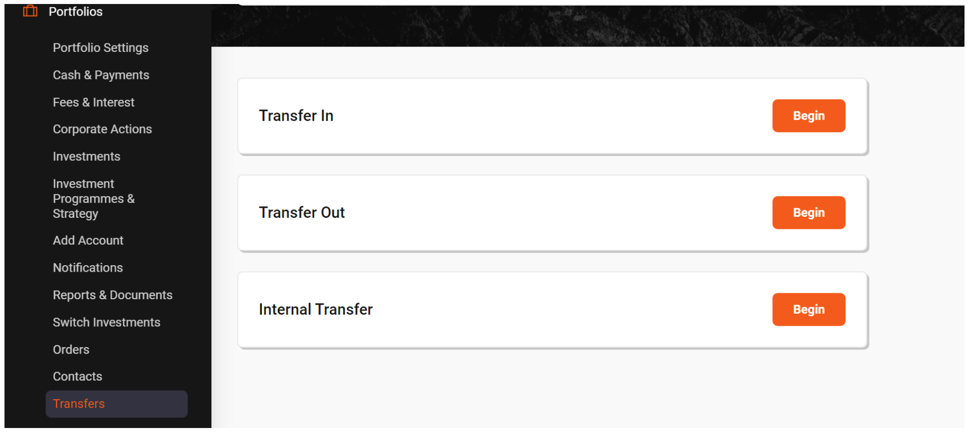
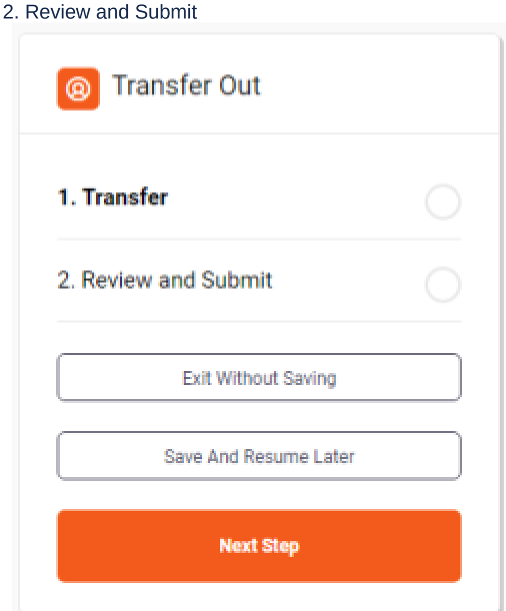
2.3 As a Platform Administrator User, I want the platform to support ETI Transfers In, so that users can perform transfers between ISK accounts.

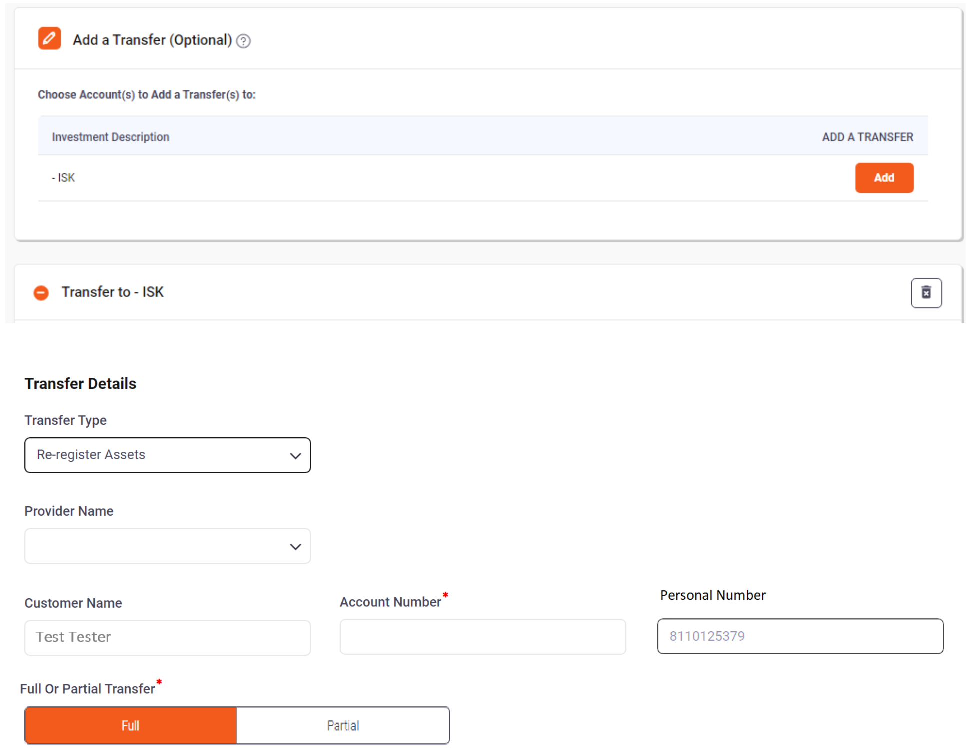
2.3.1 User Stories

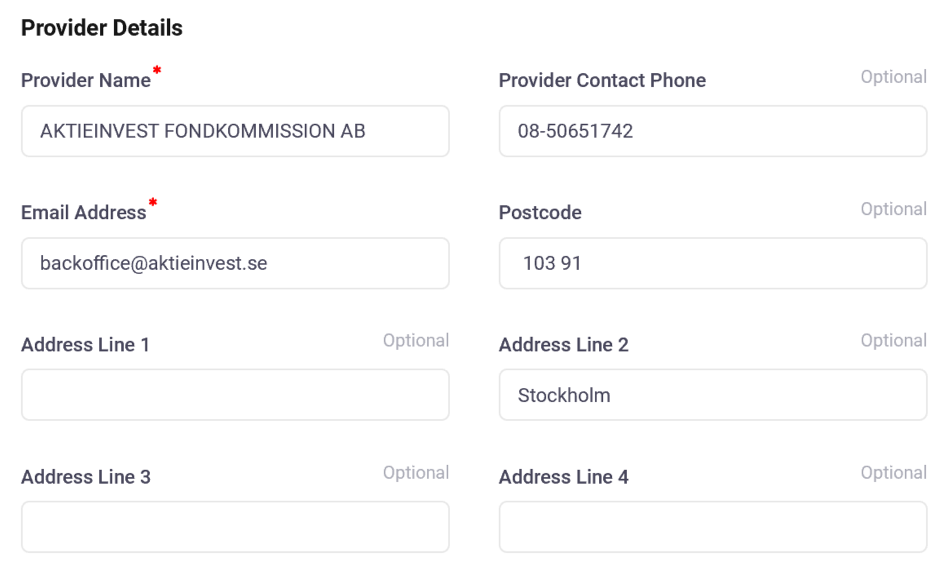
SWED-9223 - Transfer In ISK - ETIs OPEN

2.3.2 User Story Description

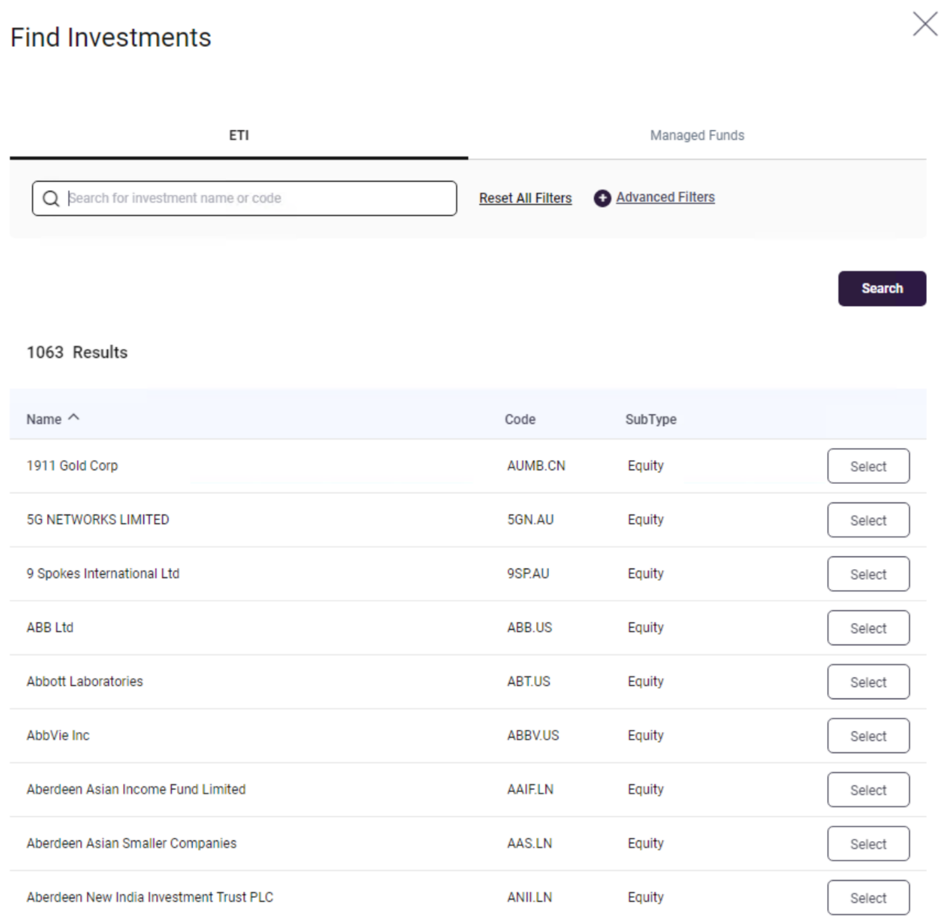
ID	Requirement Type	Description
SWED-9223.FR.01	Functional	In R6 the admin user will also be able to start the Transfer In journey by searching for Customer using Personal number in the A
SWED-9223.FR.02	Functional	Once the customer is chosen, the admin user should be able to choose the account to which the asset should be transferred to.

SW ED-922 3. FR. 03	Functional	The navigation to the Transfer In Wizard will be as follows : Admin site => Client Search => Account selection => Portfolios => Transfers => Transfer In tab  Transfer In wizard will consist of 2 separate steps: 1. Transfers 2. Review and Submit  The user will be able to Exit the page without saving, Save and Resume Later or Proceed to the Next Step once the mandatory f

SW ED-922 3. FR. 04	Functional	By clicking on Transfer In the Admin User will be taken to the first step of the journey 'Transfers' and will be presented with the fo new section called 'Provider Details' will appear underneath  The Transfer to Investments section would allow the user to select Transfer Type which would have the option to be one of the fo User will fill in Account number at the ceding provider. Customer Name and Personal Number will be pre-populated and displayed as read-only fields. Full Transfer option is selected by default, however user will also be able to select Partial as a transfer out option.
SW ED-922 3. FR. 05	Functional	The user will be able to key in a transfer instruction containing both assets and cash, referred to as Mixed Transfer instruction (co
SW ED-922 3. FR. 06	Functional	The Mixed Transfer Instruction is to be keyed in under Re-Register Asset Transfer Type. If the user would like to add Cash to the it via the Residual Cash Value box.
SW ED-922 3. FR. 07	Functional	The user will be able to include ETI, MF, and cash simultaneously in one transfer request.
SW ED-922 3. FR. 08	Functional	Re-Register Asset Transfer Type would not allow users to proceed by only inputting cash in the Residual Cash Value box, as As be validated

SWED-9223.FR.09	Functional	Once a Provider Name has been selected, the Provider Details mandatory fields will be populated automatically.  **Provider Details** Provider Name*: AKTIEINVEST FONDKOMMISSION AB Provider Contact Phone (Optional): 08-50651742 Email Address*: backoffice@aktieinvest.se Postcode (Optional): 103 91 Address Line 1 (Optional): Address Line 2 (Optional): Stockholm Address Line 3 (Optional): Address Line 4 (Optional):
SWED-9223.FR.10	Functional	Cross-transfer (Inter-division transfer) between ISK and ISK of different provider to support ETIs as per ~~SWED-32324~~

SWED-9223.FR.11	Functional	By clicking on Add Investment an Investment Selector Tool (IST) will be launched allowing the user to search for an ETI by name

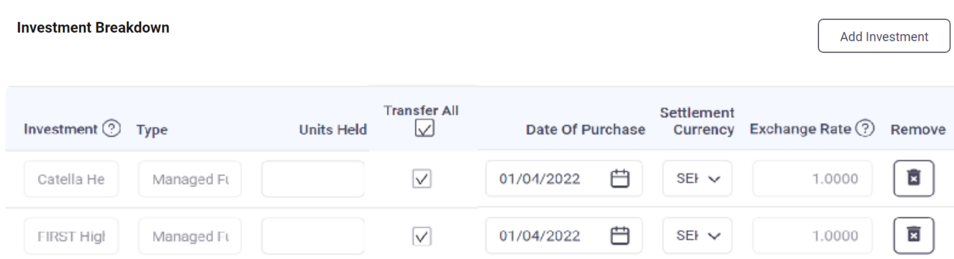


Name	Code	SubType	
1911 Gold Corp	AUMB.CN	Equity	Select
5G NETWORKS LIMITED	5GN.AU	Equity	Select
9 Spokes International Ltd	9SP.AU	Equity	Select
ABB Ltd	ABB.US	Equity	Select
Abbott Laboratories	ABT.US	Equity	Select
AbbVie Inc	ABBV.US	Equity	Select
Aberdeen Asian Income Fund Limited	AAIF.LN	Equity	Select
Aberdeen Asian Smaller Companies	AAS.LN	Equity	Select
Aberdeen New India Investment Trust PLC	ANII.LN	Equity	Select

After selecting the instrument, the user can indicate the amount of units which must be greater than 0.

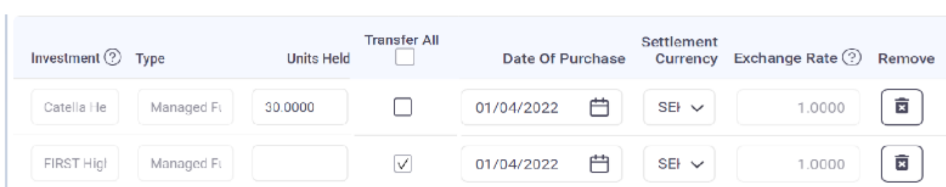
Once an ETI is selected, the information from the IST will be populated automatically in the Investment Breakdowns rows.

The Transfer All tickboxes will be ticked by default indicating a full transfer in.



Investment	Type	Units Held	Transfer All	Date Of Purchase	Settlement Currency	Exchange Rate	Remove
Catella He	Managed Fu		☑	01/04/2022	SEK	1.0000	
FIRST High	Managed Fu		☑	01/04/2022	SEK	1.0000	

If investor intends to make a partial transfer, they will untick the box and insert the quantity to Transfer In.



Investment	Type	Units Held	Transfer All	Date Of Purchase	Settlement Currency	Exchange Rate	Remove
Catella He	Managed Fu	30.0000	☐	01/04/2022	SEK	1.0000	
FIRST High	Managed Fu		☑	01/04/2022	SEK	1.0000	

SWED-9223.FR.12	Functional	User can select whether they would like to instruct account closure at the ceding provider by ticking the below tickbox.  The purpose of this tickbox would be solely informative and the data collected would be used by FNZ Ops to instruct the Ceding
SWED-9223.FR.13	Functional	User can remove previously selected ETIs by clicking on the remove button against the particular instrument
SWED-9223.FR.14	Functional	If the user clicks on the 'Exit without Saving' button on the bottom of the right side of the wizard, they are automatically redirectec
SWED-9223.FR.15	Functional	User can click 'Next' only when all mandatory fields are filled out otherwise they would get a validation message
SWED-9223.FR.16	Functional	Clicking 'Next' will take user to "Review & Submit" section The user will be able to click on Submit and the following message would appear on top of the screen: 'Wizard has been successfully submitted'
SWED-9223.FR.17	Functional	When the transfer in wizard is submitted the user is returned to the client dashboard
SWED-9223.FR.18	Functional	The instruction of ETIs via API will be supported as per the same logic.

2.3.3 Supporting Examples

2.3.4 Outstanding Areas/Questions

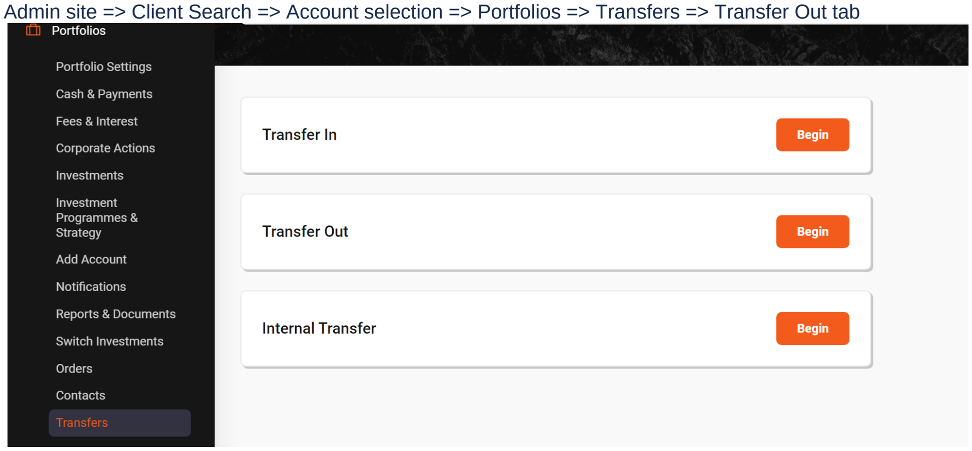
Item	Owner	Outcome

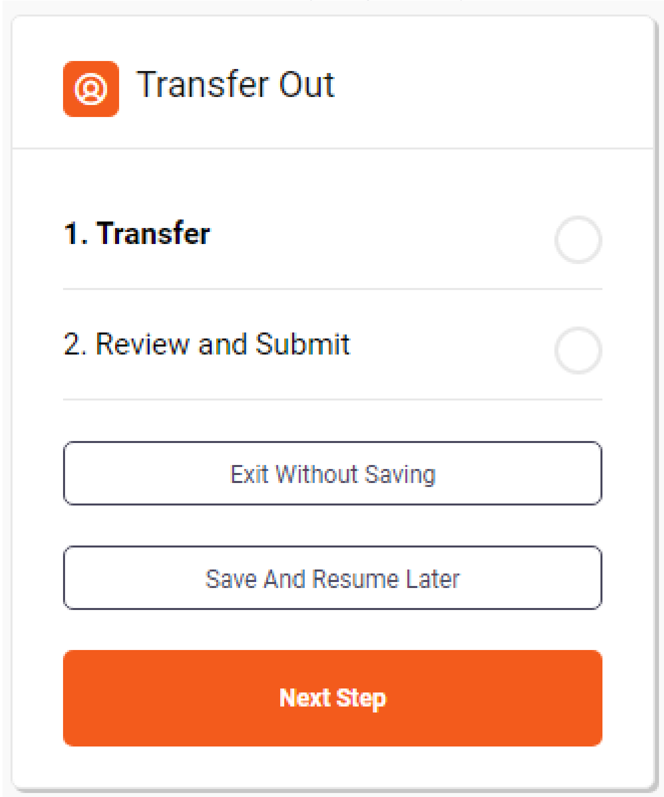
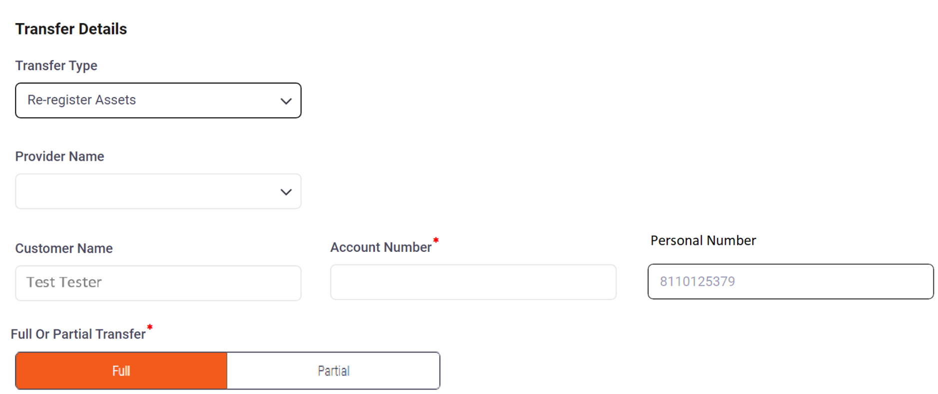
2.4 As a Platform Administrator User, I want the platform to support Transfer Out for ETIs , so that users can perform transfers between ISK accounts.

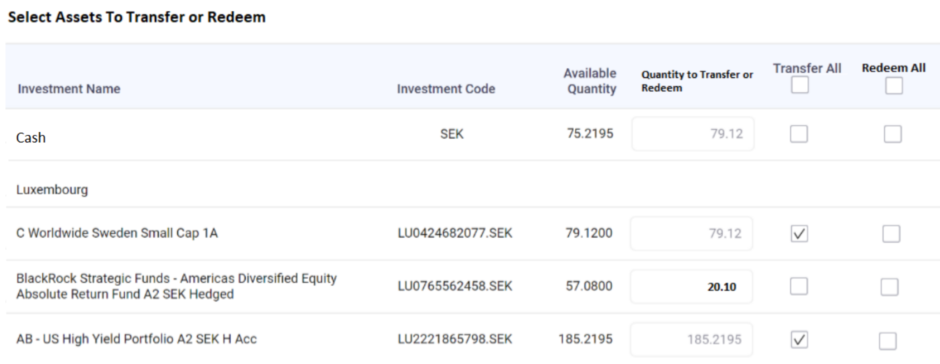
2.4.1 User Stories

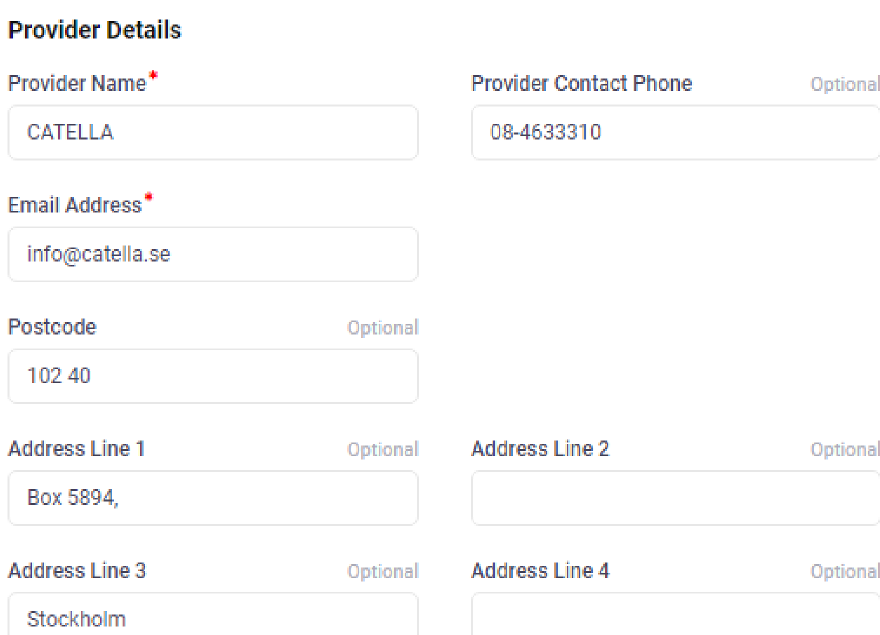
SWED-9222 - Transfer Out ISK - ETIs OPEN

2.4.2 User Story Description

ID	Requirement Type	Description
ID	Requirement Type	Description
SWED-9222.FR.01	Functional	In R6 the admin user will also be able to start the Transfer Out journey by searching for Customer using Personal number in the
SWED-9222.FR.02	Functional	Once the customer is chosen, the admin user should be able to choose the account to which the asset should be transferred to.
SWED-9222.FR.03	Functional	The navigation to the Transfer Out Wizard will be as follows : Admin site => Client Search => Account selection => Portfolios => Transfers => Transfer Out tab 

SWED-9222.FR.04	Functional	The wizard will contain the following 2 steps and they will be seen on the top right of the page: 
SWED-9222.FR.05	Functional	Step 1 of the Transfer Out Wizard: The Transfer From Investments section would allow the user to select Re-register assets or Cash Transfer as Transfer Type . User will fill in Account number at the receiving provider. Customer Name and Personal Number will be pre-populated and displayed as read-only fields. Full Transfer option is selected by default, however user will also be able to select Partial as a transfer out option. 
SWED-9222.FR.06	Functional	Users would be able to key in a transfer instruction containing both assets and cash, referred to as Mixed Transfer instruction (cc under Re-Register Asset Transfer Type.

<table>
<tr><td>SWED-9222.FR.07</td><td>Functional</td><td>Under section Select Assets To Transfer or Redeem, the wizard displays all available assets on the account. This includes (1)

</td></tr>
<tr><td>SWED-9222.FR.08</td><td>Functional</td><td>The admin user will be able to transfer all asset types at once. If Cash is selected, additional mandatory fields appear, capturing

</td></tr>
<tr><td>SWED-9222.FR.09</td><td>Functional</td><td>Re-Register Asset Transfer Type would not allow users to proceed by only inputting cash value under Quantity to Transfer box ,</td></tr>
<tr><td>SWED-9222.FR.10</td><td>Functional</td><td>User can select a Provider from the dropdown menu under Provider Name and all the fields in the Provider Details section will be

</td></tr>
</table>

<table>
<tr><td>SWED-9222.FR.11</td><td>Functional</td><td>
Transfer All tickboxes will be ticked by default. Quantity to Transfer is automatically filled and equal to Available Quantity.
Select Assets To Transfer or Redeem
<table>
<tr><th>Investment Name</th><th>Investment Code</th><th>Available Quantity</th><th>Quantity to Transfer or Redeem</th><th>Transfer All ☑</th><th>Redeem All ☐</th></tr>
<tr><td>Luxembourg</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>C Worldwide Sweden Small Cap 1A</td><td>LU0424682077.SEK</td><td>79.1200</td><td>79.12</td><td>☑</td><td>☐</td></tr>
<tr><td>BlackRock Strategic Funds - Americas Diversified Equity Absolute Return Fund A2 SEK Hedged</td><td>LU0765562458.SEK</td><td>57.0800</td><td>57.08</td><td>☑</td><td>☐</td></tr>
<tr><td>AB - US High Yield Portfolio A2 SEK H Acc</td><td>LU2221865798.SEK</td><td>185.2195</td><td>185.2195</td><td>☑</td><td>☐</td></tr>
</table>
If the user intends to make a partial transfer, they will have the option untick the respective box and insert the quantity they woul
Select Assets To Transfer or Redeem
<table>
<tr><th>Investment Name</th><th>Investment Code</th><th>Available Quantity</th><th>Quantity to Transfer or Redeem</th><th>Transfer All ☐</th><th>Redeem All ☐</th></tr>
<tr><td>Luxembourg</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>C Worldwide Sweden Small Cap 1A</td><td>LU0424682077.SEK</td><td>79.1200</td><td>79.12</td><td>☑</td><td>☐</td></tr>
<tr><td>BlackRock Strategic Funds - Americas Diversified Equity Absolute Return Fund A2 SEK Hedged</td><td>LU0765562458.SEK</td><td>57.0800</td><td>20.10</td><td>☐</td><td>☐</td></tr>
<tr><td>AB - US High Yield Portfolio A2 SEK H Acc</td><td>LU2221865798.SEK</td><td>185.2195</td><td>185.2195</td><td>☑</td><td>☐</td></tr>
</table>
</td></tr>
<tr><td>SWED-9222.FR.12</td><td>Functional</td><td>
In the event that a fund or an equity cannot be transferred to the receiving provider, the admin user will have the option to redeer Back Office , instead of a transfer request. Once cash for the redemption is received then the cash payment request is sent to S\
Upon ticking the Redeem All Tickbox, Quantity to Redeem is automatically filled and equal to Available Quantity.
Select Assets To Transfer or Redeem
<table>
<tr><th>Investment Name</th><th>Investment Code</th><th>Available Quantity</th><th>Quantity to Transfer or Redeem</th><th>Transfer All ☐</th><th>Redeem All ☐</th></tr>
<tr><td>Luxembourg</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>C Worldwide Sweden Small Cap 1A</td><td>LU0424682077.SEK</td><td>79.1200</td><td>79.12</td><td>☑</td><td>☐</td></tr>
<tr><td>BlackRock Strategic Funds - Americas Diversified Equity Absolute Return Fund A2 SEK Hedged</td><td>LU0765562458.SEK</td><td>57.0800</td><td>57.08</td><td>☐</td><td>☑</td></tr>
<tr><td>AB - US High Yield Portfolio A2 SEK H Acc</td><td>LU2221865798.SEK</td><td>185.2195</td><td>185.2195</td><td>☑</td><td>☐</td></tr>
</table>
</td></tr>
<tr><td>SWED-9222.FR.13</td><td>Functional</td><td>
Redeem All and Transfer All boxes cannot be ticked against the same fund at once. A validation will be put in place, allowing onl
</td></tr>
<tr><td>SWED-9222.FR.14</td><td>Functional</td><td>
Review and Submit step of the wizard will show the information input by the user in the previous step. The fields will reflect and r complete the process and submit the wizard.
Investment Breakdown
<table>
<tr><th>Investment</th><th>Type</th><th>Instrument Currency</th><th>Transfer Quantity</th><th>Redemption Quantity</th></tr>
<tr><td>C Worldwide Sweden Small Cap 1A</td><td>Managed Fund</td><td>SEK</td><td>79.12</td><td></td></tr>
<tr><td>BlackRock Strategic Funds - Americas Diversified Equity Absolute Return Fund A2 SEK Hedged</td><td>Managed Fund</td><td>SEK</td><td></td><td>57.08</td></tr>
<tr><td>AMF Aktiefond Europa</td><td>Managed Fund</td><td>SEK</td><td>25.0</td><td></td></tr>
</table>
The user will be able to click on Submit and the following message would appear on top of the screen:
'Wizard has been successfully submitted'
</td></tr>
</table>

SWED-9222.FR.15	Functional	Once a Transfer Out Wizard has been submitted the units will be ringfenced, preventing the user to key in a new transfer with the the Managing Inflight Transfers page in back office.

2.4.3 Supporting Examples

2.4.4 Outstanding Areas/Questions

Item	Owner	Outcome

3.0 Impact Analysis

3.1 Operational Impact Analysis

The following operational impacts have been identified and need to be considered with the implementation of this feature:

Operational Impact	Operational Area Impacted	Process change link
No operation impact	No areas impacts	N/A
<OR ADD DETAILS HERE>	<OR ADD DETAILS HERE>	<OR ADD DETAILS HERE>

3.2 CASS Impacts (Including Books & Records)

Does the solution outlined have any CASS implications?	YES/NO
Does the solution outlined have any impacts on the Books & Records part of the system?	YES/NO
Describe the impacts and how the solution has been designed to address these:	<ADD DETAILS HERE>

3.3 Non-Functional Impact Analysis

NFR Category	NFR Sub-category	Description	Explanation
Performance	Client Output/ Reporting Performance	In the feature described, is there the creation of any new reports/outputs or amendments to existing reports defined?	<ADD DETAILS HERE>
Performance	Client Output/ Reporting Performance	Name of report(s):	<ADD DETAILS HERE>
Performance	Client Output/ Reporting Performance	Frequency: (Daily, weekly, ad-hoc etc.)	<ADD DETAILS HERE>
Performance	Client Output/ Reporting Performance	Can the report be run from inception:	<ADD DETAILS HERE>

Performance	Client Output/ Reporting Performance	Have you included reporting period restrictions?	<ADD DETAILS HERE>
Performance	Client Output/ Reporting Performance	What is the data source for the report being delivered? (Platform, Data warehouse etc.)	<ADD DETAILS HERE>
Performance	Client Output/ Reporting Performance	Have you defined the error handling process used if the report fails?	<ADD DETAILS HERE>
Performance	Page Performance	In this feature, are any new webpages being added or amended?	<ADD DETAILS HERE>
Performance	Page Performance	Has page load time/performance been considered in the design outlined? (especially for any pages displaying historical, FUM or performance data)	<ADD DETAILS HERE>
Performance	Page Performance	Has the audit trail for updates/changes made via the new page been considered and included?	<ADD DETAILS HERE>
Security	User Access	For each new function or webpage being created within this feature, have you defined the user group access & security required for using these functions/pages?	<ADD DETAILS HERE>
Security	User Access	Have you outlined any user restrictions that need to be implemented on the webpage?	<ADD DETAILS HERE>
Security	User Access	Have the relevant user matrices been updated to reflect the new pages being added and the required access for each user group?	<ADD DETAILS HERE>
Security	User Access	Have you added test criteria, within the JIRA story, to ensure that each user group affected by the change is considered?	<ADD DETAILS HERE>
Security	Data Security	In this feature, is there any new sensitive personal customer data being added?	<ADD DETAILS HERE>
Security	Data Security	Does this feature involve any new or changes to the way we process customer personal data (e.g automated decision making, profiling etc.)?	<ADD DETAILS HERE>
Security	Data Security	If Yes, describe the new or changes to data processing and their purpose:	<ADD DETAILS HERE>
Integration	Third party integration	Does the feature touch any existing integration/requires new integration to a 3rd party service/ or FNZ hosted 3rd party?	<ADD DETAILS HERE>
Integration	Third party integration	If any integration, specify the third part and the integration model	<ADD DETAILS HERE>

3.4 Criticality, recovery and deadlines

Area	Description	Explanation
Production monitoring	Is this a new build or Change requests touching a task, page or process that is business critical that requires alerting?	YES/NO
Production monitoring	Prod Monitoring request raised	<Insert request number here>
S&S Handover	S&S Handover page link	<Insert page link here>
Prod proving	Prod proving page link (if applicable)	<Insert page link here>

4.0 Appendix

4.1 Developer Notes (FNZ Only)

<CREATE A CHILD PAGE OF THIS PAGE AS PER <FEATURE NAME> Developer notes USING THE TEMPLATE and add the link here>

4.2 Supporting material and documents references

Area	Description	Explanation
Terms and definitions	Terms and definitions page link	<Insert page link here>
S&S Handover	S&S Handover page link	<Insert page link here>
Prod proving	Prod proving page link (if applicable)	<Insert page link here>
Linked solutions or useful documents	<Add the description of the material you are referencing>	<Insert page link here or attach document here>

5.0 Document History

5.1 Internal Review & Sign-Off History

Name	Reviewer/Approver	Role	Sign-off Date	Sign off evidence
Ann-Charlott Kaellgren	Approver	Solution Consultant	31 Oct 2022	<Insert sign-off email>

5.2 External Review & Sign-Off History

Name	Reviewer/Approver	Role	Sign-off Date	Sign off evidence
Richard Lantto	Approver	Transfer POD lead	31 Oct 2022	? Unknown Attachment

5.3 Document History

Version Number	Author	Date of Issue	Brief Description of Change
V0.1			