# Positions

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (Position)** | **Examples** | **Comments** |
| Position Account Key | account\_key |  |  |
| Position Date | POSITION\_DATE\_TIME |  |  |
| Position Product Key | PRODUCT\_KEY |  |  |
| Position Value / Position Value (Base) | base\_currency\_value |  | Position value in base currency as base price \* base quantity |
| Position Quantity | quantity |  | Negative for Short |
| Position Long Short Index Flag | LONG\_SHORT\_CD |  | -short/long positions. long\_short\_ind |
| Position Call Put Indicator | **Product**. CALL\_PUT\_CD |  |  |
| Position Market Value Orig | ORIG\_CURR\_VALUE |  |  |
| **Position Book Value Orig** | CUSTOM\_DOUBLE\_01 |  | This number contain the same information as the rb\_OriginalCurrencyBookValue field on the RBC fdm |
| Position Price Orig | ORIG\_CURR\_PRICE |  |  |

# Balances

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (**Balance**)** | **Examples** | **Comments** |
| Account Key | ACCOUNT\_KEY |  |  |
| Balance Type Code | BALANCE\_TYPE\_CD | 1001 |  |
| Balance Base Value | BASE\_CURR\_VALUE |  |  |
| Balance Date | BALANCE\_LOCAL\_DATE\_TIME |  |  |
| Balance Currency |  |  |  |
| Balance Market value |  |  |  |
| Balance Cash Balance |  |  |  |
| Balance Total Balance |  |  |  |

# Trades

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (Trade)** | **Examples** | **Comments** |
| Trade Key | TRADE\_KEY |  |  |
| Trade Account Key | ACCOUNT\_KEY |  |  |
| Trade Date / Trade Date Time | EXECUTION\_LOCAL\_DATE\_TIME |  |  |
| Trade Business Date | BUSINESS\_DATE |  |  |
| Trade Product Key | PRODUCT\_KEY |  |  |
| Trade Quantity | QUANTITY |  | Instrument\_Quantity ? |
| Trade Transaction Type | Transaction\_Code\_Cd | Sell, Buy to Cover |  |
| Trade Direction | DIRECTION\_CD |  |  |
| Trade Executing Representative Key | EXECUTING\_TRADER\_KEY |  |  |
| Trade Exchange CD | Exchange\_CD |  |  |
| Trade price (Orig) | ORIG\_CURR\_TRADE\_PRICE |  |  |
| Trade price Base | Base\_Curr\_Trade\_Price |  | Acct\_Curr\_Trade\_Price ? |
| Trade Currency Cd (Orig) | ORIG\_CURR\_CD |  |  |
| Trade Net Amount (Orig) | ORIG\_CURR\_NET\_AMOUNT |  |  |
| Trade Net Amount Base | Acct\_Curr\_Amount? |  |  |
| Trade Commission (Orig) | ORIG\_CURR\_COMMISSION |  |  |
| Trade Cancel/Corrected Flag | If IS\_CANCEL = True then “Cancel”  Else if IS\_CORRECT = True then “Correct ” Else “” |  |  |
| **rb\_TradeDescription1** | CUSTOM\_SMALL\_STRING\_06 |  |  |
| **rb\_TradeDescription2** | CUSTOM\_SMALL\_STRING\_07 |  |  |
| **rb\_TradeDescription3** | CUSTOM\_SMALL\_STRING\_08 |  |  |
| **rb\_TradeDescription4** | CUSTOM\_SMALL\_STRING\_09 |  |  |
| **rb\_TradeDescription5** | CUSTOM\_SMALL\_STRING\_10 |  |  |
| **rb\_TradeDescription6** | CUSTOM\_SMALL\_STRING\_11 |  |  |
| **rb\_TradeDescription7** | CUSTOM\_SMALL\_STRING\_12 |  |  |

# Account

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (**Account**)** | **Examples** | **Comments** |
| Account Classification CD | ACCOUNT\_CLASSIFICATION\_CD | Professional, Retail | Acc\_Class\_Desc |
| Account Classification | ACCOUNT\_CLASSIFICATION. SHORT\_NAME |  |  |
| Account Source System | ACCOUNT\_SOURCE\_TYPE\_CD ACCOUNT.SOURCE\_SYSTEM\_CD | CSCADS, RISC\_RG, ADPCA | account. rb\_SourceSystemCd |
| Branch Number /  Account Branch Number | HOLDING\_BRANCH\_KEY |  |  |
| Account Key | ACCOUNT\_KEY |  | Aka Account Number |
| Account Type / Account Type Code | ACCOUNT\_TYPE\_CD | e.g. 17, 18, 22 | [account. acct\_type\_cd](file:///C:\display\CIT\fdm.account#fdm.account-acct_type_cd), AccountTypeCd |
| Account Client Number / account number | ACCOUNT\_NUMBER |  | [account.acct\_num](file:///C:\display\CIT\fdm.account#fdm.account-acct_num) - Client's 8 digit |
| Nuclear Household ID | ACCOUNT.HOUSEHOLD\_ID |  |  |
| Account Business Unit | Account\_bussiness\_Unit |  |  |
| Risk tolerance cd | RISK\_LEVEL.RISK\_LEVEL\_VALUE |  | Risk tolerance for an account will be put in the RISK\_LEVEL table, the following query will extract the risk tolerance for a given account:  Select RISK\_LEVEL\_VALUE from RISK\_LEVEL where RISK\_TYPE\_CD=’Tolerance’ and ENTITY\_KEY=<ACCOUNT\_KEY> |
| Risk Tolerance | Custom ? |  | See above |
| Investment objective cd | INVESTMENT\_OBJECTIVE\_1\_CD or  INVESTMENT\_OBJECTIVE\_2\_CD or  INVESTMENT\_OBJECTIVE\_3\_CD or  INVESTMENT\_OBJECTIVE\_4\_CD??  ASK DATA TEAM |  | Yes this is correct – but there is no INVESTMENT\_OBJECTIVE\_4\_CD, only goes to 3 |
| Investment Objective | ACCOUNT\_INVESTMENT\_OBJECTIVE. SHORT\_NAME  INVESTMENT\_OBJECTIVE\_DESC |  |  |
| **Rb FeeTypeID / Account Fee Type ID** | **rb\_FeeTypeID**  ASK DATA TEAM | ADVISOR, A+, PRIVATE INVESTMENT MANAGEMENT, etc. | ID to associate define the source system and the account fee type the client is charged We do not have a structure to break down fee types – all fees per trade are aggregated. SP does not need to know what kind of fee is was, just that a fee was charged. |
| Primary party key / Account Primary Party | PRIMARY\_PARTY\_KEY |  | (PRD) - primary\_party\_key - The primary party associated to the account |
| Primary representative key /  Account Primary Representative Key | PRIMARY\_REPRESENTATIVE\_KEY |  | DE0650 |
| Client sophistication cd | CLIENT\_SOPHISTICATION\_CD |  | CLIENT\_SOPHISTICATION\_CD is missing  Place this in PARTY.INVESTMENT\_EXPERIENCE – this is a numeric |
| Account Region | REGION\_CD |  | [fdm.account.region\_cd](file:///C:\display\CIT\fdm.account#fdm.account-region_cd) |
| Broker ID | PRIMARY\_REPRESENTATIVE\_KEY |  | Is it like the representative? |
| Account Open Date | EFFECTIVE\_DATE |  |  |
| Account Option Approval Level | OPTION\_APPROVAL\_LEVEL\_CD |  |  |
| Is\_managed\_account | IS\_MANAGED\_ACCOUNT |  | [Managed Account Flag] aka Managed Account Indicator |
| PRO Account Flag |  |  | can be calculated by the logic if not part of the ETL |
| Account Is Discretionary |  | Y/S | translated to Yes/No in display |
| Account Is Registered |  | Y/S | translated to Yes/No in display DE1459 |
| Account Category |  | Customer | DE0083, need to check with the Data team as in UDM account type and category are flipped |
| Account Short Name | ACCOUNT\_NAME |  | DE0082 |
| Account Name | Concateanted Field |  | [Account First Name]+ [Account Last Name]  If both are blank use [Account Short Name] |
| Account First Name |  |  | GSS DE0002 |
| Account Last Name |  |  | GSS DE0003 |
| Account Option Level | Option\_Approval\_Level\_Cd |  | DE1191 |

# CLIENT\_SOPHISTICATION

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (**CLIENT\_SOPHISTICATION**)** | **Examples** | **Comments** |
| CLIENT SOPHISTICATION CD | CLIENT\_SOPHISTICATION\_CD |  |  |
| CLIENT SOPHISTICATION DESC | CLIENT\_SOPHISTICATION\_DESC |  |  |

# KYC Account Client Risk // may be part of the Account table Fdm .rb\_AccountClientRisk

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| **Account Key** | ASK DATA TEAM |  | Table in RBC is rb\_AccountClientRisk and it is based on account portfolio definition |
| **AcctRiskInvGrade** | ASK DATA TEAM |  | - Percentage amount of the client's investments dedicated to Low Risk securities |
| KYC Account Client Risk - High Risk | AcctRiskHigh |  | Percentage amount of the client's investments dedicated to High Risk securities |
| KYC Investment Objective - Income | InvObjIncome |  | Percentage amount of Investment objectives the client would like to focus on Income |
| KYC Investment Objective - Growth | InvObjGrowth |  | Percentage amount of Investment objectives the client would like to focus on Growth |
| KYC Account Client Risk - Low | AcctRiskInvGrade |  | Percentage amount of the client's investments dedicated to Low Risk securities |
| KYC Time Horizon < 1Y | TBD |  | Percentage Allocation for the Time Horizon |
| KYC Time Horizon 1-3Y | TBD |  | KYC Time Horizon 5-10Y Percentage Allocation for the Time Horizon |
| KYC Time Horizon 3-5Y | TBD |  | Percentage Allocation for the Time Horizon |
| KYC Time Horizon 5-10Y | TBD |  | Percentage Allocation for the Time Horizon |
| KYC Time Horizon >10Y | TBD |  | Percentage Allocation for the Time Horizon |

Risk associated with a client, account, product, etc can be captured in the RISK\_LEVEL table. This table allows one to attach any type of risk to any entity. In addition, the PARTY table has fields for things such as IS\_PEP (Politically exposed person), IS\_FOREIGN\_OFFICIAL, etc.

INVESTMENT\_OBJECTIVE and INVESTMENT\_TIME\_HORIZON are captured in ACCOUNT, as stated above

# Branch

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| Branch key / Branch CD | BRANCH\_KEY |  |  |
| Branch Number | BRANCH\_NUMBER |  |  |
| Brunch Name | BRANCH\_NAME |  | DE0809 |

# FeeType -

ASK DATA TEAM - Translating ID to Desc - This is not captured by Sales Practices

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| **FeeTypeID / Fee Type ID** |  |  | Fdm.rb\_FeeType / FeeTypeID |
| **Fee Type Description /** Account Fee Type Description |  |  | GSS DE1196, PRIVATE INVESTMENT MANAGEMENT, aka “Fee Type” |

# Party

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (Party)** | **Examples** | **Comments** |
| Party Key | PARTY\_KEY |  |  |
| Client Age | *Process Date* - BIRTH\_INCORP\_DATE |  | Calculation, In years |
| rb\_RBC\_ClientNumber | Account.ACCOUNT\_NUMER?? Or Party\_key… ASK DATA TEAM |  | Have to ask RBC the meaning of this client number. It can probably be captured in PARTY\_KEY |
| Party Type Code | PARTY\_TYPE\_CD | 4, 26 | [primary\_party\_id\_type\_cd](file:///C:/display/CIT/fdm.party#fdm.party-primary_party_id_type_cd) |
| CLIENT NET WORTH / Total Assets | CLIENT\_NET\_WORTH |  |  |
| Net Liquid Assets | LIQUID\_NET\_WORTH |  |  |
| Primary Party ID | Primary\_party\_id  ACCOUNT.PRIMARY\_PARTY\_KEY |  | where [primary\_party\_id\_type\_cd](file:///C:/display/CIT/fdm.party#fdm.party-primary_party_id_type_cd) = 26. Client SIN |

# Party Account Relation

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| Party Account Relations Account Key | ACCOUNT\_KEY |  |  |
| Party Account Relations Party Key | PARTY\_KEY |  |  |
| Party Account Relationship Status Flag | IS\_ACTIVE | Y/N |  |
| Relation Type Description | Relation\_type. RELATION\_TYPE\_DESC | Applicant, Additional Applicant, Co-Applicant, Co-Applicant 2 | coming from Relation Type |
| **Inactive by Date/ Update Date** | Between EFFECTIVE\_DATE and EXPIRATION\_DATE |  |  |

# Product

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (Product)** | **Examples** | **Comments** |
| Product Key | PRODUCT\_KEY | RBC.us , RBC.ca | GSS DE0485 |
| Product Sub Type Code | PRODUCT\_SUB\_TYPE\_CD | EO, AB, ADR | GSS DE0093 |
| Product Sub Type | Product Sub Type. Desc | American Depository Receipts |  |
| Product Type Code | PRODUCT\_TYPE\_CD | FI, EQ | GSS DE0144 |
| **Product Instrument CD**? / Product Type Code | This looks like PRODUCT\_TYPE/SUB\_TYPE | ALL, ANN, FUT, MFU, OPT, etc. | For OTR |
| Product Description / Product Description Line 1 | PRODUCT\_DESC\_LINE\_1 |  | GSS DE0909 |
| Product Description Line 2 | PRODUCT\_DESC\_LINE\_2 |  | GSS DE0954 |
| Product Underlying Key / Underlying Product Key | UNDERLYING\_SEC\_PRODUCT\_KEY |  | GSS DE0783 |
| Product Expiration Date | MATURITY\_DATE |  | for Options |
| Product Strike Price | ORIG\_CURR\_STRIKE\_PRICE |  | for Options |
| Product Conversion | Contract\_Size (conversion\_factor) |  |  |
| Product Call Put Indicator | CALL\_PUT\_CD |  |  |
| Product Sector from Client Link | SECTOR\_CD |  |  |
| **Sector** Description | Product\_sector using SECTOR reference table |  | from Client Link |
| Product Symbol | SYMBOL |  | RBC has logic for it |
| Sedol |  |  |  |
| ISIN |  |  |  |
| ADP |  |  |  |
| XREF ID |  |  |  |
| Cusip |  |  |  |

**Example**: Product: Product Key, ADP, EQ (AC), OPT (PT), EO (PST), Finance Sector (sector), RBC Sector (Alternative product type)

# Product Type

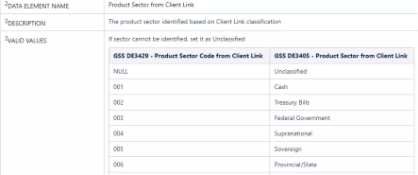
|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| Product type CD | PRODUCT\_TYPE\_CD |  |  |
| Product Type / Product Type Desc | PRODUCT\_TYPE\_DESC |  |  |
| Product Type Market **Sector**// market\_sector | ASK DATA TEAM | m-mkt | There is a SECTOR\_CD for sure, and if the market sector differs from the sector then there is another field called MARKET\_MAJOR\_INDEX\_CD |

# rpt\_EMRPositionHoldings – Pending RBC answer on how we do it

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| **accountNumber** | ASK DATA TEAM |  |  |
| **product\_type\_cd** | ASK DATA TEAM |  |  |
| **Value Base Currency** | **BaseCurrency** ASK DATA TEAM |  |  |
| **Total Balance Consolidated** | **total\_balance\_base\_curr\_value** ASK DATA TEAM |  |  |
| **ActualPCLow** | ASK DATA TEAM |  |  |
| **ActualPCHigh** | ASK DATA TEAM |  |  |
| **Update Date / Report Run Id** | **asOfDate** ASK DATA TEAM |  |  |

rb\_ClientLinkSecurityClassification   
this information can be captured in a custom string in PRODUCT

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |  |
| Product Key |  |  |  |
| ClassLevelFourCde | ASK DATA TEAM |  | Product Sector from Client Link |
| ClassLevelFourDesc | ASK DATA TEAM |  | Sector Description from Client Link |



rb\_Alternative\_Product (Alternative Product Type)  
For **Alternative Product** Code for Alternative Product // Like Sector, e.g. Crypto

This is the ALT designation for products, but as pointed out in emails, a further discussion might be necessary

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| Alternative Product **ADP Code** | ASK DATA TEAM |  |  |
| alternative\_**product\_type** | ASK DATA TEAM |  |  |
| Alternative Product Start Date | ASK DATA TEAM |  |  |
| Alternative Product End Date | ASK DATA TEAM |  |  |

# fdm. rb\_ProductIdentifier (for ADP) Mapped to the Product table ADP is a unique product identifier for alternative product provided by Broadridge

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| Product Identifier (**ADP**) | ASK DATA TEAM |  |  |
| Product Key | ASK DATA TEAM | = ADP (SEDOL/ISIN/CUSIP/ BLOOMBERG-UNIQUE) |
| Product Identifier Type | ASK DATA TEAM | = ADP (SEDOL/ISIN/CUSIP/ BLOOMBERG-UNIQUE) |
| Product Identifier Created Date | ASK DATA TEAM |  |
| Product Identifier End Dated Date | ASK DATA TEAM |  |

# REPRESENTATIVE\_SPLIT

|  |  |
| --- | --- |
| REPRESENTATIVE\_KEY | Unique key for the registered representative involved in the split. |
| SPLIT\_KEY | Unique key for the specific split agreement with a registered representative on a specific account. |
| TENANT\_CD | Code for the tenant for the hosted solution |
| IS\_ACTIVE | Whether the split agreement is in force. 1= True 0 = False |
| IS\_TO\_BE\_DELETED | Whether. for update feeds. the record is to be scheduled for deletion. (0 indicates a new or updated record). 1= True 0 = False |
| NON\_NATURAL\_CD | Code for the Representative (RR) - Denotes an actual Representative (RR). another split. or a non-natural (e.g. firm) level code. |
| SPLIT\_NAME | Name of the split |
| SPLIT\_PERCENT | Percentage of the split that the representative received. |

# RR\_REGISTRATION

|  |  |
| --- | --- |
| LICENSE | Representative license description |
| REPRESENTATIVE\_KEY | Unique key for the representative (RR) associated with the transaction or account. Use organizations internal code. |
| STATE\_PROVINCE\_CD | Code for the jurisdiction in which the license is valid |
| TENANT\_CD | Code for the tenant for the hosted solution |
| EXPIRATION\_DATE | License expiration date |
| IS\_TO\_BE\_DELETED | Whether. for update feeds. the record is to be scheduled for deletion. (0 indicates a new or updated record). 1= True 0 = False |

# Broker State Registration

|  |  |
| --- | --- |
| REGISTERED\_STATE\_PROVINCE\_CD | Code for the state where broker is registered to conduct business |
| REPRESENTATIVE\_KEY | Unique key for the representative (RR) associated with the transaction or account. Can be similar to Source\_Rep\_ID if that value is unique. |
| TENANT\_CD | Code for the tenant for the hosted solution |
| IS\_TO\_BE\_DELETED | Whether. for update feeds. the record is to be scheduled for deletion. (0 indicates a new or updated record). 1= True 0 = False |

# Representative

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (Representative)** | **Examples** | **Comments** |
| Representative key | REPRESENTATIVE\_KEY |  |  |
| IA Employee Id | EMPLOYEE\_ID |  | (GSS DE1546) - employee\_id - The employee id associated with the IA |
| Representative Name / RR Name / IA Name | FIRST\_NAME + “ “ + LAST\_NAME |  | DE0259 |

# Employee

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| Employee ID | EMPLOYEE\_KEY |  |  |
| **Employee SIN / ssn -** | ASK DATA TEAM |  | The SIN number for the RBC employee |

This can go into the EMPLOYEE\_ID field. The EMPLOYEE\_KEY and EMPLOYEE\_ID are different fields, so let’s use them

# fdm. risk\_tolerance

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| **risk\_tolerance\_cd** | ASK DATA TEAM |  |  |

# account\_investment\_objective

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| investment\_objective\_cd | ACCOUNT\_INVESTMENT\_OBJECTIVE.INVESTMENT\_OBJECTIVE\_CD ASK DATA TEAM |  |  |

# fdm. account\_client\_sophistication

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| client sophistication cd | ACCOUNT. CLIENT\_SOPHISTICATION\_CD |  |  |

|  |  |  |
| --- | --- | --- |
| **Client Sophistication Code** | [**GSS DE1197 - Client Investment Knowledge**](file:///C:\display\CIT\GSS+DE1197+-+Client+Investment+Knowledge) | [**GSS DE2032 - Investment Knowledge Rank**](file:///C:\display\CIT\GSS+DE2032+-+Investment+Knowledge+Rank) |
| 1 | Sophisticated | 5 |
| 2 | Good | 4 |
| 3 | Limited | 3 |
| 4 | None | 2 |
| 5 | Registered Investment Advisor | 6 |
| 6 | Not Known | 1 |
| NULL | Not Known | 1 |

# fdm.account\_classification // is this where code translated to name?

* + [Account Classification] / acct\_classification\_desc

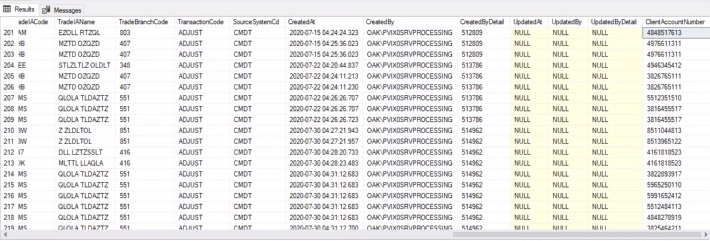
|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name (ACCOUNT\_CLASSIFICATION)** | **Example Values** | **Comments** |
| acct classification cd |  | PR,R | Key to Account. ACCOUNT\_CLASSIFICATION\_CD |
| Account Classification | ACCOUNT\_CLASSIFICATION\_DESC | Professional, Retail |  |

# Account Source system – may be mapped in Account table

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| **CD** | ACCOUNT.ACCOUNT\_SOURCE\_TYPE\_CD?? ASK DATA TEAM |  |  |
| **Account Source System** | ACCOUNT\_SOURCE\_TYPE\_DESC  ASK DATA TEAM | IN (CSCADS, RISC\_RG, ADPCA) | and -- CD is linked to a reference table |

# ANALYTIC\_DM\_APP. rbc\_alternative\_product\_risk Probably not needed

# rb\_DSTradeCommissionDetails – Data team, where is it going to be mapped?



|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| **Client Account Number** | **ClientAccountNumber** |  |  |
| **Account Number** |  |  | 8 digits |
| **Business Date** |  |  |  |
| **Blotter Code** |  | S7 |  |
| **Base Currency Gross Commission / Commission Amount** | **BaseCurrencyGross Commission** |  | - Base Currency Gross Commission values by customer account for - Mutual Fund Switch Commissions  - Base currency gross commission value earned by the IA based on the trade of the security for the Trade Commissions – for DS Trade Commission Base Currency Gross Commission |

ANALYTIC\_DM\_APP. RBCProductRisk – Data team, where is it going to be mapped?  
Note: – this the result of the Product Risk Calculation model (SP) that runs every day and the process date needs to be used – need a custom table

* + Product key // [Product Risk - **Product Key**]
  + Risk (Default)  // [Product Risk - **Risk**]
  + Risk\_Level // [Product Risk – **Risk Level**] – high
  + Business Date
  + [Product Risk - Process Date] / Product Risk - Report Run Id / Product Risk – Update Date Time

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Examples** | **Comments** |
| **Product key / Product Risk-Product Key** |  |  |  |
| **Risk (Default) / Product Risk – Risk** |  |  |  |
| **Risk\_Level / Product Risk – Risk Level** |  | High, Medium, Medium-High |  |
| **Business Date** |  |  |  |
| **Product Risk - Process Date / Product Risk - Report Run Id / Product Risk – Update Date Time** |  |  | Currently this is done by RBC like this: [Product Risk - Report Run Id] = Determine Scheduled Report Run Id for Process Date **where** Scheduled Report Name = 'ProductRiskCalculation' – ideally, we should add Process time to the table – depending on which table **Josh** is going to map/add |

# ANALYTIC\_DM\_APP. v\_ RBCProductRiskTier1Tier1. Risk (PAT, TB, EMR) – Data team, where is it going to be mapped?

* + Tier1 Product Risk – Business Date
  + Tier1 Product Risk – Product Key
  + Tier1 Product Risk – Risk
  + Tier1 Product Risk - Risk Level

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| **Tier1 Product Risk – Business Date** |  |  |  |
| **Tier1 Product Risk – Product Key** |  |  |  |
| **Tier1 Product Risk – Risk** |  |  |  |
| **Tier1 Product Risk - Risk Level** |  | High, Medium, Medium-High |  |

# **CURRENCY\_EXCHANGE\_RATE**

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| CURRENCY EXCHANGE DATE | VALUE\_DATE |  |  |
|  | CURRENCY\_CD |  |  |
| CURRENCY EXCHANGE RATE | EXCHANGE\_RATE |  | VS CAD |
|  | CUSTOM\_BOOLEAN\_01 |  |  |
|  | CUSTOM\_DATE\_01 |  |  |
|  | 01   CUSTOM\_DOUBLE\_01 |  |  |
|  | CUSTOM\_MEDIUM\_STRING\_01 |  |  |
| CURRENCY EXCHANGE Region | CUSTOM\_SMALL\_STRING\_01 |  |  |

# **WORKING\_DAY**

|  |  |  |  |
| --- | --- | --- | --- |
| **Glossary Term(s)** | **UDM Name** | **Example Values** | **Comments** |
| WORKING DAY CALENDAR DATE | CALENDAR\_DATE |  |  |
| COUNTRY CD | COUNTRY\_CD |  |  |
| TENANT CD | TENANT\_CD |  |  |
| WORKING DAY EXCHANGE CD | EXCHANGE\_CD |  |  |
| WORKING DAY IS BUSINESS DAY | IS\_BUSINESS\_DAY |  |  |
| IS HOLIDAY | IS\_HOLIDAY |  |  |
| IS MONTH\_END | IS\_MONTH\_END |  |  |
| IS SHORT\_DAY | IS\_SHORT\_DAY |  |  |
| IS TO BE DELETED | IS\_TO\_BE\_DELETED |  |  |

# Other questions:

Supporting suppressed alerts table on day one

**Previous process date? = previous month = previous date with alerts?**

Process Date = Day for which reports and detection models are run

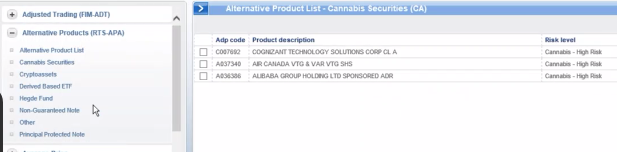
Actimize:

|  |  |  |  |
| --- | --- | --- | --- |
| INSTRUMENT\_SUB\_TYPE | INSTRUMENT\_SUB\_TYPE\_CD | FND | Funds |
| INSTRUMENT\_SUB\_TYPE | INSTRUMENT\_SUB\_TYPE\_CD | MFU | Mutual Fund |
| INSTRUMENT\_SUB\_TYPE | INSTRUMENT\_SUB\_TYPE\_CD | OPT | Option |
| INSTRUMENT\_SUB\_TYPE | INSTRUMENT\_SUB\_TYPE\_CD | OTH | Other |
| INSTRUMENT\_TYPE | INSTRUMENT\_TYPE\_CD | FND | Funds |
| INSTRUMENT\_TYPE | INSTRUMENT\_TYPE\_CD | OPT | Option |
| INSTRUMENT\_TYPE | INSTRUMENT\_TYPE\_CD | OTH | Other |

# Data Sample

**Alternative Product Risk Level**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| id | risk\_level | risk | alternative\_product\_type | region |
| 1 | Hedge Fund | 4.01 | 1 | CA |
| 2 | Derivatives based ETF | 4.01 | 2 | CA |
| 3 | Level 1 - Long Only | 4.01 | 3 | CA |
| 4 | Principal Protected Note | 4.01 | 4 | CA |
| 5 | Other | 4.01 | 5 | CA |
| 6 | Level 2 - Option-Based Index | 4.01 | 3 | CA |
| 7 | Level 3 - Barrier Index | 4.01 | 3 | CA |
| 8 | Level 4 - Other | 4.01 | 3 | CA |
| 9 | Contingent Convertibles | 4.01 | 5 | CA |
| 10 | Level 2 B - Simple Barrier Notes | 3.5 | 3 | CA |
| 11 | Cannabis - High Risk | 4.01 | 6 | CA |
| 12 | Cryptoassets - High Risk | 4.01 | 7 | CA |
| 13 | Level 1B (a/b) – Dividend Growth Notes | 4.01 | 3 | CA |
| 14 | Level 1B (a) – Dividends Paid Structure | 4.01 | 3 | CA |
| 15 | Level 1B (b) – Point to Point Structure | 4.01 | 3 | CA |
| 16 | Level 2 (c) – Credit Linked Note | 4.01 | 3 | CA |



|  |  |  |
| --- | --- | --- |
| [**GSS DE0093 - Product Sub Type**](file:///C:\display\CIT\GSS+DE0093+-+Product+Sub+Type) | [**GSS DE0216 - Product Sub Type Code**](file:///C:\display\CIT\GSS+DE0216+-+Product+Sub+Type+Code) | [**GSS DE0144 - Product Type Code**](file:///C:\display\CIT\GSS+DE0144+-+Product+Type+Code) |
| Asset Backed Securities | AB | FI |
| Agencies Discount | AD | FI |
| American Depository Receipts | ADR | EQ |
| American Depository Shares | ADS | EQ |
| Agencies | AG | FI |
| Alternate Investments | AI | OTH |
| All products - indicates all product sub types | ALL | OTH |
| Agency Pass-through | AP | FI |
| Banker's Acceptance | BA | FI |
| Bonds Borrowed | BB | FI |
| …. |  |  |

|  |  |
| --- | --- |
| [**GSS DE0092 - Product Type**](file:///C:\display\CIT\GSS+DE0092+-+Product+Type) | [**GSS DE0144 - Product Type Code**](file:///C:\display\CIT\GSS+DE0144+-+Product+Type+Code) |
| All product types | ALL |
| Alternative Investments | ALT |
| Annuity | ANN |
| Cash & Cash Equivalent | CSE |
| Commodities | COM |
| Equity | EQ |
| Fixed Income | FI |
| Futures | FUT |
| Forex | FX |
| Mutual Fund | MFU |
| OPTIONS | OPT |
| Other Products | OTH |
| REIT | RTS |
| Structured Products | STR |

|  |  |
| --- | --- |
| [**GSS DE0397 - Account Type**](file:///C:\display\CIT\GSS+DE0397+-+Account+Type) | [**GSS DE0286 - Account Type Code**](file:///C:\display\CIT\GSS+DE0286+-+Account+Type+Code) |
| AI Canadian Chartered Bank & QSB | 1 |
| Hospitals | 10 |
| Religious Orders | 11 |
| Retirement Plan | 12 |
| Foundations | 13 |
| Investment Account | 14 |
| Corporations | 15 |
| Estate | 16 |
| Guarantor | 17 |
| Guarantee | 18 |
| Bad Debt and Bad Debt Reserve | 19 |
| AI Trust Company | 2 |
| IA | 20 |
| Other Employee | 21 |
| Guaranteed/Guarantor Accounts | 22 |
| Partners,Shareholders,Directors | 23 |
| Inventory - Margin Rate 5% and Less | 24 |
| Inventory - Margin Rate Over 5% | 25 |
| …. |  |

**GSS DE1194 - Relation Type Description**

|  |  |
| --- | --- |
| **[GSS DE2313 - Relation Type Code](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE2313+-+Relation+Type+Code)** | **[GSS DE1194 - Relation Type Description](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE1194+-+Relation+Type+Description)** |
| 10 | Related Account |
| 30 | Guaranteed Account |
| 35 | Other Account |
| 5 | Guarantor Account Of |
| A | Applicant |
| AA | Additional Applicant |
| AC | Accountant |
| AD | Auditor |
| AE | AIP/EFT |
| AG | Agent |
| … |  |

|  |  |
| --- | --- |
| [**GSS DE0808 - Branch Number**](file:///C:\display\CIT\GSS+DE0808+-+Branch+Number) | [**GSS DE0809 - Branch Name**](file:///C:\display\CIT\GSS+DE0809+-+Branch+Name) |
| 001 | INST BOND TORONTO |
| 004 | BOND FUTURES |
| 010 | HALIFAX - TOWER TWO |
| 011 | HALIFAX - TOWER TWO |
| 012 | HALIFAX - TOWER TWO |
| 013 | HALIFAX - TOWER TWO |
| 014 | HALIFAX - TOWER TWO |
| 015 | HALIFAX - TOWER TWO |
| 016 | QUANTEX |
| 020 | MONEY MARKET TORONTO |
| 021 | EQUITY FINANCE |
| 025 | HEDGE FUND SERVICES |
| 050 | DMA SALES CANADA |
| 051 | INST SALES TORONTO |
| …. |  |

|  |  |
| --- | --- |
| **Option Level** | **Option Level Description** |
| 0 | No Option Trading is Approved |
| 1 | Only Covered Options Trading Approved |
| 2 | Previous Levels and Long Put/Call Options Trading Approved |
| 3 | Previous Levels and Options Spreads Trading Approved |
| 4 | Previous Levels and Naked Put Options Trading Approved |
| 5 | All Options Trading Types Approved |

|  |  |
| --- | --- |
| [**GSS DE1323 - Alternative Product Type**](file:///C:\display\CIT\GSS+DE1323+-+Alternative+Product+Type) | [**GSS DE1959 - RBC Alternative Product Type Description**](file:///C:\display\CIT\GSS+DE1959+-+RBC+Alternative+Product+Type+Description) |
| 1 | Hedge Fund |
| 2 | Derivatives based ETF |
| 3 | Non-Guaranteed Note |
| 4 | Principal Protected Note |
| 5 | Other |
| 6 | Cannabis securities |
| 7 | Cryptoassets |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  | | --- | --- | | **Fee Type Code** | **Fee Type Description** | | A | ADVISOR | | AC | ACCESS | | AP | A+ | | ET | RBC ESTATE AND TRUST SERVICES | | M | PRIVATE INVESTMENT MANAGEMENT | | PC | RBC Private Counsel | | PP | RBC PARAMETERS PORTFOLIO | | R | Commission Based (Regular) | | S | SOVEREIGN | | SI | SOVEREIGN INT'L | |

Determine [GSS DE0205 - ADP Code](https://confluence.fg.rbc.com/display/CIT/GSS+DE0205+-+ADP+Code)  for a product and a date or date range based on [GSS BR015 - Determine ADP/SEDOL/BLOOMBERG-UNIQUE for Product and Process Date](https://confluence.fg.rbc.com/pages/viewpage.action?pageId=188780762):

Click here to expand...

1. Set **Process Date** to the [GSS DE1305 - Record Created Date](file:///C:\display\CIT\GSS+DE1305+-+Record+Created+Date) of the record under review (execution/trade/order/etc).

2. Select identifiers for the selected type (ADP/SEDOL/ISIN/CUSIP/BLOOMBERG-UNIQUE) and [GSS DE0485 - Product Key](https://confluence.fg.rbc.com/display/CIT/GSS+DE0485+-+Product+Key) that were loaded prior or on the **Process Date**.

|  |  |  |  |
| --- | --- | --- | --- |
| **Condition 1** | **Condition 2** | **Condition 3** | **Outcome** |
| [**GSS DE0843 - Product Identifier Identifier Type**](file:///C:\display\CIT\GSS+DE0843+-+Product+Identifier+Identifier+Type) | [**GSS DE1136 - Product Identifier Created Date**](file:///C:\display\CIT\GSS+DE1136+-+Product+Identifier+Created+Date) | [**GSS DE1135 - Product Identifier End Dated Date**](file:///C:\display\CIT\GSS+DE1135+-+Product+Identifier+End+Dated+Date) | **Product** [**I**](https://confluence.fg.rbc.com/display/CIT/GSS+DE1348+-+Product+Identifier)**dentifier Requested** |
| = <Identifier Type> | <= **Process Date** | = Null **OR** >= **Process Date** | = [GSS DE1348 - Product Identifier Identifier](file:///C:\display\CIT\GSS+DE1348+-+Product+Identifier+Identifier) |

3. If multiple identifiers found, then: concatenate into a comma separated list

4. If no identifier is found, then: set to blank

If multiple values were returned, sort them in alphabetical order and do the following:

|  |  |
| --- | --- |
| **Condition** | **Outcome** |
| **Data Set** | [**GSS DE0205 - ADP Code**](https://confluence.fg.rbc.com/display/CIT/GSS+DE0205+-+ADP+Code) |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  | | --- | --- | | **Option Level** | **Option Level Description** | | 0 | No Option Trading is Approved | | 1 | Only Covered Options Trading Approved | | 2 | Previous Levels and Long Put/Call Options Trading Approved | | 3 | Previous Levels and Options Spreads Trading Approved | | 4 | Previous Levels and Naked Put Options Trading Approved | | 5 | All Options Trading Types Approved | |
| |  |  | | --- | --- | | **Client Sophistication Code** | [**GSS DE1197 - Client Investment Knowledge**](file:///C:\display\CIT\GSS+DE1197+-+Client+Investment+Knowledge) | | 1 | Sophisticated | | 2 | Good | | 3 | Limited | | 4 | None | | 5 | Registered Investment Advisor | | 6 | Not Known | |

|  |  |
| --- | --- |
| **[GSS DE0084 - Account Classification](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE0084+-+Account+Classification)** | **[GSS DE0838 - Account Classification Cd](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE0838+-+Account+Classification+Cd)** |
| * Eligible Counterparty | ECP |
| * Institutional | I |
| * Professional | PR |
| * Retail | R |

|  |  |
| --- | --- |
| **[GSS DE0224 - Account Category Cd](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE0224+-+Account+Category+Cd)** | **[GSS DE0083 - Account Category](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE0083+-+Account+Category)** |
| BD | Broker Dealer Account |
| C | Customer Account |
| E | Employee Account |
| O | Other |
| P | Proprietary Account |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **GSS DE0213-7 - Execution Transaction Type Code**   |  |  |  | | --- | --- | --- | | **[GSS DE0213-7 - Execution Transaction Type Code](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE0213-7+-+Execution+Transaction+Type+Code)** | **[GSS DE0308 - Execution Transaction Type Desc](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE0308+-+Execution+Transaction+Type+Desc)** | **[GSS DE0103 - Execution Direction](file:///\\\\oak.fg.rbc.com\\display\\CIT\\GSS+DE0103+-+Execution+Direction)** | | 210 | Buy Cancel Request | B | | 211 | Buy Correction Request | B | | 212 | Sell Cancel Request | S | | 213 | Sell Correction Request | S | | 260 | Buy | B | | 261 | Sell | S | | 262 | Buy to Cover | B | | 263 | Short Sell | S | | 264 | Sell to Close | S | | 265 | Sell to Open | S | | 266 | Buy to Open | B | | 270 | Buy to Close | B | | 271 | Short Sale Exempt | S | |