Journey of Self-Assessment and Supervisor Assessment

RM Dashboard

HSBC PWS

Revision History

Date	Prepared By	Reviewer & Date of Review	Approver & Date of Approval	Version	Change Details
30 Aug 2022	Rahul Anand	Mahipal Kundam 31-Aug-2022	Vinay Kumar 01 Sep 2022	1.0	Base Version
30-Oct-2023	Siddharth Anand	Pavan Kallur 31-Oct-2023		1.1	Further Revisions

Distribution List

Team	Person

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1. Introduction

The RM is provided with a Workstation, which is a state of the art solution that empowers them with a single point interface to manage rising business complexities. This eliminates the need for the RM to log in to multiple applications to assimilate client and portfolio details, performance details etc. It provides the right information at the right time and in a useful and logical way. The RM Dashboard module gives the insights for the Relationship Managers to grow the revenue for the bank

The RM will have a holistic view of their mapped customers' data and their business level relevant information, logically represented at single place for quick consumption, thus enabling them to have efficient and effective engagements with their customers

2. Prerequisites

S No	Process	Reference Document
1	Customer Holdings and Transactions	Journey of Self-Assessment and Supervisor Assessment - Customer Dashboard
2	User Maintenance	Journey of Defining Maintenance
3	Alerts Maintenance	Journey of Defining Maintenance
4	Market Outlook and Broadcast Maintenance	Journey of Defining Maintenance
5	Branch Maintenance	Journey of Defining Maintenance

3. Flow Diagram

Not Applicable

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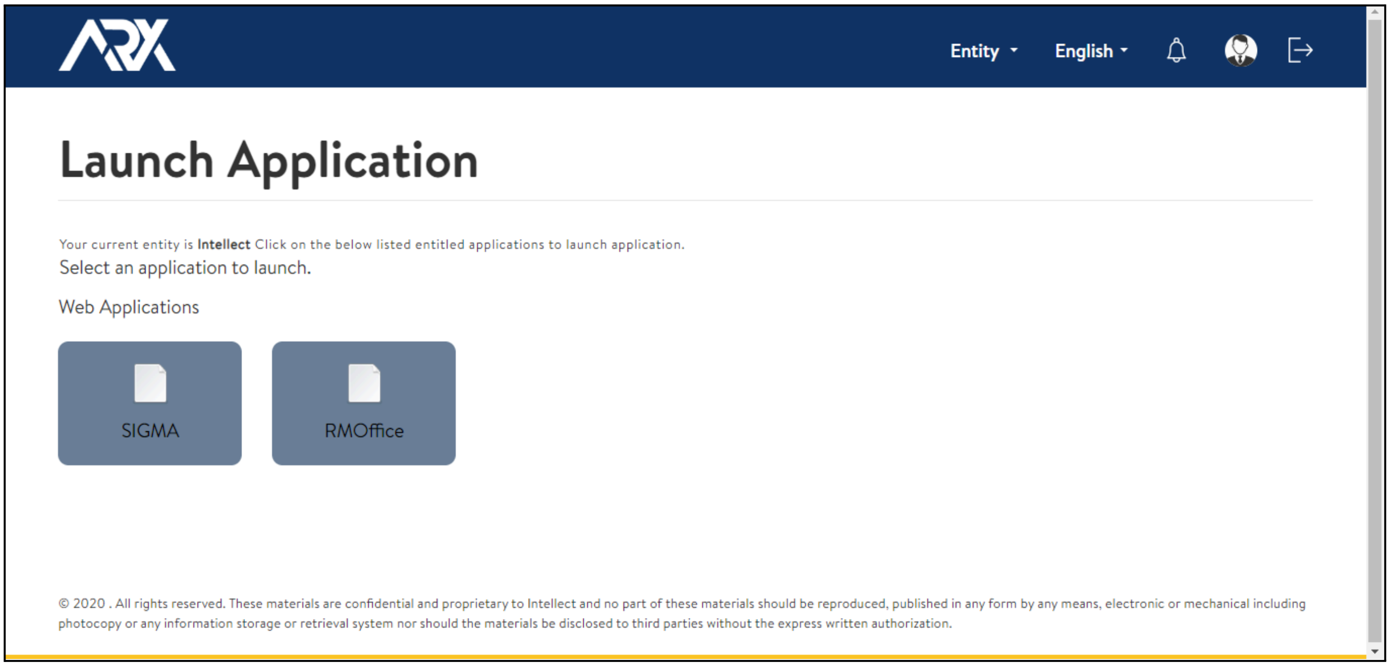
4. Process Flow

4.1. Login

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

Screen: Login to the application

2. Once logged in, they click on “RM Office”

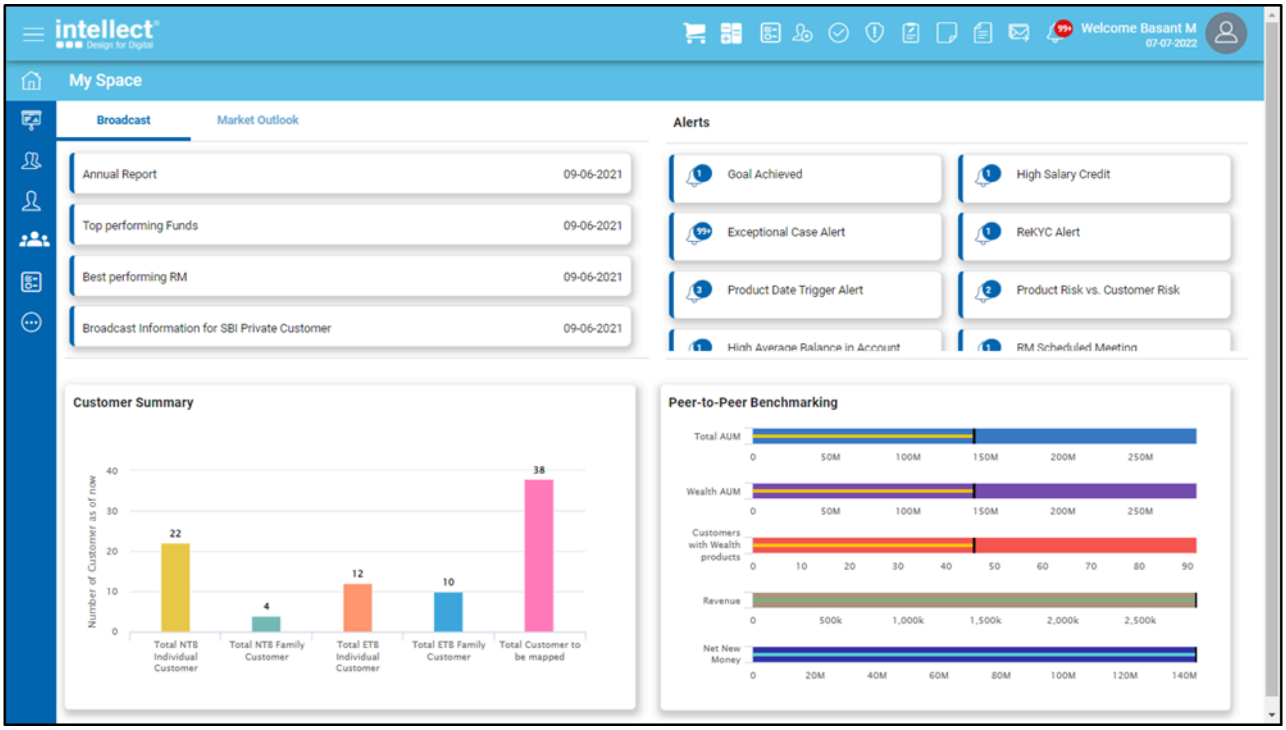


Screen: Select RM Office

4.2. My Space

My Space is the landing page for the RM once they log into the system. It is designed in a way that it provides the RM a summary/snapshot view of their business activity, critical alerts that needs the RM's attention, information that HQ/Branch would like to them to know along with information regarding Market Outlook, and allow them to benchmark their performance against peers in the same region

1. On this screen, the RM can view the following sections:
   a. Broadcast and Market Outlook
   b. Alerts
   c. Customer Summary
   d. Peer-to-Peer Benchmarking

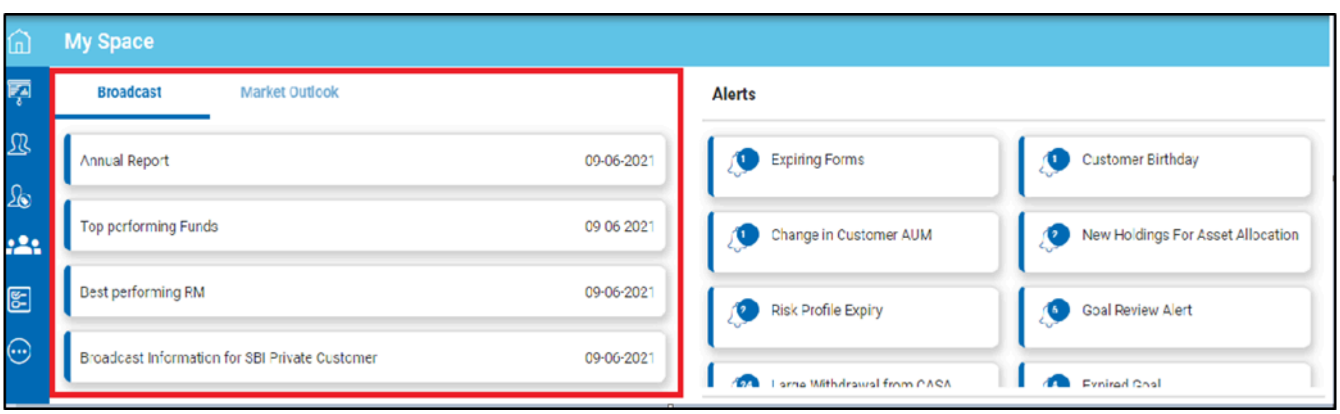


Screen: My Space

4.2.1. Broadcast and Market Outlook

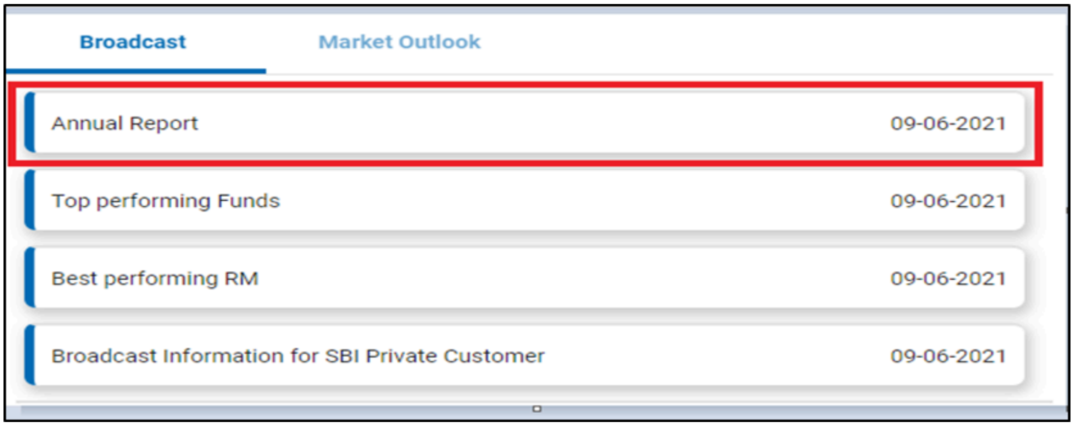
Broadcast*:* This displays notifications that the HQ/Branch would like to publish or broadcast to their RMs. These notifications can be New Research Reports, Product Brochures, New Educational material, Upcoming Religious holidays, New Regulatory information etc. The Broadcast will appear as a link for the RM along with the date on which these Broadcast has been published. System displays the most recent Broadcast on top. RM can click on the link to download the respective notification. System provides a scroll functionality through which active back dated Broadcasts can also be viewed

Market Outlook*:* This widget will display all the daily market related notifications/broadcasts that HQ/Branch sends across to the RM on a daily basis. RM would like to start their day by knowing - the latest market updates or trends that will be beneficial for them in their customer interactions. Like Broadcast, Market Outlook will also appear as links along with the date on which these market outlooks have been published. System displays the most recent market outlook notification on top of the screen. System provides a scroll functionality through which active back dated Market outlook notifications can also be viewed



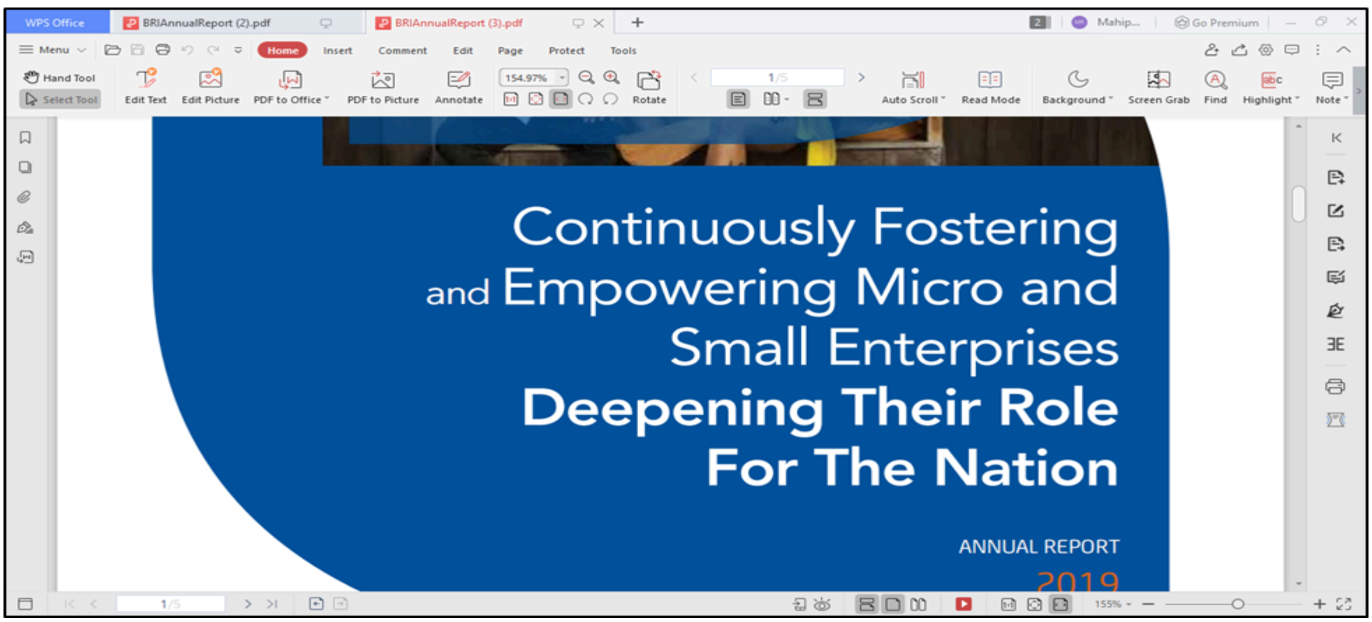
Screen: Broadcast and Market Outlook

1. By default, the Broadcast tab is selected. The RM can view the list of broadcasts that have been shared



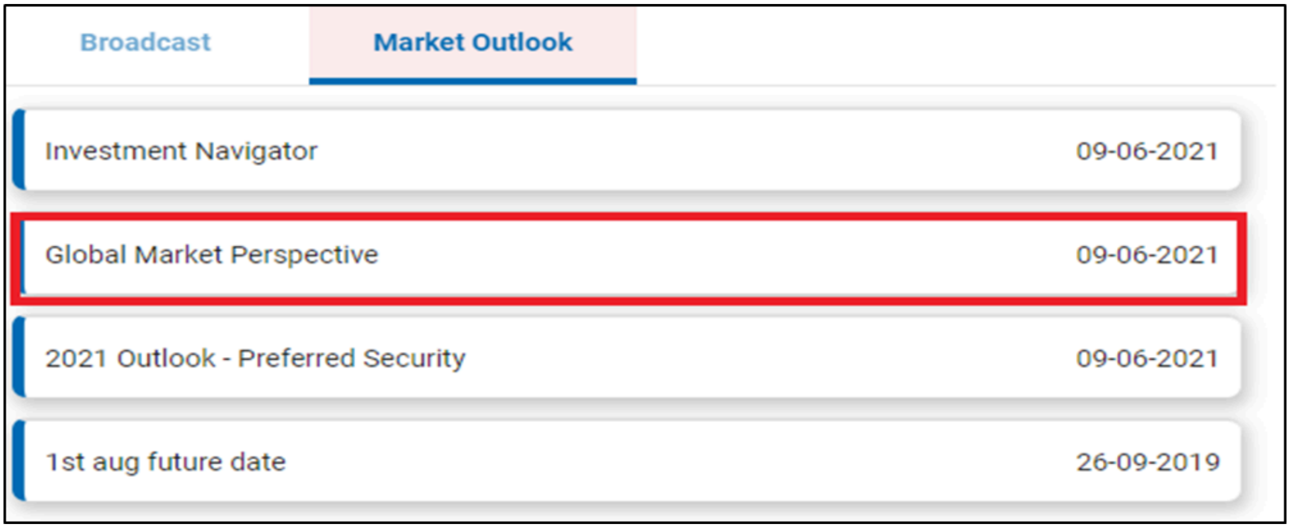
Screen: Broadcast

2. The RM can click on any broadcast line item to download and view the same

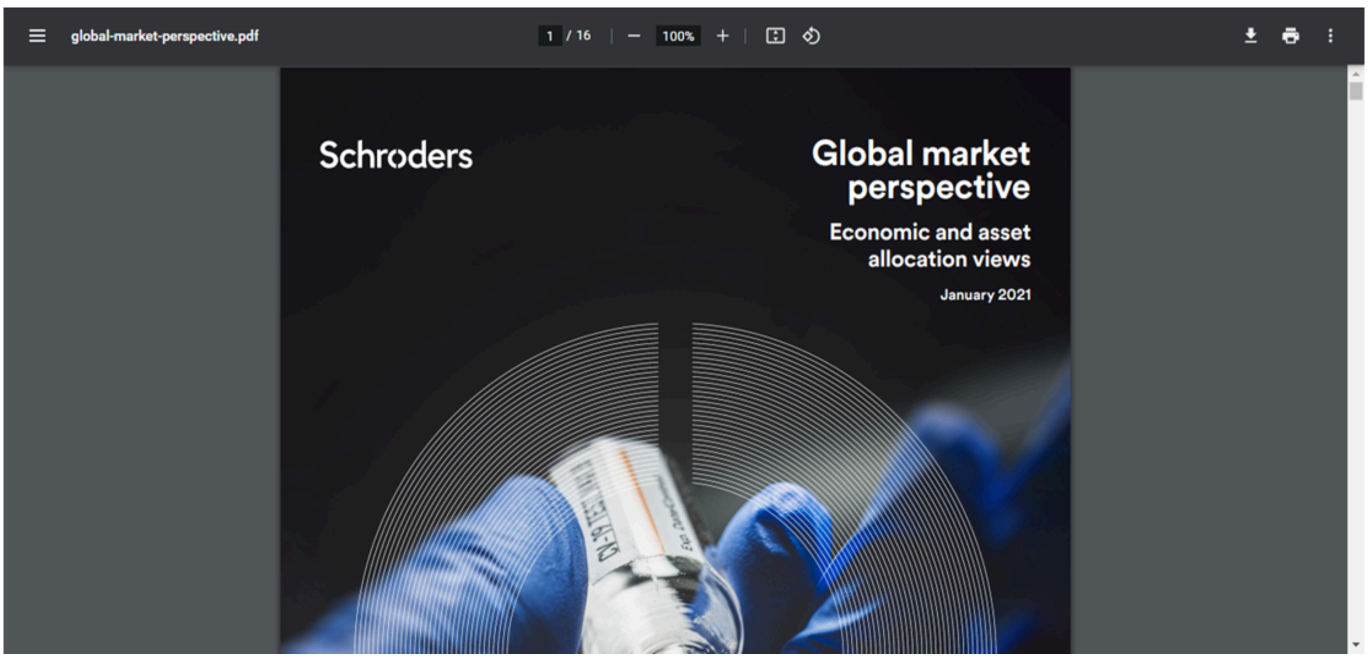


Screen: Download and View Broadcast

3. They can click on any Market Outlook shared to download it and view the same



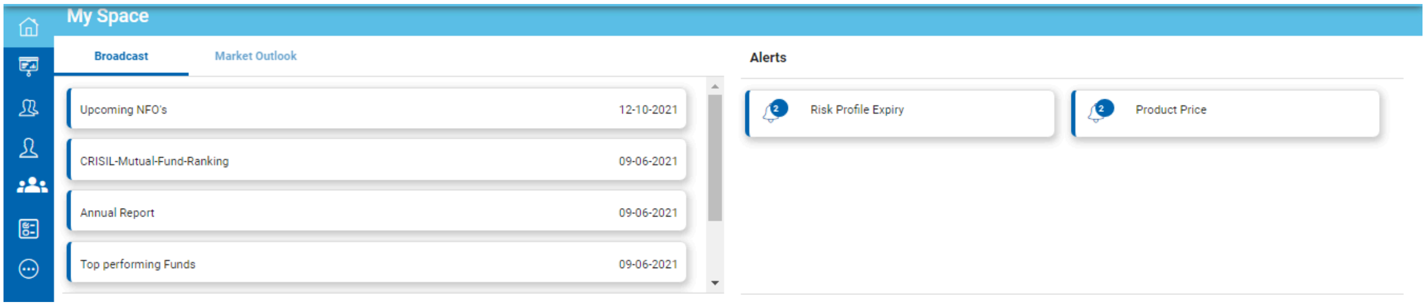
Screen: Market Outlook



Screen: Download and View Broadcast

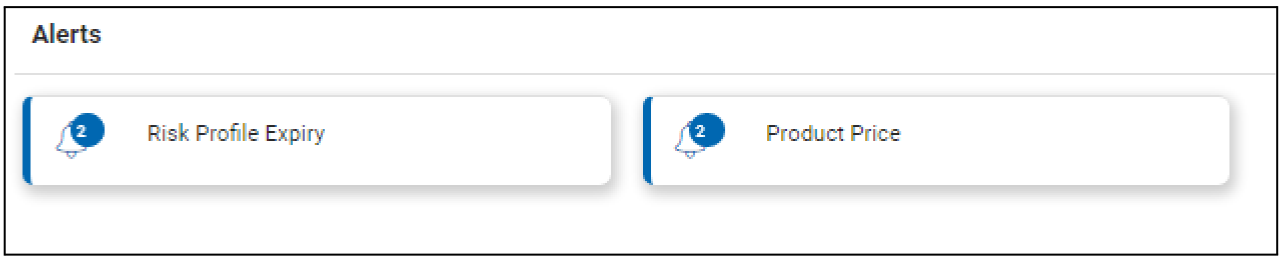
4.2.2. Critical Alerts

This section shows the list of all the critical alerts grouped under various alert types such as Risk Profile expiry, Product Maturity, Change in Customer AUM etc (criticality can be defined in the alert maintenance, discussed in the Journey of Defining Maintenances document). The number on the alert icon suggests total number of alerts generated for that alert type for the customers mapped to RM. Once the RM clicks on a particular icon i.e. an alert of a particular type e.g. Risk Profile Expiry, system takes the RM to the alert workspace where they can see all Risk Profile Expiry alerts that have been generated for different customers



Screen: Alerts

1. The RM can click on any alert type in this section to view details of all the alerts under that alert type



Screen: Click on Alert Type

2. RM views the list of all alerts generated for the alert type for the customers mapped to them. Alert card displays the below details
   a. Alert Status
   b. Alert Date of Generation
   c. Alert Category
   d. Alert Sub Category
   e. CIS/CIF
   f. Customer Name
   g. Priority
   h. Description
   i. Count of total number of alerts generated for the customer

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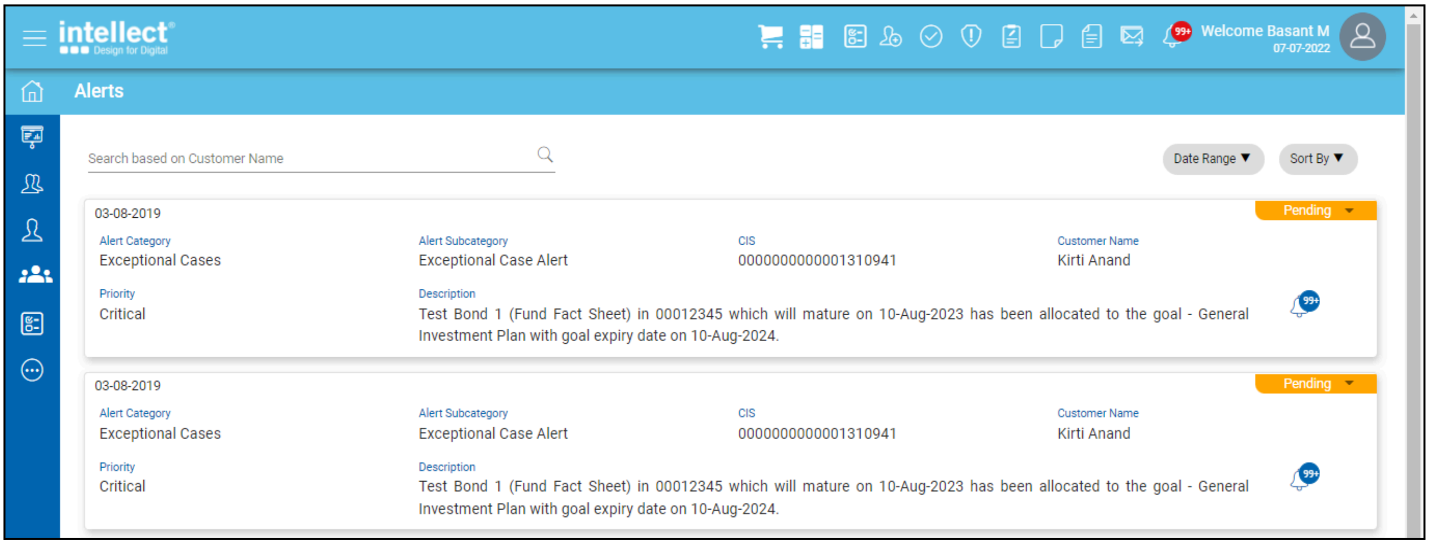
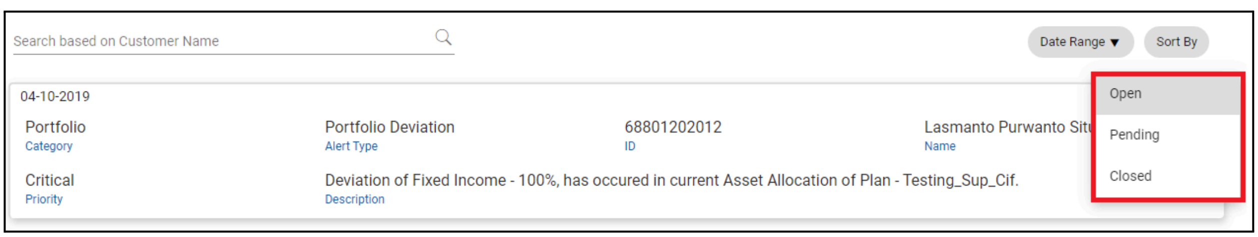


Screen: All Alerts generated for the Selected Alert Type

3. Alert Status: On the alerts card in the top right corner, system displays the status of the alert. System has following alert statuses:
    a. Open
    b. Pending
    c. Completed

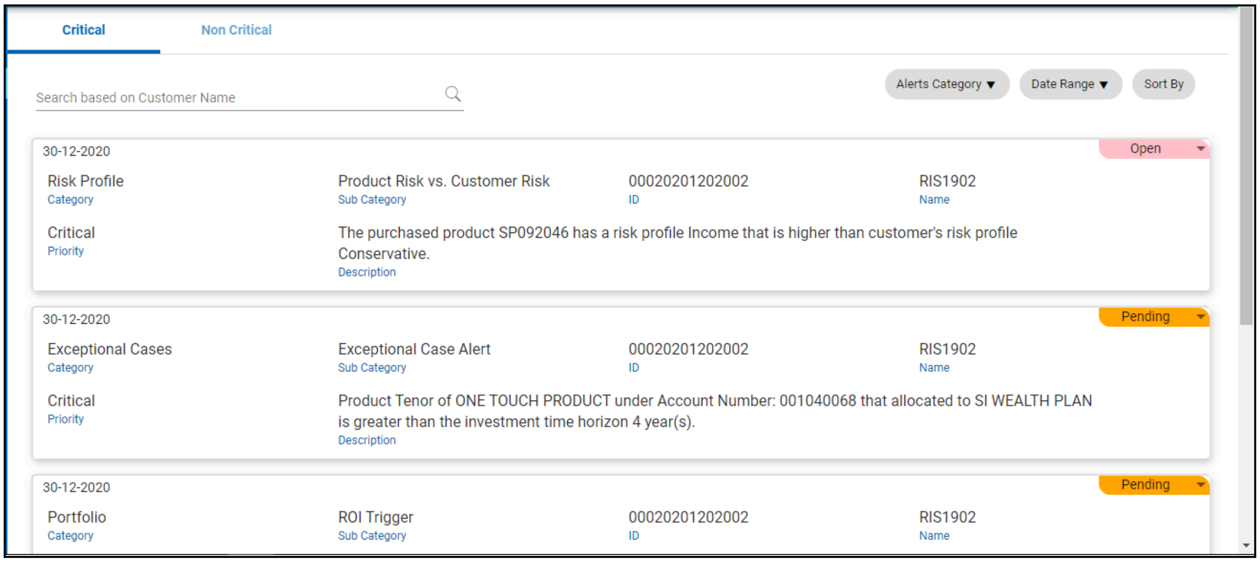
4. The RM can acknowledge the alert generated by the system by changing the status from Open to Pending

5. Once the RM has tended to an alert, they can change the status of the alert from Pending to Completed to indicate that a specific alert has been attended to and the system will save the new status of the alert. The closed alerts will not be shown in the system



Screen: Changing the Status of Alerts

6. If the RM wants to view all the different types of alerts generated for the customer, they can click on the bell icon present on the bottom right corner to view the alerts workspace of the customer



Screen: View Alerts generated for Customer

4.2.3. Customer Summary

This section shows the RMs a comprehensive summary related to the customers mapped to them on the following parameters:

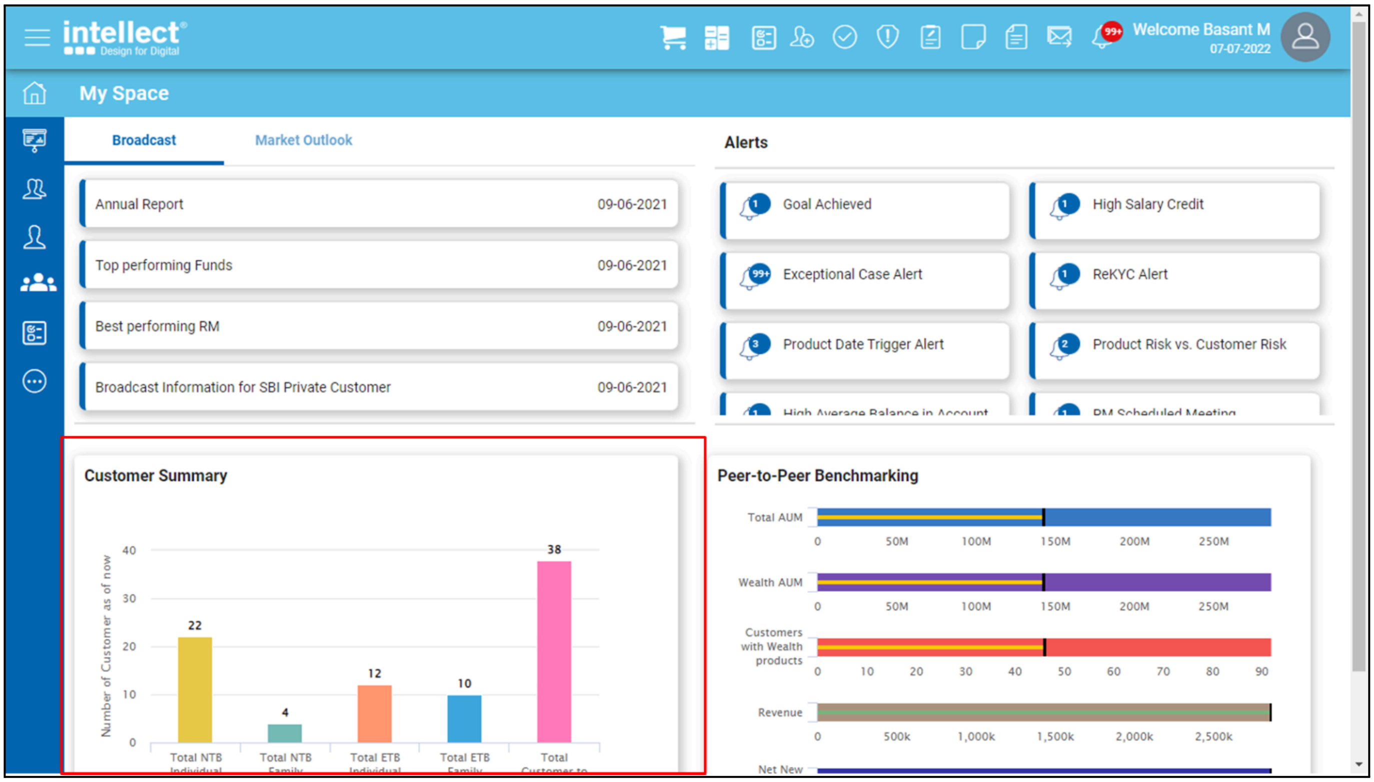
a. Total NTW Individual Customers – Total Number of NTW (New to Wealth) Individual Customers mapped to the RM as on date

b. Total NTW Family Customers- Total Number of NTW (New to Wealth) family Customers mapped to the RM as on date

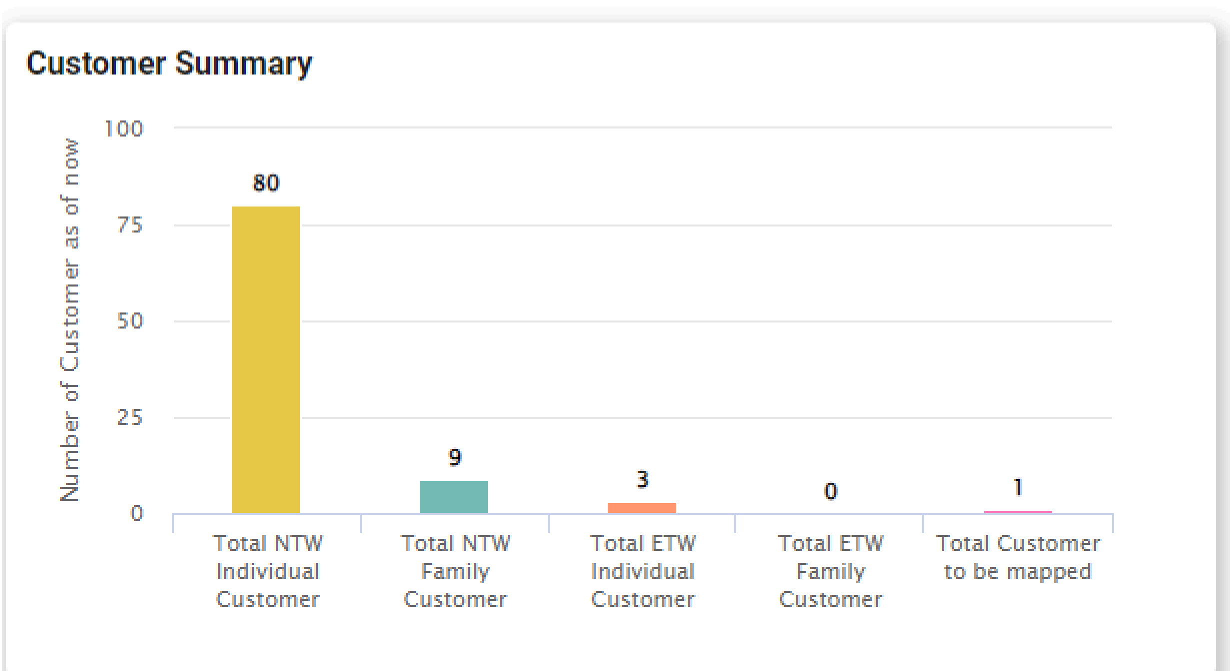
c. Total ETW Individual Customers-– Total Number of ETW (Existing to Wealth) Individual Customers mapped to the RM as on date

d. Total ETW Family Customers- Total Number of ETW (Existing to Wealth) Family Customers mapped to the RM as on date

e. Total Customers to be mapped- Total number of customers tagged to the RM with their respective client categories yet to be selected by the RM as on date



Screen: Customer Summary



Screen: Customer Summary

4.2.4. Peer-to-Peer Benchmarking

This section shows the RMs their performance as compared to all the other RMs in their circle on the following parameters:

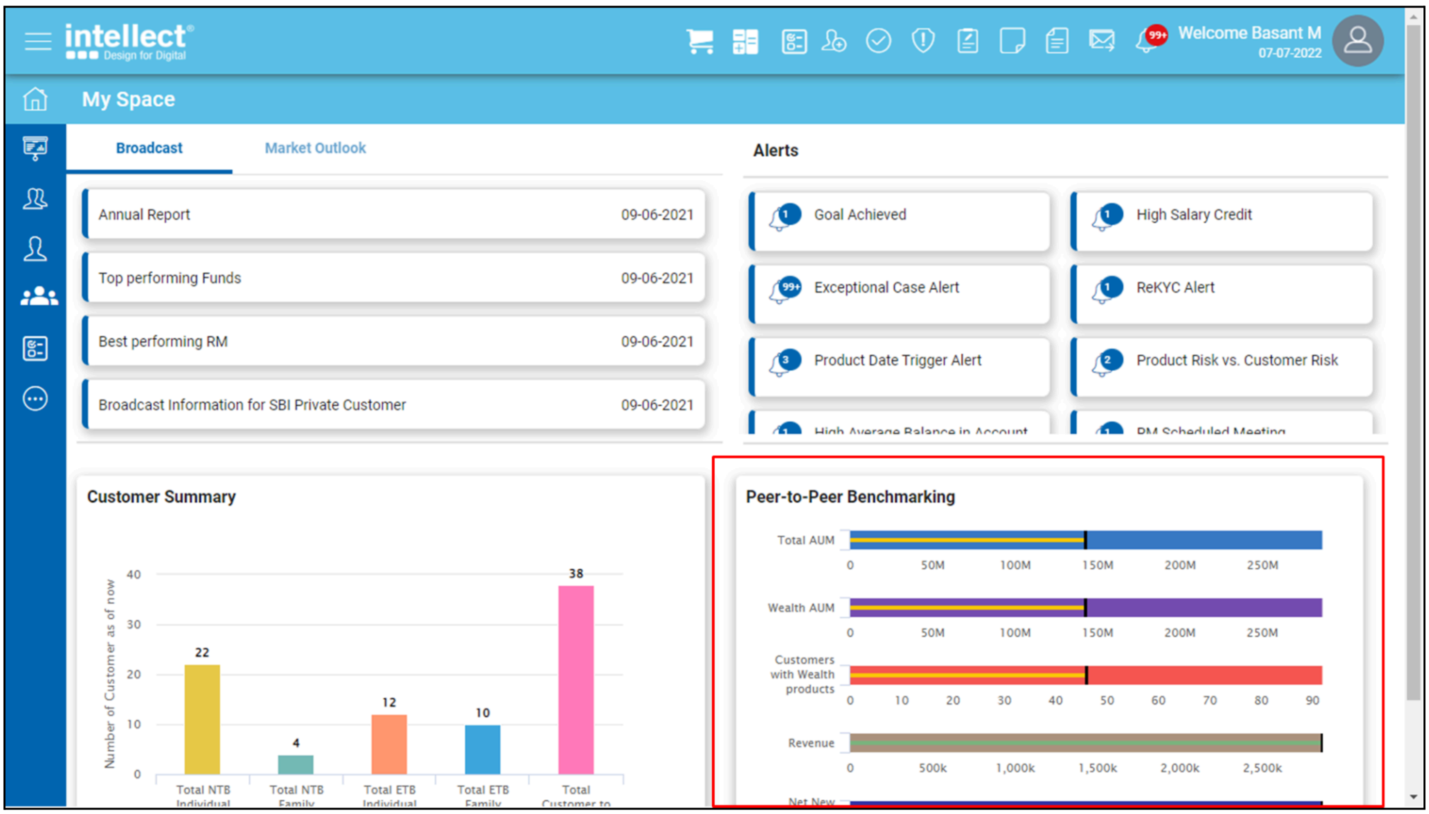
a. Total AUM – Total holdings value of all products held by all the customers mapped to the RM

b. Customers with Wealth Products – Count of Customers with Insurance, Investment or both products mapped to the RM

c. Revenue – Revenue generated by all the customers mapped to the RM

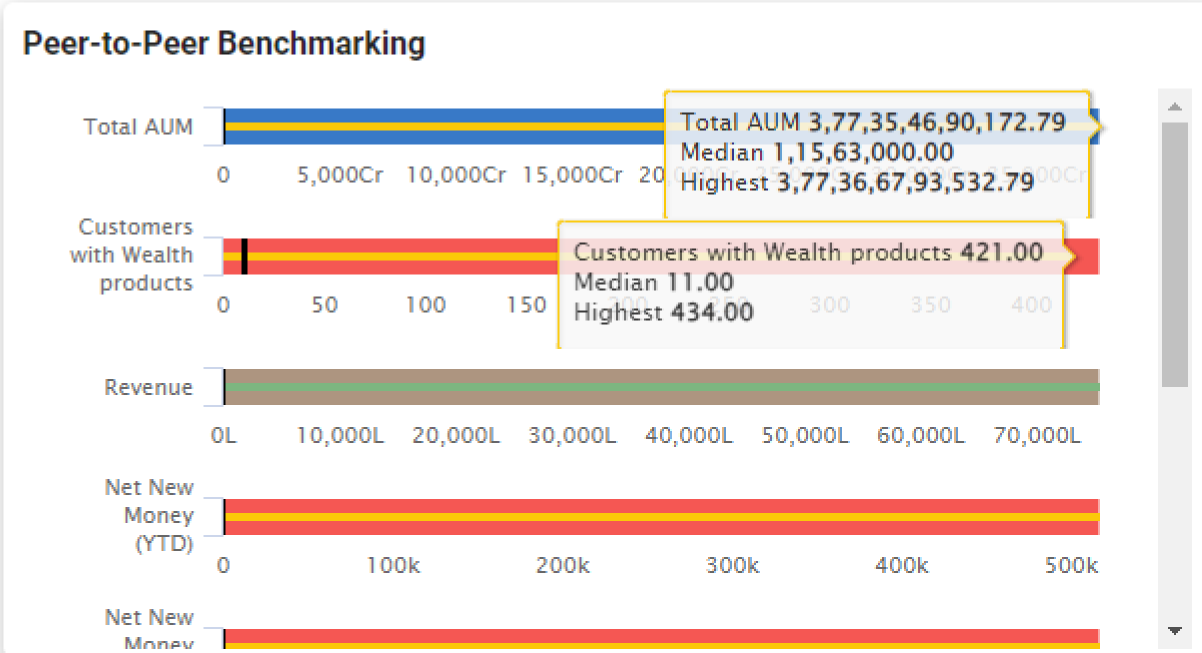
d. Net New money - Net new money (Inflows – Outflows) brought in for all the customers mapped to the RM

Data that is being displayed in the Peer-to-Peer benchmarking widget is as on current date



Screen: Peer-to-Peer Benchmarking

1. The RM can hover over any graph to view their performance details in that category, the median value for all the RMs in their circle, and the highest value by an RM for that metric in their zone



Screen: Hover over Total AUM

4.3. My Space - Top Panel

The Top Panel shows the RM their name and current date along with their photo. Using the icons present in the top panel, the RM can navigate to the following screens:

a. **Systematic Plan Dashboard** – It displays the systematic plans of the customers mapped to the RM with the status of the orders

b. **Calculators** – The RM can use the calculators to plan for investments for their customers

c. **Order Book** – This screen shows the RM all the orders placed on behalf of the customers mapped to the RM with the status of the orders

d. **Calendar** – This screen shows the RM Calendar details. Here they can view their day-wise pending meetings, schedule meetings or file standalone call report

e. **Notes** – The RM can capture any ad hoc notes that they may want to refer to, or view their existing notes in this screen

f. **To-Do** – The RM can capture any items in their to-do list, or view the existing items that they have captured. Various details such as To-Do for, Priority, Start Date, and Description etc. can be saved/viewed here

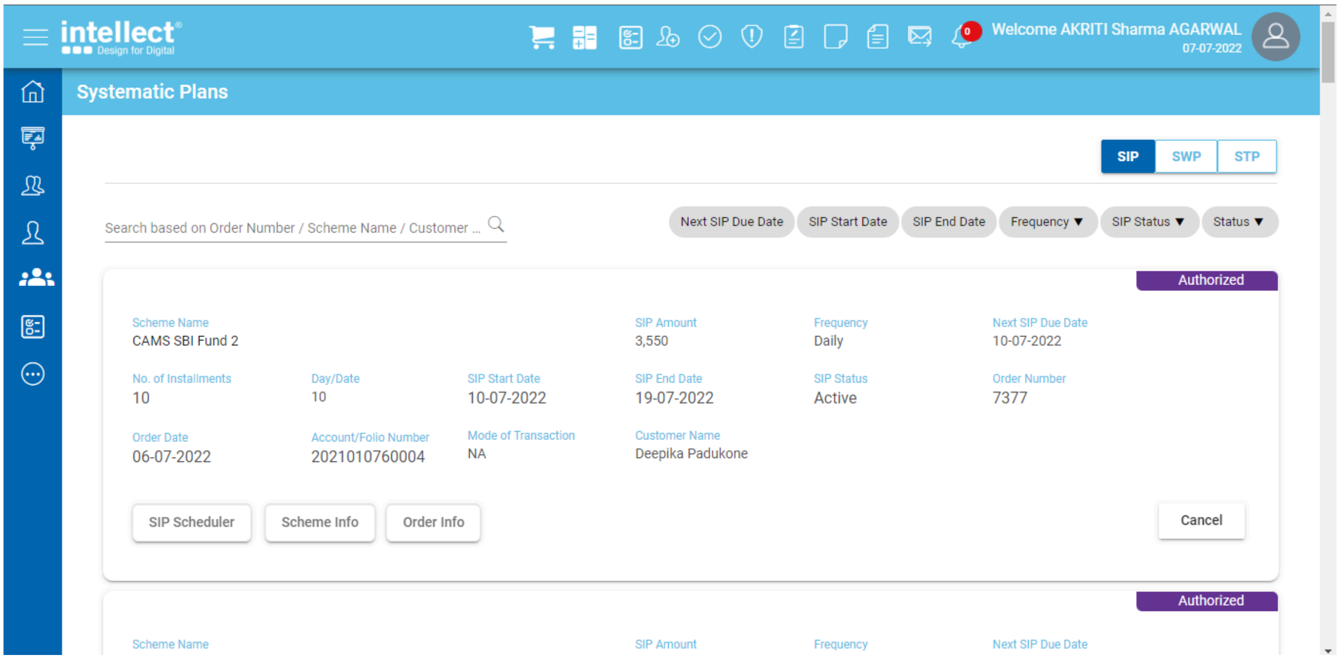
g. **Mail** – The Mail screen can be used by the RM to view the mails they have received in their inbox, the mails they have sent, send new mails and add/view their contacts. This is internal mail specific to RM Office and is not integrated with the office email of the RM

h. **Alerts** – The Alerts workspace allows the RM to view all the critical/non critical alerts generated by the system, and update the status of these alerts

Screen: Top Panel

4.3.1. Systematic Plan Dashboard

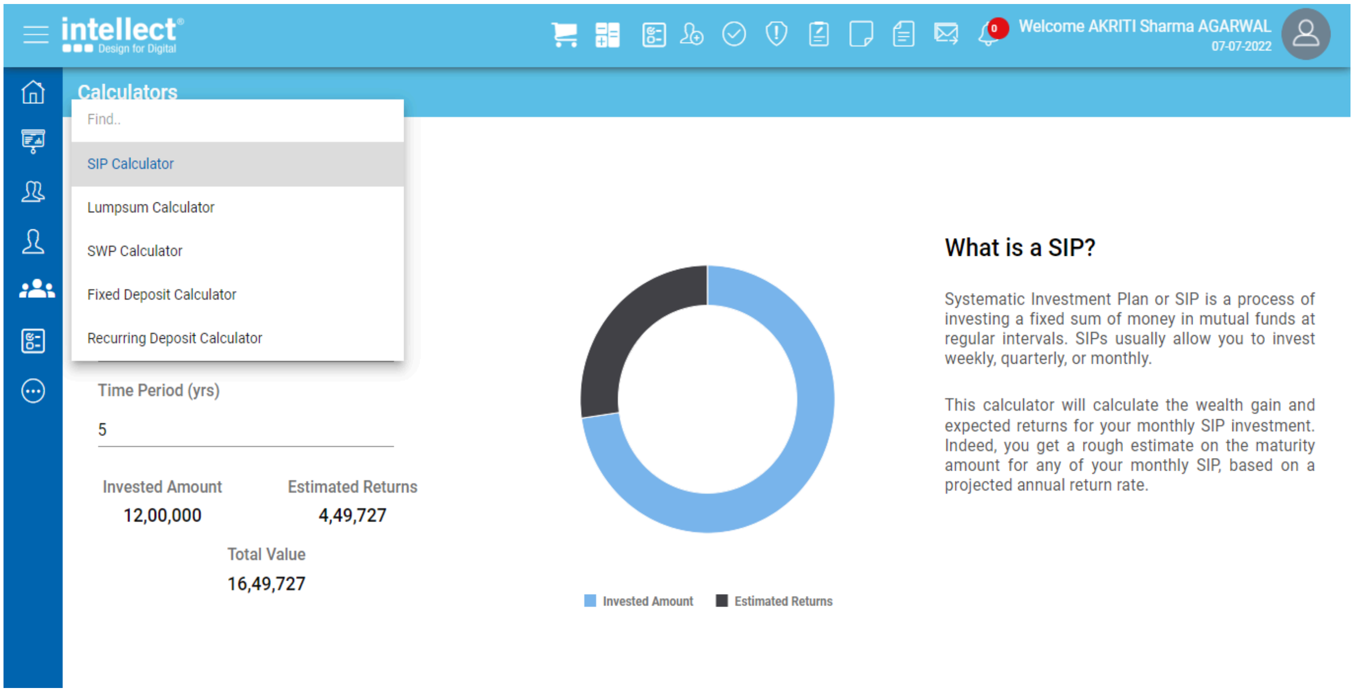
This will be covered as a part of Order Journey. Refer to "Journey from Order Placement till Settlement" document for more details



Screen: Systematic Plan Dashboard

4.3.2. Calculators

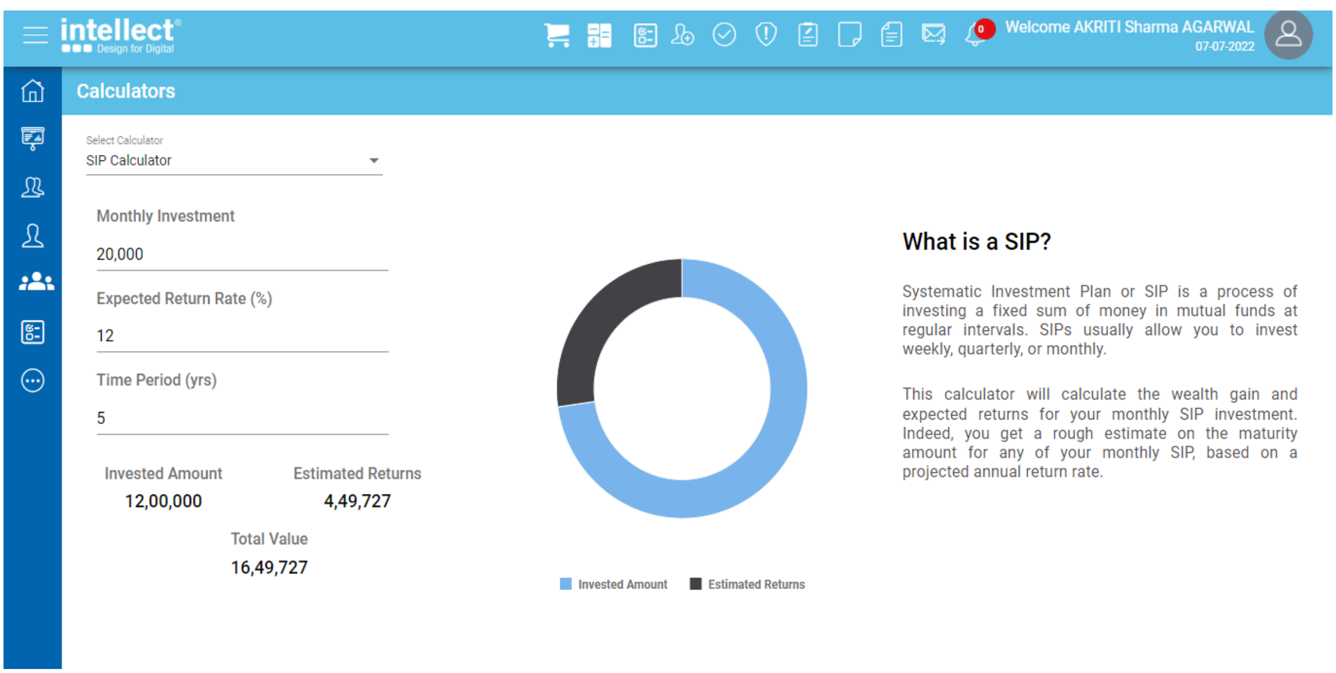
The RM can navigate to the calculator to find the amount to calculate the Investment, Returns and Corpus for various modes of Investments like SIP, SWP etc. They can also calculate what the corpus of a customer will be if they invest in FDs, RDs etc.



Screen: Calculators

4.3.2.1.1. SIP Calculator

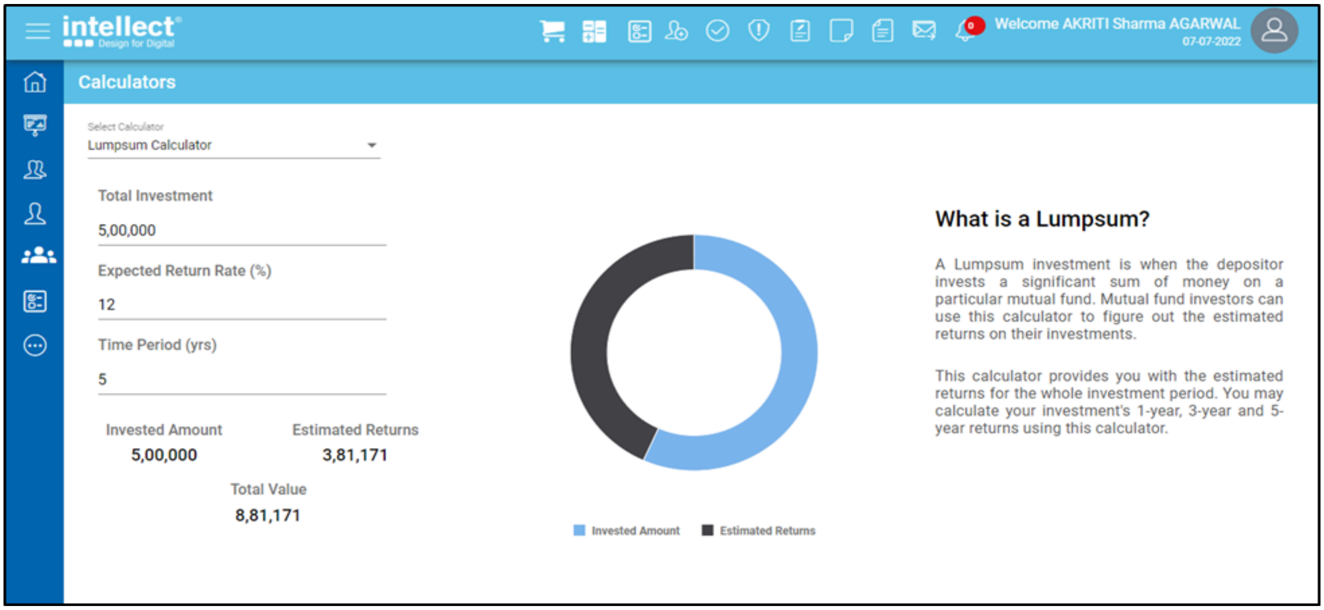
User inputs the Monthly Investment, Expected Rate of Return and Time Period. System displays the Invested Amount, Estimated Returns and Total Value



Screen: SIP Calculator

4.3.2.2. Lump sum Calculator

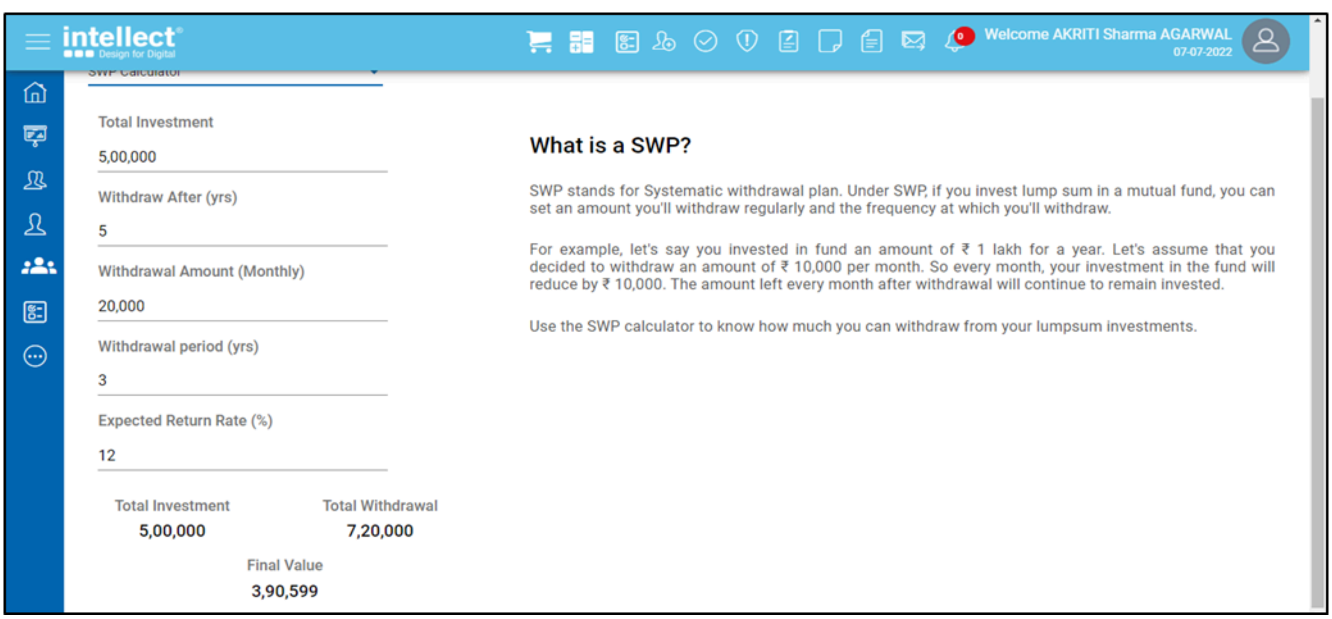
User inputs the Total Investment, Expected Rate of Return and Time Period. System displays the Invested Amount, Estimated Returns and Total Value



Screen: Lump sum Calculator

4.3.2.3. SWP Calculator

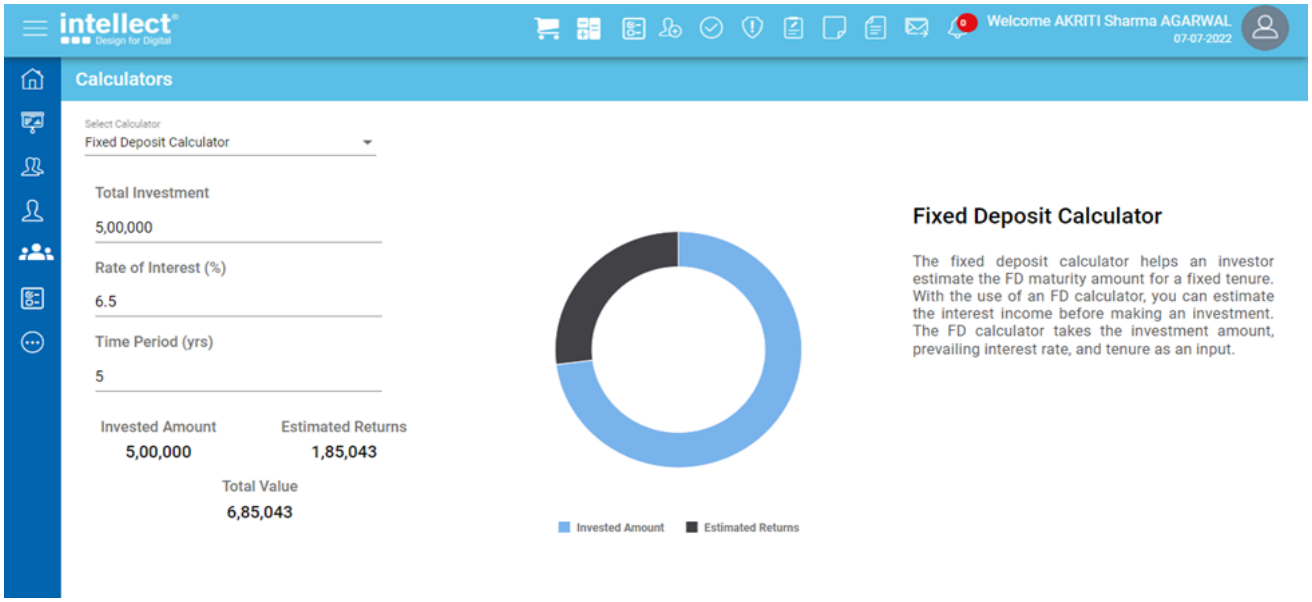
User inputs the Total Investment, Withdraw After (yrs), Withdrawal Amount (Monthly), Withdrawal Period (yrs) and Expected Rate. System displays the Total Investment, Total Withdrawal and Final Value



Screen: SWP Calculator

4.3.2.4. Fixed Deposit Calculator

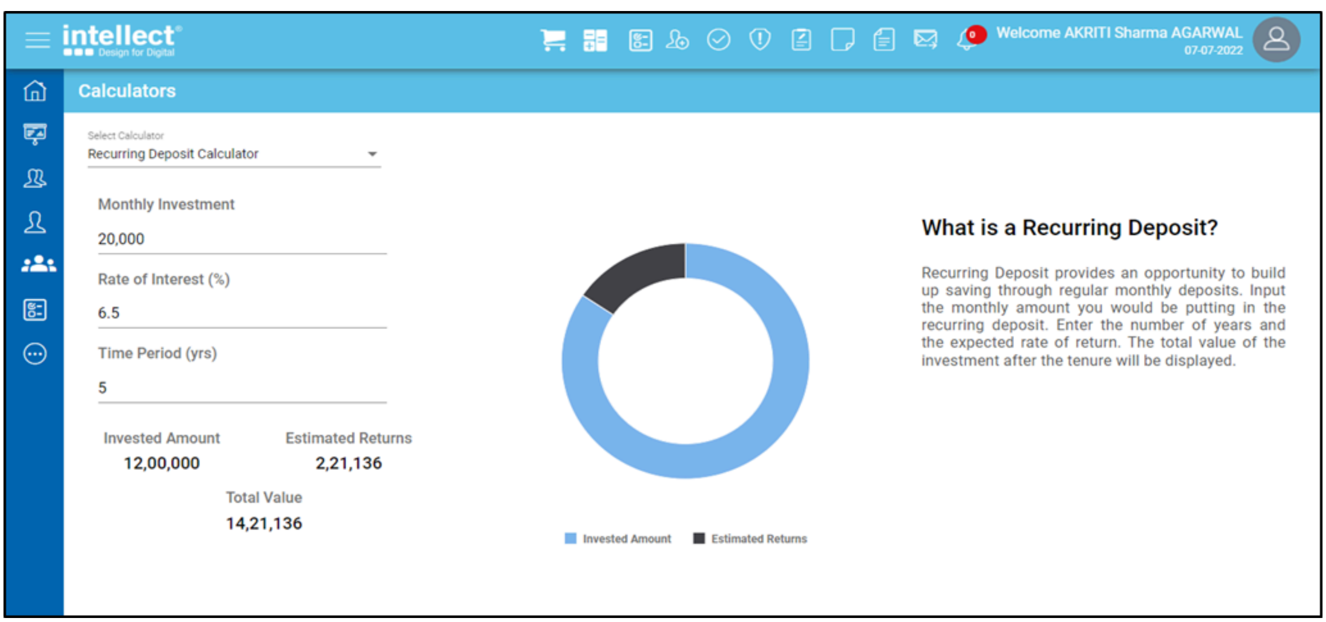
User inputs the Total Investment, Rate of Interest and Time Period (yrs). System displays the Invested Amount, Estimated Returns and Total Value



Screen: Fixed Deposit Calculator

4.3.2.5. Recurring Deposit Calculator

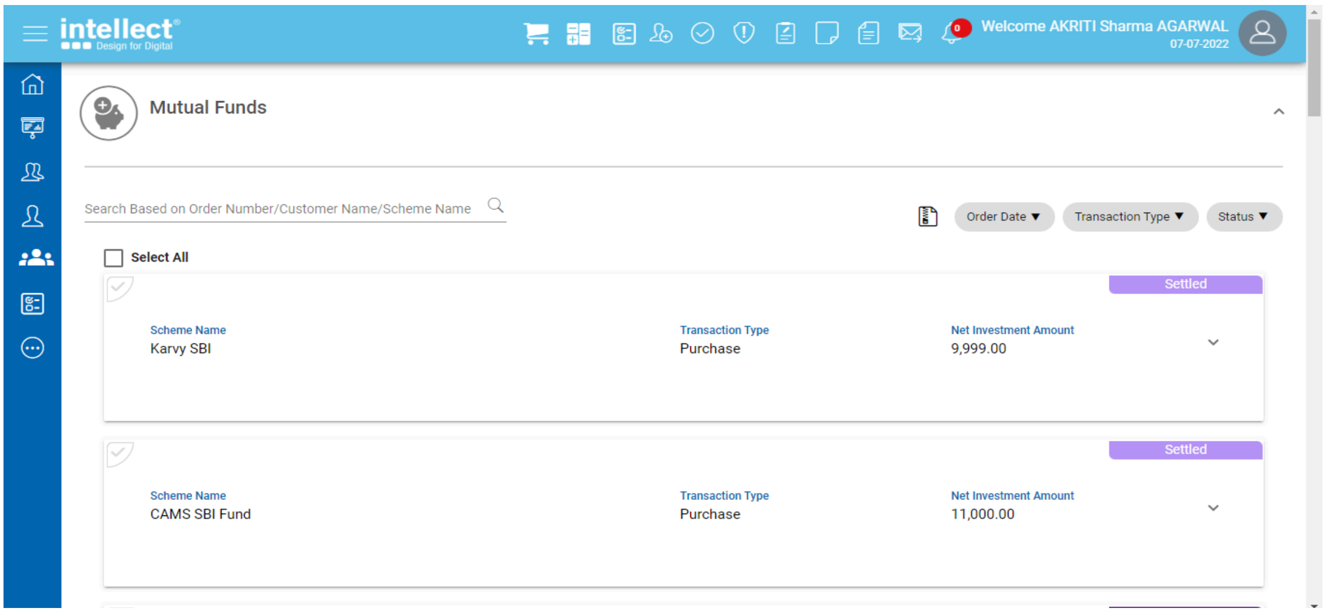
User inputs the Monthly Investment, Rate of Interest and Time Period (yrs). System displays the Invested Amount, Estimated Returns and Total Value



Screen: Recurring Deposit Calculator

4.3.3. Order Book

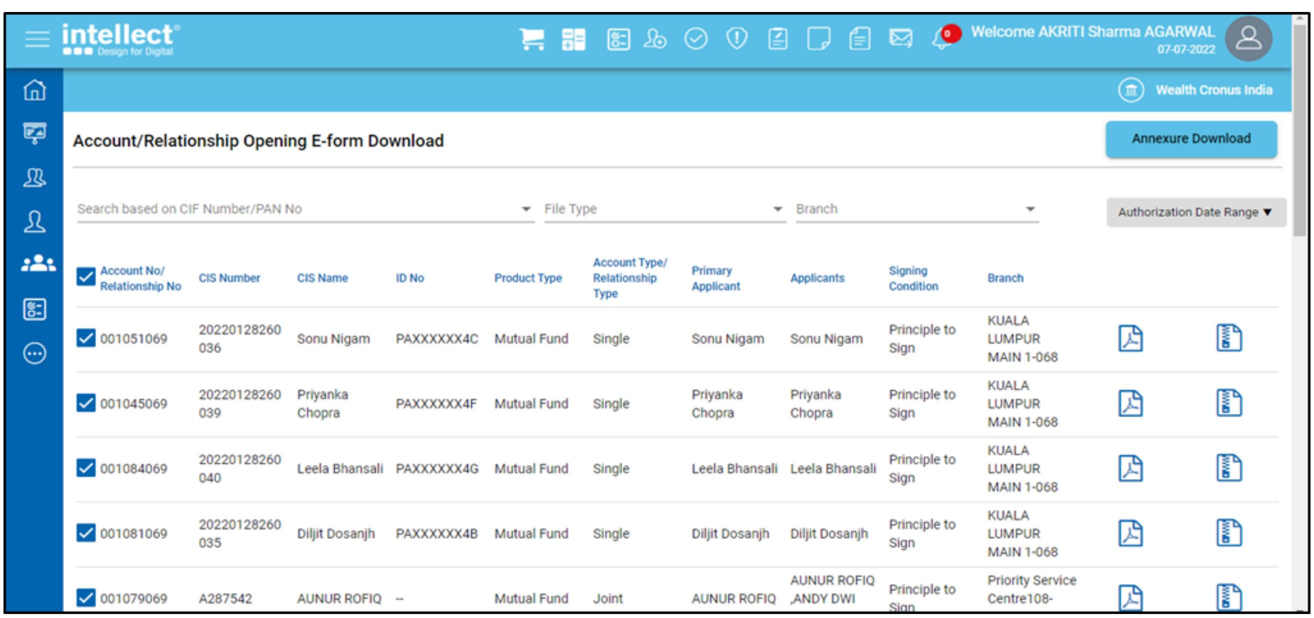
The RM can navigate to the Order Book screen by clicking on the “Order Book” widget on the top panel. This section is discussed in details in the “Journey from Order Placement till Settlement” documents



Screen: Click on Order Book

4.3.4. Account/Relationship Opening e form download

The RM can navigate to the account opening forms download screen by clicking on the “Account/ Relationship opening e form”



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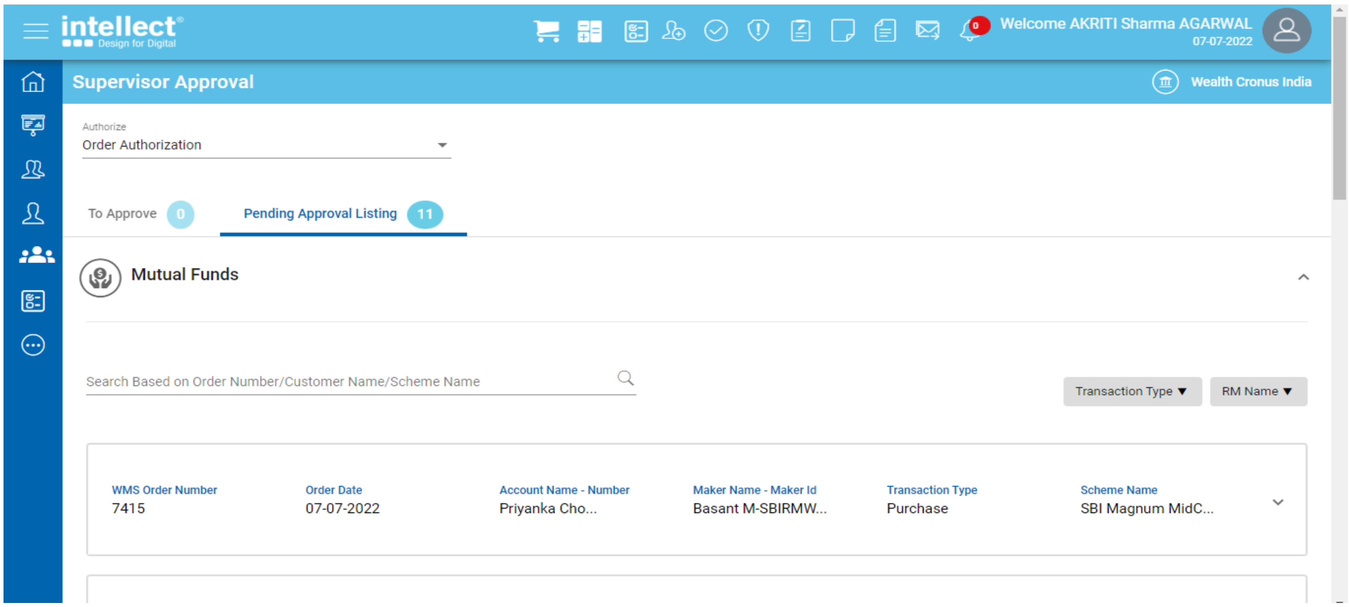
Screen: Click on Account/Relationship Opening e form download

4.3.5. Supervisor Approval

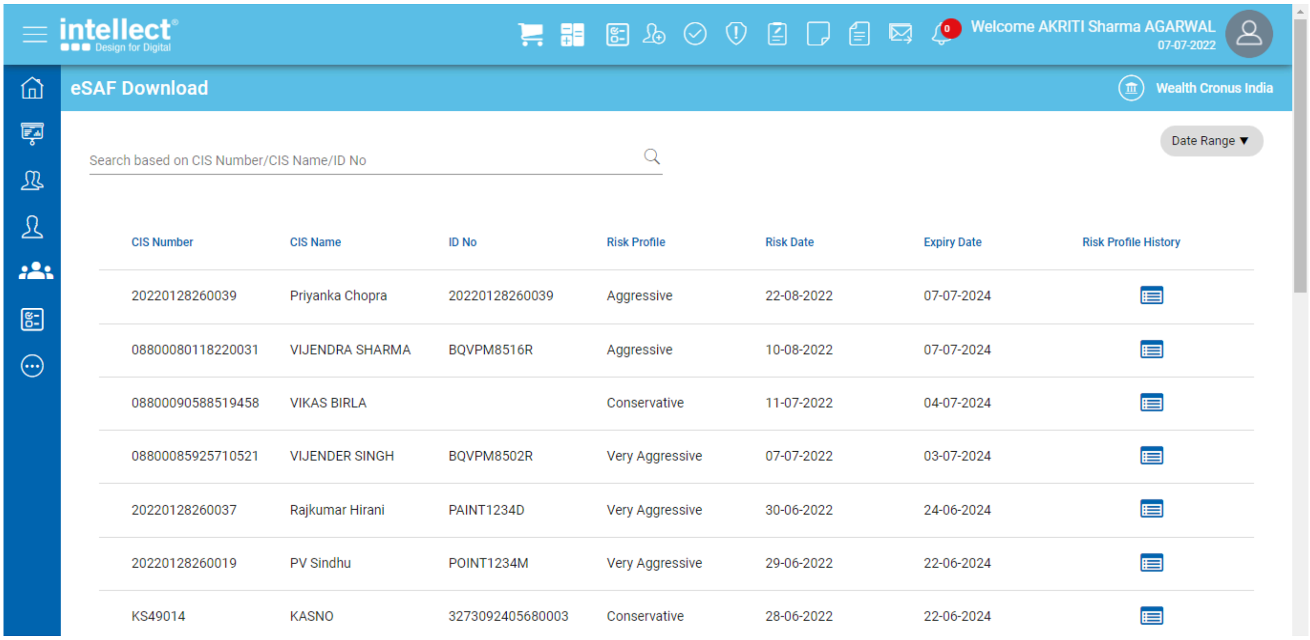
The Supervisor can navigate to the approval screen by clicking on the "Supervisor Approval" widget on the top panel. This section is discussed in details in each of the respective documents where an approval is needed from the Supervisor. It is available under the "Supervisor Approval" section



Screen: Click on Supervisor Approval

4.3.6. E SAF Download

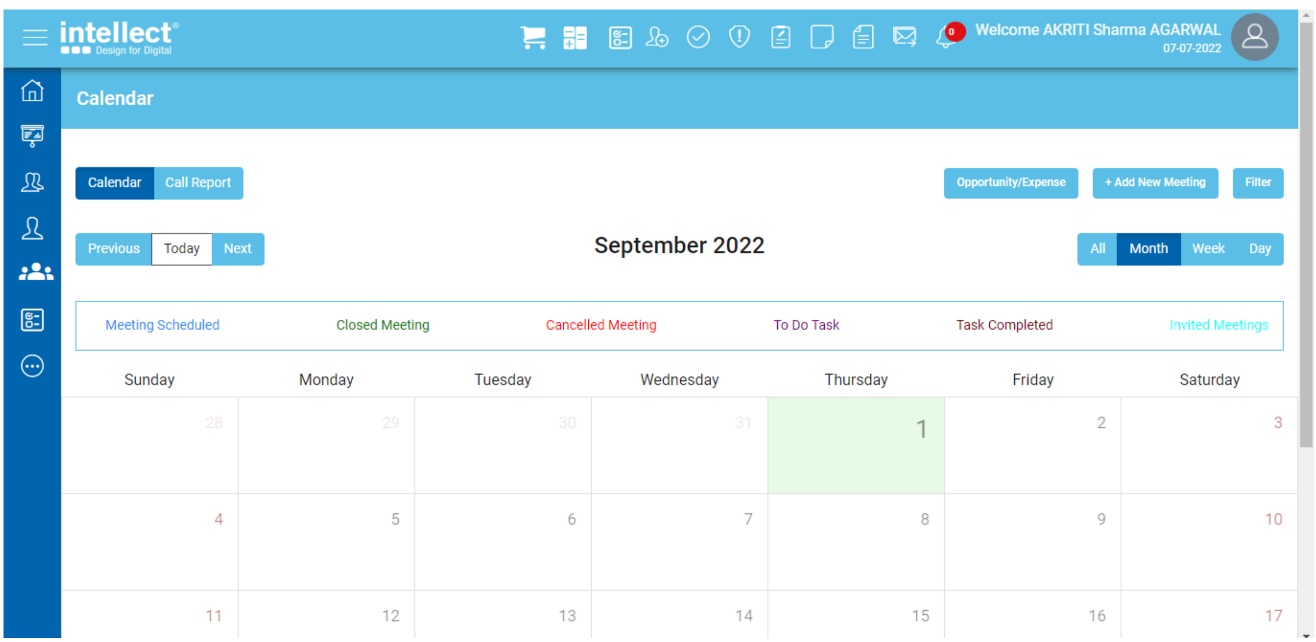
The RM can navigate to the ESAF download by clicking on the "ESAF download" widget on the top panel. This allows the RM to view the risk profile history of their customers



Screen: Click on E SAF Download

4.3.7. Calendar

The RM can navigate to the Calendar screen by clicking on the “Calendar” widget in the top panel. This section is discussed in details in the **“Journey of RM from Customer Meeting to Closure of Action Items”** document

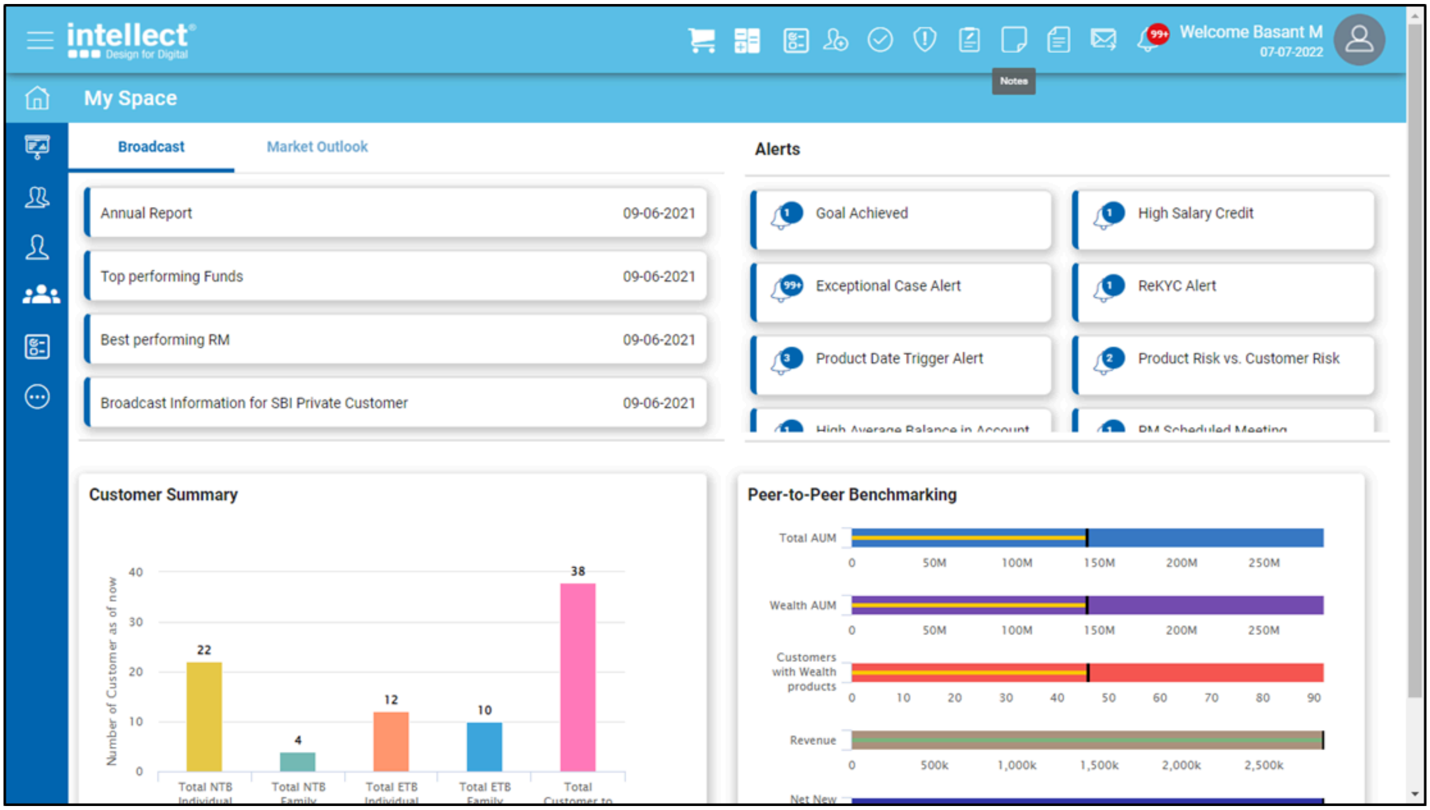


Screen: Click on Calendar

4.3.8. Notes

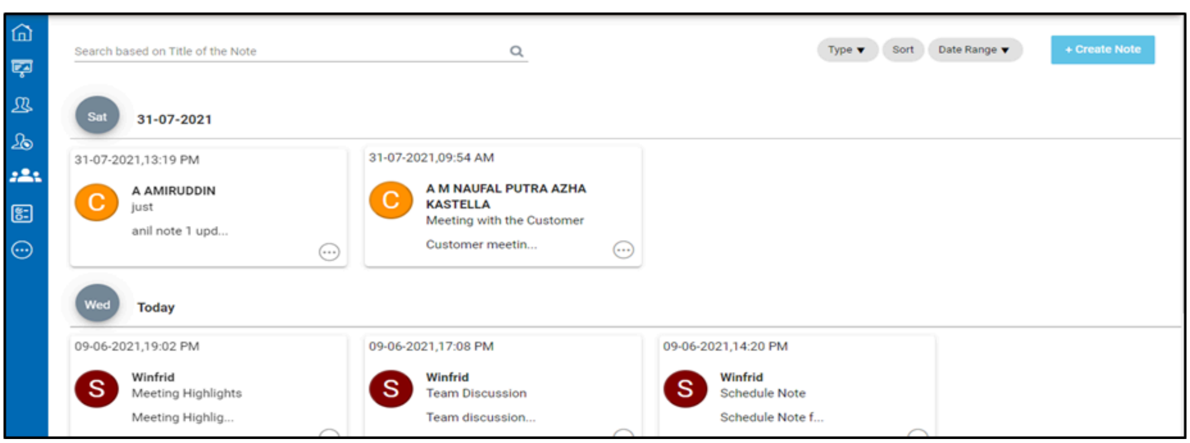
The Notes section allows the RM to capture customer, schedule or team related notes that they may refer back to later. The need for taking such notes may arise during team meetings, customer meetings etc.

1. The RM can navigate to the Notes screen by clicking on the “Notes” widget in the Top Panel



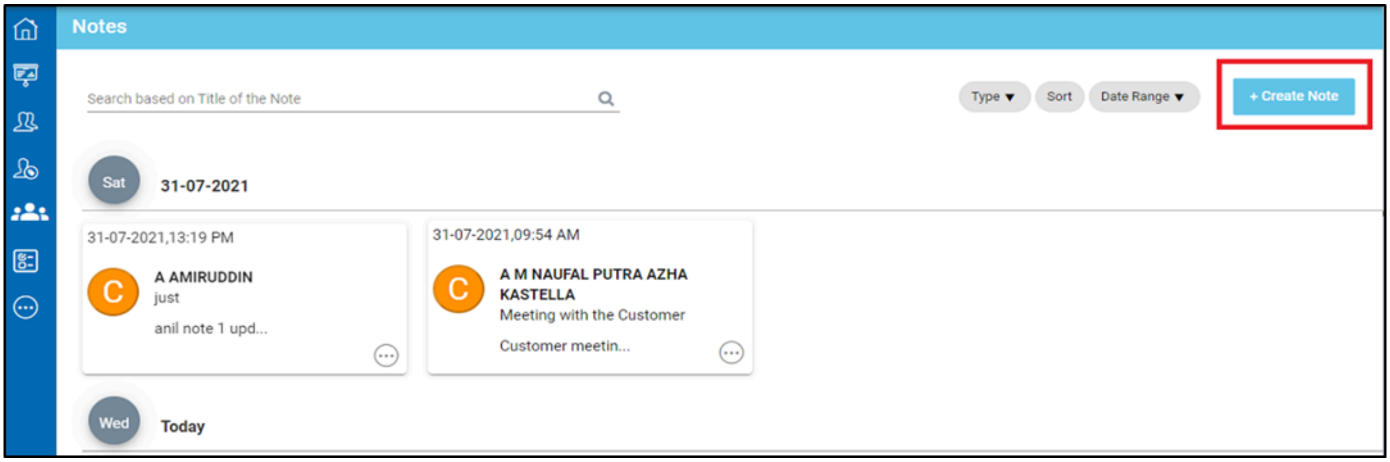
Screen: Click on Notes

2. On this screen, the RM can view their existing notes which are sorted date-wise(newest first), and can create new notes



Screen: Notes

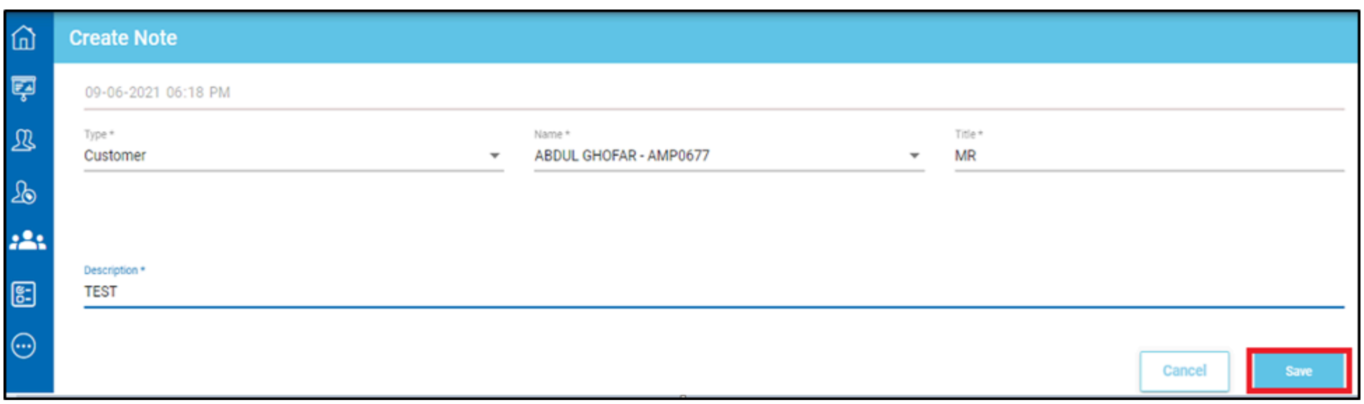
3. The RM can navigate to the Create Note screen by clicking on the “Create Note” button



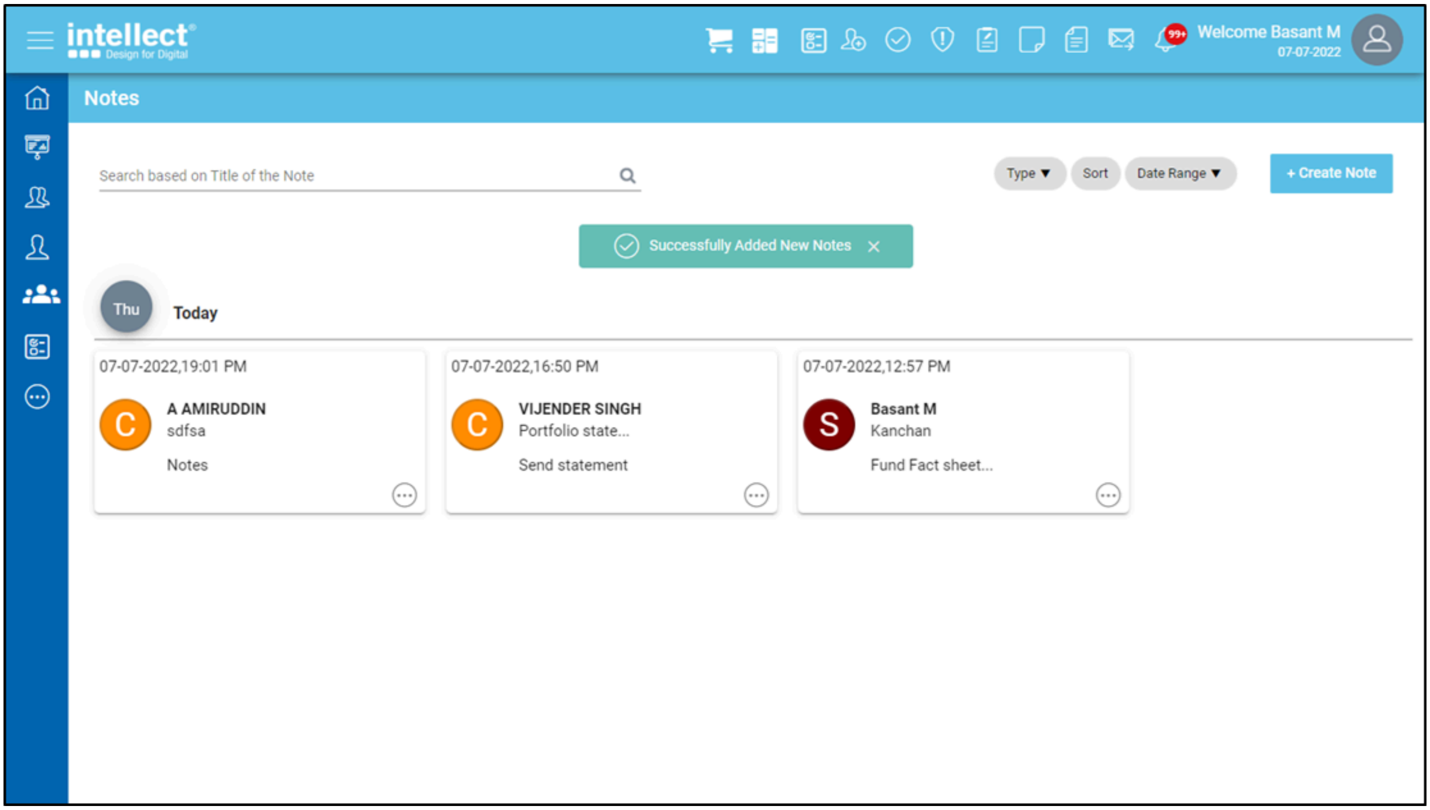
Screen: Click on Create Note

4. In the Create Note screen, the RM can enter the relevant details mentioned below:
    a. Type – Notes can be made for self, customer and team
    b. Name – Name of the customer or team member
    c. Title – Title of the notes
    d. Description – Description of the notes

5. RM clicks on the "Save" button to save the Notes

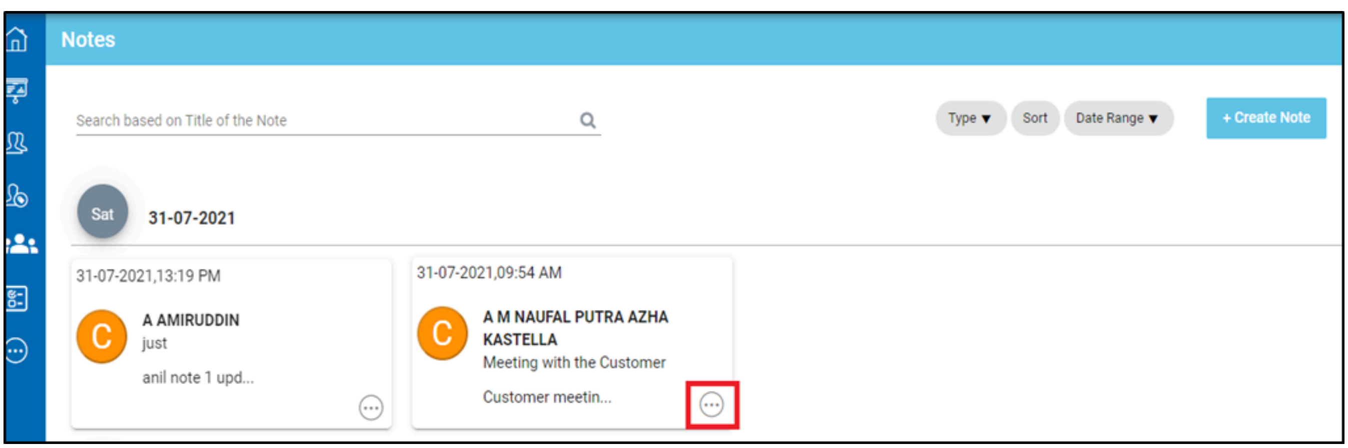


Screen: Enter details and click on save



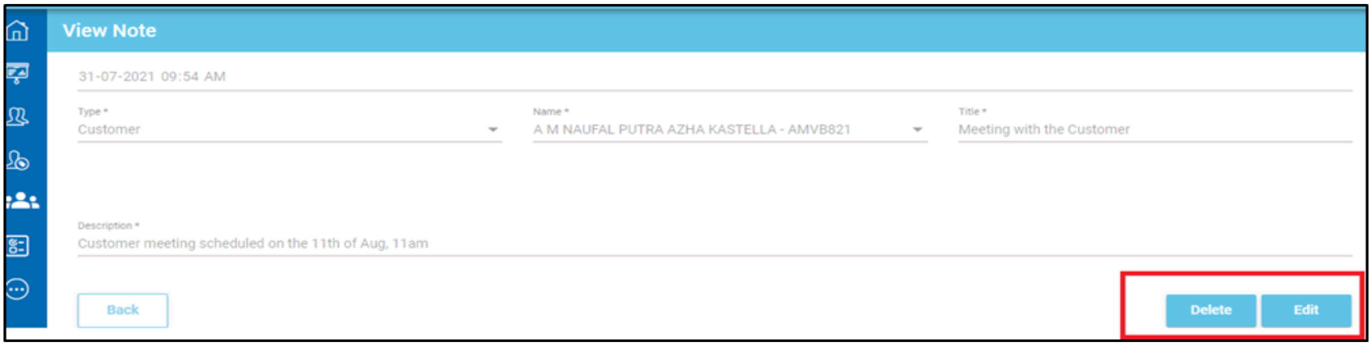
Screen: Note successfully saved

6. If the RM wants to view an existing note, they can do so by clicking on the “Three Dots” button in the note card



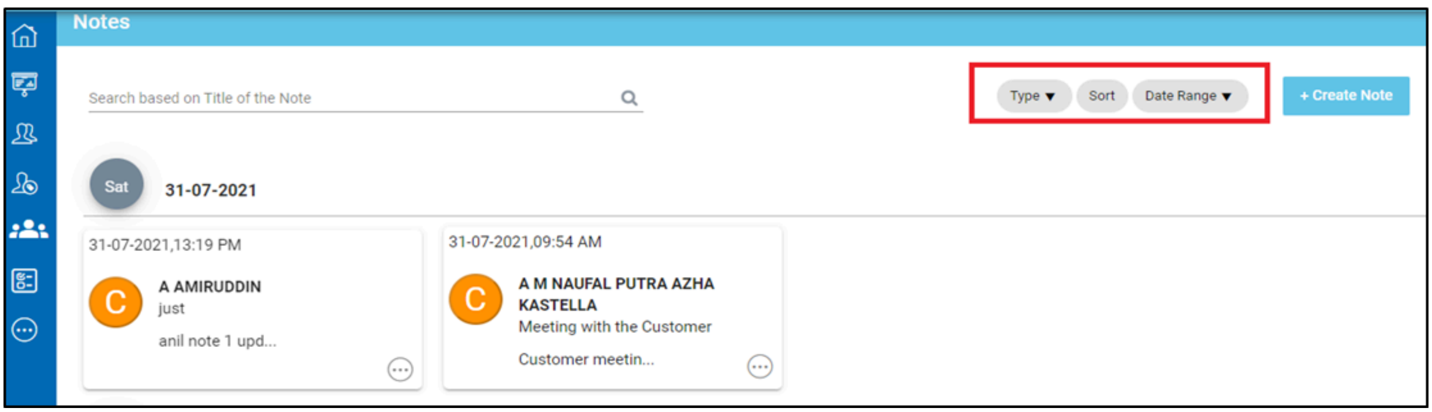
Screen: Click on Three Dots

7. In the View Note screen, the RM can view the existing details, edit the details or delete the note



Screen: View Note

8. The RM can filter out Notes by Type and Date-Range, and sort the Notes

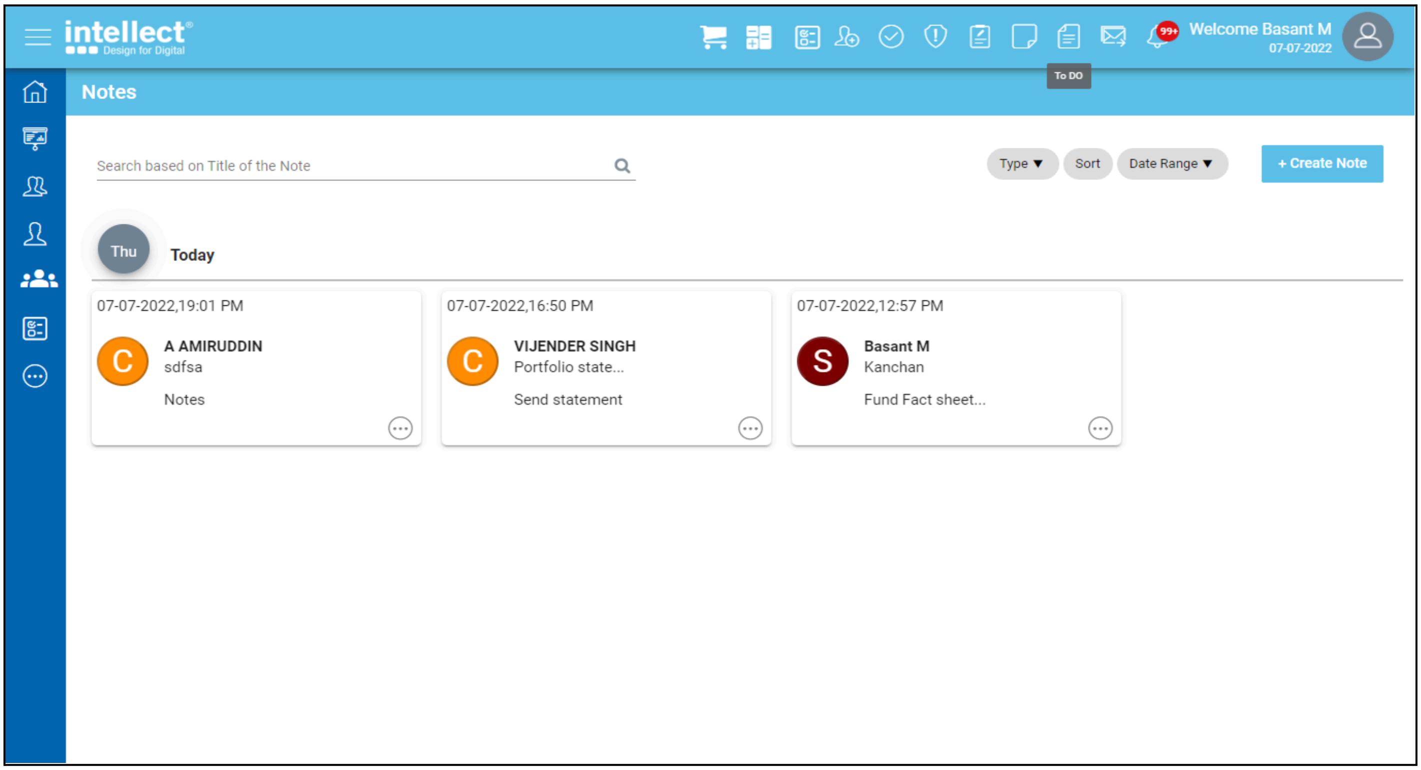


Screen: Type, Sort and Date Range

4.3.9. To-Do

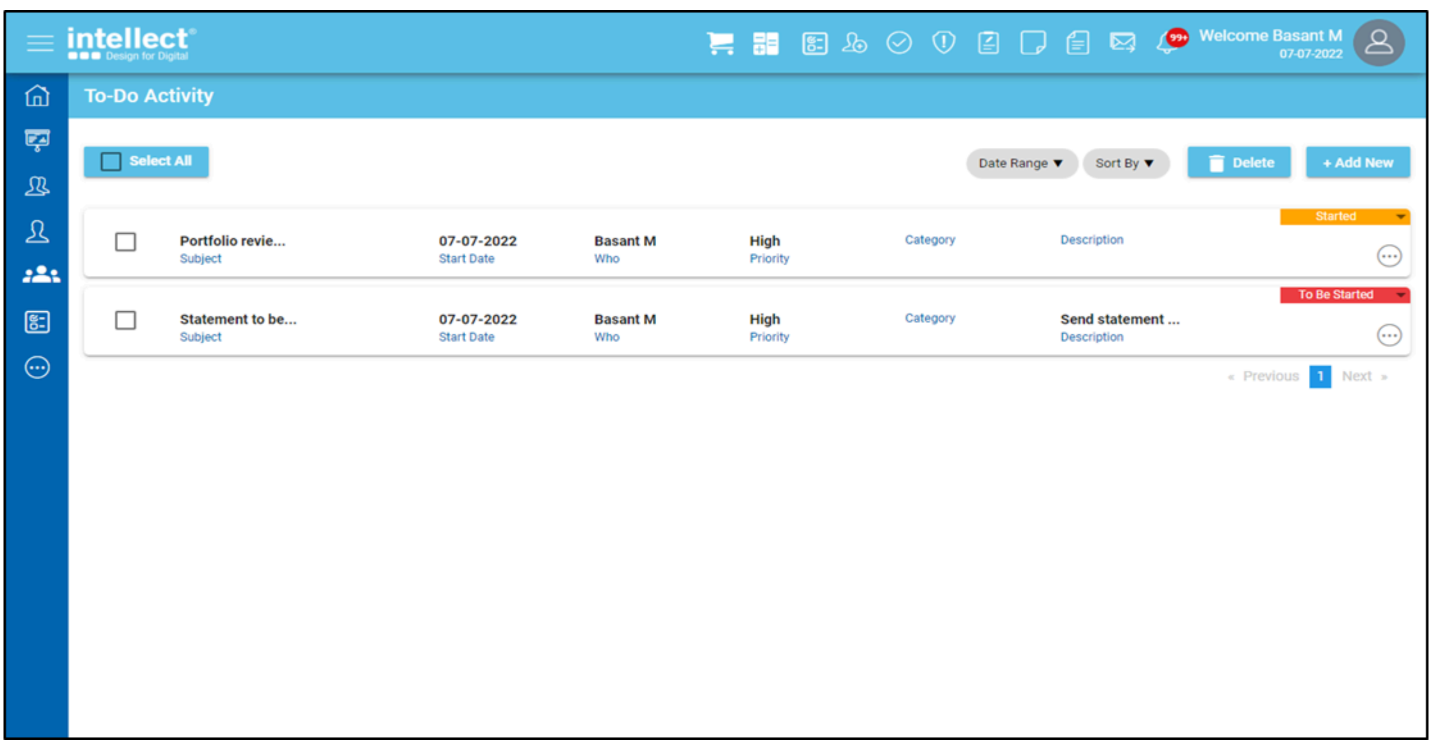
The To-Do section allows the RM to add any action items. It enables easy tracking, and the RM can prioritize and sort these To-Do activities by status or date. The RM can update the status of these To-Do items in their list as and when they complete them

1. The RM can navigate to the To-Do screen by clicking on the “To-Do” widget present in the Top Panel.

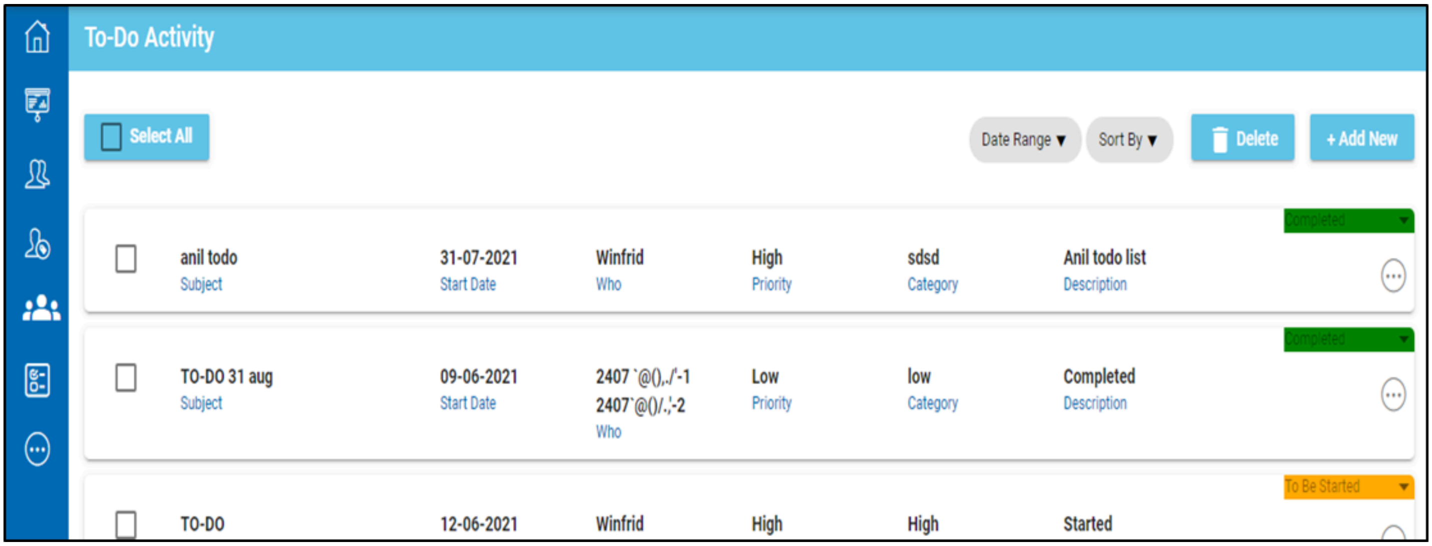


Screen: Click on To-Do

2. In this screen, the RM can view their existing To-Do activities and Add/Delete Activities

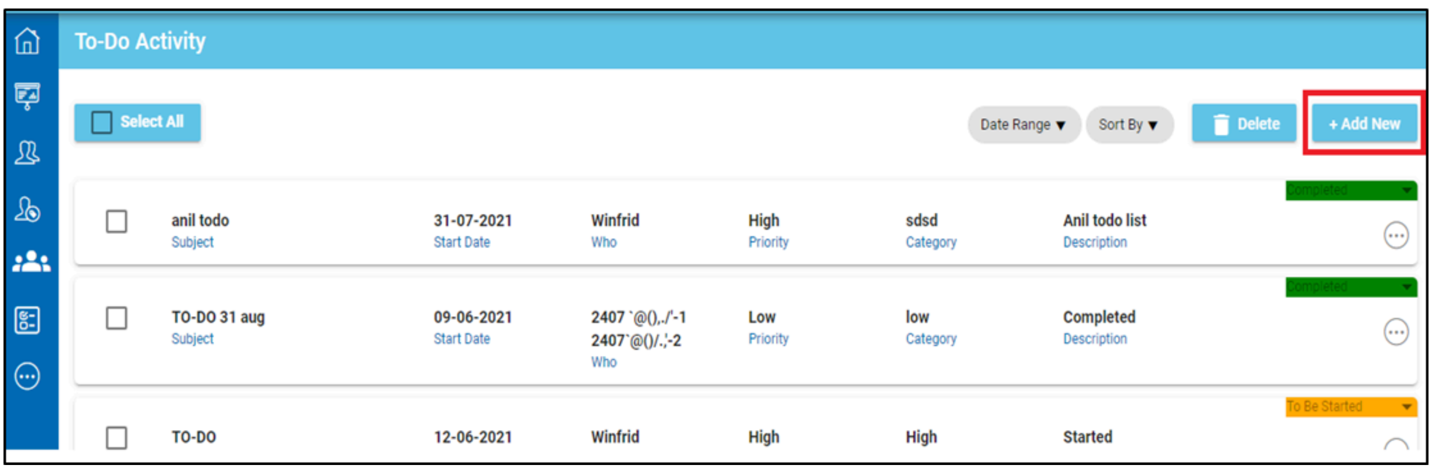


Screen: Click on To-Do



Screen: To-Do Activity

3. RM can click on the “Add New” button to Add a new To-Do Activity



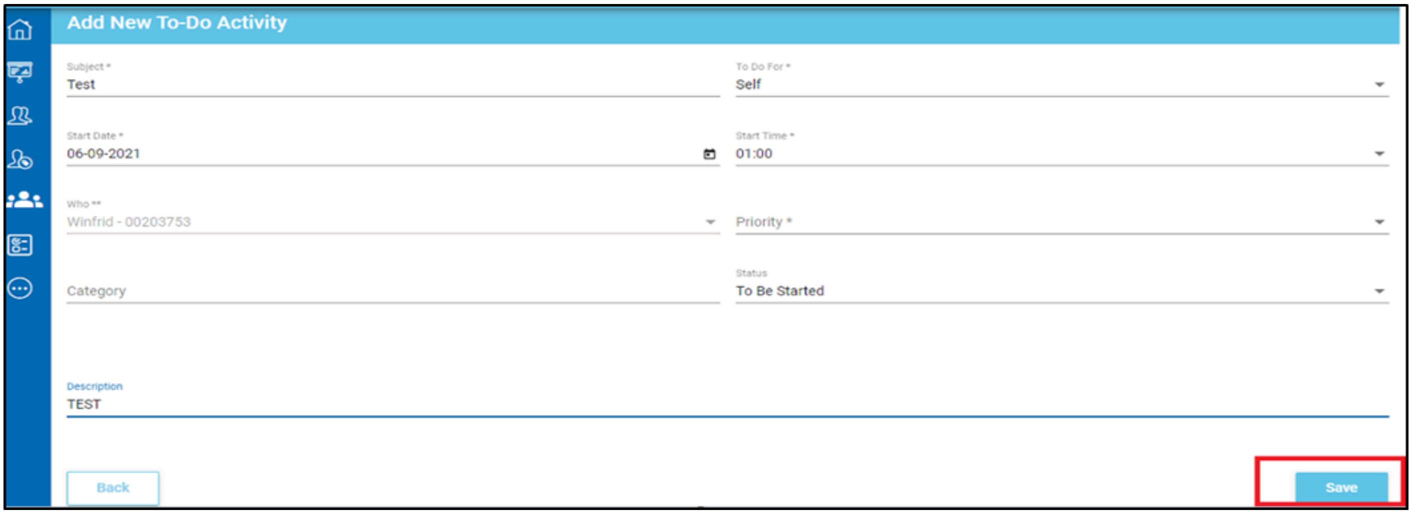
Screen: Click on Add New

4. In the Add New To-Do Activity Screen, RM can enter the below mentioned details:

   a. **Subject** - Subject for the To Do activity
   b. **To Do For** – To do Activity for Self/Team
   c. **Start Date and Start Time** – Start Date and Time for the To Do activity
   d. **Who** – The person for whom the To Do activity is being added
   e. **Priority** – High/Medium/Low priority can be defined for the To Do activity
   f. **Category** – Category of the To Do activity
   g. **Status** – Status of the To Do activity

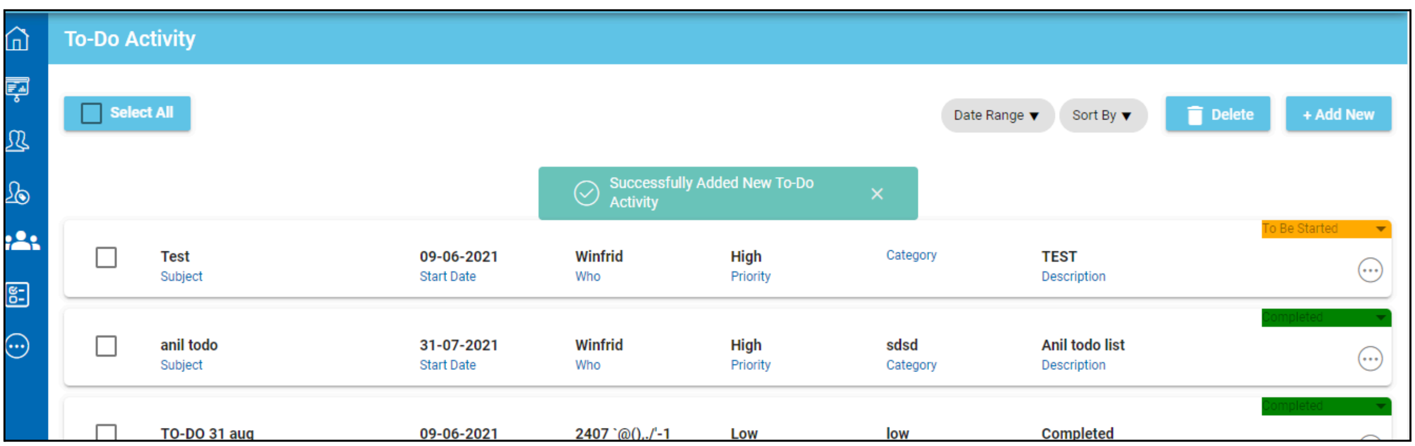
h. **Description** – Detailed description of the To Do activity

5. RM clicks on the “Save” button to save the details



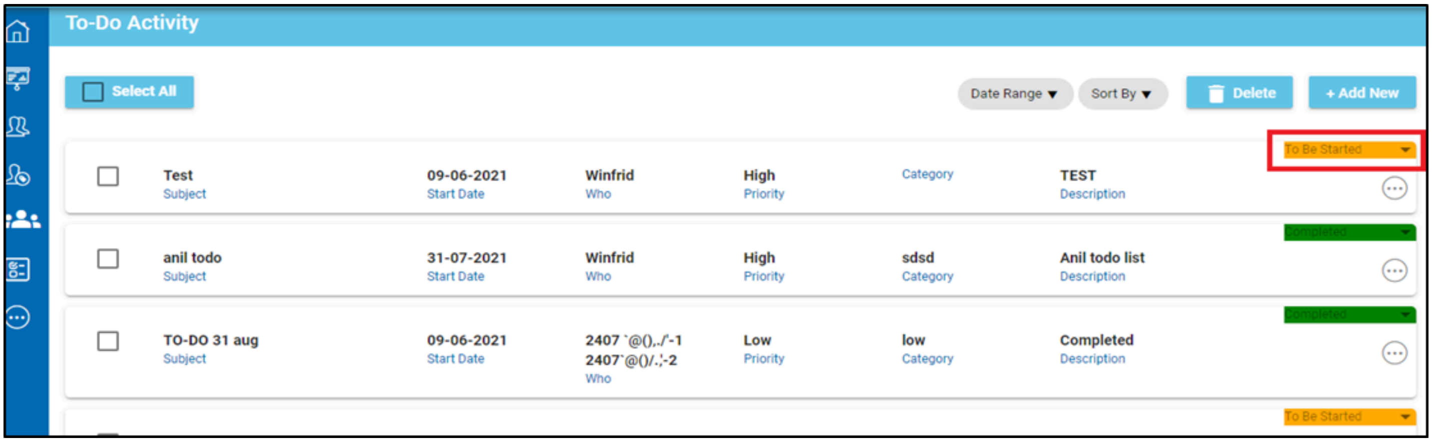
Screen: Save the Details

Screen: Add New To-Do Activity

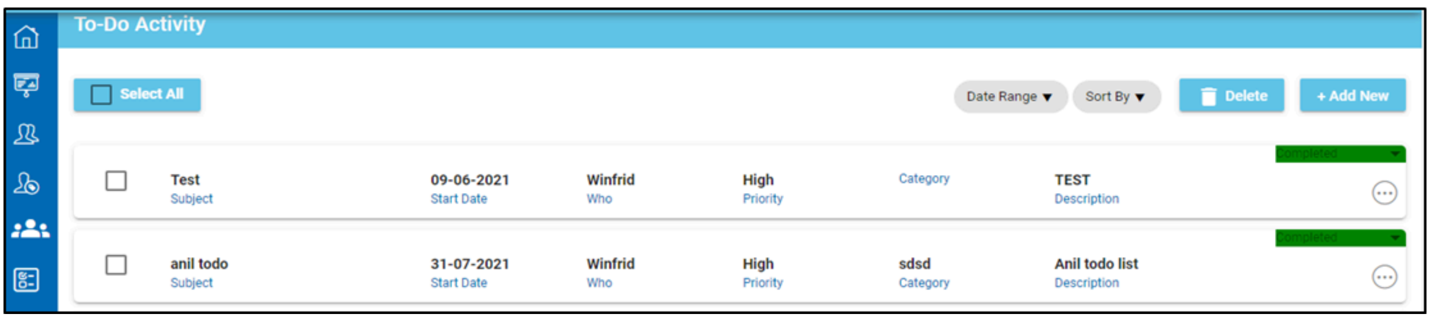


6. The status of existing or newly added activities can be changed by clicking on the drop-down in the top right corner of the activity card, and selecting the updated status from the list

intellect™ Design for Digital

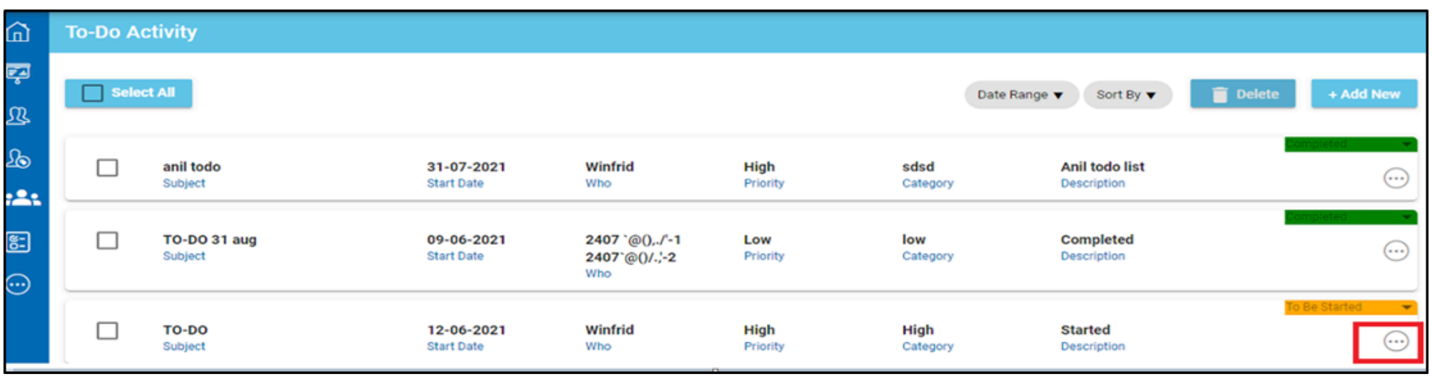


Screen: Select updated status



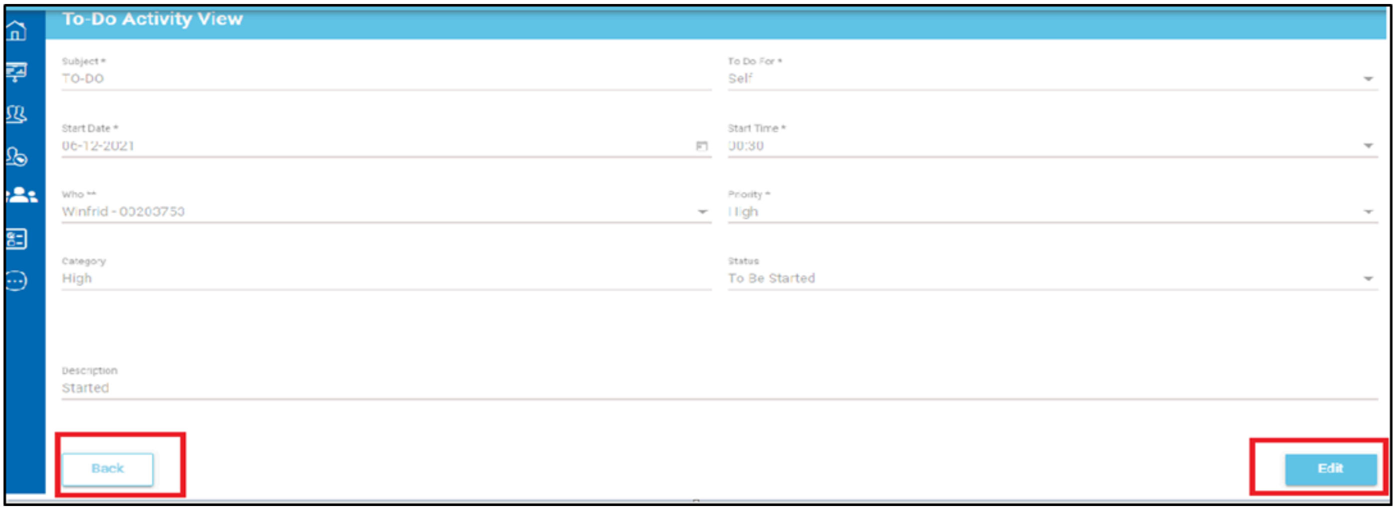
Screen: Status of the Activity is updated

7. The details of any existing To-Do activity can be viewed by clicking on the "Three Dots" button present on the activity card



Screen: Click on Three Dots

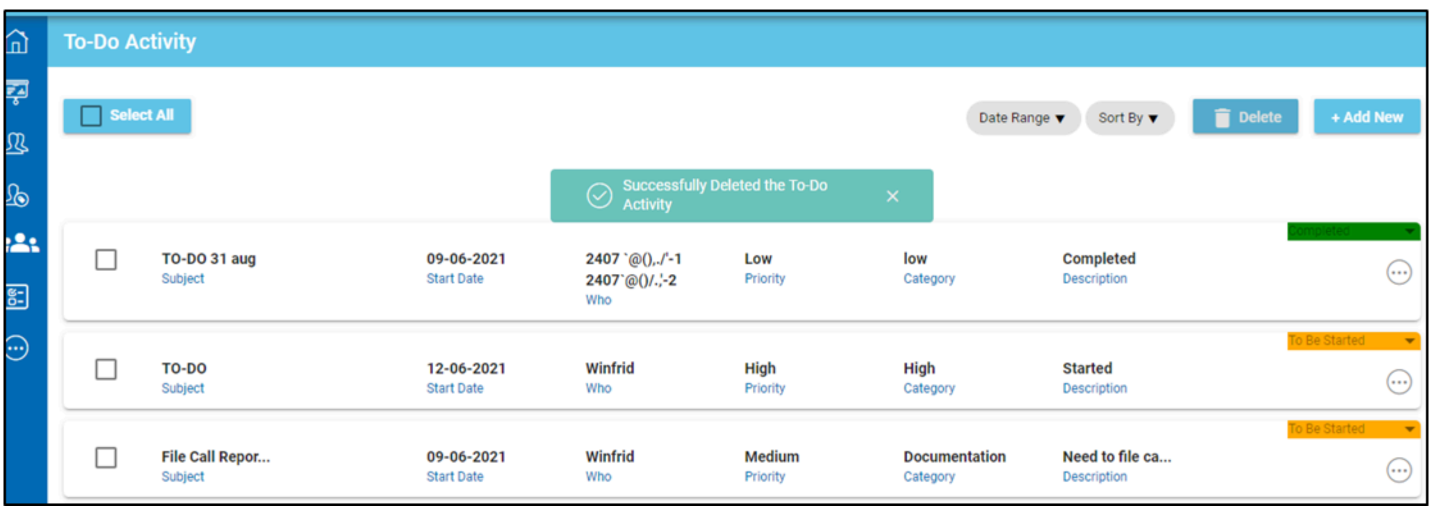
8. In the "To-Do Activity View" screen, the RM can view the details for the selected activity. They can choose to edit the activity details should they wish to by clicking on the "Edit" button present in this screen



Screen: To-Do Activity View

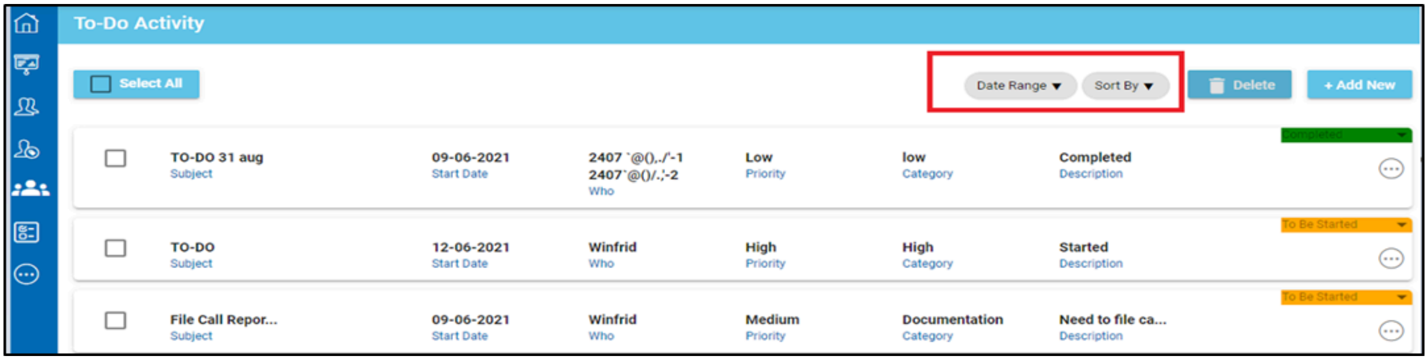
9. The RM can navigate back to the previous screen by clicking on the "Back" button present

10. Single or Multiple activities can be deleted by the RM if they want to. This can be done by checking the check-box present in the activity card. RM can either select all by clicking the "Select All" button or select one or multiple - activities one by one. After selecting the activities, the RM can click on the "Delete" button to delete the selected activities



Screen: Selected Activities successfully deleted

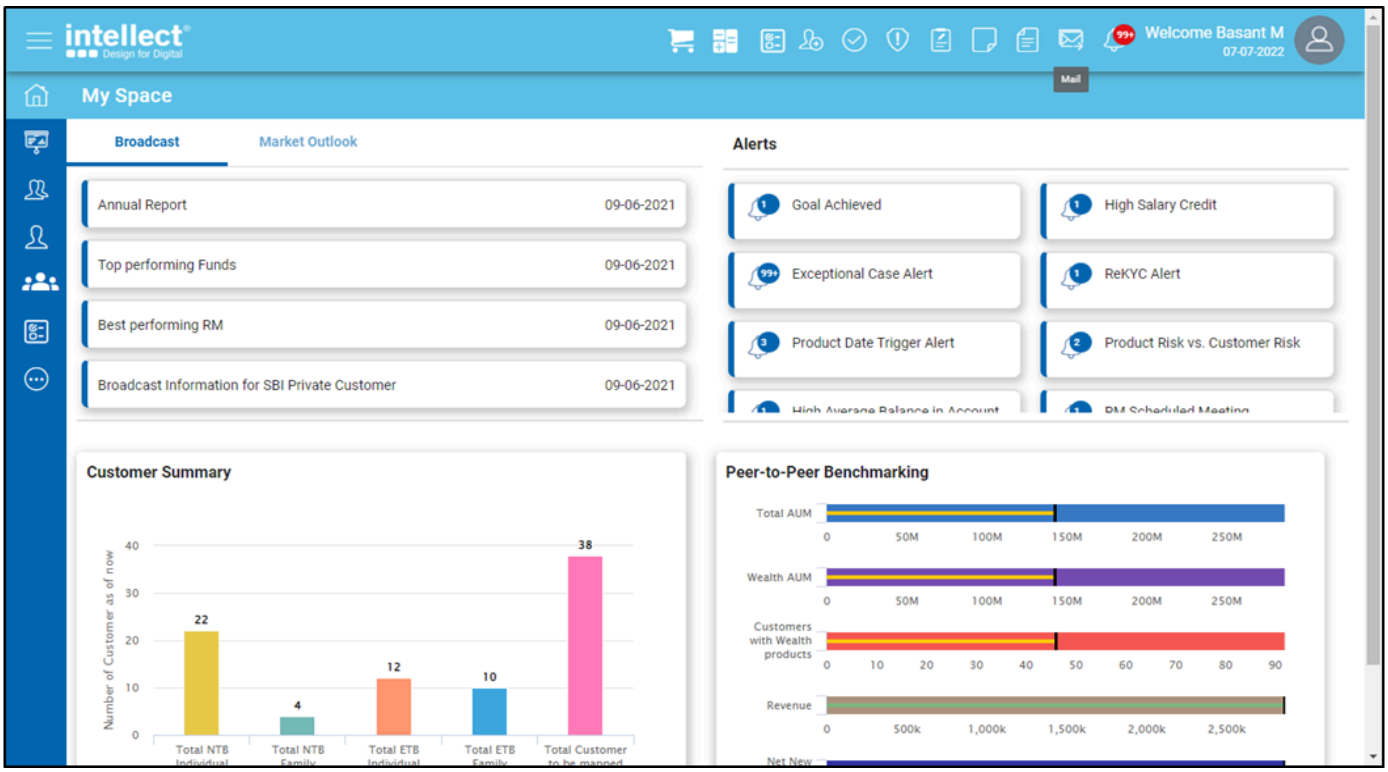
11. The RM can filter out activities by Date-Range, and sort the activities either by Status or Date



Screen: To-Do Activity

4.3.10. Mail

This is the internal mail screen where mails sent and received only in the RM Office are visible. There is no interface with the Bank's mailing system. In addition to the sent and received mails, the RM can also view and add contacts



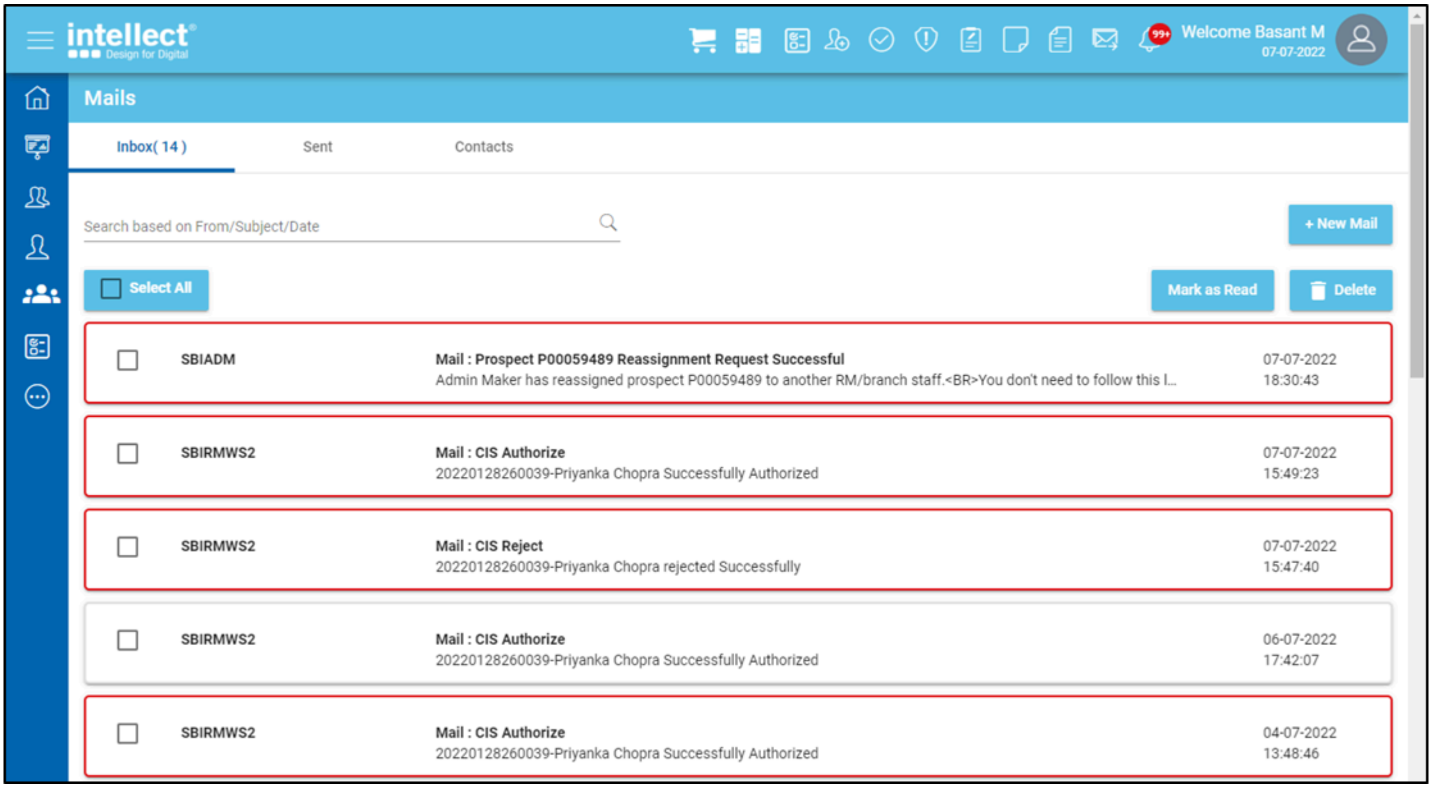
Screen: Click on mail

1. The RM can navigate to the Mail screen by clicking on the "Mail" widget present in the Top Panel

2. The Mail screen is divided into 3 tabs:
    a. Inbox
    b. Sent
    c. Contacts

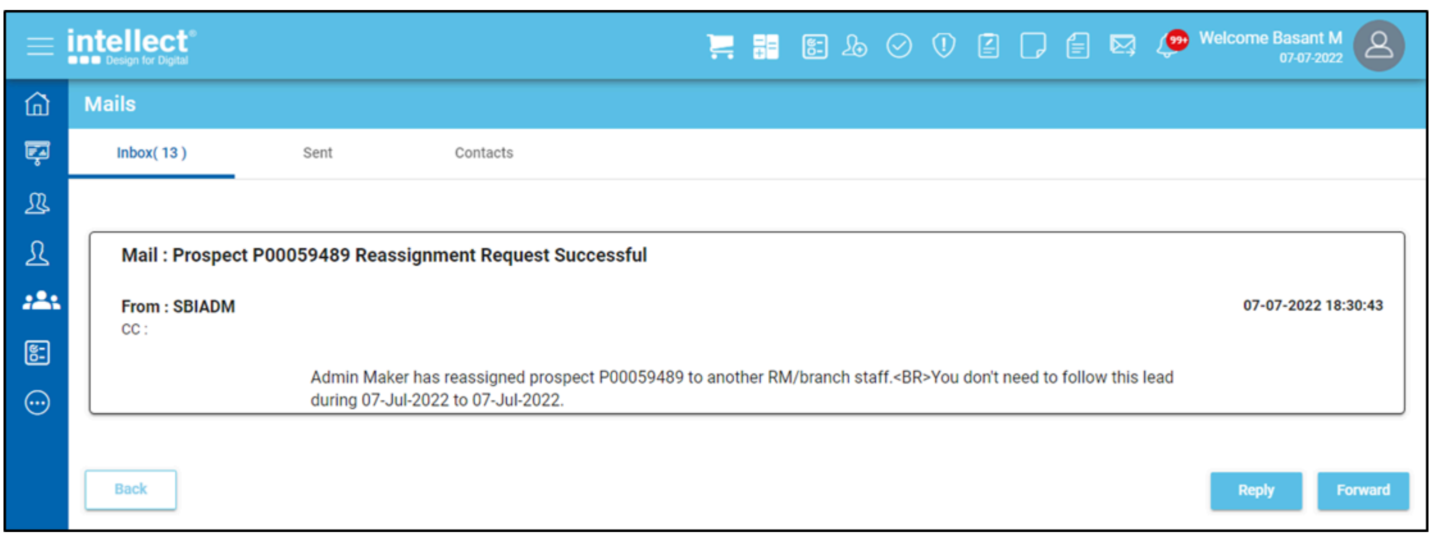
By default, the Inbox tab is loaded

3. The RM can view the mails that they have received in the inbox. Unread mails are highlighted by a red border around the mail card, whereas the mails that have been read aren't highlighted



Screen: Mail Screen

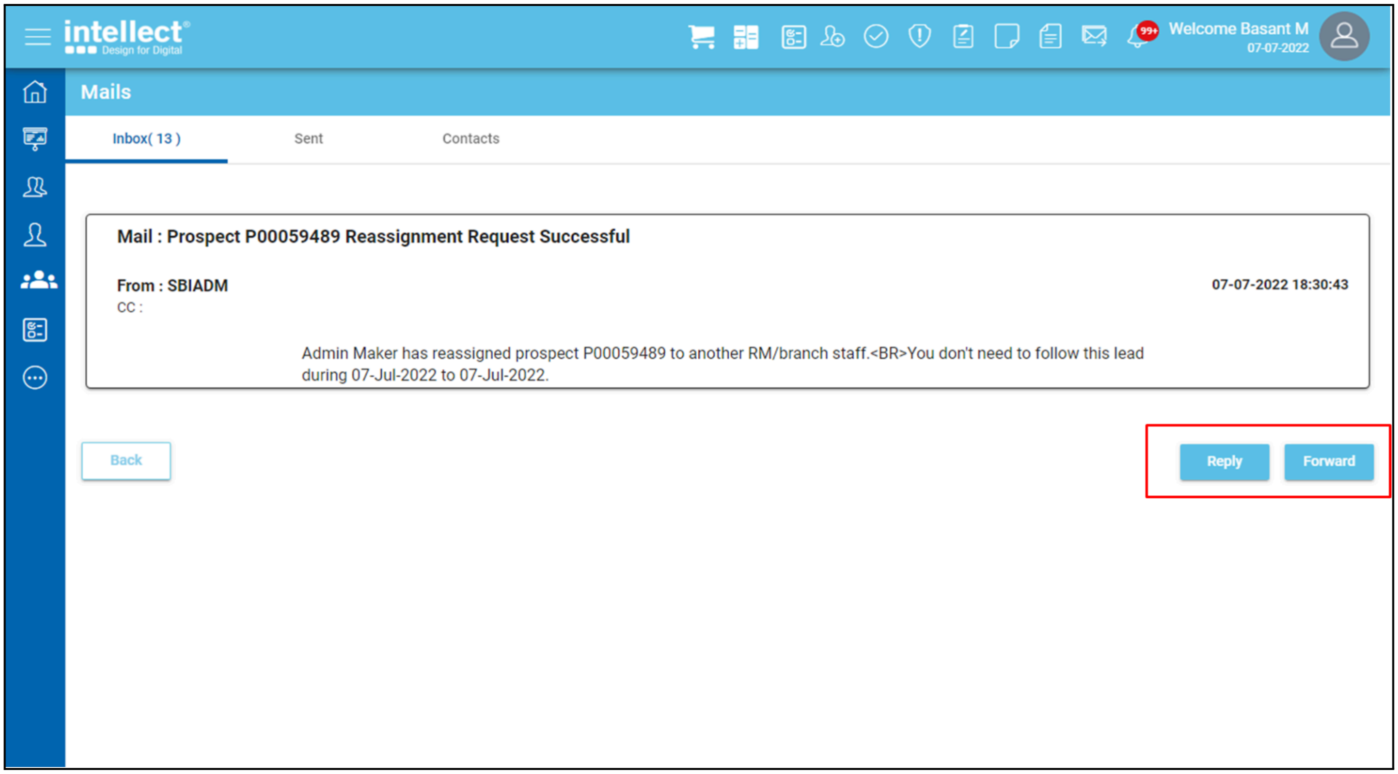
4. The RM can click anywhere on a particular mail card to read the mail



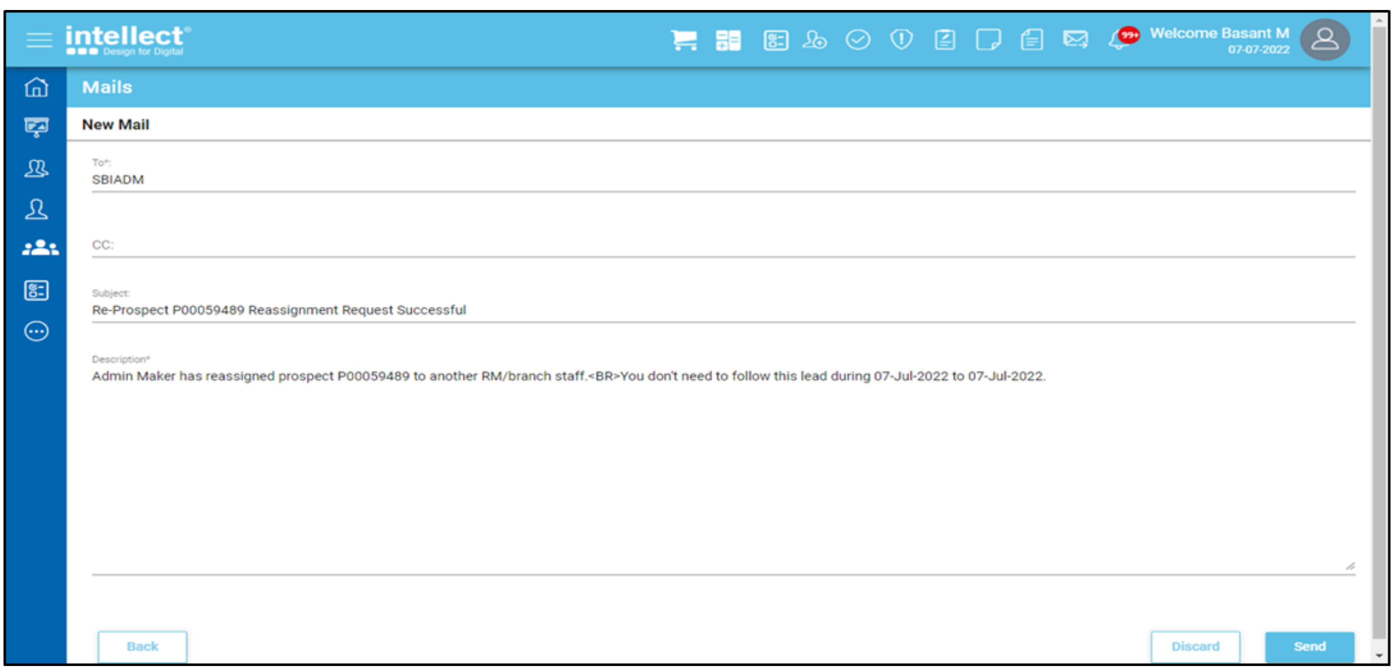
Screen: View Mail

5. In this screen, they have the option to either Reply to a mail, or Forward the mail to another recipient by clicking on the

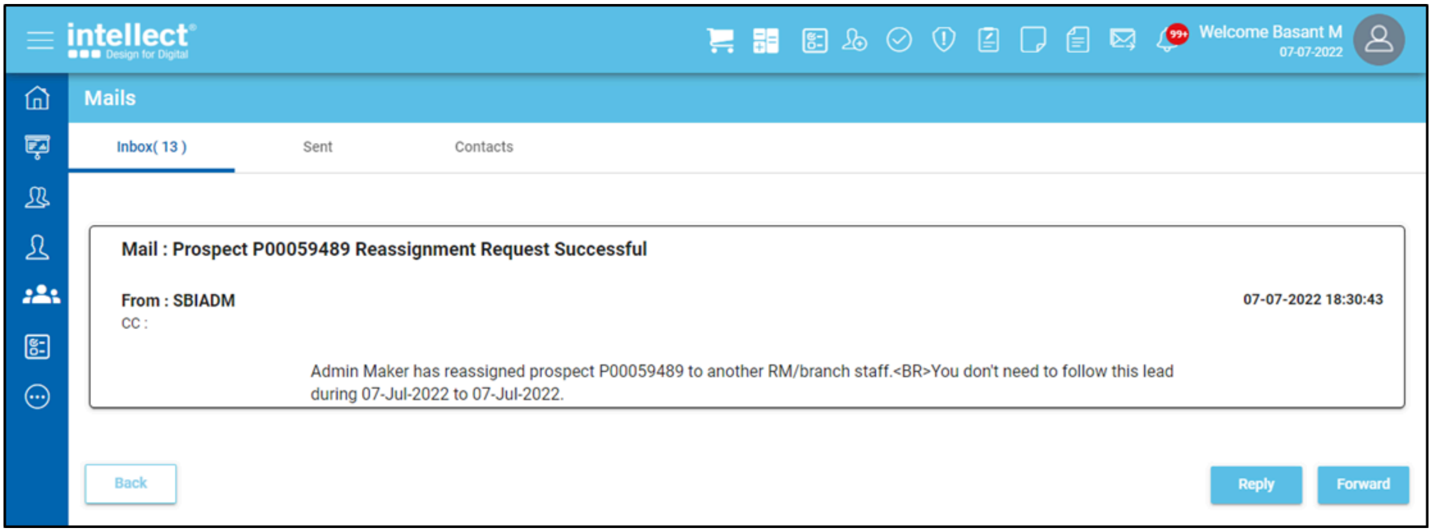
"Reply" or "Forward" buttons respectively.



Screen: Reply and Forward

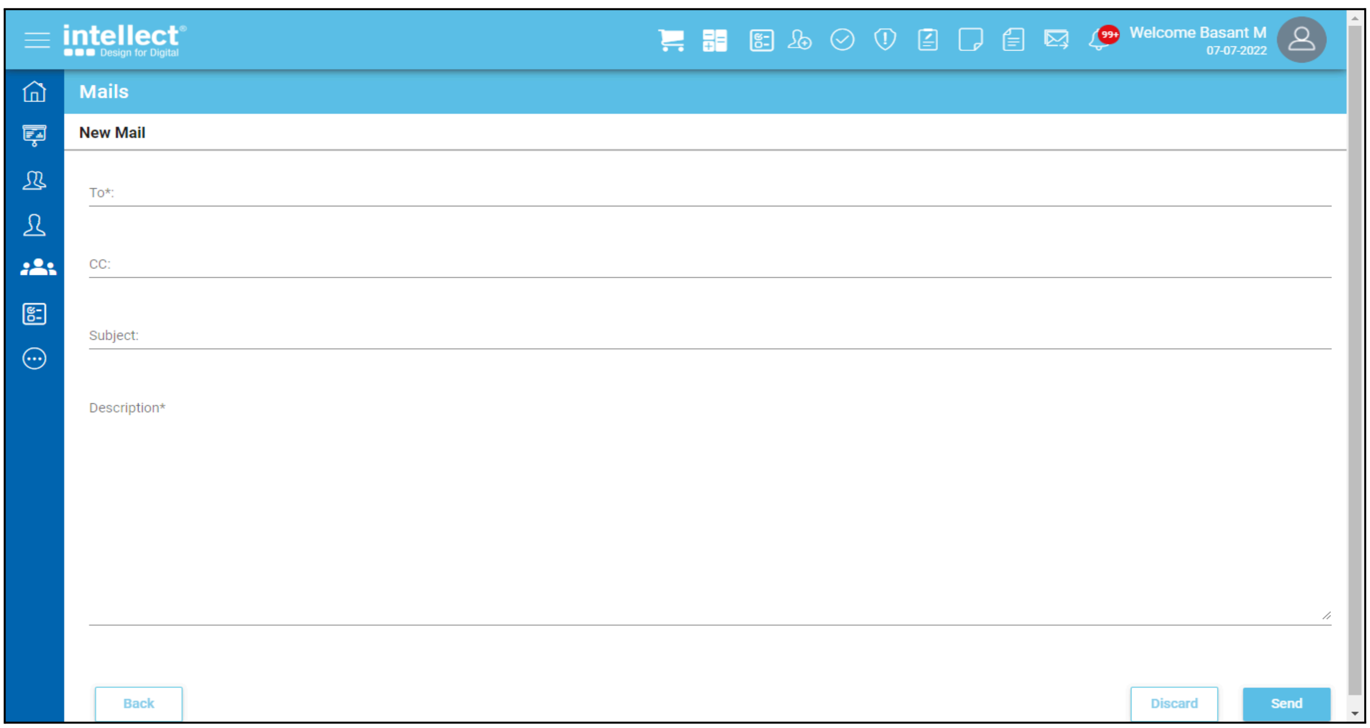


Screen: Reply to a mail



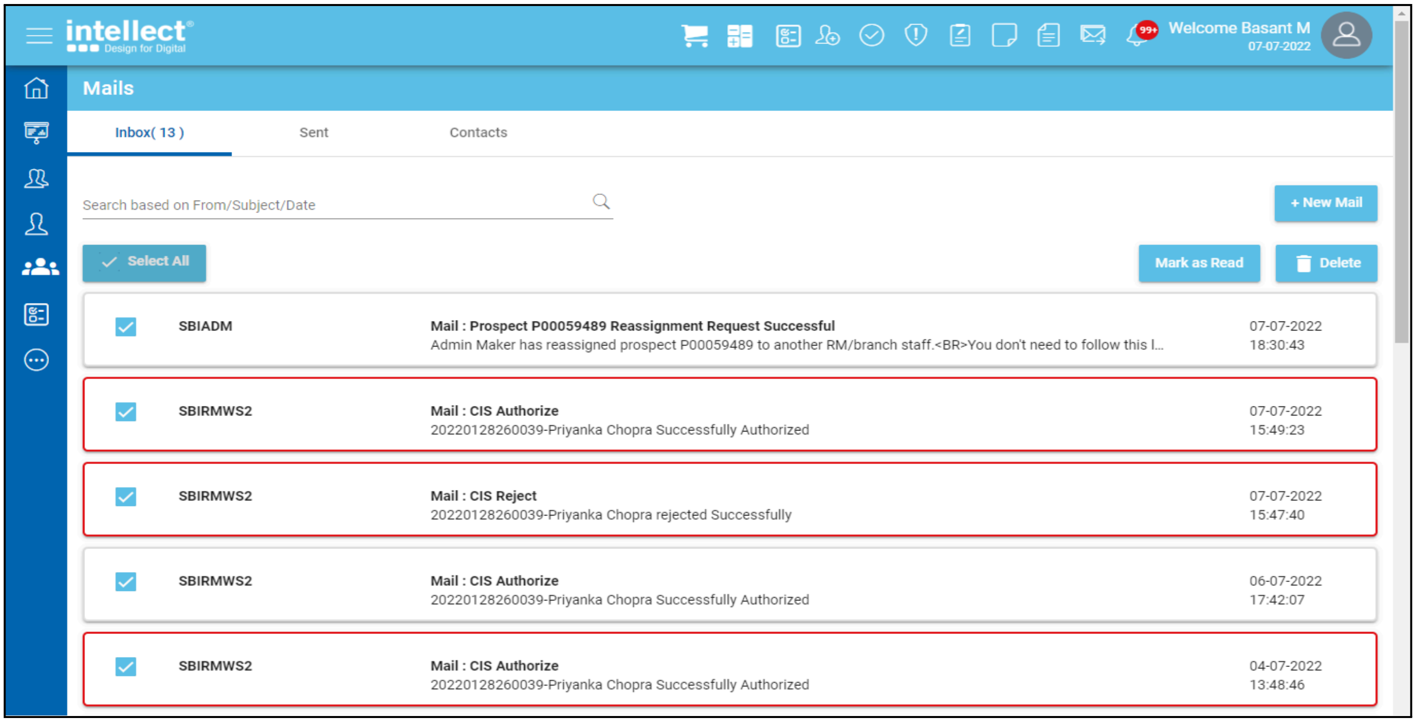
Screen: Forward a Mail

6. RM can click on the "New Mail" button in the inbox to navigate to the New Mail screen, where they can create and send mails to the other users in RM office



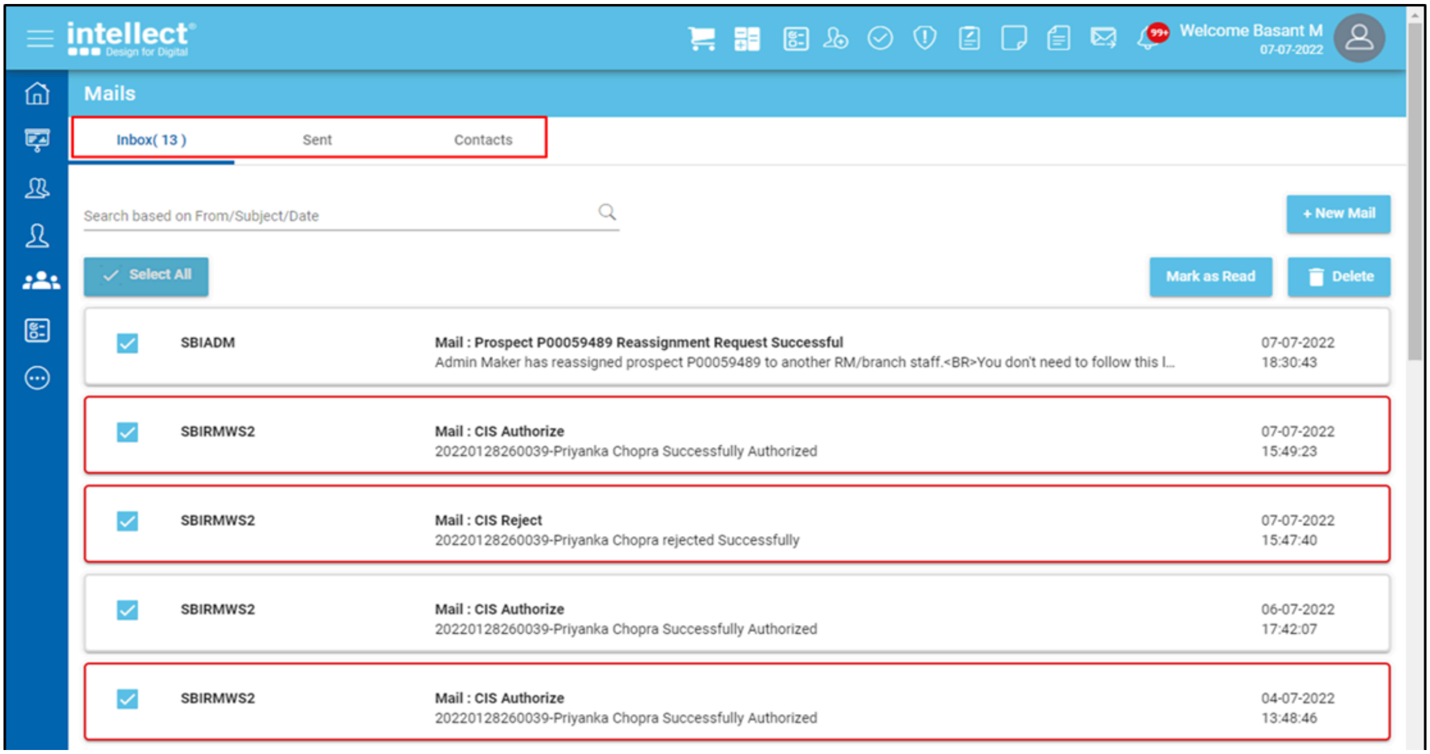
Screen: Click on New Mail

7. Single or Multiple Mails can be selected by the RM in case they wish to. This can be done by checking the check-box present in the mail card. Multiple mails one by one, and even all mails can be selected by clicking on the "Select All" button. After selecting the mails, the RM can click on the "Delete" or "Mark as Read" buttons to either delete the selected mails, or mark the selected mails as read



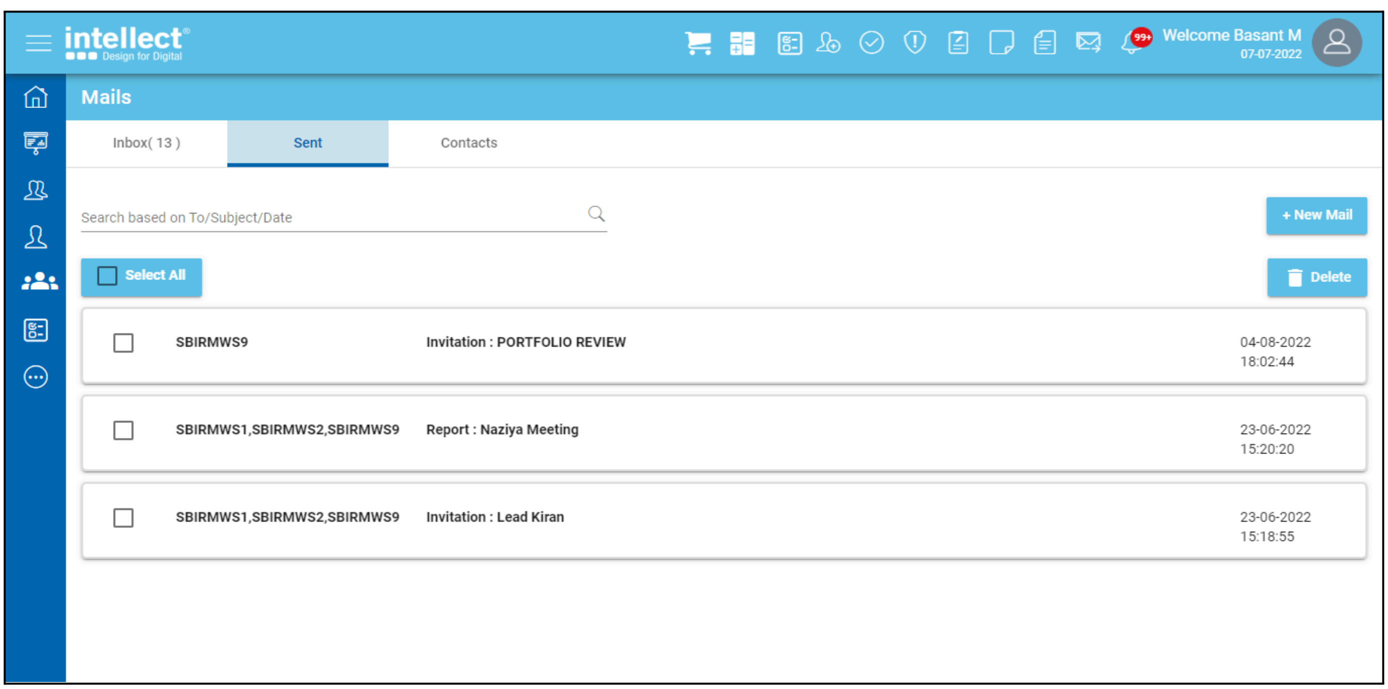
Screen: Select All, Mark as Read and Delete

8. RM can navigate to the Sent or Contacts Tabs as well in this screen



Screen: Inbox, Sent and Contacts

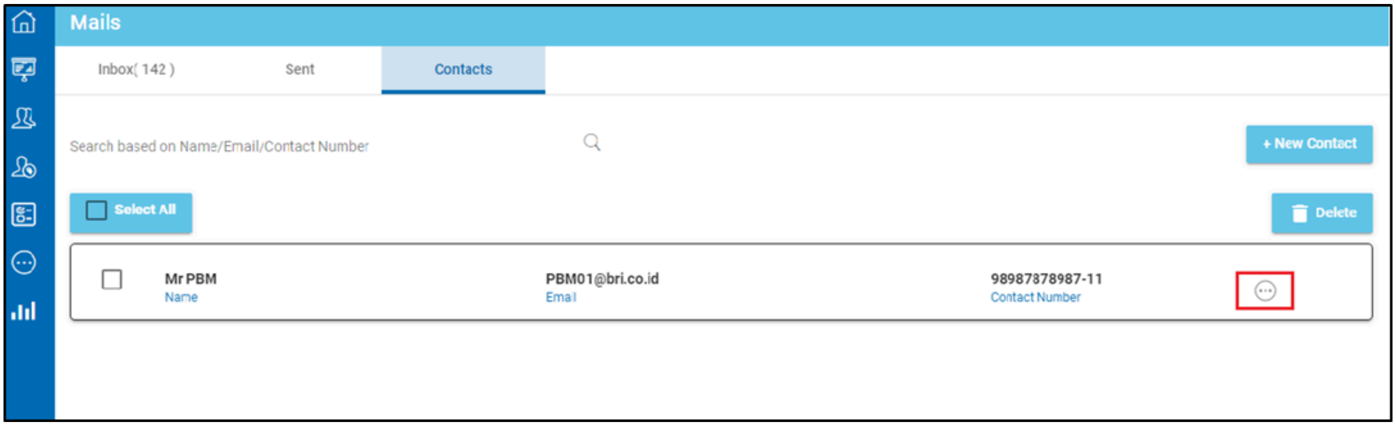
9. RM can click on the "Sent" tab to navigate to the sent mail screen. Here, they can view the mails sent by them and send new mails



Screen: Sent Mail

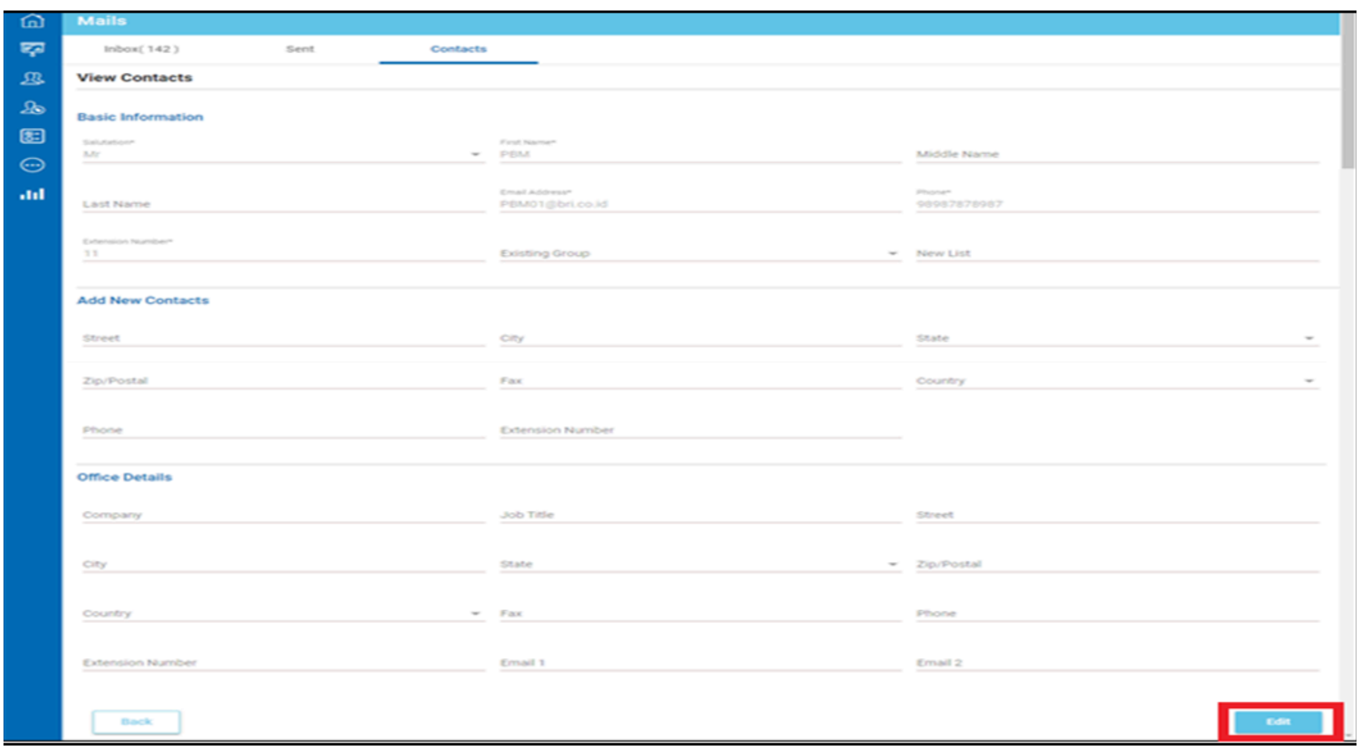
10. RM can click on the “Contacts” tab to navigate to the contacts screen. Here, they can view their list of contacts and the contacts details, and add new contacts

11. They can click on the “Three Dots” present in the respective contact card to view the selected contact’s details



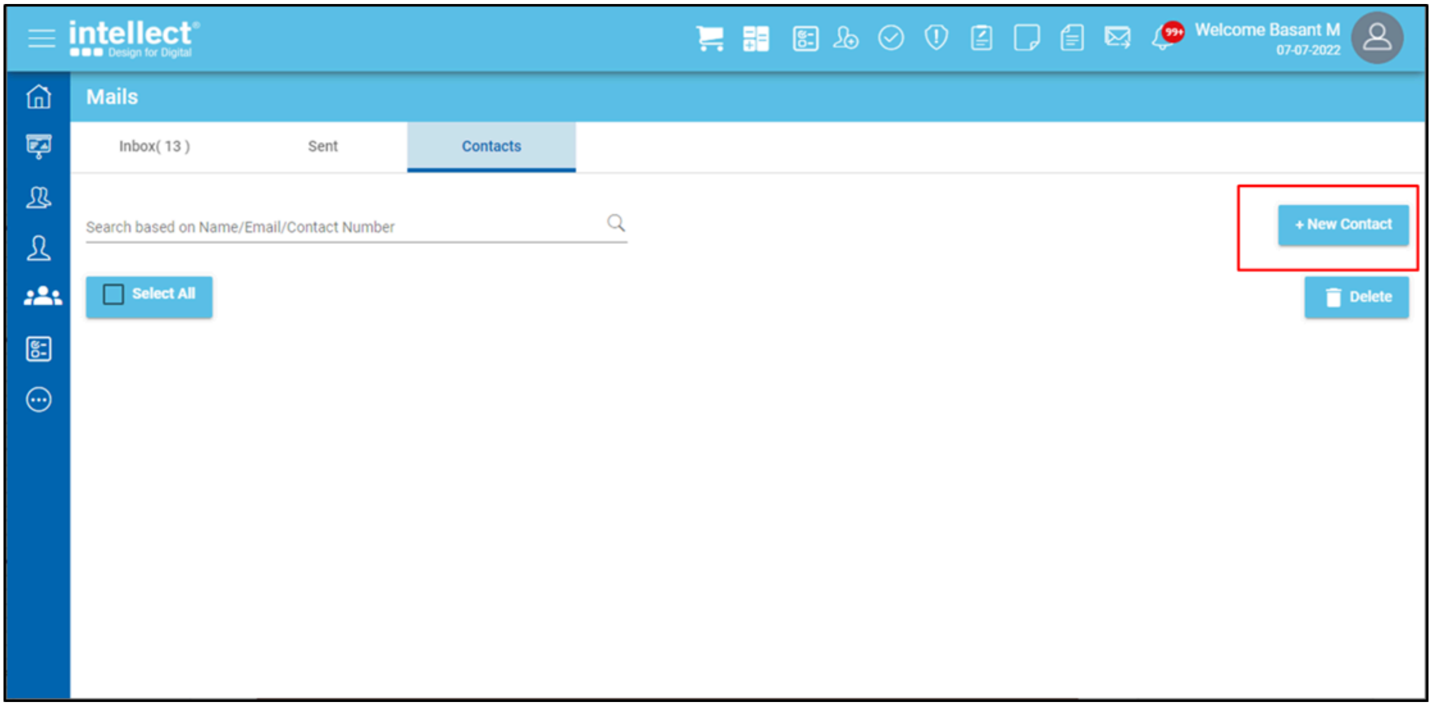
Screen: Click on Three Dots

12. On this screen, RM can view or edit the details for the contact

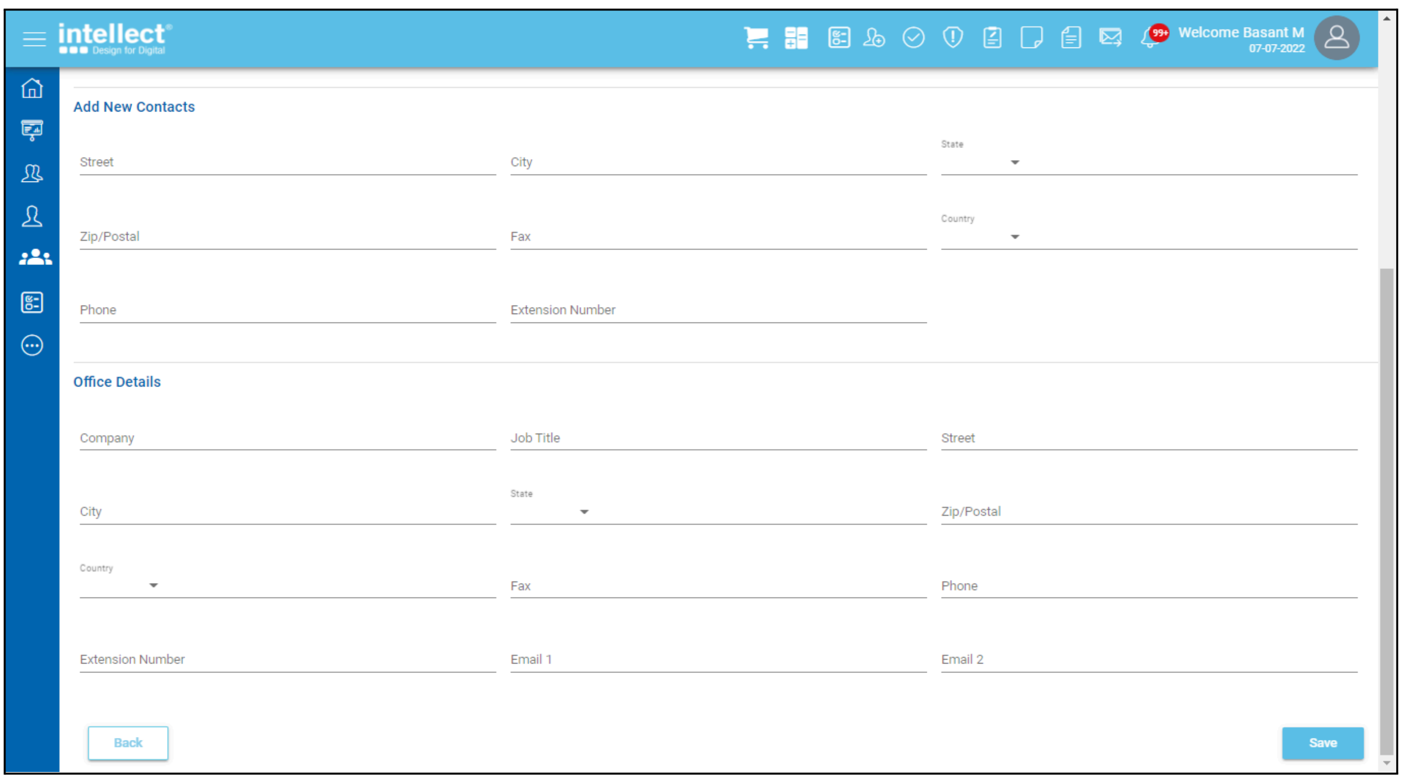


Screen: View/Edit Contact

13. RM can click on the “New Contact” button to navigate to the New Contact screen where they can add details for a new contact and save them



Screen: Click on New Contact

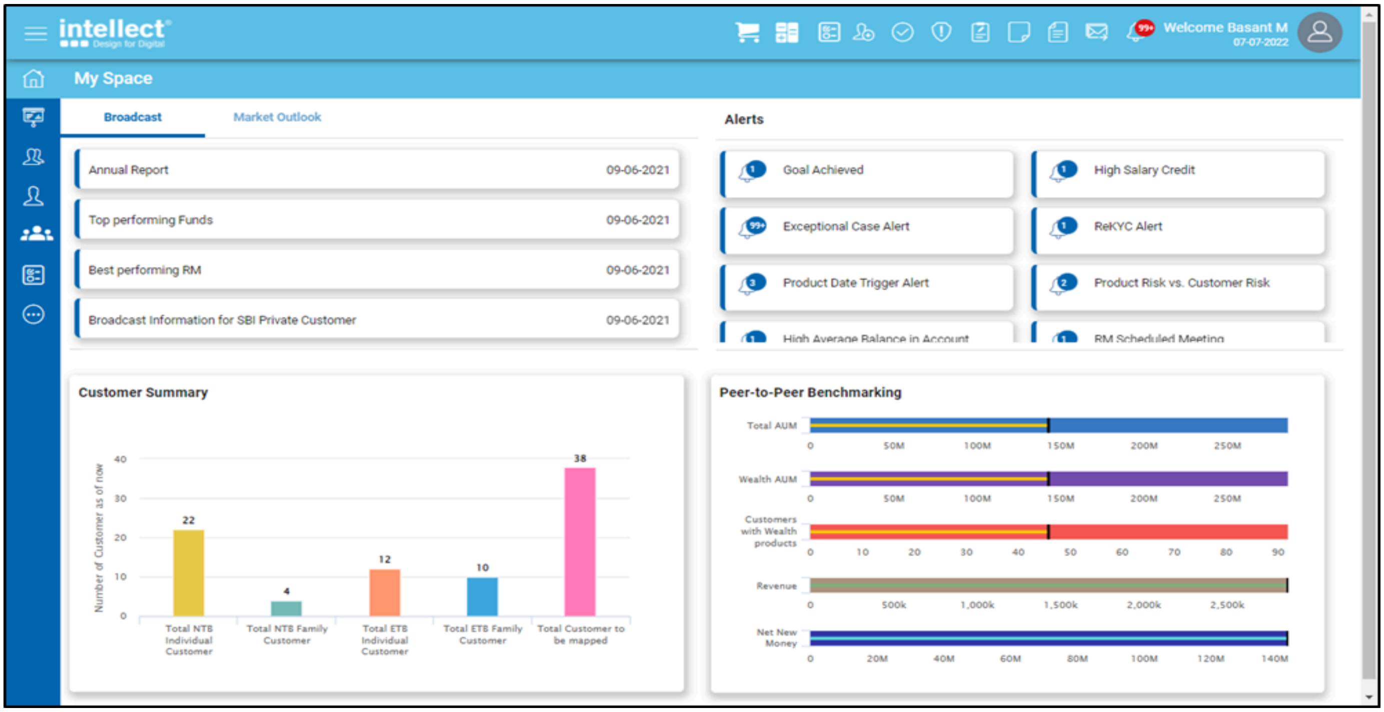


Screen: Add New Contacts

4.3.11. Alerts Workspace

The alert widget displays all the alerts generated for the customers mapped to the RM. Once clicked, the system takes the RM to the Alert workspace that allows the user to view and manage all the alerts generated by the system on the occurrence of defined events. Alerts require the RM to perform an action in the system and update the status. System displays alerts, grouped under various alert categories. Under each alert category, the most recent alert will be displayed on top

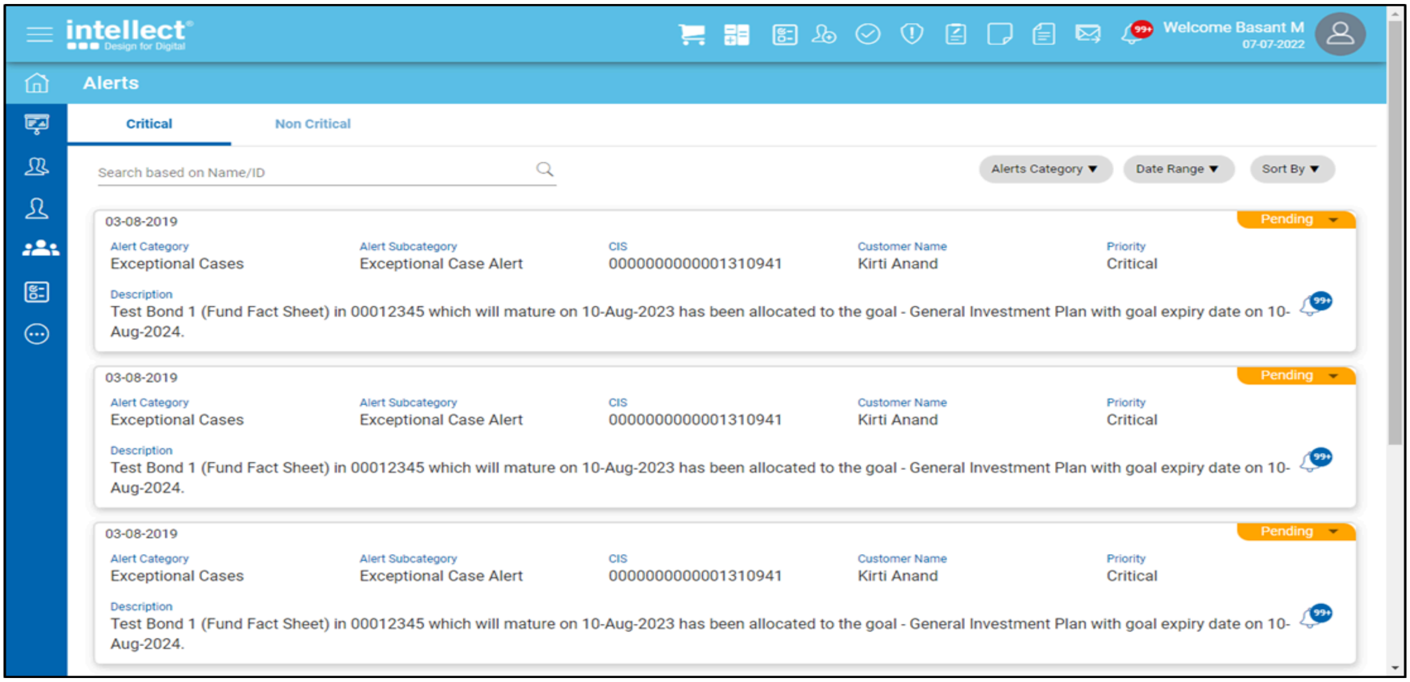
1. RM can navigate to the Alerts screen by clicking on the "Alerts" widget present in the Top Panel



Screen: Click on Alerts

2. The Alerts screen has 2 tabs:
   a. **Critical** – Shows all the alerts defined as Critical
   b. **Non – Critical** – Shows all the alerts defined as Non Critical

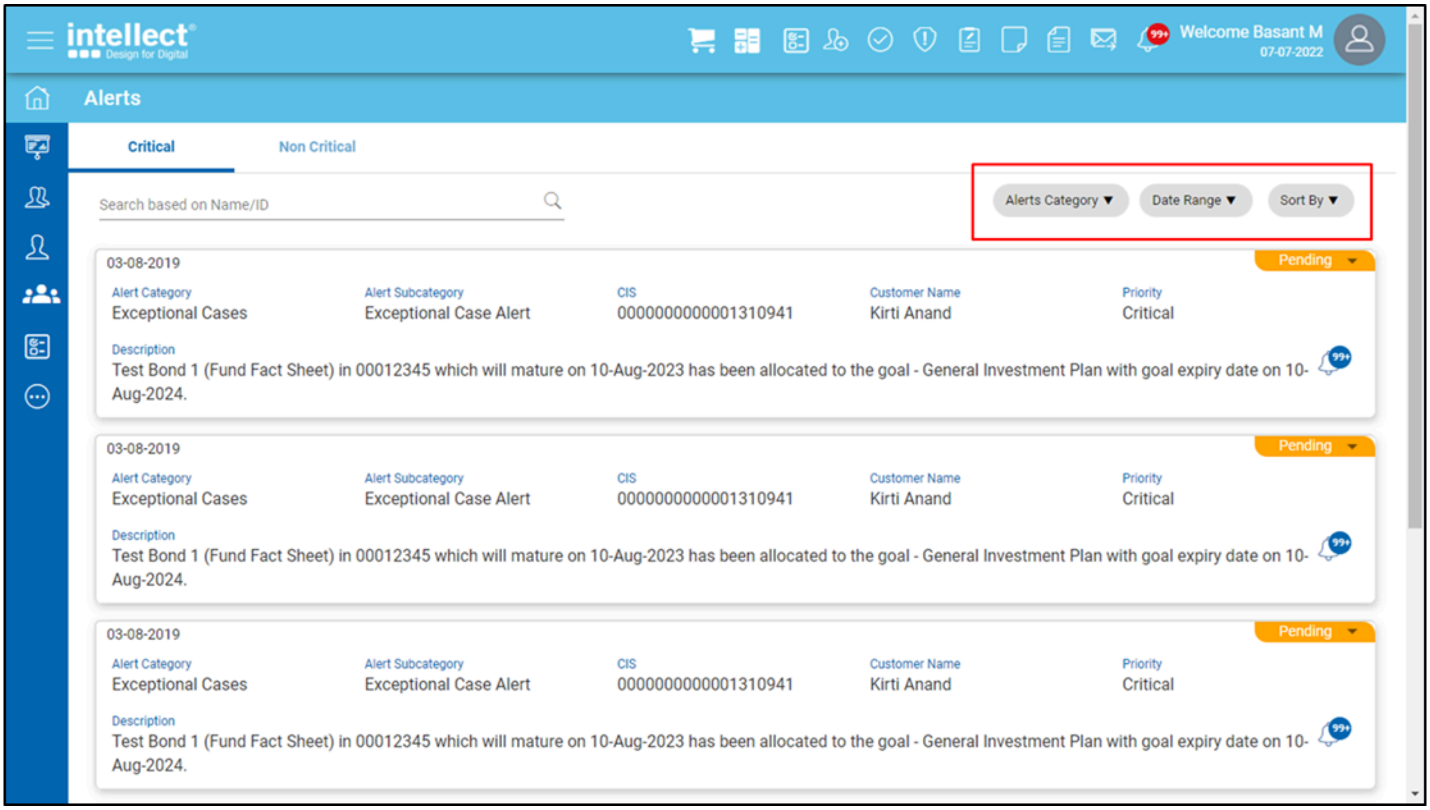
   By default, the critical tab is loaded whenever the RM clicks on the Alerts widget



Screen: Critical Alerts

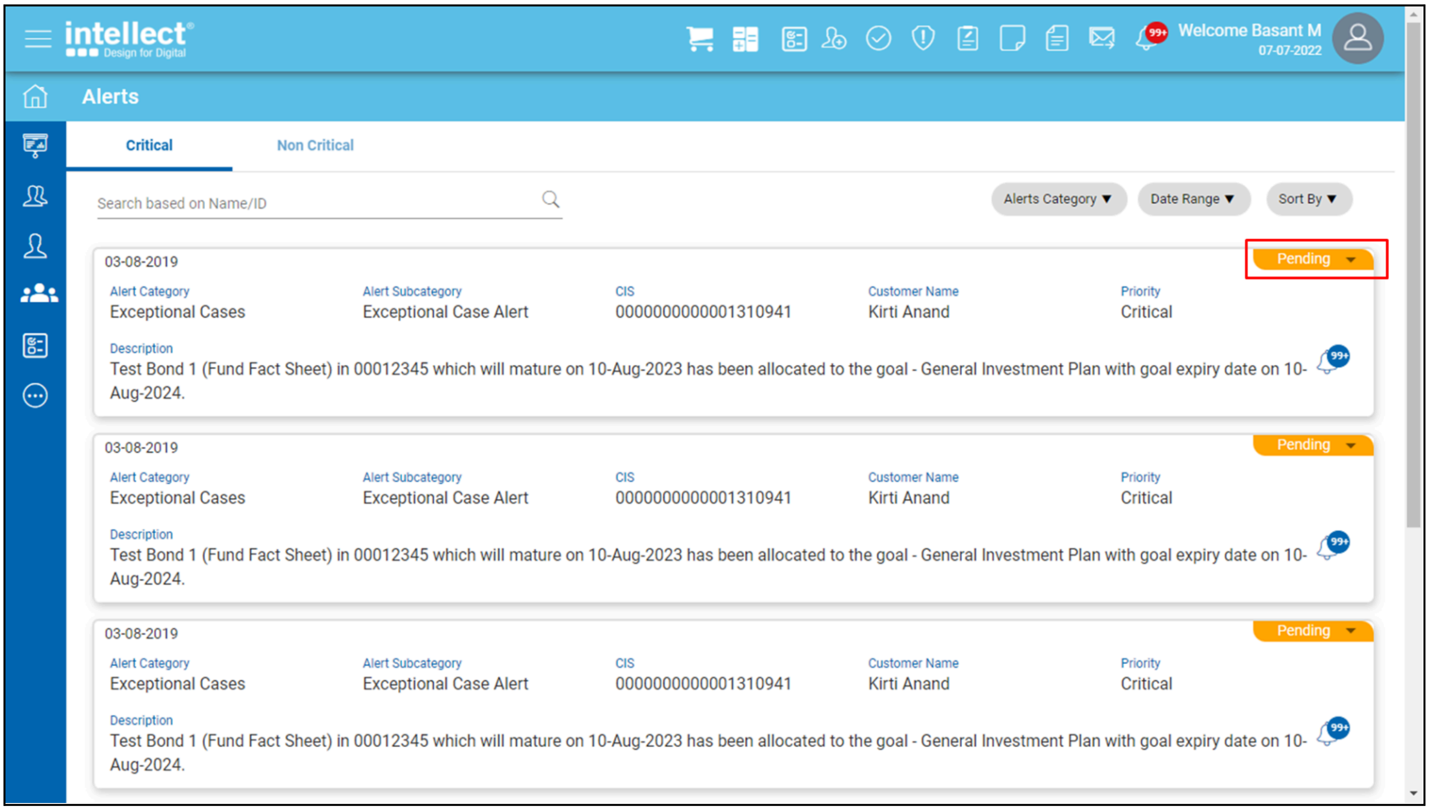
3. Alert types are broadly categorized into below categories
    a. Exceptional Cases
    b. Risk Profile
    c. Sales License
    d. Product
    e. Plan
    f. Customer
    g. Portfolio
    h. Vulnerable Client

4. RM can filter the Alerts in this section by Alerts Category or Date range, and can sort the alerts by date

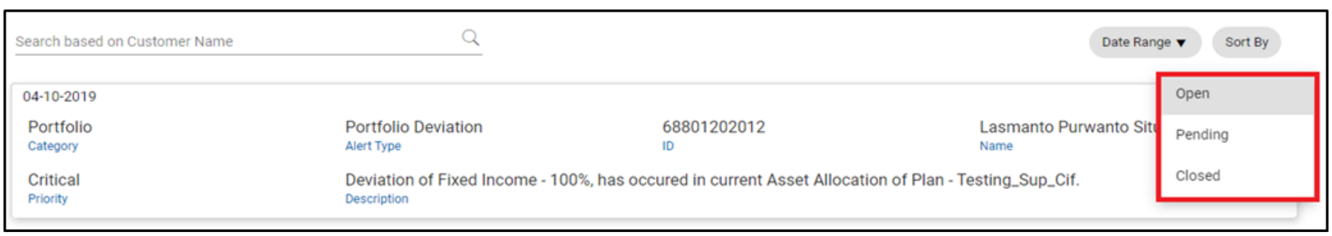


Screen: Filter Alerts

5. The Status for an alert can be viewed in the top right corner of the alert card. This can be updated by the RM by clicking on the drop-down and selecting the updated status

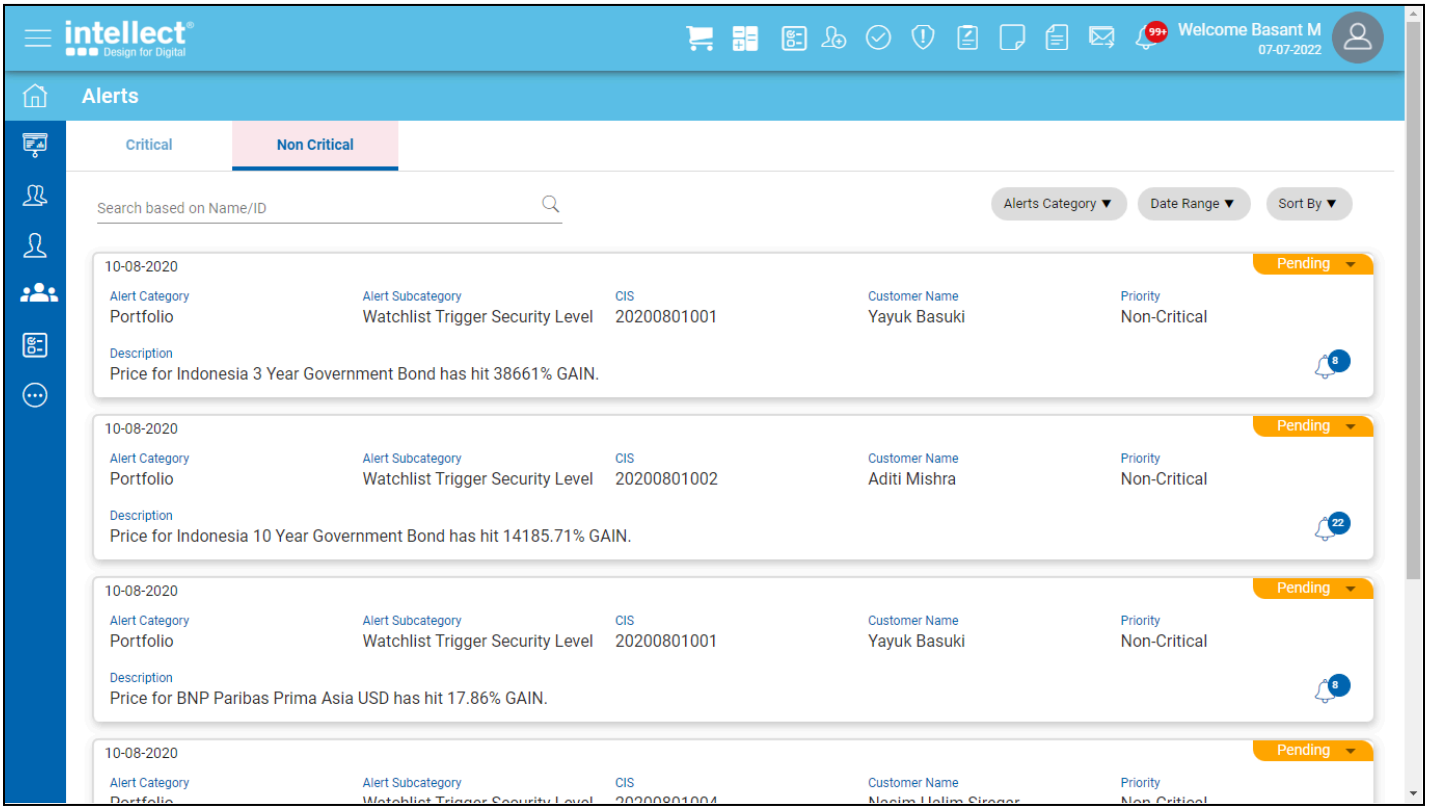


Screen: Alert Status



Screen: Changing the Status of the Alert to Closed

6. Closed Alerts will not be displayed in the system
7. RM can navigate to the Non Critical tab by clicking on the same. Here, the supervisor can view and update the status of non-critical alerts



Screen: Non Critical Alerts

Note: Alert types have been covered as a part of the Journey of Defining Maintenance document under Alerts Maintenance section

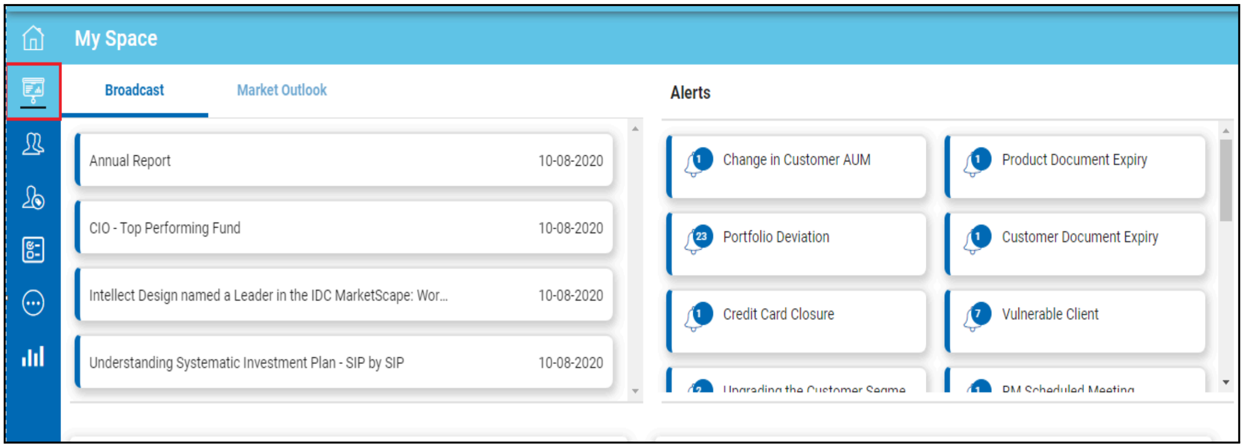
4.4. RM Dashboard

The RM Dashboard displays a holistic view of their mapped customers' data and their business level relevant information, logically represented at a single place for quick consumption, enabling RMs to have an efficient and effective engagement. It displays widgets that depict the customer information categorized by various measures. Dashboard screen displays the following widgets:

a. Asset under Management
b. Customer Composition
c. Gain/Loss by Number of Customer
d. Opportunity Summary
e. Revenue Under Management
f. Prospects To Clients

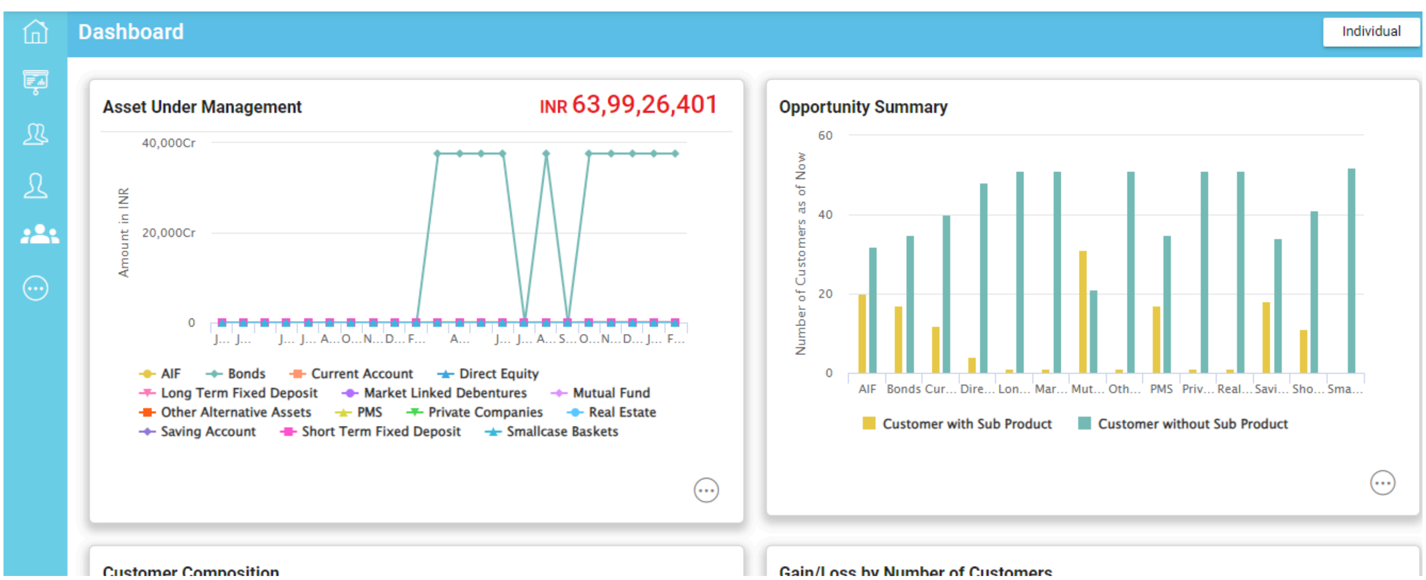
The design of the Dashboard follows the principle of layering of information i.e. information on the dashboard is stored in multiple layers. If the user would like to know more, they can further drill down into subsequent layers to see more information. The information is structured into three layers

Information displayed in the dashboard widgets can be further drilled down with various dimensions that will represent L2 layer of the Dashboard. Every widget is equipped with the "More icon (3 dots)" on the bottom of the widget. To view the customer level information of the dimensions displayed in the L2 level, the User can further drill down to L3 layer of the dashboard; where they can see the customer related information for the respective L2 level dashboard. The RM can navigate to the RM Dashboard by clicking on the “RM Dashboard” widget in the Left Panel



Screen: Click on RM Dashboard

1. The RM Dashboard displays the following Widgets to the RM:
    a. Asset under Management
    b. Opportunity Summary
    c. Customer Composition
    d. Gain/Loss by Number of Customer
    e. Revenue Under Management
    f. Prospects To Clients



Screen: RM Dashboard

4.4.1. Asset under Management

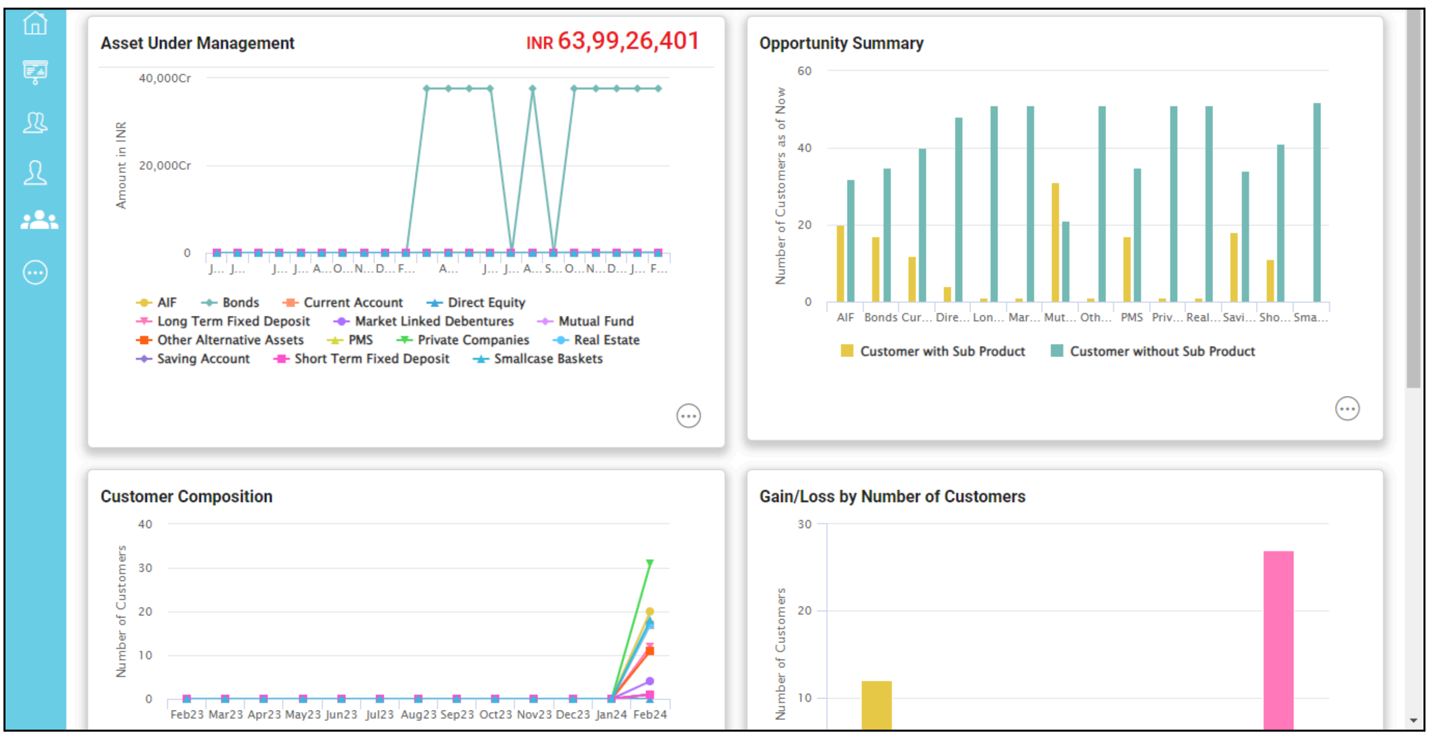
1. This widget displays to the RM the Asset under Management of their customers who are holding the respective sub products. Months are plotted on the x-axis; AUM values for each of the sub products for the respective month are plotted on the y-axis.

The below product categories will be displayed in the widget :

a. AIF
b. Bonds
c. Current Account
d. Direct Equity
e. Long Term Fixed Deposit
f. Market Linked Debentures
g. Mutual Funds
h. Other Alternative Assets
i. PMS
j. Private Companies
k. Real Estate
l. Savings Account
m. Short Term Fixed Deposits
n. Smallcase Baskets

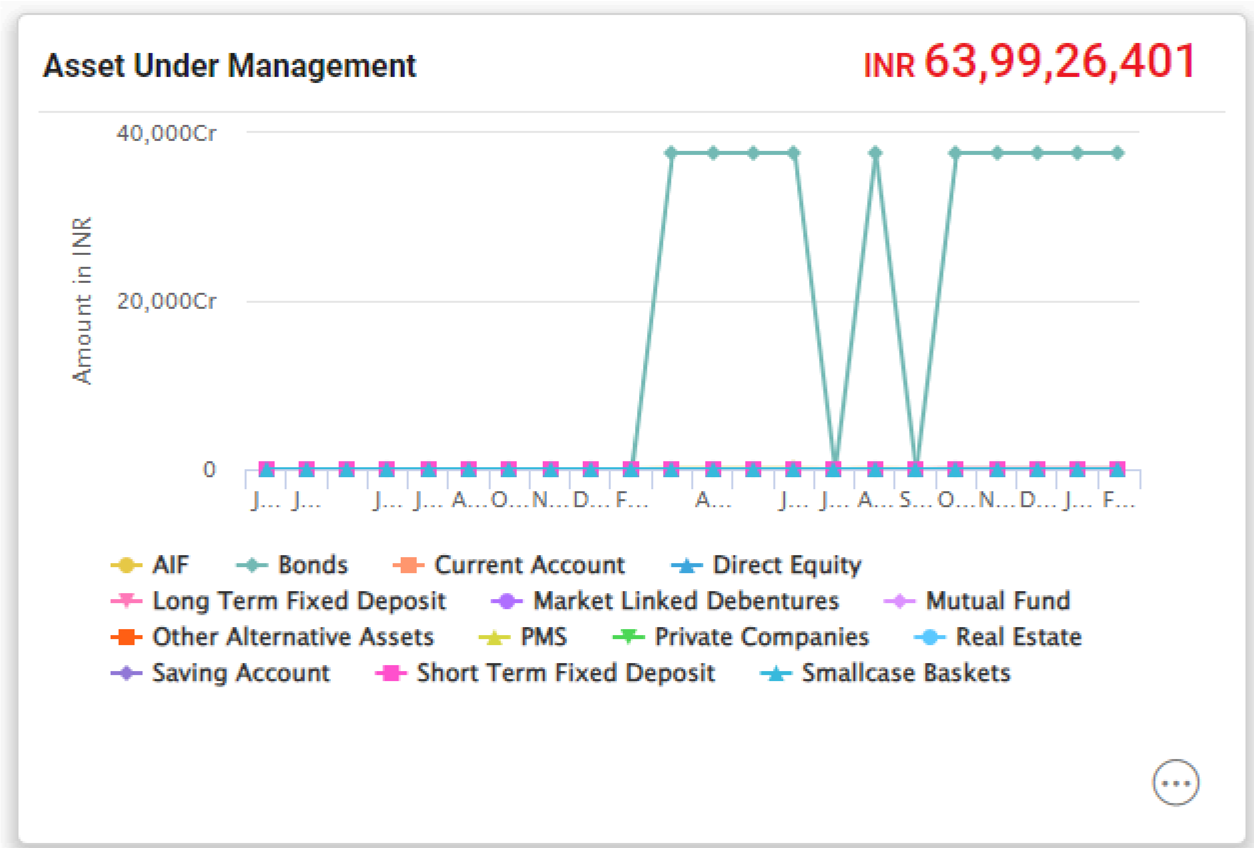
Note: These are as per the Product Hierarchy setup

2. The RM can hover over the graph to view details



Screen: Mouse over graph details

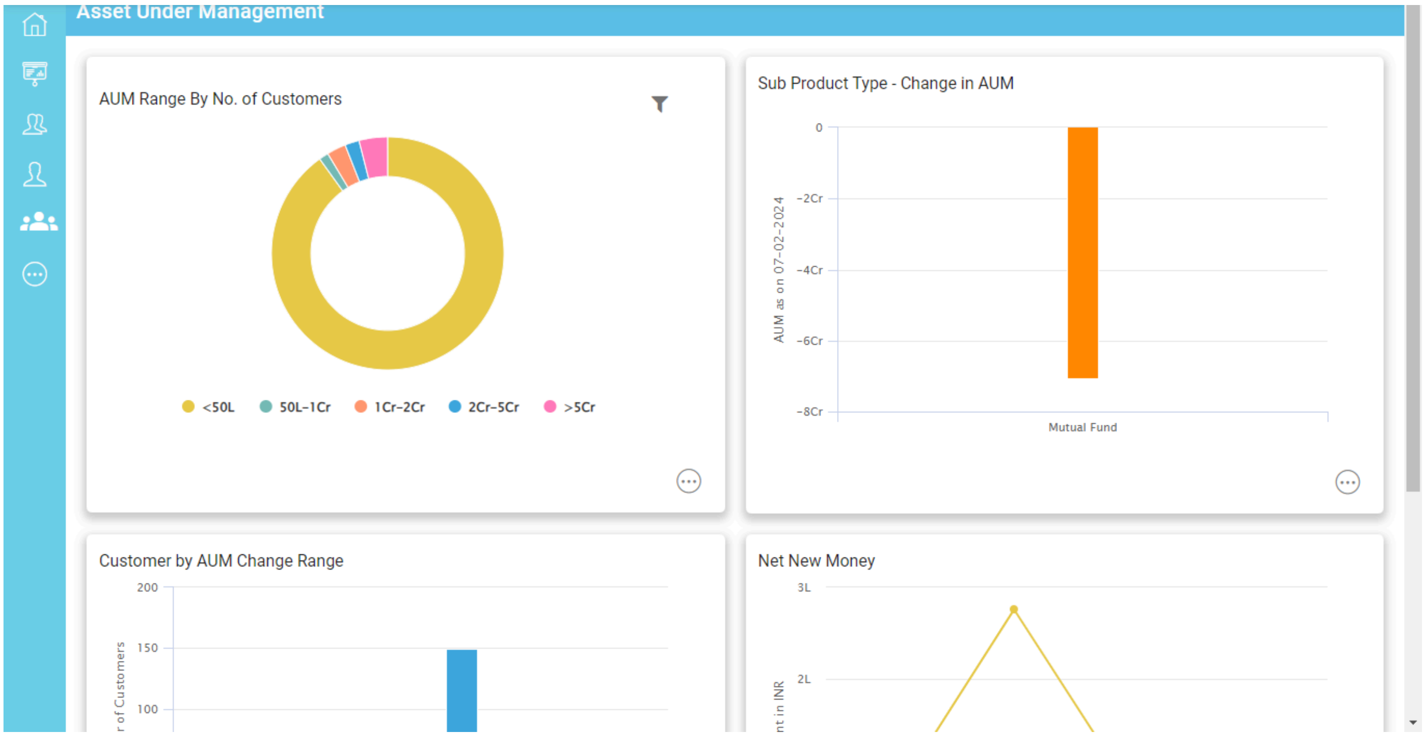
3. They can click on the “Three Dots” button to navigate to the L2 view



Screen: Asset under Management (L1 View)

4. The L2 view for Asset Under management consists of the following widgets:

    a. AUM Range By No. of Customers
    b. Sub Product Type – Change in AUM
    c. Customer by AUM Change
    d. Net New Money

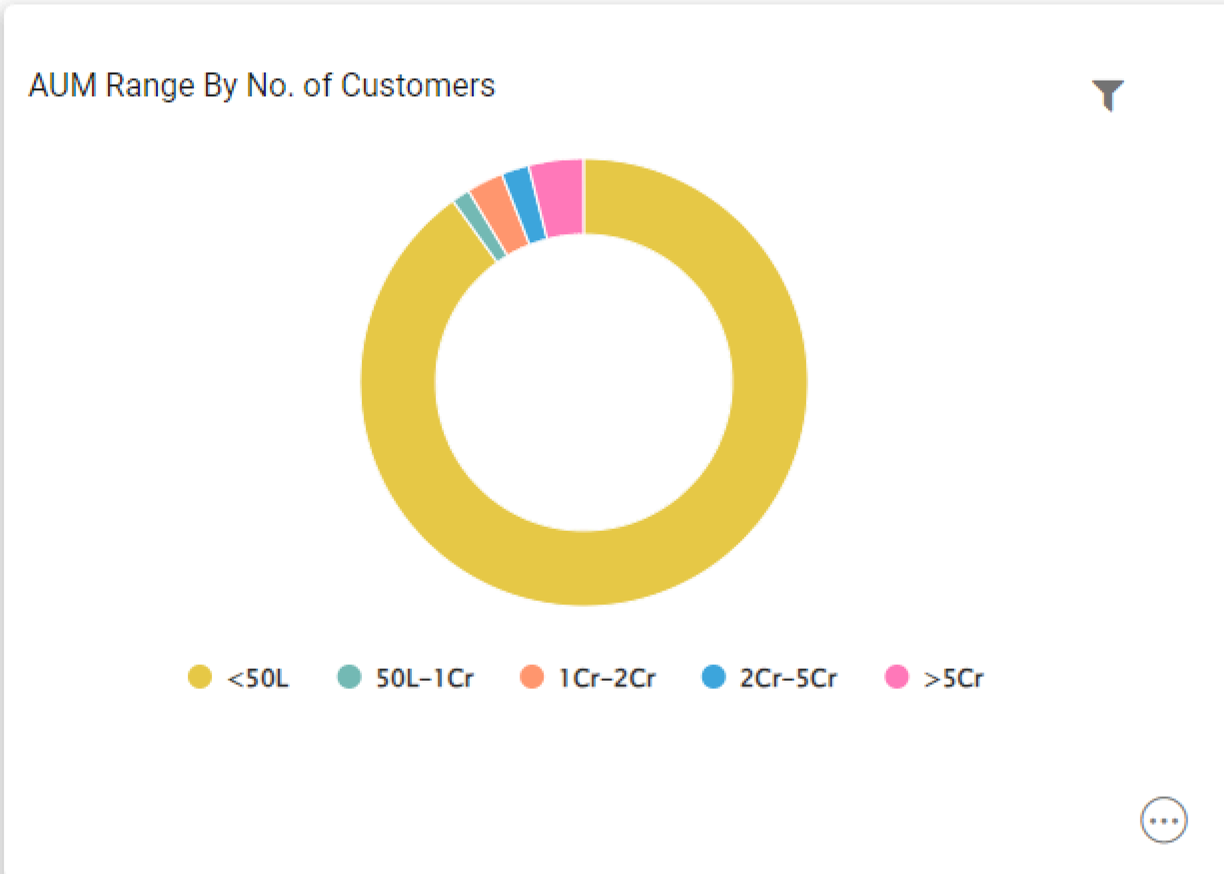


Screen: Asset under Management (L2 View)

4.4.1.1. AUM Range by No. of Customers

1. This widget displays the number of customers of the RM grouped by AUM Range. The following AUM ranges will be available on the widget:

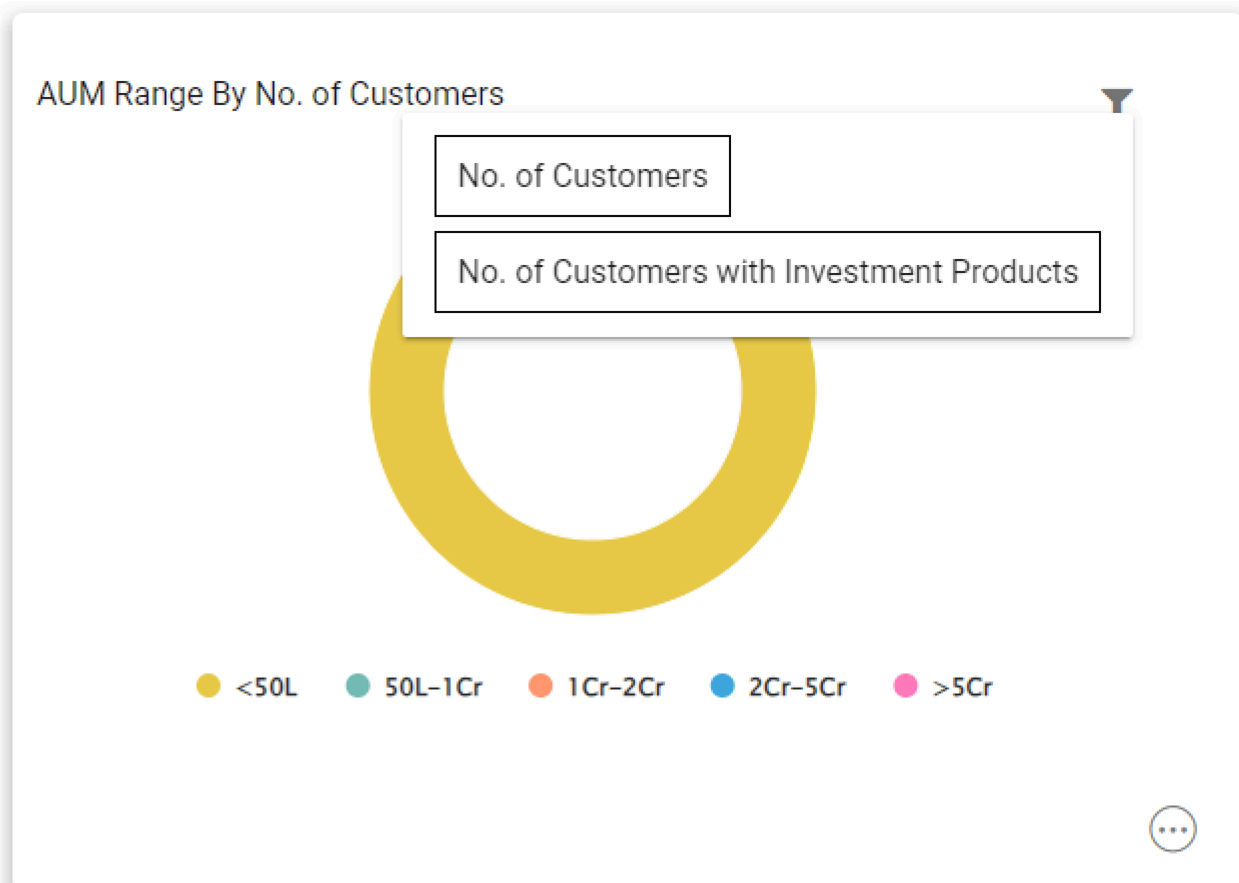
    a. <50 L (Less than 50 L)
    b. 50 L - 1 Cr (Greater than or Equal to 50 L and Less than 1 Cr)
    c. 1 Cr - 2 Cr (Greater than or equal to 1 Cr and Less than 2 Cr)
    d. 2 Cr - 5 Cr (Greater than equal to 2 Cr and Less than 5 Cr)
    e. >5 Cr (Greater than or equal to 5 Cr)



Screen: AUM Range by No. of Customers (L2 View)

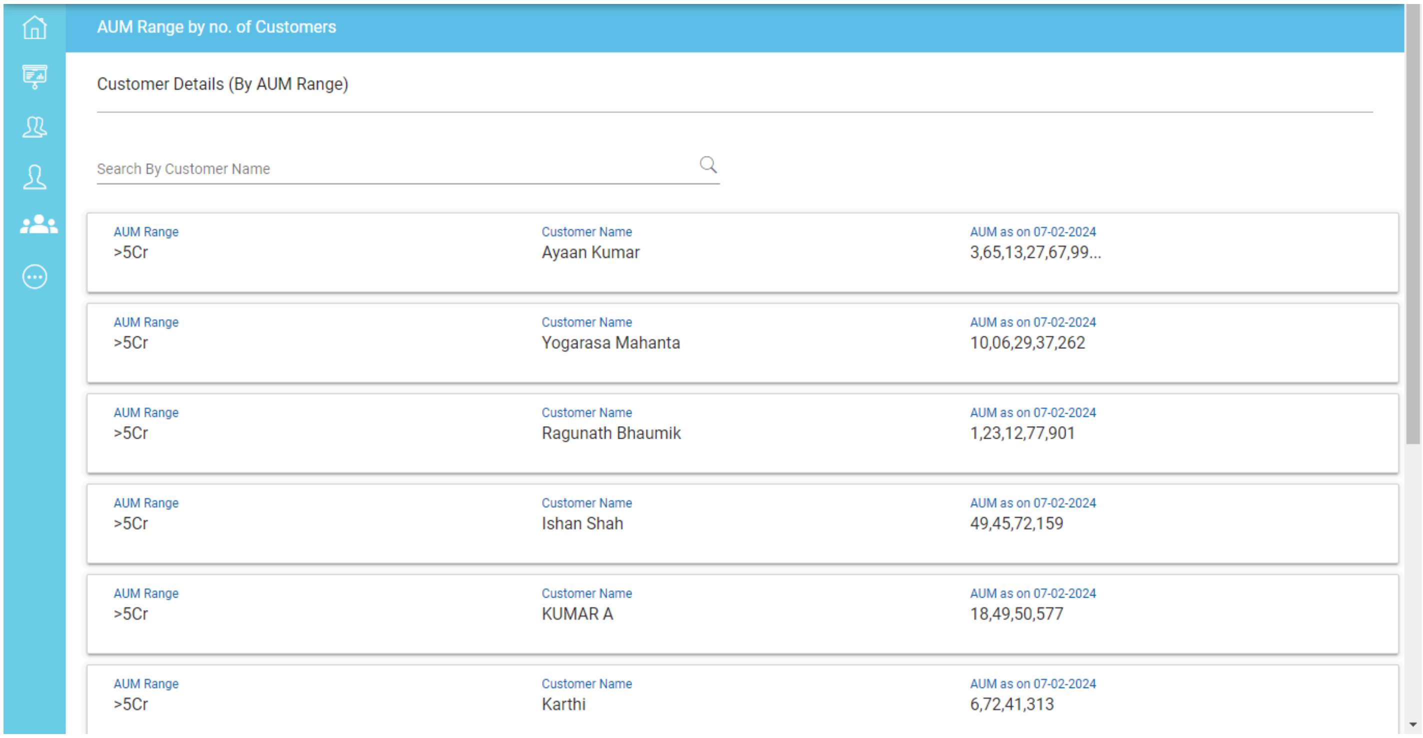
2. For the AUM Range by No. of Customers widget, the RM can select the below mentioned filter criteria
    a. No. of Customers – Filters all the customers mapped to the RM grouped by AUM range
    b. No. of Customers with Investment Products – Filters the customers with investment products grouped by AUM range
    c. No. of Customers with Deposit Products - Filters the customers with deposit products grouped by AUM range

3. The RM can view L3 level details for the AUM Range By No. of Customers widget by clicking on the “Three Dots”



Screen: AUM Range by No. of Customers – Filter

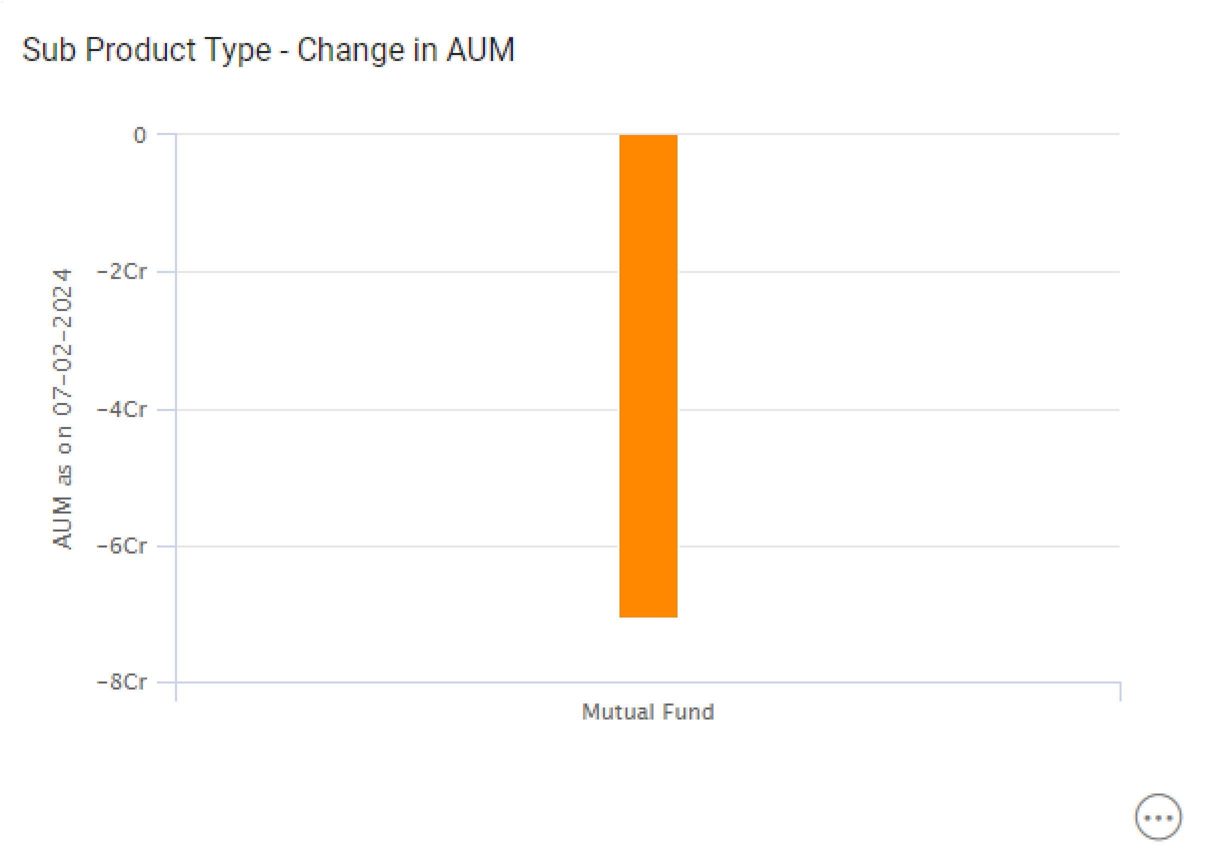
4. The RM can see the list of their customers grouped by AUM range and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data being displayed is as on current date. Table displays the following data:
    a. AUM Range
    b. Customer Name
    c. AUM as on Date



Screen: AUM Range by no. of Customers (L3 View)

4.4.1.2. Sub Product Type – Change in AUM

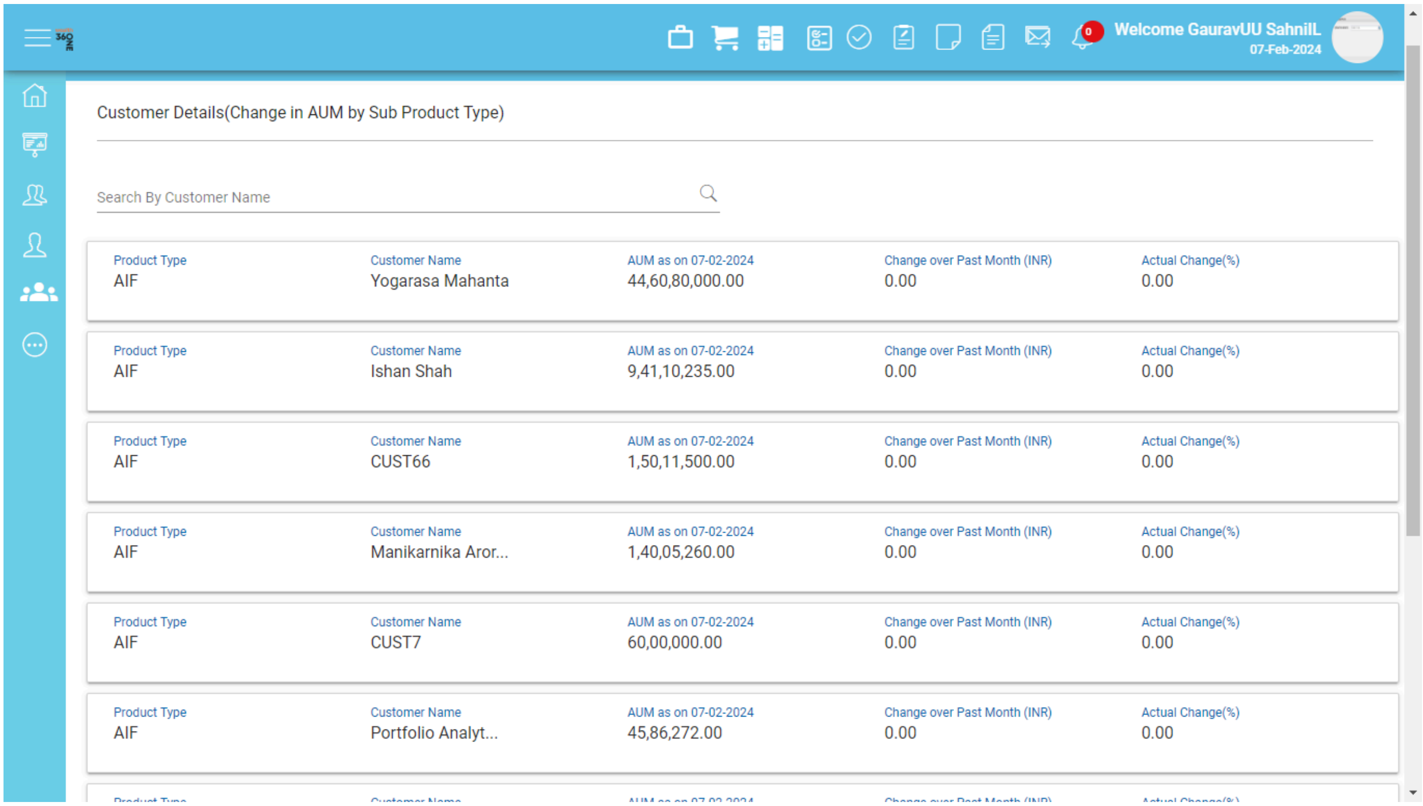
1. This widget displays the change in AUM by Sub Product for all customers mapped to the RM. Sub Products are plotted on the x-axis; Change in AUM for the respective sub product is plotted on the y-axis
2. Change in AUM for the Sub Product = AUM as on date for the Sub Product Type - AUM as on last date of past month for the Sub Product
3. Actual Change (%) = (AUM as on date for the Sub Product Type - AUM as on last date of past month for the Sub Product)/(AUM as on last date of past month for the Sub Product) * 100
4. The RM can view L3 level details for the Sub Product Type – Change in AUM widget by clicking on the “Three Dots”



Screen: Sub Product Type – Change in AUM (L2 View)

5. The RM can see the list of their customers grouped by Sub Product Type and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data that is being displayed is as on current date. The table displays the following data:

    a. Product Type
    b. Customer Name
    c. AUM as on Date
    d. Change over Past month
    e. Actual Change (%)



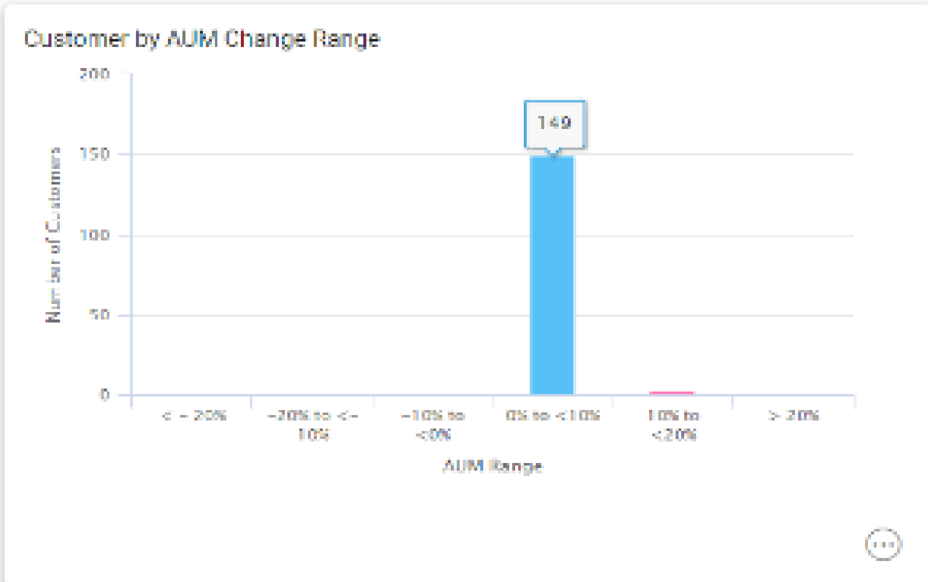
Screen: Sub Product Type – Change in AUM (L3 View)

4.4.1.3. Customer by AUM Change Range

1. This widget displays the change in AUM for all customers mapped to the RM. AUM change ranges (%) are plotted on the x-axis; Number of customers falling in the AUM Change range (%) is plotted on the y-axis
2. Change in the AUM for the Customer = AUM as on date for the Customer - AUM as on last date of past month for the Customer
3. Change in the AUM for the Customer (%) = (AUM as on date for the Customer - AUM as on last date of past month for the Customer)/(AUM as on last date of past month for the Customer) *100
4. The following AUM change ranges will be available on the widget:

    a. <-20% (Less than -20%)
    b. -20% to <-10% (Greater than or equal to -20% and Less than -10%)
    c. -10% to <0% (Greater than or equal to -10% and Less than 0%)
    d. 0% to <10% (Greater than or equal to 0% and Less than 10%)
    e. 10% to <20% (Greater than or equal to 10% and Less than 20%)
    f. >20% (Greater than or equal to 20%)

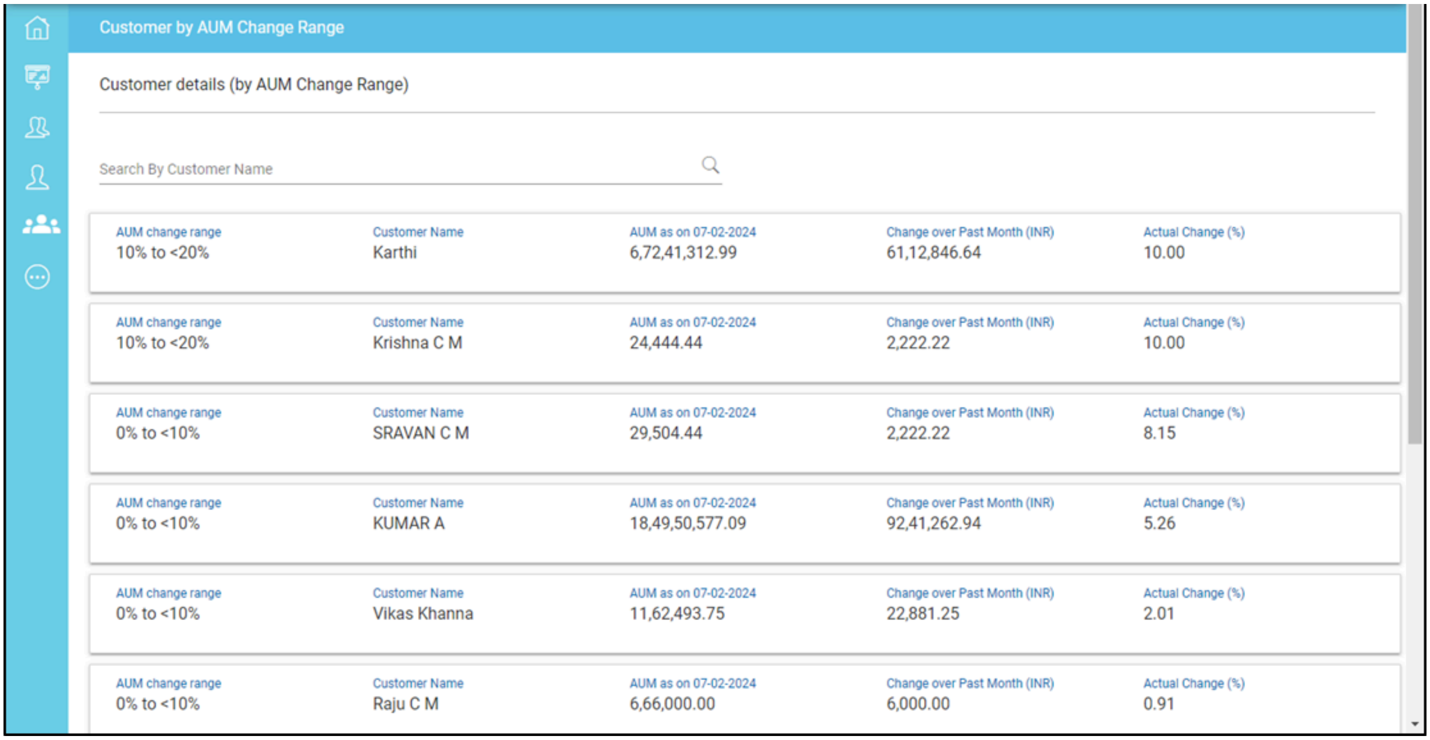
5. The RM can view L3 level details for the Customer by the AUM Change Range widget by clicking on the “Three Dots”



Screen: Customer by AUM Change Range (L2 View)

6. The RM can see the list of their customers grouped by AUM Change Range and sorted by descending order of AUM. System also provides the option to search by the Customer Name. Data that is being displayed is as on current date. The table displays the following data:

    a. AUM Change Range
    b. Customer Name
    c. AUM as on Date
    d. Change over Past Month (Branch Currency)
    e. Actual Change (%)



Screen: Customer by AUM Change Range (L3 View)

4.4.1.4. Net New Money

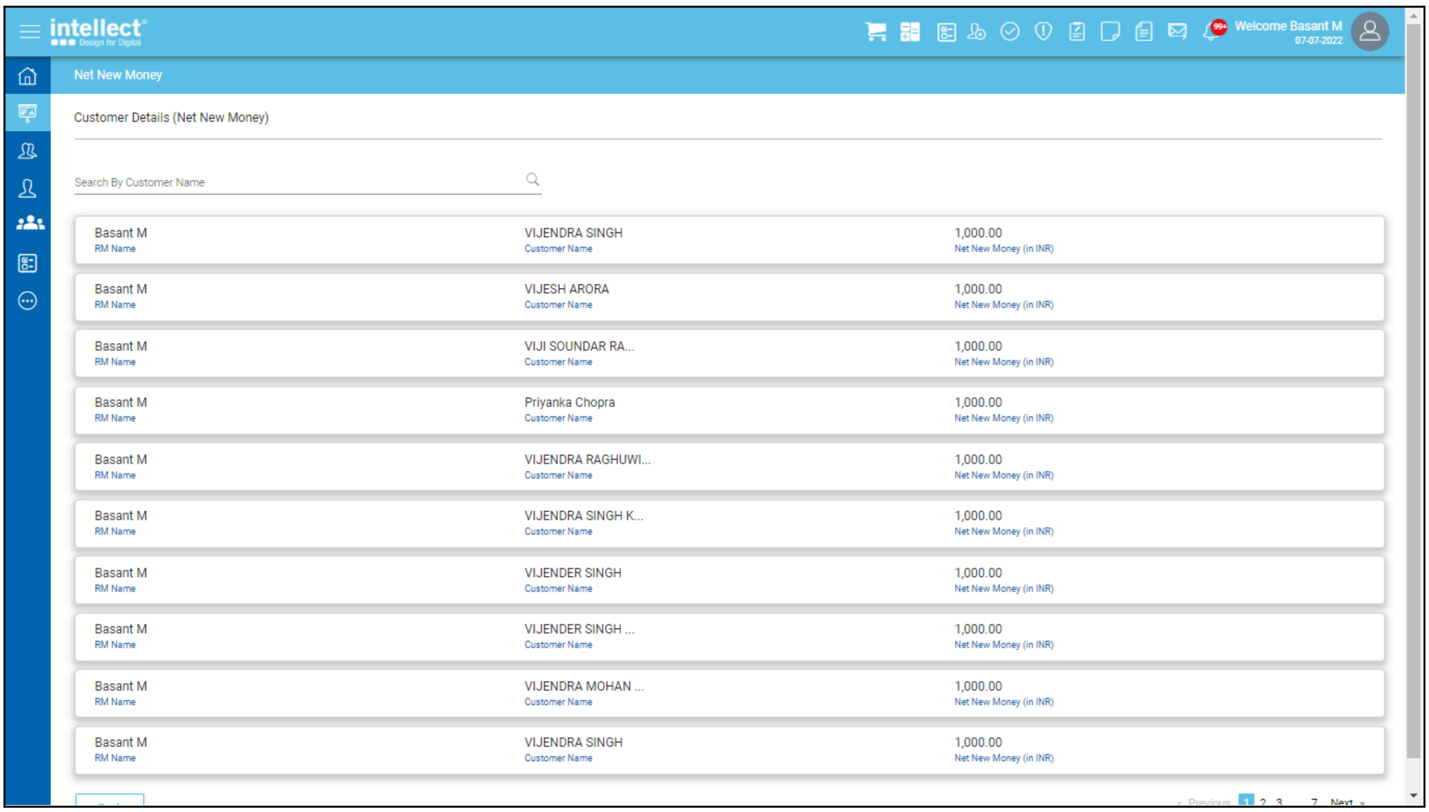
1. This widget displays the net new investments (Inflows – Outflows) made by all customers mapped to the RM every month. Months are plotted on the x-axis; Net New Investments made by the customers in the respective month is plotted on the y-axis

Screen: Net New Money (L2 View)

2. The RM can view L3 level details for the Net New Money widget by clicking on the “Three Dots”. The L3 view will display the new investments made by the customers in the current month

3. The RM can see the list of their customers with the details of Net New Investments made in the current month by the descending order of Net New Money. System also provides the option to search for the Customer Name. Data that is being displayed is as on current date. The table displays the following data:

   a. RM Name
   b. Customer Name
   c. Net New Money (in Branch Currency)



Screen: Net New Money (L3 View)

4.4.2. Opportunity Summary

The Opportunity Summary provides the RM, information on various sub products that mapped customers of that RM are currently holding and also the sub product types that their customers are not holding, thus creating cross selling opportunities for the RM. Sub Products are plotted on the x-axis; Count of Customers who are holding and not holding a particular product category is plotted on the y-axis. The below product categories will be displayed in the widget:

   a. AIF
   b. Bonds
   c. Current Account
   d. Direct Equity
   e. Long Term Fixed Deposit
   f. Market Linked Debentures

g. Mutual Funds
h. Other Alternative Assets
i. PMS
j. Private Companies
k. Real Estate
l. Savings Account
m. Short Term Fixed Deposits
n. Smallcase Baskets

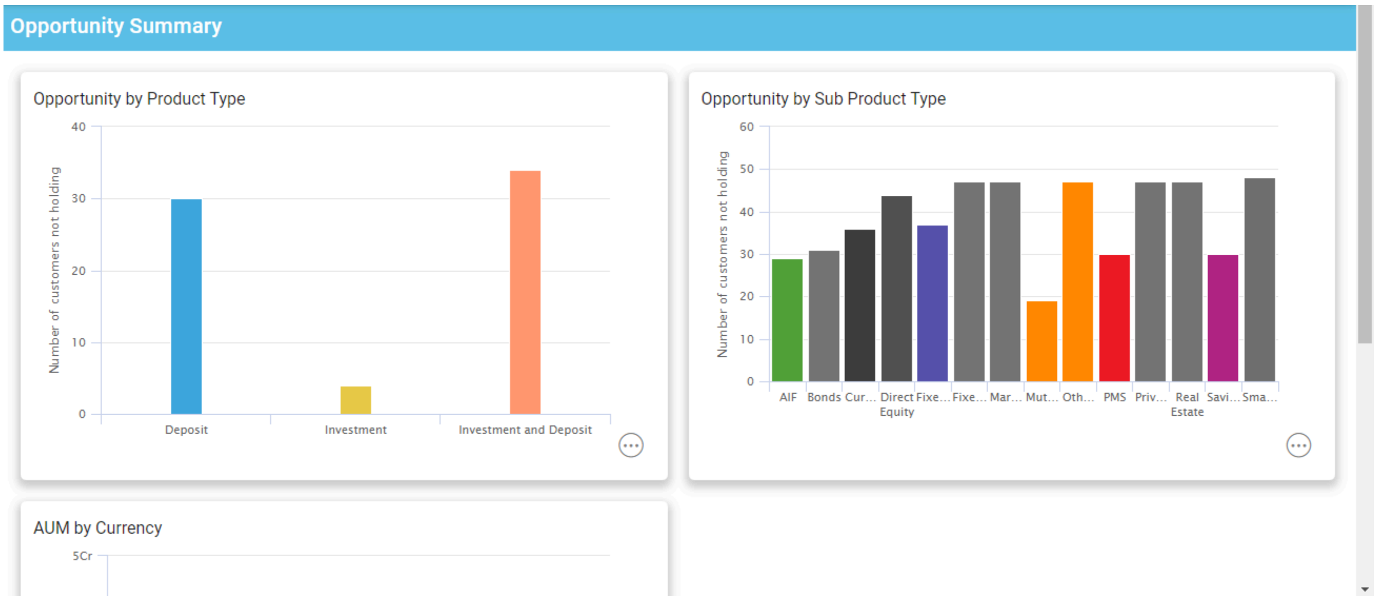
Note: These are as per the Product Hierarchy setup

1. The RM can hover over the graph to view details
2. They can click on the “Three Dots” button to navigate to the L2 view

Screen: Opportunity Summary (L1 View)

3. The L2 view for Opportunity Summary consists of the following widgets:

   a. Opportunity Summary by Product Category
   b. Opportunity Summary by Sub Product Type
   c. AUM by Currency

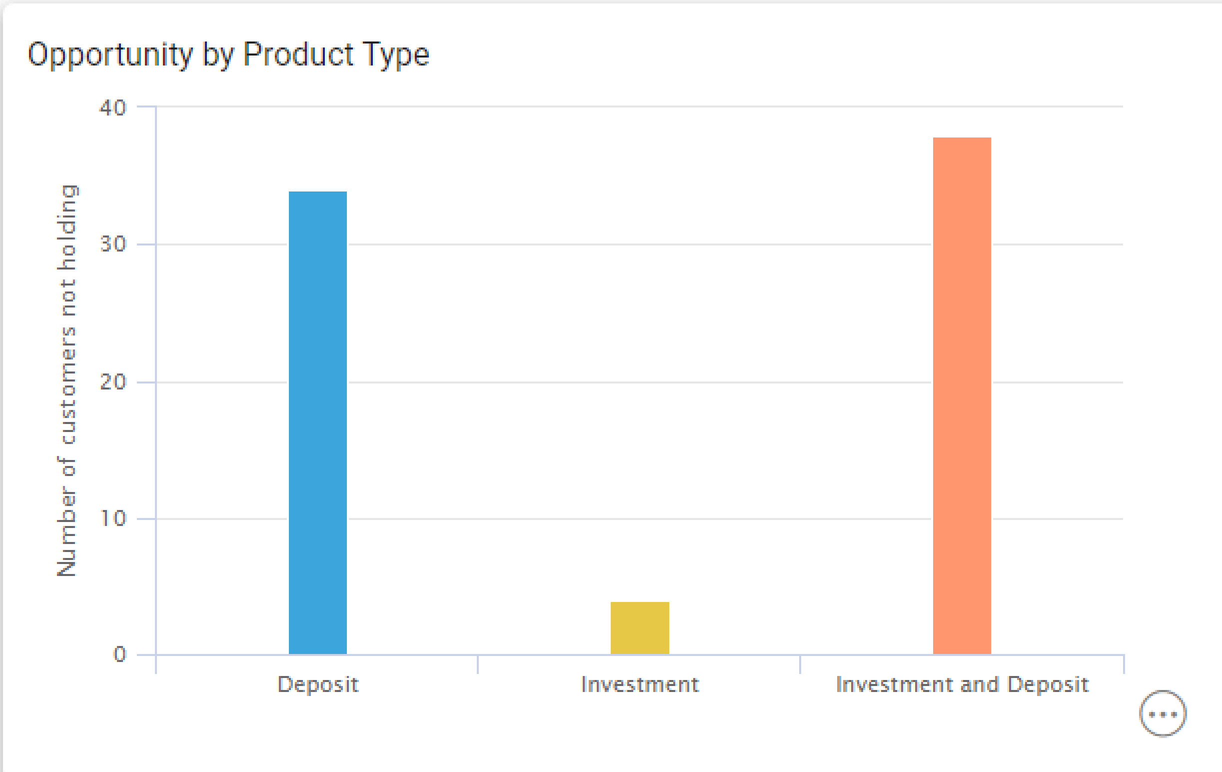


Screen: Opportunity Summary (L2 View)

4.4.2.1. Opportunity by Product Type

1. The widget displays to the RM the count of customers mapped to them, who do not hold a respective product category. This creates an opportunity for the RM to have an interaction with customers mapped to them about investing into these product categories, which they do not have in their portfolio. Product Categories are plotted on the x-axis; Count of Customers who are not holding a particular product category is plotted on the y-axis

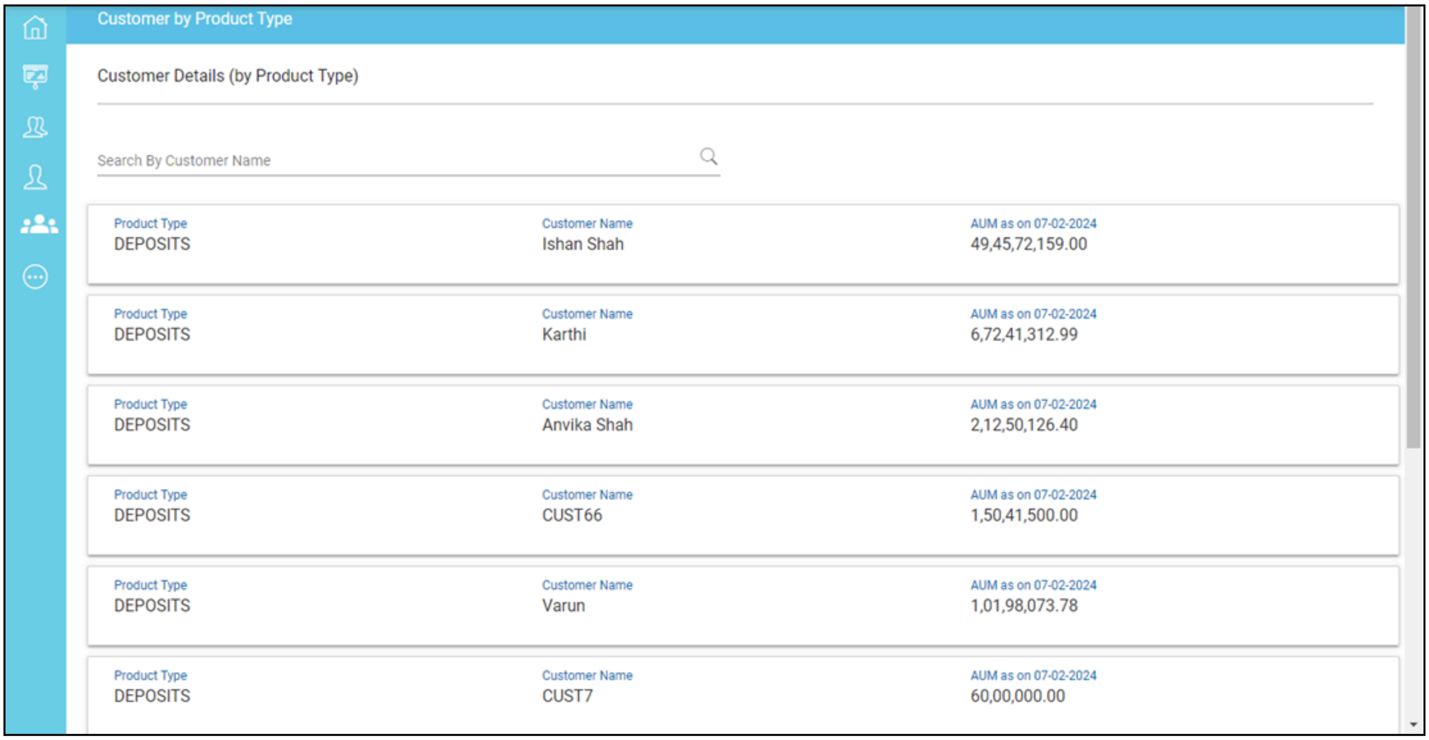
2. The RM can view L3 level details for the Opportunity by Product Category widget by clicking on the “Three Dots”



Screen: Opportunity by Product Type (L2 View)

3. The RM can see the list of their customers grouped by Product Category and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data that is being displayed is as on current date. The table displays the following data:

    a. Product Type
    b. Customer Name
    c. AUM as on Date

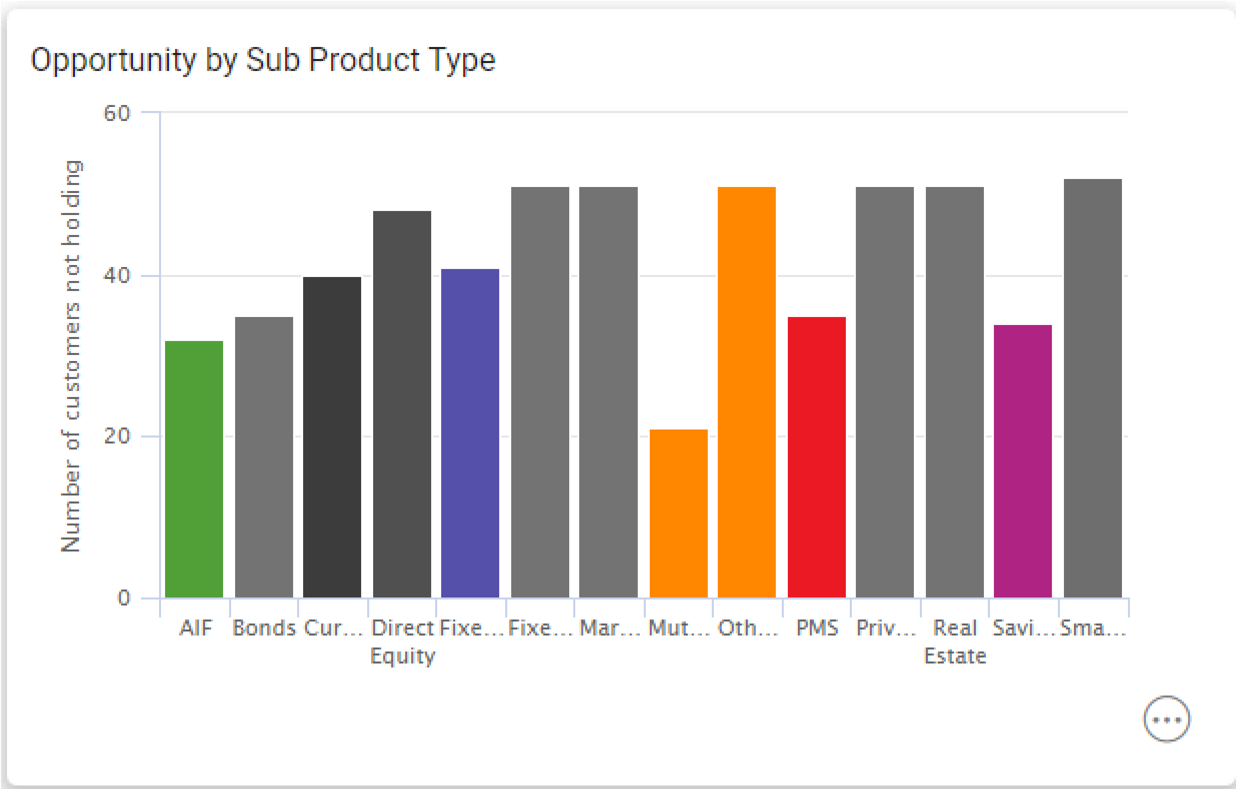


Screen: Opportunity by Product Type (L3 View)

4.4.2.2. Opportunity by Sub Product Type

1. The widget displays to the RM, the count of customers mapped to them, who do not hold a respective sub product. This creates an opportunity for the RM to have an interaction with customers mapped to them about investing into these sub products, which they do not have in their portfolio. Sub Products are plotted on the x-axis; Count of Customers who are not holding a particular sub product is plotted on the y-axis

2. The RM can view L3 level details for Opportunity by Sub Product widget by clicking on the “Three Dots”

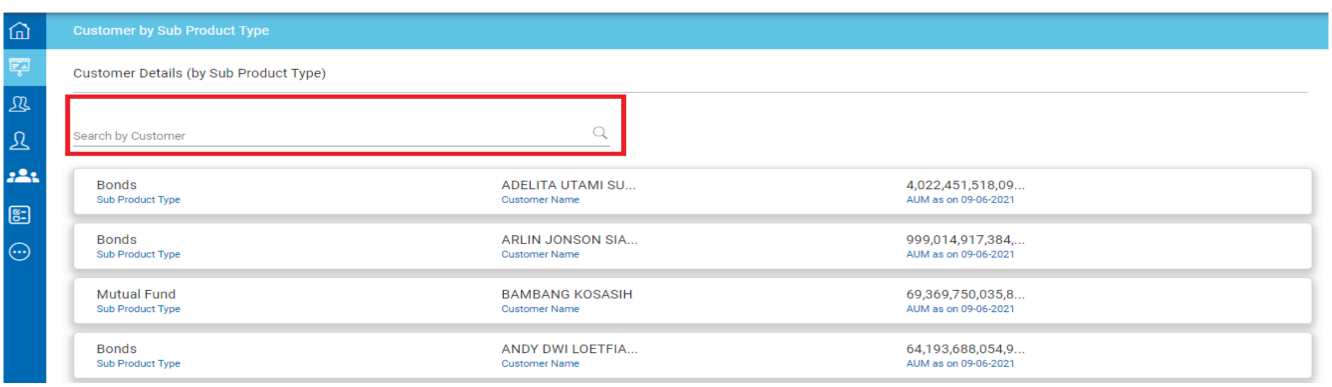


Screen: Opportunity by Sub Product (L2 View)

3. The RM can see the list of their customers grouped by Sub Product Type and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data that is being displayed is as on current date. The table displays the following data:

   a. Sub Product Type
   b. Customer Name
   c. AUM as on Date

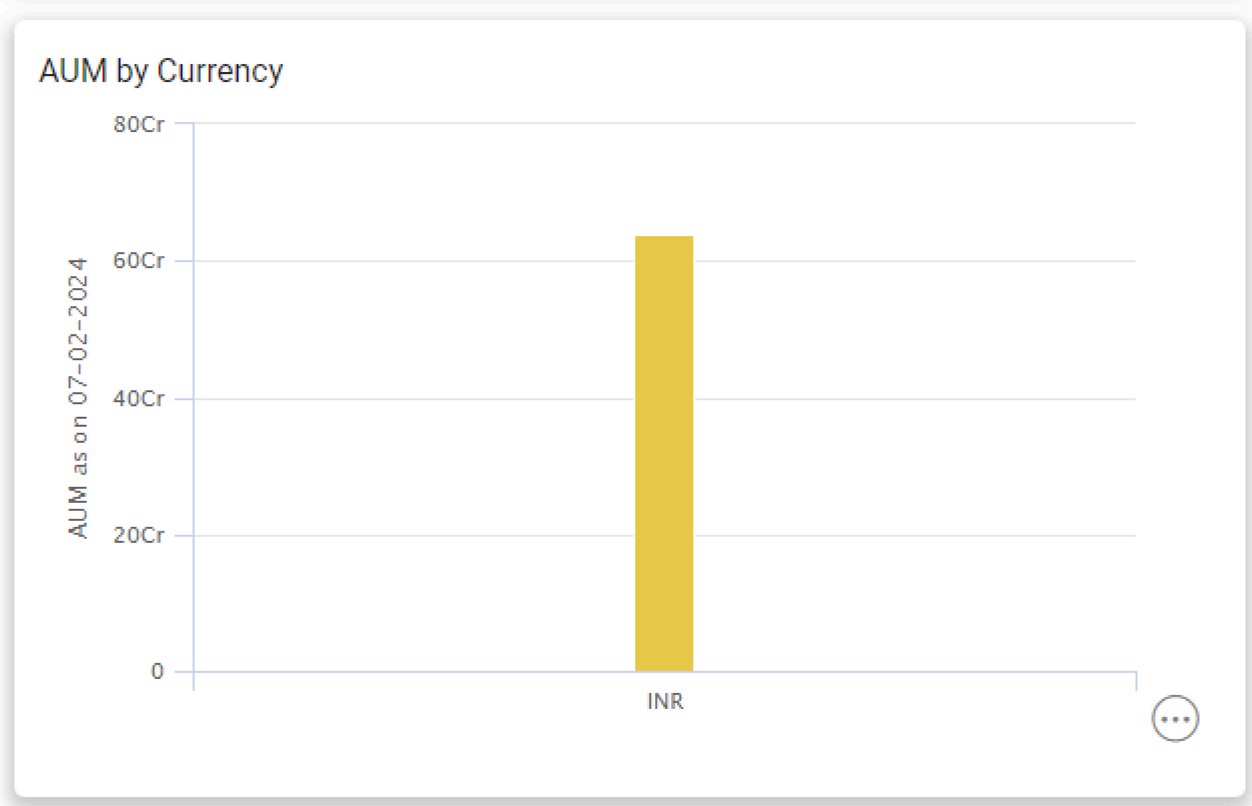
Screen: Opportunity by Sub Product (L3 View)



4.4.2.3. AUM by Currency

1. This widget displays the total AUM of all the customers mapped to the RM grouped by different currencies. RM can see the AUM of the customers who have portfolio in various currencies

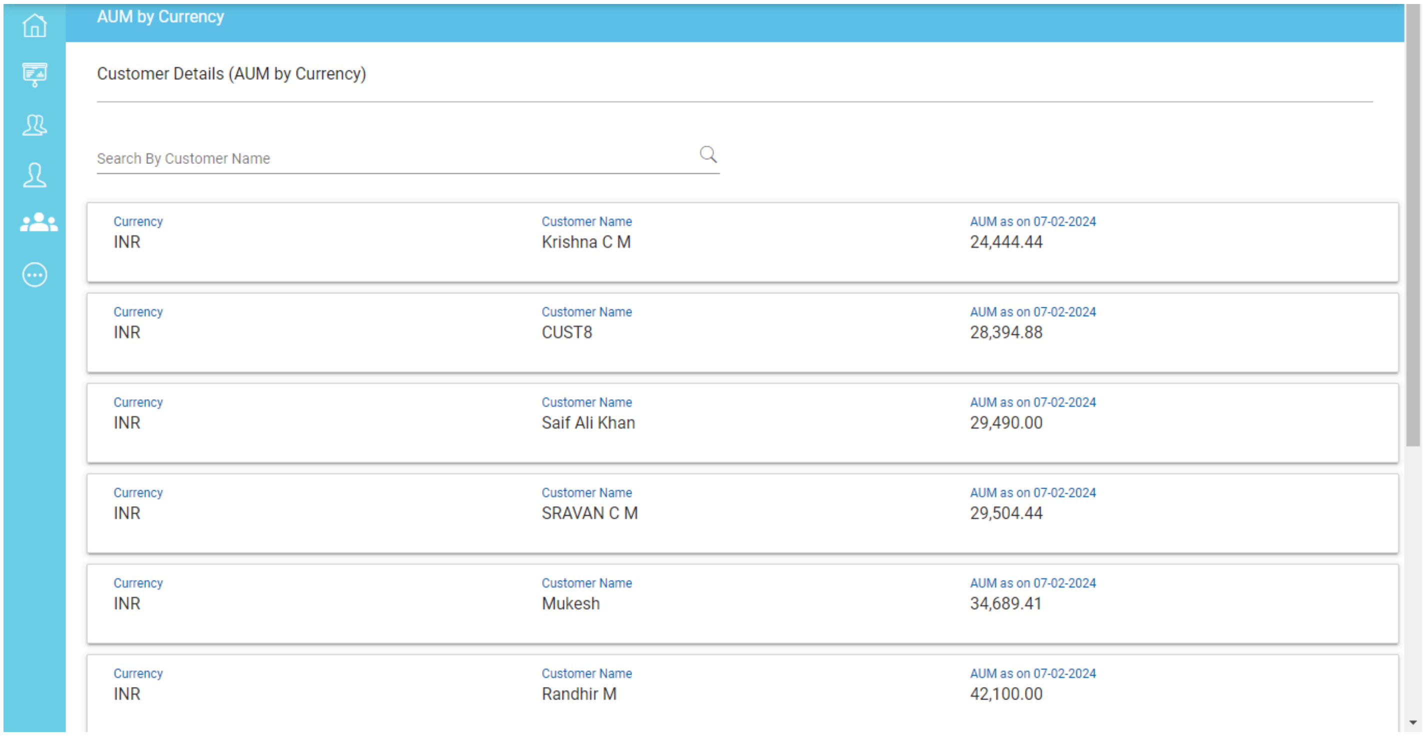
2. The RM can view L3 level details for AUM by the Currency widget by clicking on the “Three Dots”



Screen: AUM by Currency (L2 View)

3. The RM can see the list of their customers grouped by Currency. System also provides the option to search for the Customer Name. Data that is being displayed is as on current date. The table displays the following data:

   a. Currency
   b. Customer Name
   c. AUM as on Date



Screen: AUM by Currency (L3 View)

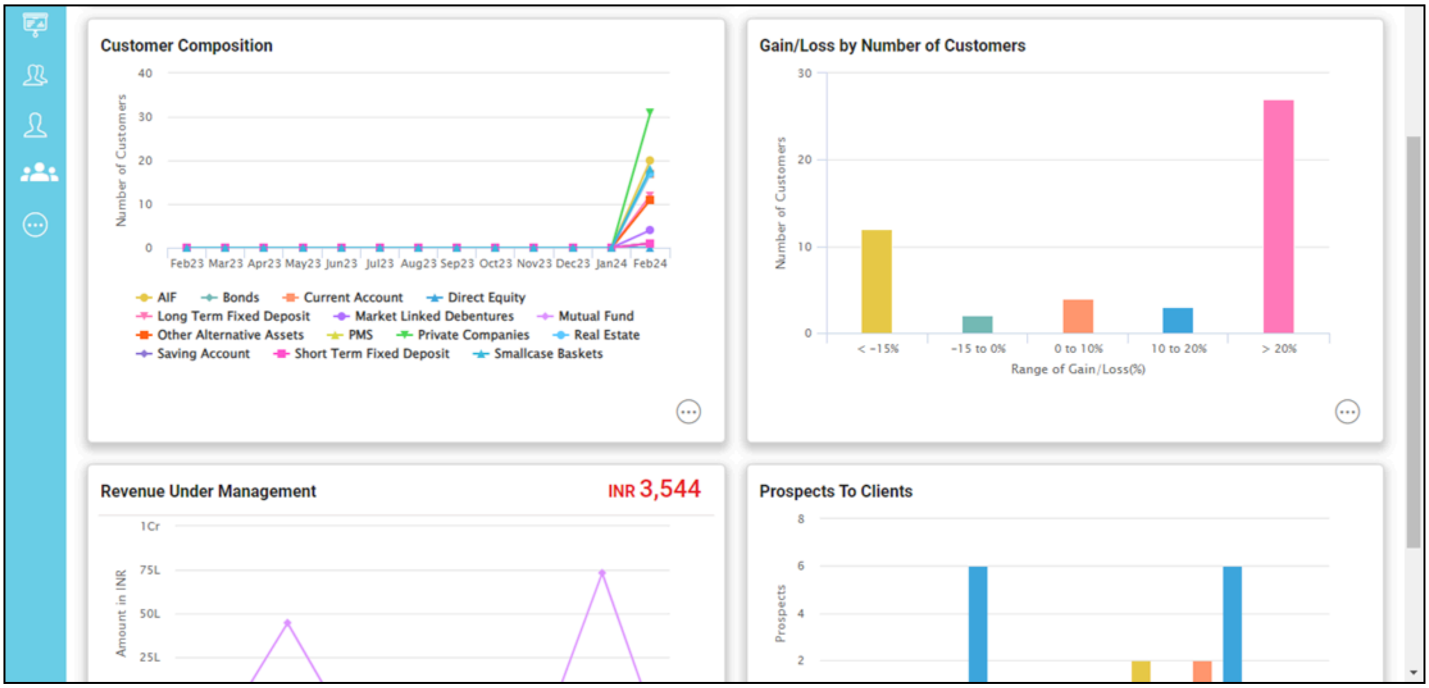
4.4.3. Customer Composition

1. Customer Composition widget displays the Sub Product wise breakup of the number of customers to the RM for each month. Months are plotted on the x-axis; Count of Customers holding a particular product category for the respective month is plotted on the y-axis. The below product categories will be displayed in the widget:

   a. AIF
   b. Bonds
   c. Current Account
   d. Direct Equity
   e. Long Term Fixed Deposit
   f. Market Linked Debentures
   g. Mutual Funds
   h. Other Alternative Assets
   i. PMS
   j. Private Companies
   k. Real Estate
   l. Savings Account
   m. Short Term Fixed Deposits
   n. Smallcase Baskets

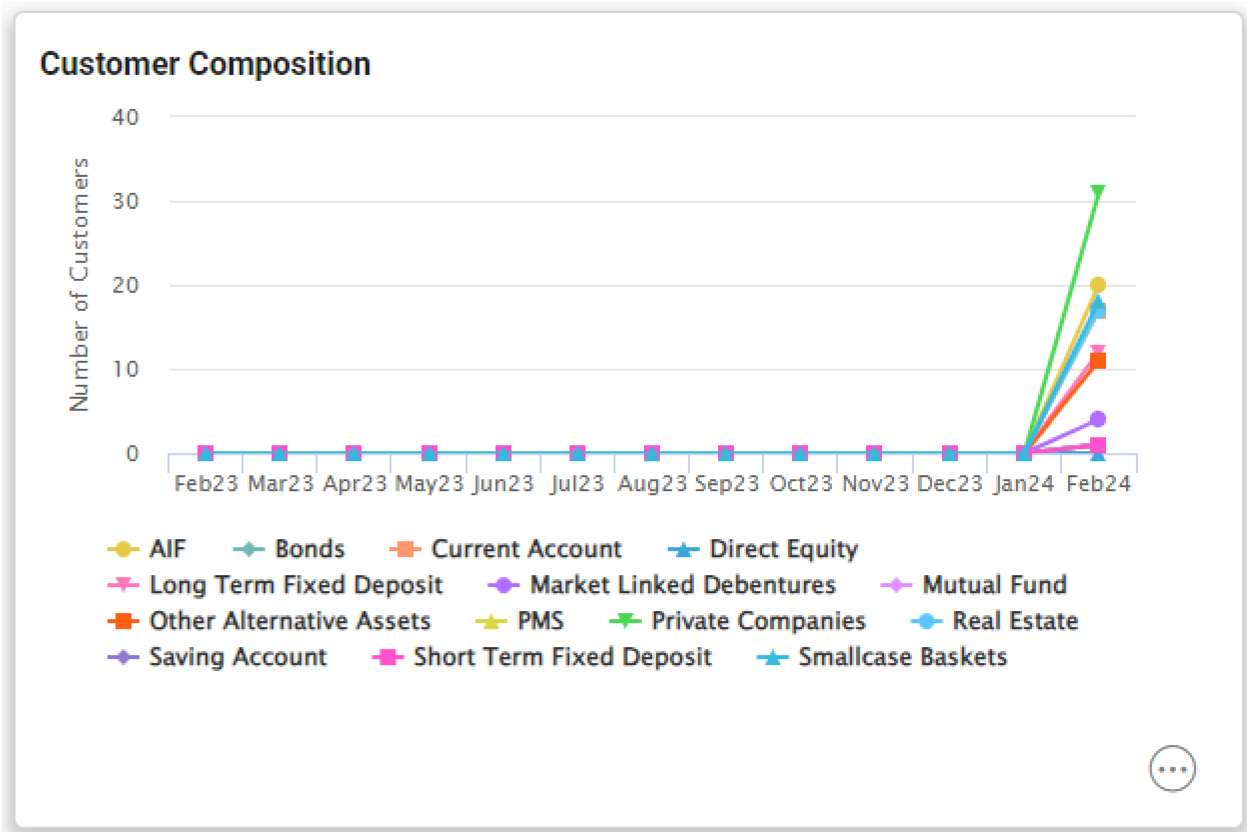
Note: These are as per the Product Hierarchy setup

2. The RM can hover over the graph to view details



Screen: Customer Composition (Mouse Hover)

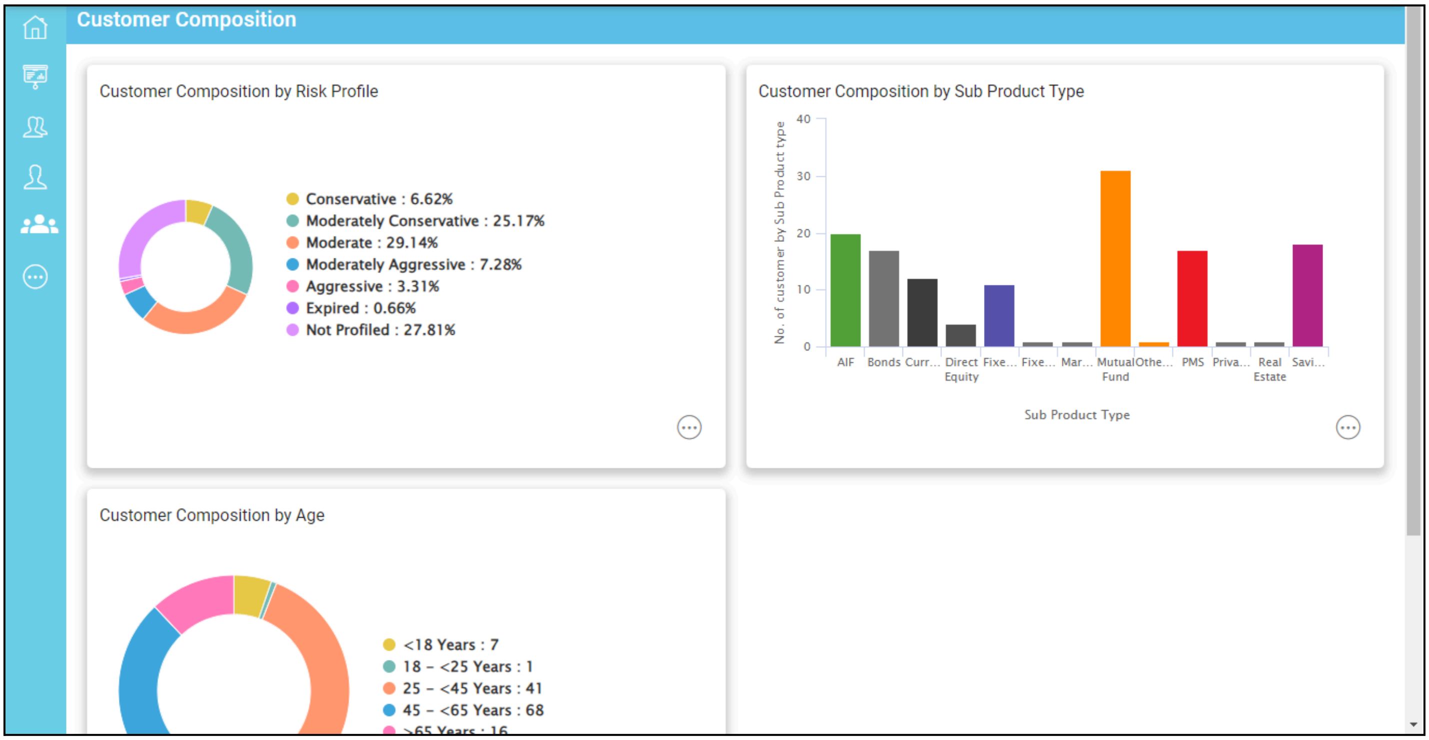
3. They can click on the “Three Dots” button to navigate to the L2 view



Screen: Customer Composition (L1 View)

4. The L2 view for Customer Composition consists of the following widgets:

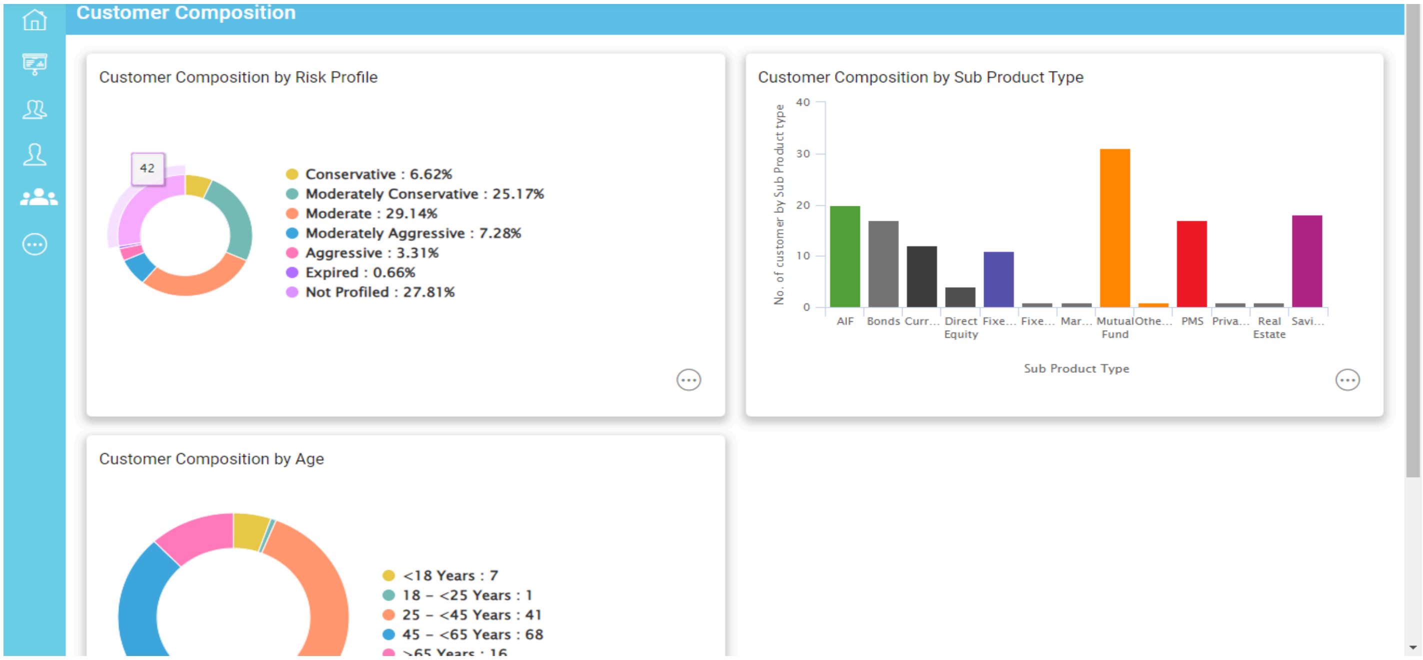
   a. Customer Composition by Risk Profile
   b. Customer Composition by Sub Product Type
   c. Customer Composition by Age



Screen: Customer Composition (L2 View)

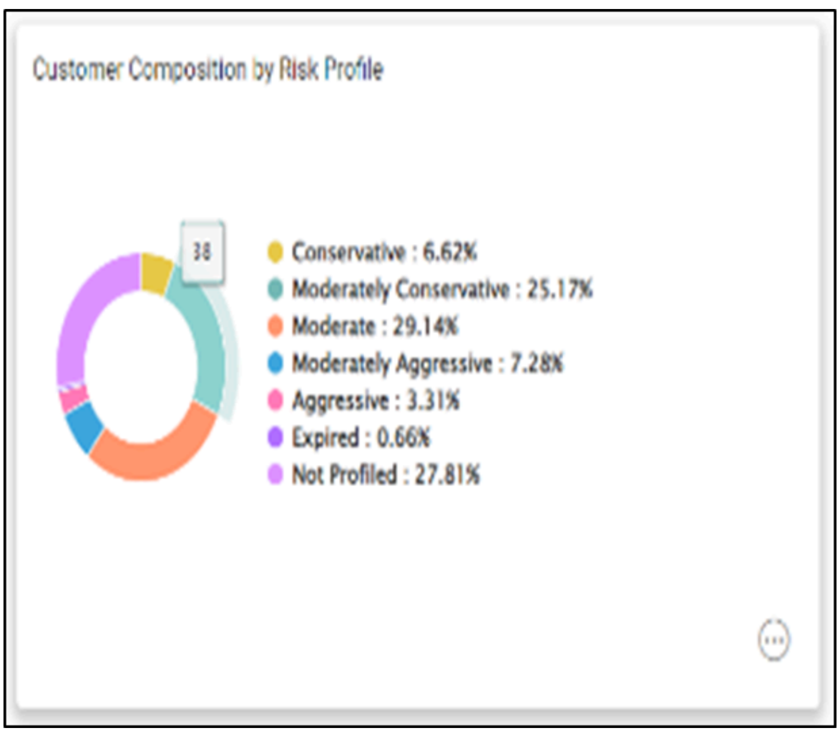
4.4.3.1. Customer Composition by Risk Profile

1. This widget displays the percentage and count of customers with different Risk Profiles mapped to the RM
2. The RM can hover over the graph to view details



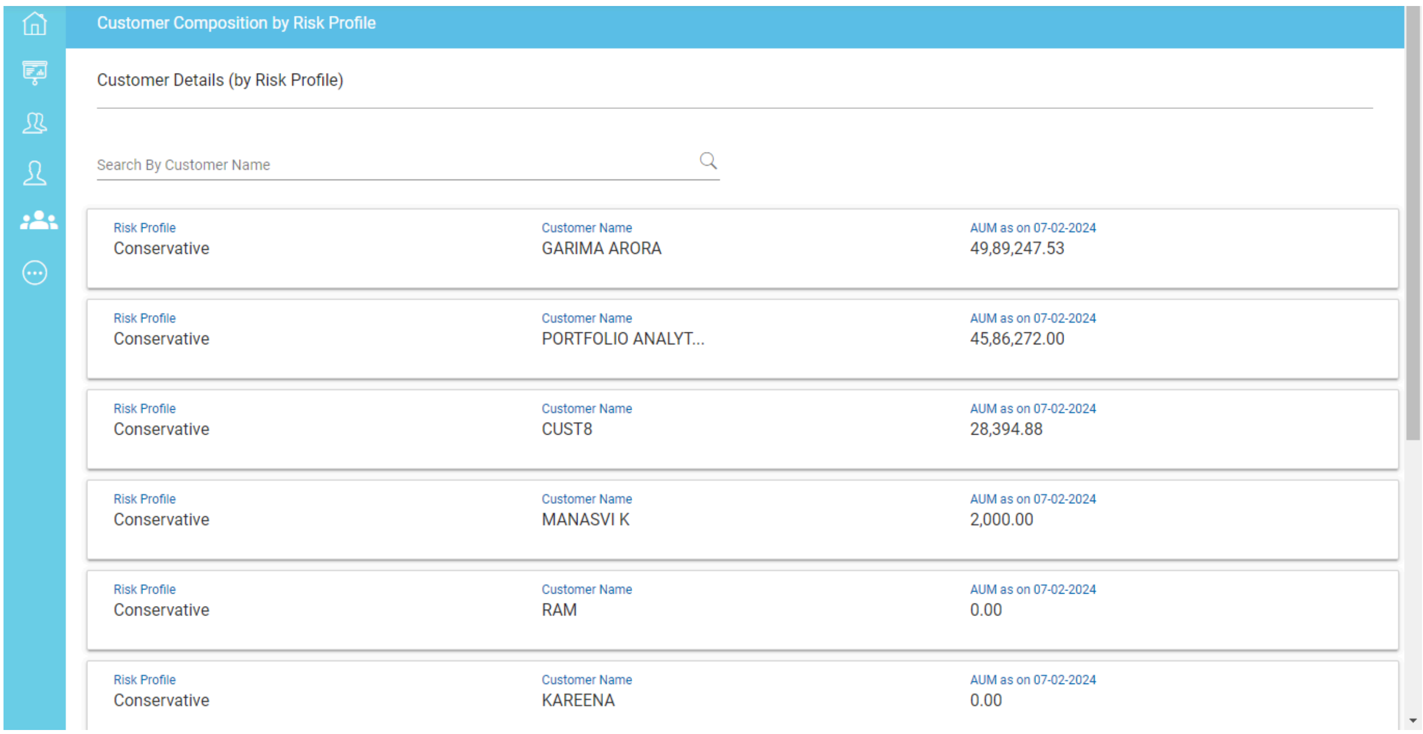
Screen: Customer Composition by Risk Profile (Mouse Hover)

3. They can click on the "Three Dots" button to navigate to the L3 view



Screen: Customer Composition by Risk Profile (L2 View)

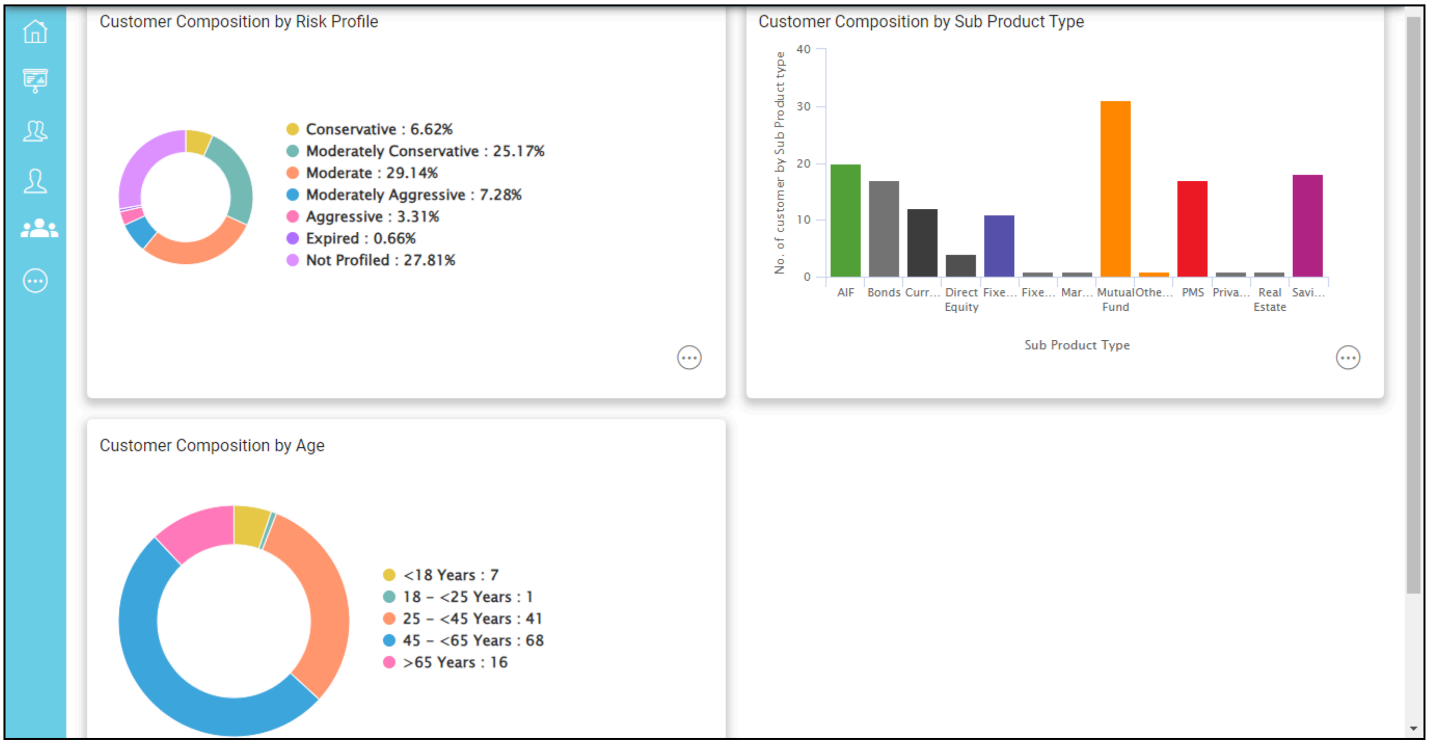
4. The RM can see the list of their customers grouped by risk profile and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data being displayed is as on current date. Table displays the following data:
   a. Risk Profile
   b. Customer Name
   c. AUM as on Date



Screen: Customer Composition by Risk Profile (L3 View)

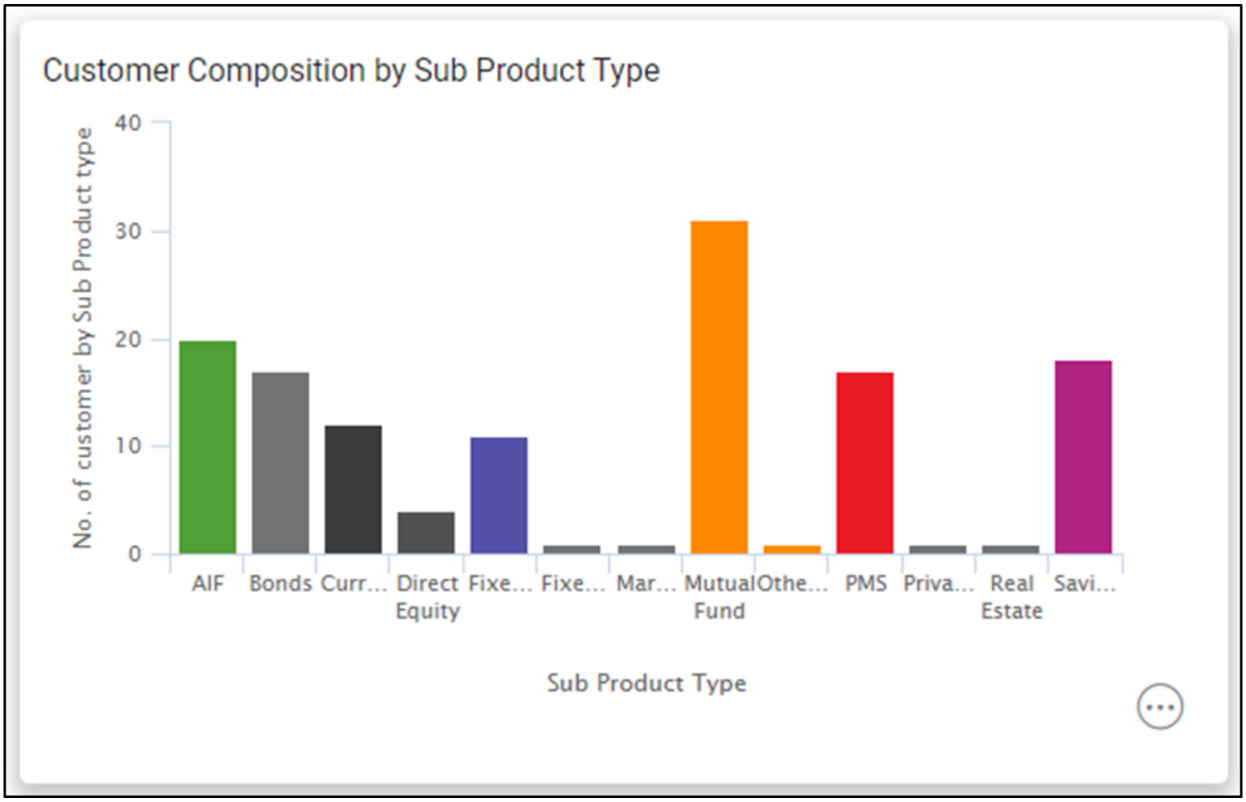
4.4.3.2. Customer Composition by Sub Product Type

1. This widget displays the count of customers mapped to RM who are holding a sub product type. Sub Products are plotted on the x-axis; Count of Customers holding the respective sub product is plotted on the y-axis.
2. The RM can hover over the graph to view details



Screen: Customer Composition by Sub product type (Mouse Hover)

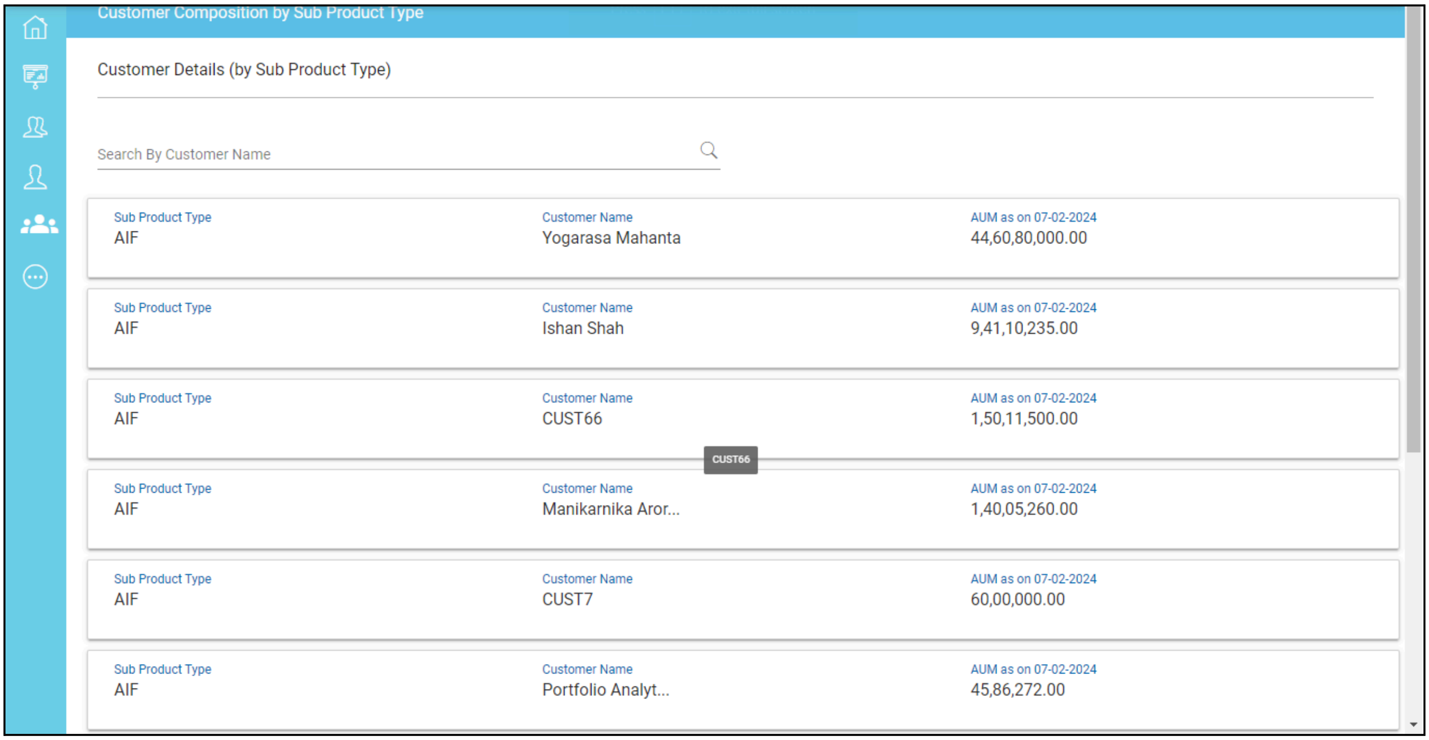
3. They can click on the "Three Dots" button to navigate to the L3 view



Screen: Customer Composition by Sub Product Type (L2 View)

4. The RM can see the list of their customers grouped by sub product type and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data being displayed on the table is data as on current date. Table displays the following data:

   a. Sub Product Type
   b. Customer Name
   c. AUM as on Date



Screen: Customer Composition by Sub Product Type (L3 View)

4.4.3.3. Customer Composition by Age

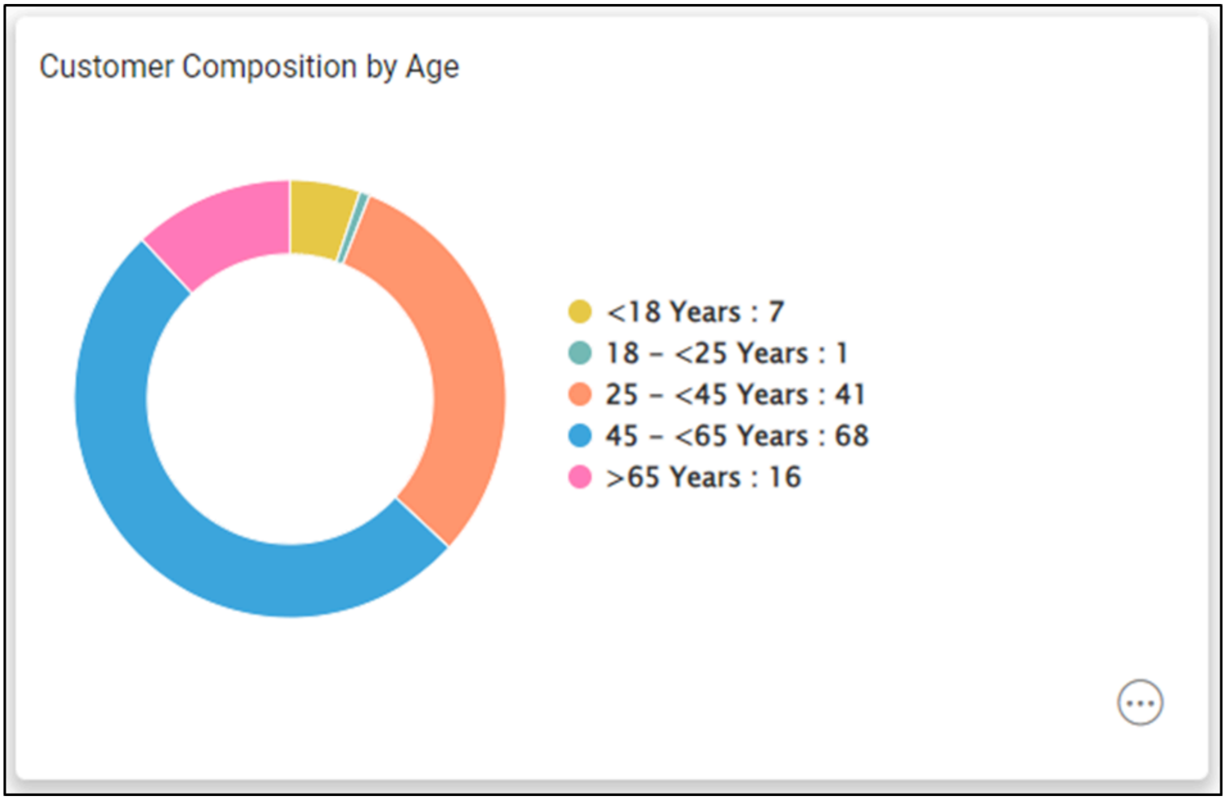
1. This widget depicts the classification of RM's customers with respect to Age range. The RM would get to know the different age ranges in which their mapped customers fall
2. The following age ranges will be visible in the widget

   a. <18 Years (Less than 18 Years)
   b. 18-<25 Years (Greater than or equal to 18 Years and Less than 25 Years)
   c. 25-<45 Years (Greater than or equal to 25 Years and Less than 45 Years)
   d. 45-<65 Years (Greater than or equal to 45 Years and Less than 65 Years)
   e. >65 Years (Greater than or equal to 65 Years)

3. The RM can hover over the graph to view details

Screen: Customer Composition by Age (Mouse Hover)

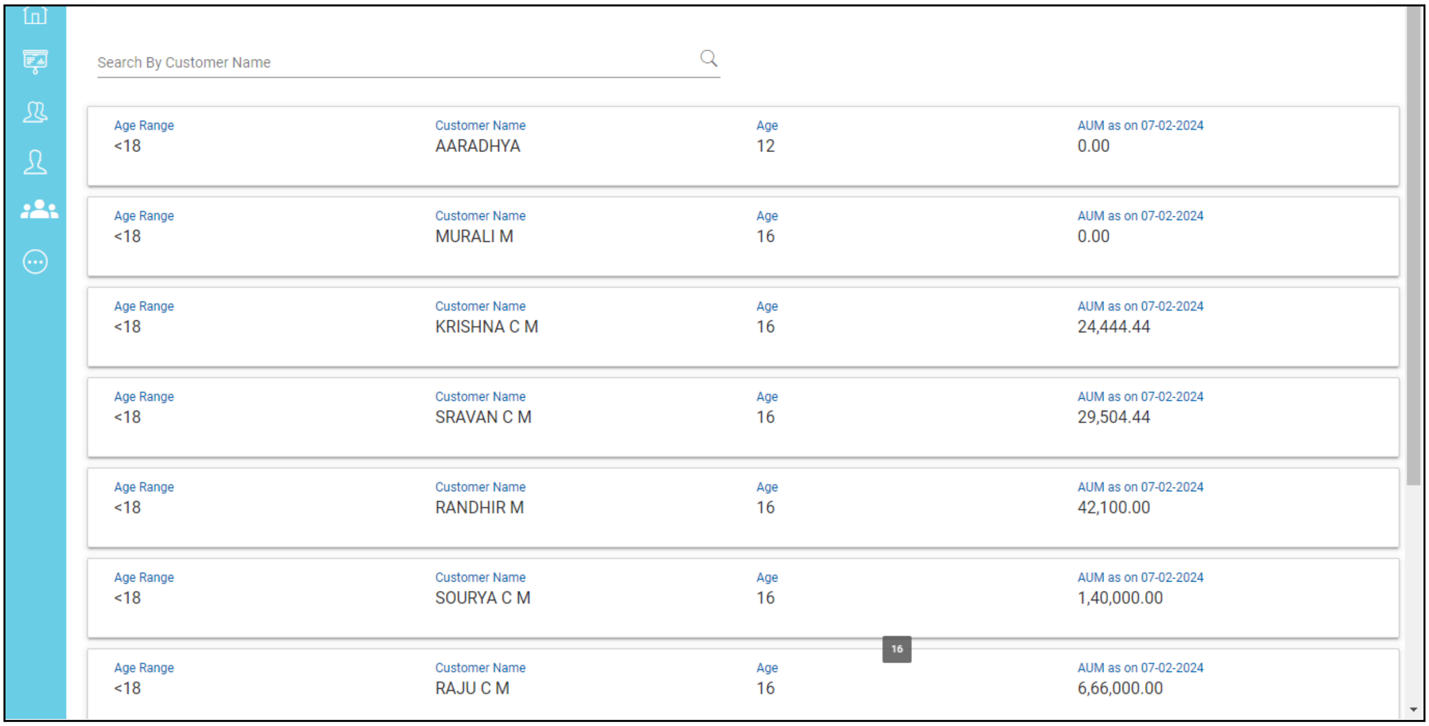
4. They can click on the "Three Dots" button to navigate to the L3 view



Screen: Customer Composition by Age (L2 View)

5. The RM can see the list of their customers grouped by Age Range and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data being displayed on the table is data as on current date. Table displays the following data:

   a. Age Range
   b. Customer Name
   c. Age
   d. AUM as on Date



Screen: Customer Composition by Age (L3 View)

4.4.4. Gain/Loss by Number of Customers

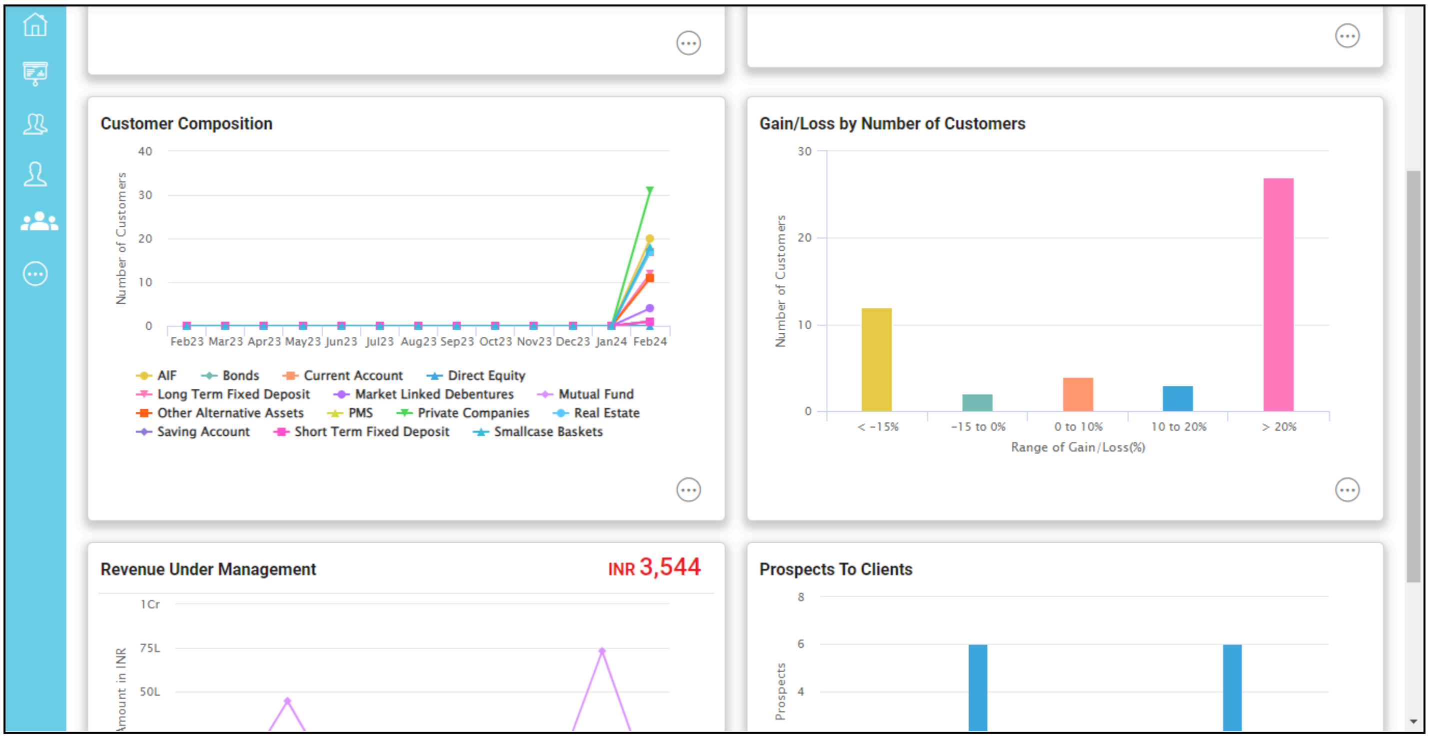
1. This widget displays the count of customers mapped to the RM falling into different Gain/Loss ranges based on their respective portfolio performance i.e. the return on the portfolio. Gain/Loss Ranges are plotted on the x-axis; Number of Customers whose portfolio gain/loss % falling in a particular range is plotted on the y-axis

2. Gain/Loss of the Portfolio (%) = (Unrealized Gain/Loss)/(Investment Amount)*100

3. The following Gain/Loss ranges will be visible in the widget

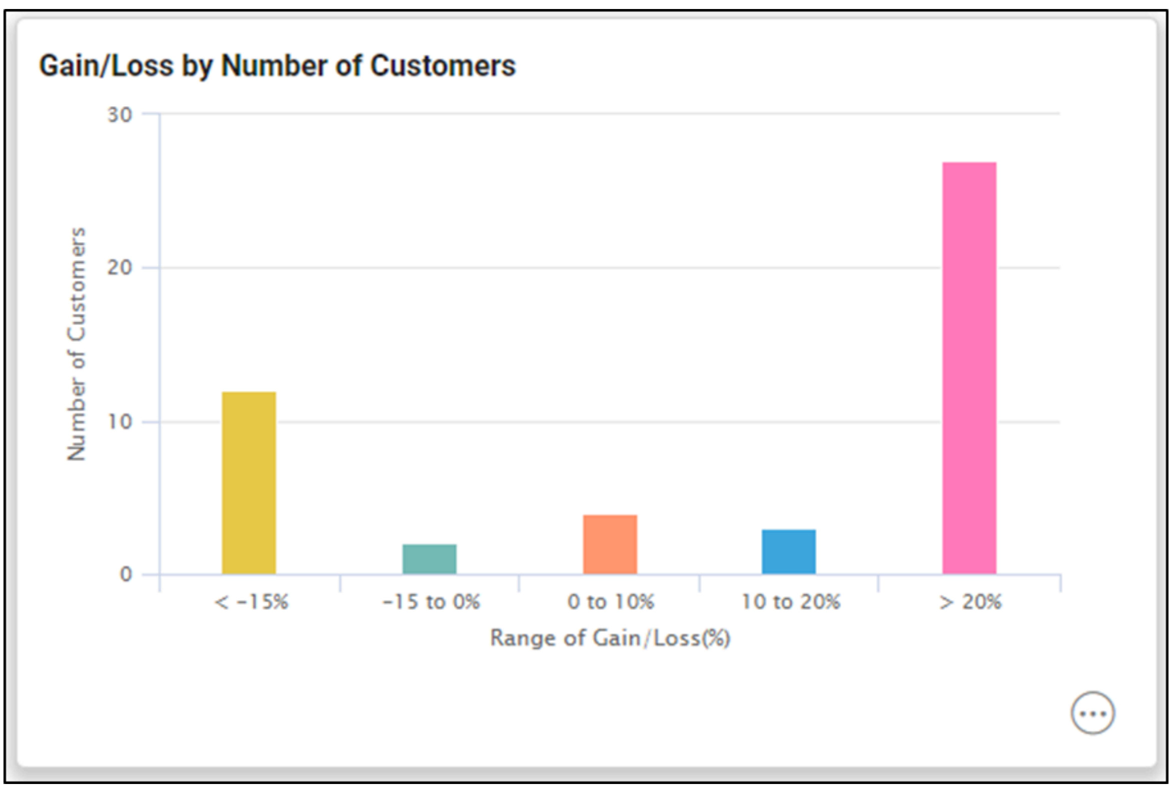
    a. <-15% (Less than -15%)
    b. -15 to < 0% (Greater than or equal to -15% and Less than 0%)
    c. 0 to < 10% (Greater than or equal to 0% and Less than 10%)
    d. 10 to < 20% (Greater than or equal to 10% and Less than 20%)
    e. > 20% (Greater than or equal to 20%)

4. The RM can hover over the graph to view details



Screen: Gain/Loss by number of customers (Mouse hover)

5. They can click on the "Three Dots" button to navigate to the L2 view



Screen: Gain/Loss by Number of Customers (L1 View)

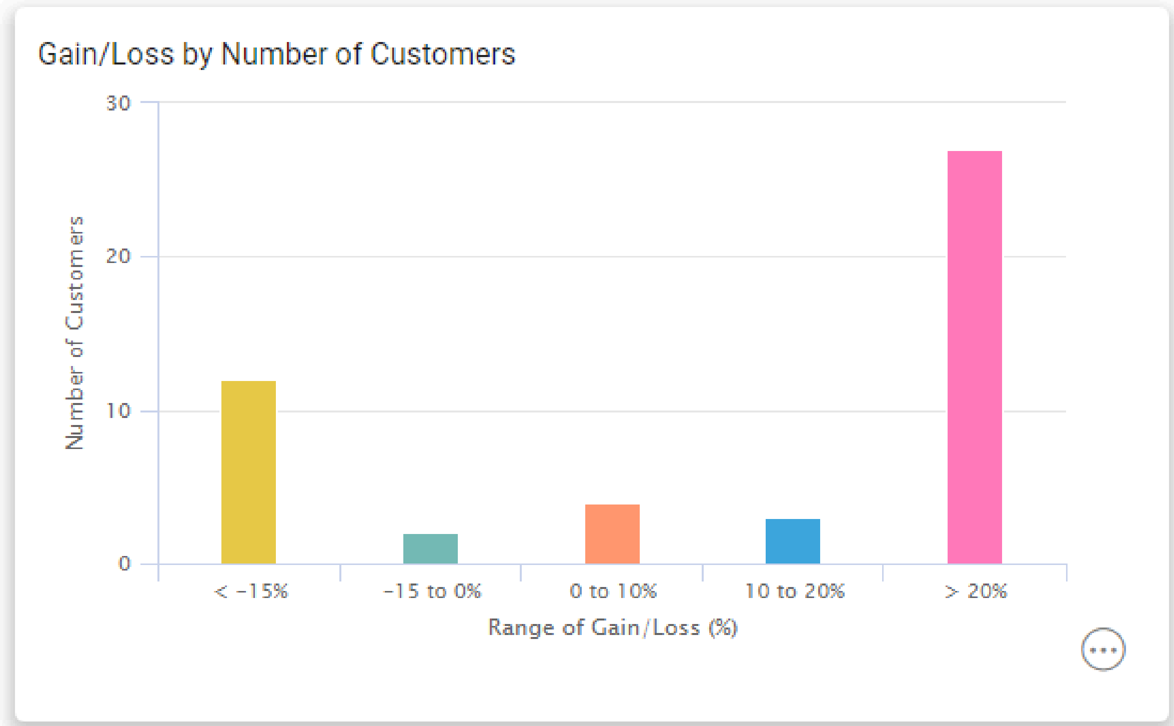
6. The L2 view for Gain/Loss by Number of Customers widget consists of the following widgets:

   a. Gain/Loss by Number of Customers
   b. Gain/Loss by Risk Profile
   c. Gain/Loss by Product Type

Screen: Gain/Loss by Number of Customers (L2 View)

4.4.4.3. Gain/Loss by Number of Customers

1. This widget displays the count of the customers whose gain/loss range % falls in different return ranges. Gain/Loss Ranges are plotted on the x-axis; Number of the customers whose portfolio gain/loss % range falling in a particular range is plotted on the y-axis



Screen: Gain/Loss by Number of Customers (L2 View)

2. Gain/Loss of the Portfolio (%) = (Unrealized Gain/Loss)/(Investment Amount)*100
3. The following Gain/Loss ranges will be visible in the widget

   a. <-15% (Less than -15%)
   b. -15 to < 0% (Greater than or equal to -15% and Less than 0%)
   c. 0 to < 10% (Greater than or equal to 0% and Less than 10%)
   d. 10 to < 20% (Greater than or equal to 10% and Less than 20%)
   e. > 20% (Greater than or equal to 20%)

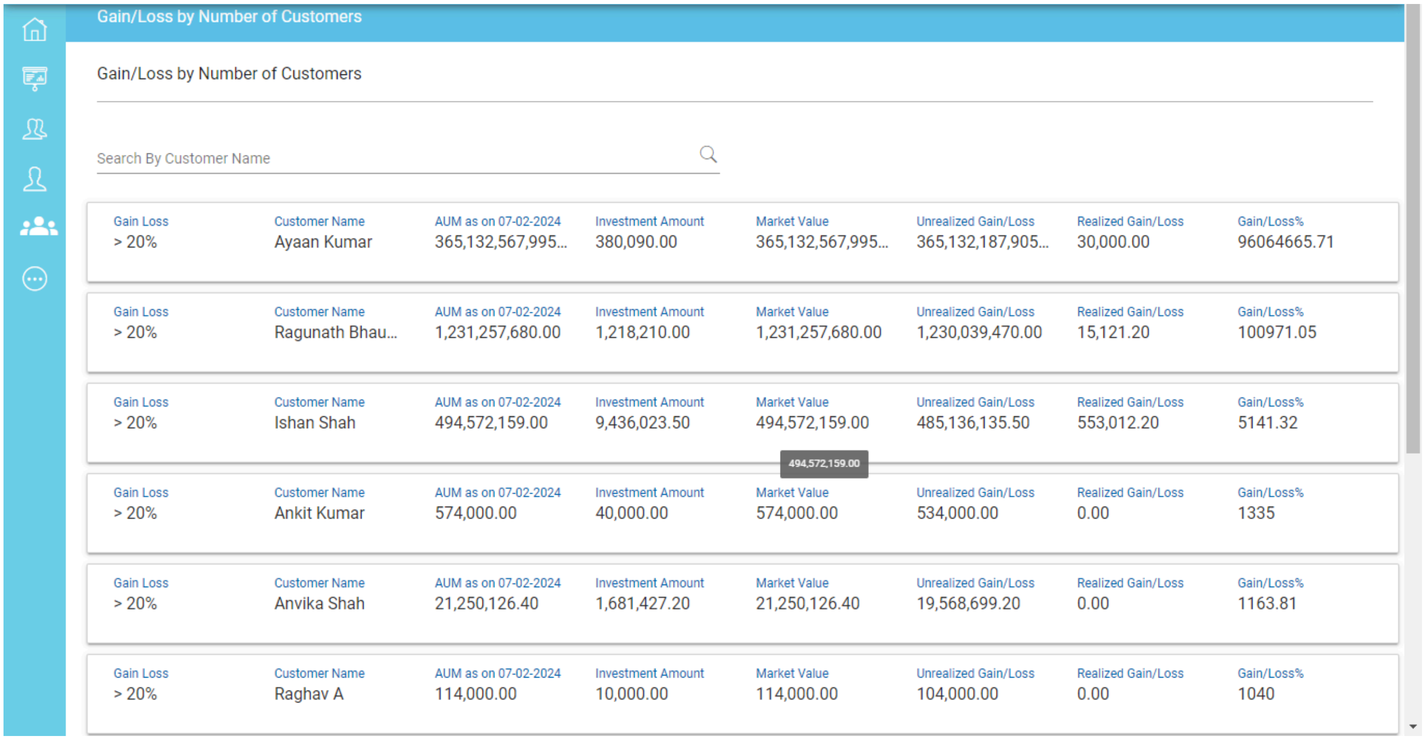
4. The RM can hover over the graph to view details

Screen: Gain/Loss by Number of Customers (Mouse hover)

5. They can click on the "Three Dots" button to navigate to the L3 view

6. The RM can see the list of their customers grouped by Gain Loss Range and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data being displayed on the table is data as on current date. Table displays the following data:

   a. Gain Loss
   b. Customer Name
   c. AUM as on Date
   d. Investment Amount
   e. Market Value
   f. Unrealized Gain/Loss
   g. Realized Gain/Loss
   h. Gain/Loss%



Screen: Gain/Loss by Number of Customers (L3 View)

4.4.4.4. Gain/Loss by Risk Profile

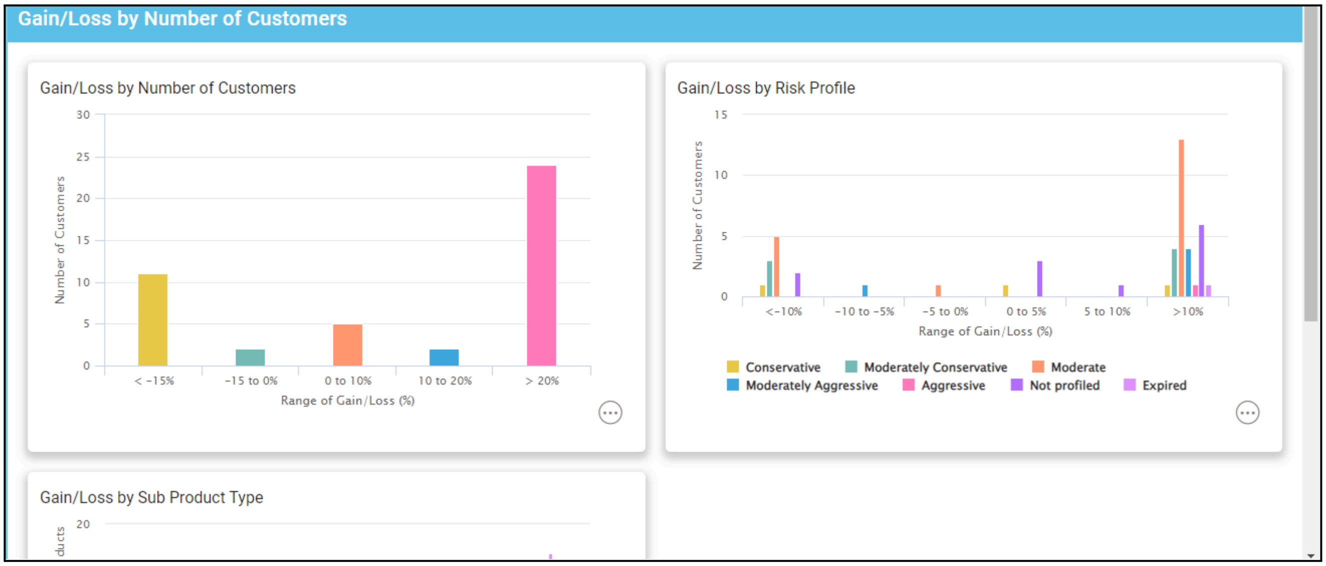
1. This widget displays the number of customers falling in different gain/loss ranges. For every gain/loss range, customers are further split based on their risk profile. Gain/Loss Ranges are plotted on the x-axis; Number of Customers with a specific risk profile whose portfolio gain/loss % range falling in a particular range is plotted on the y-axis

2. Gain/Loss of the Customer (%) with a specific risk profile = (Unrealized Gain/Loss)/(Investment Amount)*100

3. The following Gain/Loss ranges will be visible in the widget

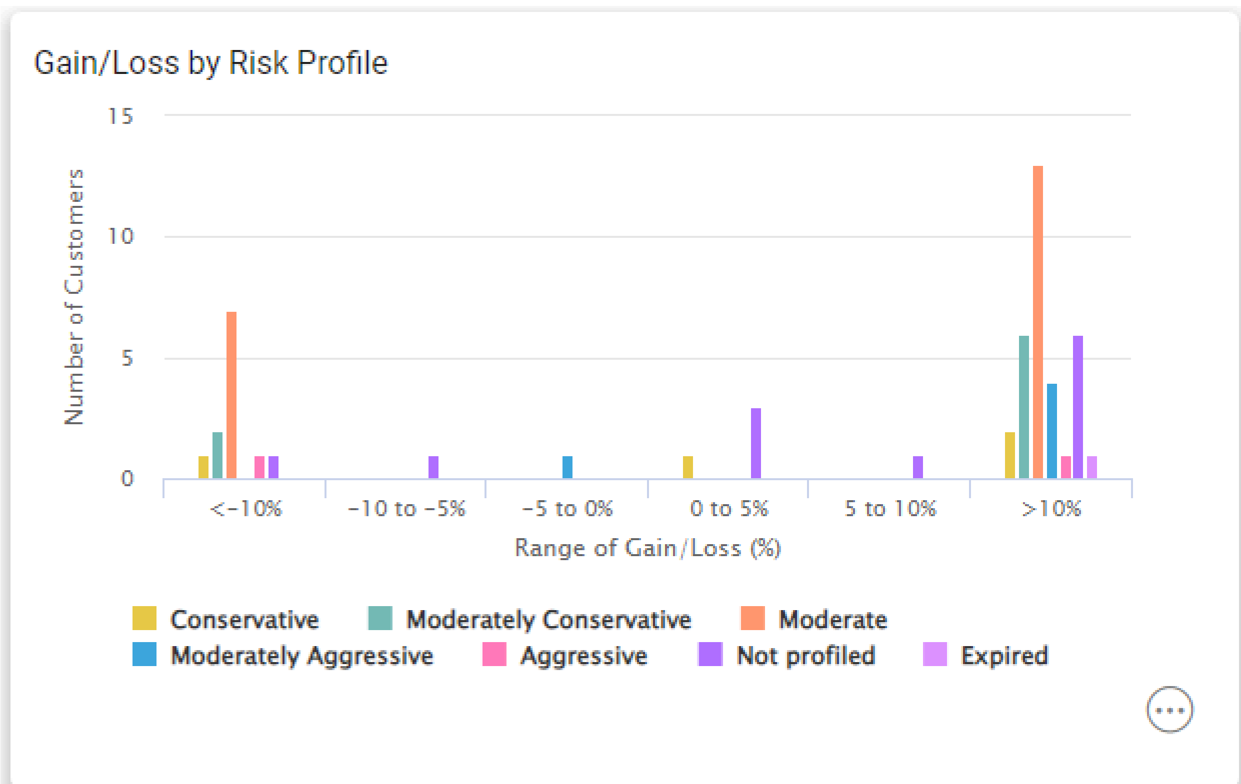
    a. <-10% (Less than -10%)
    b. -10 to -5% (Greater than or equal to -10% and Less than -5%)
    c. -5 to 0% (Greater than or equal to -5% and Less than 0%)
    d. 0 to 5% (Greater than or equal to 0% and Less than 5%)
    e. 5 to 10% (Greater than or equal to 5% and Less than 10%)
    f. >10% (Greater than or equal to 10%)

4. The RM can hover over the graph to view details



Screen: Gain/Loss by Risk Profile (Mouse hover)

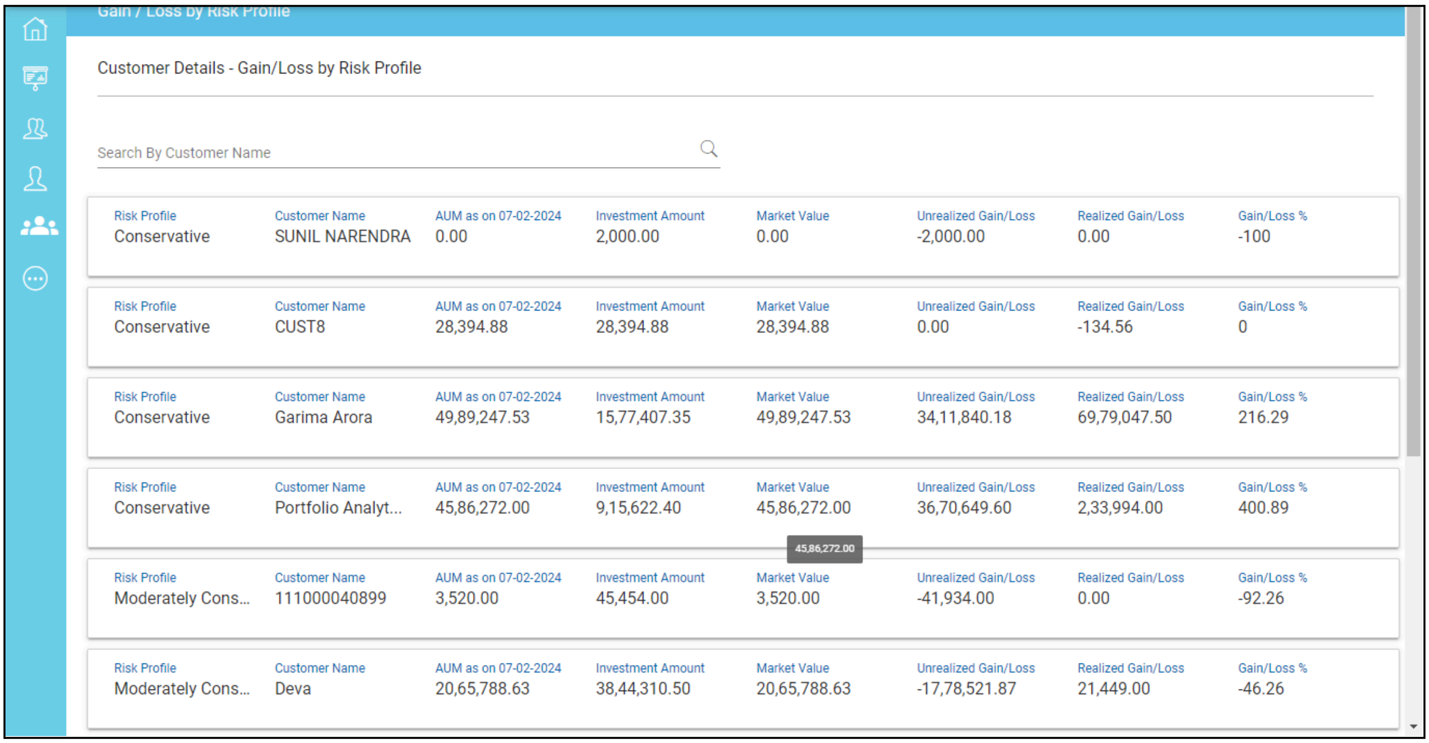
5. They can click on the "Three Dots" button to navigate to the L3 view



Screen: Gain/Loss by Risk Profile (L2 View)

6. The RM can see a list of their customers grouped by Risk Profile. They are grouped by Risk profile and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data being displayed on the table is data as on current date. Table displays the following data:

a. Risk Profile
b. Customer Name
c. AUM as on Date
d. Investment Amount
e. Market Value
f. Unrealized Gain/Loss
g. Realized Gain/Loss
h. Gain/Loss%



Screen: Gain/Loss by Risk Profile (L3 View)

4.4.4.5. Gain/Loss by Sub Product Type

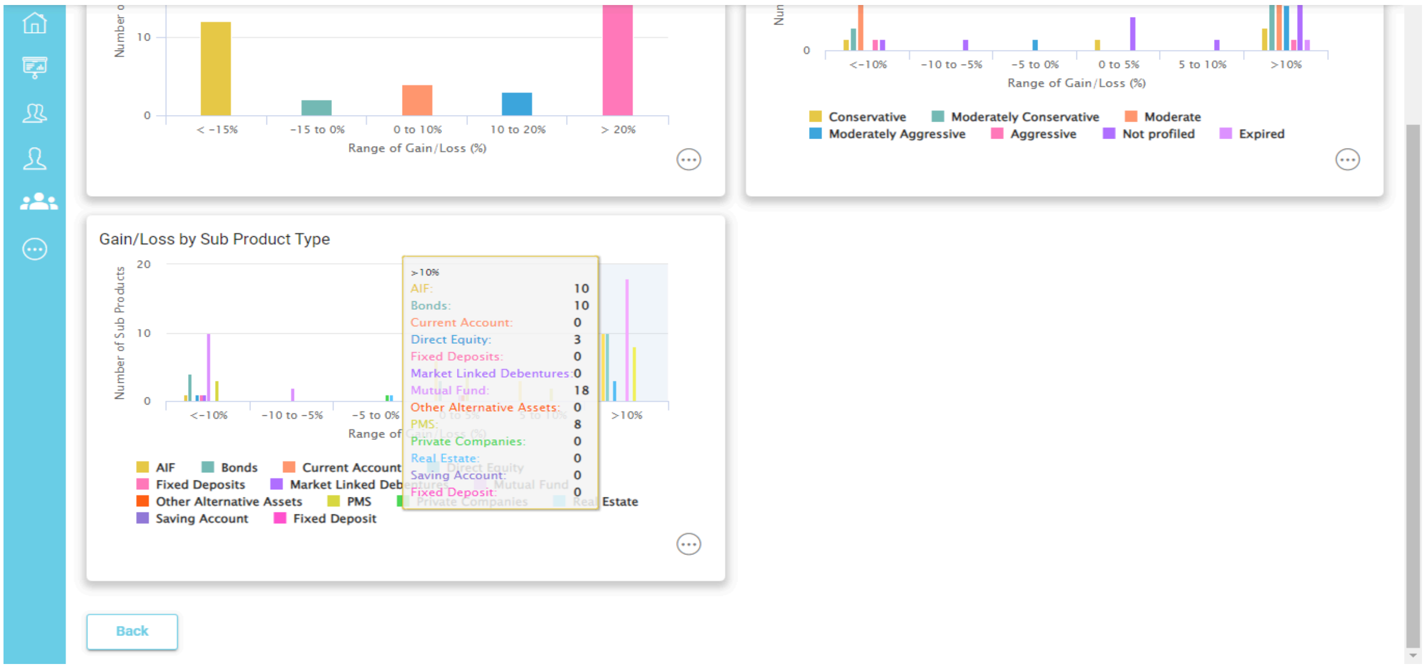
7. This widget displays the Gain/Loss % of the customer's sub products falling in different gain/loss ranges. Gain/Loss Ranges are plotted on the x-axis; Number of Sub Products held by the customers whose portfolio gain/loss % range falling in a particular range is plotted on the y-axis

8. Gain/Loss of the Customer (%) of a Sub Product for a Customer = (Unrealized Gain/Loss)/(Investment Amount)*100

9. The following Gain/Loss ranges will be visible in the widget

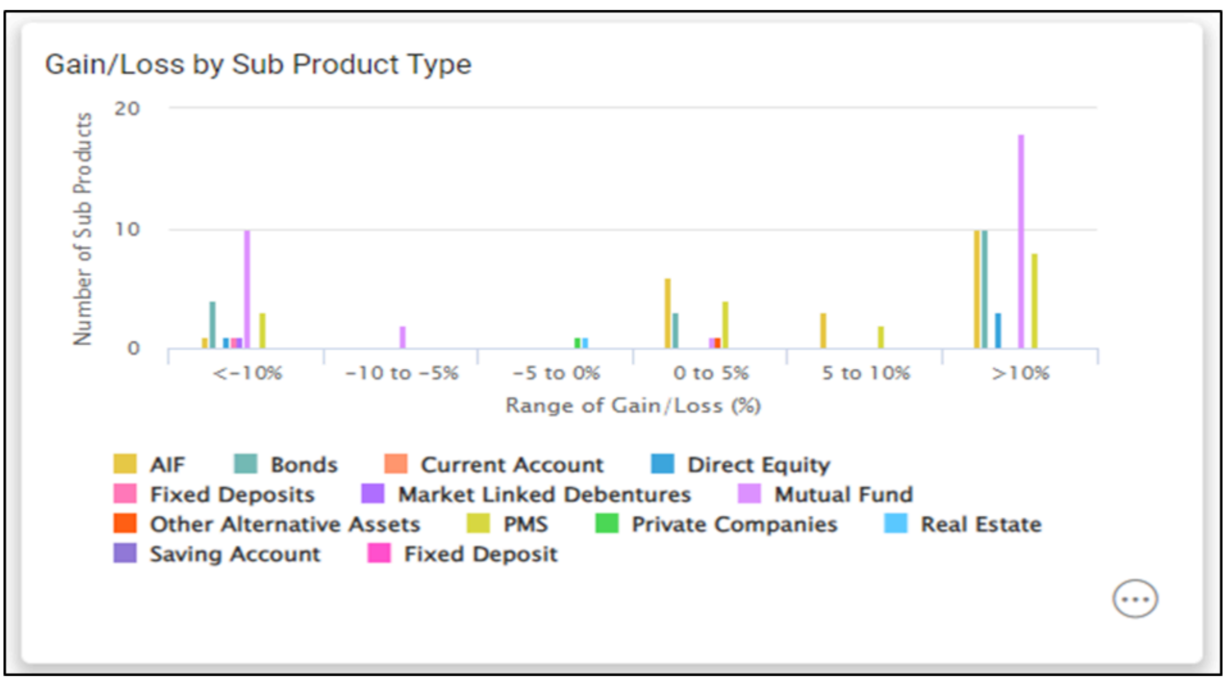
i. <-10% (Less than -10%)
j. -10 to -5% (Greater than or equal to -10% and Less than -5%)
k. -5 to 0% (Greater than or equal to -5% and Less than 0%)
l. 0 to 5% (Greater than or equal to 0% and Less than 5%)
m. 5 to 10% (Greater than or equal to 5% and Less than 10%)
n. >10% (Greater than or equal to 10%)

10. The RM can hover over the graph to view details



Screen: Gain/Loss by Sub Product type (Mouse hover)

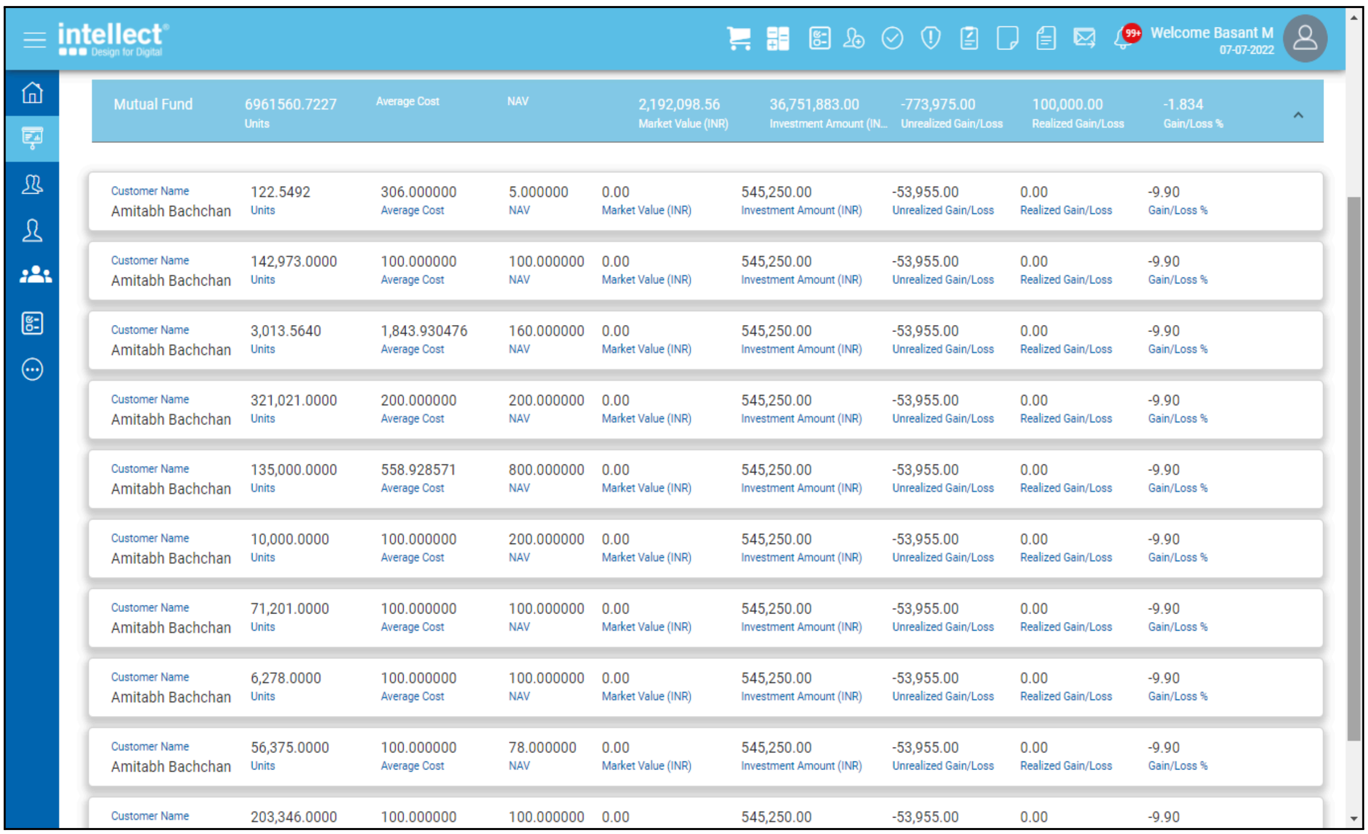
11. They can click on the “Three Dots” button to navigate to the L3 view



Screen: Gain/Loss by Sub Product Type (L2 View)

12. The RM can see the list of their customers sorted by ascending order of Gain %. System also provides the option to search for the Customer Name. Data being displayed on the table is data as on current date. Table displays the following data:

    a. Customer Name
    b. Units
    c. Average Cost
    d. NAV
    e. Market Value
    f. Investment Amount
    g. Unrealized Gain
    h. Realized Gain
    i. Gain%



Screen: Gain/Loss by Sub Product Type (L3 View)

4.4.5. Revenue under Management

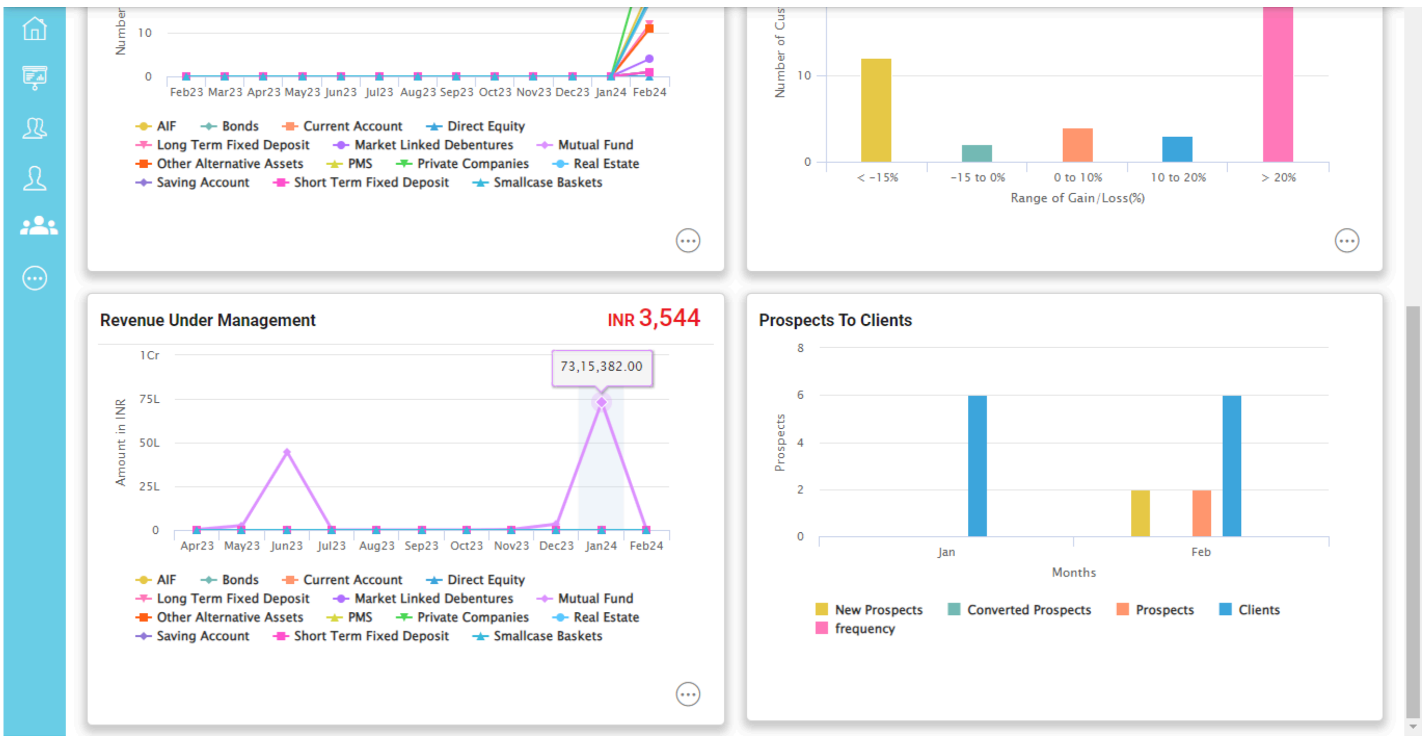
1. This widget displays to the RM the revenue generated from their customers for each Product Category, month wise for the current year. Months are plotted on the x-axis; revenue generated from each of the product categories for the respective month is plotted on the y-axis. The below product categories will be displayed in the widget :(This is relevant to

    a. AIF
    b. Bonds
    c. Current Account
    d. Direct Equity

e. Long Term Fixed Deposit
f. Market Linked Debentures
g. Mutual Funds
h. Other Alternative Assets
i. PMS
j. Private Companies
k. Real Estate
l. Savings Account
m. Short Term Fixed Deposits
n. Smallcase Baskets

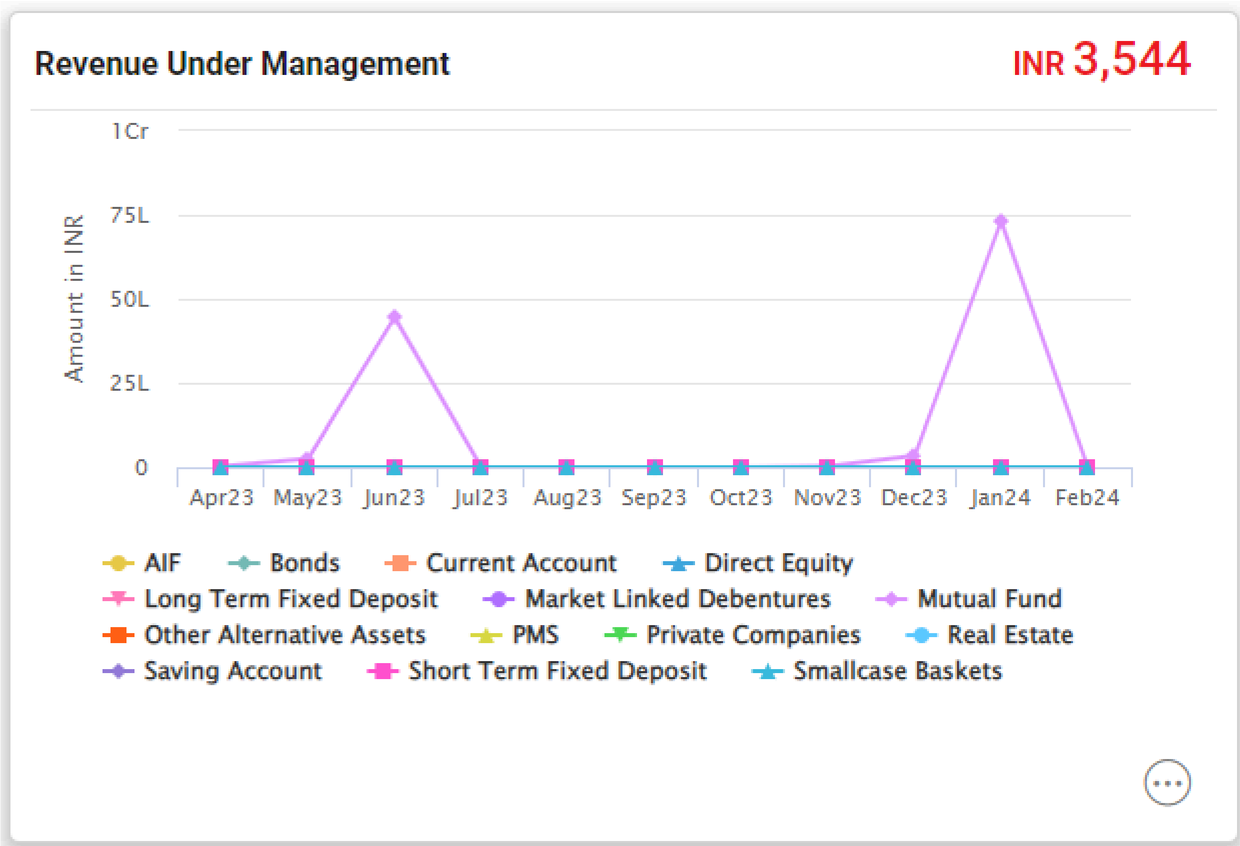
Note: These are as per the Product Hierarchy setup

2. The RM can hover over the graph to view details



Screen: Revenue under Management (Mouse Hover)

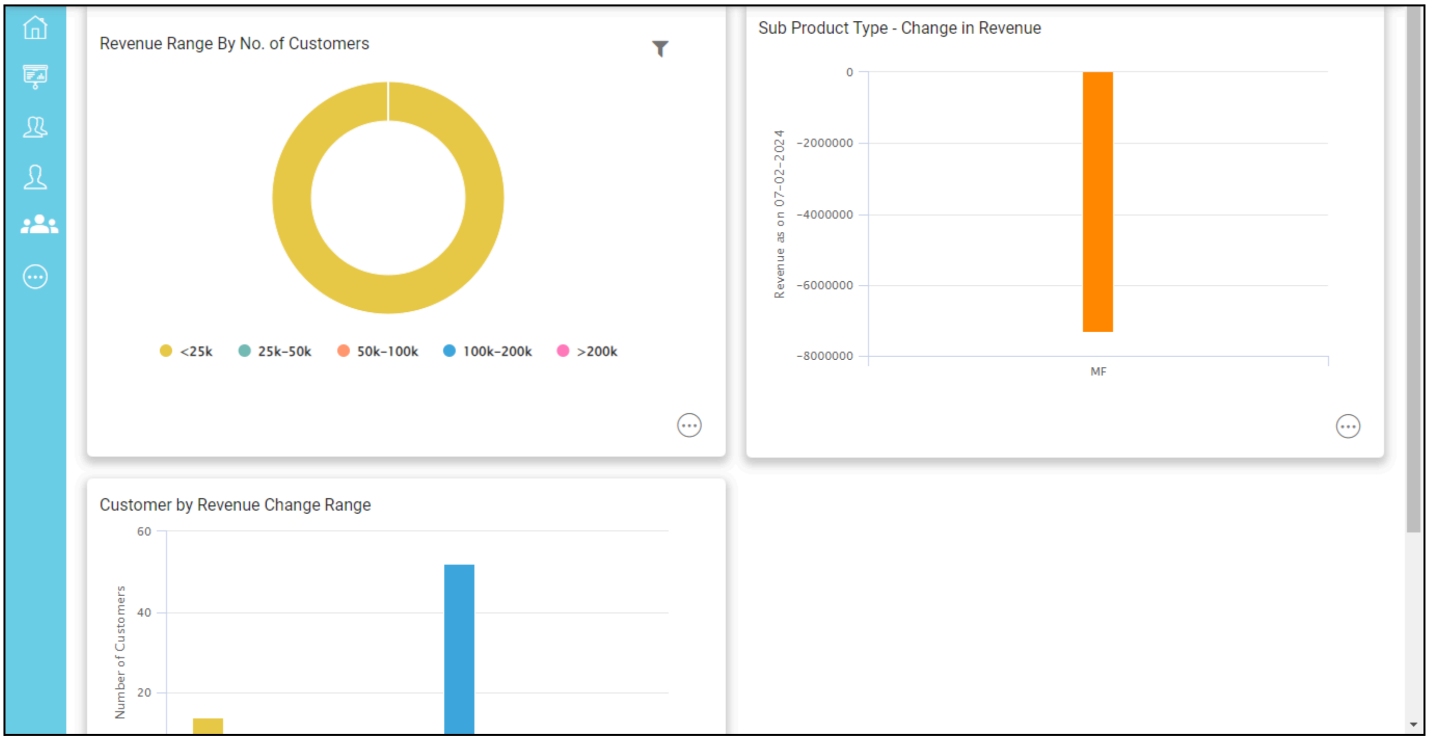
3. They can click on the “Three Dots” button to navigate to the L2 view



Screen: Revenue under Management (L1 View)

4. The L2 view for Revenue Under management consists of the following widgets:

   a. Revenue Range By No. of Customers
   b. Sub Product Type – Change in Revenue
   c. Customer by Revenue Change Range

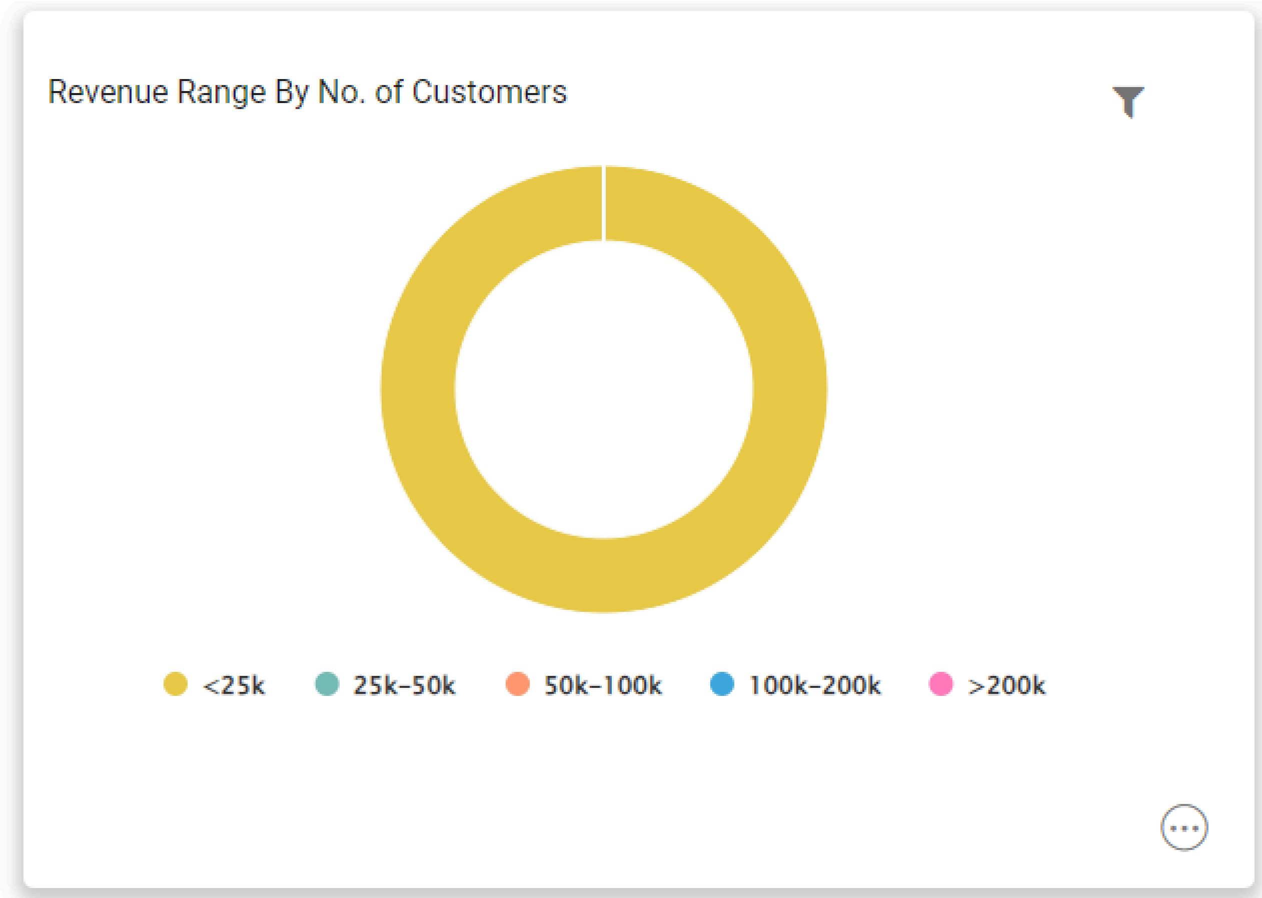


Screen: Revenue under Management (L2 View)

4.4.5.1. Revenue Range by No. of Customers

1. This widget displays the number of customers of the RM grouped by revenue generated for the current year (Jan – Dec). The following revenue ranges will be available in the widget:

    a. <25K (Less than 25K)
    b. 25K - <50K (Greater than or equal to 25K and Less than 50K)
    c. 50K - <100K (Greater than or equal to 50K and Less than 100K)
    d. 100K - <200K (Greater than equal to 100K and Less than 200K)
    e. >200K (Greater than or equal to 200K)

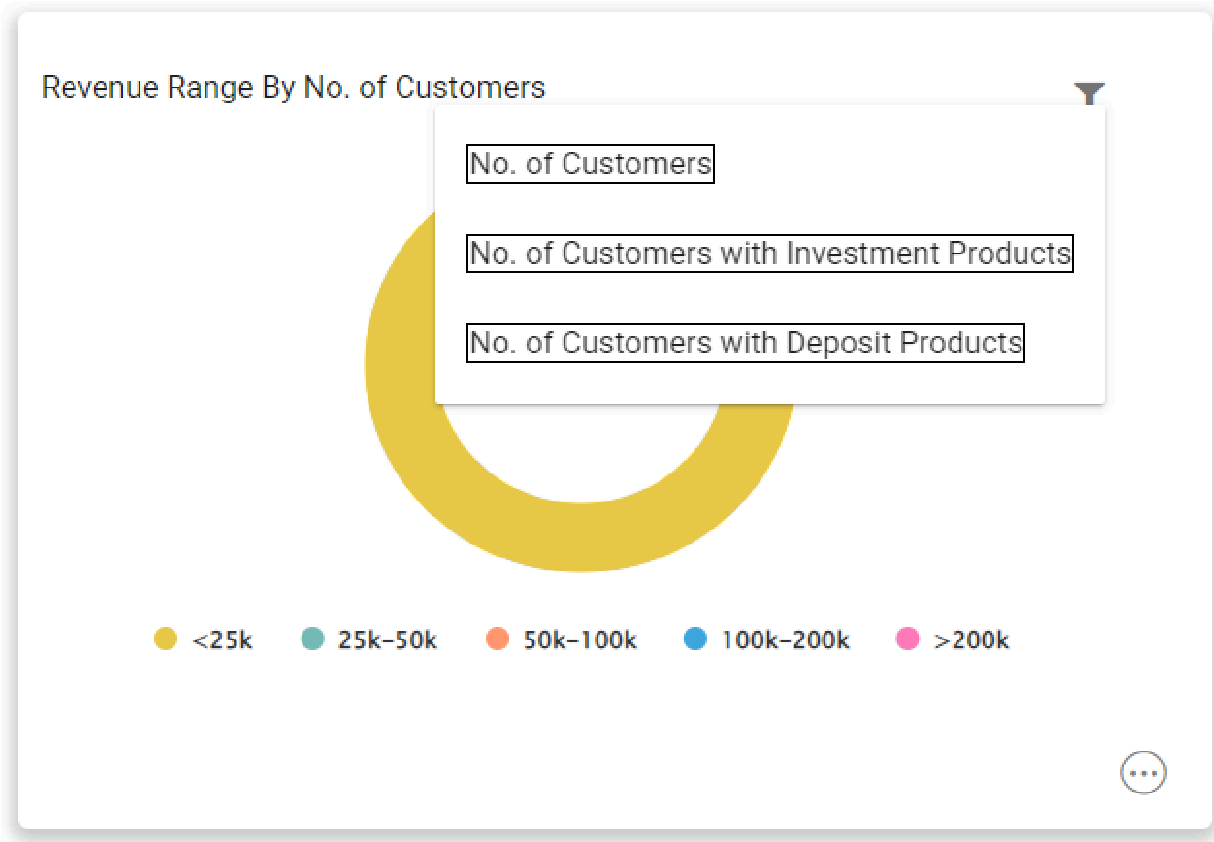


Screen: Revenue Range By No. of Customers (L2 View)

2. For the Revenue Range by No. of Customers widget, the RM can select the below mentioned filter criteria

   a. No. of Customers – Filters all the customers mapped to the RM grouped by Revenue range
   b. No. of Customers with Investment Products – Filters the customers with investment products grouped by Revenue range
   c. No. of Customers with Deposit Products - Filters the customers with deposit products grouped by Revenue range

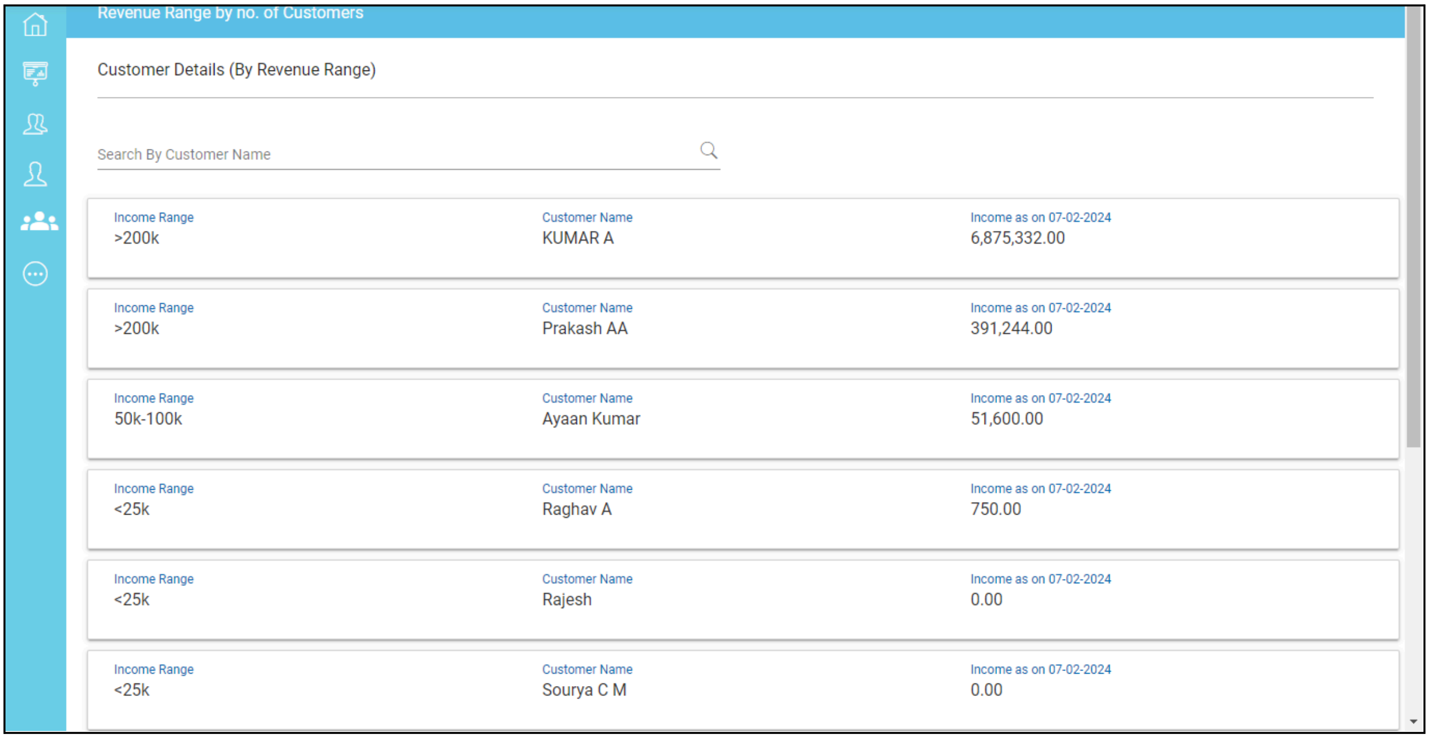
3. The RM can view L3 level details for the Revenue Range By No. of Customers widget by clicking on the "Three Dots"



Screen: Revenue Range by No. of Customers – Filter

4. The RM can see the list of their customers grouped by Revenue range and sorted by descending order of Revenue. System also provides the option to search for the Customer Name. Data being displayed is as on current date. Table displays the following data:

    a. Income Range
    b. Customer Name
    c. Income as on Date



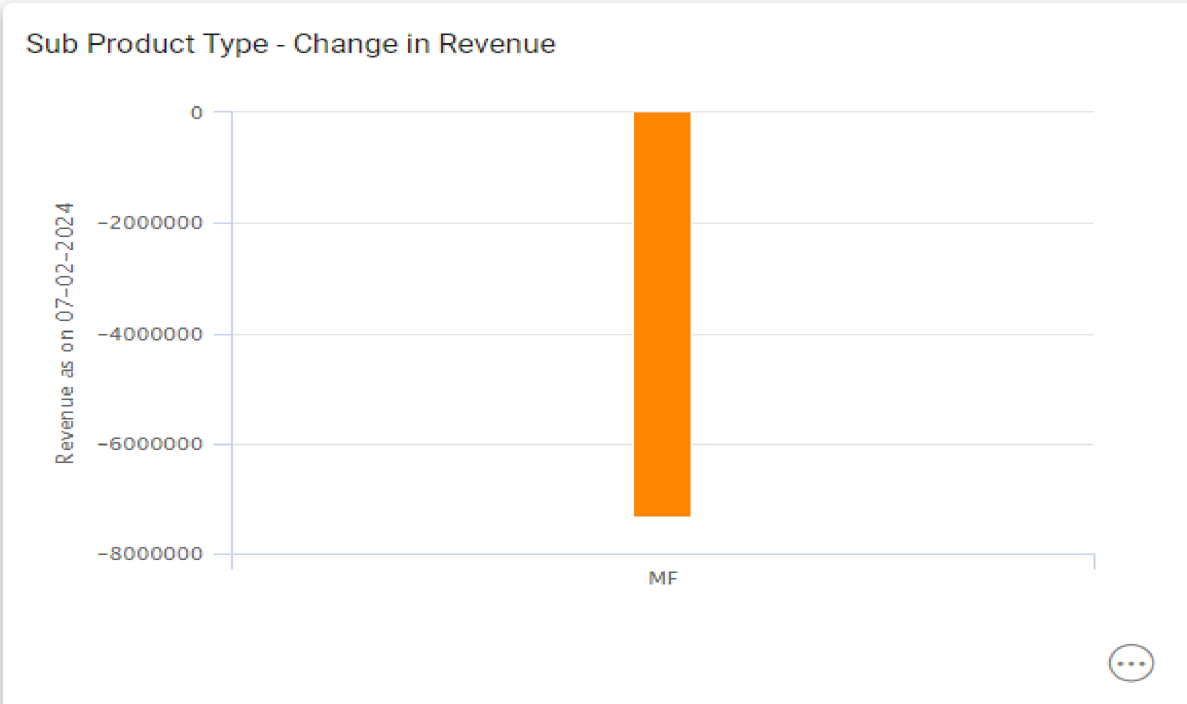
Screen: Revenue Range by No. of Customers (L3 View)

4.4.5.2. Sub Product Type – Change in Revenue

1. This widget displays the change in Revenue by Sub Product for all customers mapped to the RM. Sub Products are plotted on the x-axis; Change in Revenue for the respective sub product is plotted on the y-axis

2. Change in Revenue for the Sub Product = Revenue as on date for the Sub Product Type - Revenue as on last date of past month for the Sub Product

3. The RM can view L3 level details for Sub Product Type – Change in Revenue widget by clicking on the “Three Dots”

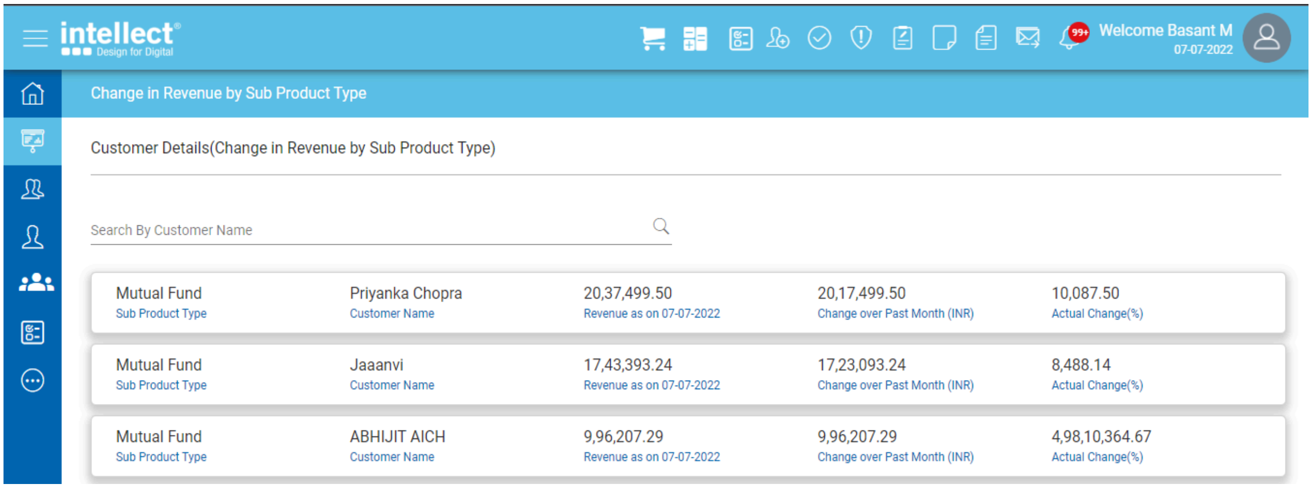


Screen: Sub Product Type – Change in Revenue (L2 View)

4. The RM can see the list of their customers grouped by Sub Product Type and sorted by descending order of Revenue. System also provides the option to search for the Customer Name. Data that is being displayed is as on current date. The table displays the following data:

    a. Sub Product Type
    b. Customer Name
    c. Income as on Date
    d. Change over Past Month
    e. Actual Change (%)

5. Actual Change (%) = (Revenue as on date for the Sub Product Type - Revenue as on last date of past month for the Sub Product)/ (Revenue as on last date of past month for the Sub Product) * 100



Screen: Change in Revenue by Product type L3 View

4.4.5.3. Customer by Revenue Change Range

1. This widget displays the change in Revenue for all customers mapped to the RM. Revenue change ranges (%) are plotted on the x-axis; Number of customers falling in the Revenue Change range (%) is plotted on the y-axis

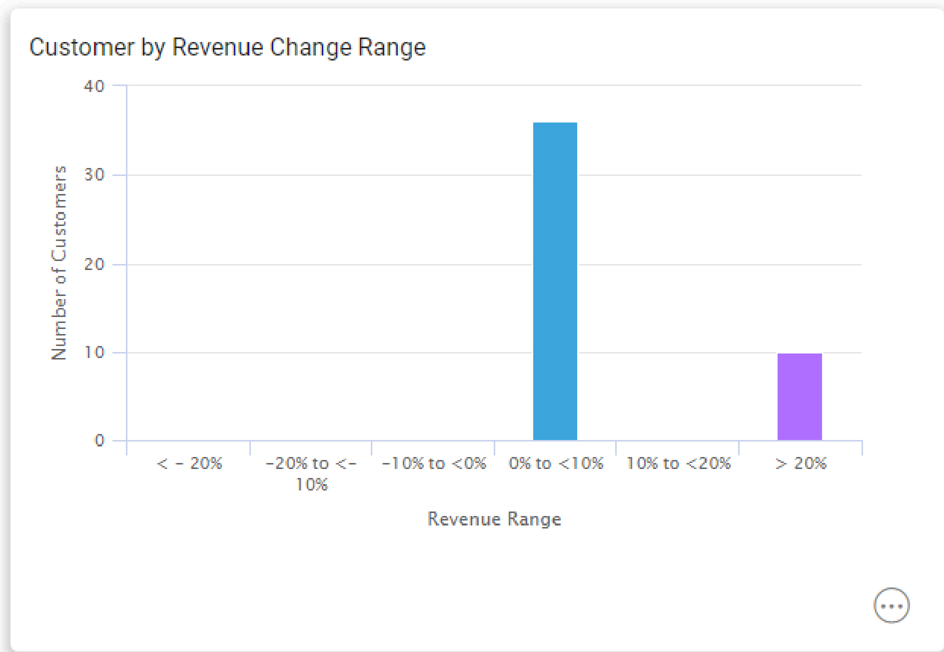
2. Change in the Revenue for the Customer = Revenue as on date for the Customer - Revenue as on last date of past month for the Customer

3. Change in the Revenue for the Customer (%) = (Revenue as on date for the Customer - Revenue as on last date of past month for the Customer)/(Revenue as on last date of past month for the Customer) *100

4. The following Revenue change ranges will be available on the widget:

    a. <-20% (Less than -20%)
    b. -20% to <-10% (Greater than or equal to -20% and Less than -10%)
    c. -10% to <0% (Greater than or equal to -10% and Less than 0%)
    d. 0% to <10% (Greater than or equal to 0% and Less than 10%)
    e. 10% to <20% (Greater than or equal to 10% and Less than 20%)
    f. >20% (Greater than or equal to 20%)

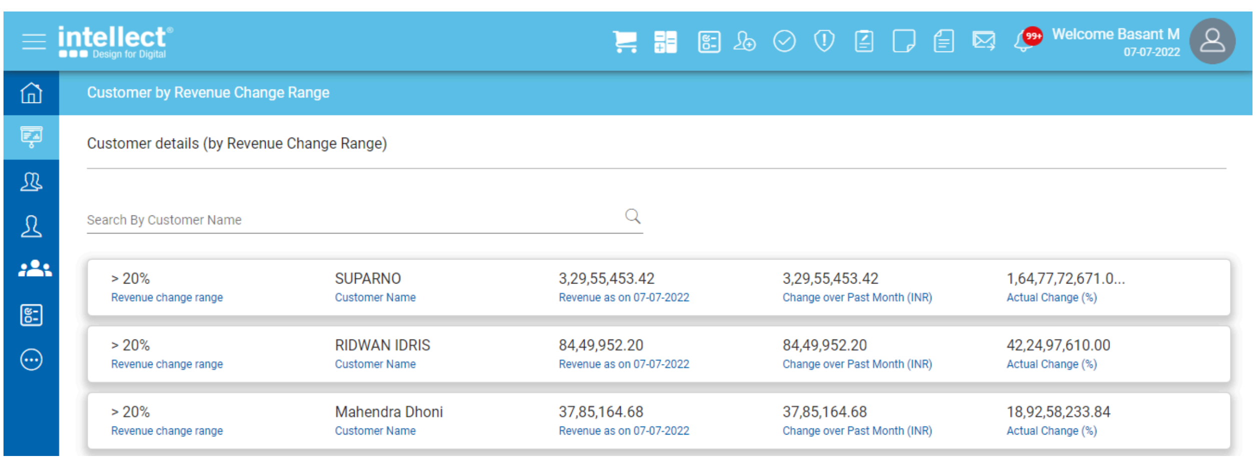
5. The RM can view L3 level details for the Customer by Revenue Change Range widget by clicking on the "Three Dots"



Screen: Customer by Revenue Change Range (L2 View)

6. The RM can see the list of their customers grouped by Revenue Change Range and sorted by descending order of Revenue. System also provides the option to search for the Customer Name. Data that is being displayed is as on current date. The table displays the following data:

    a. Revenue Change Range
    b. Customer Name
    c. Revenue as on Date
    d. Change over Past Month (Branch Currency)
    e. Actual Change (%)



Screen: Customer by Revenue Change Range (L3 View)

4.4.6. Prospect to Clients

Prospect to Client widget displays the conversion status from prospect to client wise breakup of the number of customers to the RM for each month. Months are plotted on the x-axis; Count of Customers for the mentioned prospect to client status for the respective month is plotted on the y-axis. The below prospect status will be displayed in the widget:

1. New Prospect
2. Converted Prospects
3. Prospects
4. Clients
5. Frequency

The RM can hover over the graph to view details

Screen: Prospects to Clients

5. Field Level Details

S No	Field Name	Field Description	Field Type	Editable	Data Type	Mandatory	List of Values	Remarks
Market Outlook and Broadcast								
1	Broadcast Description	Displays description of the broadcast information that HQ/Branch would like to broadcast to their RMs	Display	No	String	Not Applicable	Not Applicabl e	
2	Broadcast From Date	Displays the date from which this information is broadcasted	Display	No	String	Not Applicable	Not Applicabl e	
3	Market Outlook Description	Displays description of market related information that HQ/Branch publish to their RMs	Display	No	String	Not Applicable	Not Applicabl e	
4	Market Outlook From Date	Displays the date from which this information is published	Display	No	String	Not Applicable	Not Applicabl e	
Alerts Workspace								
1	Critical	Displays the critical alerts that needs to be prioritized	Display	No	Character	Not Applicable	Not Applicabl e	
2	Non Critical	Displays the non-critical alerts	Display	No	Character	Not Applicable	Not Applicabl e	
3	Alerts Category Filter	Selects the alerts category to filter the alerts	Select	No	Character	Not Applicable	1. Customer 2. Exception al Cases 3. Forms Maintena nce 4. Plan 5. Portfolio 6. Product 7. Risk Profile 8. Sales License	

4	Date Range	Selects the date range to filter the alerts generated in the time frame	Select	No	String	Not Applicable	Not Applicabl e	
5	Sort By	Selects the sorting criteria to sort the alerts by date	Select	No	Character	Not Applicable	Not Applicabl e	
6	Alert Date	Displays the date on which the alert is generated	Display	No	String	Not Applicable	Not Applicabl e	
7	Category	Displays the alerts category	Display	No	Character	Not Applicable	1. Customer 2. Exception al Cases 3. Forms Maintena nce 4. Plan 5. Portfolio 6. Product 7. Risk Profile 8. Sales License.	
8	Type	Displays the type of the alert like in Change in Customer AUM, Portfolio Deviation etc.	Display	No	Character	Not Applicable	List of alert types defined in the system	
9	ID	Displays the system generated alert id	Display	No	String	Not Applicable	Not Applicabl e	
10	Name	Displays the name of the customer/RM for whom the alert is generated	Display	No	Character	Not Applicable	Not Applicabl e	
11	Priority	Displays the criticality of the alert	Display	No	Character	Not Applicable	1. Critical 2. Non Critical	

12	Description	Displays the alert description	Display	No	String	Not Applicable	Not Applicabl e	
12	Alert Status	Select the status of the alert to update if the action has been taken and mark it as closed/open/ pending. Closed alerts will not be displayed in the workspace	Select	Yes	Character	No	1. Open 2. Pending 3. Closed	
Notes - Create Note								
1	Type	Select the purpose of creating the note Customer - Notes for the customers Schedule - Notes to manage own schedule	Select	Yes	Character	Yes	1. Customer 2. Schedule	
2	Name	Selects the name from the list for the type selected Customer - List of customer mapped to user Schedule - User is selected by default	Select	Yes	String	Yes	1. Customer - List of customer mapped to user and his subordina tes 2. Schedule - User is selected by default	
3	Title	Inputs the title of the notes	Input	Yes	String	Yes	Not Applicabl e	
4	Description	Inputs the description of the notes	Input	Yes	String	Yes	Not Applicabl e	
To Do - Add New To Do Activity								
1	Subject	Inputs the subject for the To Do activity	Input	Yes	String	Yes	Not Applicabl e	

2	To Do For	Selects for whom the activity needs to be created (Self/Team)	Select	Yes	String	Yes	1. Self 2. Team	
3	Start Date	Selects the start date for the to do activity	Select	Yes	String	Yes	Not Applicabl e	
4	Start Time	Selects the start time for the to do activity	Select	Yes	String	Yes	Not Applicabl e	
5	Who	Selects for whom to do activity needs to be created. If the To Do For selected is Self - Who is defaulted to user Team - Selects the team member	Select	Yes	String	Yes	List of subordina tes and user	
6	Priority	Selects the priority of the to do activity	Select	Yes	String	Yes	1. High 2. Medium 3. Low 4. None	
7	Category	Inputs the category of the to do activity	Input	Yes	String	No	Not Applicabl e	
8	Status	Selects the status of the to do activity	Select	Yes	Character	No	1. Complete d 2. Started 3. To be Started	
9	Description	Inputs the description of the to do activity	Input	Yes	Character	No	Not Applicabl e	
				Mail				
1	Mail Subject	Displays the mail subject	Display	No	String	Not Applicable	Not Applicabl e	
2	From	Displays the from address of the mail	Display	No	String	Not Applicable	Not Applicabl e	

3	Cc	Displays the Cc of the mail	Display	No	String	Not Applicable	Not Applicabl e	
4	Mail Body	Displays the mail body	Display	No	String	Not Applicable	Not Applicabl e	
5	Mail Date and Time	Displays the mail date and time	Display	No	String	Not Applicable	Not Applicabl e	
Asset Under Management								
AUM Range by No. Of customers (Level 3)								
1	AUM Range	Displays the AUM Range of the customer	Display	No	String	Not Applicable	1. <50L 2. 50L-< 1Cr 3. 1Cr-<2Cr 4. 2Cr-<5Cr 5. >5Cr	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
Sub product type- Change in AUM (Level 3)								
1	Product Type	Display the Product Type	Display	No	Character	Not Applicable	List of sub products	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date for the customer for the product type	Display	No	Numeric	Not Applicable	Not Applicabl e	
4	Change over Past month	Displays the change in AUM for the product type over last date of past month (AUM as on date - AUM as on last date of past month)	Display	No	Numeric	Not Applicable	Not Applicabl e	

5	Actual change	Displays the change in AUM percentage for the product type (AUM as on date - AUM as on last date of past month)/(AUM as on last date of past month) * 100	Display	No	Numeric	Not Applicable	Not Applicabl e	
Customer by AUM Change Range (Level 3)								
1	AUM change range	Displays the AUM change range of the customer	Display	No	Numeric	Not Applicable	1. <-20% 2. -20% to <-10% 3. -10% to <0% 4. 0% to <10% 5. 10% to <20% 6. >20%	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
4	Change over past month	Displays the change in AUM of the customer over last date of past month (AUM as on date - AUM as on last date of past month)	Display	No	Numeric	Not Applicable	Not Applicabl e	
5	Actual change	Display for Actual change (AUM as on date - AUM as on last date of past month)/(AUM as on last date of past month) * 100	Display	No	Numeric	Not Applicable	Not Applicabl e	
Net New Money (Level 3)								
1	RM name	Displays the RM name of the customer who has brought new money to the bank	Display	No	Character	Not Applicable	Not Applicabl e	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	

3	Net new money	Display the New money amount brought by the customer to the bank in the current month	Display	No	Numeric	Not Applicable	Not Applicabl e	
Opportunity summary								
Opportunity by Product Type(Level 3)								
1	Product category	Displays the Product category in which customer does not have AUM	Display	No	Character	Not Applicable	1. Deposit 2. Insurance 3. Investme nt 4. Insurance and Deposit 5. Investme nt and Deposit 6. Insurance and Investme nt 7. Insurance, Investme nt and Deposit	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
Opportunity by Sub Product type (Level 3)								
1	Sub Product Type	Displays the Sub Product in which customer does not have AUM	Display	No	Character	Not Applicable	List of sub products	

2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
AUM by Currency (Level 3)								
1	Currency	Displays the Currency in which customer holds the AUM	Display	No	Character	Not Applicable	List of Currencie s	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
Customer composition								
Customer Composition by Risk Profile (Level 3)								
1	Risk profile	Displays the Risk Profile of the customer	Display	No	Character	Not Applicable	List of Risk Profiles	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
Customer composition by Sub Product Type (Level 3)								
1	Sub Product Type	Displays the Sub Product Type for which the customer has AUM	Display	No	Character	Not Applicable	List of sub products	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	

Customer Composition by Age (Level 3)								
1	Age Range	Displays the Age Range to which the customer belongs to	Display	No	String	Not Applicable	1. <18 Years 2. 18-<25 Years 3. 25-<45 Years 4. 45-<65 Years 5. >65 Years	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	Age	Displays the Age of the Customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
4	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
Gain/Loss by Number of Customers								
Gain/Loss by Number of Customers (Level 3)								
1	Gain Loss	Display for Gain Loss range of the customer	Display	No	String	Not Applicable	1. <-15% 2. -15 to < 0% 3. 0 to <10% 4. 10 to < 20% 5.>20%	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
4	Investment Amount	Displays the Investment amount for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicabl e	

5	Market Value	Displays the Market Value for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicabl e	
6	Unrealized Gain/Loss	Displays the Unrealized gain/loss for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicabl e	
7	Realized Gain/Loss	Displays for Realized gain/loss for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicabl e	
8	Gain/Loss%	Displays for Unrealized Gain/Loss% for the customer (Unrealized Gain/Loss /Investment Amount)*100	Display	No	Numeric	Not Applicable	Not Applicabl e	
Gain/Loss by Risk Profile (Level 3)								
1	Risk profile	Displays the Risk Profile of the customer	Display	No	Character	Not Applicable	List of Risk Profiles	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
4	Investment Amount	Displays the Investment amount for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicabl e	
5	Market Value	Displays the Market Value for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicabl e	
6	Unrealized Gain/Loss	Displays the Unrealized gain/loss for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicabl e	
7	Realized Gain/Loss	Displays for Realized gain/loss for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicabl e	
8	Gain/Loss%	Displays for Unrealized Gain/Loss% for the customer (Unrealized Gain/Loss/ Investment Amount)*100	Display	No	Numeric	Not Applicable	Not Applicabl e	

Gain/Loss by Product Type (Level 3)								
Gain/Loss by Product Type (Level 3) - Sub Product Level Tab								
1	Sub Product Name	Displays the Sub Product Name	Display	No	Character	Not Applicable	Not Applicabl e	
2	Units	Display the Units held for the sub product	Not Applicable	Not Applicabl e	Not Applicable	Not Applicable	Not Applicabl e	
3	Average cost	Not Applicable at Sub Product Level	Not Applicable	Not Applicabl e	Not Applicable	Not Applicable	Not Applicabl e	
4	NAV	Not Applicable at Sub Product Level	Not Applicable	Not Applicabl e	Not Applicable	Not Applicable	Not Applicabl e	
5	Market Value	Displays the Market Value at the sub product level for all customers	Display	No	Numeric	Not Applicable	Not Applicabl e	
6	Investment Amount	Displays the Investment Amount at the sub product level for all customers	Display	No	Numeric	Not Applicable	Not Applicabl e	
6	Unrealized Gain/Loss	Displays the Unrealized Gain/Loss at the sub product level for all customers	Display	No	Numeric	Not Applicable	Not Applicabl e	
7	Realized Gain/Loss	Displays the Realized Gain/Loss at the sub product level for all customers	Display	No	Numeric	Not Applicable	Not Applicabl e	
8	Gain/Loss%	Displays for Unrealized Gain/Loss% at the sub product level for all customers (Unrealized Gain/Loss /Investment Amount)*100	Display	No	Numeric	Not Applicable	Not Applicabl e	
Gain/Loss by Product Type (Level 3) - Customer Details								
1	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
2	Units	Display the Units held by the customer for the investment sub product	Display	No	Numeric	Not Applicable	Not Applicabl e	

3	Average cost	Display the Average cost of the units	Display	No	Numeric	Not Applicable	Not Applicable	
4	NAV	Displays the NAV	Display	No	Numeric	Not Applicable	Not Applicable	
5	Market Value	Displays the Market Value for the Customer holdings for the sub product	Display	No	Numeric	Not Applicable	Not Applicable	
6	Investment Amount	Displays the Investment amount for the Customer holdings for the sub product				Not Applicable		
6	Unrealized Gain/Loss	Displays the Unrealized gain/loss for the Customer holdings for the sub product	Display	No	Numeric	Not Applicable	Not Applicable	
7	Realized Gain/Loss	Displays for Realized gain/loss for the Customer holdings for the sub product	Display	No	Numeric	Not Applicable	Not Applicable	
8	Gain/Loss%	Displays for Unrealized Gain/Loss% for the customer for the sub product (Unrealized Gain/Loss /Investment Amount)*100	Display	No	Numeric	Not Applicable	Not Applicable	
Revenue under management								
Revenue Range by No. of Customers(Level 3)								
1	Revenue Range	Displays the Revenue Range of the customer	Display	No	String	Not Applicable	1. <25K 2. 25K-<50K 3. 50K-<100K 4. 100K-<200K 5. >200K	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicable	

3	Revenue as on date	Displays the Revenue as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
Change in Revenue by Sub Product Type(Level 3)								
1	Sub Product Type	Displays the Sub Product Type	Display	No	Character	Not Applicable	List of sub products	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	
3	Income as on date	Displays the Revenue as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
4	Change over Past month	Displays the change in Revenue for the product type over last date of past month (Revenue as on date - Revenue as on last date of past month)	Display	No	Numeric	Not Applicable	Not Applicabl e	
5	Actual change	Displays the change in Revenue percentage for the product type (Revenue as on date - Revenue as on last date of past month)/(AUM as on last date of past month) * 100	Display	No	Numeric	Not Applicable	Not Applicabl e	
Customer by Revenue Change Range(Level 3)								
1	Revenue Change Range	Displays the Revenue change range of the customer	Display	No	Numeric	Not Applicable	1. <-20% 2. -20% to <-10% 3. -10% to <0% 4. 0% to <10% 5. 10% to <20% 6. >20%	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicabl e	

3	Revenue as on date	Displays the Revenue as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicabl e	
4	Change over past month	Displays the change in Revenue of the customer over last date of past month (Revenue as on date - Revenue as on last date of past month)	Display	No	Numeric	Not Applicable	Not Applicabl e	
5	Actual change	Displays the Actual change in Revenue percentage for the customer over last date of past month (Revenue as on date - Revenue as on last date of past month)/(Revenue as on last date of past month) * 100	Display	No	Numeric	Not Applicable	Not Applicabl e	

6. Validations

1. Mandatory Field Verification - The system will validate whether the entire mandatory fields with * mark are filled in by the user or not

7. Actors/Entitlements

1. Relationship Manager

8. Annexure

Not Applicable

9. Glossary

1. The terms RM Office and PMS refer to the same application and have been used interchangeably throughout this document