

Journey of Self-Assessment and Supervisor Assessment

RM Dashboard

HSBC PWS

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Revision History

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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

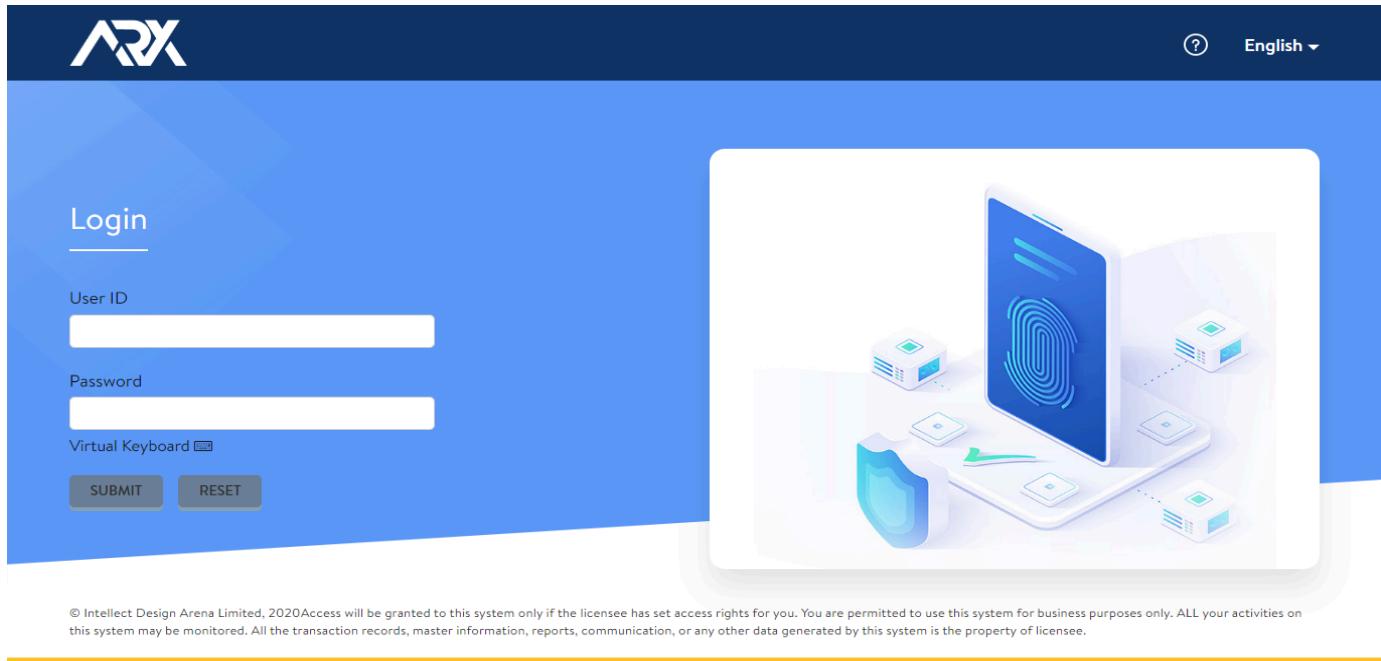
3. Flow Diagram

Not Applicable

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"

The screenshot shows a web interface titled "Launch Application". At the top, there's a header with the ARX logo, user profile, language selection ("English"), and a search bar. Below the header, a message says "Your current entity is Intellect Click on the below listed entitled applications to launch application. Select an application to launch." Under this message, there's a section titled "Web Applications" containing two buttons: "SIGMA" and "RMOffice", each with a document icon. At the bottom of the page, a copyright notice reads: "© 2020 . All rights reserved. These materials are confidential and proprietary to Intellect and no part of these materials should be reproduced, published in any form by any means, electronic or mechanical including photocopy or any information storage or retrieval system nor should the materials be disclosed to third parties without the express written authorization."

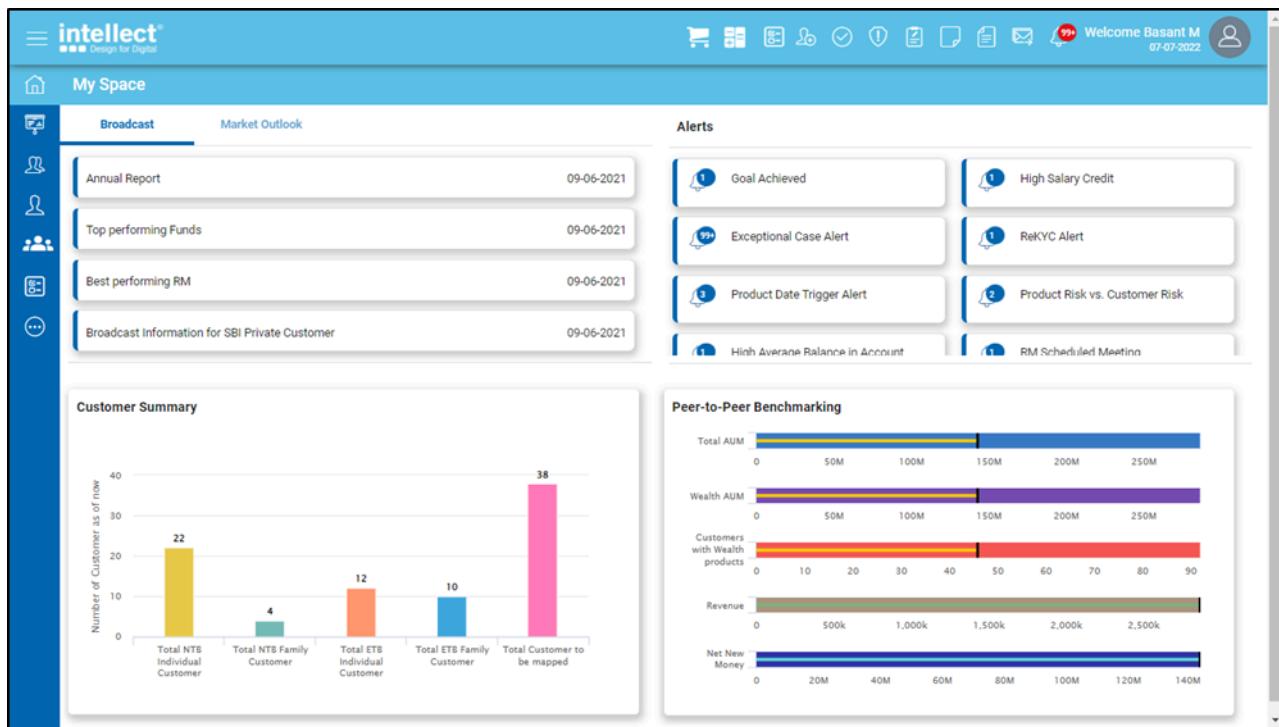
Screen: Select RM Office

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



The screenshot shows the Intellect My Space dashboard. On the left, there's a sidebar with icons for Broadcast, Market Outlook, Alerts, and Customer Summary. The main area has four main sections:

- Broadcast:** A list of recent broadcasts with dates: Annual Report (09-06-2021), Top performing Funds (09-06-2021), Best performing RM (09-06-2021), and Broadcast Information for SBI Private Customer (09-06-2021).
- Market Outlook:** A list of recent market outlooks with dates: Annual Report (09-06-2021), Top performing Funds (09-06-2021), Best performing RM (09-06-2021), and Broadcast Information for SBI Private Customer (09-06-2021).
- Customer Summary:** A bar chart showing the number of customers as of now. The data is as follows:

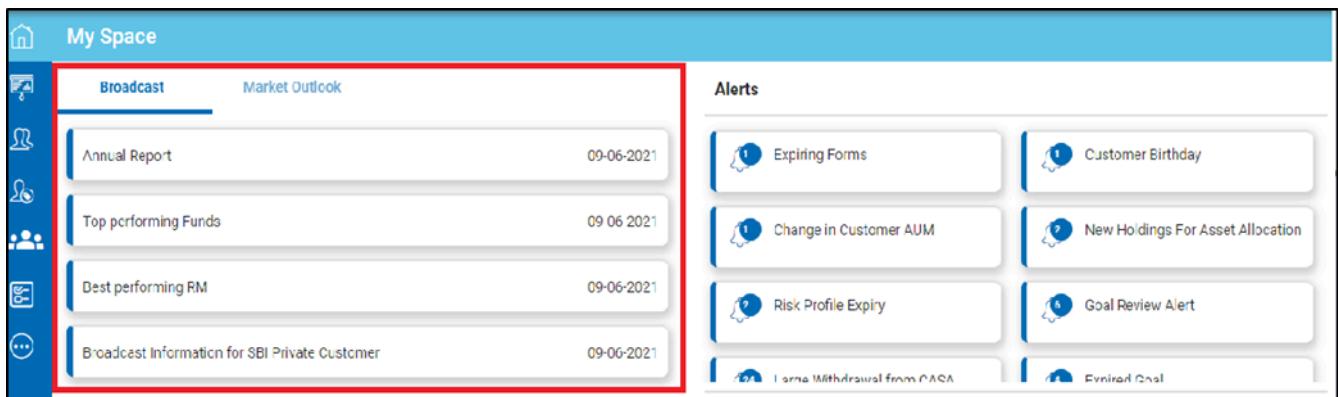
Category	Value
Total NTB Individual Customer	22
Total NTB Family Customer	4
Total ETB Individual Customer	12
Total ETB Family Customer	10
Total Customer to be mapped	38
- Peer-to-Peer Benchmarking:** A series of horizontal bar charts comparing various metrics across different branches or regions. The metrics include Total AUM, Wealth AUM, Customers with Wealth products, Revenue, and Net New Money.

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



This screenshot is similar to the one above, but the **Broadcast** section is highlighted with a red box. The rest of the interface is identical, showing the Market Outlook, Alerts, and Customer Summary sections.

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

The screenshot shows a software interface with two tabs at the top: 'Broadcast' and 'Market Outlook'. The 'Broadcast' tab is selected. Below the tabs is a list of four broadcast items, each with a red border around it. To the right of each item is a date: 09-06-2021.

Broadcast Item	Date
Annual Report	09-06-2021
Top performing Funds	09-06-2021
Best performing RM	09-06-2021
Broadcast Information for SBI Private Customer	09-06-2021

Screen: Broadcast

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

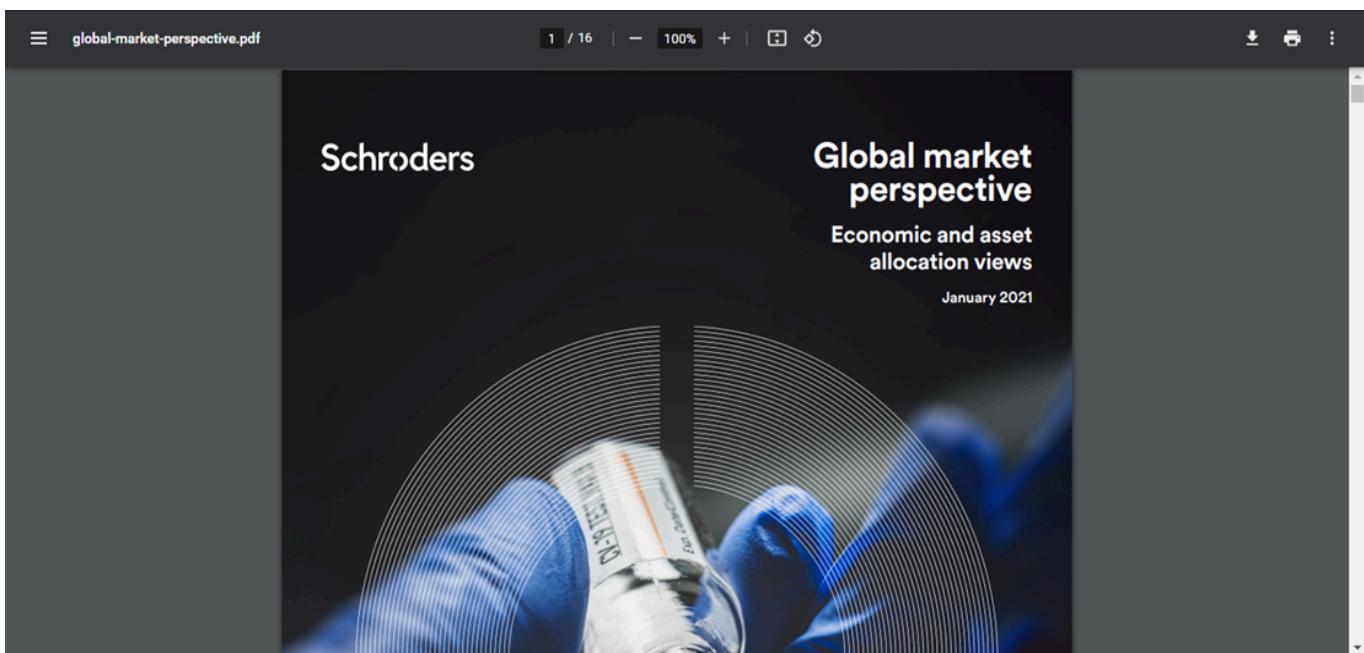
The screenshot shows a WPS Office PDF viewer window. The title bar says 'BRIAnnualReport (2).pdf'. The main content is a blue page with white text. The text reads: 'Continuously Fostering and Empowering Micro and Small Enterprises Deepening Their Role For The Nation'. Below this, it says 'ANNUAL REPORT 2019'. The PDF viewer has various toolbars and a sidebar on the right.

Screen: Download and View Broadcast

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

Broadcast	Market Outlook
Investment Navigator	09-06-2021
Global Market Perspective	09-06-2021
2021 Outlook - Preferred Security	09-06-2021
1st aug future date	26-09-2019

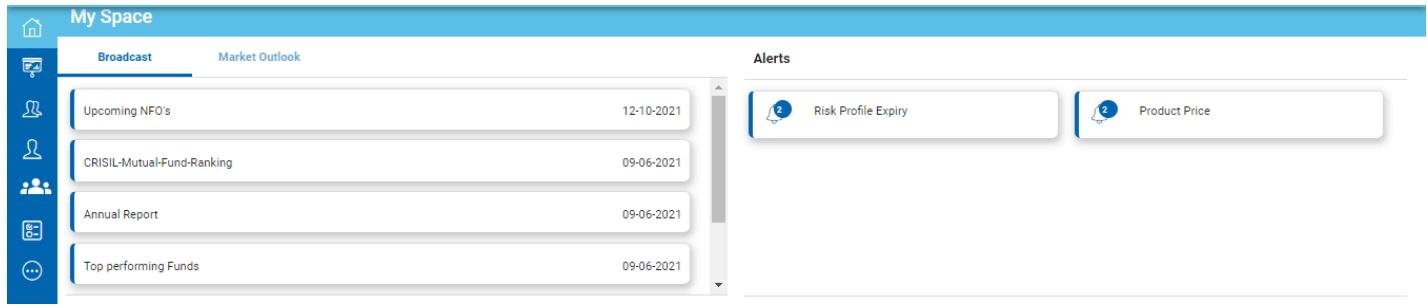
Screen: Market Outlook



Screen: Download and View Broadcast

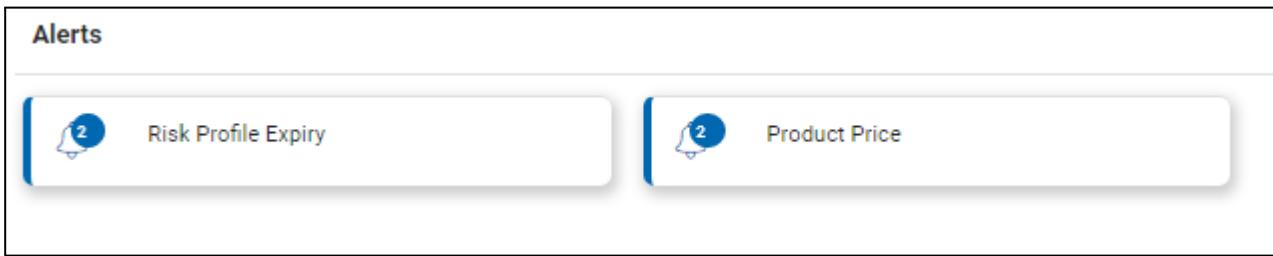
4.2.2. Critical Alerts

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



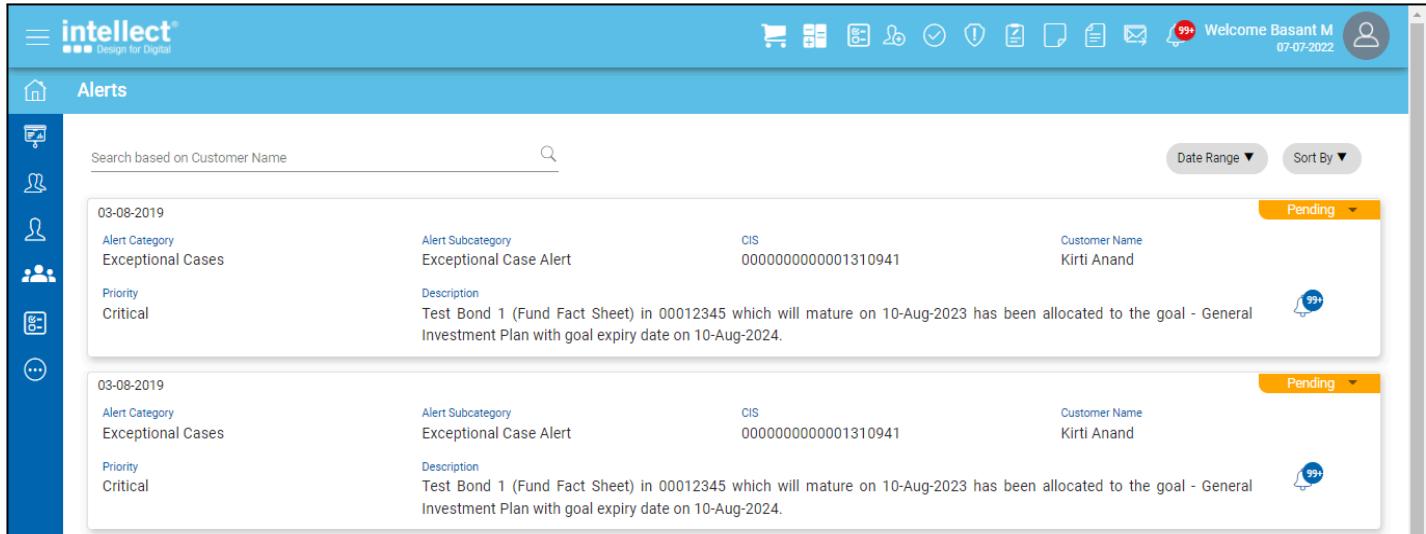
Screen: Alerts

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



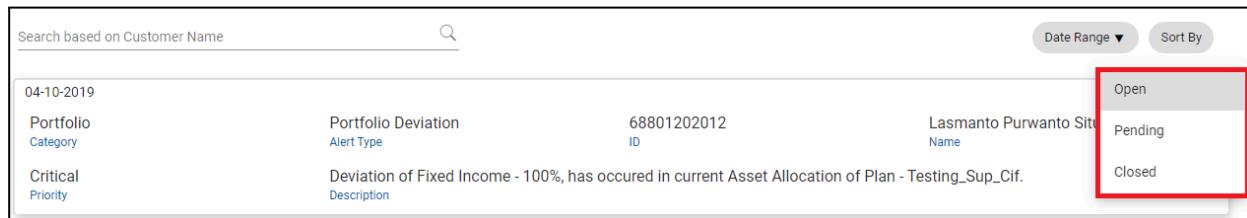
Search based on Customer Name 🔍

Date Range ▾ Sort By ▾

03-08-2019	Alert Category Exceptional Cases	Alert Subcategory Exceptional Case Alert	CIS 0000000000001310941	Customer Name Kirti Anand	Pending
03-08-2019	Alert Category Exceptional Cases	Alert Subcategory Exceptional Case Alert	CIS 0000000000001310941	Customer Name Kirti Anand	Pending

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



Search based on Customer Name 🔍

Date Range ▾ Sort By ▾

04-10-2019	Portfolio Category Critical Priority	Portfolio Deviation Alert Type Alert Type	ID 68801202012	Name Lasmanto Purwanto Siti	Open
		Description Deviation of Fixed Income - 100%, has occurred in current Asset Allocation of Plan - Testing_Sup_Cif.			Pending
					Closed

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



30-12-2020

Category Risk Profile	Alert Type Product Risk vs. Customer Risk	ID 00020201202002	Name RIS1902	Open
Priority Critical	Description The purchased product SP092046 has a risk profile Income that is higher than customer's risk profile Conservative.			🔔 21

Critical Non Critical

Search based on Customer Name 

Alerts Category ▾ Date Range ▾ Sort By ▾

Date	Category	Description	Status
30-12-2020	Risk Profile Category	Product Risk vs. Customer Risk Sub Category The purchased product SP092046 has a risk profile Income that is higher than customer's risk profile Conservative.	 RIS1902 Name
30-12-2020	Exceptional Cases Category	Exceptional Case Alert Sub Category Product Tenor of ONE TOUCH PRODUCT under Account Number: 001040068 that allocated to SI WEALTH PLAN is greater than the investment time horizon 4 year(s).	 RIS1902 Name
30-12-2020	Portfolio Category	ROI Trigger Sub Category	 RIS1902 Name

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

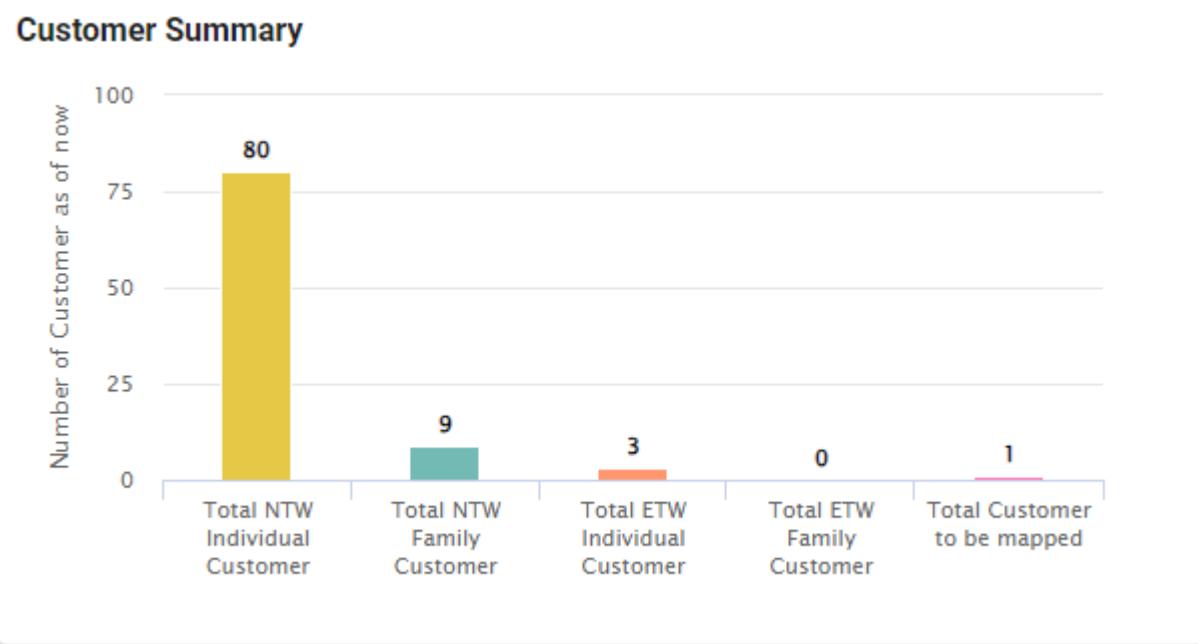
The screenshot shows the 'My Space' dashboard of the intellect platform. On the left, there's a sidebar with icons for Broadcast, Market Outlook, and other features. The main area has tabs for 'Broadcast' and 'Market Outlook'. Under 'Broadcast', there are four items: 'Annual Report' (09-06-2021), 'Top performing Funds' (09-06-2021), 'Best performing RM' (09-06-2021), and 'Broadcast Information for SBI Private Customer' (09-06-2021). The 'Alerts' section contains six items: 'Goal Achieved', 'High Salary Credit', 'Exceptional Case Alert', 'ReKYC Alert', 'Product Date Trigger Alert', 'Product Risk vs. Customer Risk', 'High Average Balance in Account', and 'DM Scheduled Meeting'. The 'Customer Summary' section is highlighted with a red border and contains a bar chart with the following data:

Category	Value
Total NTB Individual	22
Total NTB Family	4
Total ETB Individual	12
Total ETB Family	10
Total Customers	38

The 'Peer-to-Peer Benchmarking' section contains four horizontal bar charts with the following data:

Category	Value
Total AUM	~250M
Wealth AUM	~250M
Customers with Wealth products	~90
Revenue	~2,500k
Net New	~2,500k

Screen: Customer Summary

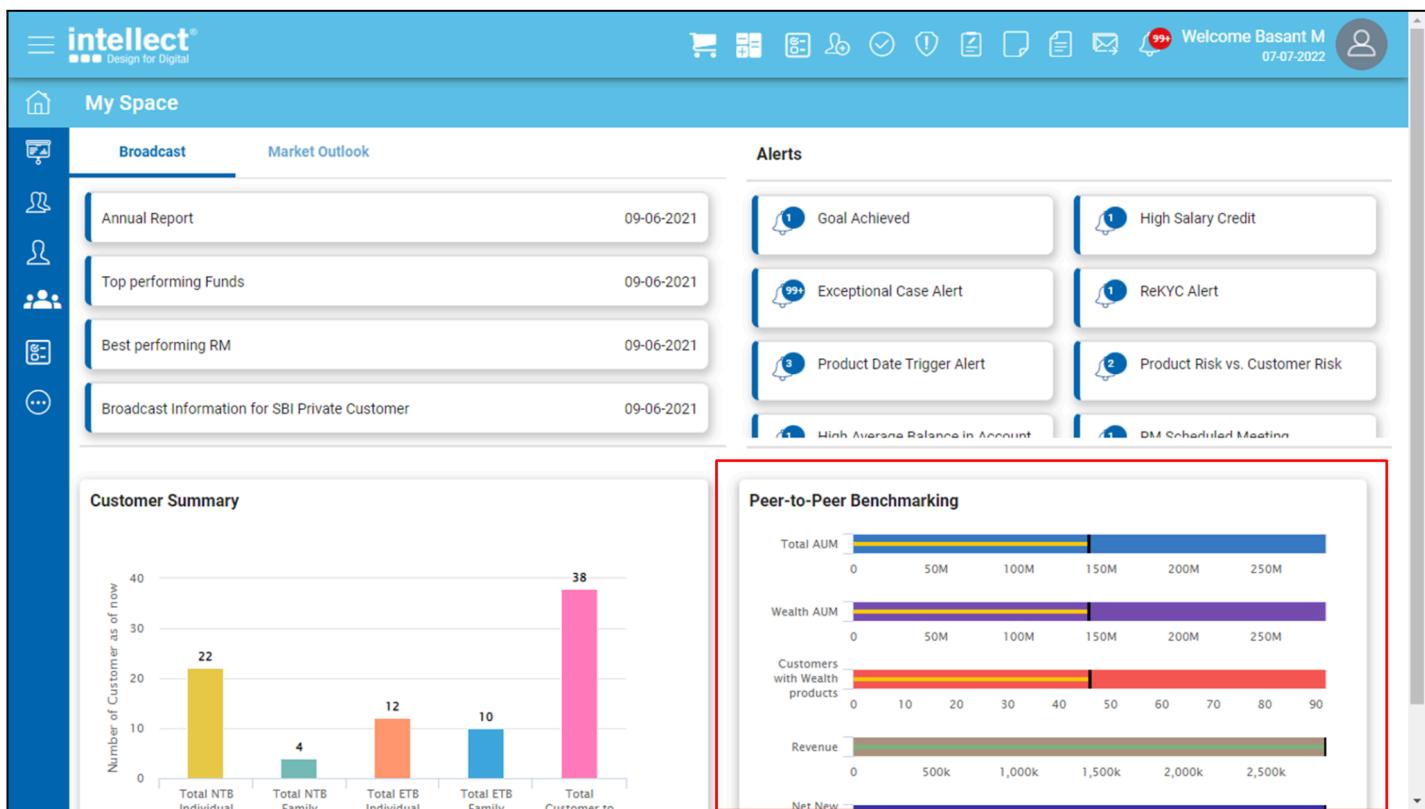


4.2.4. Peer-to-Peer Benchmarking

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

- Total AUM – Total holdings value of all products held by all the customers mapped to the RM
- Customers with Wealth Products – Count of Customers with Insurance, Investment or both products mapped to the RM
- Revenue – Revenue generated by all the customers mapped to the RM
- 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



The screenshot shows the intellect platform interface with a red box highlighting the 'Peer-to-Peer Benchmarking' section. The 'Customer Summary' bar chart shows the following data:

Category	Value
Total NTB Individual	22
Total NTB Family	4
Total ETB Individual	12
Total ETB Family	10
Total Customer	38

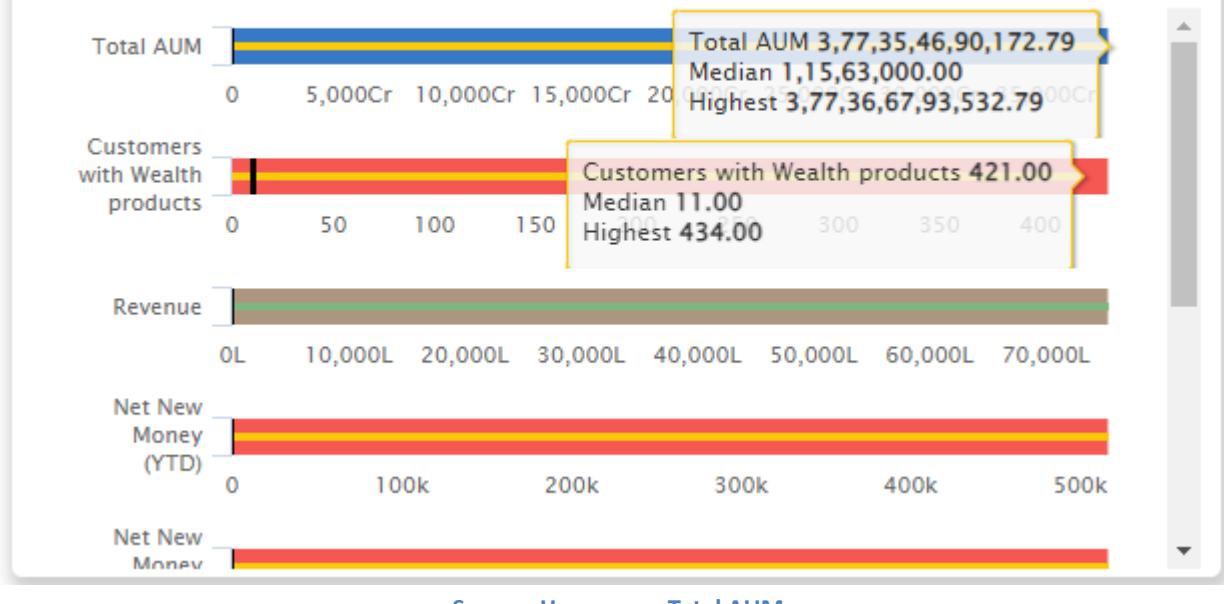
The 'Peer-to-Peer Benchmarking' section displays five horizontal bar charts comparing the user's performance against their peers:

- Total AUM:** The user's value is approximately 220M, which is higher than the median (around 180M) and the highest value (around 250M).
- Wealth AUM:** The user's value is approximately 180M, which is higher than the median (around 150M) and the highest value (around 200M).
- Customers with Wealth products:** The user's value is approximately 45, which is higher than the median (around 40) and the highest value (around 50).
- Revenue:** The user's value is approximately 1,800k, which is higher than the median (around 1,500k) and the highest value (around 2,000k).
- Net New:** The user's value is approximately 2,200k, which is higher than the median (around 2,000k) and the highest value (around 2,500k).

Screen: Peer-to-Peer Benchmarking

- 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

Peer-to-Peer Benchmarking



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:

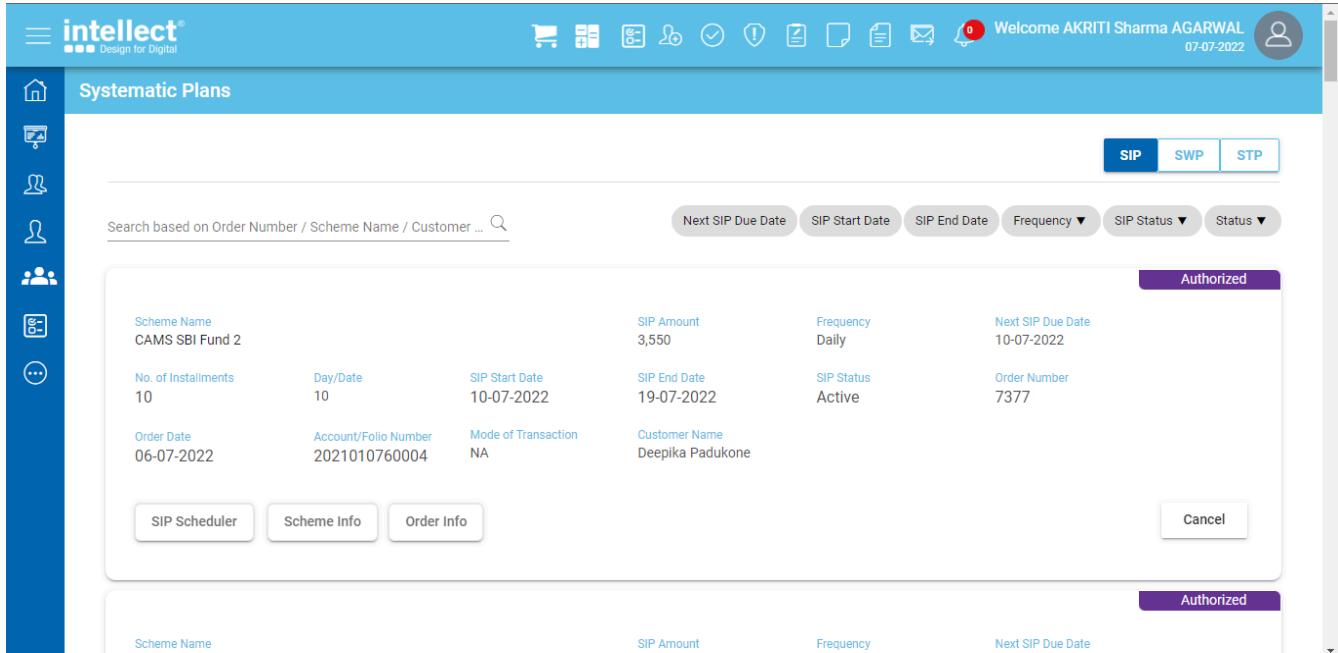
- Systematic Plan Dashboard** – It displays the systematic plans of the customers mapped to the RM with the status of the orders
- Calculators** – The RM can use the calculators to plan for investments for their customers
- Order Book** – This screen shows the RM all the orders placed on behalf of the customers mapped to the RM with the status of the orders
- Calendar** – This screen shows the RM Calendar details. Here they can view their day-wise pending meetings, schedule meetings or file standalone call report
- Notes** – The RM can capture any ad hoc notes that they may want to refer to, or view their existing notes in this screen
- 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
- 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
- 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



The screenshot shows the Systematic Plan Dashboard with a single plan entry for CAMS SBI Fund 2. The plan details are as follows:

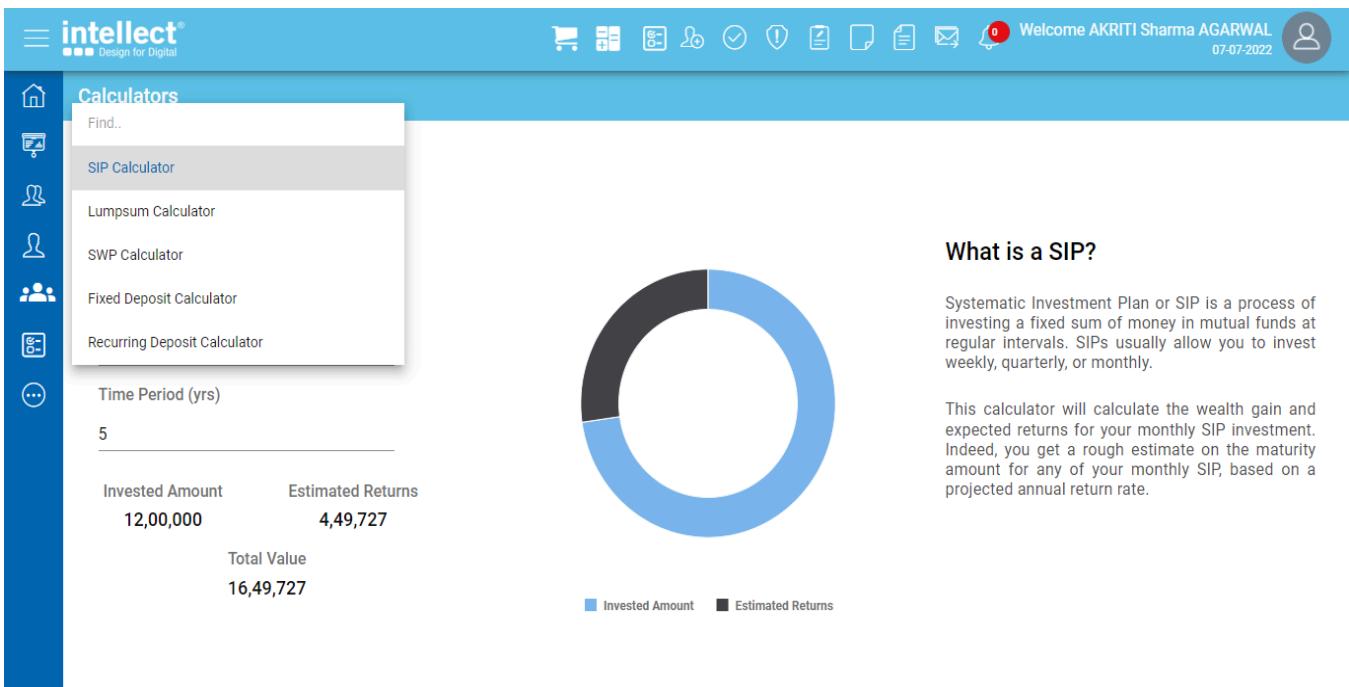
Scheme Name	SIP Amount	Frequency	Next SIP Due Date		
CAMS SBI Fund 2	3,550	Daily	10-07-2022		
No. of Installments	Day/Date	SIP Start Date	SIP End Date	SIP Status	Order Number
10	10	10-07-2022	19-07-2022	Active	7377
Order Date	Account/Folio Number	Mode of Transaction	Customer Name		
06-07-2022	2021010760004	NA	Deepika Padukone		

Buttons at the bottom include SIP Scheduler, Scheme Info, Order Info, and Cancel.

Screen: Systematic Plan Dashboard

4.3.2. Calculators

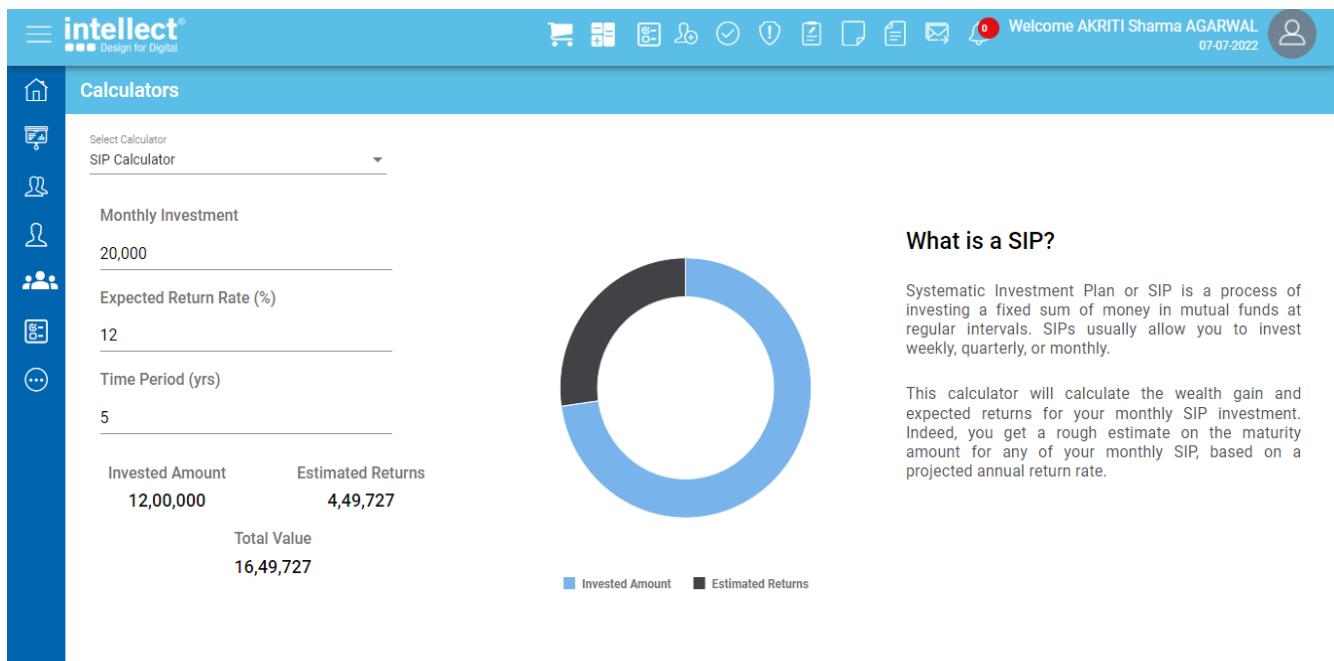
The RM can navigate to the calculator to find the amount to calculate the Investment, Returns and Corpus for various modes of Investments like SIP, SWP etc. They can also calculate what the corpus of a customer will be if they invest in FDs, RDs etc.



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



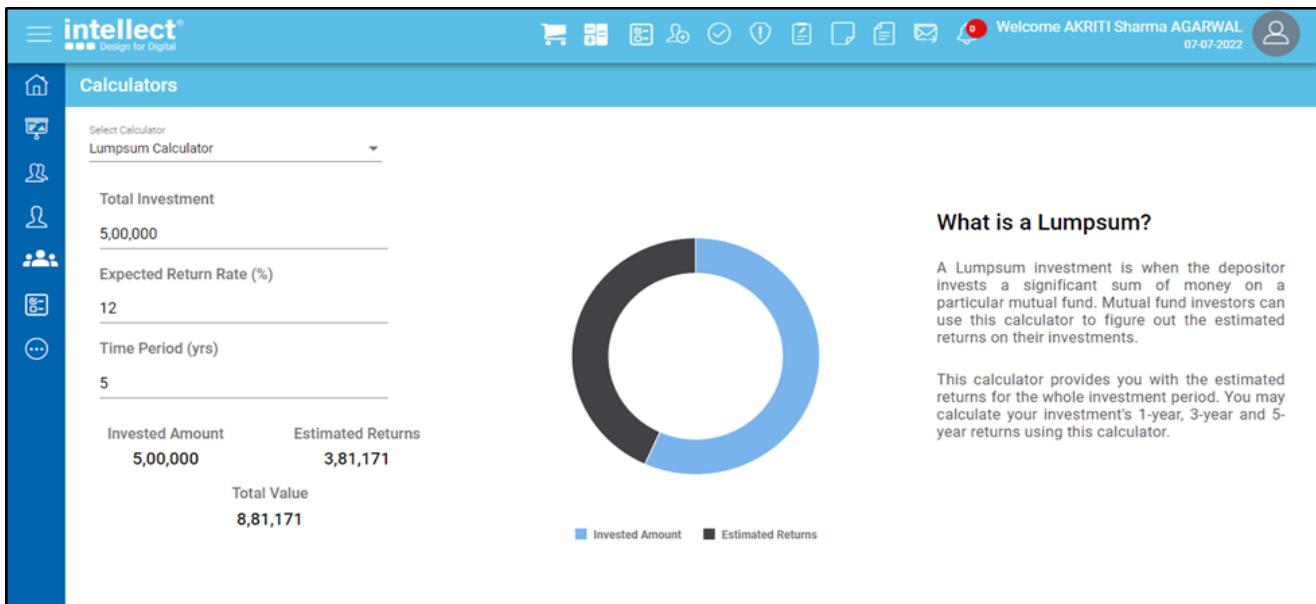
What is a SIP?

Systematic Investment Plan or SIP is a process of investing a fixed sum of money in mutual funds at regular intervals. SIPs usually allow you to invest weekly, quarterly, or monthly.

This calculator will calculate the wealth gain and expected returns for your monthly SIP investment. Indeed, you get a rough estimate on the maturity amount for any of your monthly SIP, based on a projected annual return rate.

4.3.2.2. Lump sum Calculator

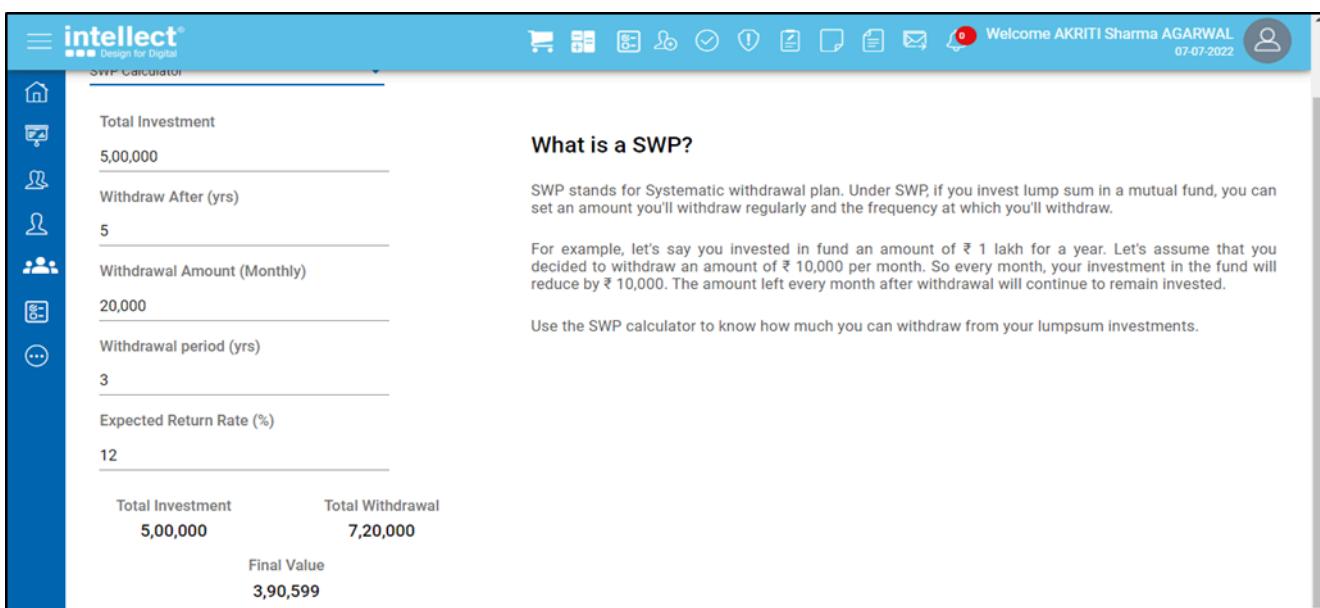
User inputs the Total Investment, Expected Rate of Return and Time Period. System displays the Invested Amount, Estimated Returns and Total Value



Screen: Lump sum Calculator

4.3.2.3. SWP Calculator

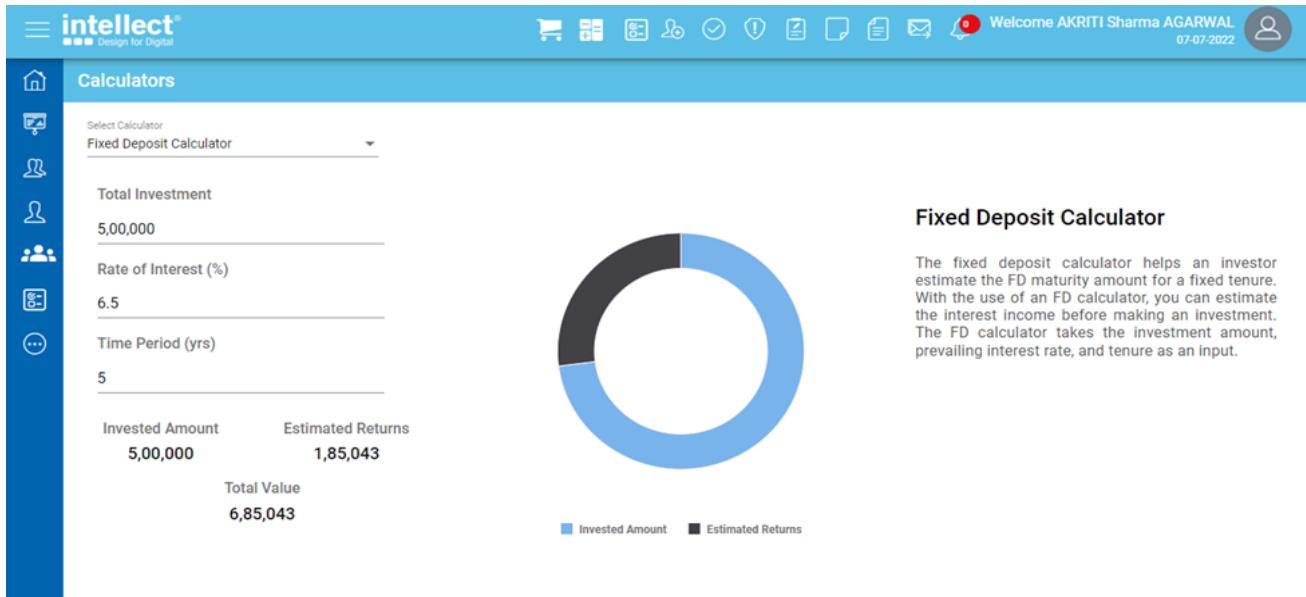
User inputs the Total Investment, Withdraw After (yrs), Withdrawal Amount (Monthly), Withdrawal Period (yrs) and Expected Rate. System displays the Total Investment, Total Withdrawal and Final Value



Screen: SWP Calculator

4.3.2.4. Fixed Deposit Calculator

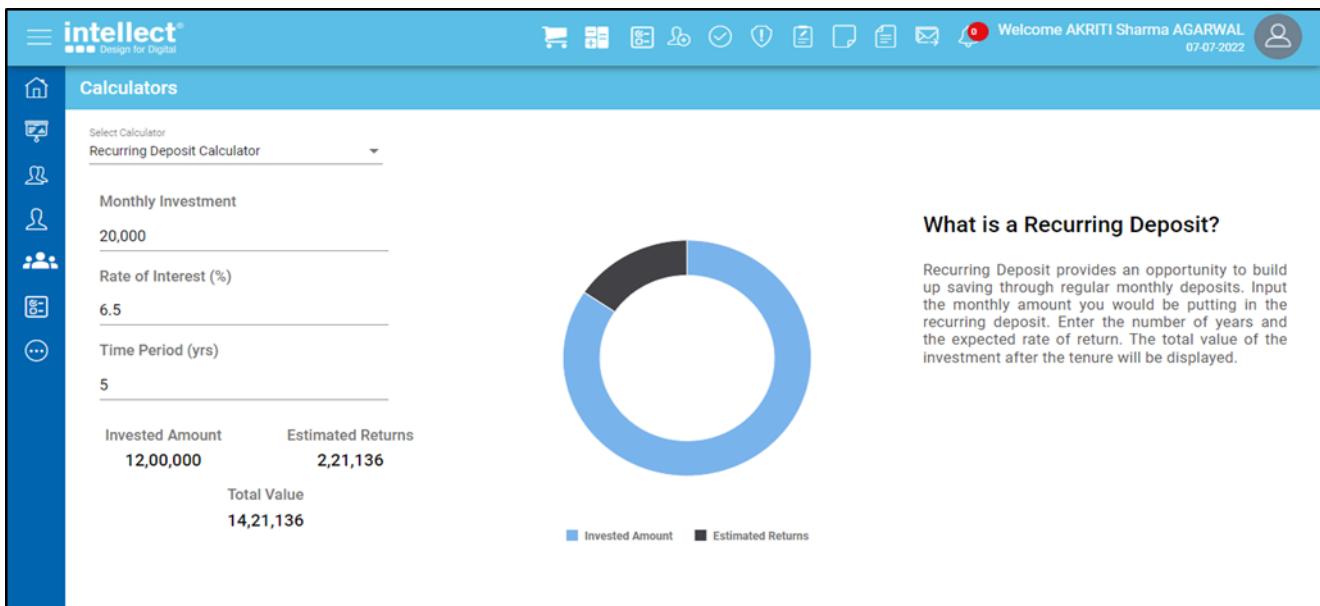
User inputs the Total Investment, Rate of Interest and Time Period (yrs). System displays the Invested Amount, Estimated Returns and Total Value



Screen: Fixed Deposit Calculator

4.3.2.5. Recurring Deposit Calculator

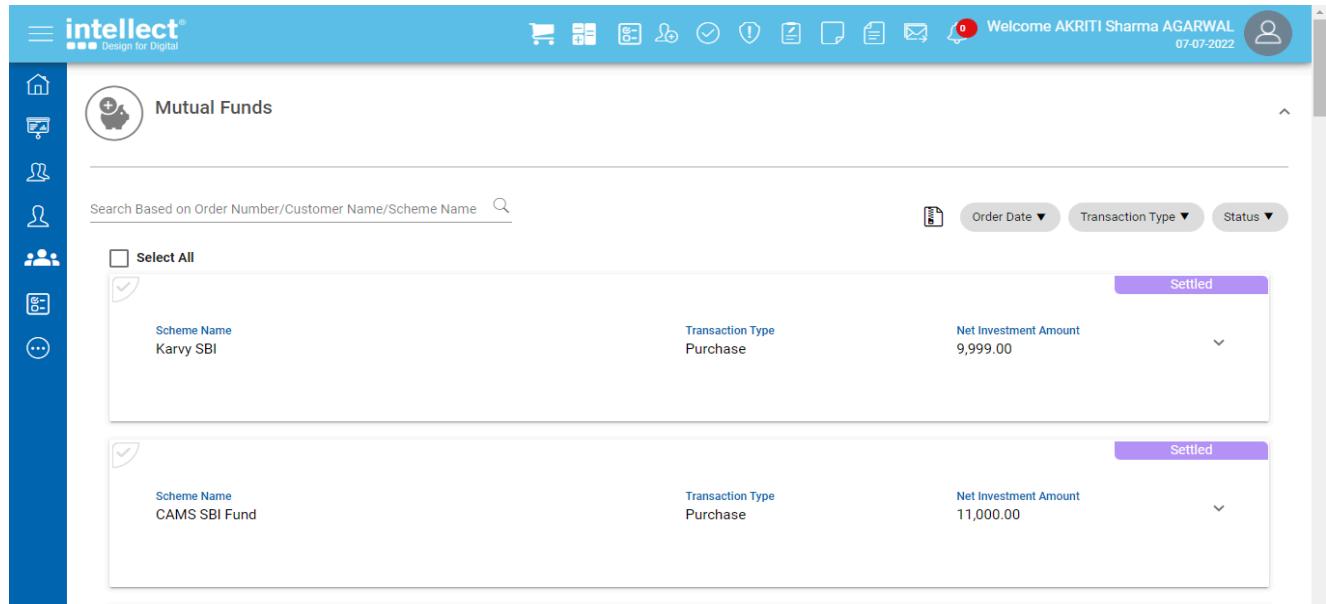
User inputs the Monthly Investment, Rate of Interest and Time Period (yrs). System displays the Invested Amount, Estimated Returns and Total Value



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



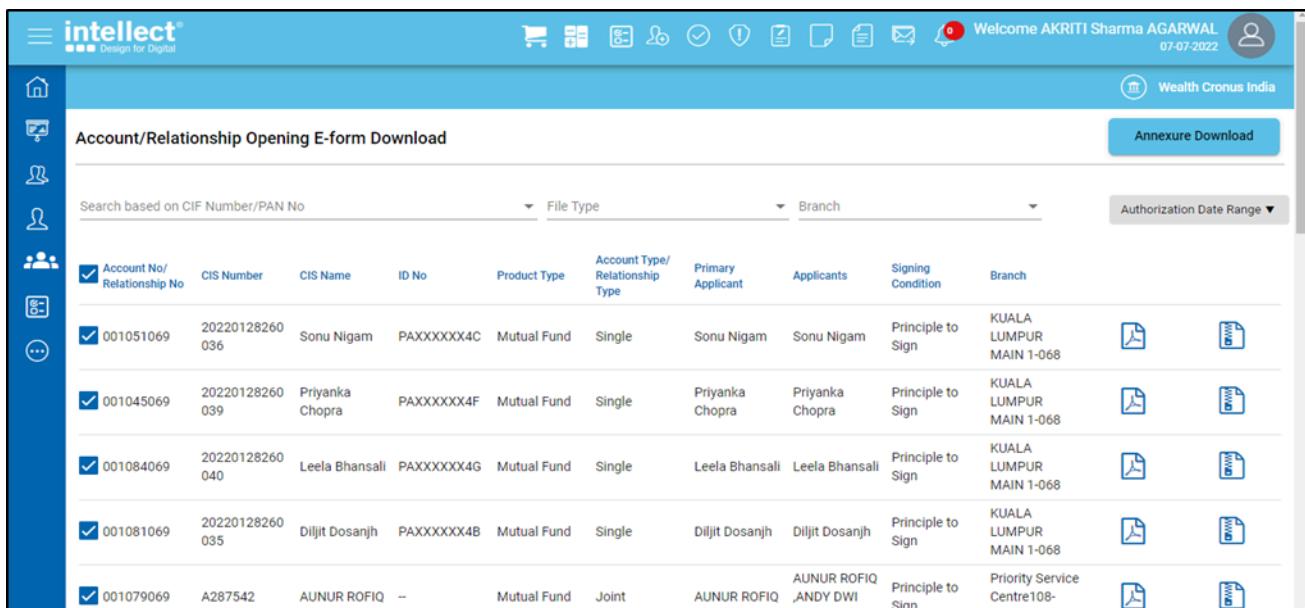
The screenshot shows the Order Book screen with the following details:

Scheme Name	Transaction Type	Net Investment Amount	Status
Karvy SBI	Purchase	9,999.00	Settled
CAMS SBI Fund	Purchase	11,000.00	Settled

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”



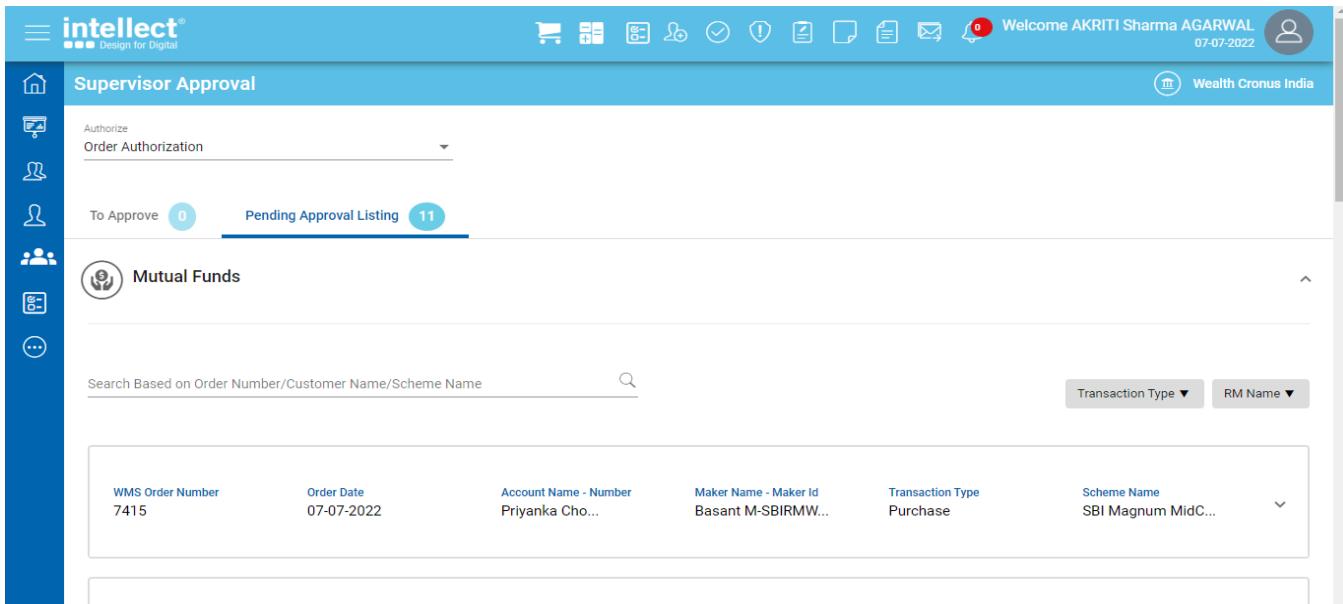
The screenshot shows the Account/Relationship Opening E-form Download screen with the following details:

Account No/Relationship No	CIS Number	CIS Name	ID No	Product Type	Account Type/Relationship Type	Primary Applicant	Applicants	Signing Condition	Branch	Download	Annexure Download
001051069	20220128260 036	Sonu Nigam	PAXXXXXX4C	Mutual Fund	Single	Sonu Nigam	Sonu Nigam	Principle to Sign	KUALA LUMPUR MAIN 1-068		
001045069	20220128260 039	Priyanka Chopra	PAXXXXXX4F	Mutual Fund	Single	Priyanka Chopra	Priyanka Chopra	Principle to Sign	KUALA LUMPUR MAIN 1-068		
001084069	20220128260 040	Leela Bhansali	PAXXXXXX4G	Mutual Fund	Single	Leela Bhansali	Leela Bhansali	Principle to Sign	KUALA LUMPUR MAIN 1-068		
001081069	20220128260 035	Diljit Dosanjh	PAXXXXXX4B	Mutual Fund	Single	Diljit Dosanjh	Diljit Dosanjh	Principle to Sign	KUALA LUMPUR MAIN 1-068		
001079069	A287542	AUNUR ROFIQ	--	Mutual Fund	Joint	AUNUR ROFIQ	ANDY DWI	Principle to Sign	Priority Service Centre108-		

Screen: Click on Account/Relationship Opening e form download

4.3.5. Supervisor Approval

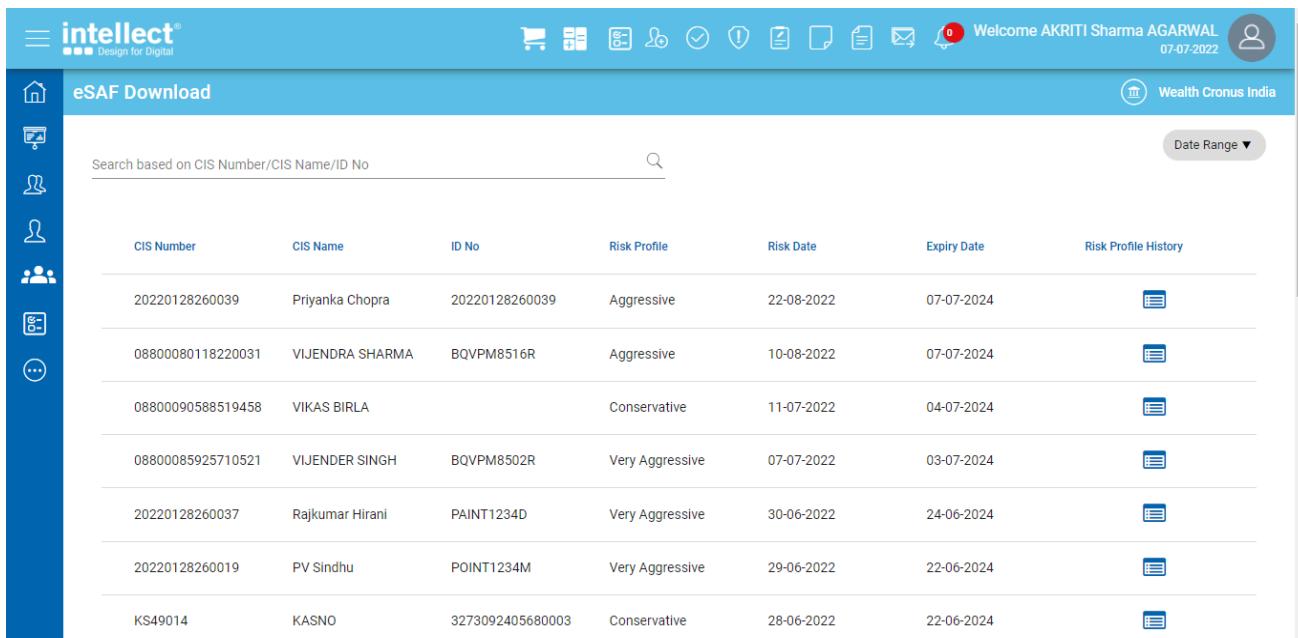
The Supervisor can navigate to the approval screen by clicking on the “Supervisor Approval” widget on the top panel. This section is discussed in details in each of the respective documents where an approval is needed from the Supervisor. It is available under the “Supervisor Approval” section



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



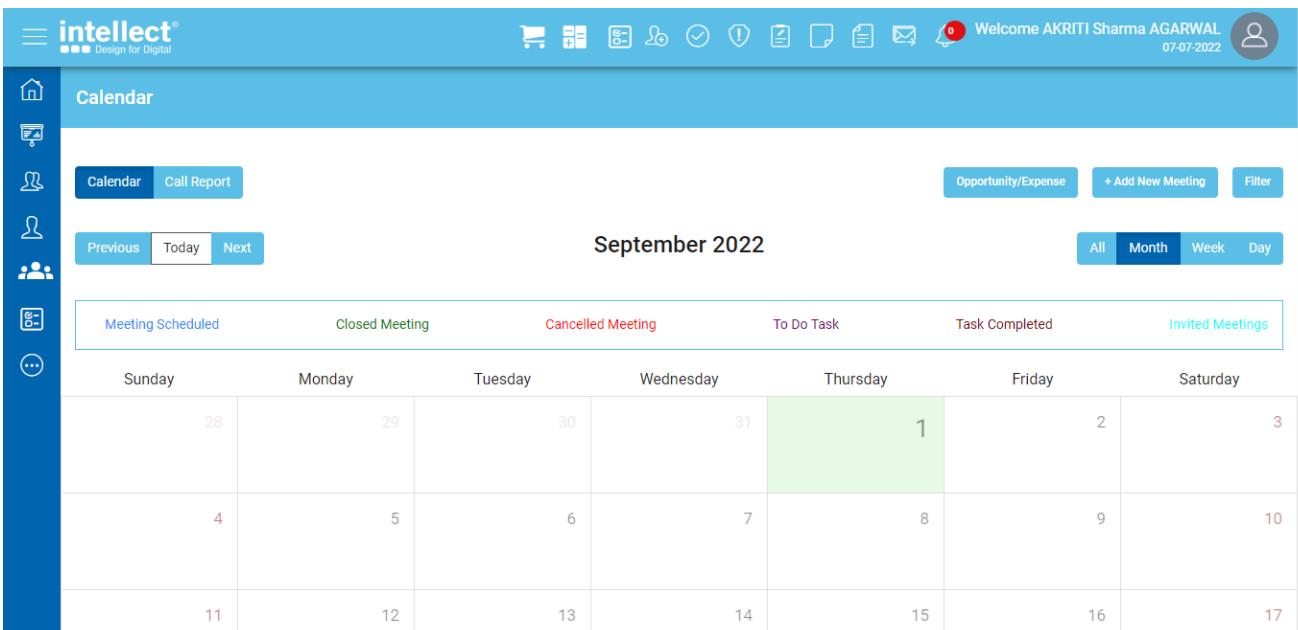
The screenshot shows the eSAF Download section of the Intellect platform. At the top, there's a search bar labeled "Search based on CIS Number/CIS Name/ID No" with a magnifying glass icon. To the right of the search bar is a "Date Range" button. The main area displays a table with columns: CIS Number, CIS Name, ID No, Risk Profile, Risk Date, Expiry Date, and Risk Profile History. Each row contains a small blue "View" icon. The data in the table is as follows:

CIS Number	CIS Name	ID No	Risk Profile	Risk Date	Expiry Date	Risk Profile History
20220128260039	Priyanka Chopra	20220128260039	Aggressive	22-08-2022	07-07-2024	
08800080118220031	VIJENDRA SHARMA	BQVPM8516R	Aggressive	10-08-2022	07-07-2024	
08800090588519458	VIKAS BIRLA		Conservative	11-07-2022	04-07-2024	
08800085925710521	VIJENDER SINGH	BQVPM8502R	Very Aggressive	07-07-2022	03-07-2024	
20220128260037	Rajkumar Hirani	PAINT1234D	Very Aggressive	30-06-2022	24-06-2024	
20220128260019	PV Sindhu	POINT1234M	Very Aggressive	29-06-2022	22-06-2024	
KS49014	KASNO	3273092405680003	Conservative	28-06-2022	22-06-2024	

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



The screenshot shows the Calendar screen of the Intellect platform. At the top, there's a navigation bar with icons for Home, Profile, and other functions. The main title is "Calendar". Below the title, there are buttons for "Calendar" (which is selected), "Call Report", "Opportunity/Expense", "+ Add New Meeting", and "Filter". There are also buttons for "Previous", "Today" (which is selected), and "Next". The month displayed is "September 2022". Below the month, there's a header row with categories: "Meeting Scheduled", "Closed Meeting", "Cancelled Meeting", "To Do Task", "Task Completed", and "Invited Meetings". The calendar grid shows days from Sunday to Saturday. Specific dates are highlighted in green: September 1st, 15th, and 16th. Other dates are shown in red: 28th, 29th, 30th, 31st, 4th, 5th, 6th, 7th, 8th, 9th, 10th, 11th, 12th, 13th, 14th, 17th, and 3rd. The days of the week are labeled at the top of each column.

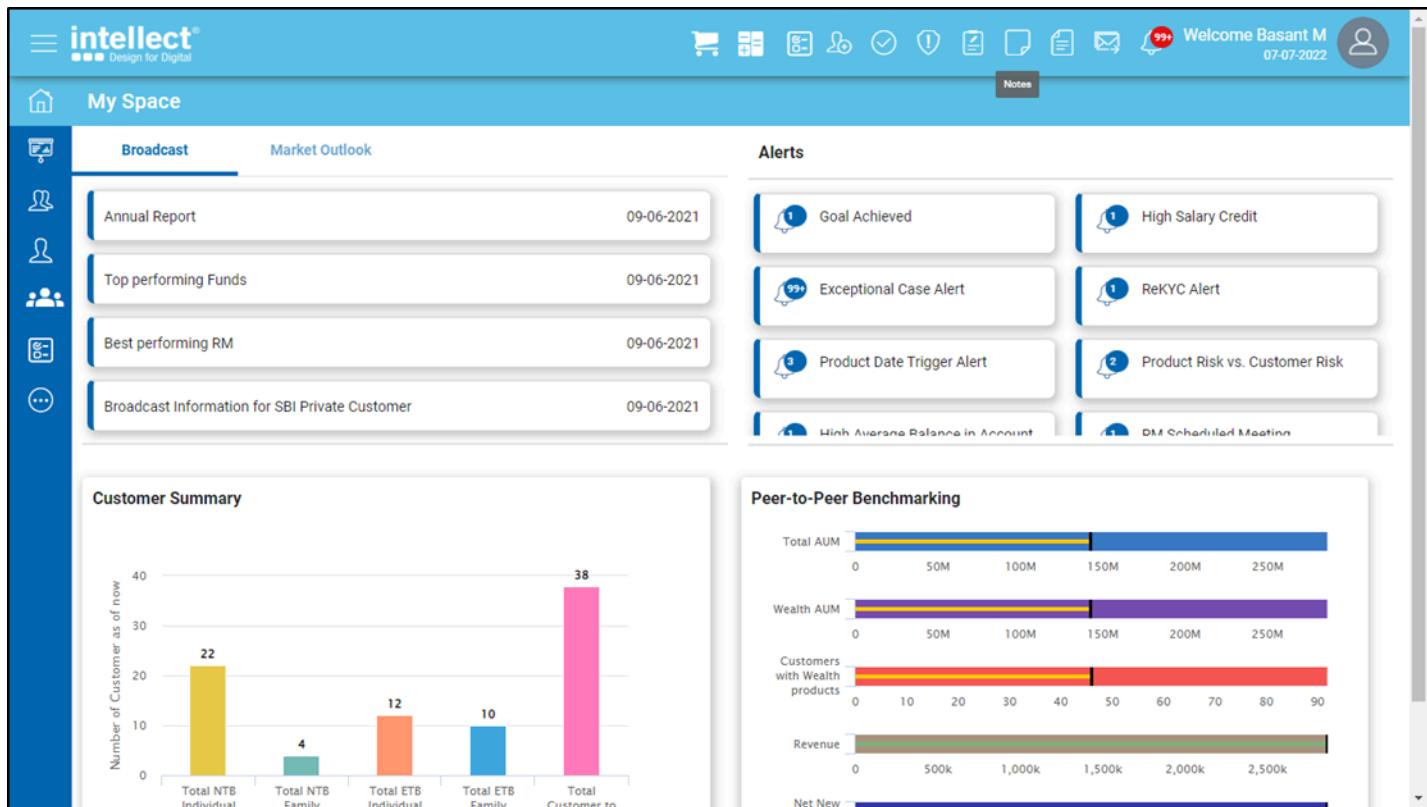
Screen: Click on Calendar

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.

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



Broadcast

- Annual Report (09-06-2021)
- Top performing Funds (09-06-2021)
- Best performing RM (09-06-2021)
- Broadcast Information for SBI Private Customer (09-06-2021)

Alerts

- Goal Achieved
- High Salary Credit
- Exceptional Case Alert
- ReKYC Alert
- Product Date Trigger Alert
- Product Risk vs. Customer Risk
- High Average Balance in Account
- DMA Scheduled Meeting

Customer Summary

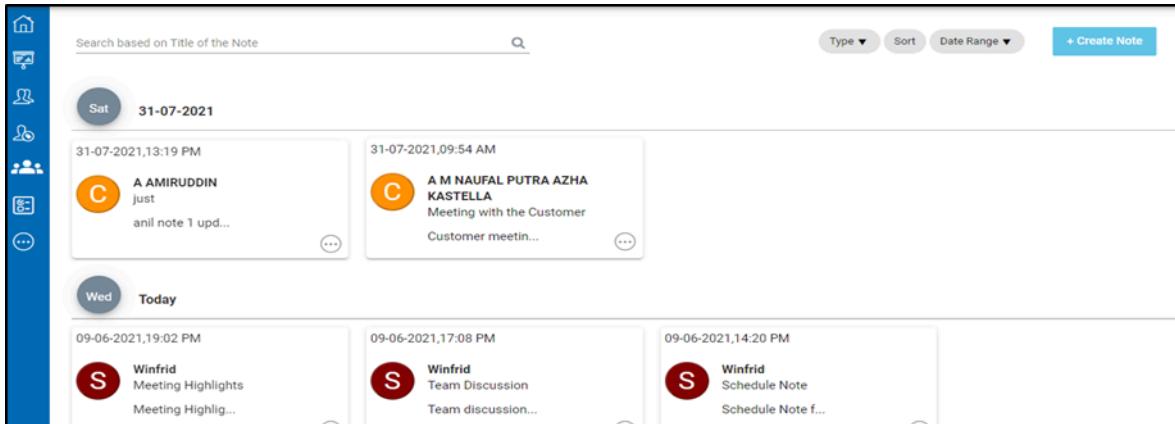
Category	Count
Total NTB Individual	22
Total NTB Family	4
Total ETB Individual	12
Total ETB Family	10
Total Customer	38

Peer-to-Peer Benchmarking

Metric	Value
Total AUM	~260M
Wealth AUM	~260M
Customers with Wealth products	~90
Revenue	~2,500k
Net New	~2,500k

Screen: Click on Notes

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



Search based on Title of the Note

Sat 31-07-2021

- 31-07-2021,13:19 PM: C A AMIRUDDIN just anil note 1 upd...
- 31-07-2021,09:54 AM: C A M NAUFAL PUTRA AZHA KASTELLA Meeting with the Customer Customer meetin...

Wed Today

- 09-06-2021,19:02 PM: S Winfrid Meeting Highlights Meeting Highlig...
- 09-06-2021,17:08 PM: S Winfrid Team Discussion Team discussion...
- 09-06-2021,14:20 PM: S Winfrid Schedule Note Schedule Note f...

Screen: Notes

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

The screenshot shows the Intellect Notes module interface. At the top, there's a search bar labeled "Search based on Title of the Note" with a magnifying glass icon. To the right of the search bar are three buttons: "Type ▾", "Sort", and "Date Range ▾". Below these is a blue button with white text that says "+ Create Note", which is highlighted with a red box. On the left side of the screen, there's a vertical sidebar with icons for Home, Profile, People, and Groups. The main area displays two notes. The first note is from "A AMIRUDDIN" on "31-07-2021, 13:19 PM" and contains the text "just anil note 1 upd...". The second note is from "A M NAUFAL PUTRA AZHA KASTELLA" on "31-07-2021, 09:54 AM" and contains the text "Meeting with the Customer Customer meetin...". At the bottom left, there's a "Wed Today" indicator.

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

The screenshot shows the "Create Note" form. At the top, it says "Create Note" and has a timestamp "09-06-2021 06:18 PM". Below that are three input fields: "Type *", "Name *", and "Title *". The "Type *" dropdown is set to "Customer". The "Name *" dropdown shows "ABDUL GHOFAR - AMP0677". The "Title *" field contains "MR". Below these fields is a "Description *" field containing "TEST". At the bottom right of the form are two buttons: "Cancel" and "Save", with "Save" being highlighted by a red box.

Screen: Enter details and click on save

The screenshot shows the 'Notes' section of the intellect platform. At the top, there's a search bar labeled 'Search based on Title of the Note' and several filter buttons: 'Type ▾', 'Sort', 'Date Range ▾', and '+ Create Note'. Below the search bar, a green success message box displays 'Successfully Added New Notes' with a checkmark icon and a close button 'X'. On the left, a vertical sidebar contains icons for Home, Sales, Customers, Products, and Reports. The main area shows notes categorized by date: 'Thu' (07-07-2022, 19:01 PM) containing a note from 'A AMIRUDDIN' with the text 'sdfs' and 'Notes'; 'Today' (07-07-2022, 16:50 PM) containing a note from 'VIJENDER SINGH' with the text 'Portfolio state...' and 'Send statement'; and '07-07-2022, 12:57 PM' containing a note from 'Basant M' with the text 'Kanchan' and 'Fund Fact sheet...'. Each note card has a three-dot menu icon at the bottom right.

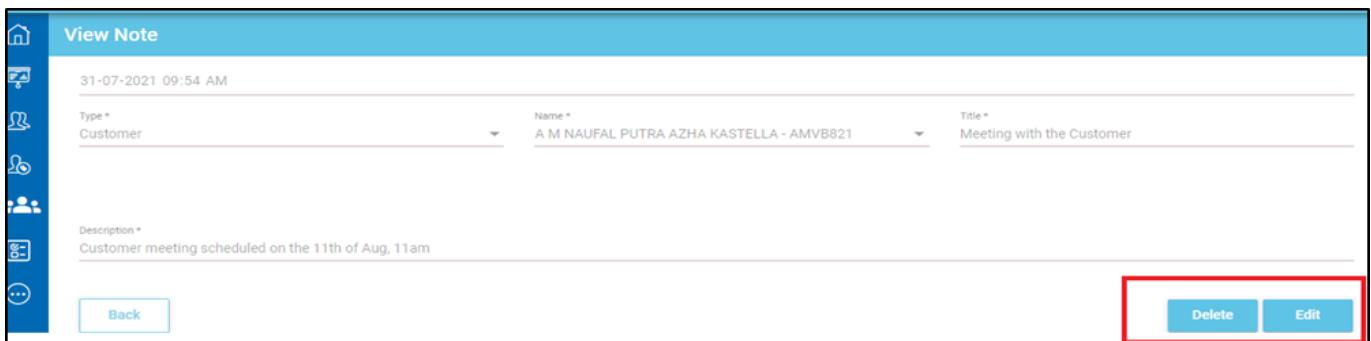
Screen: Note successfully saved

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

This screenshot shows the same 'Notes' section as the previous one, but with a specific interaction highlighted. A red box surrounds the three-dot menu icon located at the bottom right of the note card for the entry dated '31-07-2021' from 'A M NAUFAL PUTRA AZHA KASTELLA'. This indicates that the user has clicked on this button to view or edit the note details.

Screen: Click on Three Dots

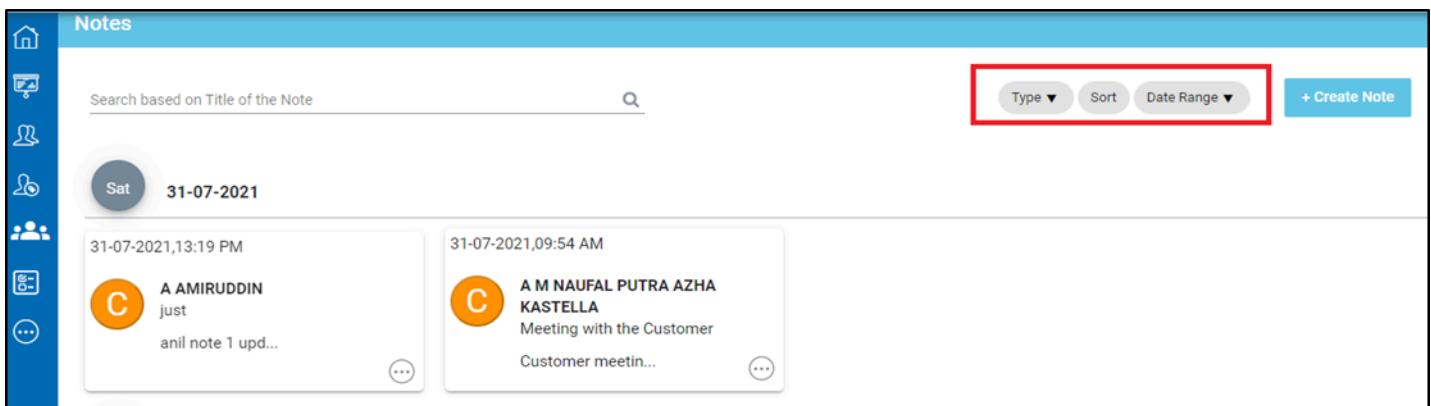
- In the View Note screen, the RM can view the existing details, edit the details or delete the note



The screenshot shows the 'View Note' interface. At the top, there's a header bar with icons for home, notes, users, and more. Below it, the main form has fields for 'Type *' (Customer), 'Name *' (A M NAUFAL PUTRA AZHA KASTELLA - AMVB821), and 'Title *' (Meeting with the Customer). A 'Description' field contains the text: 'Customer meeting scheduled on the 11th of Aug, 11am'. At the bottom right are 'Back' and 'Delete/Edit' buttons, with the 'Delete' and 'Edit' buttons highlighted by a red box.

Screen: View Note

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



The screenshot shows the 'Notes' screen. On the left is a vertical sidebar with icons for home, notes, users, and more. The main area has a search bar and filters for 'Type', 'Sort', and 'Date Range', which are highlighted by a red box. Below the filters, a date header says 'Sat 31-07-2021'. Two notes are listed: one from 'A AMIRUDDIN' with the text 'just anil note 1 upd...', and another from 'A M NAUFAL PUTRA AZHA KASTELLA' with the text 'Meeting with the Customer Customer meetin...'. Each note has a three-dot ellipsis icon at the bottom right.

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.

The screenshot shows the 'Notes' section of the intellect application. On the left is a vertical sidebar with icons for Home, Tasks, People, and Groups. The main area has a blue header bar with the title 'Notes'. Below it is a search bar and filter buttons for 'Type', 'Sort', and 'Date Range'. A large blue button '+ Create Note' is at the top right. The main content area displays three notes in a grid:

- 07-07-2022,19:01 PM** by **A AMIRUDDIN**: sdfsa. Notes.
- 07-07-2022,16:50 PM** by **VIJENDER SINGH**: Portfolio state... Send statement.
- 07-07-2022,12:57 PM** by **Basant M**: Kanchan Fund Fact sheet... .

Screen: Click on To-Do

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

The screenshot shows the 'To-Do Activity' section of the intellect application. The left sidebar includes icons for Home, Tasks, People, and Groups. The main area has a blue header bar with the title 'To-Do Activity'. Below it is a toolbar with 'Select All', 'Date Range', 'Sort By', 'Delete', and '+ Add New' buttons. The main content area displays a table of tasks:

	Subject	Start Date	Who	Priority	Category	Description	Status	Actions
<input type="checkbox"/>	Portfolio review...	07-07-2022	Basant M	High Priority			Started	...
<input type="checkbox"/>	Statement to be...	07-07-2022	Basant M	High Priority		Send statement ...	To Be Started	...

At the bottom right, there are navigation buttons: '< Previous', '1', and 'Next >'.

Screen: Click on To-Do

To-Do Activity						
	<input type="checkbox"/> Select All			Date Range ▾	Sort By ▾	Delete
<input type="checkbox"/>	anil todo Subject	31-07-2021 Start Date	Winfred Who	High Priority	sdsd Category	Anil todo list Description
<input type="checkbox"/>	TO-DO 31 aug Subject	09-06-2021 Start Date	2407 '@(),/-1 2407'@(),/-2 Who	Low Priority	low Category	Completed Description
<input type="checkbox"/>	TO-DO	12-06-2021	Winfred	High	High	Started

Screen: To-Do Activity

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

To-Do Activity						
	<input type="checkbox"/> Select All			Date Range ▾	Sort By ▾	Delete
<input type="checkbox"/>	anil todo Subject	31-07-2021 Start Date	Winfred Who	High Priority	sdsd Category	Anil todo list Description
<input type="checkbox"/>	TO-DO 31 aug Subject	09-06-2021 Start Date	2407 '@(),/-1 2407'@(),/-2 Who	Low Priority	low Category	Completed Description
<input type="checkbox"/>	TO-DO	12-06-2021	Winfred	High	High	Started

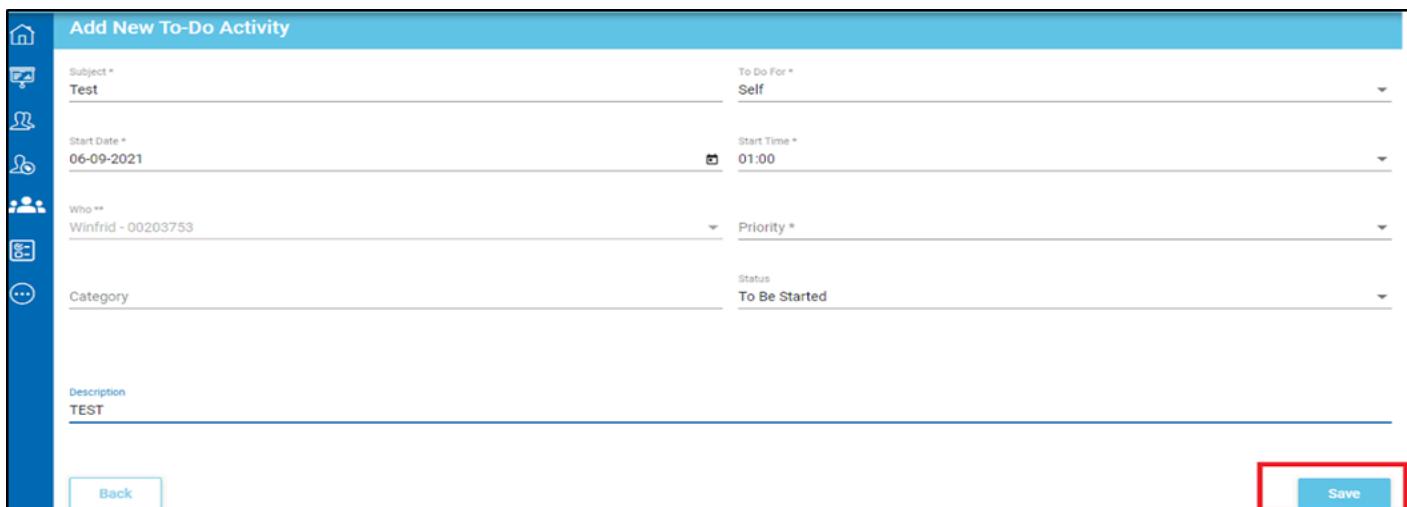
Screen: Click on Add New

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

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

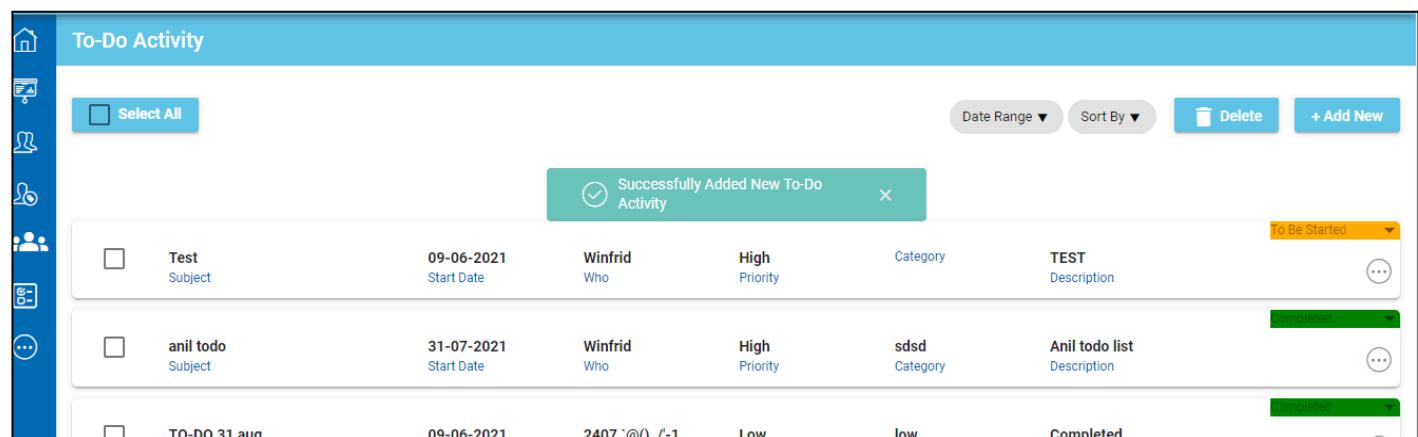


Add New To-Do Activity

Subject *	Test	To Do For *	Self
Start Date *	06-09-2021	Start Time *	01:00
Who **	Winfried - 00203753	Priority *	
Category		Status	To Be Started
Description	TEST		
Back		Save	

Screen: Save the Details

Screen: Add New To-Do Activity



To-Do Activity

<input type="checkbox"/> Select All	Date Range ▾	Sort By ▾	Delete	+ Add New			
<input type="checkbox"/>	Successfully Added New To-Do Activity	X					
<input type="checkbox"/>	Test Subject	09-06-2021 Start Date	Winfred Who	High Priority	Category	TEST Description	To Be Started
<input type="checkbox"/>	anil todo Subject	31-07-2021 Start Date	Winfred Who	High Priority	sdsd Category	Anil todo list Description	Completed
<input type="checkbox"/>	TO-DO 31 aug	09-06-2021	2407 '@(0,/-1	Low	low	Completed	Completed

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

To-Do Activity						
<input type="checkbox"/> Select All		Date Range ▾	Sort By ▾			
<input type="checkbox"/>	Test Subject	09-06-2021 Start Date	Winfred Who	High Priority	Category TEST	Description To Be Started
<input type="checkbox"/>	anil todo Subject	31-07-2021 Start Date	Winfred Who	High Priority	Category ssdsd	Description Anil todo list
<input type="checkbox"/>	TO-DO 31 aug Subject	09-06-2021 Start Date	2407 `@(),/-1 2407`@(),/-2 Who	Low Priority	Category low	Description Completed

Screen: Select updated status

To-Do Activity						
<input type="checkbox"/> Select All		Date Range ▾	Sort By ▾			
<input type="checkbox"/>	Test Subject	09-06-2021 Start Date	Winfred Who	High Priority	Category TEST	Description Completed
<input type="checkbox"/>	anil todo Subject	31-07-2021 Start Date	Winfred Who	High Priority	Category ssdsd	Description Completed

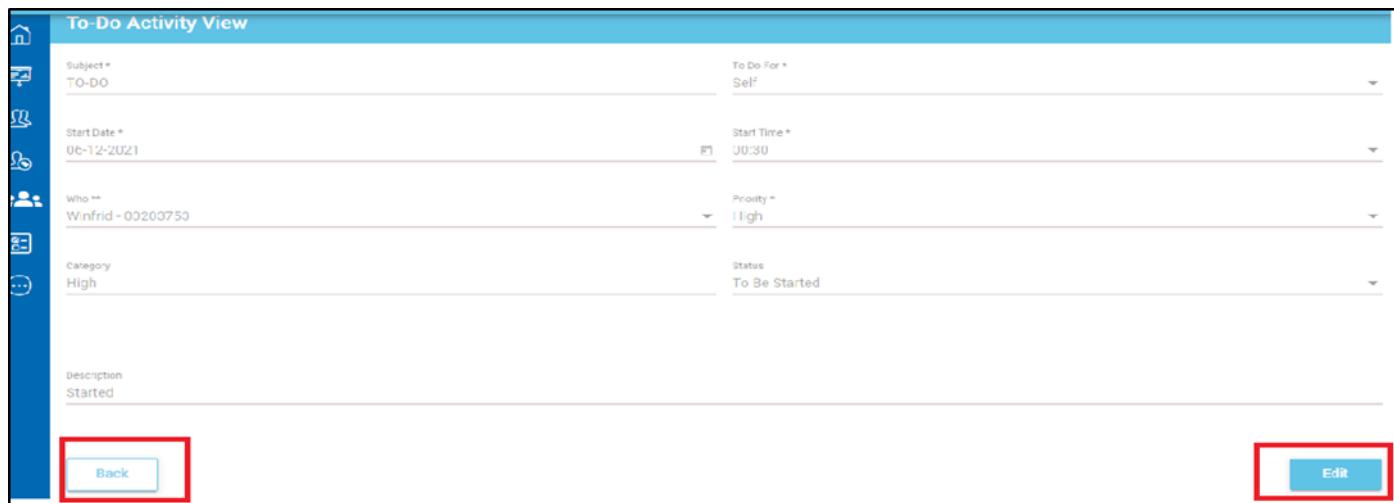
Screen: Status of the Activity is updated

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

To-Do Activity						
<input type="checkbox"/> Select All		Date Range ▾	Sort By ▾			
<input type="checkbox"/>	anil todo Subject	31-07-2021 Start Date	Winfred Who	High Priority	Category ssdsd	Description Anil todo list
<input type="checkbox"/>	TO-DO 31 aug Subject	09-06-2021 Start Date	2407 `@(),/-1 2407`@(),/-2 Who	Low Priority	Category low	Description Completed
<input type="checkbox"/>	TO-DO Subject	12-06-2021 Start Date	Winfred Who	High Priority	Category High	Description Started

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



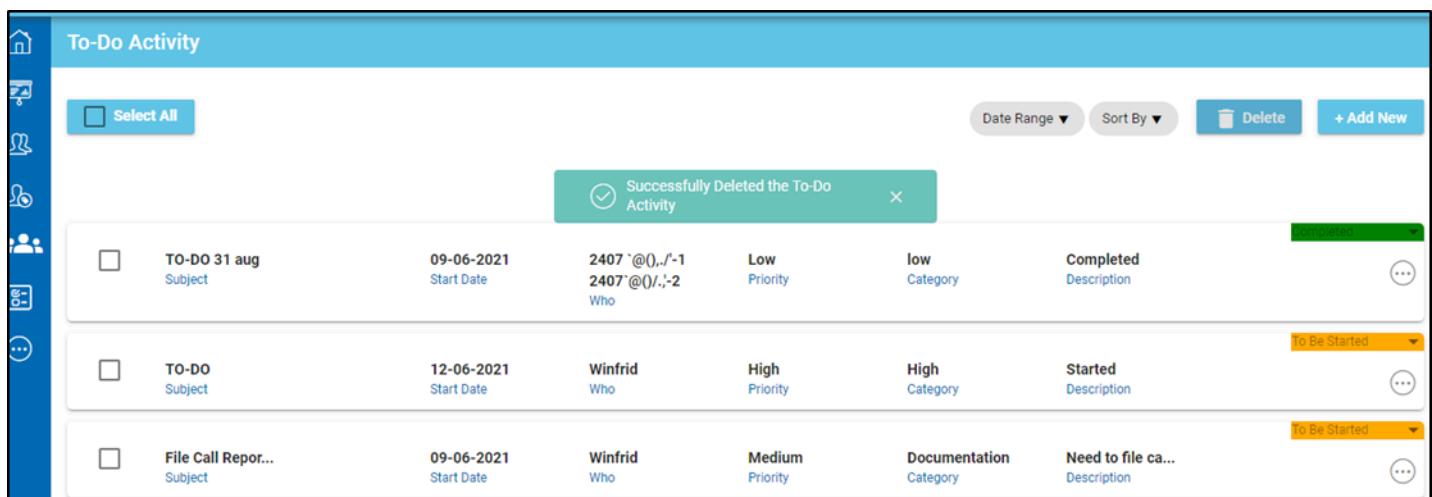
The screenshot shows a single "TO-DO" activity card. The fields are as follows:

- Subject:** TO-DO
- To Do For:** Self
- Start Date:** 06-12-2021
- Start Time:** 00:30
- Who:** Winfrid - 00203750
- Priority:** High
- Category:** High
- Status:** To Be Started
- Description:** Started

Buttons at the bottom left (Back) and bottom right (Edit) are highlighted with red boxes.

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



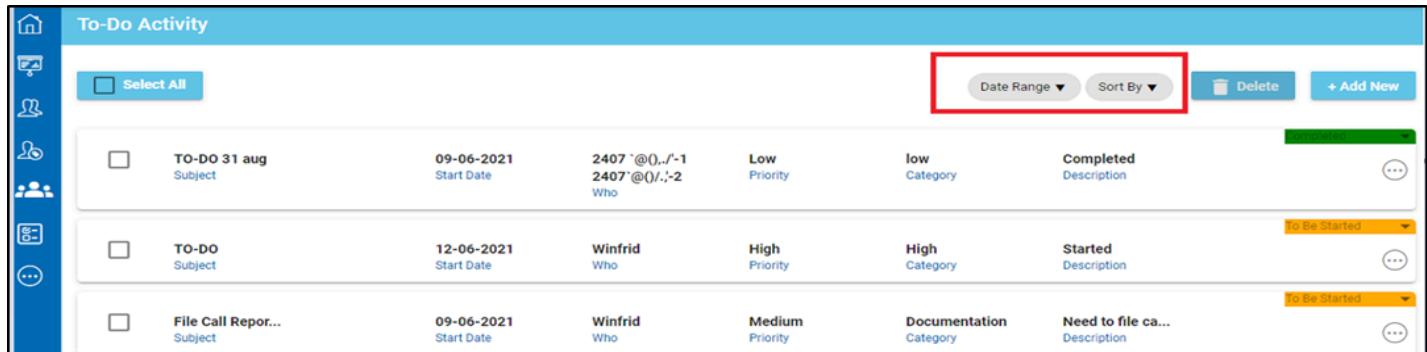
The screenshot shows a list of three activities. The columns are:

	Subject	Start Date	Who	Priority	Category	Completed	Action
<input type="checkbox"/>	TO-DO 31 aug	09-06-2021	2407`@()/-1 2407`@()/-2	Low	Low	Completed	Completed
<input type="checkbox"/>	TO-DO	12-06-2021	Winfred	High	High	Started	To Be Started
<input type="checkbox"/>	File Call Repor...	09-06-2021	Winfred	Medium	Documentation	Need to file ca...	To Be Started

A success message "Successfully Deleted the To-Do Activity" is displayed above the list. Buttons for "Select All", "Date Range", "Sort By", "Delete", and "+ Add New" are visible.

Screen: Selected Activities successfully deleted

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



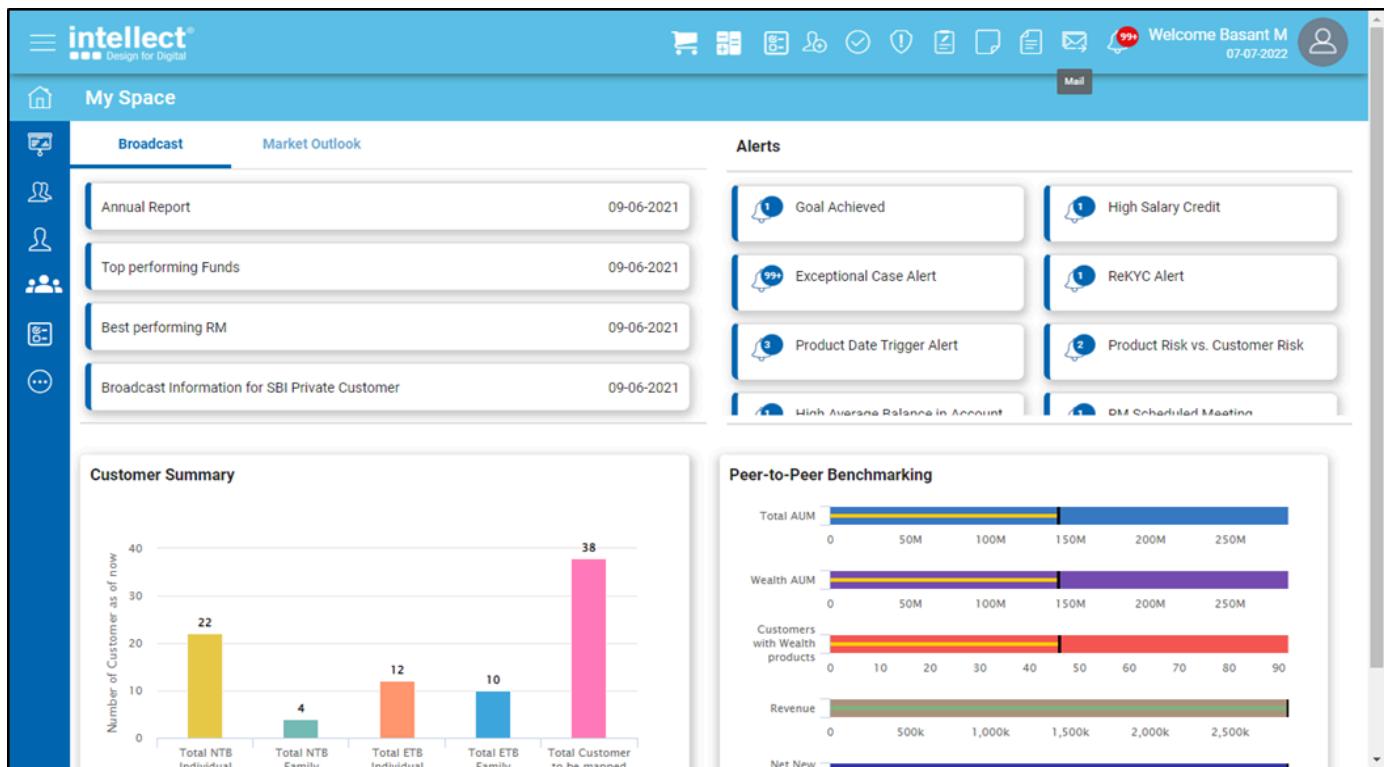
The screenshot shows a list of three tasks:

- TO-DO 31 aug**: Subject 2407 '@(.|.|'-1 2407'@(.|.|'-2 Who, Start Date 09-06-2021, Priority Low, Category Low, Description Completed.
- TO-DO**: Subject Winfrid Who, Start Date 12-06-2021, Priority High, Category High, Description Started.
- File Call Repor...**: Subject Winfrid Who, Start Date 09-06-2021, Priority Medium, Category Documentation, Description Need to file ca..., Status To Be Started.

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



The screenshot shows the following sections:

- Broadcast** (Tab selected): Lists recent broadcasts:
 - Annual Report (09-06-2021)
 - Top performing Funds (09-06-2021)
 - Best performing RM (09-06-2021)
 - Broadcast Information for SBI Private Customer (09-06-2021)
- Market Outlook** (Tab): Not visible in the screenshot.
- Alerts**: A grid of six alerts:
 - Goal Achieved
 - High Salary Credit
 - Exceptional Case Alert
 - ReKYC Alert
 - Product Date Trigger Alert
 - Product Risk vs. Customer Risk
 - High Average Balance in Account
 - OM Scheduled Meeting
- Customer Summary**: A bar chart showing the number of customers as of now:

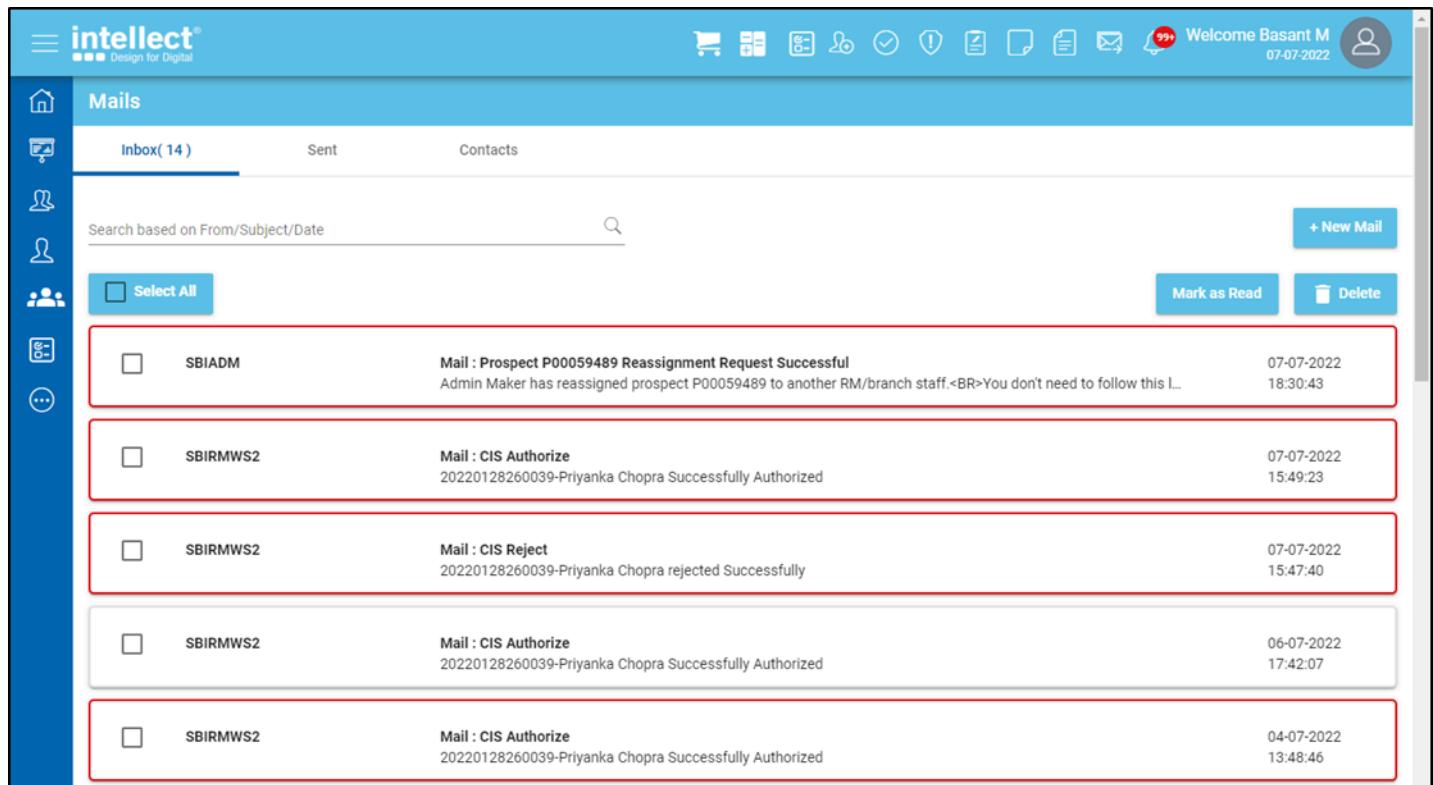
Category	Value
Total NTB Individual	22
Total NTB Family	4
Total ETB Individual	12
Total ETB Family	10
Total Customer to be mapped	38
- Peer-to-Peer Benchmarking**: Four horizontal bar charts comparing performance metrics:
 - Total AUM: 0 to 250M
 - Wealth AUM: 0 to 250M
 - Customers with Wealth products: 0 to 90
 - Revenue: 0 to 2,500k

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

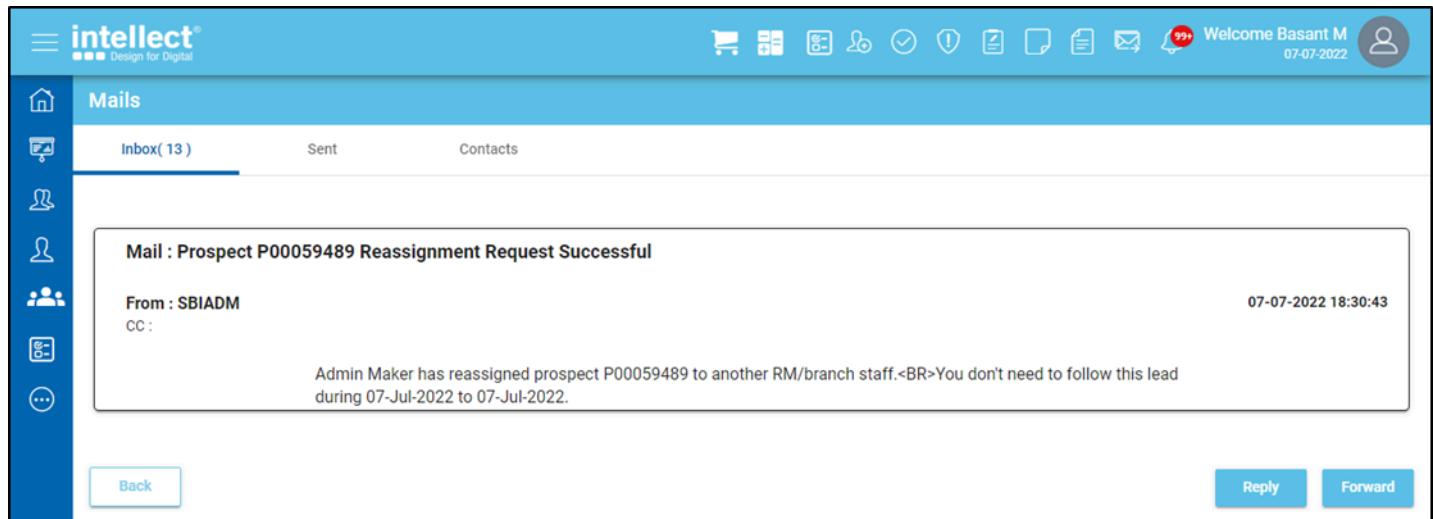


The screenshot shows the Intellect Mail application interface. The top navigation bar includes the Intellect logo, a menu icon, and various icons for search, filters, and actions. The main header says "Mails" and "Inbox(14)". Below the header is a search bar and a toolbar with "Select All", "Mark as Read", and "Delete" buttons. The inbox list contains five items, each with a checkbox, the sender's name, the subject, and the timestamp. The first three items are highlighted with a red border, indicating they are unread.

From	Subject	Date
SBIADM	Mail : Prospect P00059489 Reassignment Request Successful Admin Maker has reassigned prospect P00059489 to another RM/branch staff. You don't need to follow this lead	07-07-2022 18:30:43
SBIRMWS2	Mail : CIS Authorize 20220128260039-Priyanka Chopra Successfully Authorized	07-07-2022 15:49:23
SBIRMWS2	Mail : CIS Reject 20220128260039-Priyanka Chopra rejected Successfully	07-07-2022 15:47:40
SBIRMWS2	Mail : CIS Authorize 20220128260039-Priyanka Chopra Successfully Authorized	06-07-2022 17:42:07
SBIRMWS2	Mail : CIS Authorize 20220128260039-Priyanka Chopra Successfully Authorized	04-07-2022 13:48:46

Screen: Mail Screen

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



The screenshot shows the Intellect Mail application interface in "View Mail" mode. The top navigation bar and header are identical to the previous "Mail Screen" shot. The main content area displays the details of a single email. The subject is "Mail : Prospect P00059489 Reassignment Request Successful". The "From" field is listed as "SBIADM" and the "CC" field is empty. The message body contains a note about the prospect being reassigned. At the bottom of the screen are "Back", "Reply", and "Forward" buttons.

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



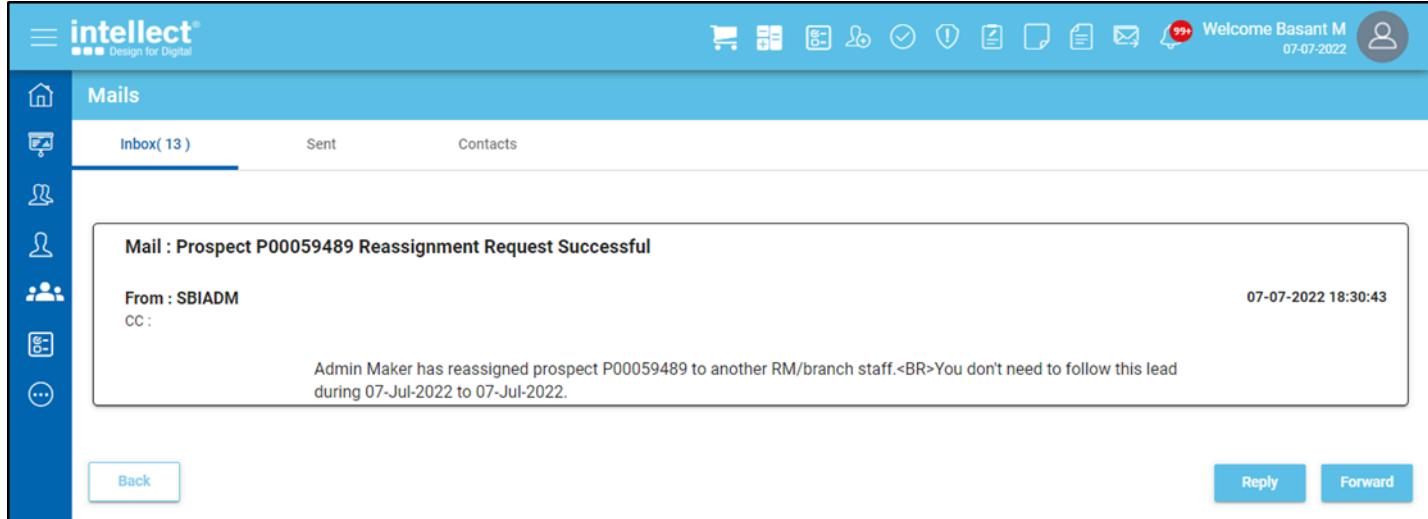
"Reply" or "Forward" buttons respectively.

The screenshot shows the Intellect Mails interface. The top navigation bar includes icons for Home, Mails, Inbox (13), Sent, Contacts, and a user profile for Basant M. Below the navigation is a sidebar with icons for Home, Mails, New Mail, Contacts, and Help. The main content area displays an email titled "Mail : Prospect P00059489 Reassignment Request Successful". The email is from SBIADM and was sent on 07-07-2022 at 18:30:43. The message body states: "Admin Maker has reassigned prospect P00059489 to another RM/branch staff.
You don't need to follow this lead during 07-Jul-2022 to 07-Jul-2022." At the bottom right of the email view, there are "Reply" and "Forward" buttons, which are highlighted with a red box.

Screen: Reply and Forward

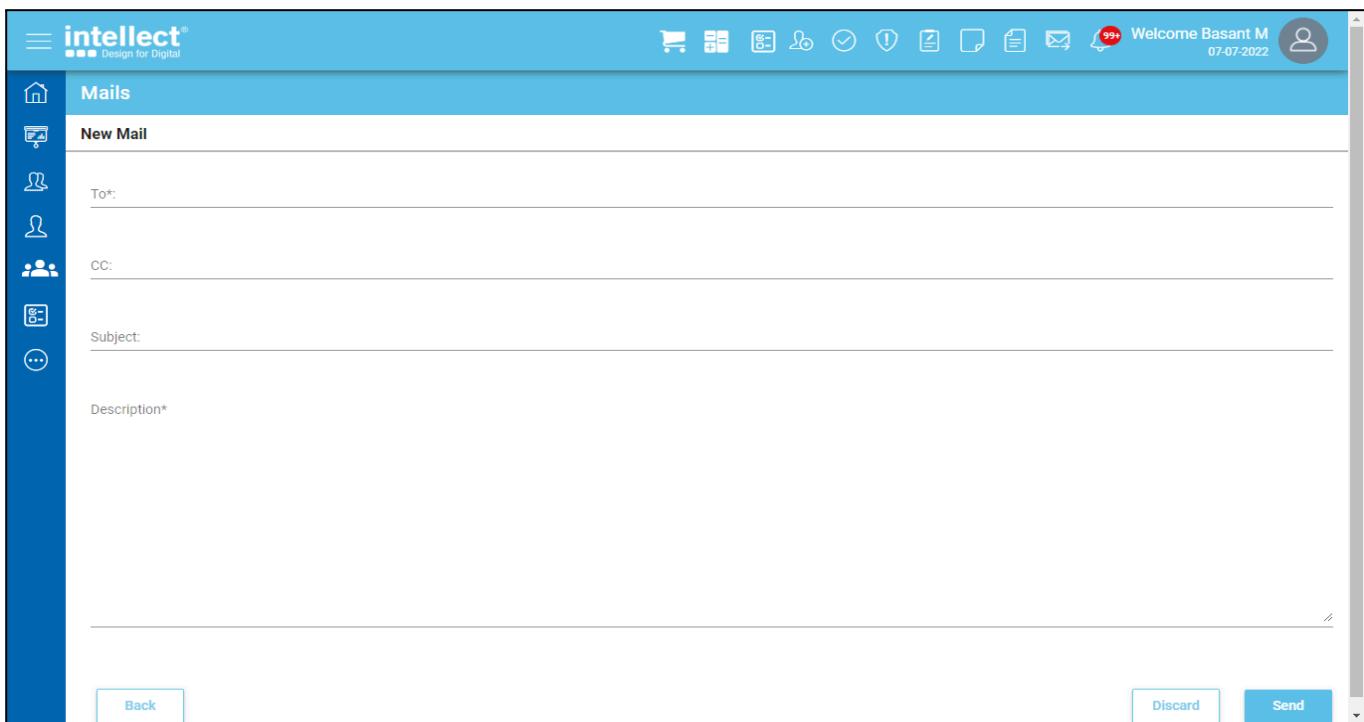
The screenshot shows the Intellect Mails interface in "New Mail" mode. The top navigation bar and sidebar are identical to the previous screenshot. The main content area shows a new email being composed. The "To:" field contains SBIADM. The "Subject" field is set to "Re: Prospect P00059489 Reassignment Request Successful". The message body is identical to the one in the previous screenshot: "Admin Maker has reassigned prospect P00059489 to another RM/branch staff.
You don't need to follow this lead during 07-Jul-2022 to 07-Jul-2022." At the bottom right of the compose screen, there are "Discard" and "Send" buttons.

Screen: Reply to a mail



Screen: Forward a Mail

- 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

- 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

The screenshot shows the intellect Design for Digital Mails interface. The top navigation bar includes icons for Home, Inbox, Sent, Contacts, and various system status indicators. A welcome message for Basant M is displayed along with the date 07-07-2022.

The main area is titled "Mails" and shows the "Inbox(13)" tab selected. Below it are "Sent" and "Contacts" tabs. A search bar allows filtering by From/Subject/Date, and a "New Mail" button is available in the top right.

On the left, a sidebar provides quick access to Home, Inbox, Sent, Contacts, and other features. The inbox list displays the following emails:

- SBIADM: Mail : Prospect P00059489 Reassignment Request Successful (Admin Maker has reassigned prospect P00059489 to another RM/branch staff.
You don't need to follow this l...) - 07-07-2022 18:30:43
- SBIRMWS2: Mail : CIS Authorize (20220128260039-Priyanka Chopra Successfully Authorized) - 07-07-2022 15:49:23
- SBIRMWS2: Mail : CIS Reject (20220128260039-Priyanka Chopra rejected Successfully) - 07-07-2022 15:47:40
- SBIRMWS2: Mail : CIS Authorize (20220128260039-Priyanka Chopra Successfully Authorized) - 06-07-2022 17:42:07
- SBIRMWS2: Mail : CIS Authorize (20220128260039-Priyanka Chopra Successfully Authorized) - 04-07-2022 13:48:46

Each email item has a checkbox to its left, and buttons for "Select All", "Mark as Read", and "Delete" are located at the bottom of the list.

Screen: Select All, Mark as Read and Delete

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

Inbox (13) Sent Contacts

Search based on From/Subject/Date

+ New Mail

Select All

Mark as Read Delete

<input checked="" type="checkbox"/> SBIADM	Mail : Prospect P00059489 Reassignment Request Successful Admin Maker has reassigned prospect P00059489 to another RM/branch staff. You don't need to follow this l...	07-07-2022 18:30:43
<input checked="" type="checkbox"/> SBIRMWS2	Mail : CIS Authorize 20220128260039-Priyanka Chopra Successfully Authorized	07-07-2022 15:49:23
<input checked="" type="checkbox"/> SBIRMWS2	Mail : CIS Reject 20220128260039-Priyanka Chopra rejected Successfully	07-07-2022 15:47:40
<input checked="" type="checkbox"/> SBIRMWS2	Mail : CIS Authorize 20220128260039-Priyanka Chopra Successfully Authorized	06-07-2022 17:42:07
<input checked="" type="checkbox"/> SBIRMWS2	Mail : CIS Authorize 20220128260039-Priyanka Chopra Successfully Authorized	04-07-2022 13:48:46

Screen: Inbox, Sent and Contacts

- 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

Inbox (13) Sent Contacts

Search based on To/Subject/Date

+ New Mail

Select All

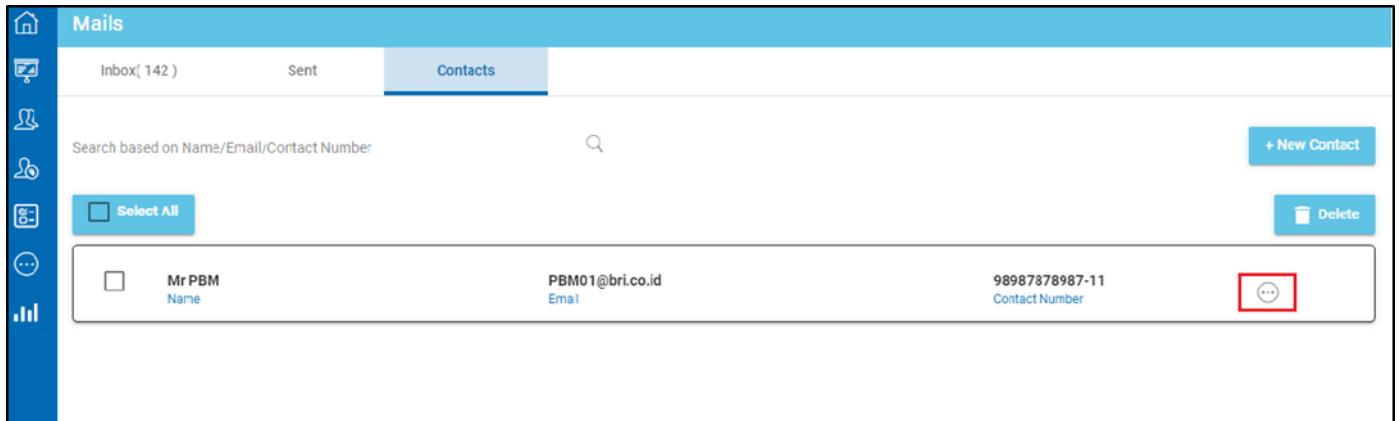
Delete

<input type="checkbox"/> SBIRMWS9	Invitation : PORTFOLIO REVIEW	04-08-2022 18:02:44
<input type="checkbox"/> SBIRMWS1,SBIRMWS2,SBIRMWS9	Report : Nazeera Meeting	23-06-2022 15:20:20
<input type="checkbox"/> SBIRMWS1,SBIRMWS2,SBIRMWS9	Invitation : Lead Kiran	23-06-2022 15:18:55

Screen: Sent Mail

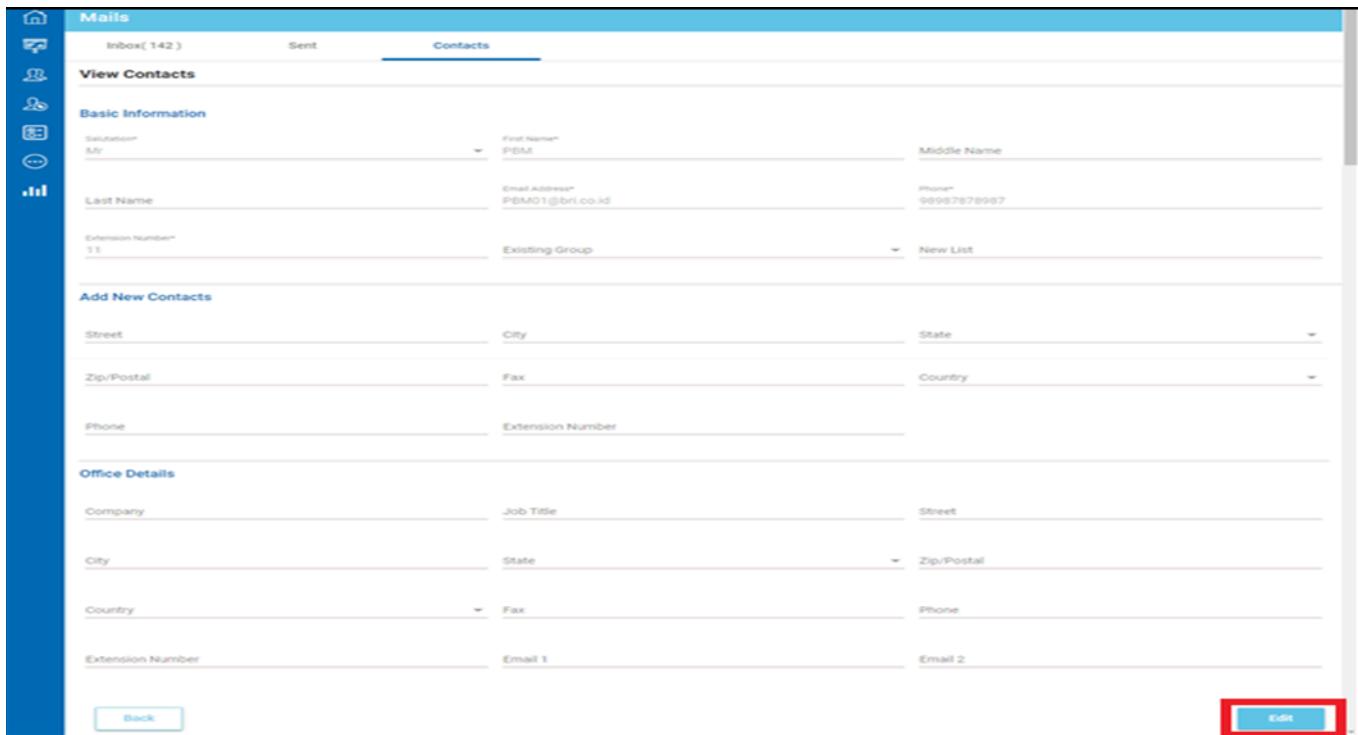
10. RM can click on the “Contacts” tab to navigate to the contacts screen. Here, they can view their list of contacts and the contacts details, and add new contacts

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



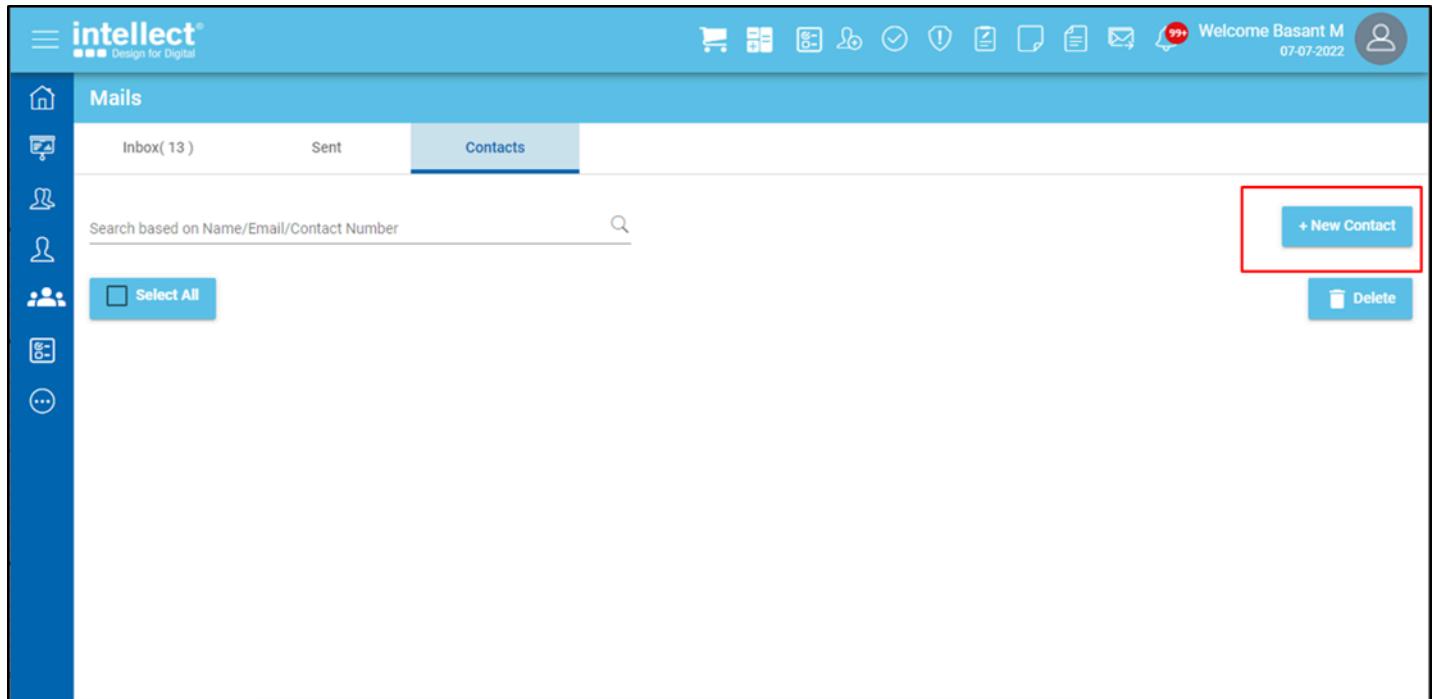
Screen: Click on Three Dots

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

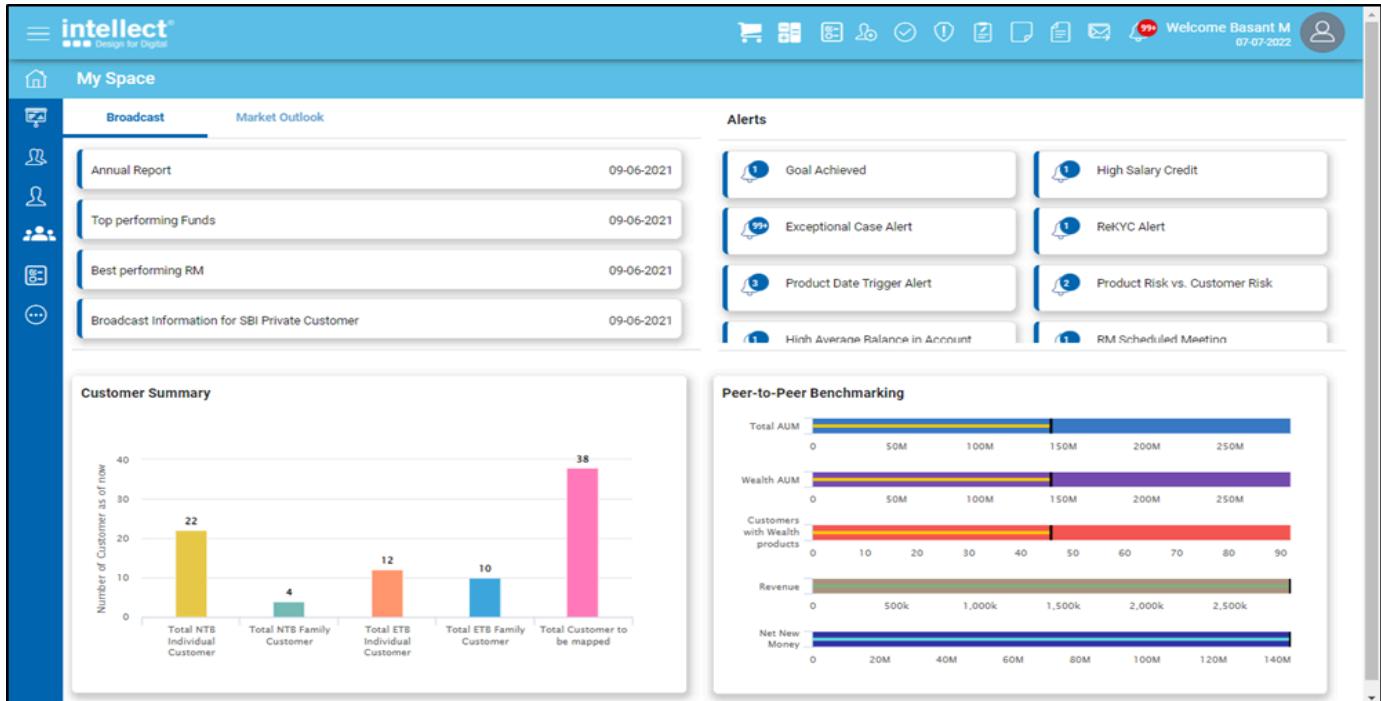
Street	City	State
Zip/Postal	Fax	Country
Phone	Extension Number	
Office Details		
Company	Job Title	Street
City	State	Zip/Postal
Country	Fax	Phone
Extension Number	Email 1	Email 2

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

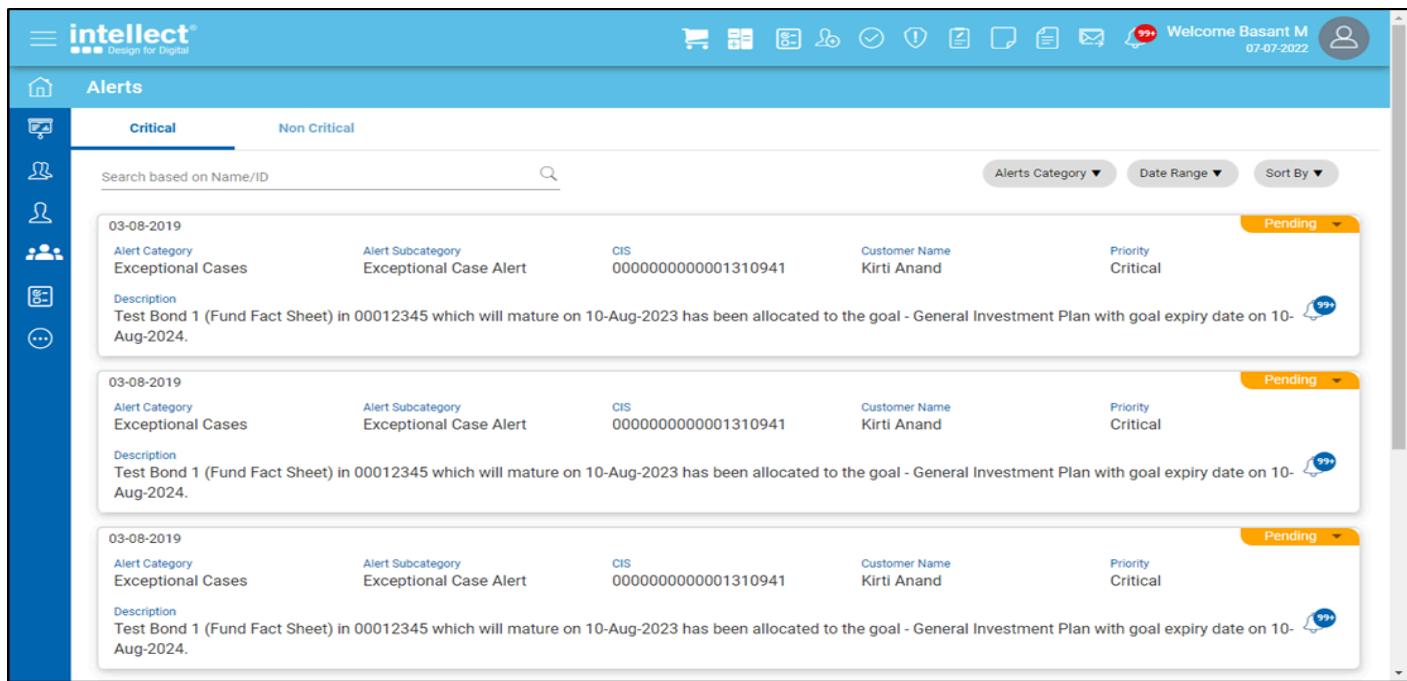


The screenshot shows the intellect My Space dashboard. On the left, there's a sidebar with icons for Broadcast, Market Outlook, Customer Summary, and Peer-to-Peer Benchmarking. The main area has tabs for Broadcast and Market Outlook. Under Broadcast, there are four items: Annual Report (09-06-2021), Top performing Funds (09-06-2021), Best performing RM (09-06-2021), and Broadcast Information for SBI Private Customer (09-06-2021). Under Market Outlook, there's a bar chart titled 'Customer Summary' showing the number of customers as of now: Total NTB Individual Customer (22), Total NTB Family Customer (4), Total ETB Individual Customer (12), Total ETB Family Customer (10), and Total Customer to be mapped (38). To the right, there's a section titled 'Alerts' with six alert categories: Goal Achieved, High Salary Credit, Exceptional Case Alert, ReKYC Alert, Product Date Trigger Alert, Product Risk vs. Customer Risk, Hinh Average Balance in Account, and RM Scheduled Meeting. Below the alerts is a section titled 'Peer-to-Peer Benchmarking' with five horizontal bar charts comparing performance metrics across different entities.

Screen: Click on Alerts

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

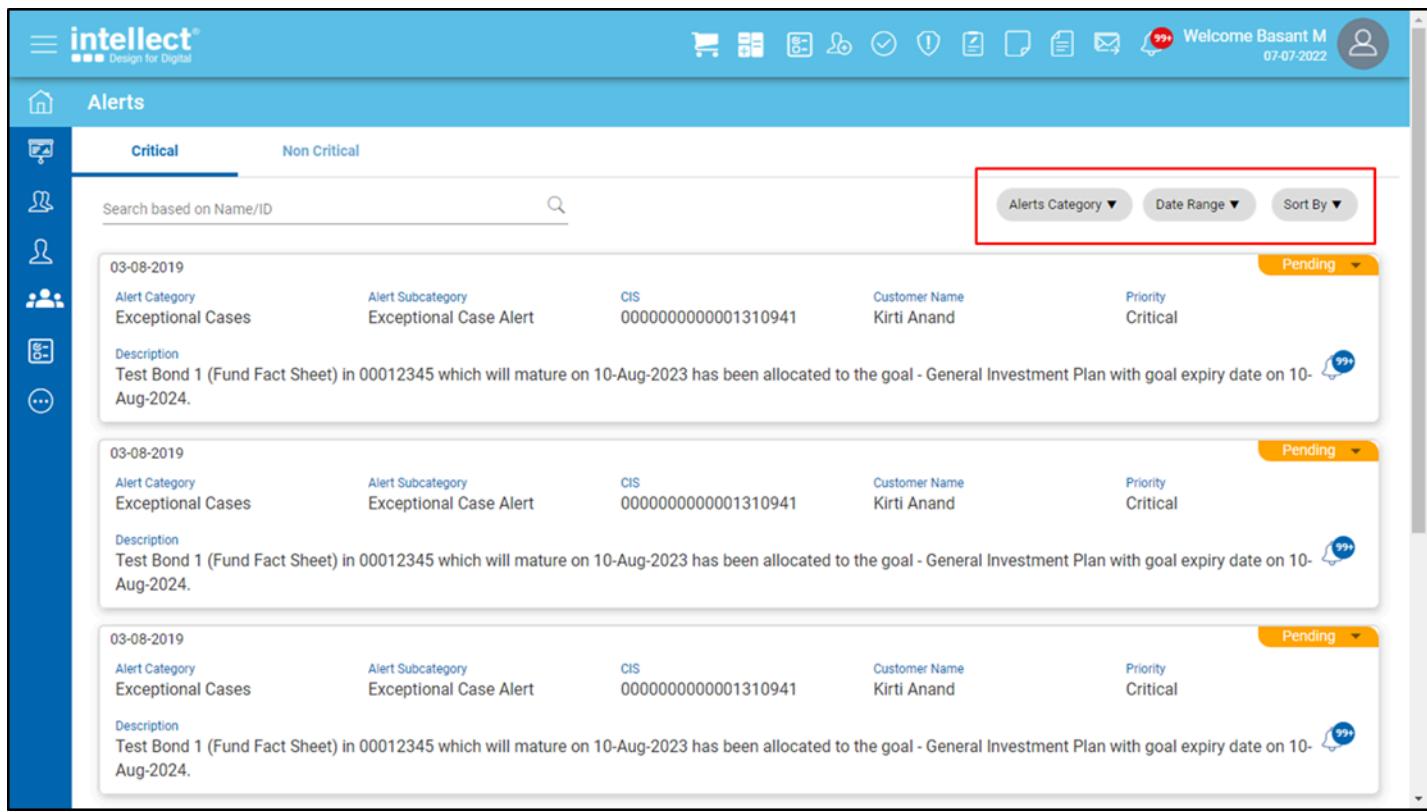
By default, the critical tab is loaded whenever the RM clicks on the Alerts widget



Date	Alert Category	Alert Subcategory	CIS	Customer Name	Priority
03-08-2019	Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical
03-08-2019	Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical
03-08-2019	Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical

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



03-08-2019

Alert Category	Alert Subcategory	CIS	Customer Name	Priority
Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical

Description
Test Bond 1 (Fund Fact Sheet) in 00012345 which will mature on 10-Aug-2023 has been allocated to the goal - General Investment Plan with goal expiry date on 10-Aug-2024.

03-08-2019

Alert Category	Alert Subcategory	CIS	Customer Name	Priority
Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical

Description
Test Bond 1 (Fund Fact Sheet) in 00012345 which will mature on 10-Aug-2023 has been allocated to the goal - General Investment Plan with goal expiry date on 10-Aug-2024.

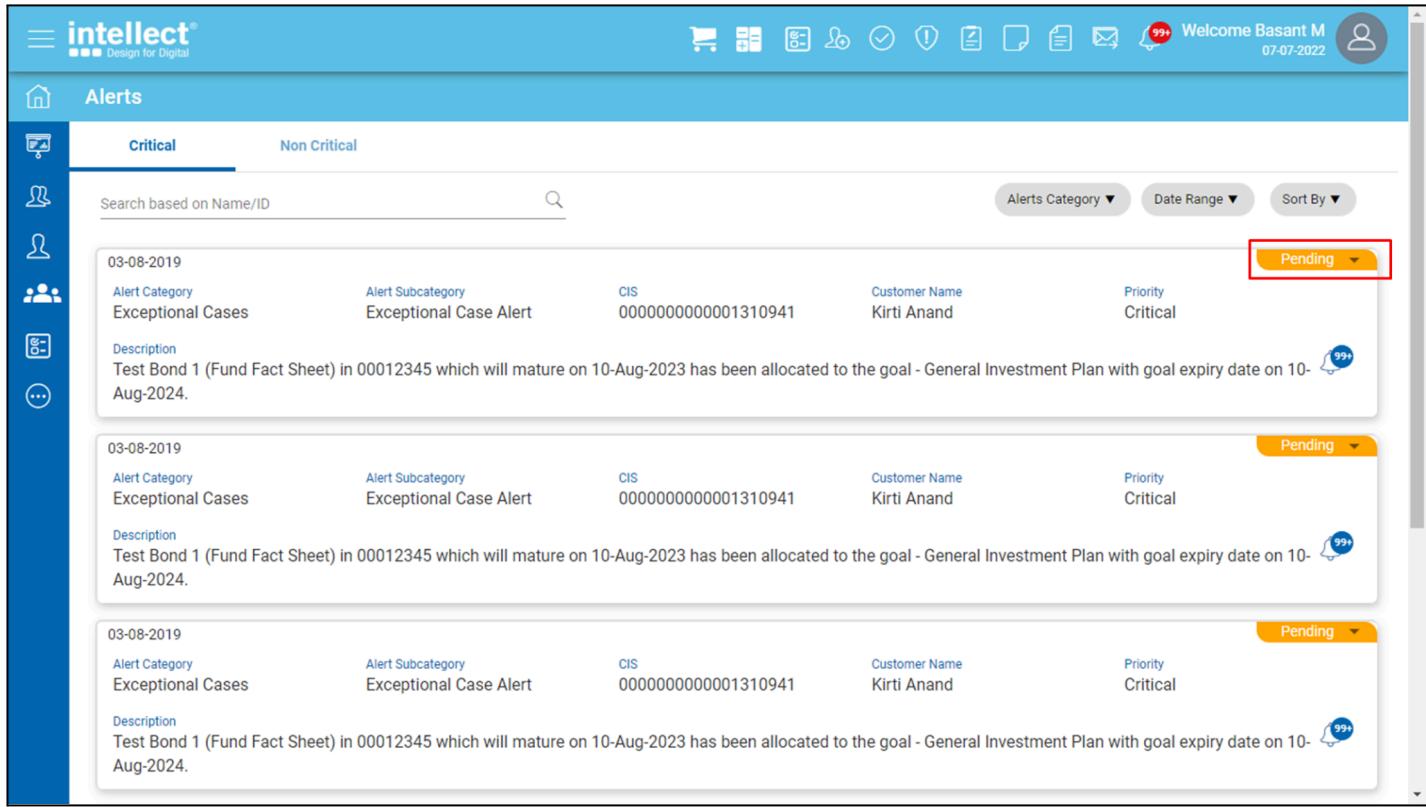
03-08-2019

Alert Category	Alert Subcategory	CIS	Customer Name	Priority
Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical

Description
Test Bond 1 (Fund Fact Sheet) in 00012345 which will mature on 10-Aug-2023 has been allocated to the goal - General Investment Plan with goal expiry date on 10-Aug-2024.

Screen: Filter Alerts

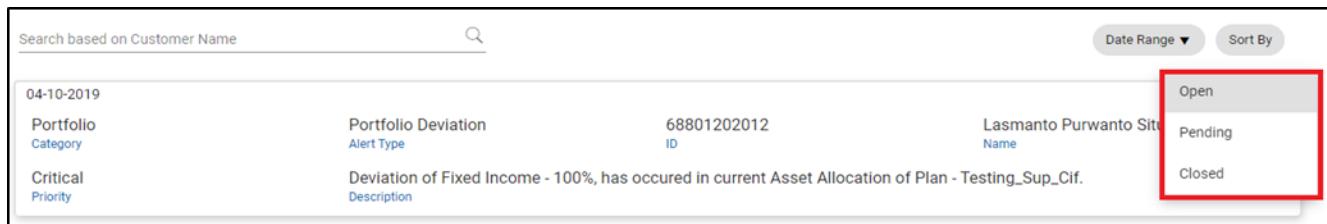
- The Status for an alert can be viewed in the top right corner of the alert card. This can be updated by the RM by clicking on the drop-down and selecting the updated status



The screenshot shows the 'Alerts' section of the intellect platform. It displays three critical alerts for 'Exceptional Cases' with the status 'Pending'. Each alert includes details such as CIS number, customer name (Kirti Anand), and priority (Critical). A red box highlights the 'Pending' status indicator.

Date	Alert Category	Alert Subcategory	CIS	Customer Name	Priority
03-08-2019	Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical
03-08-2019	Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical
03-08-2019	Exceptional Cases	Exceptional Case Alert	0000000000001310941	Kirti Anand	Critical

Screen: Alert Status

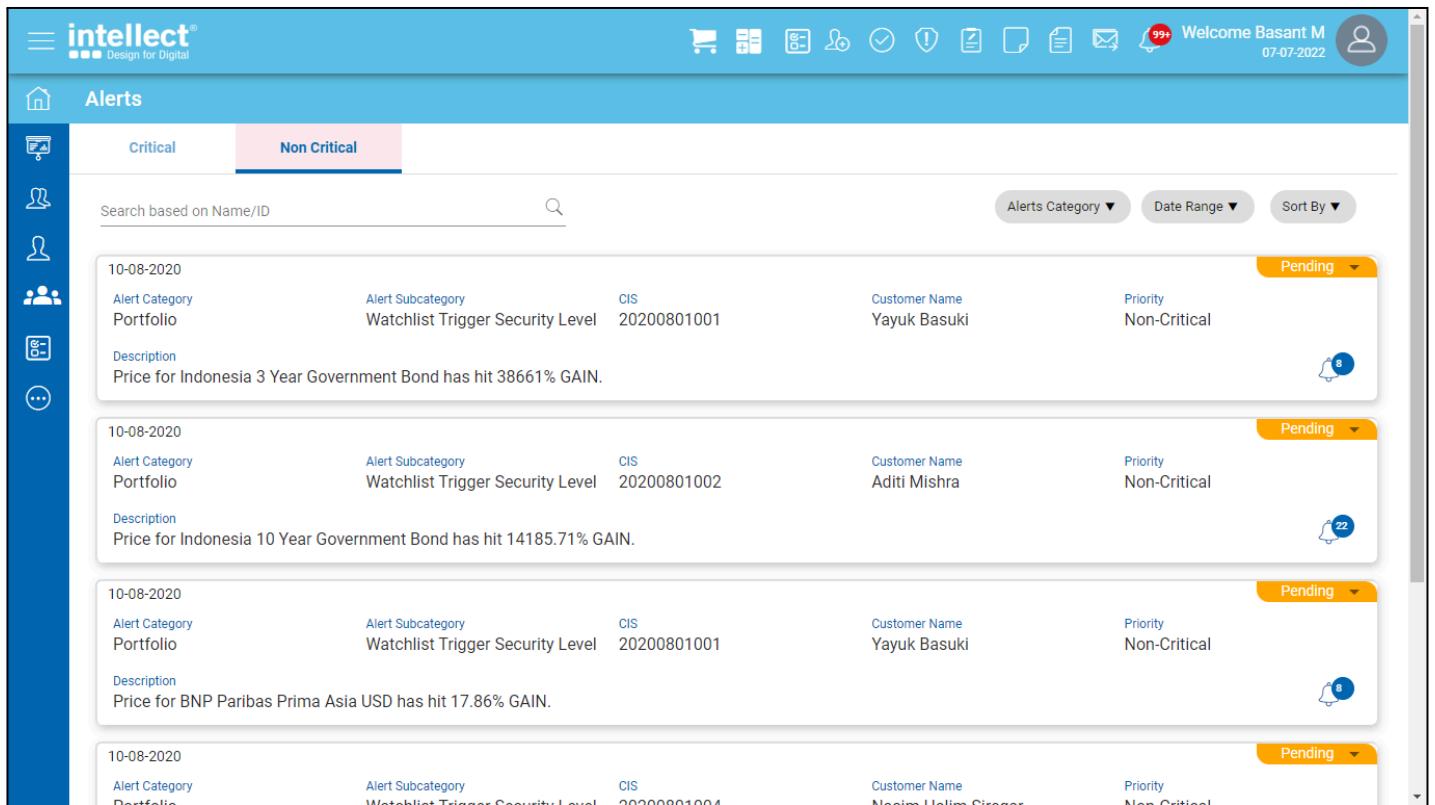


The screenshot shows the 'Alert Status' section of the intellect platform. It displays an alert for 'Portfolio Deviation' with the status 'Open'. A red box highlights the status dropdown which includes 'Open', 'Pending', and 'Closed'.

Date	Portfolio Category	Alert Type	ID	Name
04-10-2019	Critical	Portfolio Deviation	68801202012	Lasmanto Purwanto Siti

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



The screenshot shows the intellect Alerts interface. On the left, there's a vertical sidebar with icons for Home, Alerts, Portfolio, Customers, and Reports. The main header bar has a search bar, a user profile for 'Basant M' (07-07-2022), and various navigation icons. Below the header, the title 'Alerts' is displayed above a filter section with tabs for 'Critical' and 'Non Critical' (which is selected). A search bar and filters for 'Alerts Category', 'Date Range', and 'Sort By' are also present. The main content area lists four non-critical alerts from 10-08-2020:

Date	Alert Category	Alert Subcategory	CIS	Customer Name	Priority
10-08-2020	Portfolio	Watchlist Trigger Security Level	CIS 20200801001	Yayuk Basuki	Non-Critical
	Description: Price for Indonesia 3 Year Government Bond has hit 38661% GAIN.				
10-08-2020	Portfolio	Watchlist Trigger Security Level	CIS 20200801002	Aditi Mishra	Non-Critical
	Description: Price for Indonesia 10 Year Government Bond has hit 14185.71% GAIN.				
10-08-2020	Portfolio	Watchlist Trigger Security Level	CIS 20200801001	Yayuk Basuki	Non-Critical
	Description: Price for BNP Paribas Prima Asia USD has hit 17.86% GAIN.				
10-08-2020	Portfolio	Watchlist Trigger Security Level	CIS 20200801004	Nicole Ullman Siegler	Non-Critical

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

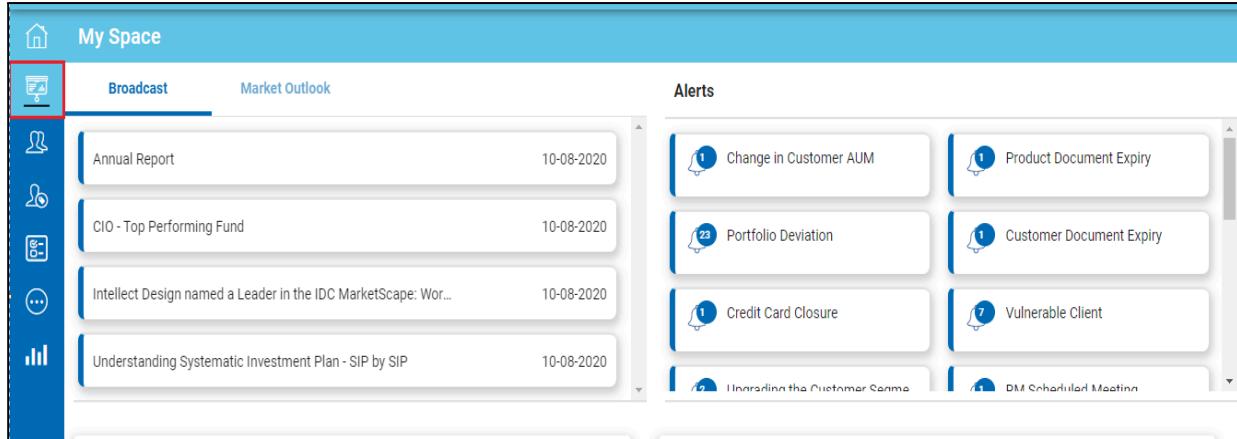
The RM Dashboard displays a holistic view of their mapped customers' data and their business level relevant information, logically represented at a single place for quick consumption, enabling RMs to have an efficient and effective engagement. It displays widgets that depict the customer information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

- Asset under Management
- Customer Composition
- Gain/Loss by Number of Customer
- Opportunity Summary
- Revenue Under Management
- 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

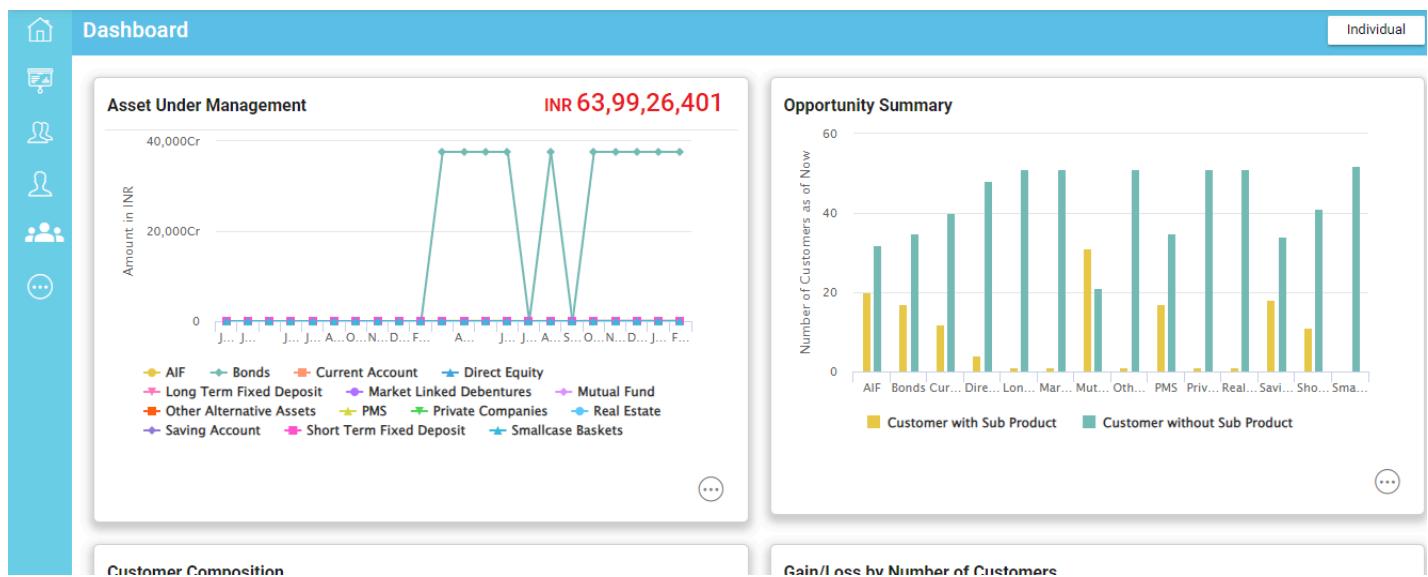
Information displayed in the dashboard widgets can be further drilled down with various dimensions that will represent L2 layer of the Dashboard. Every widget is equipped with the “More icon (3 dots)” on the bottom of the widget. To view the customer level information of the dimensions displayed in the 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

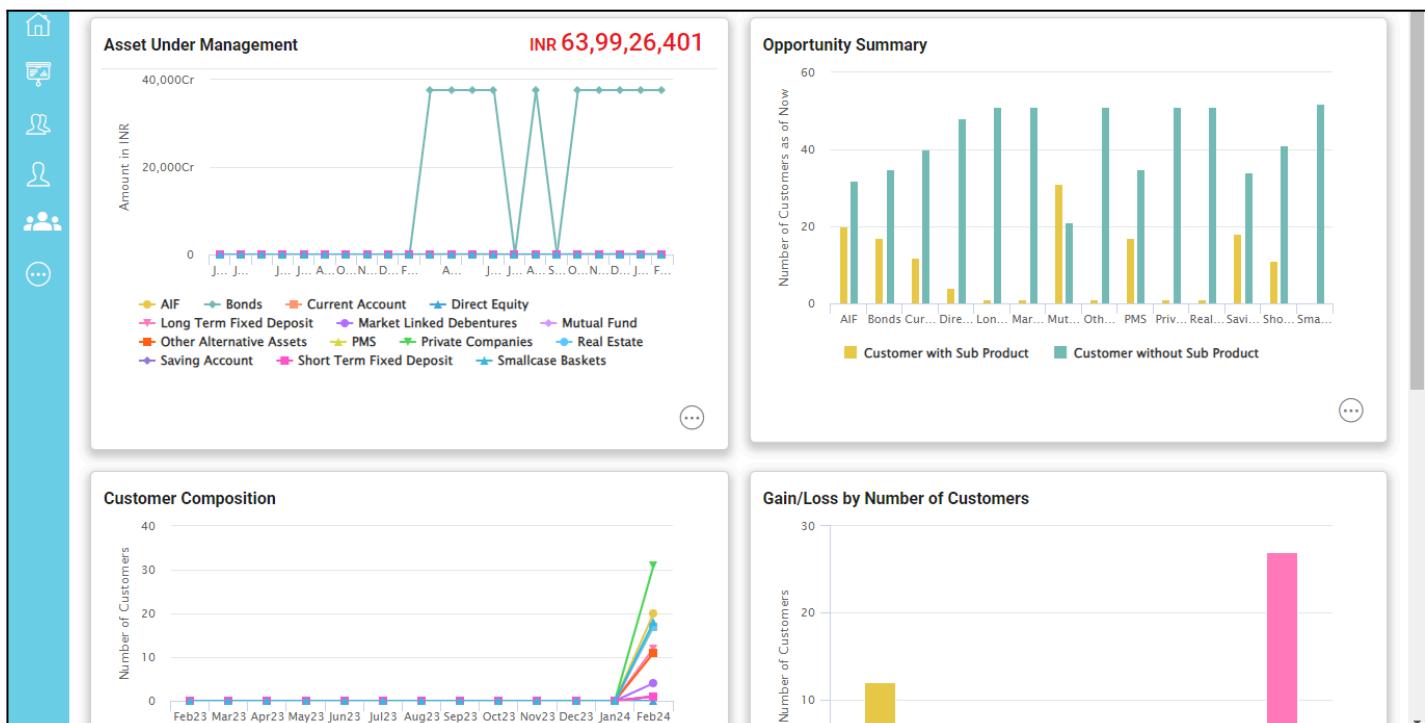
1. This widget displays to the RM the Asset under Management of their customers who are holding the respective sub products. Months are plotted on the x-axis; AUM values for each of the sub products for the respective month are plotted on the y-axis.

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

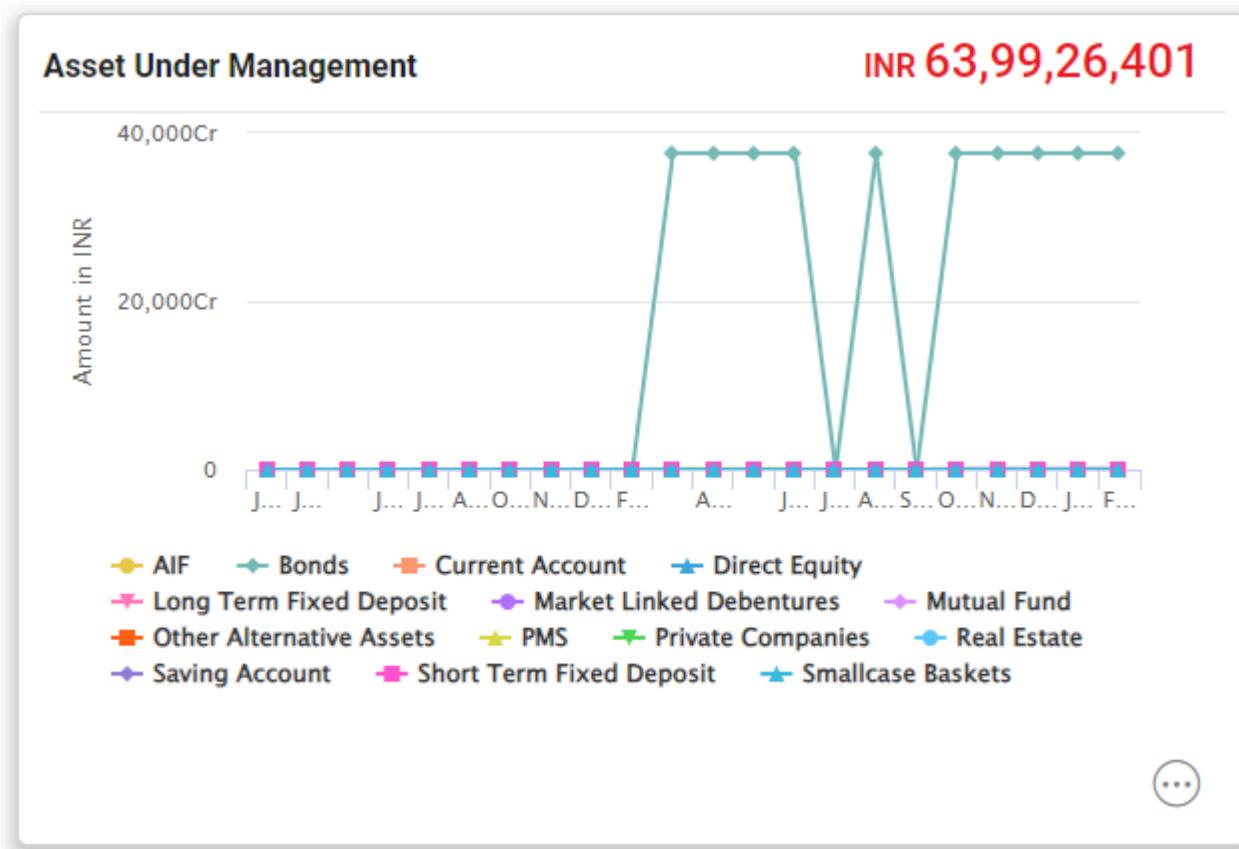
Note: These are as per the Product Hierarchy setup

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



Screen: Mouse over graph details

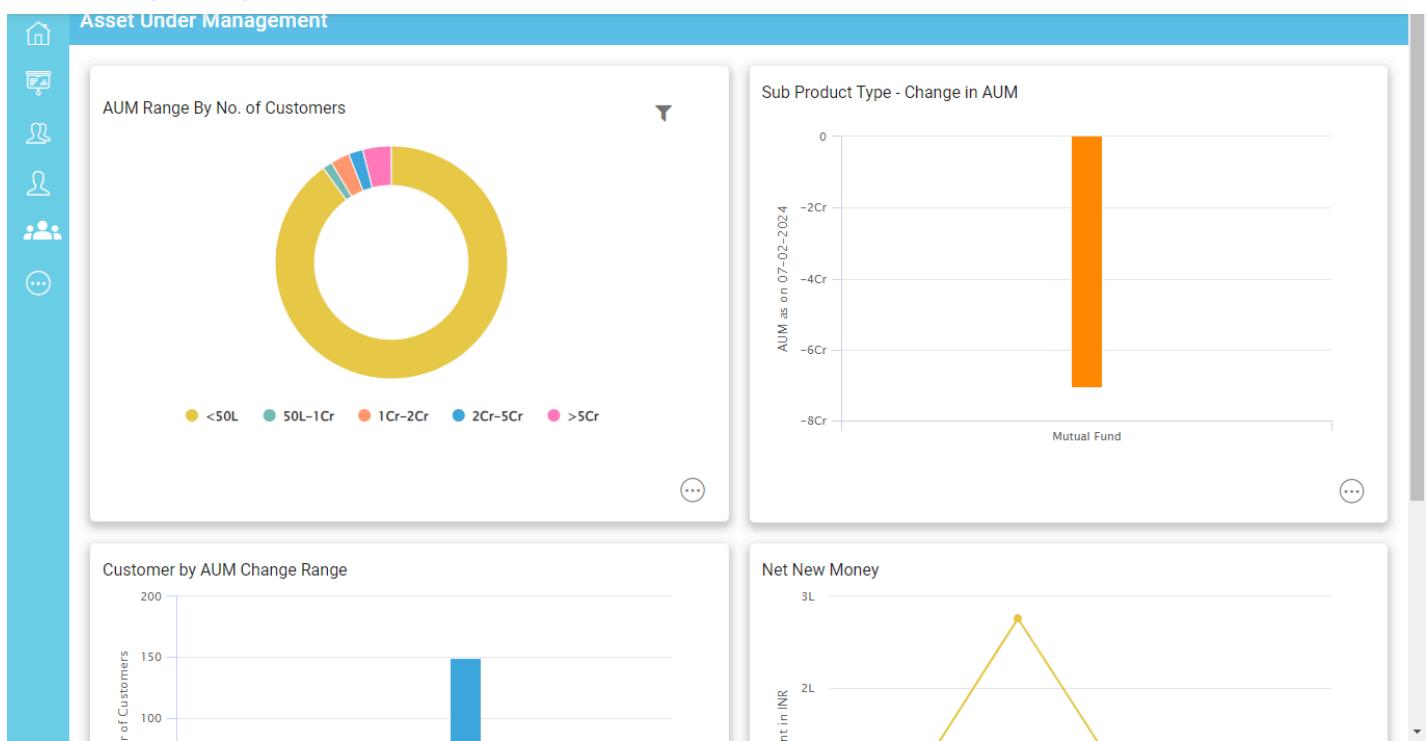
3. They can click on the “Three Dots” button to navigate to the L2 view



Screen: Asset under Management (L1 View)

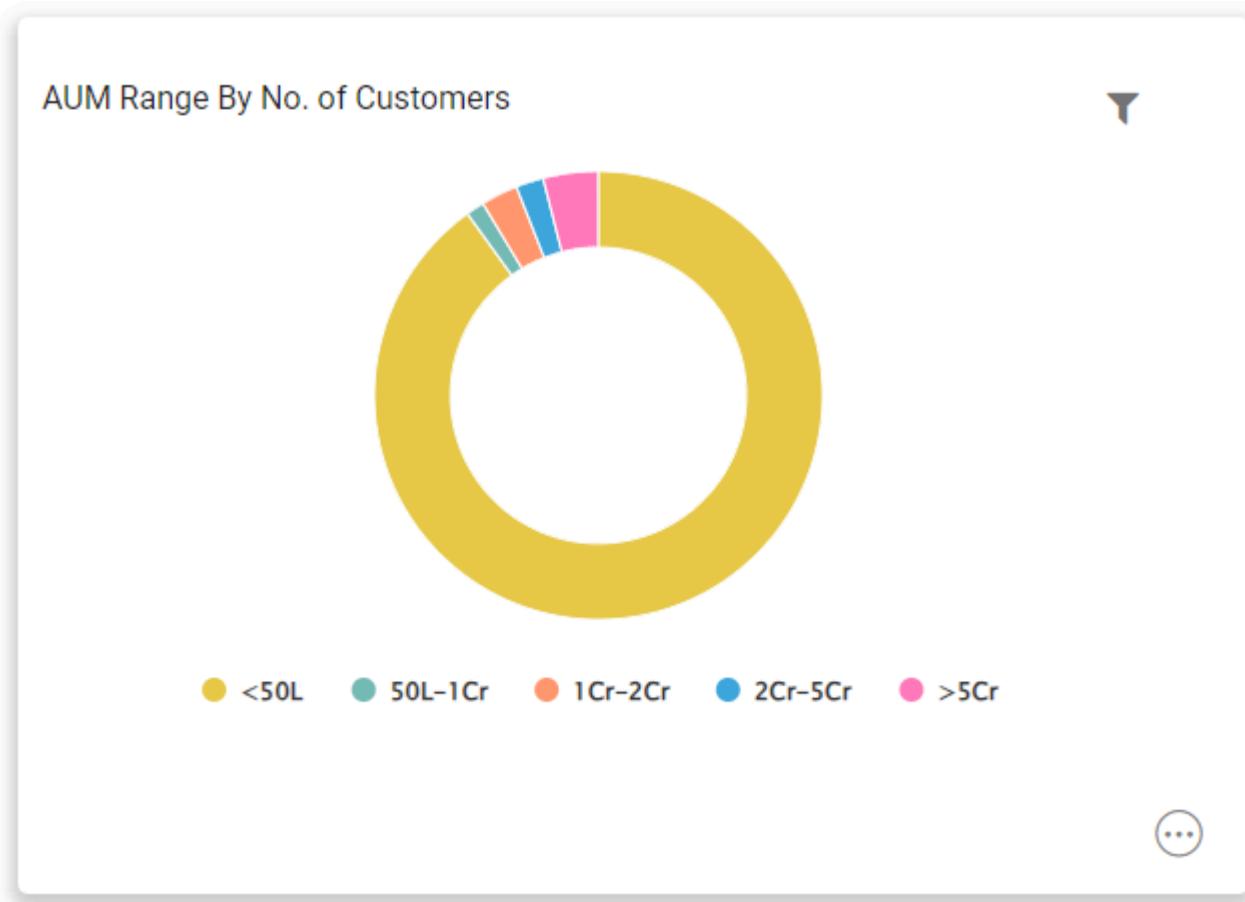
4. The L2 view for Asset Under management consists of the following widgets:

- AUM Range By No. of Customers
- Sub Product Type – Change in AUM
- Customer by AUM Change
- Net New Money



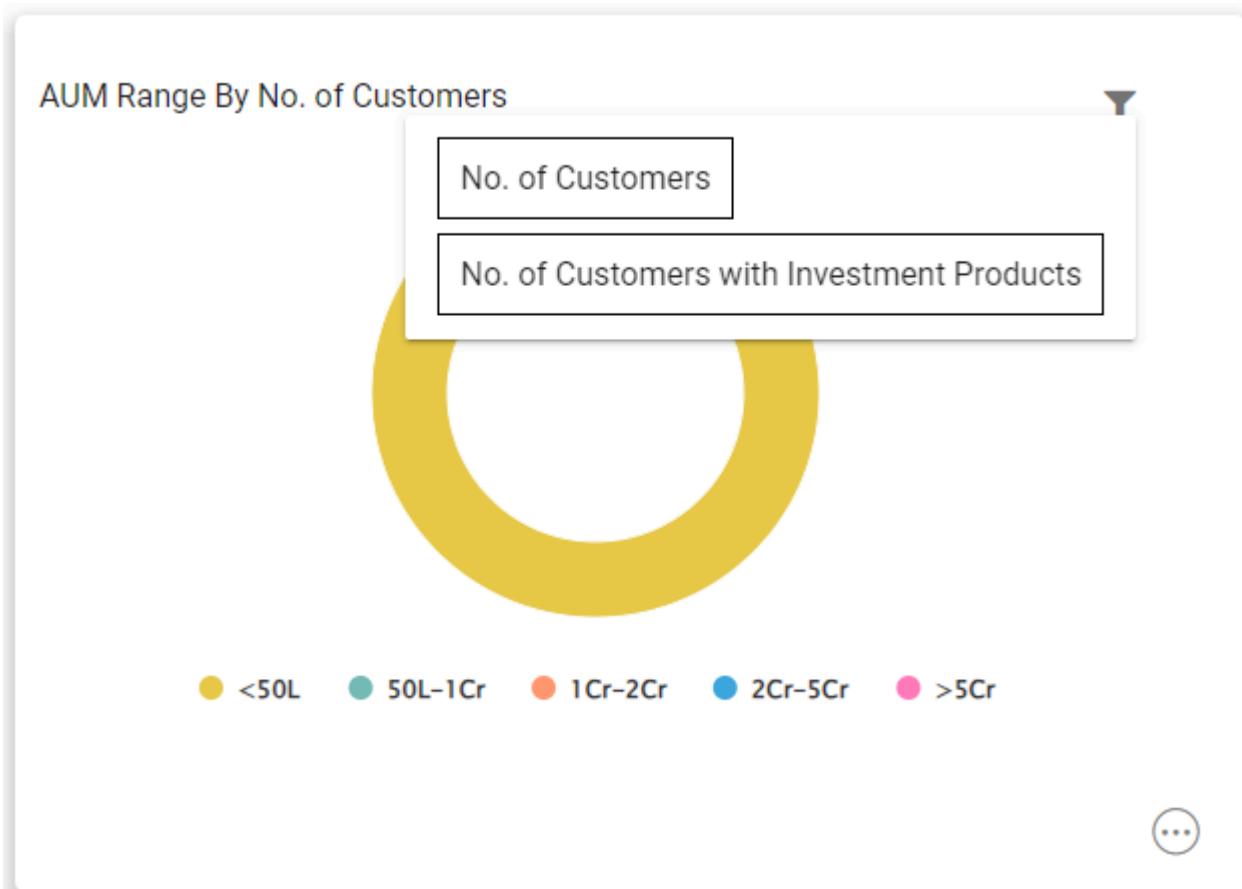
4.4.1.1. AUM Range by No. of Customers

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

AUM Range by no. of Customers

Customer Details (By AUM Range)

Search By Customer Name 

AUM Range >5Cr	Customer Name Ayaan Kumar	AUM as on 07-02-2024 3,65,13,27,67,99...
AUM Range >5Cr	Customer Name Yogarasa Mahanta	AUM as on 07-02-2024 10,06,29,37,262
AUM Range >5Cr	Customer Name Ragunath Bhaumik	AUM as on 07-02-2024 1,23,12,77,901
AUM Range >5Cr	Customer Name Ishan Shah	AUM as on 07-02-2024 49,45,72,159
AUM Range >5Cr	Customer Name KUMAR A	AUM as on 07-02-2024 18,49,50,577
AUM Range >5Cr	Customer Name Karthi	AUM as on 07-02-2024 6,72,41,313

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

4.4.1.2. Sub Product Type – Change in AUM

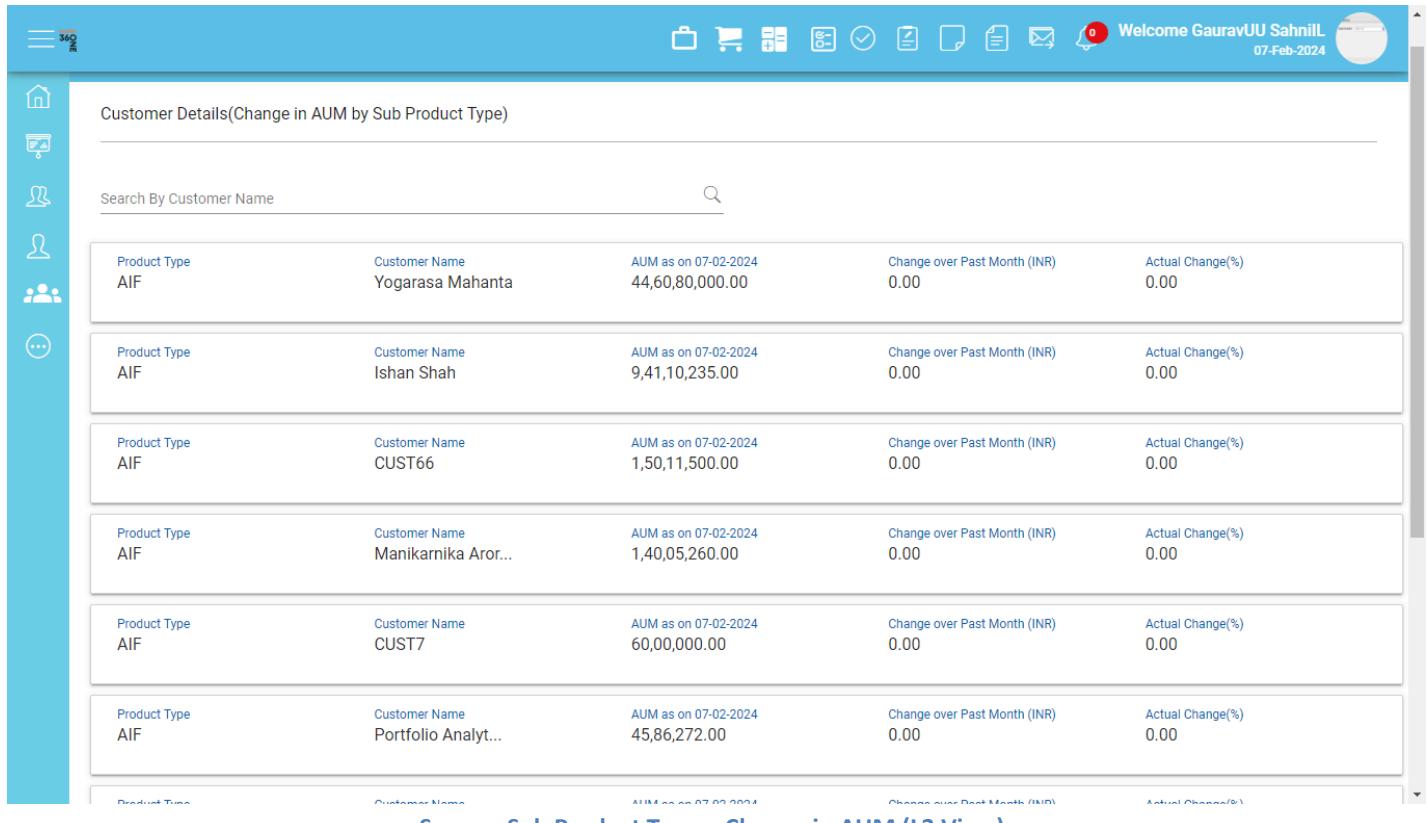
1. This widget displays the change in AUM by Sub Product for all customers mapped to the RM. Sub Products are plotted on the x-axis; Change in AUM for the respective sub product is plotted on the y-axis
2. Change in AUM for the Sub Product = AUM as on date for the Sub Product Type - AUM as on last date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

Sub Product Type - Change in AUM



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 (%)



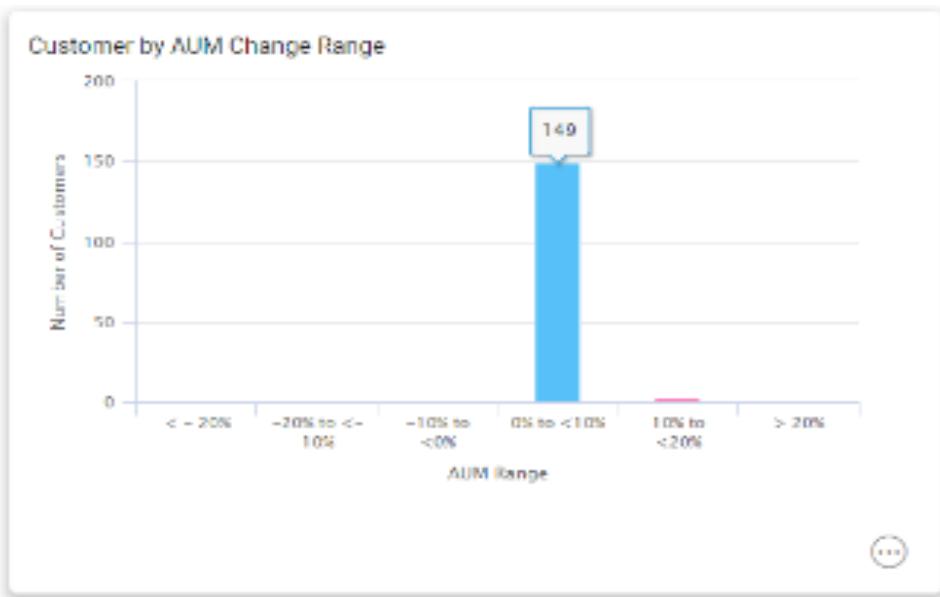
The screenshot shows a list of customer details under the heading "Customer Details(Change in AUM by Sub Product Type)". The table has columns for Product Type, Customer Name, AUM as on 07-02-2024, Change over Past Month (INR), and Actual Change(%). The data rows are:

Product Type	Customer Name	AUM as on 07-02-2024	Change over Past Month (INR)	Actual Change(%)
AIF	Yogarasa Mahanta	44,60,80,000.00	0.00	0.00
AIF	Ishan Shah	9,41,10,235.00	0.00	0.00
AIF	CUST66	1,50,11,500.00	0.00	0.00
AIF	Manikarnika Aror...	1,40,05,260.00	0.00	0.00
AIF	CUST7	60,00,000.00	0.00	0.00
AIF	Portfolio Analyt...	45,86,272.00	0.00	0.00

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 (%) = $(\text{AUM as on date for the Customer} - \text{AUM as on last date of past month for the Customer}) / (\text{AUM as on last date of past month for the Customer}) * 100$
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 (%)

Customer by AUM Change Range				
Customer details (by AUM Change Range)				
	Customer Name	AUM as on 07-02-2024	Change over Past Month (INR)	Actual Change (%)
AUM change range 10% to <20%	Karthi	6,72,41,312.99	61,12,846.64	10.00
AUM change range 10% to <20%	Krishna C M	24,444.44	2,222.22	10.00
AUM change range 0% to <10%	SRAVAN C M	AUM as on 07-02-2024 29,504.44	Change over Past Month (INR) 2,222.22	Actual Change (%) 8.15
AUM change range 0% to <10%	KUMAR A	AUM as on 07-02-2024 18,49,50,577.09	Change over Past Month (INR) 92,41,262.94	Actual Change (%) 5.26
AUM change range 0% to <10%	Vikas Khanna	AUM as on 07-02-2024 11,62,493.75	Change over Past Month (INR) 22,881.25	Actual Change (%) 2.01
AUM change range 0% to <10%	Raju C M	AUM as on 07-02-2024 6,66,000.00	Change over Past Month (INR) 6,000.00	Actual Change (%) 0.91

Screen: Customer by AUM Change Range (L3 View)

4.4.1.4. Net New Money

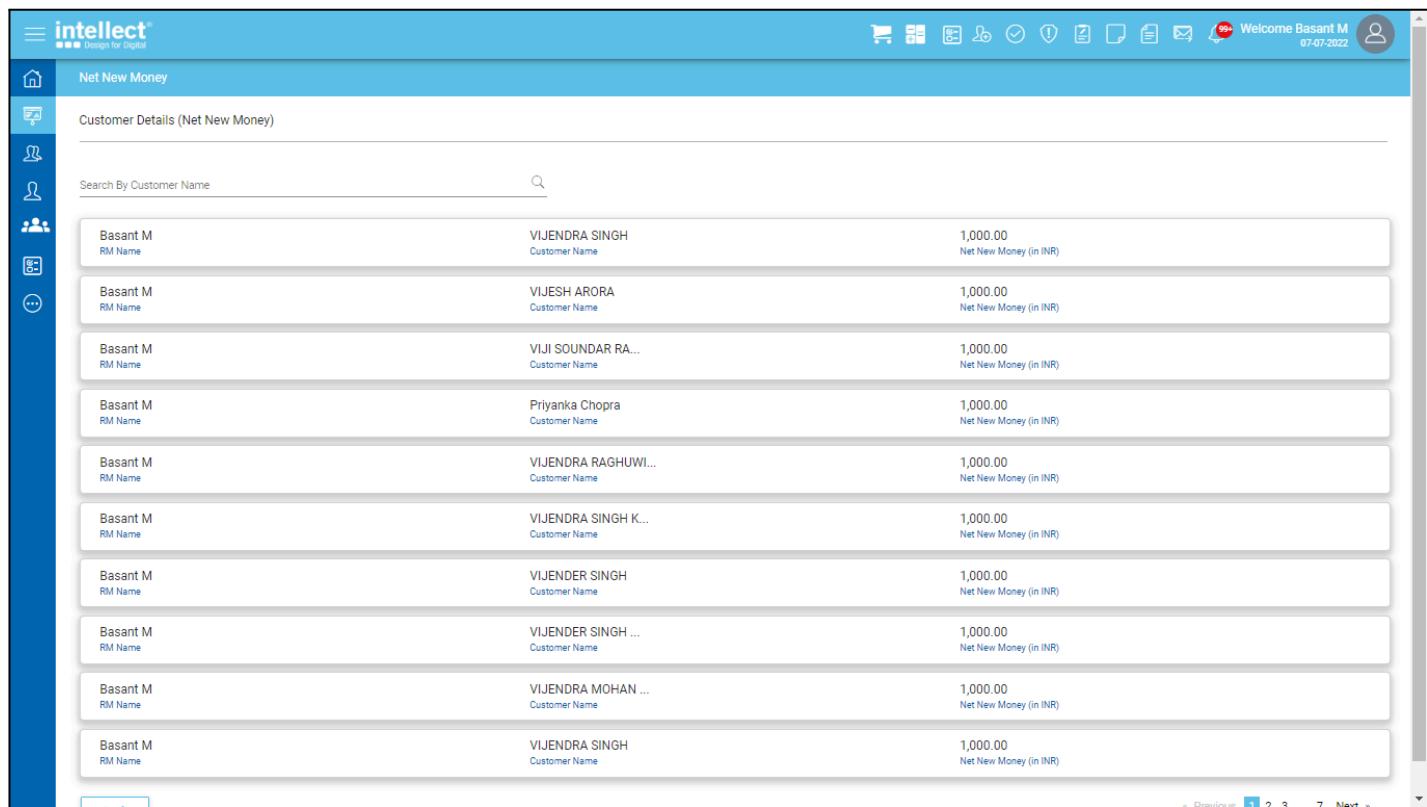
- This widget displays the net new investments (Inflows – Outflows) made by all customers mapped to the RM every month. Months are plotted on the x-axis; Net New Investments made by the customers in the respective month is plotted on the y-axis



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)



Customer Name	Customer Name	Net New Money (in INR)
Basant M RM Name	VIJENDRA SINGH Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	VIJESH ARORA Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	VIJI SOUNDAR RA... Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	Priyanka Chopra Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	VIJENDRA RAGHUWI... Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	VIJENDRA SINGH K... Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	VIJENDER SINGH Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	VIJENDER SINGH ... Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	VIJENDRA MOHAN ... Customer Name	1,000.00 Net New Money (in INR)
Basant M RM Name	VIJENDRA SINGH Customer Name	1,000.00 Net New Money (in INR)

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

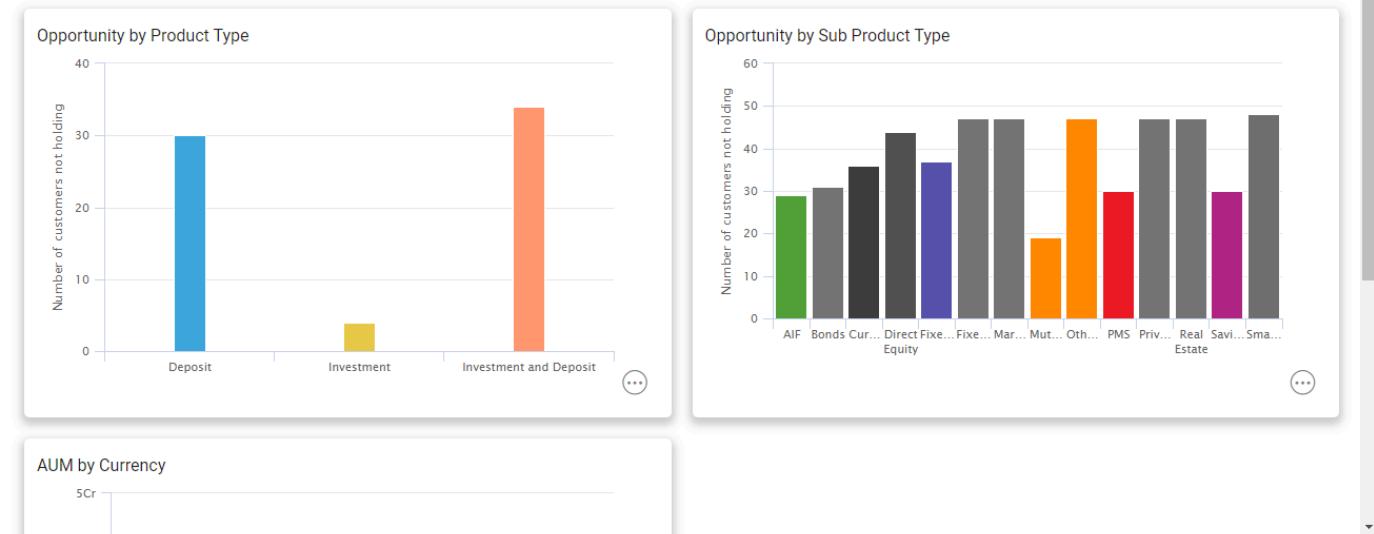
1. The RM can hover over the graph to view details
2. They can click on the “Three Dots” button to navigate to the L2 view



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

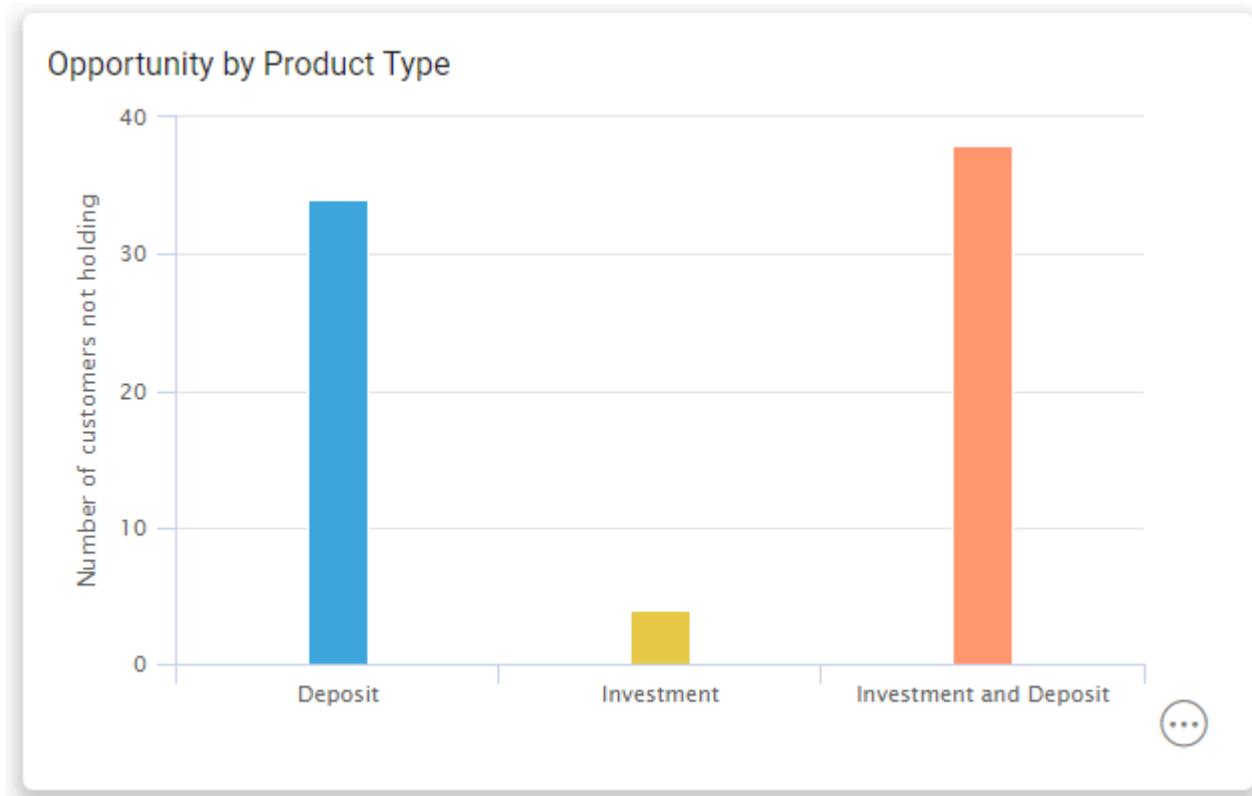
Opportunity Summary



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

Customer by Product Type

Customer Details (by Product Type)

Search By Customer Name 

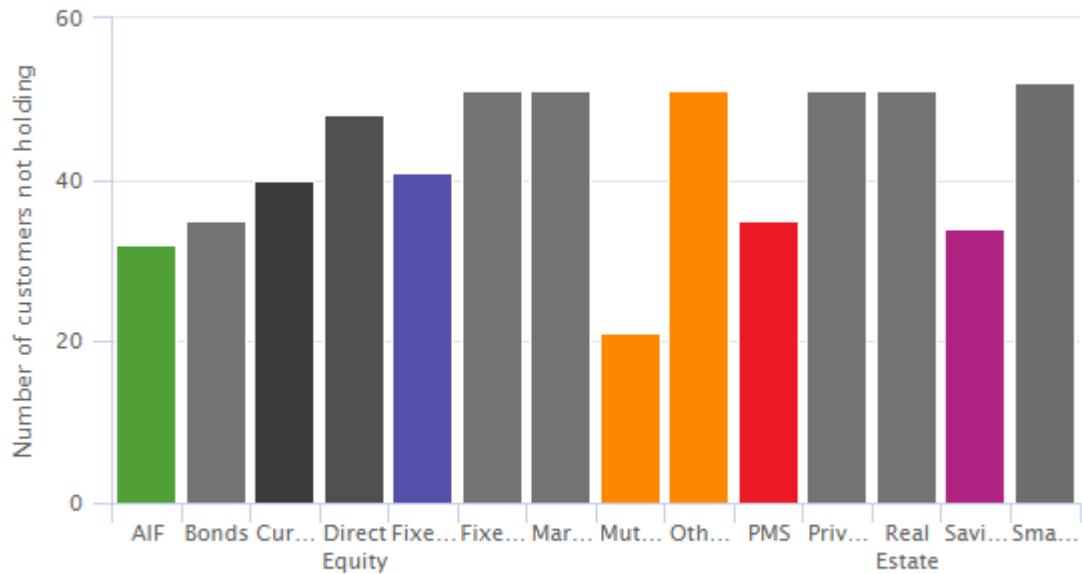
Product Type DEPOSITS	Customer Name Ishan Shah	AUM as on 07-02-2024 49,45,72,159.00
Product Type DEPOSITS	Customer Name Karthi	AUM as on 07-02-2024 6,72,41,312.99
Product Type DEPOSITS	Customer Name Anvika Shah	AUM as on 07-02-2024 2,12,50,126.40
Product Type DEPOSITS	Customer Name CUST66	AUM as on 07-02-2024 1,50,41,500.00
Product Type DEPOSITS	Customer Name Varun	AUM as on 07-02-2024 1,01,98,073.78
Product Type DEPOSITS	Customer Name CUST7	AUM as on 07-02-2024 60,00,000.00

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”

Opportunity by Sub Product Type



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

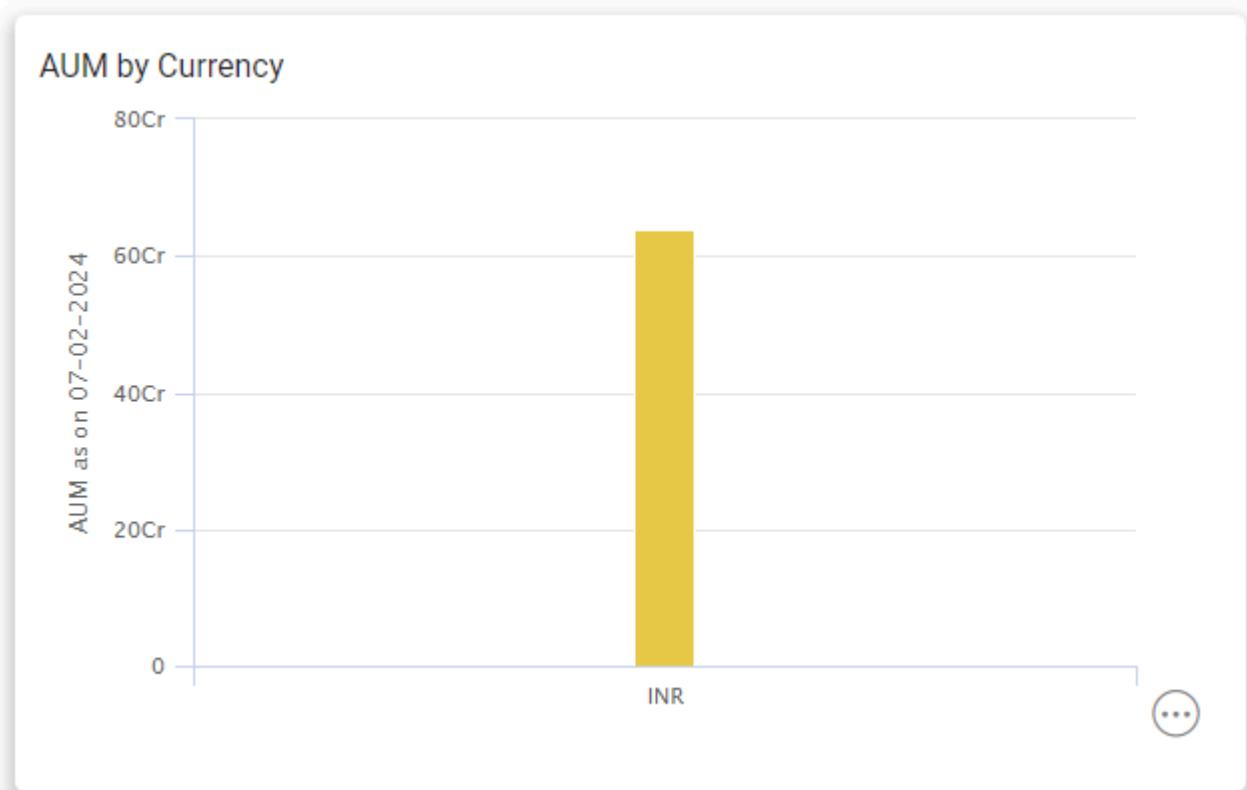
Screen: Opportunity by Sub Product (L3 View)

Customer by Sub Product Type		
Customer Details (by Sub Product Type)		
<input style="width: 100%; height: 30px; border: 1px solid red; margin-bottom: 5px;" type="text" value="Search by Customer"/> 🔍		
Bonds Sub Product Type	ADELITA UTAMI SU... Customer Name	4,022,451,518,09... AUM as on 09-06-2021
Bonds Sub Product Type	ARLIN JONSON SIA... Customer Name	999,014,917,384,... AUM as on 09-06-2021
Mutual Fund Sub Product Type	BAMBANG KOSASIH Customer Name	69,369,750,035.8... AUM as on 09-06-2021
Bonds Sub Product Type	ANDY DWI LOETFIA... Customer Name	64,193,688,054.9... AUM as on 09-06-2021

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:
- Currency
 - Customer Name
 - AUM as on Date

AUM by Currency

Customer Details (AUM by Currency)

Search By Customer Name 

Currency	Customer Name	AUM as on 07-02-2024
INR	Krishna C M	24,444.44
INR	CUST8	28,394.88
INR	Saif Ali Khan	29,490.00
INR	SRAVAN C M	29,504.44
INR	Mukesh	34,689.41
INR	Randhir M	42,100.00

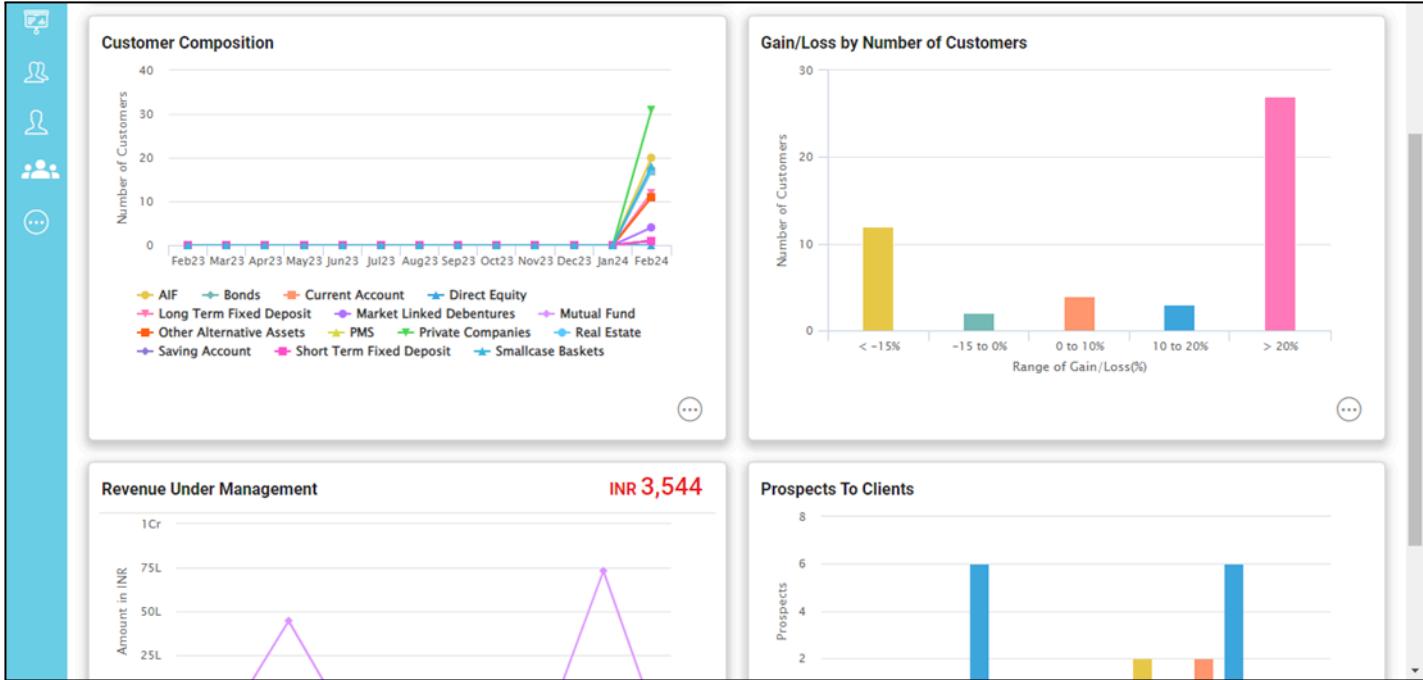
Screen: AUM by Currency (L3 View)

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

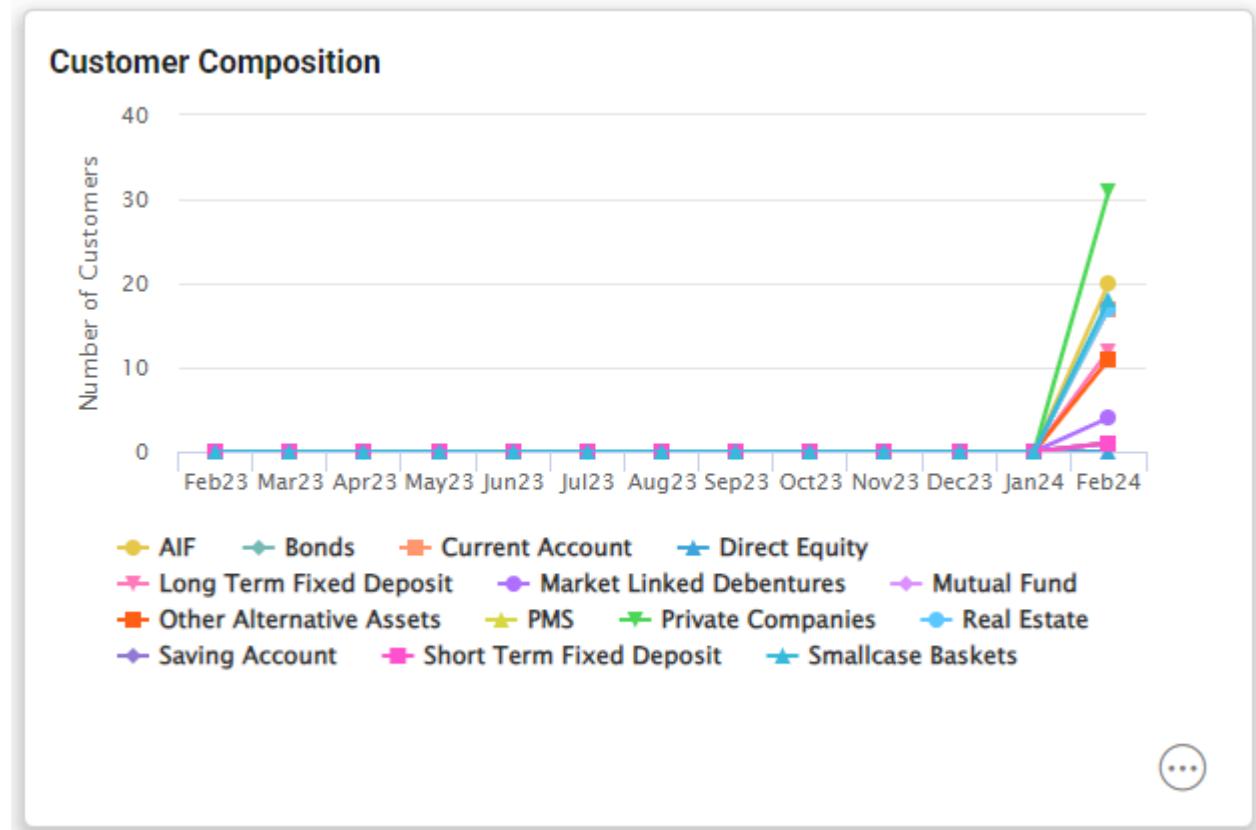
Note: These are as per the Product Hierarchy setup

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



Screen: Customer Composition (Mouse Hover)

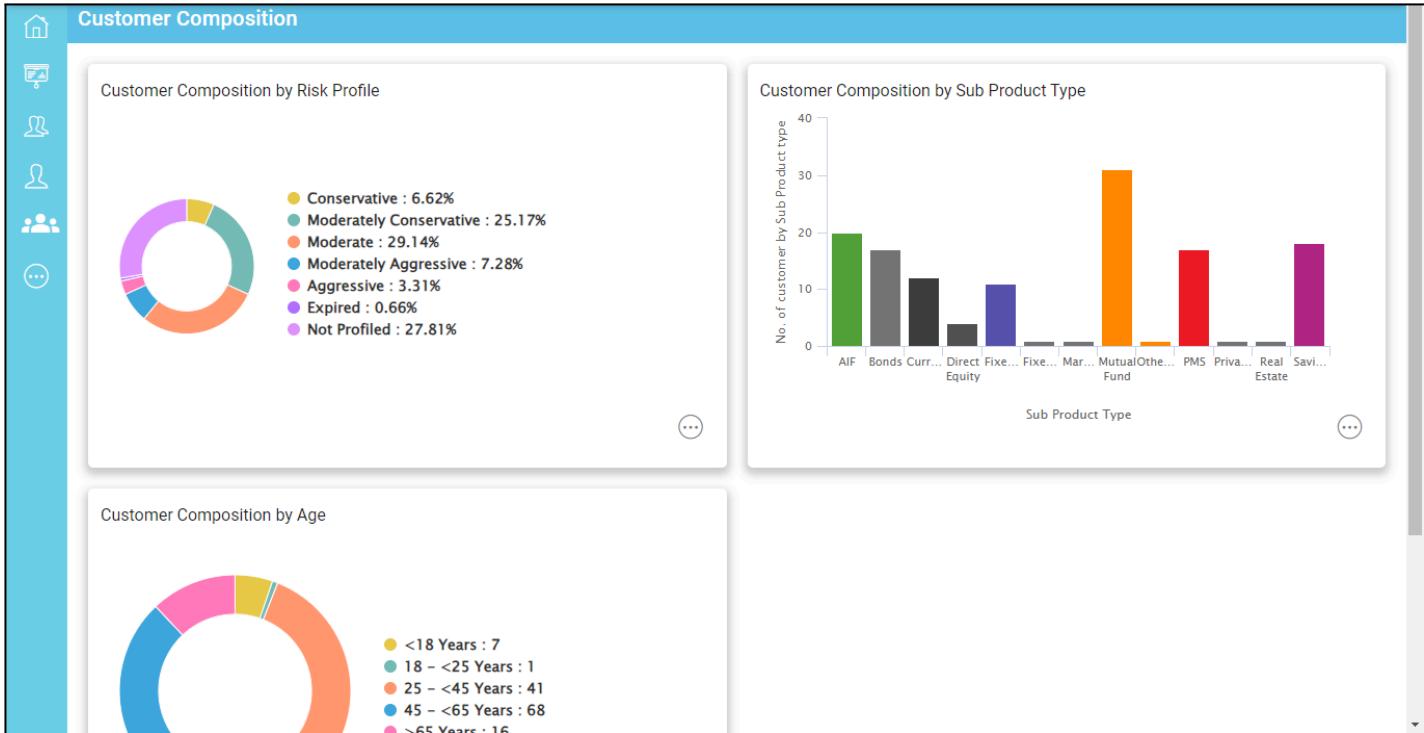
3. They can click on the “Three Dots” button to navigate to the L2 view



Screen: Customer Composition (L1 View)

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

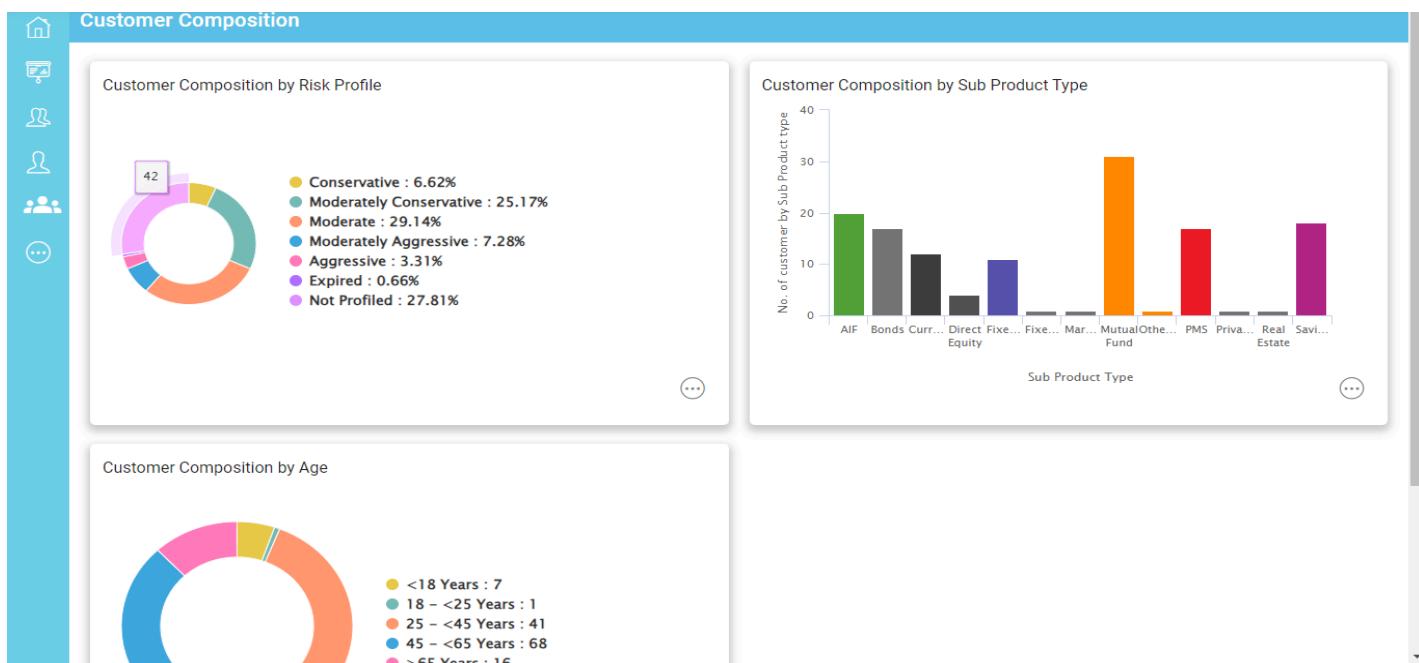
- Customer Composition by Risk Profile
- Customer Composition by Sub Product Type
- Customer Composition by Age



Screen: Customer Composition (L2 View)

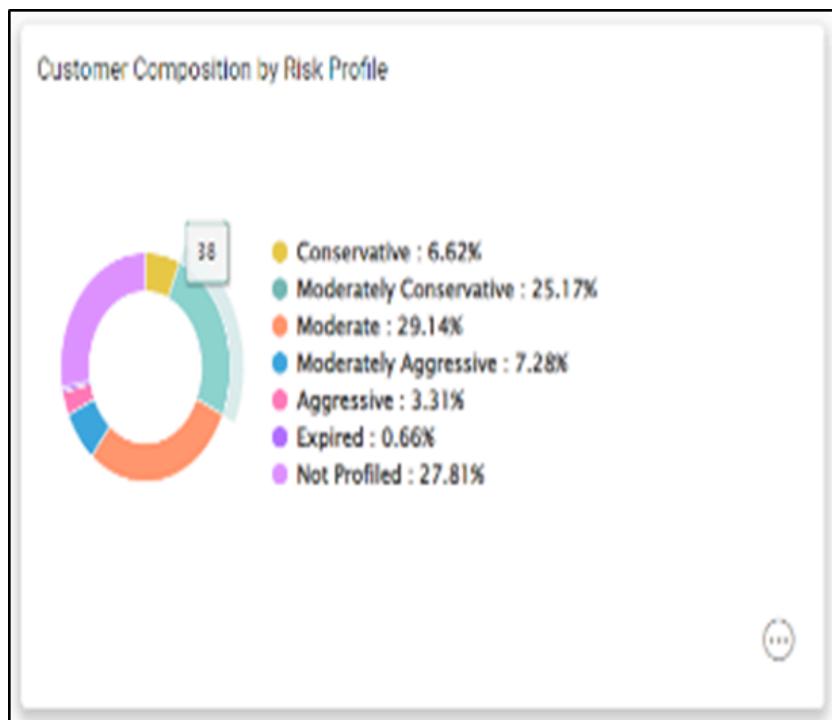
4.4.3.1. Customer Composition by Risk Profile

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



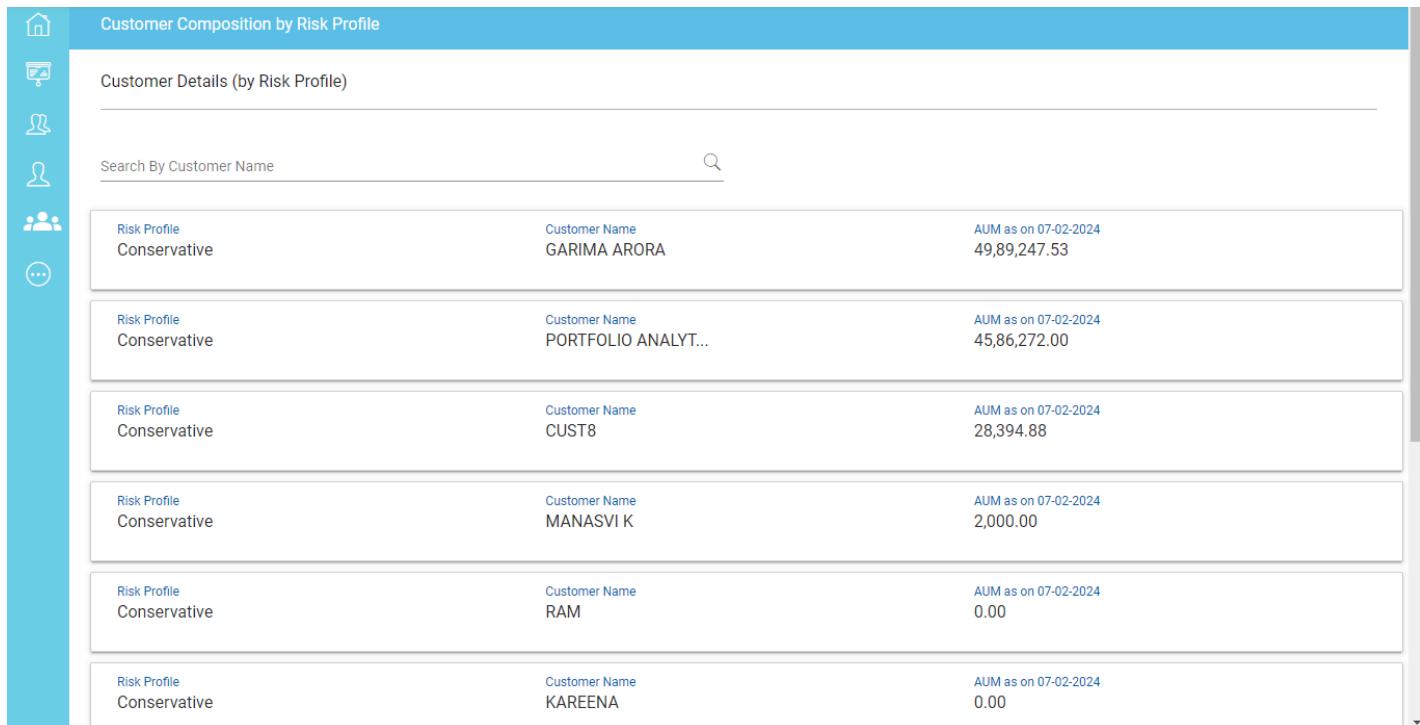
Screen: Customer Composition by Risk Profile (Mouse Hover)

- 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:
- Risk Profile
 - Customer Name
 - AUM as on Date



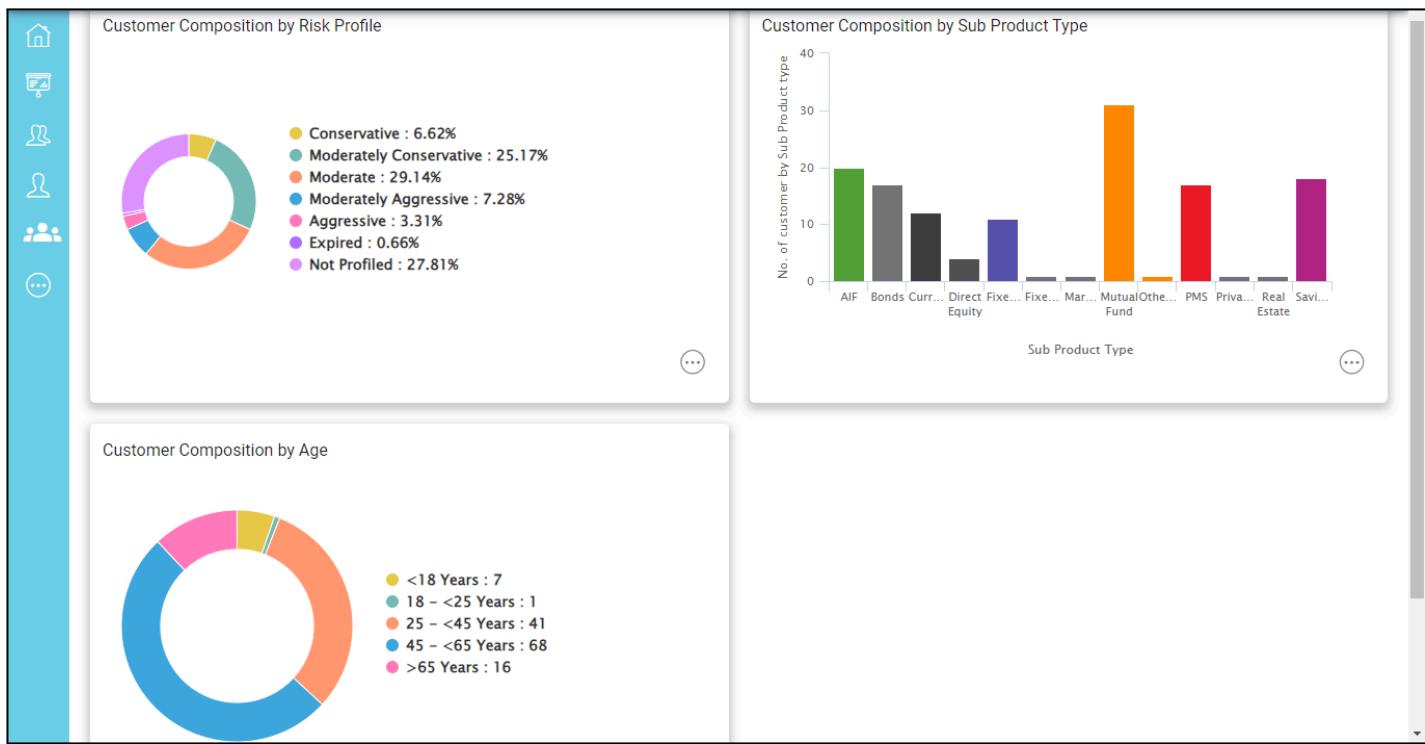
The screenshot shows a table titled "Customer Composition by Risk Profile". The table has columns for Risk Profile, Customer Name, and AUM as on 07-02-2024. There are six rows of data, each corresponding to a different customer with a conservative risk profile. The AUM values decrease from top to bottom.

Risk Profile	Customer Name	AUM as on 07-02-2024
Conservative	GARIMA ARORA	49,89,247.53
Conservative	PORTFOLIO ANALYT...	45,86,272.00
Conservative	CUST8	28,394.88
Conservative	MANASVI K	2,000.00
Conservative	RAM	0.00
Conservative	KAREENA	0.00

Screen: Customer Composition by Risk Profile (L3 View)

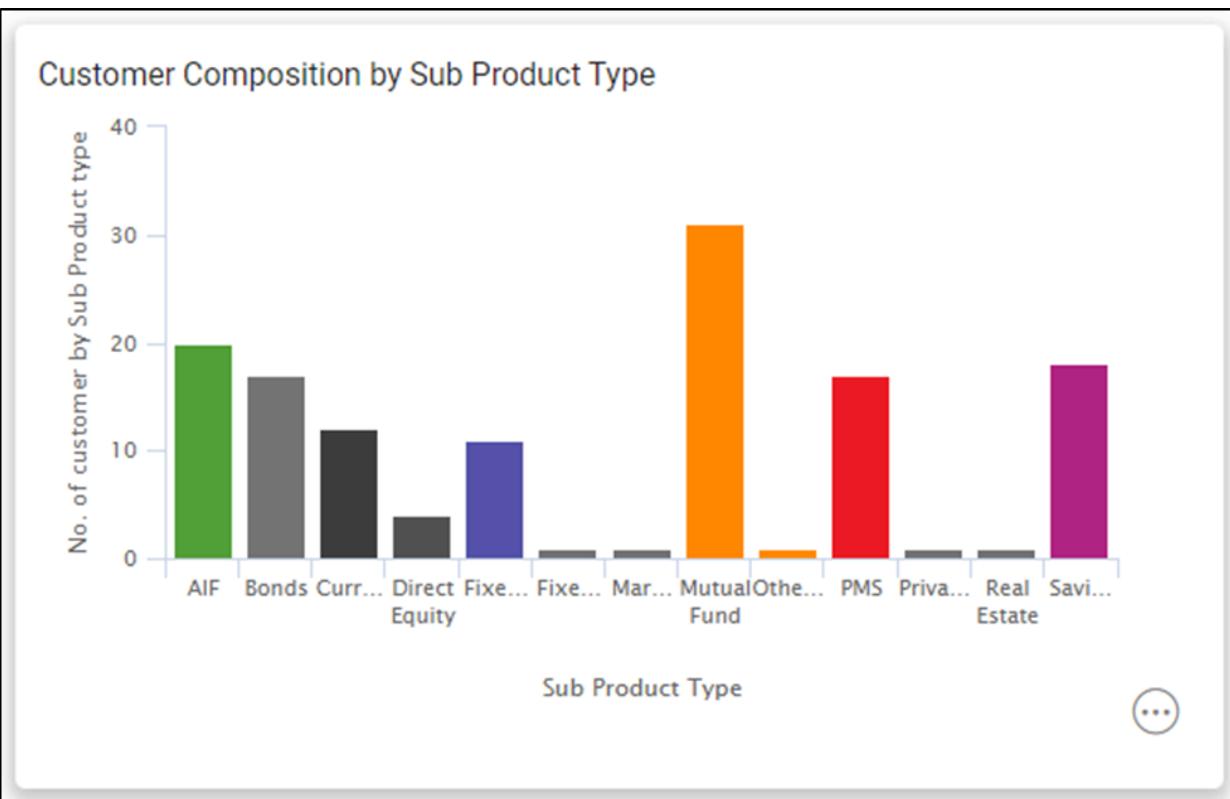
4.4.3.2. Customer Composition by Sub Product Type

- 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.
- 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

Customer Composition by Sub Product Type

Customer Details (by Sub Product Type)

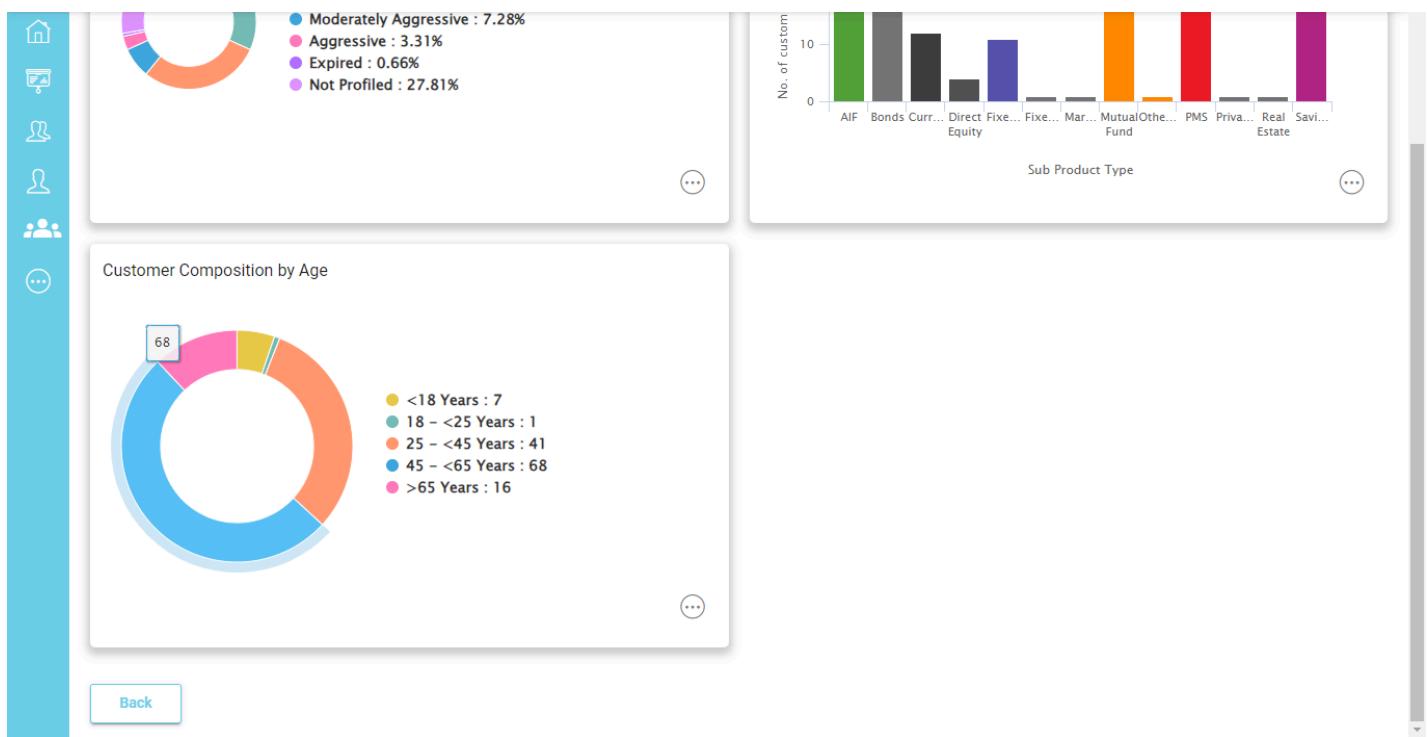
Search By Customer Name 

Sub Product Type	Customer Name	AUM as on 07-02-2024
AIF	Yogarasa Mahanta	44,60,80,000.00
AIF	Ishan Shah	9,41,10,235.00
AIF	CUST66	1,50,11,500.00
AIF	Manikarnika Aror...	1,40,05,260.00
AIF	CUST7	60,00,000.00
AIF	Portfolio Analyt...	45,86,272.00

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

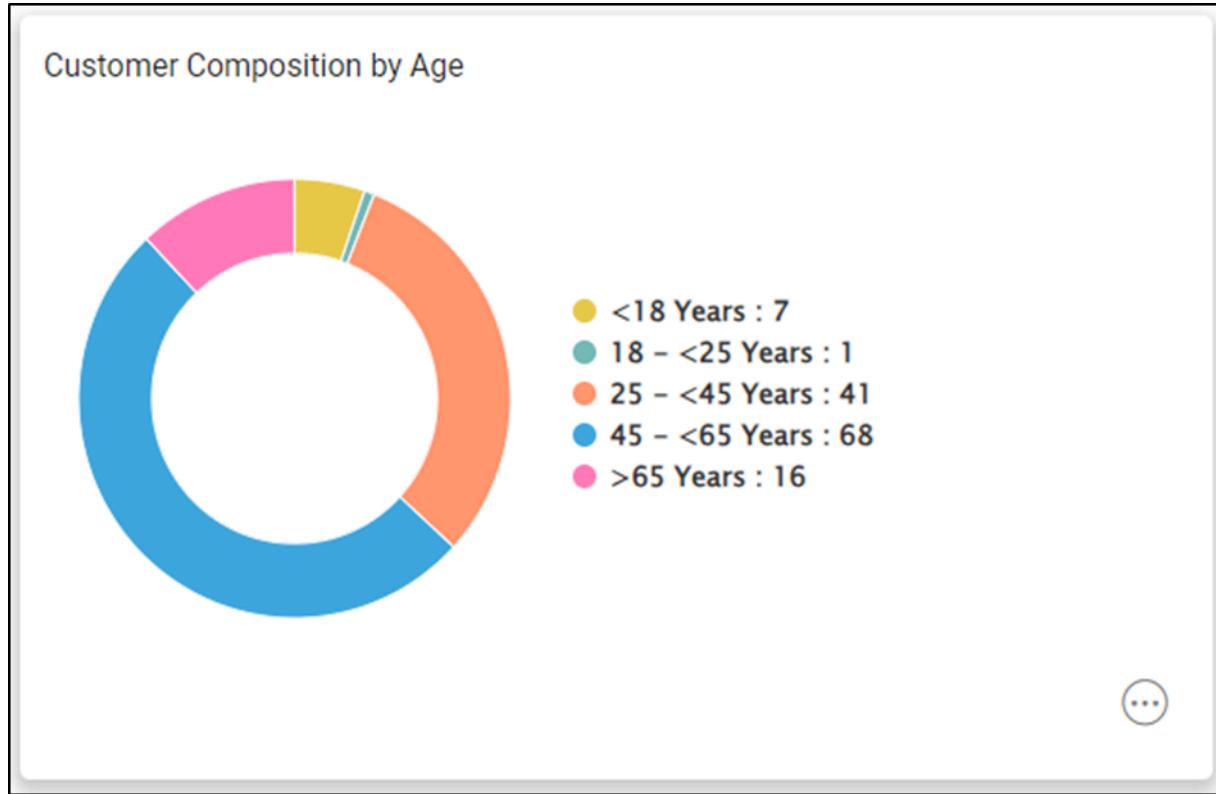
4.4.3.3. Customer Composition by Age

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



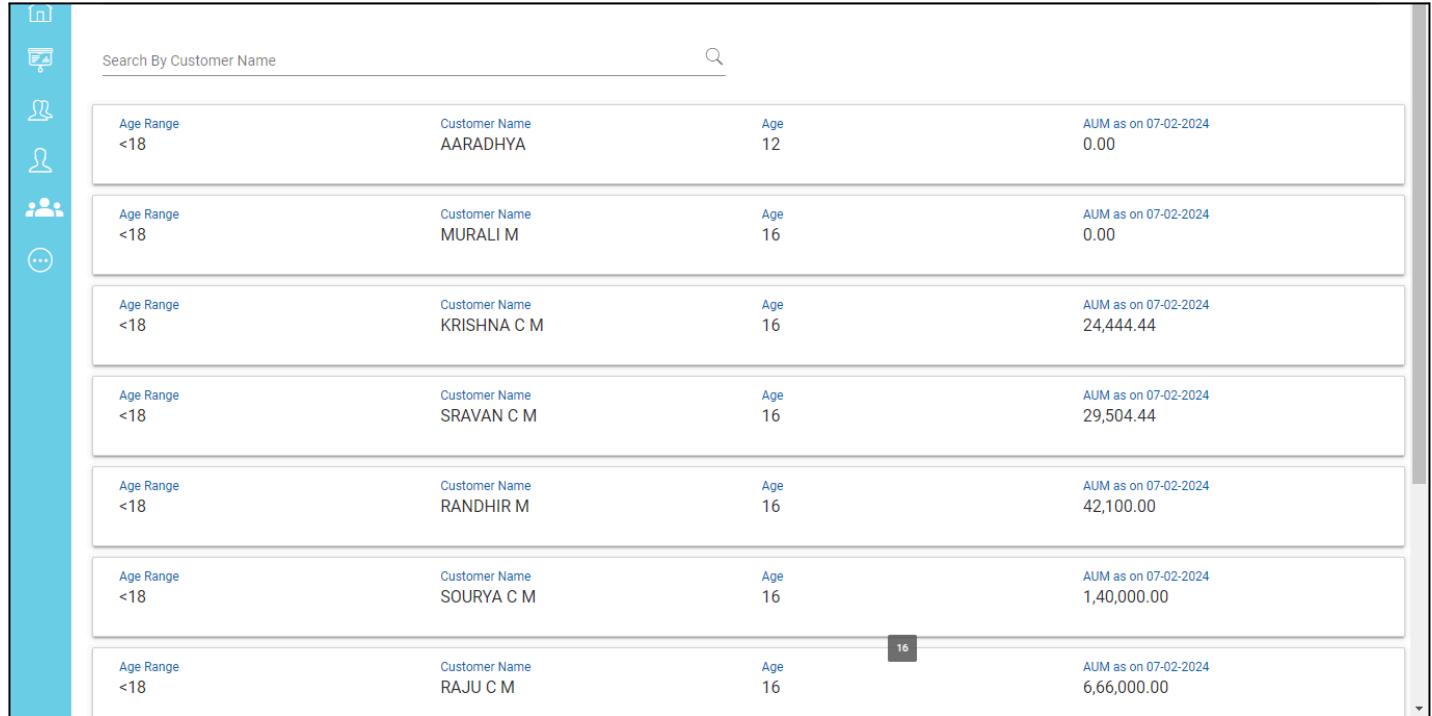
Screen: Customer Composition by Age (Mouse Hover)

- 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



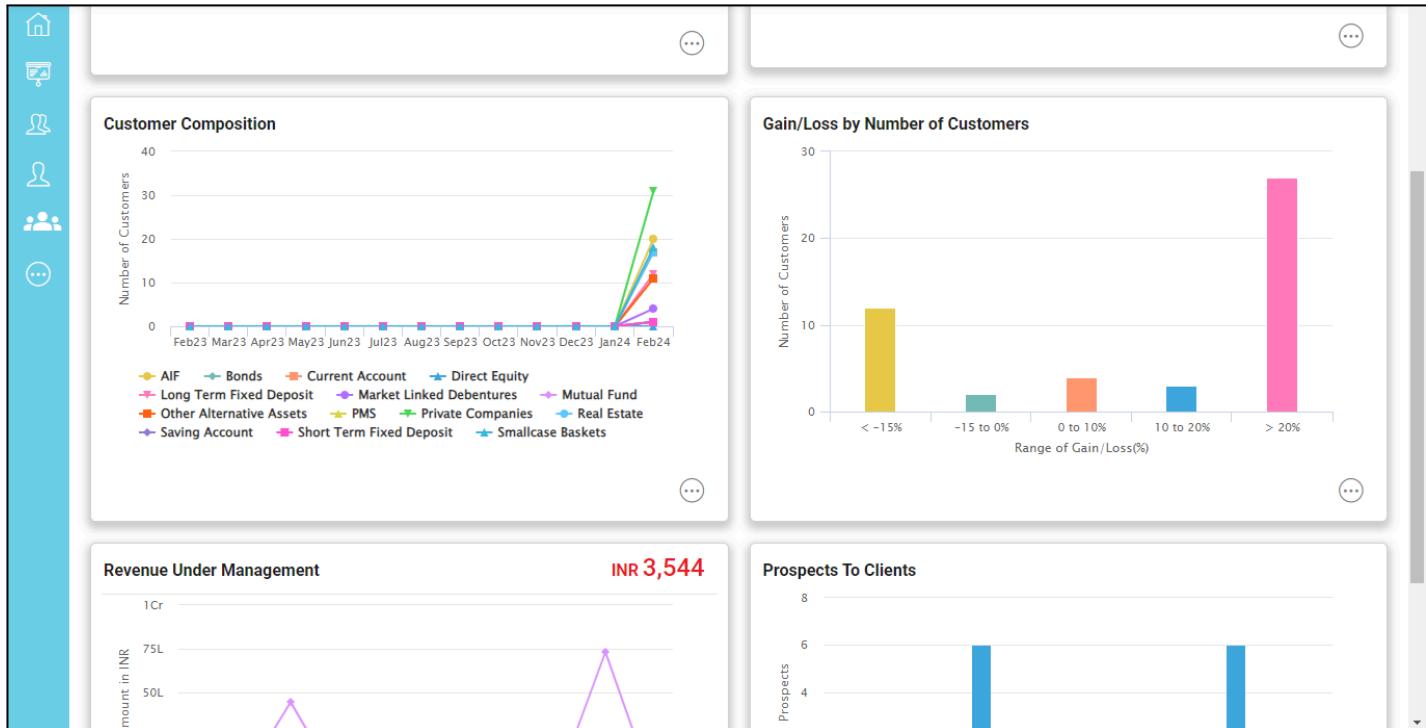
The screenshot shows a table with the following data:

Age Range	Customer Name	Age	AUM as on 07-02-2024
<18	AARADHYA	12	0.00
<18	MURALI M	16	0.00
<18	KRISHNA C M	16	AUM as on 07-02-2024 24,444.44
<18	SRAVAN C M	16	AUM as on 07-02-2024 29,504.44
<18	RANDHIR M	16	AUM as on 07-02-2024 42,100.00
<18	SOURYA C M	16	AUM as on 07-02-2024 1,40,000.00
<18	RAJU C M	16	AUM as on 07-02-2024 6,66,000.00

Screen: Customer Composition by Age (L3 View)

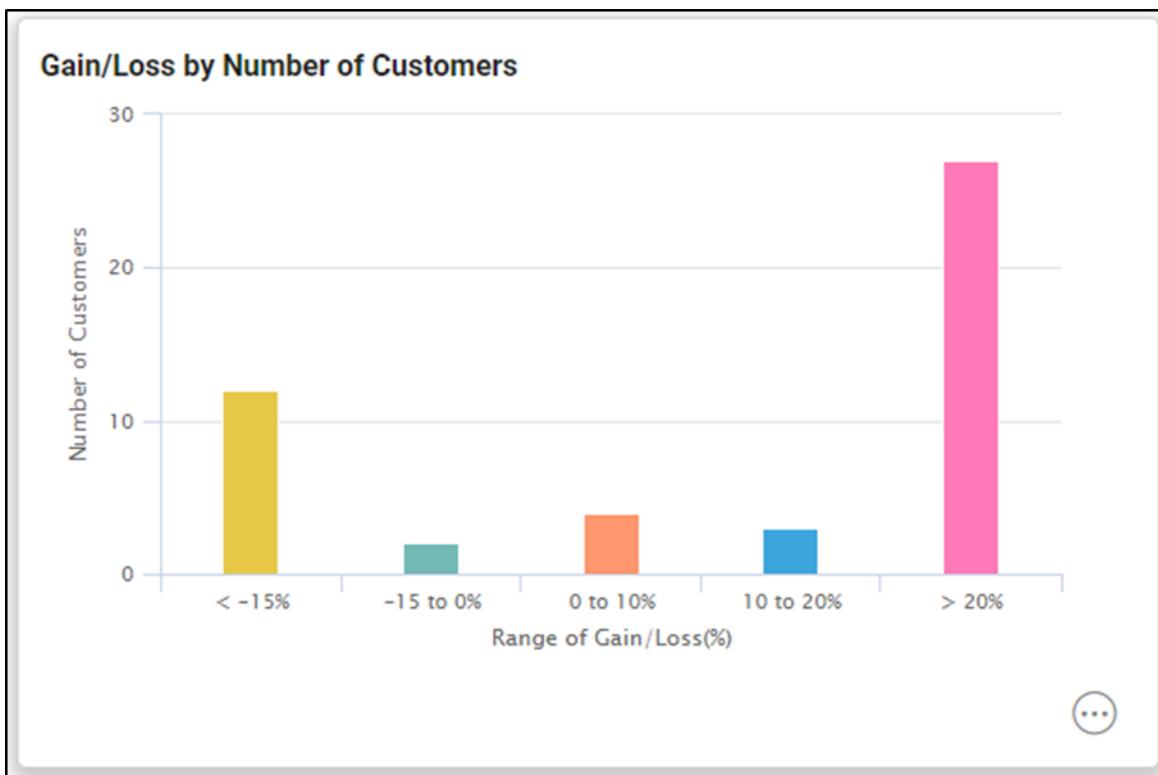
4.4.4. Gain/Loss by Number of Customers

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 (%) = $(\text{Unrealized Gain/Loss}) / (\text{Investment Amount}) * 100$
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)

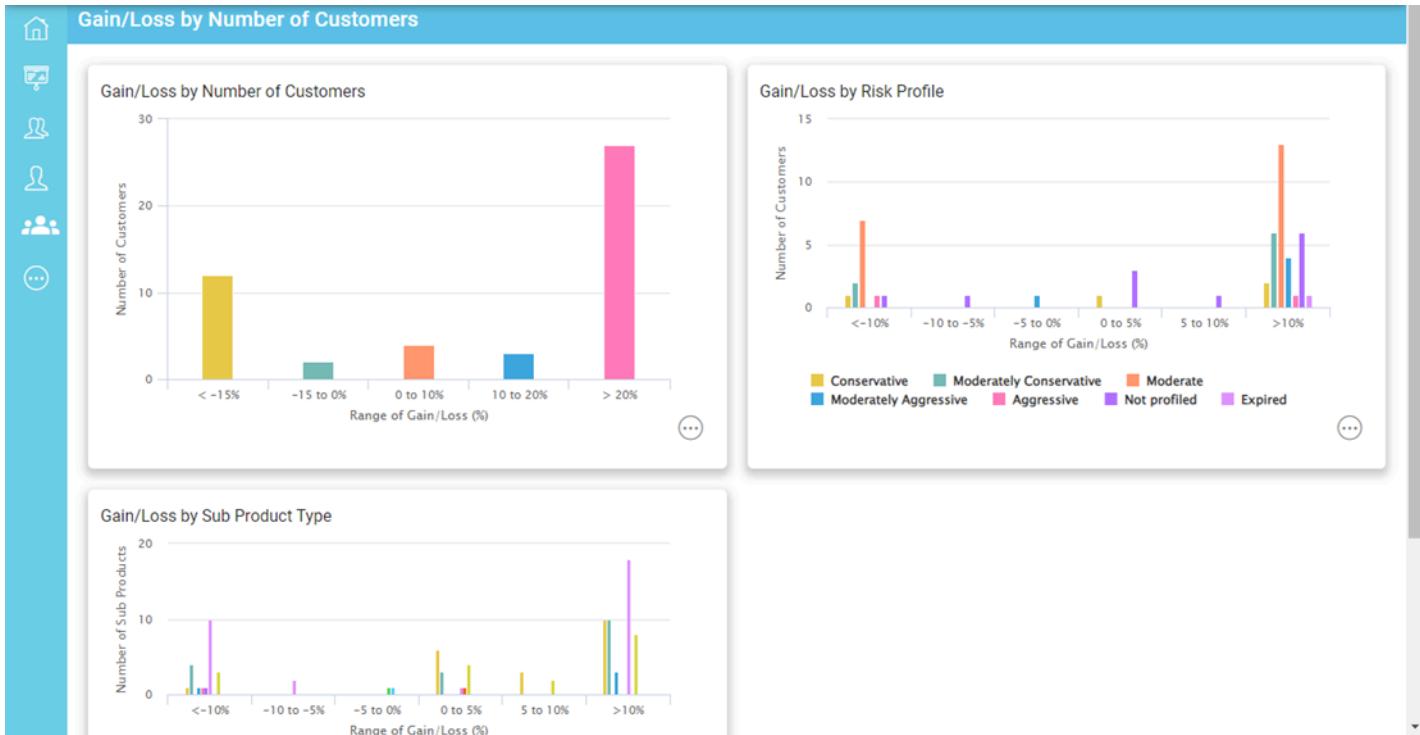
- They can click on the “Three Dots” button to navigate to the L2 view



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:

- Gain/Loss by Number of Customers
- Gain/Loss by Risk Profile
- Gain/Loss by Product Type

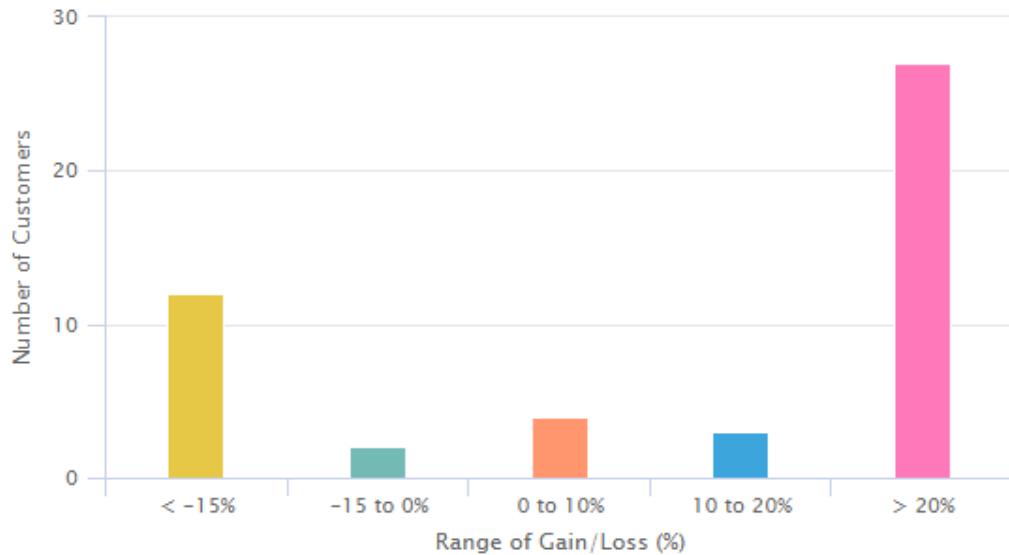


Screen: Gain/Loss by Number of Customers (L2 View)

4.4.4.3. Gain/Loss by Number of Customers

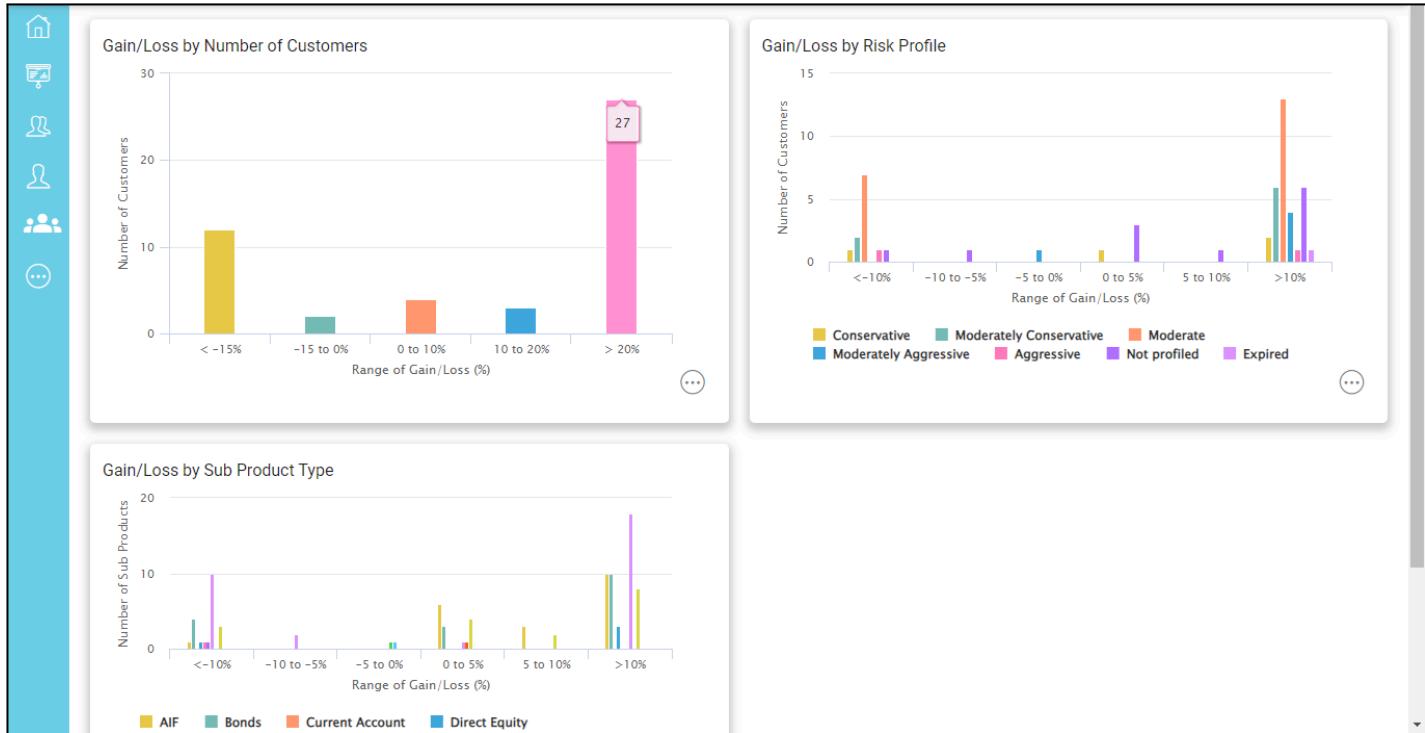
1. This widget displays the count of the customers whose gain/loss range % falls in different return ranges. Gain/Loss Ranges are plotted on the x-axis; Number of the customers whose portfolio gain/loss % range falling in a particular range is plotted on the y-axis

Gain/Loss by Number of Customers



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

2. Gain/Loss of the Portfolio (%) = $(\text{Unrealized Gain/Loss}) / (\text{Investment Amount}) * 100$
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)

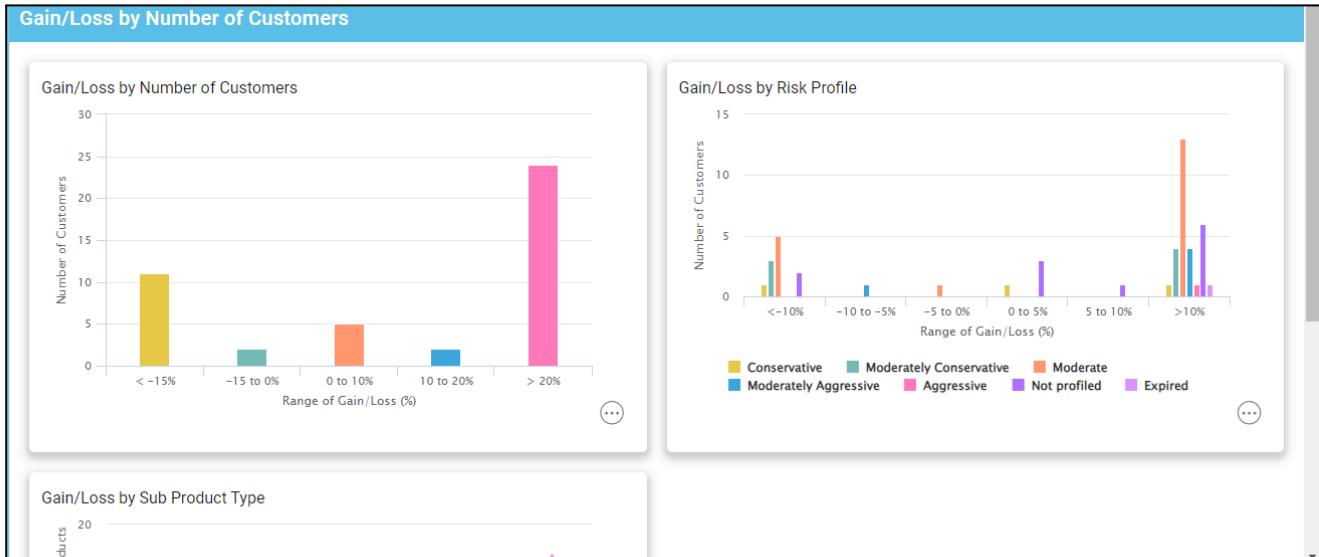
5. They can click on the “Three Dots” button to navigate to the L3 view
6. The RM can see the list of their customers grouped by Gain Loss Range and sorted by descending order of AUM. System also provides the option to search for the Customer Name. Data being displayed on the table is data as on current 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%

Gain/Loss by Number of Customers							
Gain/Loss by Number of Customers							
		Search By Customer Name					
Gain Loss > 20%	Customer Name Ayaan Kumar	AUM as on 07-02-2024 365,132,567,995...	Investment Amount 380,090.00	Market Value 365,132,567,995...	Unrealized Gain/Loss 365,132,187,905...	Realized Gain/Loss 30,000.00	Gain/Loss% 96064665.71
Gain Loss > 20%	Customer Name Ragunath Bhau...	AUM as on 07-02-2024 1,231,257,680.00	Investment Amount 1,218,210.00	Market Value 1,231,257,680.00	Unrealized Gain/Loss 1,230,039,470.00	Realized Gain/Loss 15,121.20	Gain/Loss% 100971.05
Gain Loss > 20%	Customer Name Ishan Shah	AUM as on 07-02-2024 494,572,159.00	Investment Amount 9,436,023.50	Market Value 494,572,159.00	Unrealized Gain/Loss 485,136,135.50	Realized Gain/Loss 553,012.20	Gain/Loss% 5141.32
Gain Loss > 20%	Customer Name Ankit Kumar	AUM as on 07-02-2024 574,000.00	Investment Amount 40,000.00	Market Value 574,000.00	Unrealized Gain/Loss 534,000.00	Realized Gain/Loss 0.00	Gain/Loss% 1335
Gain Loss > 20%	Customer Name Anvika Shah	AUM as on 07-02-2024 21,250,126.40	Investment Amount 1,681,427.20	Market Value 21,250,126.40	Unrealized Gain/Loss 19,568,699.20	Realized Gain/Loss 0.00	Gain/Loss% 1163.81
Gain Loss > 20%	Customer Name Raghav A	AUM as on 07-02-2024 114,000.00	Investment Amount 10,000.00	Market Value 114,000.00	Unrealized Gain/Loss 104,000.00	Realized Gain/Loss 0.00	Gain/Loss% 1040

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

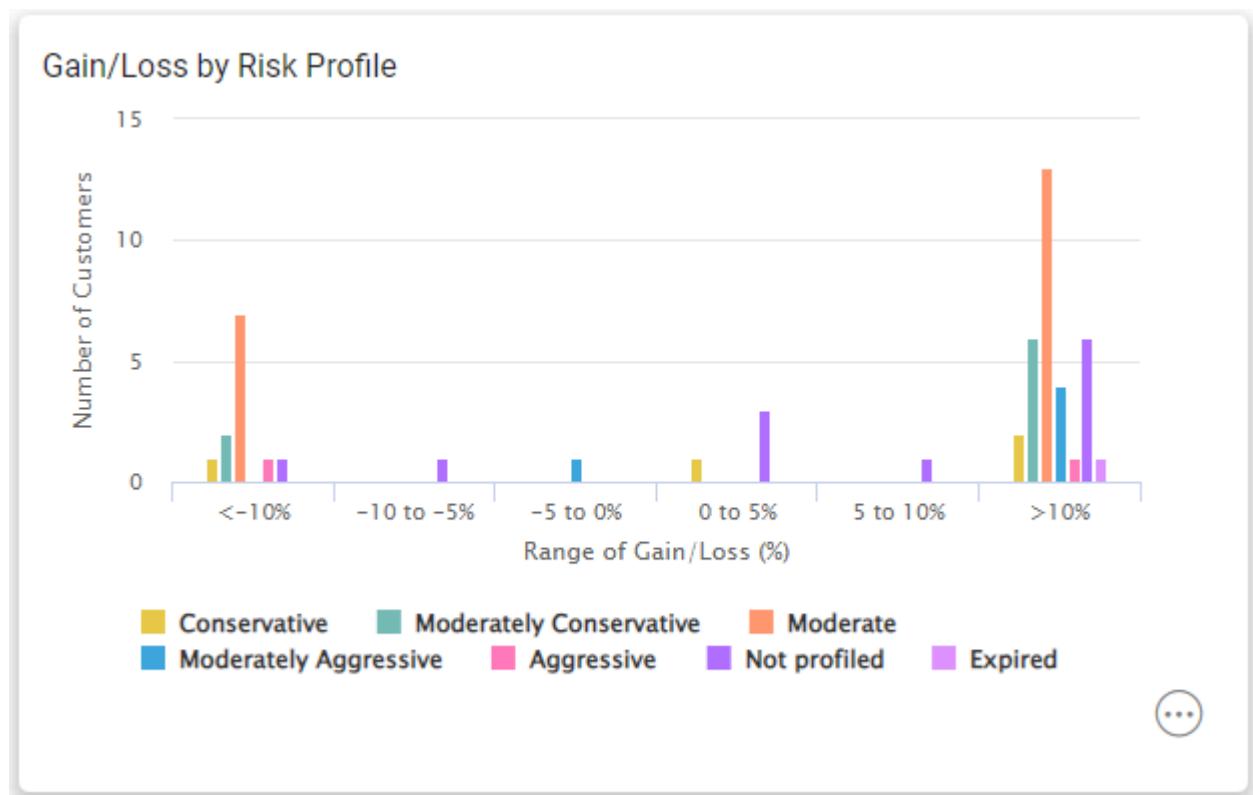
4.4.4.4. Gain/Loss by Risk Profile

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 = $(\text{Unrealized Gain/Loss}) / (\text{Investment Amount}) * 100$
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

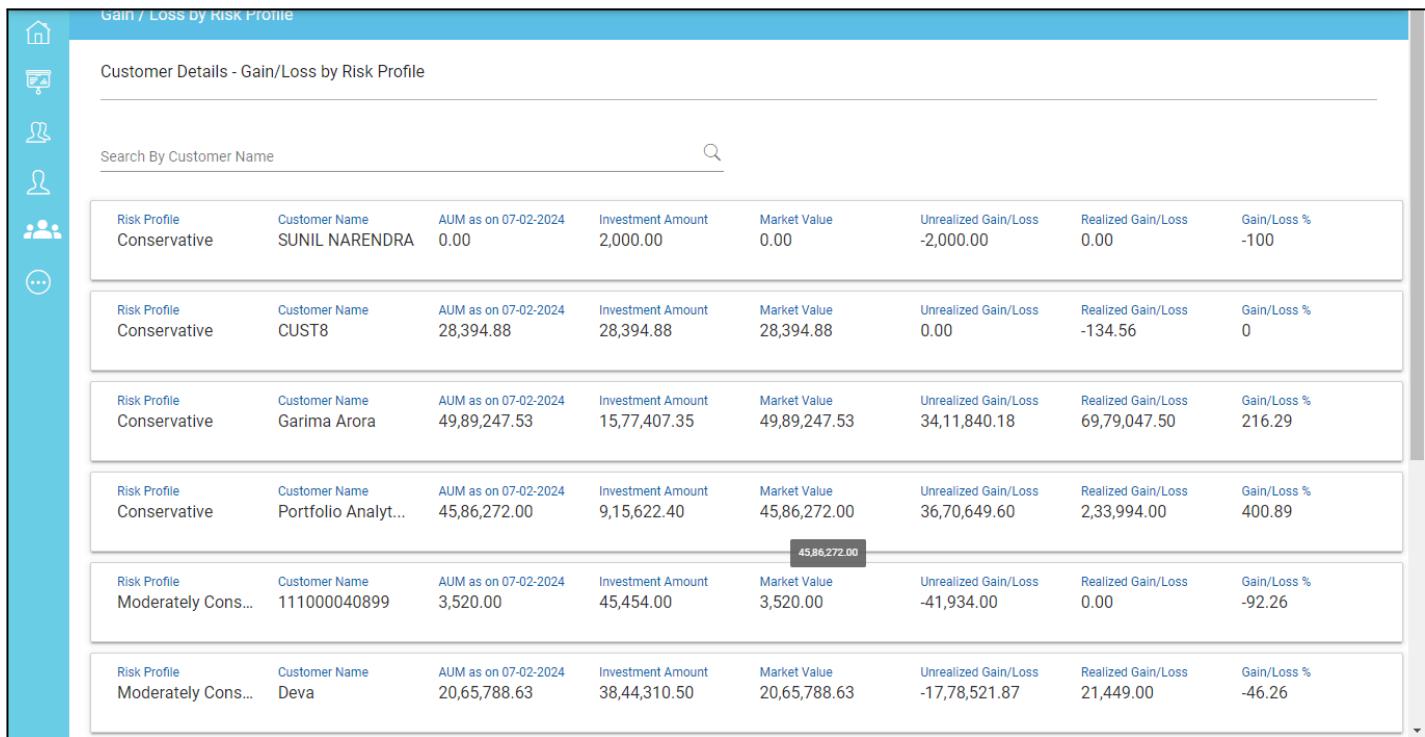


Screen: Gain/Loss by Risk Profile (L2 View)

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%

Gain / Loss by Risk Profile



The screenshot shows a dashboard titled "Gain / Loss by Risk Profile". On the left, there is a vertical sidebar with icons for Home, Analytics, Customers, and Groups. The main area is titled "Customer Details - Gain/Loss by Risk Profile" and includes a search bar labeled "Search By Customer Name". Below the search bar is a table with the following data:

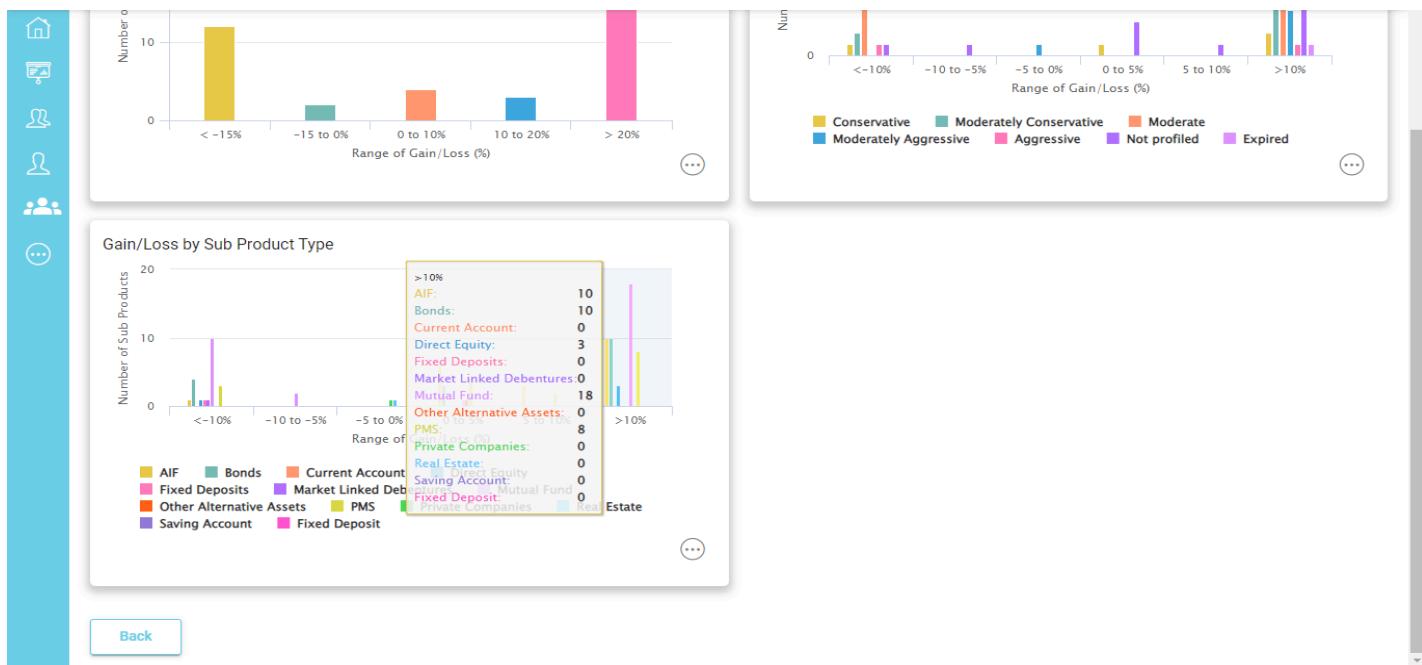
Risk Profile	Customer Name	AUM as on 07-02-2024	Investment Amount	Market Value	Unrealized Gain/Loss	Realized Gain/Loss	Gain/Loss %
Conservative	SUNIL NARENDRA	0.00	2,000.00	0.00	-2,000.00	0.00	-100
Conservative	CUST8	AUM as on 07-02-2024 28,394.88	Investment Amount 28,394.88	Market Value 28,394.88	Unrealized Gain/Loss 0.00	Realized Gain/Loss -134.56	Gain/Loss % 0
Conservative	Garima Arora	AUM as on 07-02-2024 49,89,247.53	Investment Amount 15,77,407.35	Market Value 49,89,247.53	Unrealized Gain/Loss 34,11,840.18	Realized Gain/Loss 69,79,047.50	Gain/Loss % 216.29
Conservative	Portfolio Analyt...	AUM as on 07-02-2024 45,86,272.00	Investment Amount 9,15,622.40	Market Value 45,86,272.00	Unrealized Gain/Loss 36,70,649.60	Realized Gain/Loss 2,33,994.00	Gain/Loss % 400.89
Moderately Cons...	111000040899	AUM as on 07-02-2024 3,520.00	Investment Amount 45,454.00	Market Value 3,520.00	Unrealized Gain/Loss -41,934.00	Realized Gain/Loss 0.00	Gain/Loss % -92.26
Moderately Cons...	Deva	AUM as on 07-02-2024 20,65,788.63	Investment Amount 38,44,310.50	Market Value 20,65,788.63	Unrealized Gain/Loss -17,78,521.87	Realized Gain/Loss 21,449.00	Gain/Loss % -46.26

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

4.4.4.5. Gain/Loss by Sub Product Type

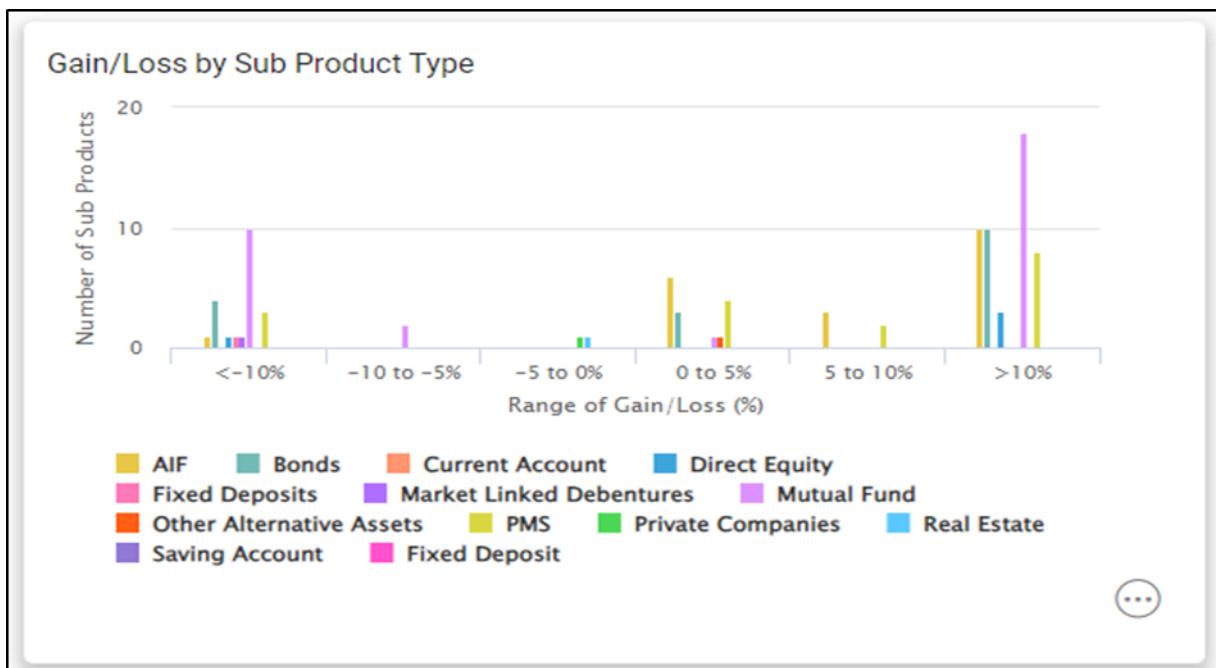
7. This widget displays the Gain/Loss % of the customer's sub products falling in different gain/loss ranges. Gain/Loss Ranges are plotted on the x-axis; Number of Sub Products held by the customers whose portfolio gain/loss % range falling in a particular range is plotted on the y-axis
8. Gain/Loss of the Customer (%) of a Sub Product for a Customer = $(\text{Unrealized Gain/Loss}) / (\text{Investment Amount}) * 100$
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)

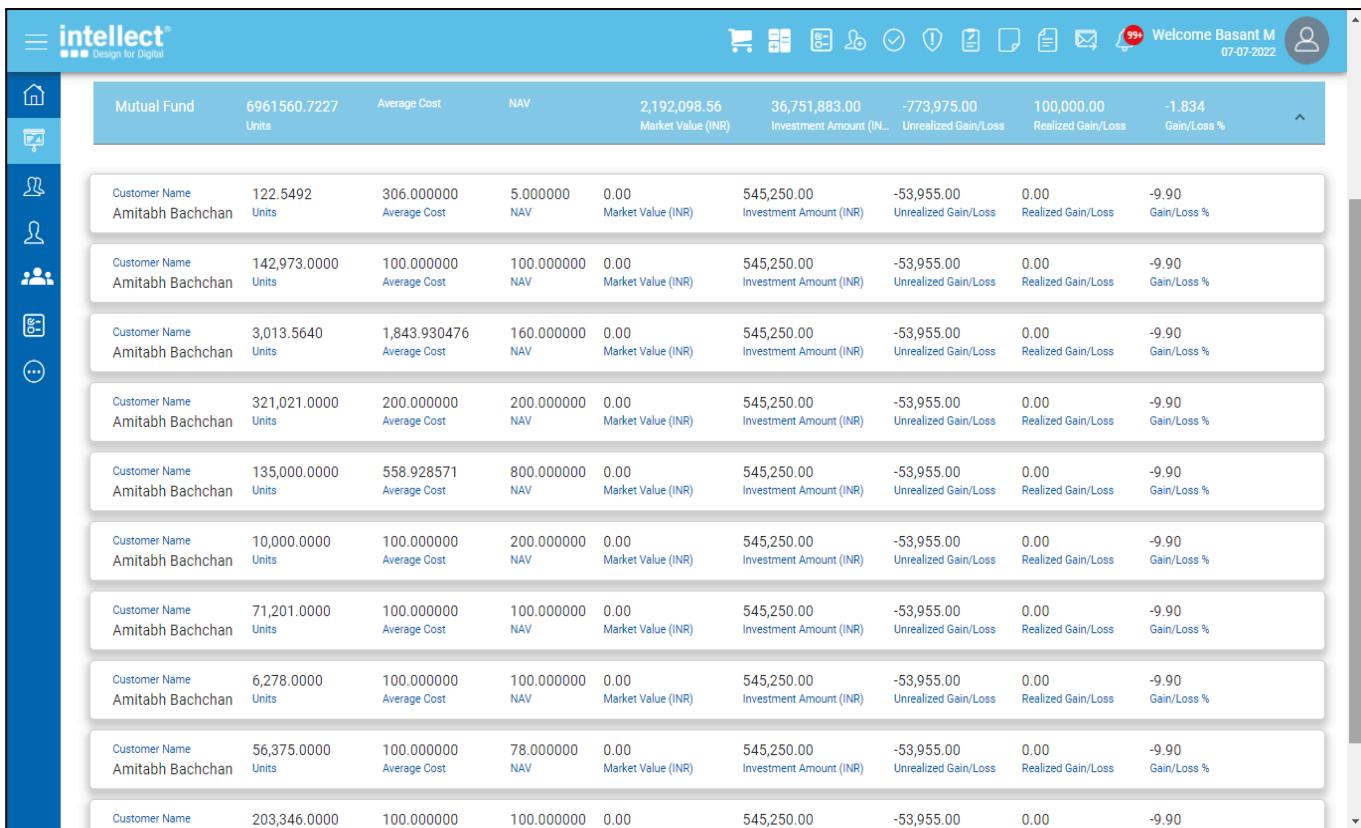
11. They can click on the “Three Dots” button to navigate to the L3 view



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:

- Customer Name
- Units
- Average Cost
- NAV
- Market Value
- Investment Amount
- Unrealized Gain
- Realized Gain
- Gain%



The screenshot shows a software interface with a blue header bar. On the left, there's a vertical sidebar with icons for home, users, reports, and more. The main area has a table with the following columns: Mutual Fund, Units, Average Cost, NAV, Market Value (INR), Investment Amount (INR), Unrealized Gain/Loss, Realized Gain/Loss, and Gain/Loss %. The table contains 10 rows of data, each representing a customer named Amitabh Bachchan with different investment details.

Mutual Fund	6961560.7227 Units	Average Cost	NAV	2,192,098.56 Market Value (INR)	36,751,883.00 Investment Amount (INR)	-773,975.00 Unrealized Gain/Loss	100,000.00 Realized Gain/Loss	-1,834 Gain/Loss %
Customer Name Amitabh Bachchan	122,5492 Units	306,000,000 Average Cost	5,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name Amitabh Bachchan	142,973,0000 Units	100,000,000 Average Cost	100,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name Amitabh Bachchan	3,013,5640 Units	1,843,930,476 Average Cost	160,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name Amitabh Bachchan	321,021,0000 Units	200,000,000 Average Cost	200,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name Amitabh Bachchan	135,000,0000 Units	558,928,571 Average Cost	800,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name Amitabh Bachchan	10,000,0000 Units	100,000,000 Average Cost	200,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name Amitabh Bachchan	71,201,0000 Units	100,000,000 Average Cost	100,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name Amitabh Bachchan	6,278,0000 Units	100,000,000 Average Cost	100,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name Amitabh Bachchan	56,375,0000 Units	100,000,000 Average Cost	78,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %
Customer Name	203,346,0000 Units	100,000,000 Average Cost	100,000,000 NAV	0.00 Market Value (INR)	545,250.00 Investment Amount (INR)	-53,955.00 Unrealized Gain/Loss	0.00 Realized Gain/Loss	-9.90 Gain/Loss %

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

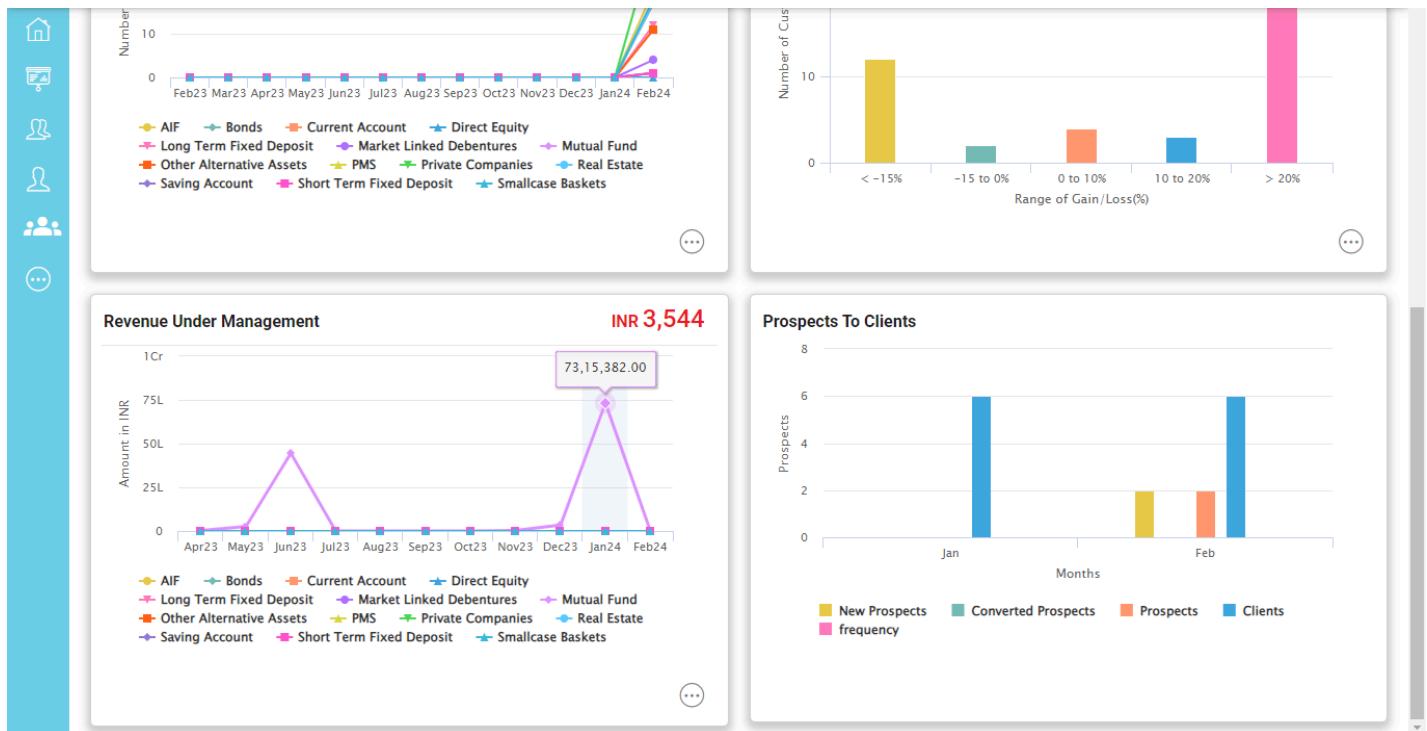
4.4.5. Revenue under Management

- 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
- AIF
- Bonds
- Current Account
- 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

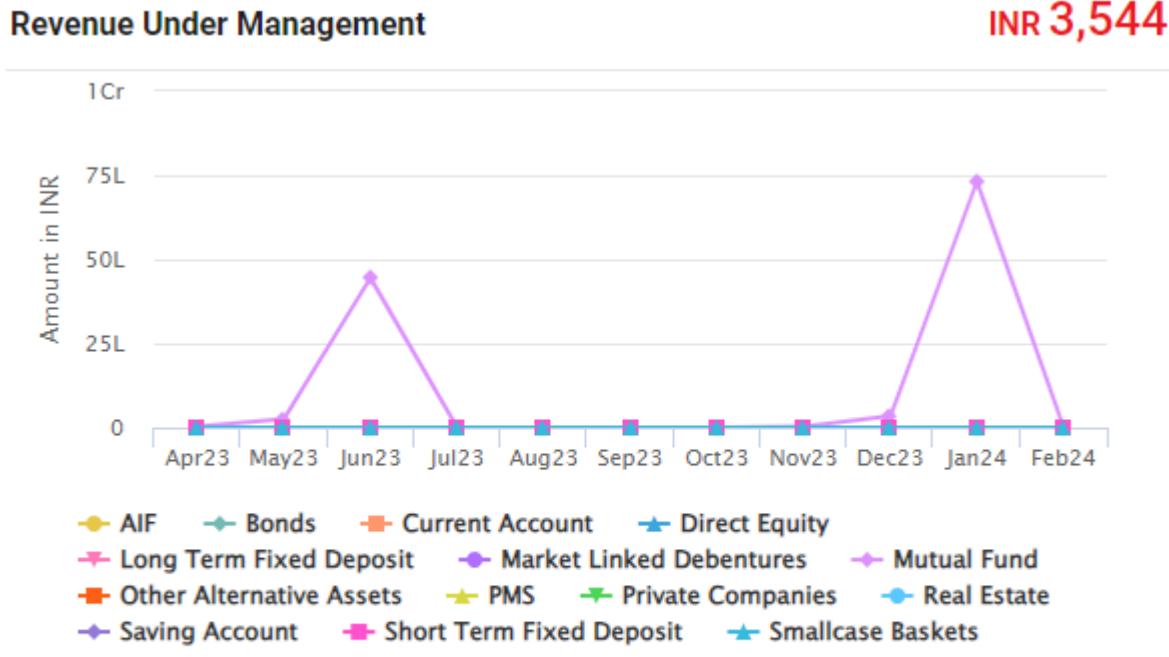
Note: These are as per the Product Hierarchy setup

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



Screen: Revenue under Management (Mouse Hover)

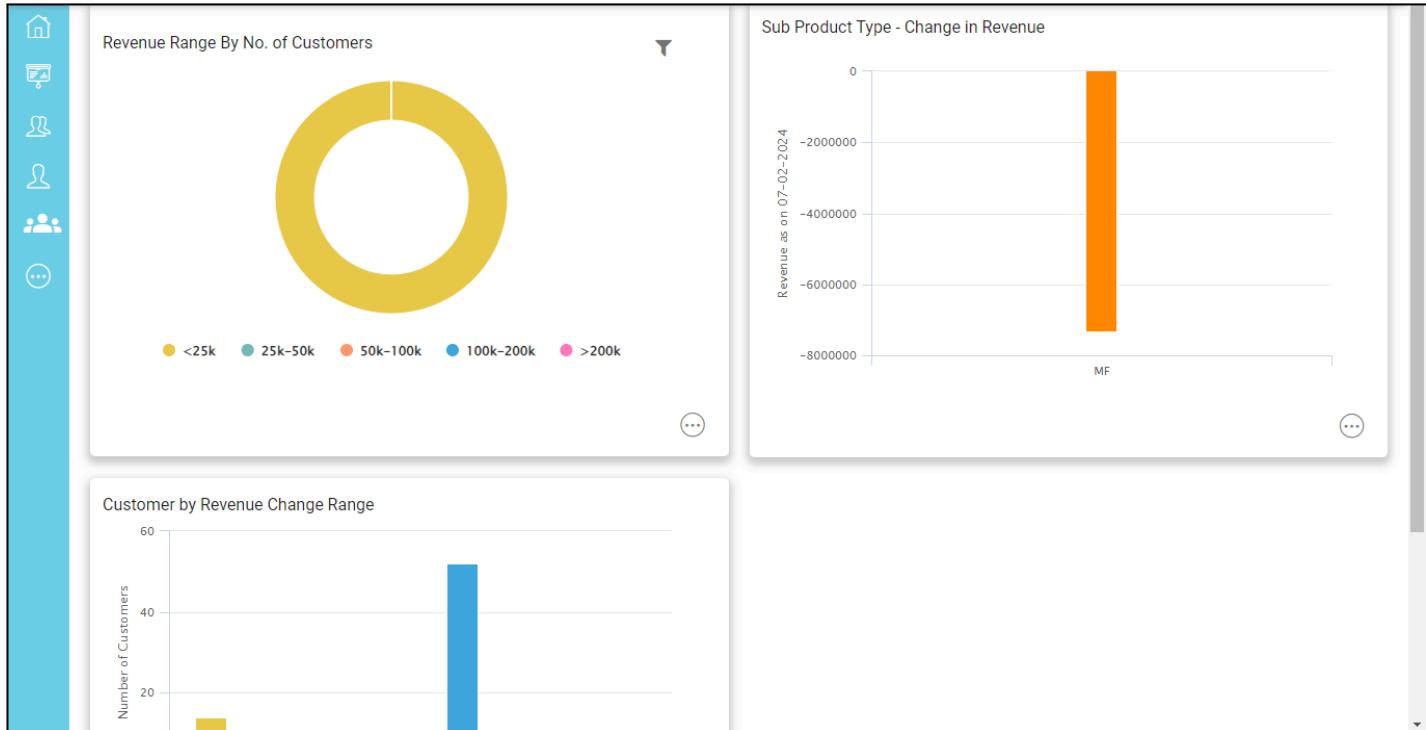
3. They can click on the “Three Dots” button to navigate to the L2 view



Screen: Revenue under Management (L1 View)

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

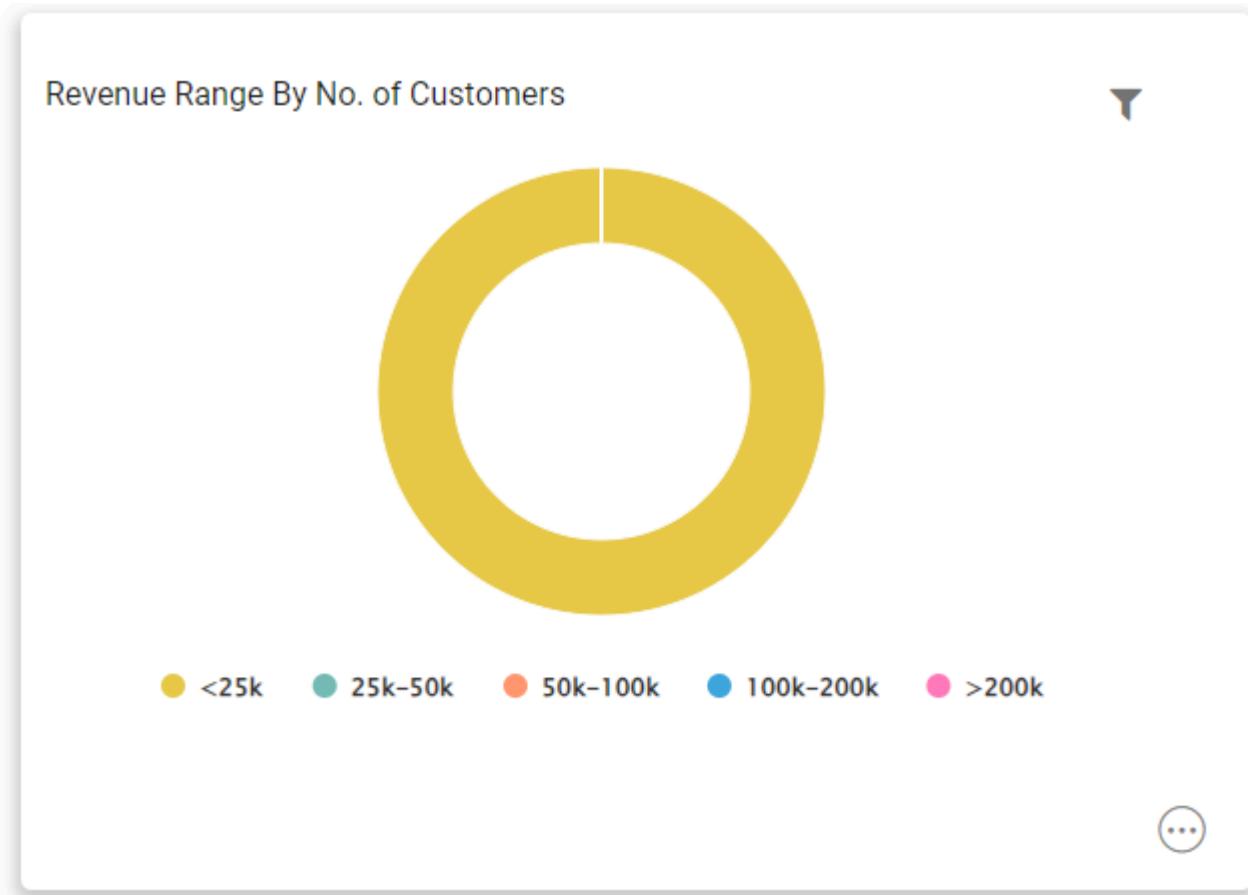
- Revenue Range By No. of Customers
- Sub Product Type – Change in Revenue
- Customer by Revenue Change Range



Screen: Revenue under Management (L2 View)

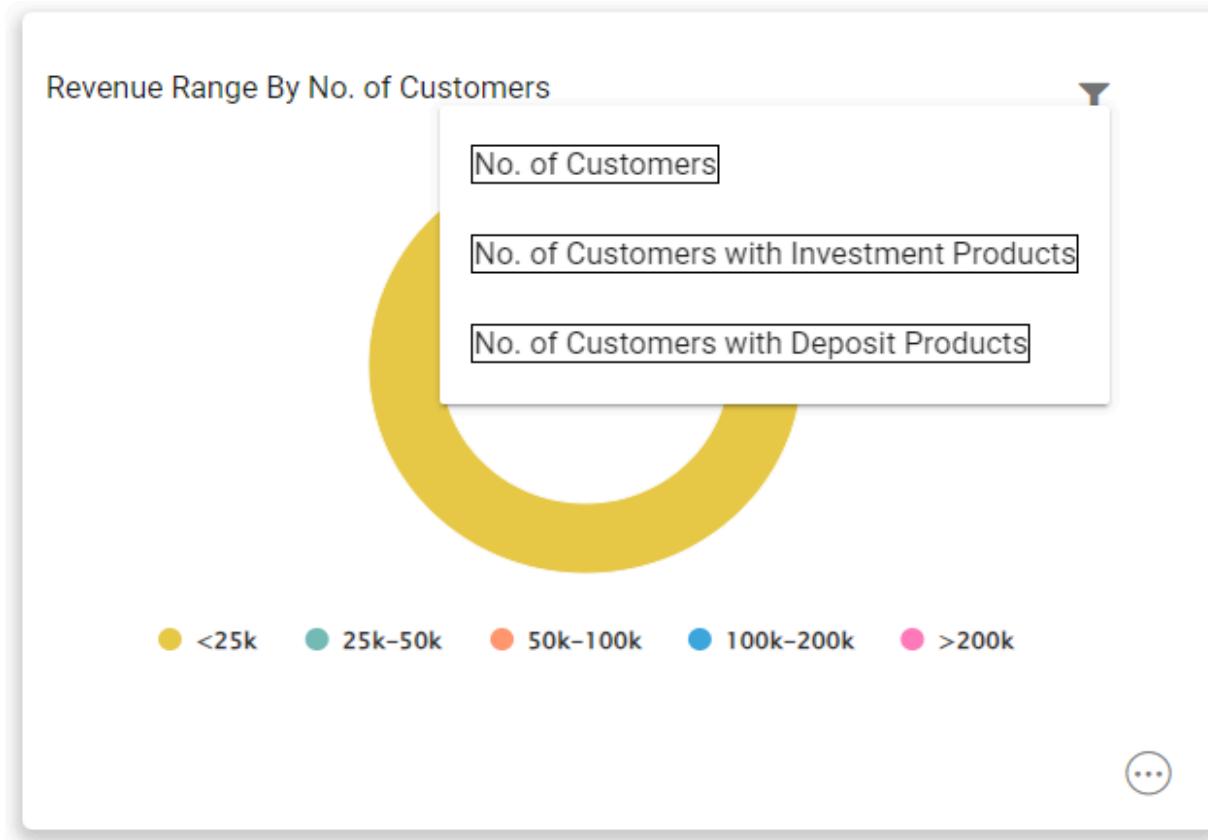
4.4.5.1. Revenue Range by No. of Customers

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

Revenue Range by no. of Customers

Customer Details (By Revenue Range)

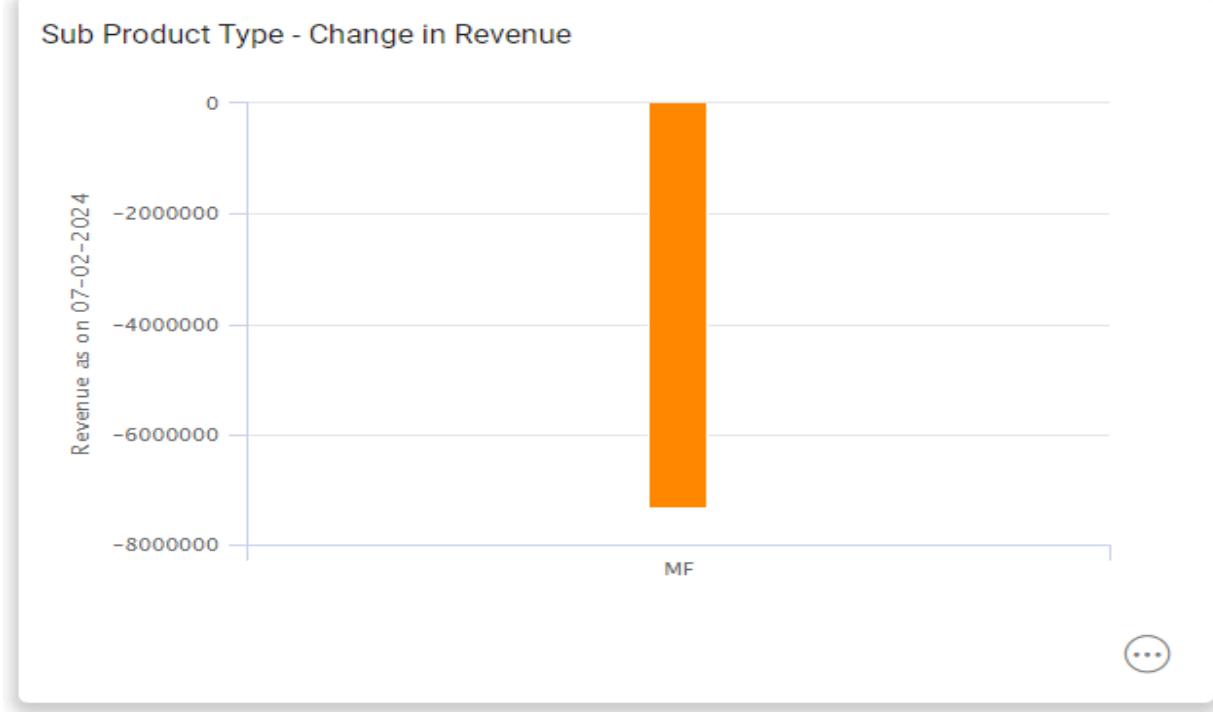
Search By Customer Name 

Income Range	Customer Name	Income as on 07-02-2024
>200k	KUMAR A	6,875,332.00
>200k	Prakash AA	391,244.00
50k-100k	Ayaan Kumar	51,600.00
<25k	Raghav A	750.00
<25k	Rajesh	0.00
<25k	Sourya C M	0.00

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

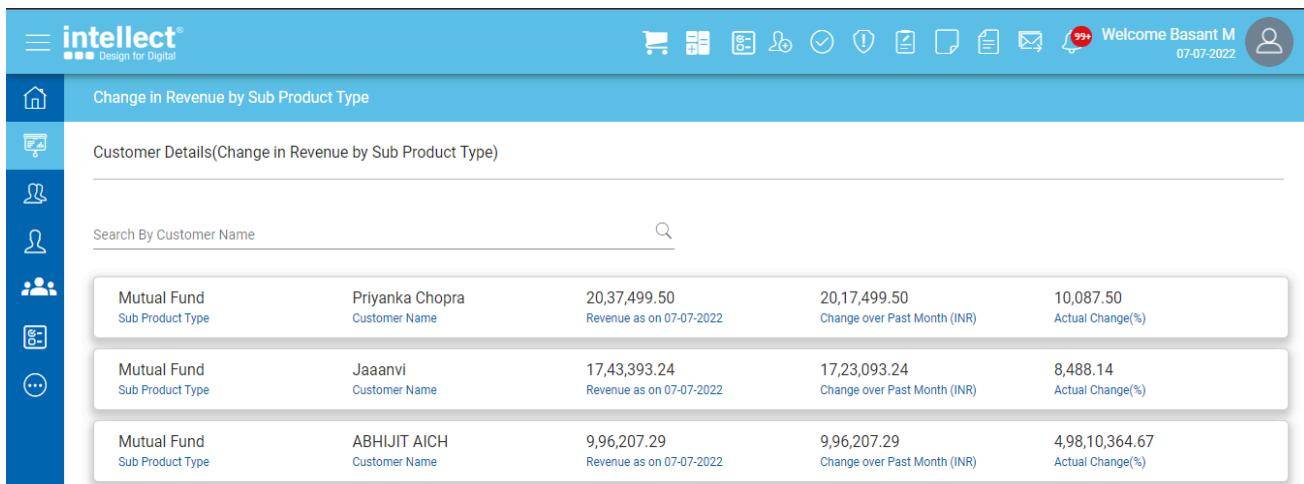
4.4.5.2. Sub Product Type – Change in Revenue

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 (%) = $\frac{\text{Revenue as on date for the Sub Product Type} - \text{Revenue as on last date of past month for the Sub Product}}{\text{Revenue as on last date of past month for the Sub Product}} * 100$

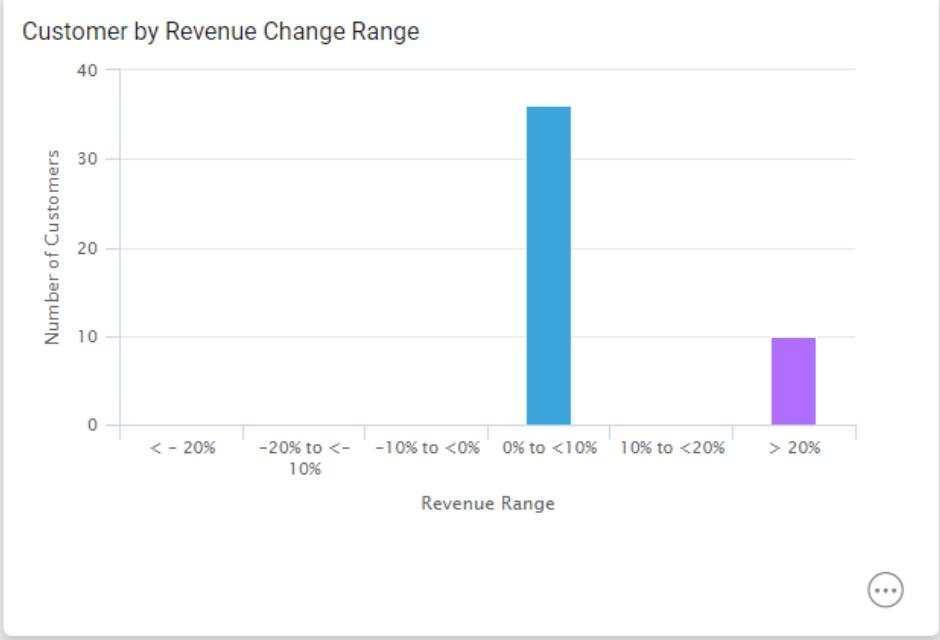


Mutual Fund Sub Product Type	Priyanka Chopra Customer Name	20,37,499.50 Revenue as on 07-07-2022	20,17,499.50 Change over Past Month (INR)	10,087.50 Actual Change(%)
Mutual Fund Sub Product Type	Jaaanvi Customer Name	17,43,393.24 Revenue as on 07-07-2022	17,23,093.24 Change over Past Month (INR)	8,488.14 Actual Change(%)
Mutual Fund Sub Product Type	ABHIJIT AICH Customer Name	9,96,207.29 Revenue as on 07-07-2022	9,96,207.29 Change over Past Month (INR)	4,98,10,364.67 Actual Change(%)

Screen: Change in Revenue by Product type L3 View

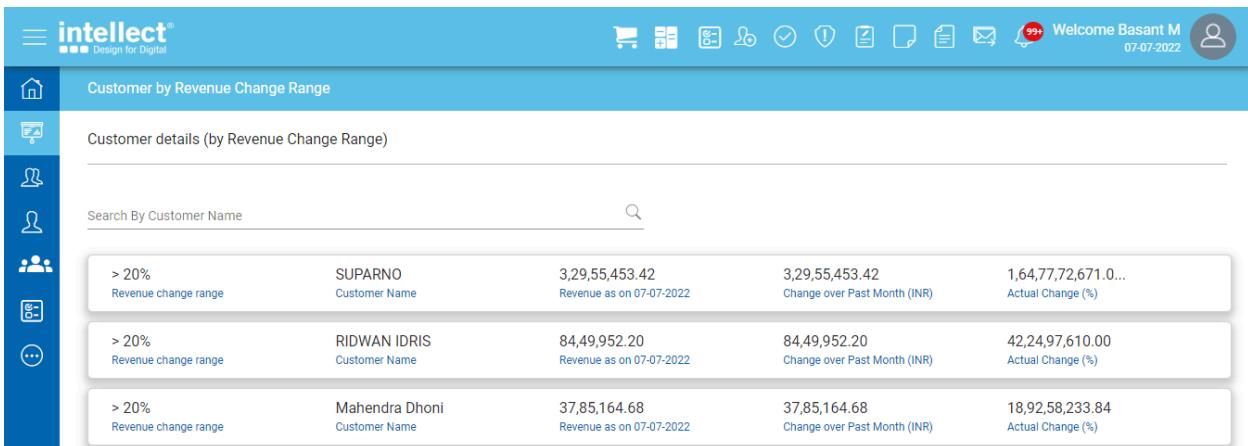
4.4.5.3. Customer by Revenue Change Range

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 (%)



Revenue change range	Customer Name	Revenue as on 07-07-2022	Change over Past Month (INR)	Actual Change (%)
> 20% Revenue change range	SUPARNO	3,29,55,453.42	3,29,55,453.42	1,64,77,72,671.0...
> 20% Revenue change range	RIDWAN IDRIS	84,49,952.20	84,49,952.20	42,24,97,610.00
> 20% Revenue change range	Mahendra Dhoni	37,85,164.68	37,85,164.68	18,92,58,233.84

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 Applicable	
2	Broadcast From Date	Displays the date from which this information is broadcasted	Display	No	String	Not Applicable	Not Applicable	
3	Market Outlook Description	Displays description of market related information that HQ/Branch publish to their RMs	Display	No	String	Not Applicable	Not Applicable	
4	Market Outlook From Date	Displays the date from which this information is published	Display	No	String	Not Applicable	Not Applicable	
Alerts Workspace								
1	Critical	Displays the critical alerts that needs to be prioritized	Display	No	Character	Not Applicable	Not Applicable	
2	Non Critical	Displays the non-critical alerts	Display	No	Character	Not Applicable	Not Applicable	
3	Alerts Category Filter	Selects the alerts category to filter the alerts	Select	No	Character	Not Applicable	1. Customer 2. Exceptional Cases 3. Forms Maintenance 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 Applicable	
5	Sort By	Selects the sorting criteria to sort the alerts by date	Select	No	Character	Not Applicable	Not Applicable	
6	Alert Date	Displays the date on which the alert is generated	Display	No	String	Not Applicable	Not Applicable	
7	Category	Displays the alerts category	Display	No	Character	Not Applicable	1. Customer 2. Exceptional Cases 3. Forms Maintenance 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 Applicable	
10	Name	Displays the name of the customer/RM for whom the alert is generated	Display	No	Character	Not Applicable	Not Applicable	
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 Applicable	
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 subordinates 2. Schedule - User is selected by default	
3	Title	Inputs the title of the notes	Input	Yes	String	Yes	Not Applicable	
4	Description	Inputs the description of the notes	Input	Yes	String	Yes	Not Applicable	
To Do - Add New To Do Activity								
1	Subject	Inputs the subject for the To Do activity	Input	Yes	String	Yes	Not Applicable	

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 Applicable	
4	Start Time	Selects the start time for the to do activity	Select	Yes	String	Yes	Not Applicable	
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 subordinates 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 Applicable	
8	Status	Selects the status of the to do activity	Select	Yes	Character	No	1. Completed 2. Started 3. To be Started	
9	Description	Inputs the description of the to do activity	Input	Yes	Character	No	Not Applicable	
Mail								
1	Mail Subject	Displays the mail subject	Display	No	String	Not Applicable	Not Applicable	
2	From	Displays the from address of the mail	Display	No	String	Not Applicable	Not Applicable	

3	Cc	Displays the Cc of the mail	Display	No	String	Not Applicable	Not Applicable	
4	Mail Body	Displays the mail body	Display	No	String	Not Applicable	Not Applicable	
5	Mail Date and Time	Displays the mail date and time	Display	No	String	Not Applicable	Not Applicable	

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 Applicable	
3	AUM as on date	Displays the AUM as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicable	

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 Applicable	
3	AUM as on date	Displays the AUM as on date for the customer for the product type	Display	No	Numeric	Not Applicable	Not Applicable	
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 Applicable	

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 Applicable	
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 Applicable	
3	AUM as on date	Displays the AUM as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicable	
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 Applicable	
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 Applicable	
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 Applicable	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicable	

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 Applicable	
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. Investment 4. Insurance and Deposit 5. Investment and Deposit 6. Insurance and Investment 7. Insurance, Investment and Deposit	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicable	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicable	
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 Applicable	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicable	
AUM by Currency (Level 3)								
1	Currency	Displays the Currency in which customer holds the AUM	Display	No	Character	Not Applicable	List of Currencies	
2	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicable	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicable	
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 Applicable	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicable	
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 Applicable	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicable	

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 Applicable	
3	Age	Displays the Age of the Customer	Display	No	Numeric	Not Applicable	Not Applicable	
4	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicable	

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 Applicable	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicable	
4	Investment Amount	Displays the Investment amount for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicable	

5	Market Value	Displays the Market Value for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicable	
6	Unrealized Gain/Loss	Displays the Unrealized gain/loss for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicable	
7	Realized Gain/Loss	Displays for Realized gain/loss for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicable	
8	Gain/Loss%	Displays for Unrealized Gain/Loss% for the customer (Unrealized Gain/Loss /Investment Amount)*100	Display	No	Numeric	Not Applicable	Not Applicable	

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 Applicable	
3	AUM as on date	Displays the AUM as on date of the customer	Display	No	Numeric	Not Applicable	Not Applicable	
4	Investment Amount	Displays the Investment amount for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicable	
5	Market Value	Displays the Market Value for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicable	
6	Unrealized Gain/Loss	Displays the Unrealized gain/loss for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicable	
7	Realized Gain/Loss	Displays for Realized gain/loss for the Customer holdings	Display	No	Numeric	Not Applicable	Not Applicable	
8	Gain/Loss%	Displays for Unrealized Gain/Loss% for the customer (Unrealized Gain/Loss /Investment Amount)*100	Display	No	Numeric	Not Applicable	Not Applicable	

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 Applicable	
2	Units	Display the Units held for the sub product	Not Applicable					
3	Average cost	Not Applicable at Sub Product Level	Not Applicable					
4	NAV	Not Applicable at Sub Product Level	Not Applicable					
5	Market Value	Displays the Market Value at the sub product level for all customers	Display	No	Numeric	Not Applicable	Not Applicable	
6	Investment Amount	Displays the Investment Amount at the sub product level for all customers	Display	No	Numeric	Not Applicable	Not Applicable	
6	Unrealized Gain/Loss	Displays the Unrealized Gain/Loss at the sub product level for all customers	Display	No	Numeric	Not Applicable	Not Applicable	
7	Realized Gain/Loss	Displays the Realized Gain/Loss at the sub product level for all customers	Display	No	Numeric	Not Applicable	Not Applicable	
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 Applicable	

Gain/Loss by Product Type (Level 3) - Customer Details

1	Customer Name	Displays the Customer Name	Display	No	Character	Not Applicable	Not Applicable	
2	Units	Display the Units held by the customer for the investment sub product	Display	No	Numeric	Not Applicable	Not Applicable	

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 Applicable	
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 Applicable	
3	Income as on date	Displays the Revenue as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicable	
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 Applicable	
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 Applicable	
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 Applicable	

3	Revenue as on date	Displays the Revenue as on date for the customer	Display	No	Numeric	Not Applicable	Not Applicable	
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 Applicable	
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 Applicable	

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