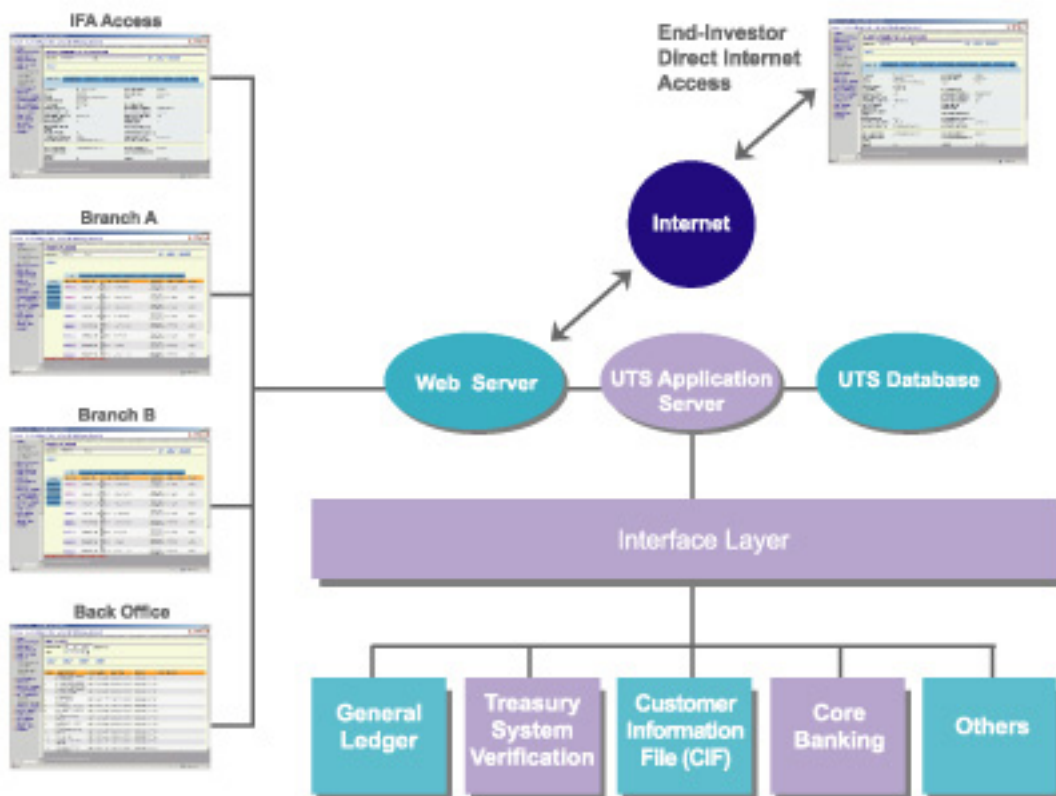# Unit Trust System (UTS)

Excel **Unit Trust System** (**UTS**) is a multi-tier application providing a multi-channel, scalable and comprehensive solution to banks and financial institutions offering unit trust services.

The Proven Unit Trust Management Software

The **UTS** system, taking advantage of its multi-tiered architecture and configurable workflow, provides for effective front-office transaction capture for both unit trust products and equity-linked instruments right through to back-office settlement while keeping detailed records of the customer portfolios and positions.

UTS is the result of an in-depth understanding of business processes and customers' expectations of investment products and is being used by a number of financial organizations with multi-country operation in this region.
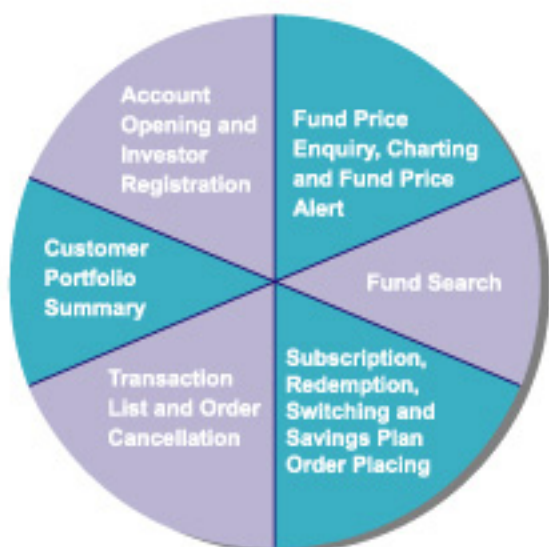
Functions & Features Highlights

- Designed to support distributors in performing efficient end-to-end unit trust operations.

- Comprehensive and function-rich system with strong infrastructure that automates all types of unit trust transactions, savings plan, corporate actions including dividend, fund merge, fund split, trailer fee, bulk switching and redemption, and maintains multiple customer portfolios and positions.

- Web-based unit trust solution that provides:
  - Open-ended and Closed-ended Funds information including Back-end Load Fund and Guarantee Fund, etc.
  - Flexible Promotion and Campaign Set-up for individual fund or a number of funds for a specified period of time
  - Flexible charge and rebate definition
  - Real-time online enquiries
  - Rich set of built-in MIS & Operation Reports
  - Data import/export
  - Interface to external third-party systems
  - Multi-company Support

Functional Overview

UTS addresses both the unit trust services via Internet (by the UTS WEB SERVICE) and the unit trust operations (by the UTS BACK-OFFICE).

Account Opening and Investor Registration

Fund Price Enquiry, Charting and Fund Price Alert

Customer Portfolio Summary

Fund Search

Transaction List and Order Cancellation

Subscription, Redemption, Switching and Savings Plan Order Placing
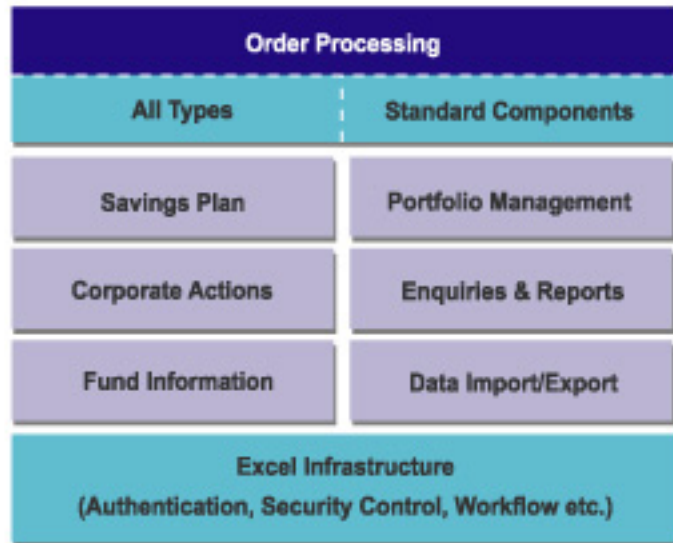
UTS WEB SERVICE

is designed for end-investors as well as relationship managers at the branches to access through Internet for placing unit trust orders and to make enquiries on funds, portfolios and positions.

Unit Trust System

UTS BACK-OFFICE

The core module of **UTS**, is function-rich and is backed by a robust infrastructure. It facilitates streamline of back office operations, while providing efficient support to the distribution network.

Order Processing	
All Types	Standard Components
Savings Plan	Portfolio Management
Corporate Actions	Enquiries & Reports
Fund Information	Data Import/Export
Excel Infrastructure (Authentication, Security Control, Workflow etc.)	

Other UTS Components

SECURITY MODULE Standard user ID, password and audit controls are available to ensure only authorized persons have the right level of access to the system, with option for maker and checker. All actions and details of the changes performed by the users in the system are logged in the audit trail.

SYSTEM INTEGRATION MODULE This module provides gateway for integration to other systems in different platforms via TCP/IP or MQ. It also integrates with other third-party gateways for connection to mainframe host system. Standard interfaces, such as customer, account, settlement instruction, general ledger entry, fund price, exchange rate, are available in the system. Information can be extracted or imported from other systems or third-party systems, including CIF, core banking system, CRM, treasury system, via online or batch interface whichever is applicable.

Unit Trust System

COMPONENTS	OPERATING SYSTEM/ HARDWARE	SOFTWARE
Workstation	Intel, 256MB	IE 5.5 or above Windows 2000 / XP
Web Server	Unix, Windows	Commonly Used Web Servers (e.g. Apache, iPlanet)
Application Server	Unix, Windows	J2EE Compliant Application Server (e.g. JRun, Weblogic, WebSphere)
Database Engine	Unix, Windows	JDBC Compliant Database (e.g. Oracle, MS SQL Server)
Protocol	Between Client and Servers	HTTP or HTTPS