

Business Processes and Use Cases

Transfers Market Practice

V2.2 Final

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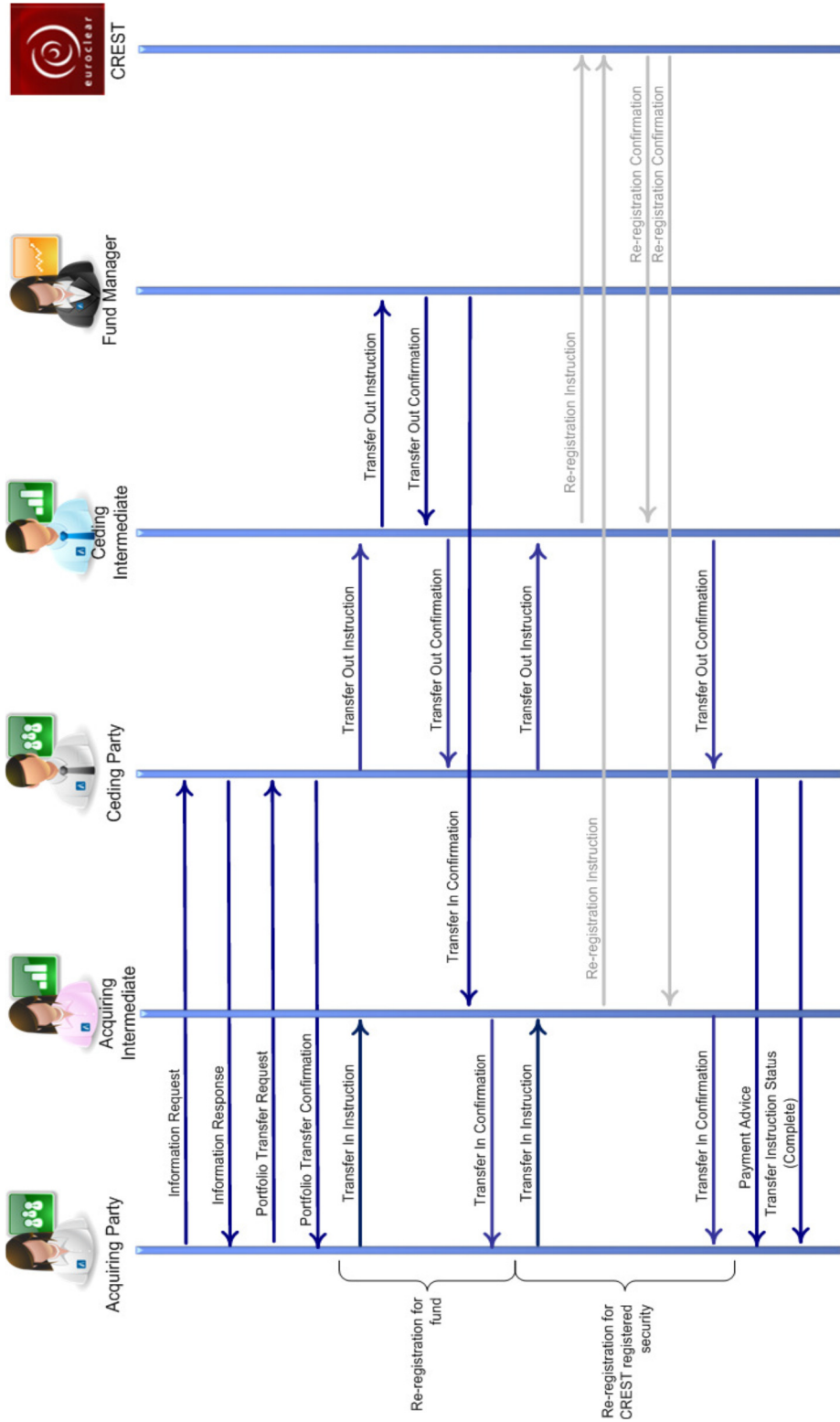
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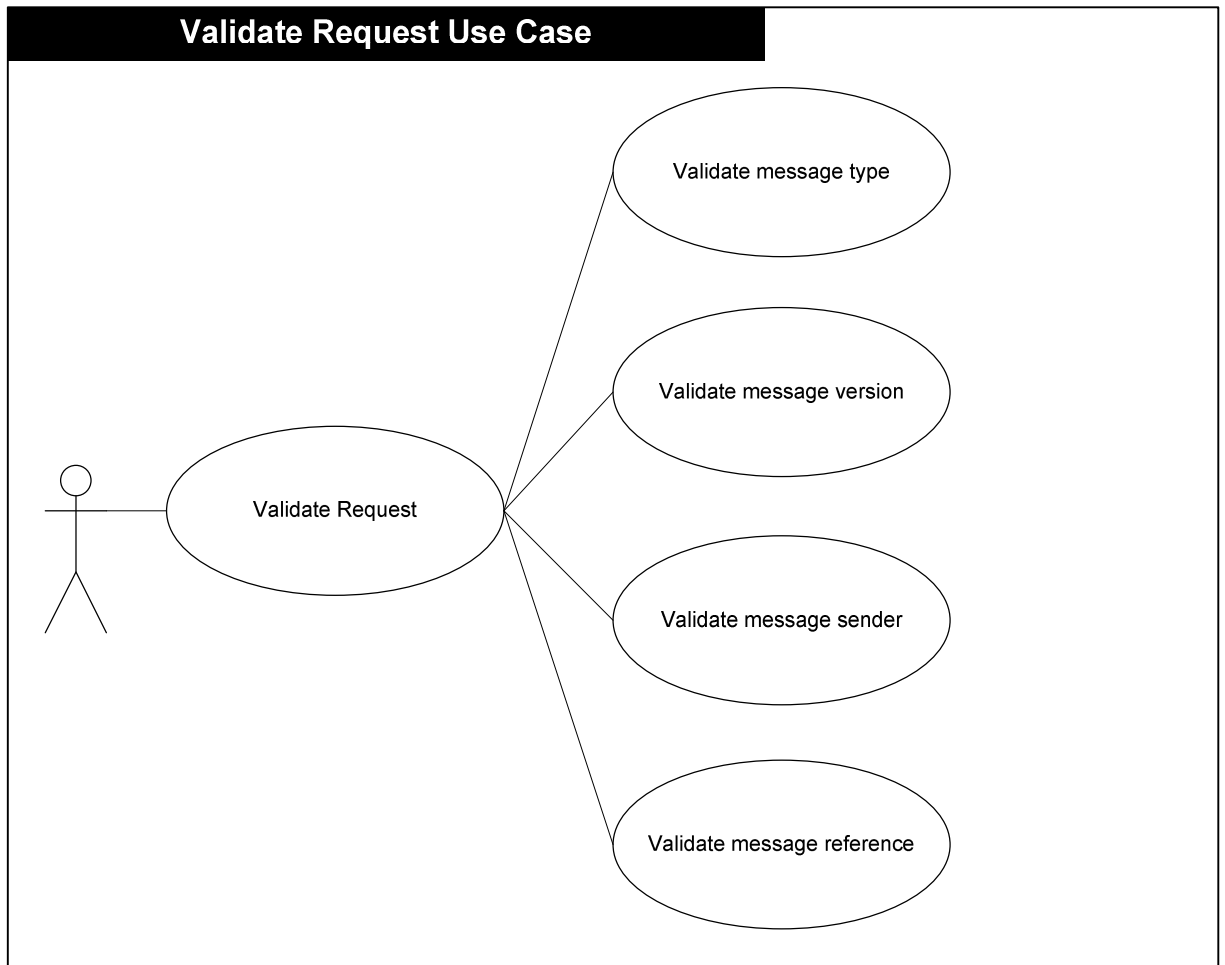
1 Introduction

This paper documents the information and process to be undertaken in order to respond to a information request received from an acquiring party.

2 Business Processes



2.1 Validate Request



2.1.1 Validate Message Type

Validate Message Type	
Pre Conditions	Message received from another party
Post Conditions	Message type validated and ready to check Version.
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The message type received is not an expected type for the receiving party
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the receipt of a message from another party. Validate that the type of message received is a supported message type.
Use Case Descriptions - Alternate Paths	

1a. The message type received is not an expected type for the receiving party	1. Invoke 'Reject request' use case with a rejection type of 'unexpected message type received'.
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Referenced Business Rules

Business Rule Name	Business Rule Description

2.1.2 Validate Message Version

Validate Message Version	
Pre Conditions	Message type validated as a supported message type.
Post Conditions	Message version validated and ready to check message sender.
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The message version received is not an expected version for the receiving party
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the validation of a message type from another party. Validate that the version of the message received is a supported message version.
Use Case Descriptions - Alternate Paths	
1a. The message version received is not an expected version for the receiving party	1. Invoke 'Reject request' use case with a rejection type of 'Invalid message version received'.

Referenced Business Rules

Business Rule Name	Business Rule Description

2.1.3 Validate Message Sender

Validate Message Sender	
Pre Conditions	Message version validated as a supported message version.
Post Conditions	Message sender validated and ready to validate message reference.
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The message sender is not identified as a recognised electronic counterparty by the receiver
Use Case Descriptions - Basic Path	

Basic Path	1. The use case begins following the validation of the message version received. Validate that the message sender is recognised as an electronic counterparty by the receiver.
Use Case Descriptions - Alternate Paths	
1a. The message sender is not identified as a recognised electronic counterparty by the receiver	1. There is no obligation to respond with a rejection message.

Referenced Business Rules

Business Rule Name	Business Rule Description

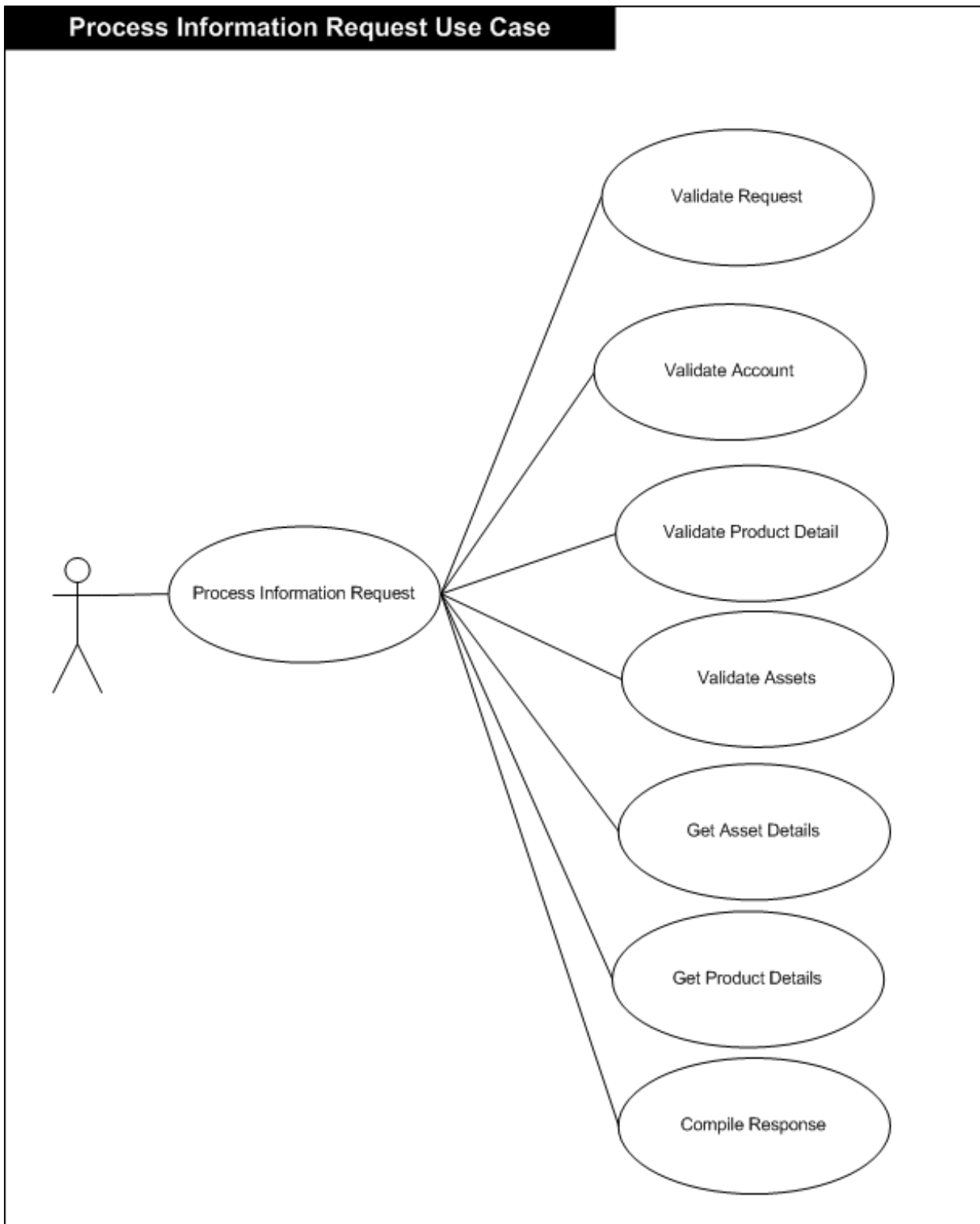
2.1.4 Validate Message Reference

Validate Message Reference	
Pre Conditions	Message sender validated as an electronically supported party.
Post Conditions	Message reference validated and ready to process message.
Scenarios	1. Basic Path <u>Alternate paths</u> 1a and 2a. The message reference received is a duplicate message reference
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the validation of the sender. Validate that the message reference received has not been received previously from the same party for the same message type. 2. Validate that the message reference has not been used by the same party at an earlier stage in the transfer process for a different transfer case.
Use Case Descriptions - Alternate Paths	
1a and 2a. The message reference received is a duplicate message reference	1. Invoke 'Reject request' use case with a rejection type of 'Duplicate message reference received'.

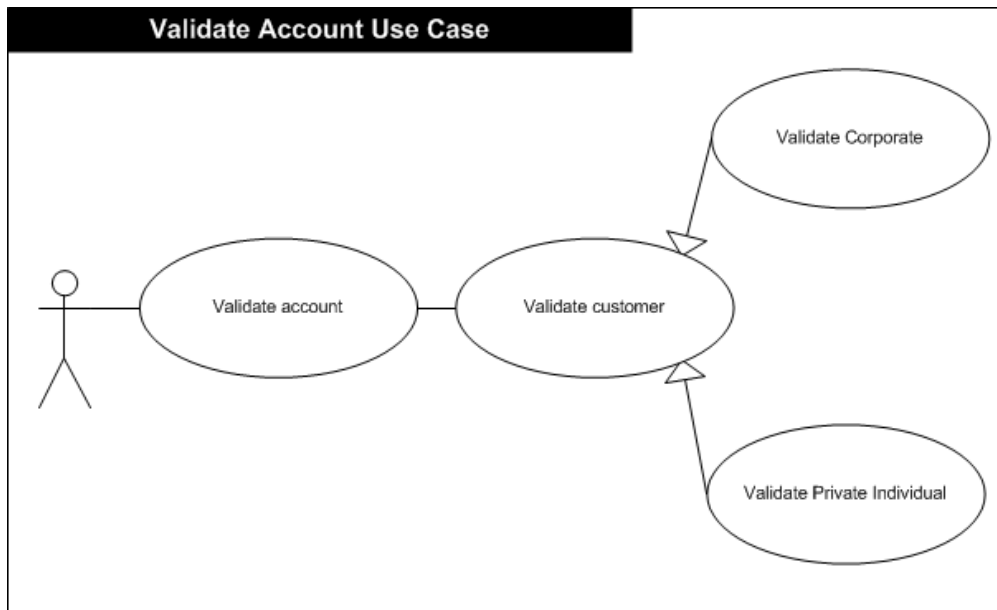
Referenced Business Rules

Business Rule Name	Business Rule Description

2.2 Process Information Request



2.2.1 Validate account



2.2.1.1 Validate Account

Validate Account	
Pre Conditions	Correctly formed discovery message received by Ceding party from a recognised and electronically enabled acquiring party
Post Conditions	Account validated and ok to continue to customer validation Account validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The account number is not found on ceding party system 2a. The designation received does not match the account
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the discovery message. Validate that the account number received is a valid account number within the ceding parties system. 2. Validate that the designation received within the discovery message matches that on the account (BR1)
Use Case Descriptions - Alternate Paths	
1a. Account number is not found on ceding party system	1. Invoke 'Reject request' use case with a rejection type of 'Account number cannot be found'.
2a. The designation received does not match the account	1. Invoke 'Reject request' use case with a rejection type of 'The designation received does not match that of the account requested'.

Referenced Business Rules

Business Rule Name	Business Rule Description
BR1	The designation is an optional field, if no designation is received and the account reference is an account with a designation then the request should be rejected.

2.2.1.2 Validate Customer

Validate Customer	
Pre Conditions	Message has passed account validation
Post Conditions	Customer validated and ok to continue to validate private individual or validate corporate customer Customer validation failed and rejected
Scenarios	<ol style="list-style-type: none"> 1. Basic Path <p><u>Alternate paths</u></p> <ol style="list-style-type: none"> 1a. The country code received does not match the country of residence of the customer 2a. The post code received does not match the post code of the customer 3a. The message received is for a corporate client
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the successful validation of the account. Validate that the country code received matches that of the account owner. 2. Validate that the post code received matches that of the account owner. (BR2) 3. Validate if the message is for a private individual, if it is then invoke ‘Validate Private Individual’ use case
Use Case Descriptions - Alternate Paths	
1a. The country code received does not match the country of residence of the customer	<ol style="list-style-type: none"> 1. Invoke ‘Reject request’ use case with a rejection type of ‘The country code received does not match that of the owning account holder’.
2a. The post code received does not match the post code of the customer	<ol style="list-style-type: none"> 1. Invoke ‘Reject request’ use case with a rejection type of ‘The post code received does not match that of the owning account holder’.
3a. The message received is for a corporate client	<ol style="list-style-type: none"> 1. Invoke ‘validate corporate client’ use case.

Referenced business rules

Business Rule Name	Business Rule Description
BR2	Postcode is mandatory for a UK country code, and must be validated if specified, format as per market practice clarification.

2.2.1.3 Validate corporate client

Validate Corporate Client	
Pre Conditions	Message has passed customer validation
Post Conditions	Corporate client validated and ok to continue to validate product Corporate client validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Corporate name received does not match that of the account holder
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the customer validation use case. Validate that the corporate name received matches that of the account owner. (BR3, BR4)
Use Case Descriptions - Alternate Paths	
1a. The corporate name received does not match that of the account holder	1. Invoke 'Reject request' use case with a rejection type of 'The Corporate name received does not match that of the owning account holder'.

Referenced Business Rules

Business Rule Name	Business Rule Description
BR3	Corporate name is mandatory and must be validated by the ceding party. Requests/instructions may be rejected where no exact match is found for the above fields but may alternatively be subjected to some more relaxed matching process (perhaps manual checking by admin staff) according to ceding party policies and accepted. The ceding party would accept liability for a mismatch in this case.
BR4	Where the length of the name of the account holder exceeds the maximum length available within the message (35 characters) then the name should be truncated and not abbreviated.

2.2.1.4 Validate private individual

Validate Private Individual	
Pre Conditions	Message has passed customer validation
Post Conditions	Private individual validated and ok to continue to validate product Private Individual validation failed and rejected

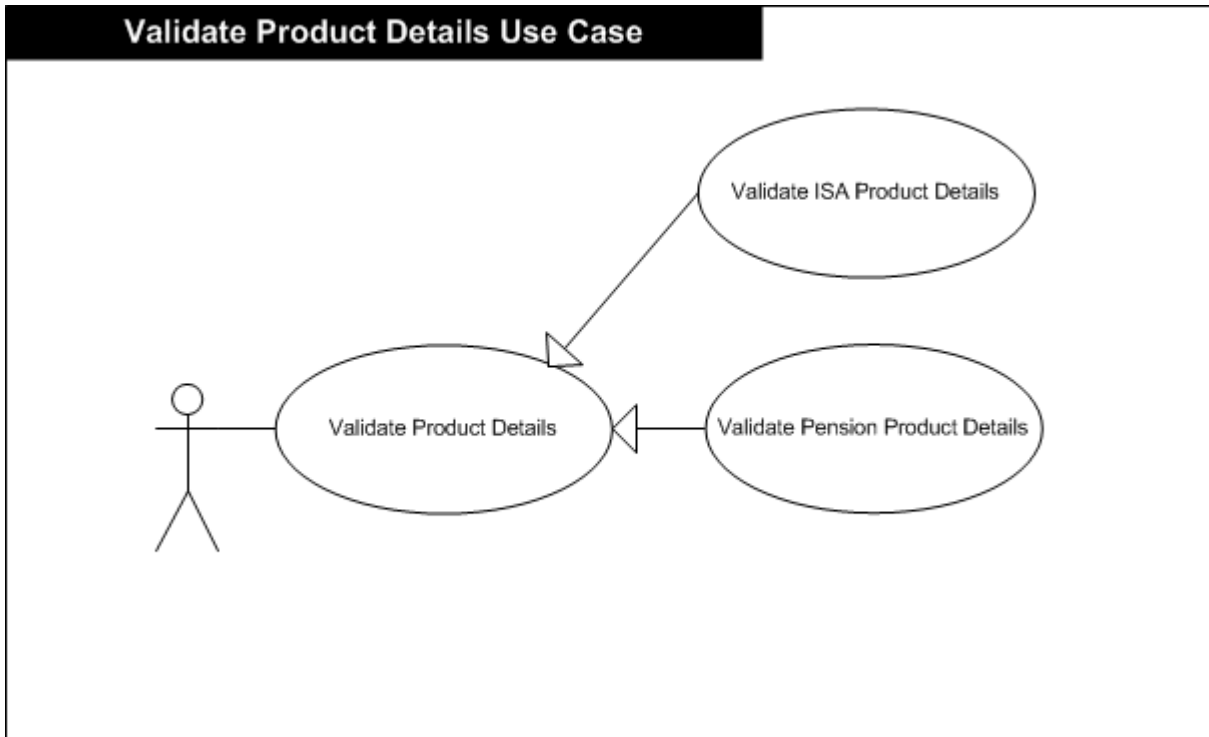
Scenarios	<p>1. Basic Path</p> <p><u>Alternate paths</u></p> <p>1a. The forename received does not match that of the account holder</p> <p>2a. The Surname received does not match that of account holder</p> <p>3a. The Date of Birth received does not match that of the account holder</p> <p>4a. National Insurance Number does not match that of the account holder</p>
Use Case Descriptions - Basic Path	
Basic Path	<p>1. The use case begins following the successful validation of the customer validation use case. Validate that the forename received matches that of the account owner. (BR4, BR5)</p> <p>2. Validate that the surname received matches that of the account owner. (BR4)</p> <p>3. Validate the Date of Birth received matches that of the account holder (BR6)</p> <p>4. Validate the National Insurance Number (BR7 and BR8)</p>
Use Case Descriptions - Alternate Paths	
1a. The forename received does not match that of the account holder	<p>1. Invoke 'Reject request' use case with a rejection type of 'The Forename received does not match that of the owning account holder'.</p>
2a. The Surname received does not match that of the account holder	<p>1. Invoke 'Reject request' use case with a rejection type of 'The surname received does not match that of the owning account holder'.</p>
3a. The Date of Birth received does not match that of the account holder	<p>1. Invoke 'Reject request' use case with a rejection type of 'The Date of Birth received does not match that of the owning account holder'.</p>
4a. The National Insurance Number received does not match that of the account holder	<p>1. Invoke 'Reject request' use case with a rejection type of 'The National Insurance Number received does not match that of the owning account holder'.</p>

Referenced Business Rules

Business Rule Name	Business Rule Description
BR5	The Forename is a mandatory field and should only include the clients first name and should not include any middle names.
BR4	Where the length of the name of the account holder exceeds the maximum length available within the message (35 characters) then the name should be truncated and not abbreviated.
BR6	The Date Of Birth should only be validated by the ceding party if one is held in their system.

BR7	The National Insurance Number is not a mandatory field for General Investment Account transfers (but is mandatory for all other account types), however if received then should match that of the owning account holder.
BR8	The National Insurance Number should be formatted as per the HMRC definition. http://www.hmrc.gov.uk/manuals/nimmanual/nim39110.htm

2.2.2 Validate Product Details



2.2.2.1 Validate product details

Validate Product Details	
Pre Conditions	Message has passed Account validation
Post Conditions	Product validated and ok to process validate assets or to get asset details Product Details validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The client does not hold a GIA 1b. The product received is an ISA Product 1c. The product received is a Pension Product
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the account details. Validate if the request is for a GIA and that the referenced account holds a GIA
Use Case Descriptions - Alternate Paths	
1a. The client does not hold a GIA product	1. Invoke 'Reject request' use case with a rejection type of 'Client does not hold a General Investment Account'.
1b. The request is for an ISA product	1. Invoke ' Validate ISA Product Details ' use case.

1c. The request is for a Pension Product	1. Invoke ' Validate Pension Product Details ' use case.
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Referenced Business Rules

Business Rule Name	Business Rule Description

2.2.2.2 Validate ISA Product Details

Validate ISA Product Details	
Pre Conditions	Message has passed Account validation
Post Conditions	ISA Product validated and ok to process validate assets or to get asset details ISA Product Details validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The client does not hold an ISA product 1b. The client does not hold the relevant ISA tax year
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the account details. Validate that the client holds the relevant ISA tax year as per the request. (BR9)
Use Case Descriptions - Alternate Paths	
1a. The client does not hold an ISA product	1. Invoke 'Reject request' use case with a rejection type of 'Client does not hold an ISA'.
1b. The client does not hold the relevant ISA tax year	1. Invoke 'Reject request' use case with a rejection type of 'Client does not hold the relevant Tax Year as per the request'.

Referenced Business Rules

Business Rule Name	Business Rule Description		
BR9	The following ISA tax year validation should be performed		
	Request	Client holds	Outcome
	Both	Current only	Process
	Both	Previous only	Process
	Both	Both	Process
	Current only	Current only	Process
	Previous only	Previous only	Process
	Previous	Current	Reject
	Current	Previous	Reject

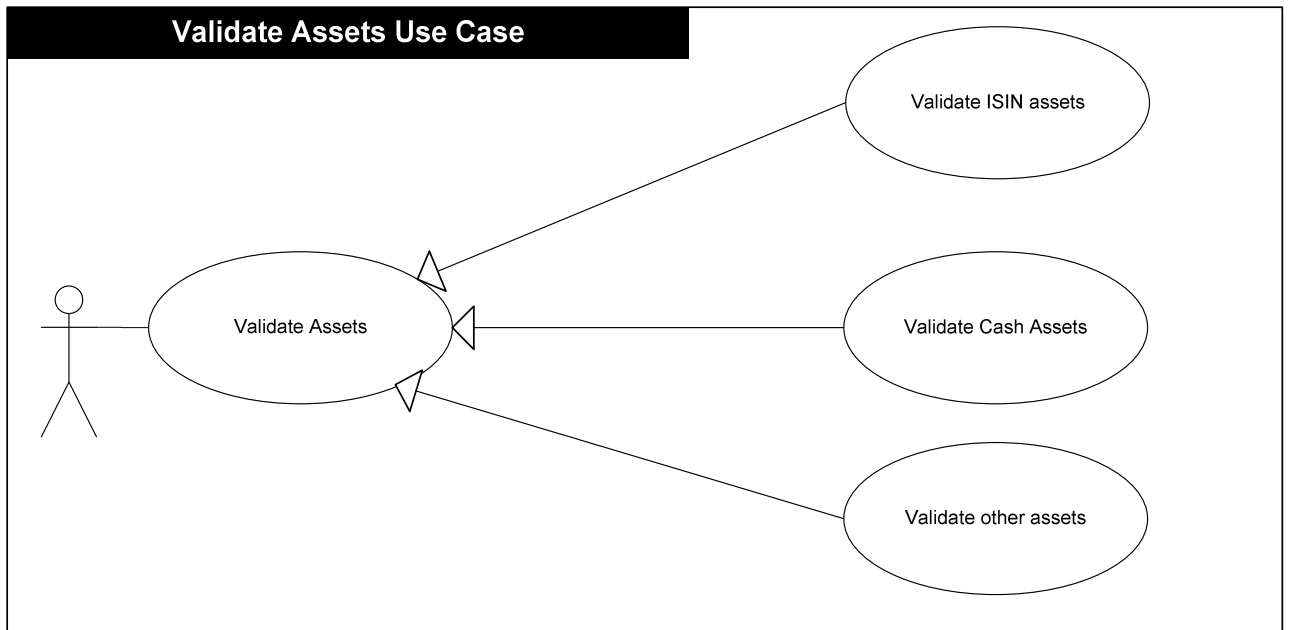
2.2.2.3 Validate Pension Product Details

Validate Pension Product Details	
Pre Conditions	Message has passed Account validation
Post Conditions	Pension Product validated and ok to process validate assets or to get asset details Pension Product Details validation failed and rejected
Scenarios	<ol style="list-style-type: none"> 1. Basic Path <u>Alternate paths</u> <ol style="list-style-type: none"> 1a. The policy id is not owned by the customer 2a. The acquiring scheme fails the PSTR validation 3a. Scope of pension transfer failed
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the successful validation of the account details. Validate that the policy id received matches that owned by the customer 2. Undertake necessary due diligence of the acquiring scheme as identified by the PSTR 3. Validate the pension scheme type received in the message (BR23) 4. Validate that the scope of the transfer is available within the clients account (BR10, BR11)
Use Case Descriptions - Alternate Paths	
1a. The policy id is not owned by the customer	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'The client does not own the policy requested'.
2a. The acquiring scheme fails the PSTR validation	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'The transfer request has failed PSTR validation'.
3a. Scope of pension transfer failed	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'The client does not hold the relevant scope within the pension to complete the transfer'.

Referenced business rules

Business Rule Name	Business Rule Description																					
BR23	<p>The following scheme types are applicable -</p> <ul style="list-style-type: none"> Group Pension Plan Occupational DC Personal Pension Retirement annuity Section 32 Section 32a SIPP SASS Individual Stakeholder Group Stakeholder Group SIPP EPP FSAVC AVC 																					
BR10	<p>The following pension transfer scope validation should be followed</p> <table border="1" data-bbox="507 869 1233 1160"> <thead> <tr> <th data-bbox="507 869 746 913">Request</th> <th data-bbox="751 869 1007 913">Client holds</th> <th data-bbox="1011 869 1233 913">Outcome</th> </tr> </thead> <tbody> <tr> <td data-bbox="507 920 746 954">Full</td> <td data-bbox="751 920 1007 954">N/A</td> <td data-bbox="1011 920 1233 954">Process all</td> </tr> <tr> <td data-bbox="507 960 746 994">Crystallised</td> <td data-bbox="751 960 1007 994">Crystallised</td> <td data-bbox="1011 960 1233 994">Process</td> </tr> <tr> <td data-bbox="507 1001 746 1034">Uncrystallised</td> <td data-bbox="751 1001 1007 1034">Uncrystallised</td> <td data-bbox="1011 1001 1233 1034">Process</td> </tr> <tr> <td data-bbox="507 1041 746 1075">Crystallised</td> <td data-bbox="751 1041 1007 1075">Uncrystallised only</td> <td data-bbox="1011 1041 1233 1075">Reject</td> </tr> <tr> <td data-bbox="507 1081 746 1115">Uncrystallised</td> <td data-bbox="751 1081 1007 1115">Crystallised only</td> <td data-bbox="1011 1081 1233 1115">Reject</td> </tr> <tr> <td data-bbox="507 1122 746 1155">Tranche specific</td> <td colspan="2" data-bbox="751 1122 1233 1155" style="text-align: center;">BR2</td> </tr> </tbody> </table>	Request	Client holds	Outcome	Full	N/A	Process all	Crystallised	Crystallised	Process	Uncrystallised	Uncrystallised	Process	Crystallised	Uncrystallised only	Reject	Uncrystallised	Crystallised only	Reject	Tranche specific	BR2	
Request	Client holds	Outcome																				
Full	N/A	Process all																				
Crystallised	Crystallised	Process																				
Uncrystallised	Uncrystallised	Process																				
Crystallised	Uncrystallised only	Reject																				
Uncrystallised	Crystallised only	Reject																				
Tranche specific	BR2																					
BR11	<p>If the client does not hold the specific tranche requested then request should be rejected.</p>																					

2.2.3 Validate Assets



2.2.3.1 Validate Assets

Validate Asset instruction	
Pre Conditions	Message has passed Product validation
Post Conditions	Asset validated and ok to process discovery message Asset validation failed and rejected
Scenarios	<ol style="list-style-type: none"> 1. Basic Path <u>Alternate paths</u> <ol style="list-style-type: none"> 1a. No specific asset requested 1b. The asset type requested is not held within the product 2a. The asset received is Cash 2b. The asset received is other
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the successful validation of the product. If a specific asset has been requested then validate that each requested asset is held within the specified product. 2. If the asset type is identified by an ISIN (Fund or CREST) then invoke 'validate ISIN assets' use case
Use Case Descriptions - Alternate Paths	
1a. No specific asset requested	<ol style="list-style-type: none"> 1. If no specific assets are requested then go to 'Get assets' use case
1b. The asset type requested is not held within the product	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'The asset type requested is not held within the product'.

2a. The request is for cash	1. Invoke ' Validate cash asset ' use case.
2b. The request is for other asset type	1. Invoke ' Validate other asset ' use case.

Referenced Business Rules

Business Rule Name	Business Rule Description

2.2.3.2 Validate ISIN Assets

Validate ISIN Assets	
Pre Conditions	Message has passed Product validation
Post Conditions	Asset validated and ok to process discovery message Asset validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The ISIN received is not held in the product
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the product. Validate that the asset is held within the specified product as a fund or CREST security.
Use Case Descriptions - Alternate Paths	
1a. The ISIN received is not held in the product as a fund	1. Invoke 'Reject request' use case with a rejection type of 'The ISIN requested is not held within the product'.

Referenced Business Rules

Business Rule Name	Business Rule Description

2.2.3.3 Validate Cash Assets

Validate Cash Assets	
Pre Conditions	Message has passed Product validation
Post Conditions	Asset validated and ok to process discovery message Asset validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The currency Received is not correct for the cash held within the product
Use Case Descriptions - Basic Path	

Basic Path	1. The use case begins following the successful validation of the asset within product. Validate that the currency is correct for the cash held within the product. (BR12)
Use Case Descriptions - Alternate Paths	
1a. The currency received is not correct	1. Invoke 'Reject request' use case with a rejection type of 'Incorrect currency type requested for cash held within account'.

Referenced Business Rules

Business Rule Name	Business Rule Description
BR12	The currency must be in GBP.

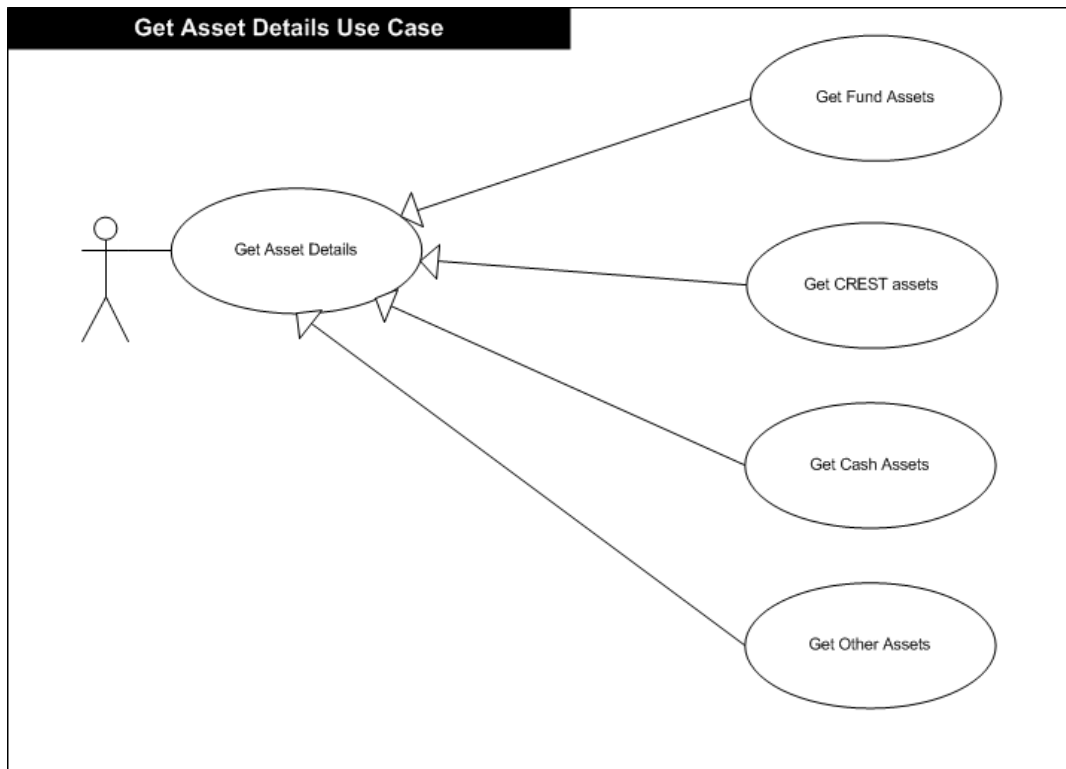
2.2.3.4 Validate Other Assets

Validate Other Assets	
Pre Conditions	Message has passed Product validation
Post Conditions	Asset validated and ok to process discovery message Asset validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The specified 'Other asset' type is not held within the product 2a. The description of the 'Other asset' is not in line with that held in the product
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the asset within product. Validate that the 'Other asset' type is correct for the product. 2. Validate that the description of the 'Other asset' is correct.
Use Case Descriptions - Alternate Paths	
1a. The 'Other asset' type is not correct	1. Invoke 'Reject request' use case with a rejection type of 'The asset type requested is not held within the product'.
2a. The description of the 'Other asset' is not correct	1. Invoke 'Reject request' use case with a rejection type of 'The description of the asset type requested is not correct'.

Referenced Business Rules

Business Rule Name	Business Rule Description

2.2.4 Get Asset Details



2.2.4.1 Get Asset Details

Get Assets Details	
Pre Conditions	Message has passed validation
Post Conditions	Asset details retrieved and ready to populate in response message
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The asset received is a CREST registered asset 1b. The asset received is Cash 1c. The asset received is other
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the message. If the product holds an asset type of fund then Invoke ' Get Fund Assets ' use case
Use Case Descriptions - Alternate Paths	
1a. The request is for a CREST registered asset	1. Invoke ' Get CREST registered asset ' use case.
1b. The request is for cash	1. Invoke ' Get cash asset ' use case.
1c. The request is for other asset type	1. Invoke ' Get other asset ' use case.

Referenced Business Rules

Business Rule Name	Business Rule Description

2.2.4.2 Get Fund Assets (BR13)

Get Fund Assets	
Pre Conditions	Message has passed validation
Post Conditions	Details of asset retrieved and ready to populate in response
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Get specific list of validated assets
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful completion of validation of the request. Get the ISIN, Current total unit amount (BR14) for all fund assets within the specified product. 2. Get the identification of the place of settlement for the fund. (BR15)
Use Case Descriptions - Alternate Paths	
1a. Get specific list of validated assets	1. Get the ISIN, Current unit amount for all requested assets within the specified product. 2. Continue to basic path step 2

Referenced business rules

Business Rule Name	Business Rule Description
BR13	All funds should be identified with the 'Get Fund Assets' use case even where settled on CREST (unless previously agreed between the 2 parties).
BR14	The current total unit amount to a maximum of 6 decimal places and should be the current settled position of the units within the product at the point of processing.
BR15	This should be the BIC for the Fund Manager and where not available should be the Fund Manager name.

2.2.4.3 Get CREST Assets (BR16)

Get CREST Assets	
Pre Conditions	Message has passed validation
Post Conditions	Details of asset retrieved and ready to populate in response
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Get specific list of validated assets
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful completion of validation of the request. Get the ISIN, Current total unit amount (BR14) for all assets within the specified product.

Use Case Descriptions - Alternate Paths	
1a. Get specific list of validated assets	1. Get the ISIN, Current unit amount for all requested assets within the specified product.

Referenced business rules

Business Rule Name	Business Rule Description
BR16	Any fund assets settled on CREST should be included in the response as Fund Assets and not as CREST registered securities (unless previously agreed between the 2 parties)
BR14	The current total unit amount to a maximum of 6 decimal places and should be the current settled position of the units within the product at the point of processing.

2.2.4.4 Get Cash Assets

Get CASH Assets	
Pre Conditions	Message has passed validation
Post Conditions	Details of asset retrieved and ready to populate in response
Scenarios	1. Basic Path <u>Alternate paths</u> N/A
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful completion of validation of the request. Get the current cash balance (BR17) within the specified product.
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description
BR17	The cash amount should be in GBP currency to 2 decimal places.

2.2.4.5 Get Other Assets

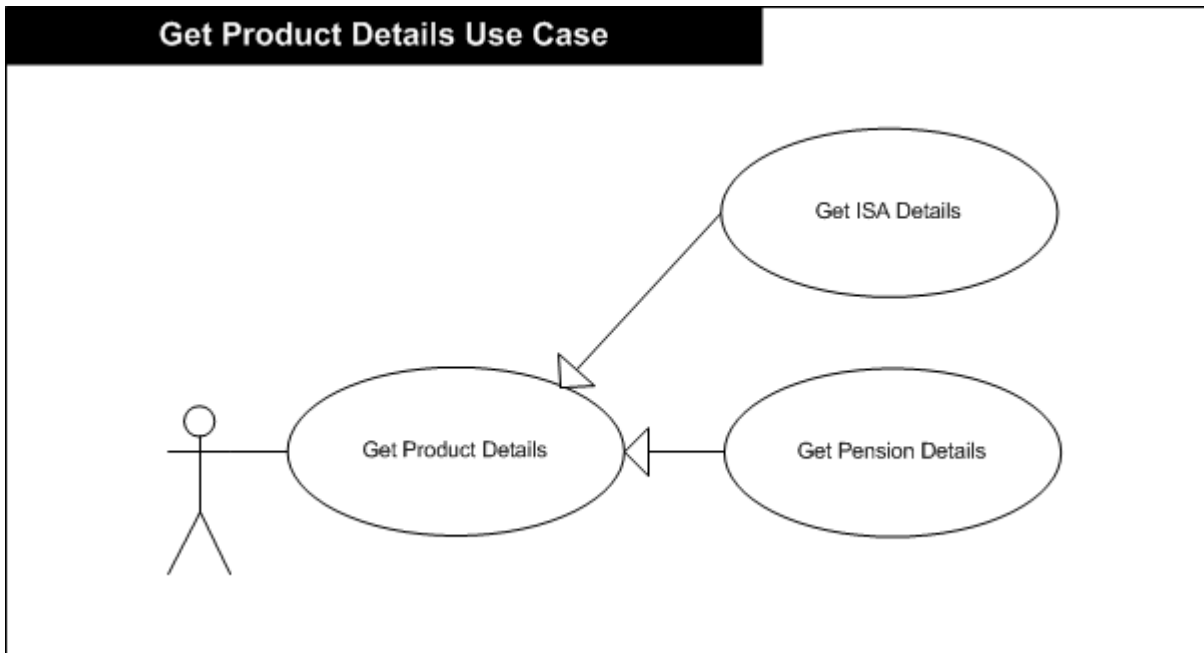
Get OTHER Assets	
Pre Conditions	Message has passed validation
Post Conditions	Details of asset retrieved and ready to populate in response
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Get specific list of validated assets
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful completion of validation of the request. Get the 'Other asset' type (BR18), Description (BR19), latest valuation (BR20, BR21) including date.
Use Case Descriptions - Alternate Paths	

1a. Get specific list of validated assets	1. Get specific list of requested assets and only return requested assets
---	---

Referenced business rules

Business Rule Name	Business Rule Description
BR18	The list of other asset types available within the messaging is - 'CashOnDeposit' 'OtherEquity' 'OtherFund' 'TrusteeInvestmentPlan' 'InvestmentBond' 'OffshoreBond' 'Property' 'MoveableChattels' 'DiscretionaryInvestmentManager' 'Other'
BR19	Only characters within the basic Latin character set are permitted.
BR20	Response for valuation can be in any currency supported by the ISO4217 Currency Codes.
BR21	Last valuation stored in the system for that asset, there is no requirement to re value the asset.

2.2.5 Get Product Details



2.2.5.1 Get Product Details

Get Product Details	
Pre Conditions	The asset details have been successfully populated
Post Conditions	Product details retrieved and ready to populate in response Message compiled and sent
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The product details are for a current year ISA Product 1b. The product details are for a Pension Product
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful population of the asset details. Get the Nominal ownership details of the product held where the product is a GIA.
Use Case Descriptions - Alternate Paths	
1a. The request is for details of an ISA product	1. Invoke ' Get ISA Product Details ' use case.
1b. The request is for details of a Pension Product	1. Invoke ' Get Pension Product Details ' use case.

Referenced Business Rules

Business Rule Name	Business Rule Description

2.2.5.2 Get ISA Details

Get ISA Product Details	
Pre Conditions	Successful population of the asset details
Post Conditions	Product details retrieved and ready to populate in response Message compiled and sent
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The ISA is not a current year ISA
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful population of the asset details. Validate the ISA is a current year ISA. 2. Get the following details <ol style="list-style-type: none"> a. Date of first subscription for the current tax year b. Total subscription for current tax year (BR17)
Use Case Descriptions - Alternate Paths	
1a. The ISA is not a current year ISA	1. 'Get Product Details' use case ends.

Referenced business rules

Business Rule Name	Business Rule Description
BR17	The cash amount should be in GBP currency to 2 decimal places.

2.2.5.3 Get Pension Details

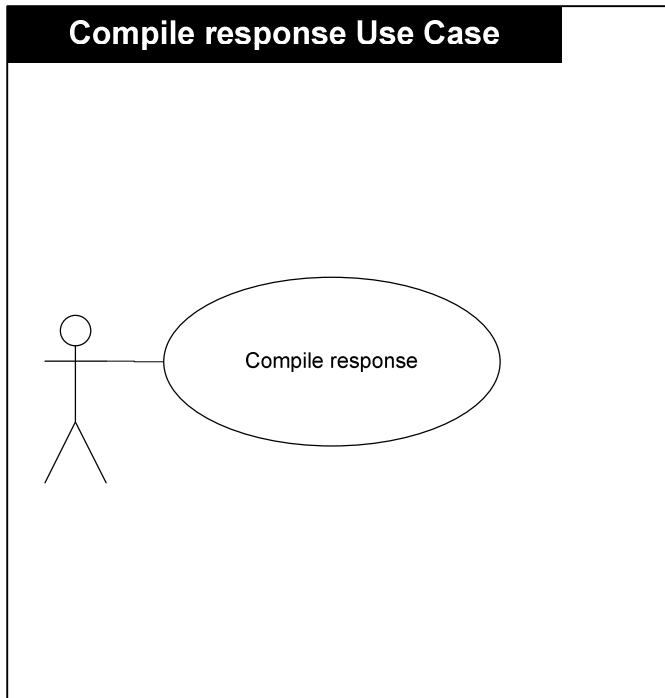
Get Pension Product Details	
Pre Conditions	The asset details have been successfully populated
Post Conditions	Product details retrieved and ready to populate in response Message compiled and sent
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	

Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the successful population of the asset details. Get the following details for the policy or requested element of the policy <ol style="list-style-type: none"> a. Is the policy in Drawdown or not. b. The scheme type of the pension requested (BR20) c. The ceding PSTR d. The current estimated value (BR17, BR21) e. If the pension has a sharing order f. If the pension is a block transfer g. If the policy is subject to LTA Protection h. If the policy is subject to retirement protection i. If the policy is subject to Tax Free protection
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description
BR23	The following scheme types are applicable - GPP Occupational DC PP Retirement annuity Section 32 Section 32a SIPP SASS Stakeholder
BR17	The cash amount should be in GBP currency to 2 decimal places.
BR22	Last valuation stored in the system for that asset, there is no requirement to re value the asset.

2.2.6 Compile response



2.2.6.1 Compile response

Compile response	
Pre Conditions	Successful retrieval of all business information to send in the response
Post Conditions	Message sent
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful retrieval of all required business information. Get the following details <ol style="list-style-type: none"> a. transfer reference b. Message version c. BIC reference ceding party d. BIC reference acquiring party e. All acquired information as defined above 2. Generate a unique message reference for the response 3. Compiles the XML response as defined in REF1
Use Case Descriptions - Alternate Paths	
Referenced business rules	
Business Rule Name	Business Rule Description

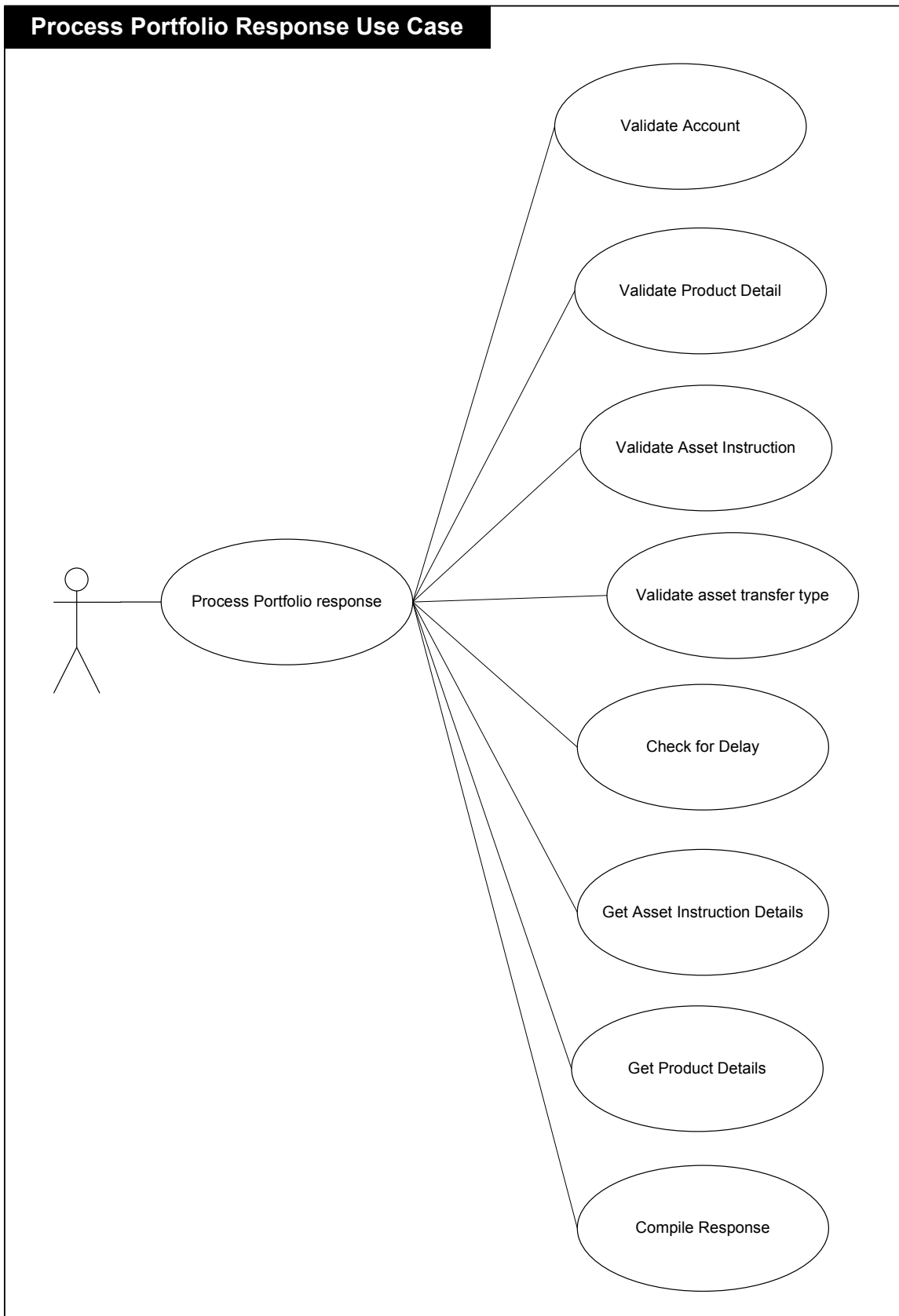
2.3 Process Portfolio Transfer Instruction



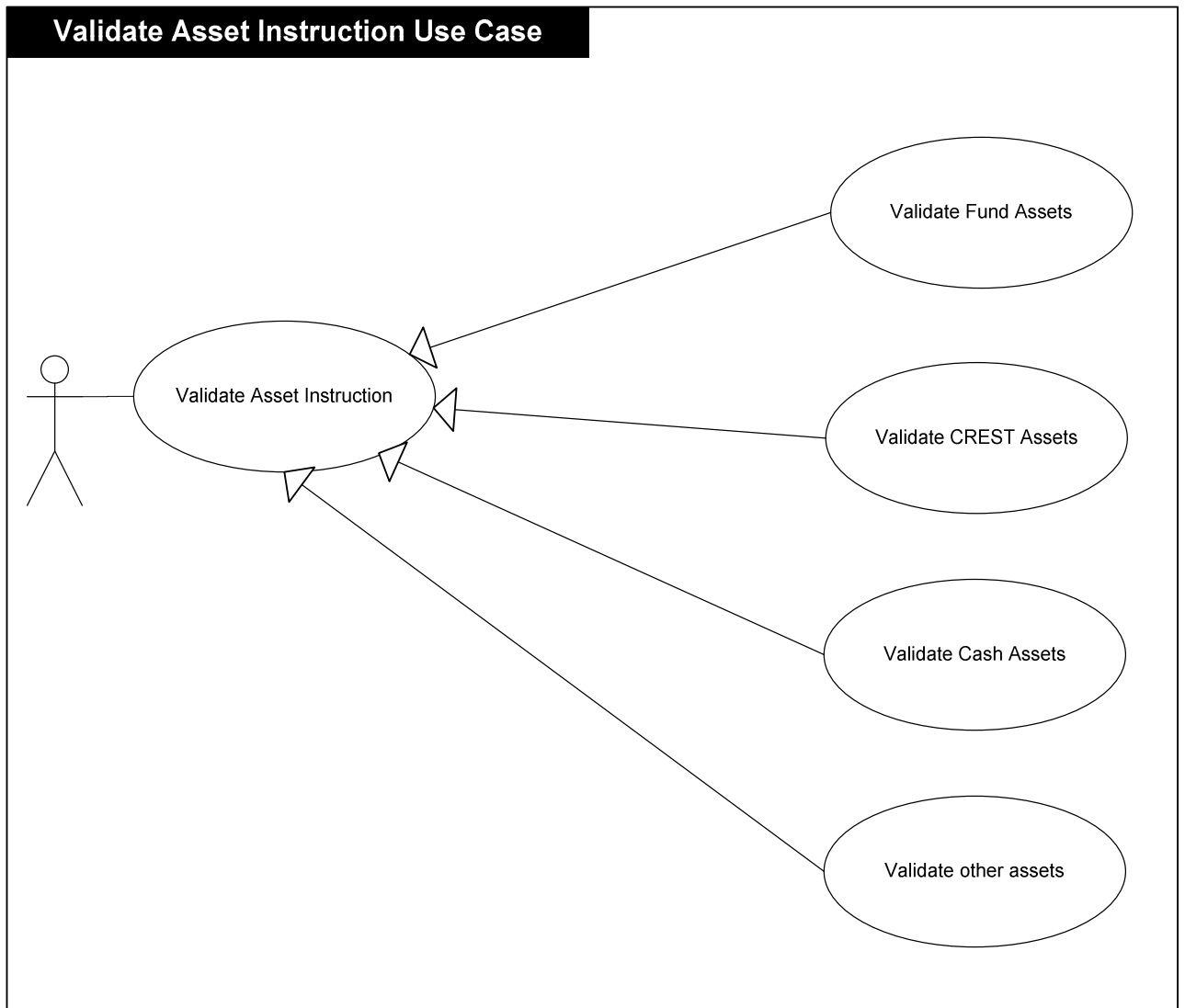
2.3.1.1 Process Portfolio Transfer Instruction

Process Portfolio Transfer Instruction	
Pre Conditions	Receipt of Portfolio Transfer Request
Post Conditions	Portfolio Transfer Instruction processed and complete or rejected.
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	1. Call 'Validate request' use case 2. Call 'Process portfolio response' use case 3. If there are assets to be re-registered then call the 'instigate re-register assets' use case 4. If a cash transfer is required then call the 'Cash Transfer' use case 5. If the transfer relates to a pension in drawdown then call the 'Drawdown advice' use case 6. Call 'Transfer completion' use case
Use Case Descriptions - Alternate Paths	
Referenced business rules	
Business Rule Name	Business Rule Description

2.3.2 Process Portfolio Confirmation



2.3.3 Validate Asset Instruction



2.3.3.1 Validate Fund Assets

Validate Fund Assets	
Pre Conditions	Message has passed Product validation
Post Conditions	Asset validated and ok to process discovery message Asset validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The ISIN received is not held in the product as a fund
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the product. Validate that the asset is held within the specified product as a fund.

Use Case Descriptions - Alternate Paths	
1a. The ISIN received is not held in the product as a fund	1. Invoke 'Reject request' use case with a rejection type of 'The ISIN requested is not held within the product as a fund'.

Referenced business rules

Business Rule Name	Business Rule Description

2.3.3.2 Validate CREST Assets

Validate Fund Assets	
Pre Conditions	Message has passed Product validation
Post Conditions	Asset validated and ok to process discovery message Asset validation failed and rejected
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The ISIN Received is not held in the system as a CREST settled asset
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the asset within product. Validate that the ISIN is held within the product as a CREST settled asset.
Use Case Descriptions - Alternate Paths	
1a. The ISIN received is not held in the product as a fund	1. Invoke 'Reject request' use case with a rejection type of 'The ISIN requested is not held within the product as a CREST settled asset'.

Referenced business rules

Business Rule Name	Business Rule Description

2.3.4 Validate Asset Transfer Type

Validate asset transfer type Details	
Pre Conditions	Successful Validation that the assets are held by the customer
Post Conditions	Transfer type for requested assets validated Transfer is checked for delays
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Transfer type is not available for requested assets
Use Case Descriptions - Basic Path	

Basic Path	1. The use case begins following the successful validation of the assets. Validate that the transfer type requested for each asset is available for that individual asset.
Use Case Descriptions - Alternate Paths	
1a. Transfer type is not available for requested assets	1. Invoke 'Reject request' use case with a rejection type of 'The Transfer type requested is not available for the requested asset'.

Referenced business rules

Business Rule Name	Business Rule Description

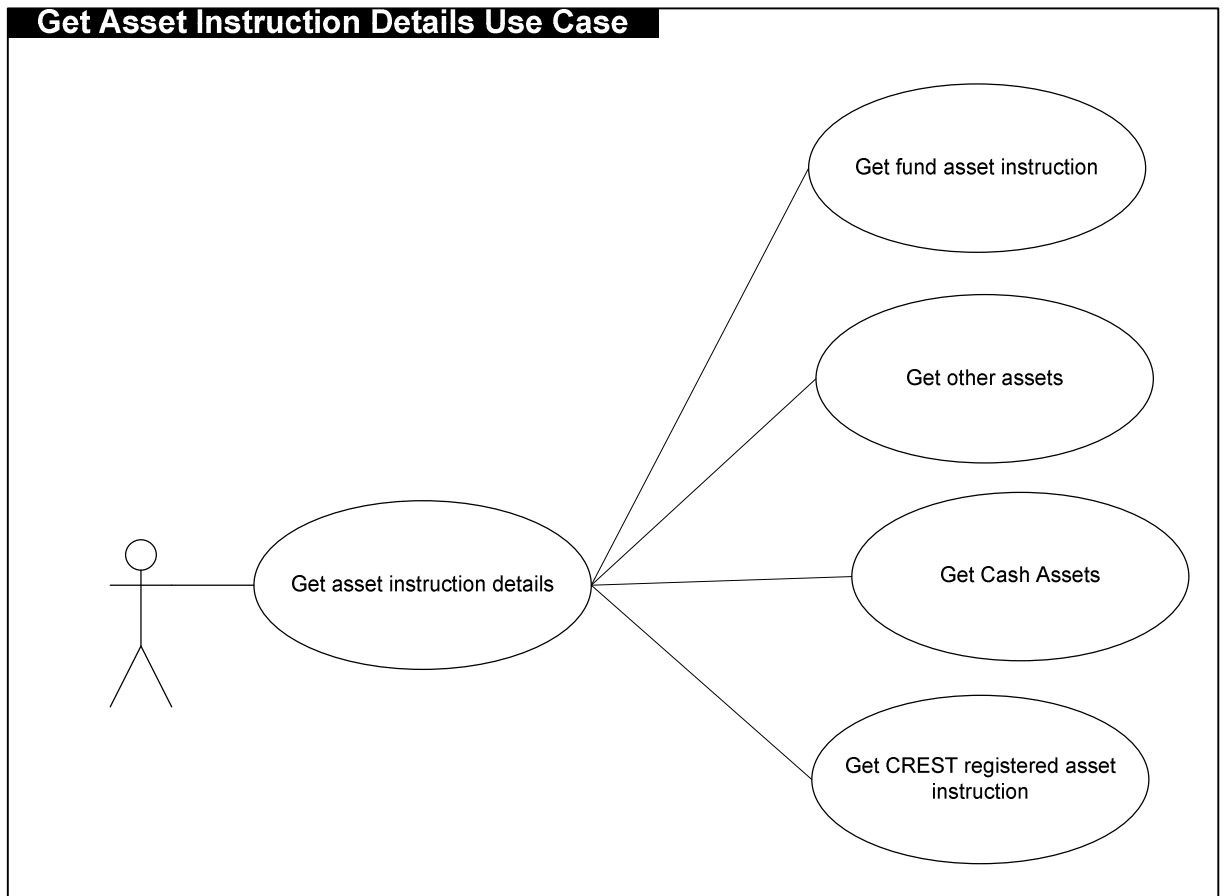
2.3.5 Check for delay

Check for delay	
Pre Conditions	Successful validation that the asset transfer type is available for the selected assets
Post Conditions	No transfer delay is required 'Compile response' use case called
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Transfer delay required
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the Transfer type of the assets to be transferred. If no delay reason is applicable then use case ends.
Use Case Descriptions - Alternate Paths	
1a. Transfer delay required	1. Transfer delay reasons captured (BR24) and call 'Compile response' use case

Referenced business rules

Business Rule Name	Business Rule Description
BR24	Acceptable delay reasons are as defined in the TeX best practice documentation.

2.3.6 Get Asset Instruction details



2.3.6.1 Get Fund Asset Instruction

Validate Fund Assets	
Pre Conditions	The transfer instruction can be processed
Post Conditions	Details of asset retrieved and ready to populate in response
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Get specific list of validated assets
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins once the transfer is able to be processed. Get the ISIN, Current total unit amount (BR14) for all assets within the specified product. 2. Get the identification of the place of settlement for the fund including nominee details for an in specie transfer. (BR15)
Use Case Descriptions - Alternate Paths	
1a. Get specific list of validated assets	1. Get the ISIN, Current unit amount for all requested assets within the specified product. 2. Continue to basic path step 2

Referenced business rules

Business Rule Name	Business Rule Description
BR14	The current total unit amount to a maximum of 6 decimal places and should be the current settled position of the units within the product at the point of processing.
BR15	This should be the BIC for the Fund Manager and where not available should be the Fund Manager name.

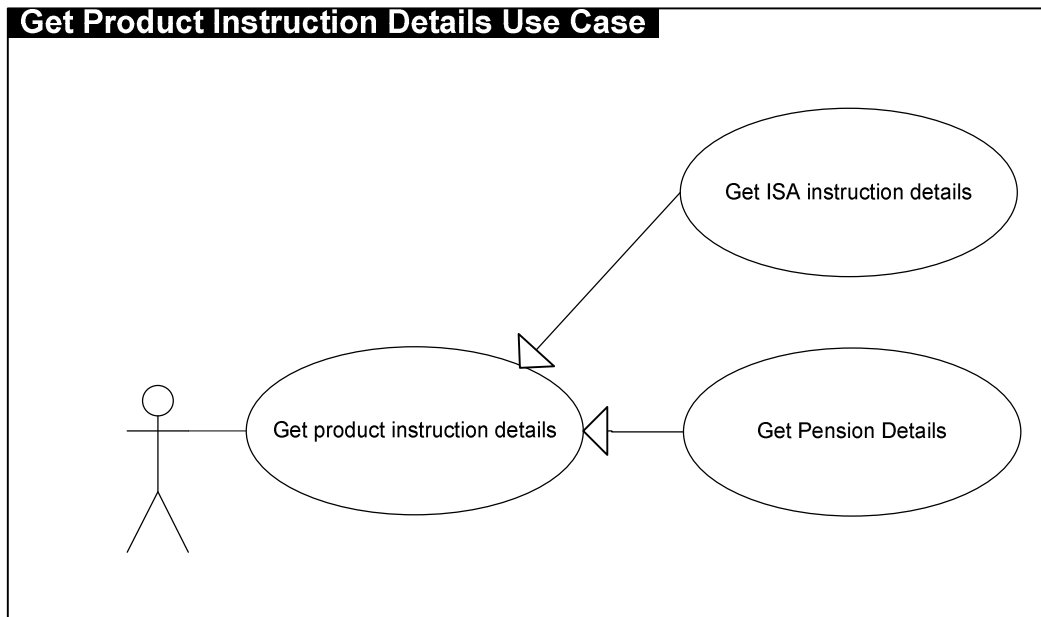
2.3.6.2 Get CREST Asset Instruction

Validate CREST Assets	
Pre Conditions	Message has passed validation
Post Conditions	Details of asset retrieved and ready to populate in response
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Get specific list of validated assets
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins once the transfer is able to be processed. Get the ISIN, Current total unit amount (BR1) for all assets within the specified product. 2. Get the participant ID, settlement date and has the option to return the trade date for the transfer.
Use Case Descriptions - Alternate Paths	
1a. Get specific list of validated assets	1. Get the ISIN, Current unit amount for all requested assets within the specified product. 2. Continue to basic path step 2

Referenced business rules

Business Rule Name	Business Rule Description
BR14	The current total unit amount to a maximum of 6 decimal places and should be the current settled position of the units within the product at the point of processing.
BR15	This should be the BIC for the Fund Manager and where not available should be the Fund Manager name.

2.3.7 Get Product Instruction details



2.3.7.1 Get ISA Instruction details

Get ISA Instruction details	
Pre Conditions	Successful population of the asset details
Post Conditions	Product details retrieved and ready to populate in response Message compiled and sent
Scenarios	1. Basic Path <u>Alternate paths</u> 2a. The ISA is not a current year ISA
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful population of the asset details. Get the following details <ol style="list-style-type: none"> a. Estimated Transfer value (BR17) b. Registered Date of Birth (BR2) c. Registered address 2. Validate the ISA is a current year ISA. 3. Return the following information <ol style="list-style-type: none"> a. Date of first subscription for the current tax year 4. Total subscription for current tax year (BR17)
Use Case Descriptions - Alternate Paths	
2a. The ISA is not a current year ISA	1. 'Get Product Instruction Details' use case ends.

Referenced business rules

Business Rule Name	Business Rule Description
BR17	The cash amount should be in GBP currency to 2 decimal places.
BR25	The registered Date Of Birth maybe Null

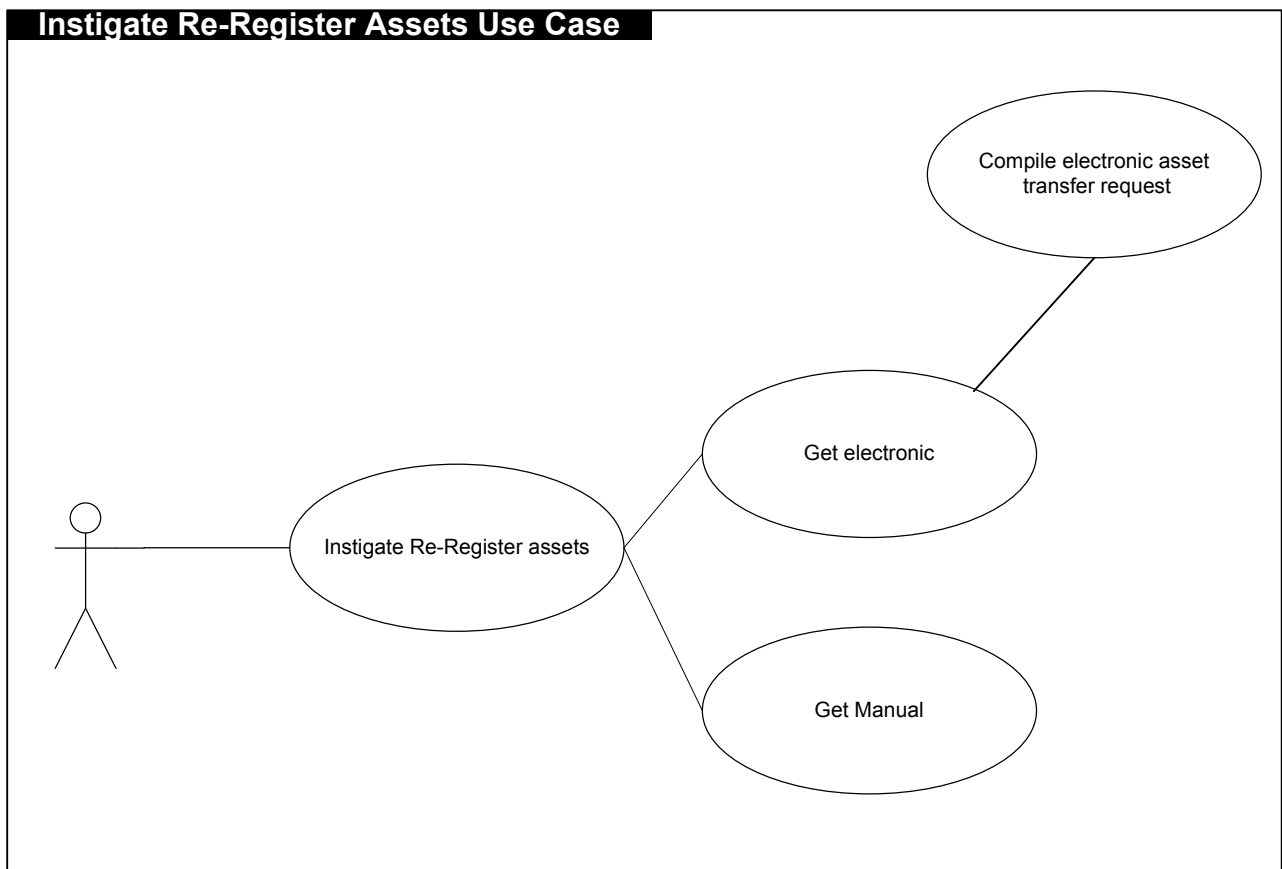
2.3.7.2 Get Pension Product details

Get Pension Product Details	
Pre Conditions	Successful population of the asset details
Post Conditions	Product details retrieved and ready to populate in response Message compiled and sent
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the successful population of the asset details. Get the following details for the policy or requested element of the policy <ol style="list-style-type: none"> a. Is the policy in Drawdown or not. b. The scheme type of the pension requested (BR23) c. The ceding PSTR d. The current estimated value (BR17) e. If the pension has a sharing order f. If the pension is a block transfer g. If the policy is subject to LTA Protection h. If the policy is subject to retirement protection i. If the policy is subject to Tax Free protection
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description
BR23	The following scheme types are applicable – GPP Occupational DC PP Retirement annuity Section 32 Section 32a SIPP SASS Stakeholder
BR17	The cash amount should be in GBP currency to 2 decimal places.

2.3.8 Instigate Re-Register Assets



2.3.8.1 Instigate Re-Register assets

Instigate Re-Register assets	
Pre Conditions	The Portfolio confirmation has been sent
Post Conditions	Transfer instruction sent
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Instigate manual transfer
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following sending of the portfolio confirmation message. Identify if the transfer is electronic and if so instigate the 'Get Electronic' use case.
Use Case Descriptions - Alternate Paths	
1a. Instigate manual transfer	1. The transfer is manual; instigate the 'Manual Instruction' use case.

Referenced business rules

Business Rule Name	Business Rule Description

2.3.8.2 Get Electronic

Get Electronic Details	
Pre Conditions	The Portfolio confirmation has been sent
Post Conditions	Electronic details retrieved and ready to populate in message
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following sending of the portfolio confirmation message. Get the following details <ol style="list-style-type: none"> a. The asset information from the 'Get Fund Asset Instruction' use case. b. If required the GROUP 1 and GROUP 2 unit split c. The BIC identifier of the fund manager d. The account details of where the assets are held at the fund manager <ol style="list-style-type: none"> i. Account Name ii. Account ID iii. Designation (where applicable)
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description

2.3.8.3 Compile Electronic Asset Transfer Request

Compile Electronic Asset Transfer Request	
Pre Conditions	Successful retrieval of the electronic transfer instruction details
Post Conditions	Message compiled and sent
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful retrieval of the electronic instruction details. Get the following details <ul style="list-style-type: none"> a. The details as defined in the ‘Get Electronic’ use case b. Copy the following data from the received message <ul style="list-style-type: none"> i. Ceding account details <ul style="list-style-type: none"> 1. Account Name 2. Account ID 3. Designation (where applicable) ii. Portfolio Transfer reference
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description

2.3.8.4 Get Manual

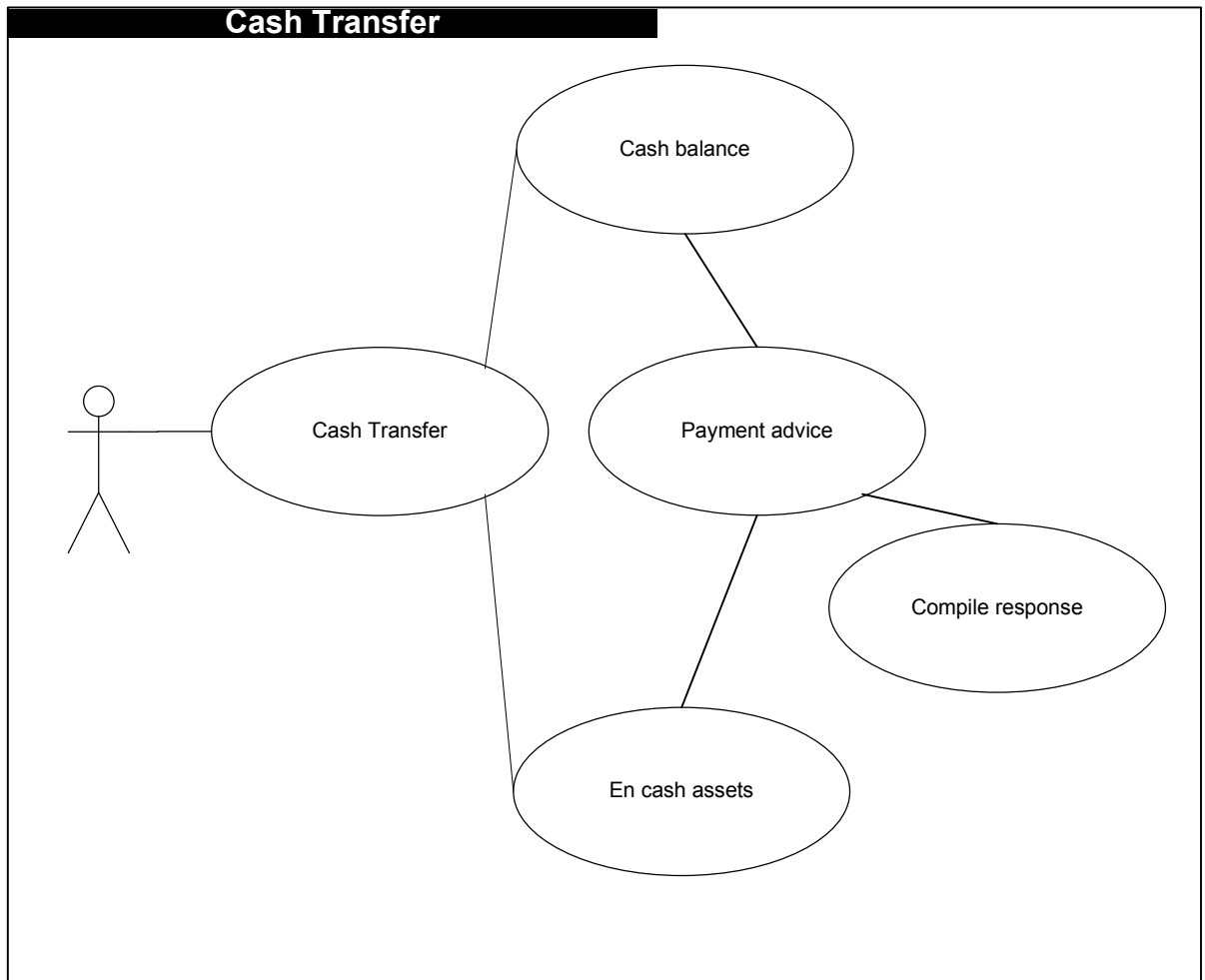
Get Manual Details	
Pre Conditions	The portfolio confirmation has been completed and sent
Post Conditions	Manual process followed and transfer instruction sent
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	

Basic Path	<ol style="list-style-type: none"> 1. The use case begins following sending of the portfolio confirmation message. Complete a stock transfer instruction to include the following details - <ol style="list-style-type: none"> a. The asset information from the 'Get Fund Asset Instruction' use case. b. Acquiring nominee address details c. If required the GROUP 1 and GROUP 2 unit split d. The account details of where the assets are held at the fund manager <ol style="list-style-type: none"> i. Account Name ii. Account address details iii. Account ID iv. Designation (where applicable) 2. Follow the process for undertaking a manual asset transfer instruction as defined in internal procedures.
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description

2.3.9 Cash Transfer



2.3.9.1 Cash Transfer

Cash Transfer	
Pre Conditions	The Portfolio confirmation has been sent
Post Conditions	'Cash balance' or 'En Cash' assets use case called.
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following sending of the portfolio confirmation message. Validate if there are any assets to en cash, if there are then invoke the 'en cash asset' use case. 2. If there is cash balance to be transferred then invoke the 'cash balance' use case
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description

2.3.9.2 Cash Balance

Cash Transfer	
Pre Conditions	Identification of a cash balance to be transferred
Post Conditions	'Payment advice' use case called.
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the identification that a cash balance needs to be transferred. Process the cash balance payment to acquiring party following the BAU process and then invoke the 'Payment Advice' use case.
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description

2.3.9.3 En Cash Assets

En Cash Assets	
Pre Conditions	Identification of assets to be en cashed to be transferred
Post Conditions	Cash balance transferred and payment advice to be created.
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the identification that an encashment of assets needs to be undertaken to transfer the proceeds. Process the encashment of assets and payment to acquiring party following the BAU process and then invoke the 'Payment Advice' use case.
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description

2.3.9.4 Payment Advice

Payment Advice	
Pre Conditions	Completion of the encashment of assets process or a cash balance transfer has been completed
Post Conditions	Call 'Compile response' use case
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	<p>1. The use case begins following the successful processing of the cash balance transfer or the encashment of assets. Get the following details for the payment advice for each payment to be made as part of the transfer (BR26) -</p> <ul style="list-style-type: none"> a. Payment date (BR27) b. Amount (BR17) c. Payment reference (BR28, BR29) d. Target bank account (BR29, BR30) e. Payment method (BR31)
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description
BR26	There is no obligation to collate monies into a single payment for the transfer, one or more payments can be sent for a given transfer.
BR27	The date that the payment will be sent to the acquiring party.
BR17	The cash amount should be in GBP currency to 2 decimal places.
BR28	The reference that will identify the payment, for cheques this should be the cheque number.
BR29	The payment details can be received in the portfolio instruction message, these details should be used where possible although this is not a mandatory requirement.
BR30	The target bank account where payment is to be sent where the payment is electronic. This can be identified by - <ul style="list-style-type: none"> • BIC & IBAN Or • Sort code & Account Number
BR31	The method of payment can be selected as <ul style="list-style-type: none"> • Cheque • Electronic

2.3.10 Drawdown Advice

En Cash Assets	
Pre Conditions	The portfolio confirmation has been completed and sent
Post Conditions	Call 'Compile response' use case

Scenarios	<p>1. Basic Path</p> <p><u>Alternate paths</u></p> <p>2a. The tranche to be transferred is in capped drawdown</p>
Use Case Descriptions - Basic Path	
Basic Path	<p>1. The use case begins following the successful processing of the portfolio confirmation. Get the following information for each tranche of the transfer</p> <ul style="list-style-type: none"> • Pre A-day crystallisation indicator (BR32) • Percentage of total transfer value (BR33) • Total of all amounts designated net of PCLS (BR17) • Additional funds designated since original designation indicator (BR32) • BCE other than 1 and 6 indicator (BR32) • Amount of Pre-Commencement Lump Sum (PCLS) remaining (BR17) • PCLS use by date (BR34) • Multiple PCLS indicator (BR32) • Percentage LTA used (BR33) • Dependant's drawdown indicator (BR32) <p>2. Validate if the drawdown is capped or flexible, if the drawdown is flexible then use case ends.</p>
Use Case Descriptions - Alternate Paths	
2a. The tranche to be transferred is in capped drawdown	<p>1. Get the following additional information</p> <ul style="list-style-type: none"> • Start date of current reference period • Income limit for the current period (BR17) • Income taken in the current income year (BR17) • Income limit for next income year (BR17, BR35)

Referenced business rules

Business Rule Name	Business Rule Description
BR32	The indicator can be set as True or False
BR33	The percentage should be populated to 2DP and can be a value between 0.00 and 100.00
BR17	The cash amount should be in GBP currency to 2 decimal places.
BR34	The PCLS date maybe blank if none remains.
BR35	The field is optional

2.3.11 Transfer Completion

Transfer Completion	
Pre Conditions	Successful processing of the Cash Transfer, Drawdown Advice and all re registration confirmations have been received
Post Conditions	Transfer completion message sent
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Pension transfer is complete
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful processing of the Cash Transfer, Drawdown Advice and all re registration confirmations have been received. Where the product is a GIA or an ISA then the Transfer complete message should be sent.
Use Case Descriptions - Alternate Paths	
1a. Pension transfer is complete	1. Where the product is a pension then the following details should be populated <ol style="list-style-type: none"> a. Total transfer value (BR17) b. Life Time Allowance Percentage used (BR33)

Referenced business rules

Business Rule Name	Business Rule Description
BR17	The cash amount should be in GBP currency to 2 decimal places.
BR33	The percentage should be populated to 2DP and can be a value between 0.00 and 100.00

2.4 Reject

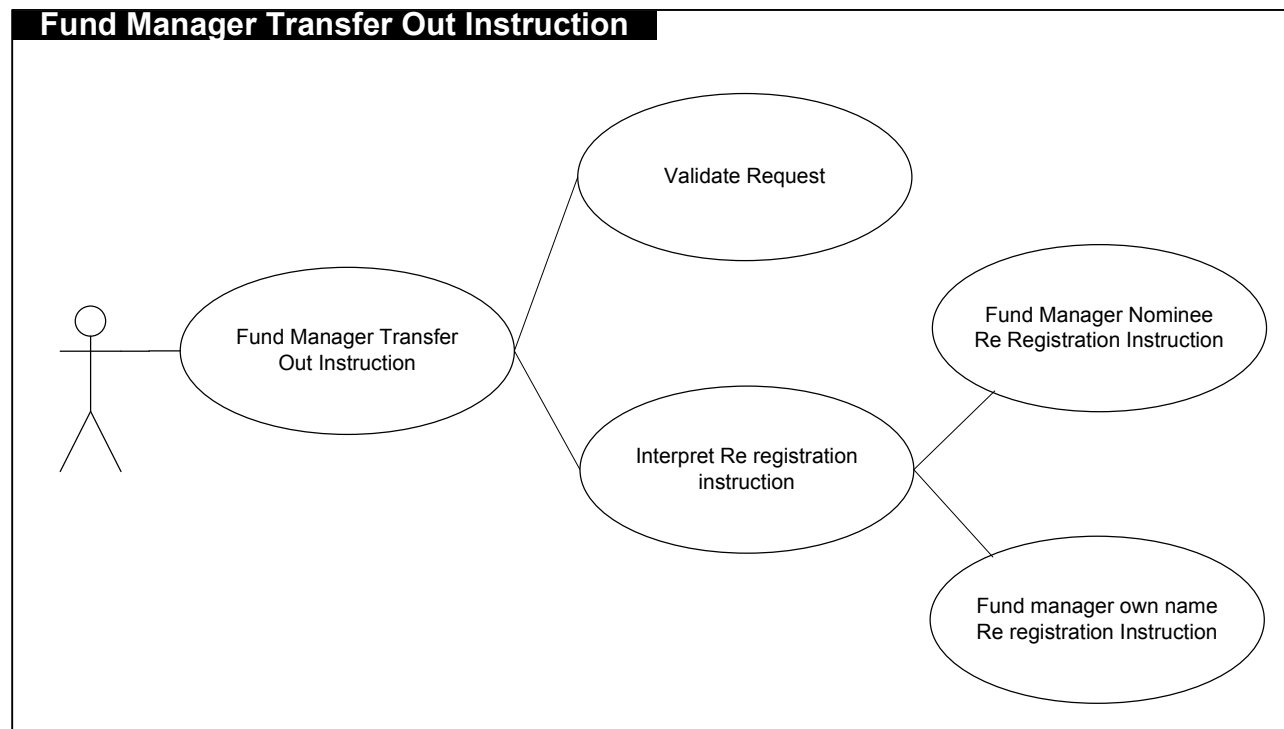
Reject	
Pre Conditions	Reason for rejection has been found in a prior use case
Post Conditions	'Compile response' use case called for rejection
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. No suitable rejection reason code exists
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following a rejection reason being identified in a previous use case. The following details are captured for rejection response - <ol style="list-style-type: none"> a. Rejection reason code b. Rejection clarification text
Use Case Descriptions - Alternate Paths	

1a. No suitable rejection reason code exists	1. Capture extended rejection reason text.
--	--

Referenced business rules

Business Rule Name	Business Rule Description

2.5 Fund Manager Transfer Out Instruction



2.5.1 Interpret Re Registration Instruction

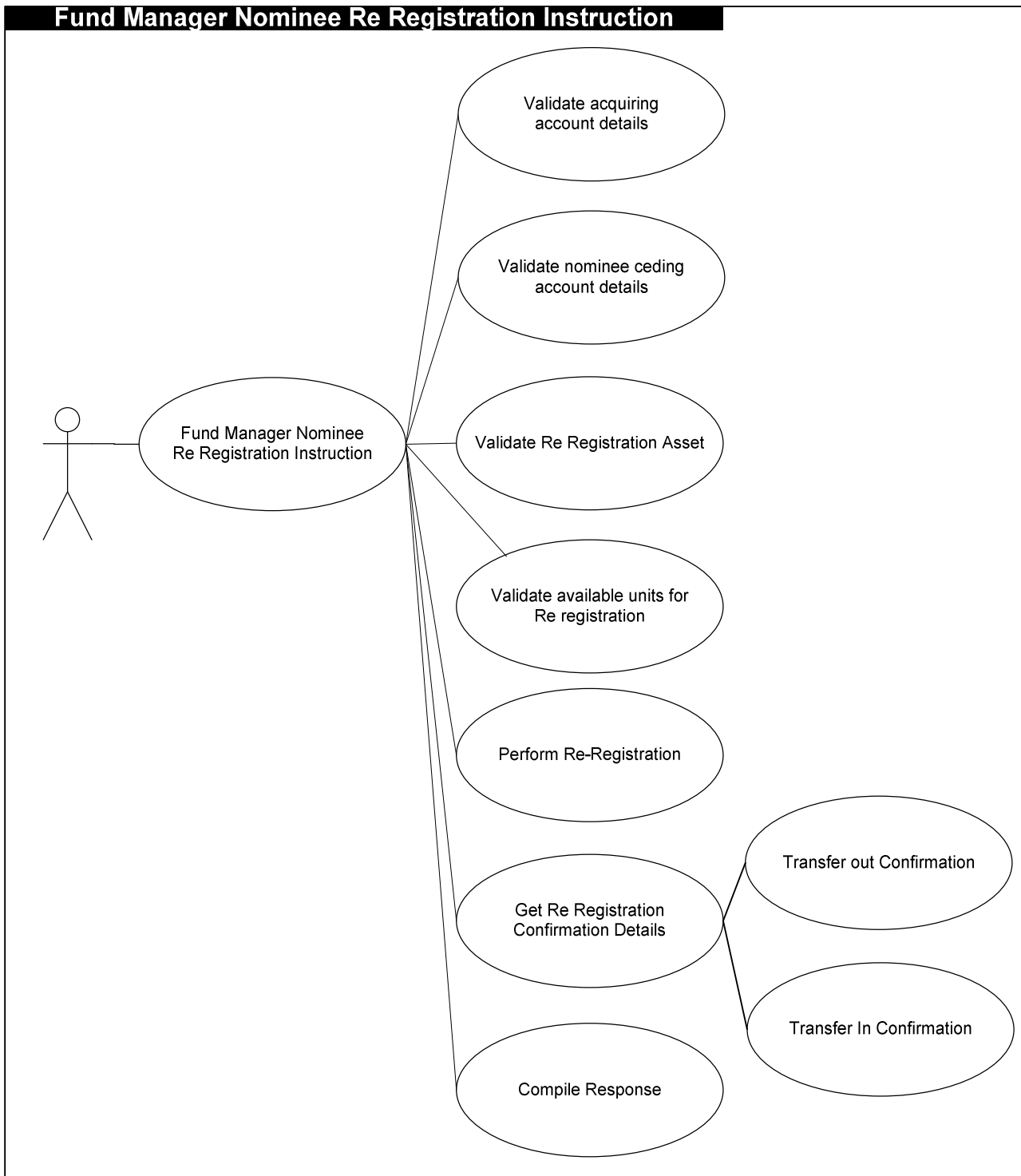
Interpret Re Registration Instruction	
Pre Conditions	Fund Manager Transfer Out Instruction received and validation passed
Post Conditions	Re Registration Instruction validated and ready to perform re registration
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. The asset is not held in the name of the business sender
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the receipt of a Transfer out instruction. Check for the presence of a ceding party BIC, if present then call 'Fund manager Nominee Re Registration Instruction' use case.
Use Case Descriptions - Alternate Paths	

1a. The asset is not held in the name of the business sender	1. If no ceding party BIC is present then call 'Fund manager own name Re Registration Instruction' use case.
--	--

Referenced business rules

Business Rule Name	Business Rule Description

2.5.2 Fund Manager Nominee Re Registration Use Case



2.5.2.1 Validate acquiring account details

Validate nominee acquiring account details	
Pre Conditions	Fund Manager Transfer Out Instruction received and validation passed
Post Conditions	Acquiring nominee validated

Scenarios	<ol style="list-style-type: none"> 1. Basic Path <p><u>Alternate paths</u></p> <ol style="list-style-type: none"> 1a. Account not found on system 2a. Acquiring details do not match that of BIC
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the receipt of a Transfer out instruction. Check that the acquiring account is in existence on the system. 2. Check for the presence of acquiring party BIC (BR38), if present then ensure that they are the acquiring account owner.
Use Case Descriptions - Alternate Paths	
1a. Account not found on system	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'Acquiring account details not found'.
2a. Acquiring details do not match that of BIC	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'Acquiring account owner details do not match that of specified account'.

Referenced business rules

Business Rule Name	Business Rule Description
BR38	The acquiring party BIC is mandatory for own name scenarios

2.5.2.2 Validate nominee ceding account details

Validate nominee ceding account details	
Pre Conditions	Fund Manager Transfer Out Instruction received and validation passed
Post Conditions	Acquiring nominee validated
Scenarios	<ol style="list-style-type: none"> 1. Basic Path <p><u>Alternate paths</u></p> <ol style="list-style-type: none"> 1a. Account not found on system 2a. Ceding nominee details do not match that of BIC
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the receipt of a Transfer out instruction. Check that the ceding account is in existence on the system. 2. Check that the ceding party BIC details match that of the ceding account owner.
Use Case Descriptions - Alternate Paths	
1a. Account not found on system	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'Ceding nominee account details not found'.
2a. Ceding nominee details do not match that of BIC	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'Ceding account owner details do not match that of specified account'.

Referenced business rules

Business Rule Name	Business Rule Description

2.5.2.3 Validate re registration asset

Validate re registration asset	
Pre Conditions	Ceding and acquiring details verified for re registration
Post Conditions	Re registration asset has been validated
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Asset not held within ceding account 2a. Asset not available for re registration 3a. Acquiring party cannot hold the specified asset 4a. There is a reason to delay the transfer
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful validation of the ceding and acquiring account details. Check that the asset is held within the ceding account. 2. Check that the asset is available for re registration 3. Check that the Acquiring party can hold the asset 4. Check if there is a reason to delay the transfer, if not then continue with process.
Use Case Descriptions - Alternate Paths	
1a. Asset not held within ceding account	1. Invoke 'Reject request' use case with a rejection type of 'Ceding nominee does not hold the requested asset'.
2a. Asset not available for re registration	1. Invoke 'Reject request' use case with a rejection type of 'The requested asset is not available for re registration'.
3a. Check that the Acquiring party can hold the asset	1. Invoke 'Reject request' use case with a rejection type of 'The acquiring account cannot hold the requested asset'.
4a. There is a reason to delay the transfer	1. Invoke 'Delay' use case with the specific delay reason.

Referenced business rules

Business Rule Name	Business Rule Description

2.5.2.4 Validate available units for re registration

Validate re registration asset	
Pre Conditions	Asset details verified for re registration
Post Conditions	Re registration asset has been validated

Scenarios	<ol style="list-style-type: none"> 1. Basic Path <p><u>Alternate paths</u></p> <ol style="list-style-type: none"> 1a. The account does not hold enough units of the specified asset 2a. The account does not hold enough GROUP 1 or GROUP 2 units in order to complete the transfer
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the successful validation of the asset details. Check that the account has enough units of the specified asset to re register. 2. Check the account has enough GROUP 1 and GROUP 2 units if specified in the re registration request. (BR36)
Use Case Descriptions - Alternate Paths	
1a. The account does not hold enough units of the specified asset	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'Ceding nominee does not hold the requested asset'.
2a. The account does not hold enough GROUP 1 or GROUP 2 units in order to complete the transfer	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'The account does not hold sufficient GROUP 1 or GROUP 2 units'.

Referenced business rules

Business Rule Name	Business Rule Description
BR36	The GROUP 1 and GROUP 2 split can be ignored if you are unable to process instruction of this type.

2.5.2.5 Perform Re registration

Perform re registration	
Pre Conditions	Asset details verified for re registration
Post Conditions	Re registration complete
Scenarios	<ol style="list-style-type: none"> 1. Basic Path <p><u>Alternate paths</u></p>
Use Case Descriptions - Basic Path	
Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the successful validation of the asset details. Re register the units from the ceding account to the acquiring account.
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description

2.5.2.6 Get Re registration confirmation details

Get re registration confirmation details	
Pre Conditions	Re registration complete
Post Conditions	Re registration confirmation details ready for response
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful movement of the asset from the ceding party account to the acquiring party account. The following details need to be retrieved for the asset transfer- <ol style="list-style-type: none"> a. Transfer confirmation reference b. Transfer time stamp c. Group 1 and Group 2 units transferred (BR37) d. Total units transferred
Use Case Descriptions - Alternate Paths	

Referenced business rules

Business Rule Name	Business Rule Description
BR37	The Group 1 and Group 2 split maybe different to that specified in the instruction

2.5.2.7 Transfer out confirmation

Transfer out confirmation	
Pre Conditions	Re registration complete
Post Conditions	Re registration confirmation details ready for response
Scenarios	1. Basic Path <u>Alternate paths</u>
Use Case Descriptions - Basic Path	
Basic Path	1. The use case begins following the successful movement of the asset from the ceding party account to the acquiring party account. Populate details in message and call 'compile response' use case.
Use Case Descriptions - Alternate Paths	

Referenced business rules

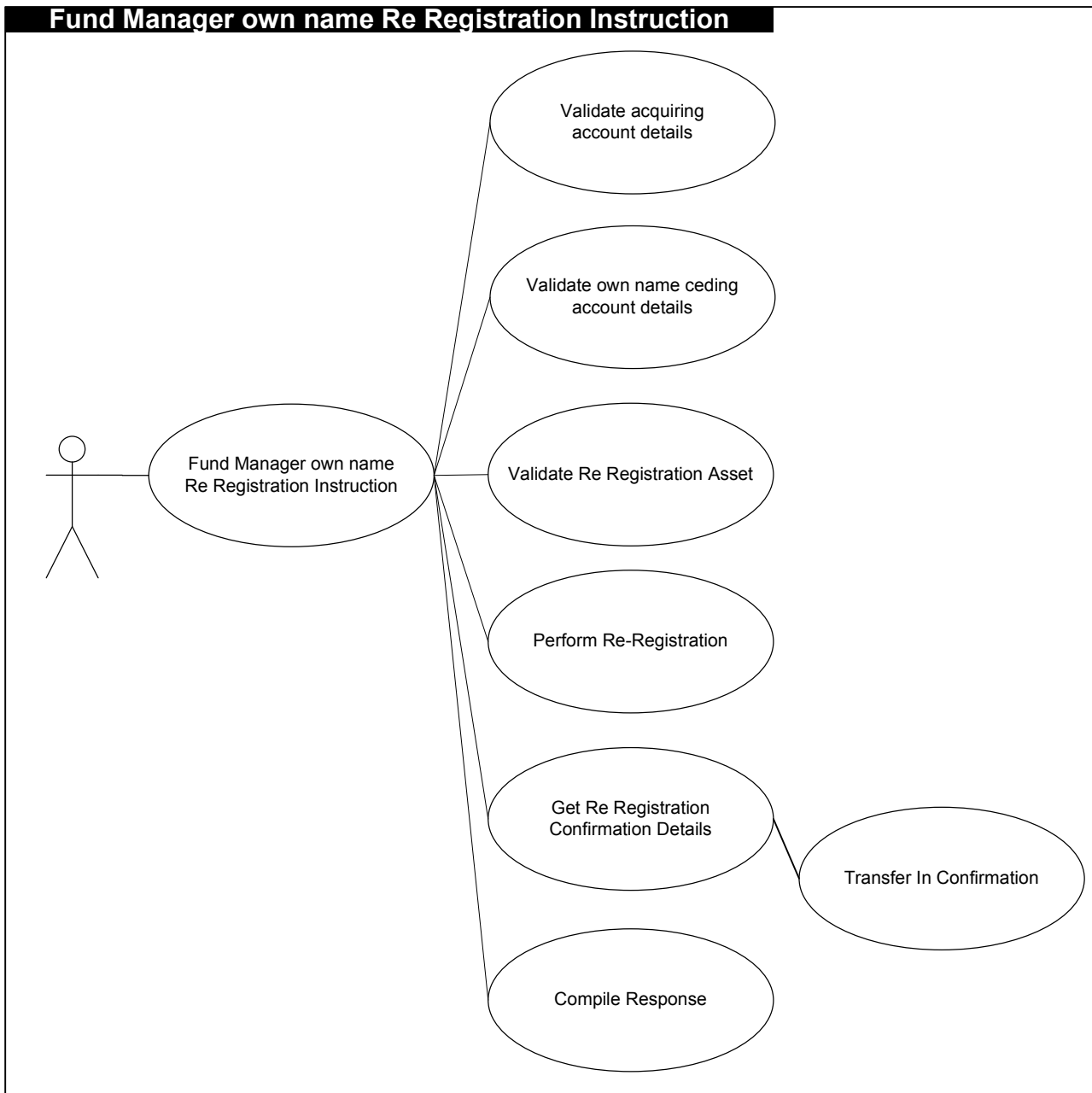
Business Rule Name	Business Rule Description

2.5.2.8 Transfer in confirmation

Transfer in confirmation

Pre Conditions	Re registration complete
Post Conditions	Re registration confirmation details ready for response
Scenarios	<p>1. Basic Path</p> <p><u>Alternate paths</u></p> <p>1a. Manual acquiring party</p>
Use Case Descriptions - Basic Path	
Basic Path	<p>1. The use case begins following the successful movement of the asset from the ceding party account to the acquiring party account. Where the acquiring party BIC is specified in the instruction and are electronic then call 'compile response' use case.</p>
Use Case Descriptions - Alternate Paths	
1a. Manual acquiring party	<p>1. Confirm transfer to acquiring party using BAU manual transfer confirmation process.</p>
Referenced business rules	
Business Rule Name	Business Rule Description

2.5.3 Fund manager own name re registration instruction



2.5.3.1 Validate own name ceding account details

Validate own name ceding account details	
Pre Conditions	Fund Manager Transfer Out Instruction received and validation passed
Post Conditions	Acquiring nominee validated
Scenarios	1. Basic Path <u>Alternate paths</u> 1a. Account not found on system 2a. Ceding account name does not match that in instruction
Use Case Descriptions - Basic Path	

Basic Path	<ol style="list-style-type: none"> 1. The use case begins following the receipt of a Transfer out instruction. Check that the ceding account is in existence on the system. 2. Check that the ceding account name matches that received in the instruction.
Use Case Descriptions - Alternate Paths	
1a. Account not found on system	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'Ceding nominee account details not found'.
2a. Ceding account name does not match that in instruction	<ol style="list-style-type: none"> 1. Invoke 'Reject request' use case with a rejection type of 'Ceding account owner name does not match that held on the account'.

Referenced business rules

Business Rule Name	Business Rule Description

