World Bank

USER MANUAL

CATS (Carbon Assets Tracking System)

KP Emission Reduction Transaction Registry (P172241)

V.4.0. March 2021



This report contains the User Manual of CATS (Carbon Assets Tracking System) as the document describing step-by-step functions and tools for user's system access and use of the Registry. CATS is a centralized system managed by the WB that records and tracks the issuance and transfers of ER units generated under WB results-based climate finance programs, between multiple account holders (internal transfers). The current version of CATS was designed and implemented to specifically support the operations under the ER Programs of the FCPF CF and BioCF ISFL but keeping the operational rules flexible enough to adapt easily to new WB programs in the future.

Contents

Scope

The User Manual of CATS (Carbon Assets Tracking System) is the document describing step-by-step functions and tools for user's system access and use of the Registry.

CATS is a centralized system that records and tracks the issuance and transfers of ER units generated under WB results-based climate finance programs, between multiple account holders (internal transfers). The current version of CATS was designed and implemented to specifically support the operations under the ER Programs of the FCPF CF and BioCF ISFL but keeping the operational rules flexible enough to adapt easily to new WB programs in the future.

This User Manual is focused on the current version of CATS under the above-mentioned scope: to support the operations under the ER Programs of the FCPF CF and BioCF ISFL. This document is part of the outputs under the KP Emission Reduction (ER) Transaction Registry (P172241).

Table of Contents

1.	SCOPE	4
2.	PROJECT OBJECTIVE	4
3.	SCOPE OF THE PROJECT	5
4.	USER AND GROUP MANAGEMENT	5
i.	. User Management	5
ii	i. Group Management	29
5.	MASTER DATA MANAGEMENT	
i.	. Master Data Relationship	45
ii	i. Entity Creation & Approval Matrix	46
ii	ii. Procedural Steps	
i	v. Approval of the entities	
6.	TRANSACTIONS	143
i.		
ii	i. Assets Tracking and Mapping	144
ii	ii. Recording Account (Transactions)	
i	v. Issuance Account (Transactions)	
v	. Uncertainty Buffer Account (Transactions)	230
v	vi. Reversal Buffer Account (Transactions)	
v	vii. Cancellation Account (Transactions)	
v	viii. Tranche Tradable Account (Transactions)	
i	x. Tranche Non-Tradable (Transactions)	284
x		
x	ci. Participant Holding Account (Transactions)	
x	cii. Third Party Holding Account (Transactions)	358
x	ciii. Program Holding Account (Transactions)	
x	civ. Fund Account (Transactions)	
7.	DASHBOARD	
8.	REPORTS	441
9.	NOTIFICATION & ANNOUNCEMENTS	
i.		
ii	·	
10.		
11.	GLOSSARY OF BUSINESS TERMS	

1. Scope

The user manual describes the key functions and operational processes involved in Carbon Assets Tracking System. It explains the steps that we need to follow for successful transaction of emission reduction units.

2. Project Objective

The main objective of this project is to design an ERUs Tracking system that will initially serve both Forest Carbon Partnership Facility Carbon Fund (FCPF CF) and Bio Carbon Fund Initiative for Sustainable Forest Landscapes (BioCF ISFL), through a Registry System that is planned to be rolled-out in two phases: Pretrade Phase and Trade Phase.

Compliance with FCPF CF methodological framework Criterion 38, requires the registry system to provide appropriate arrangement to ensure that any ERs from REDD+ activities under the ER Program are not generated more than once; and that any ERs from REDD+ activities under the ER Program sold and transferred to the Carbon Fund are not used again by any entity for sale, public relations, compliance or any other purpose.

Compliance with ISFL ER Program Requirement number 3.7.1; BioCF ISFL ER Program transactions requires:

The registry system must provide appropriate arrangement to avoid double counting, including double issuance, double selling/use, or double claiming, in order to track the emission reductions to ensure that any emission reductions paid for by the BioCF ISFL are not used again by any entity for sale, public relations, compliance or any other purpose unless otherwise agreed by the parties to the ERPA and, where relevant, consistent with any applicable guidance adopted under the Paris Agreement. For this purpose, BioCF ISFL ER Programs will identify a Transaction Registry to register, track, and as appropriate retire or cancel ER units generated under the BioCF ISFL ER Program.

The key specific objectives are:

- To define the operational flows based on FCPF CF and BioCF ISFL Methodological Framework requirements for the Central Transaction Registry.
- Define functional and non-functional requirements based on the operational rules of the Carbon Fund and Bio Carbon Fund Initiative for Sustainable Forest Landscapes, the methodological frameworks for the ER Programs and related FCPF CF and ISFL Guidelines.

The key business objectives that would be achieved on successful implementation of this project are as follow:

- Provide a user-friendly software solution to register the ER units generated under the FCPF CF and ISFL ER Programs.
- Mitigate double counting, double claiming & double selling risks associated to ER Units.
- Provide strong, reliable architecture to consume, create, govern, store and maintain data.
- Provide transparency to the operation of the ER Transactions ran through the Centralized Registry System.
- Allow users to run quick and reliable search queries through a single sign on web portal.
- Allow users to filter and aggregate data across different time periods as required,
- Allow users to generate customized and ad-hoc reports
- Provide a responsive, easy to use and modular application that will allow the World Bank to implement the solution with a phased-out approach to prioritize development.

3. Scope of the Project

The Transactions Registry comprises of three main modules which attends three levels of Emission Reduction Unit transactions: Pre-Trade, Trade Execution & Post-Trade. This is done to facilitate the scoping of a phased-out approach in which modules could be adapted from existing systems, build ad-hoc or hired/bought from external IT vendors as the program implementation advances and not necessarily all at once.

4. User and Group Management

i. User Management

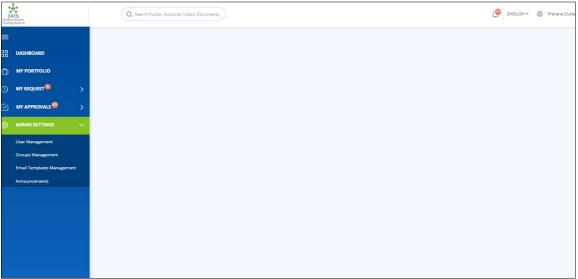
System has been provisioned to add Internal & External users. An external user needs to be added or invited in the system, while an internal user can be added directly.

Adding an internal user

The term internal user refers to a user who is a part of World Bank group. A user having role of **Global Administrator** can log in to the system and add any number of internal users.

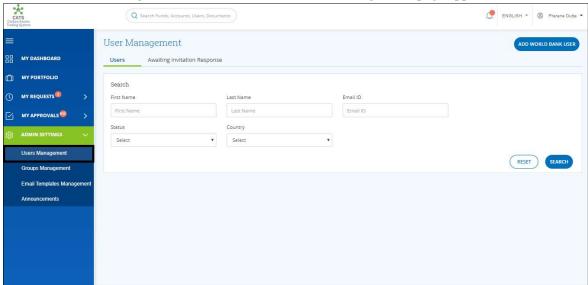
> Procedural steps:

1. In the left navigation pane, click **ADMIN SETTINGS**. The **ADMIN SETTINGS** list appears.



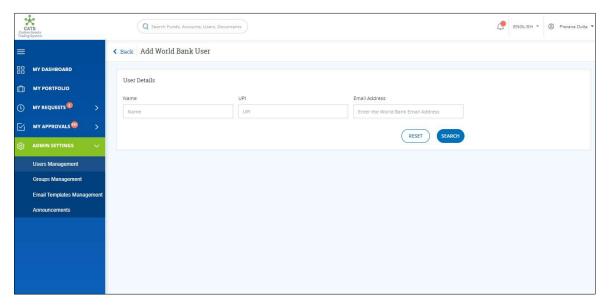
Screenshot 1: Left navigation pane

2. Click Users Management. The Users area of User Management page appears.



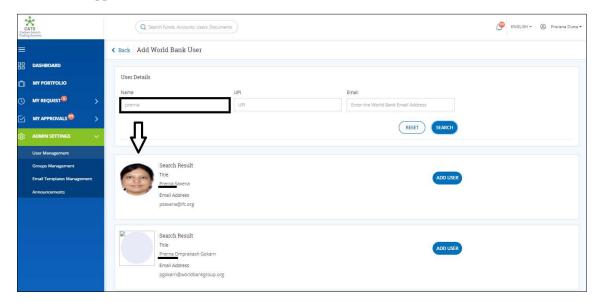
Screenshot 2: User Management page

3. Click ADD WORLD BANK USER. The Add World Bank User page appears.



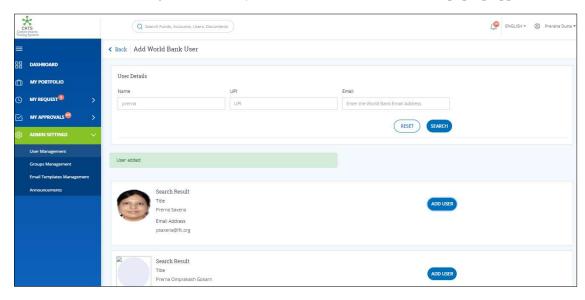
Screenshot 3: Add World Bank User page

4. Enter **Name** or **UPI** or **Email Address** of the World Bank user and click **SEARCH**. A list of users appears based on the search criteria.



Screenshot 4: Add World Bank User page

5. Click **ADD USER** against the user you want to add. The **User added** pop-up appears.



Screenshot 5: User added successfully

Adding an external user

The term external user refers to a user who is not a part of World Bank group. An external user can be invited at three levels: program, participant or third party. If we add an external user at program level, the user will be program specific. If we add an external user at participant level, the user will be participant specific and the same applies to the third party.

An external user can be added with the help of users having following roles:

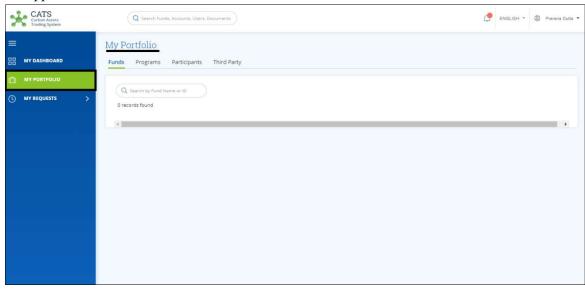
1) Invitation Contributor

2) Invitation Processor

➤ Invitation Contributor

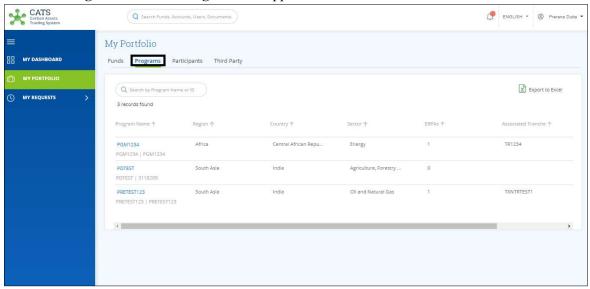
A user with the group configured with the necessary role as 'Invitation Contributor' logs in and records the details in a form on behalf of the external user. A system generated e-mail is sent to the user with the group configured with the necessary role as 'Invitation Approver' for approval.

- A. Procedural steps to be followed by the Invitation Contributor:
- 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



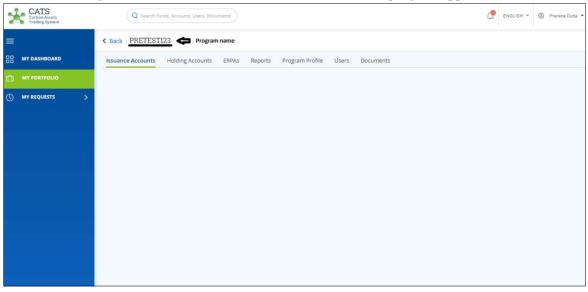
Screenshot 6: My Portfolio page

2. Click **Programs** tab. The **Programs** list appears.



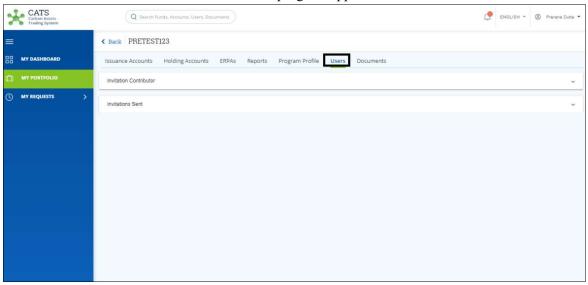
Screenshot 7: Programs list

3. Click a **Program Name**. The **Issuance Accounts** area of the program appears.



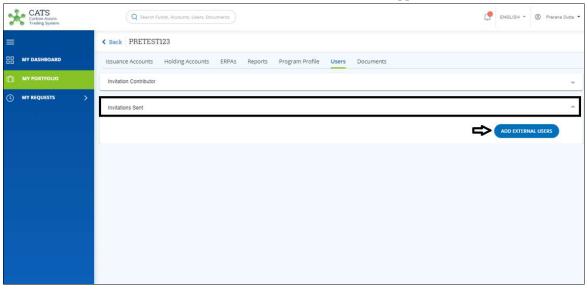
Screenshot 8: Program - Issuance Accounts area

4. Click the **Users** tab. The **Users** area of the program appears.



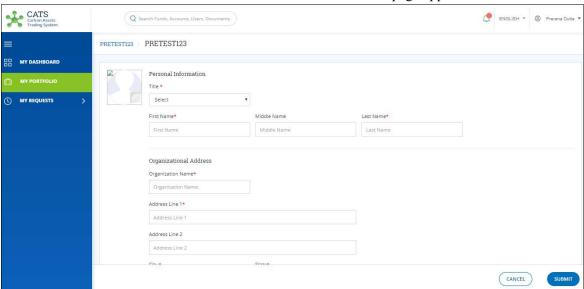
Screenshot 9: Program - Users area

5. Click **Invitations Sent**. The **ADD EXTERNAL USERS** link appears.



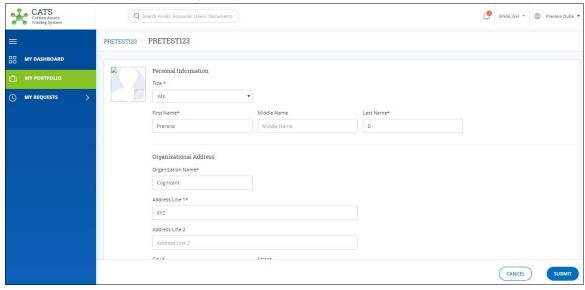
Screenshot 10: Program - Users area

6. Click **ADD EXTERNAL USERS**. The external user's details page appears.



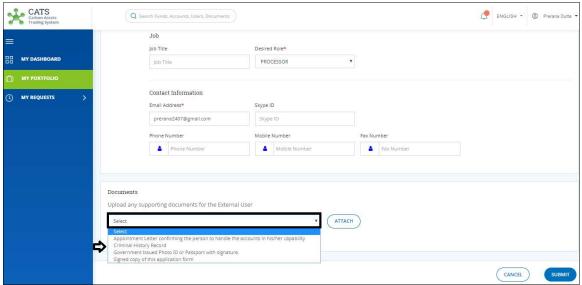
Screenshot 11: External user's details form

7. In the **Personal Information**, **Organizational Address** and **Contact Information** sections, fill all the mandatory fields marked with *.



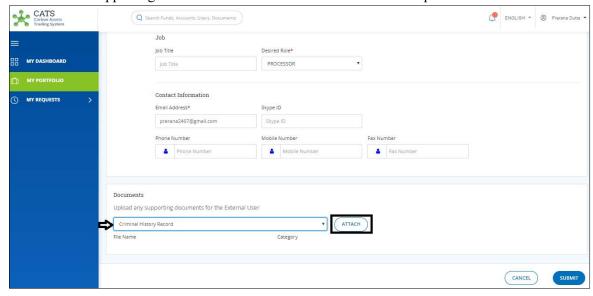
Screenshot 12: External user's details form

8. In the **Documents** section, click **Select**. A list of supporting documents appears.



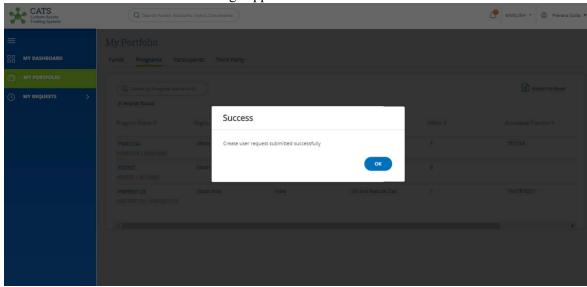
Screenshot 13: External user's details form

9. Select the supporting document from the list. Click ATTACH to upload the document.



Screenshot 14: External user's details form

10. Click SUBMIT. A Success message appears. Click OK.



Screenshot 15: Success message

<u>NOTE:</u> After the **Invitation Contributor** submits the form on behalf of the external user, a system generated mail gets triggered to the **Invitation Approver**. The invitation approver has the authority to either approve or reject the request.

B. Procedural steps to be followed by the Invitation Approver:

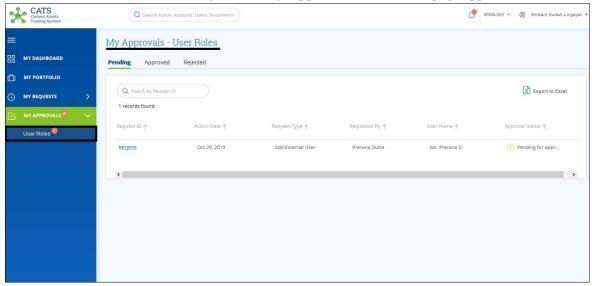
The Invitation Approver logs into the application using his e-mail and password.

1. In the left navigation pane, click MY APPROVALS. A list appears.



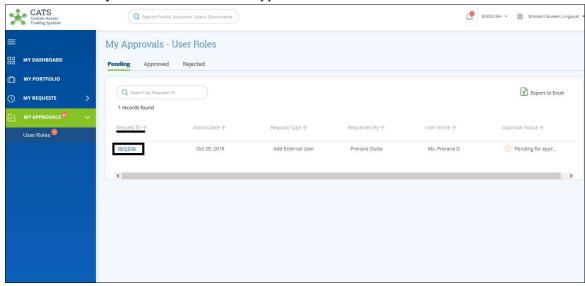
Screenshot 16: CATS homepage

2. Click User Roles. The Pending area of My Approvals -User Roles page appears.



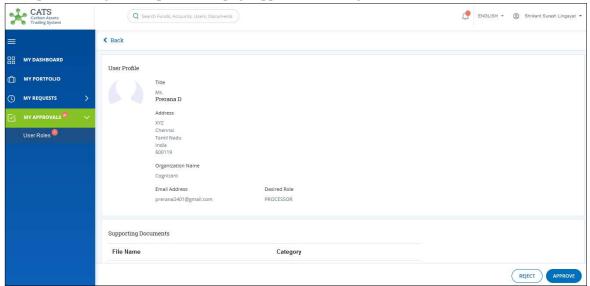
Screenshot 17: My Approvals-User Roles page

3. Click the **Request ID** that needs to be approved.



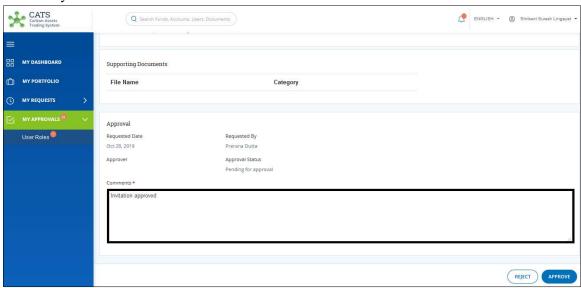
Screenshot 18: My Approvals-User Roles page

4. Upon clicking the **Request ID**, a page appears consisting of the user details.



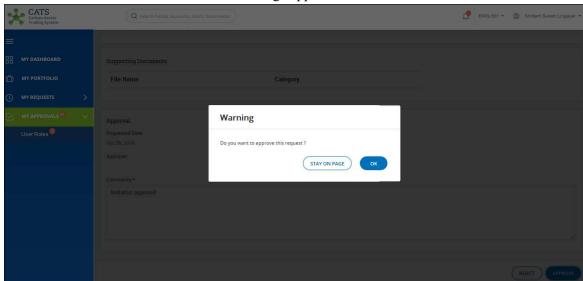
Screenshot 19: User details page

5. Enter your comments in the **Comments** section.



Screenshot 20: User details page

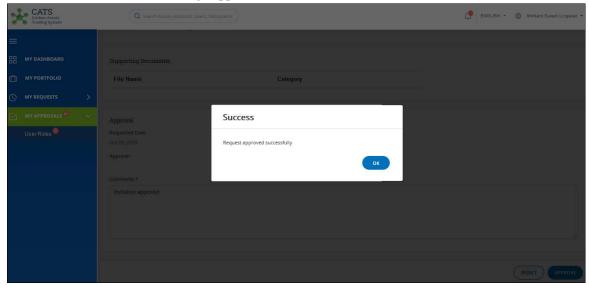
6. Click **APPROVE**. A Confirmation message appears.



Screenshot 21: Confirmation message

NOTE: The Invitation Approver need to click **REJECT** to reject a request.

7. Click **OK**. A Success message appears. Click **OK**.



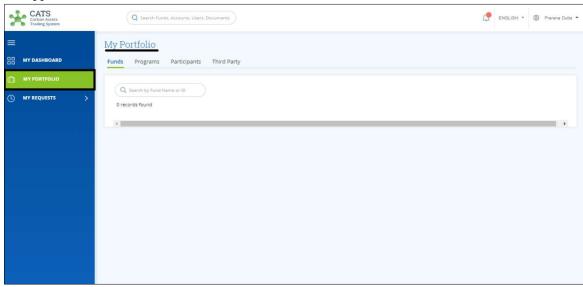
Screenshot 22: Success message

> Invitation Processor

A user with the group configured with the necessary role as 'Invitation Processor' can add an external user by sending an invite to him. The external user receives a link via system generated e-mail which he uses to authenticate himself to the CATS system. He then records his details in a form and submits it for approval. A system generated e-mail is sent to the user with the group configured with the necessary role as 'Invitation Approver' for approval.

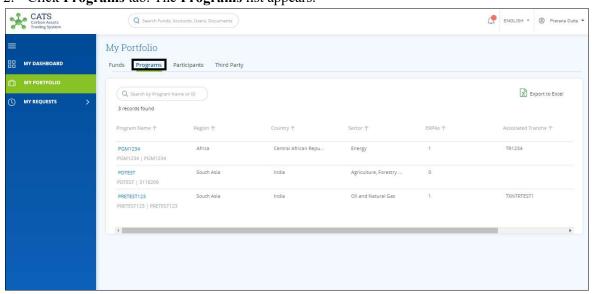
A. <u>Procedural steps to be followed by the Invitation Processor:</u>

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



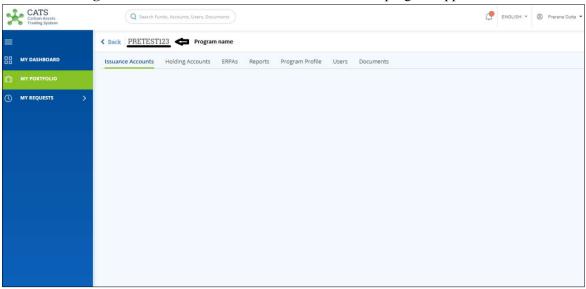
Screenshot 23: My Portfolio page

2. Click **Programs** tab. The **Programs** list appears.



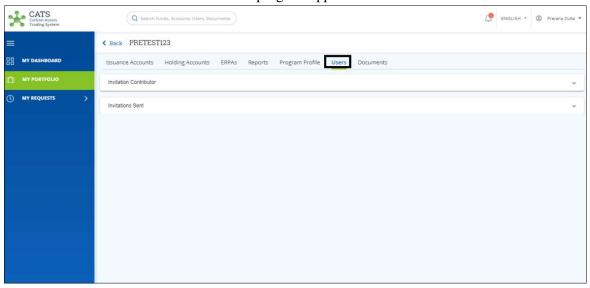
Screenshot 24: Programs list

3. Click a **Program Name**. The **Issuance Accounts** area of the program appears.



Screenshot 25: Program - Issuance Accounts area

4. Click **Users** tab. The **Users** area of the program appears.



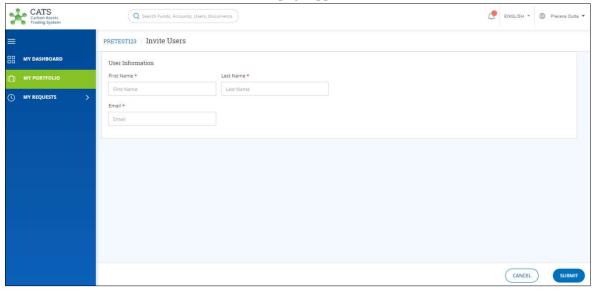
Screenshot 26: Program - Users area

5. Click **Invitations Sent**. The **INVITE USERS** link appears.



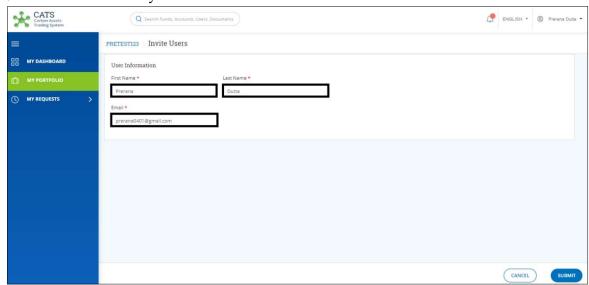
Screenshot 27: Program - Users area

6. Click **INVITE USERS**. The **Invite Users** page appears.



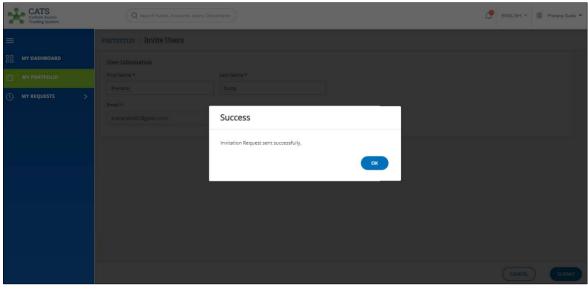
Screenshot 28: Invite Users page

7. Fill all the mandatory fields marked with *.



Screenshot 29: Invite Users page

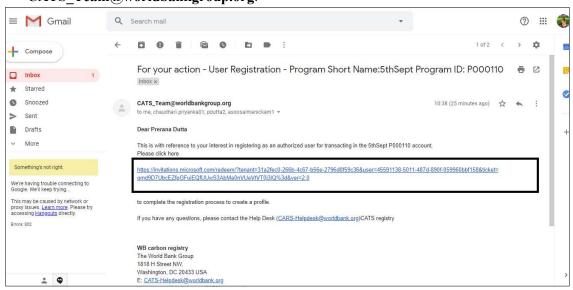
8. Click SUBMIT. A Success message appears. Click OK.



Screenshot 30: Invite Users page

B. Procedural steps to be followed by the External User:

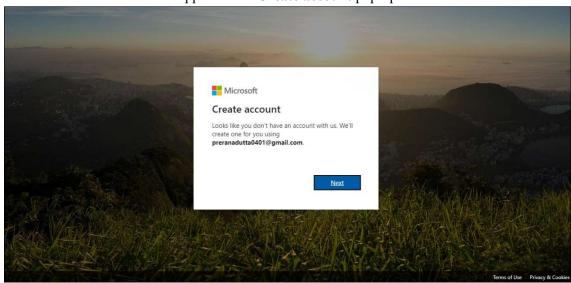
1. The external user receives a system generated e-mail from CATS_Team@worldbankgroup.org.



Screenshot 31: System generated e-mail

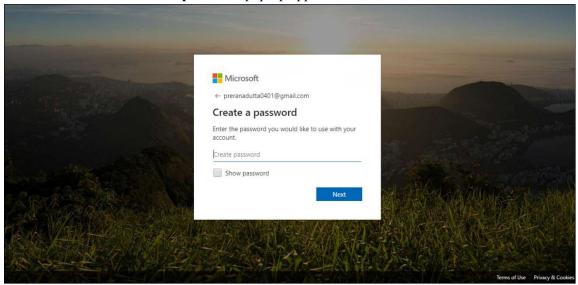
NOTE: The external user must have a Microsoft account to access the link. If not, the system will ask the user to create a new Microsoft account using the e-mail address.

2. Click the link. A window appears with **Create account** pop-up.



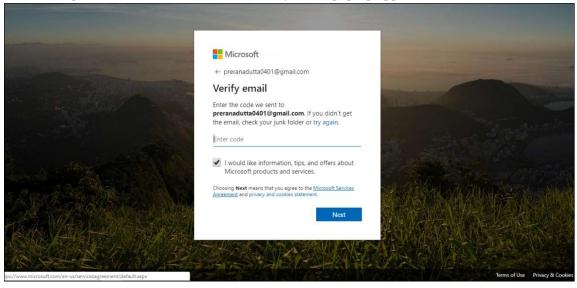
Screenshot 32: Create account pop-up

3. Click Next. The Create a password pop-up appears.



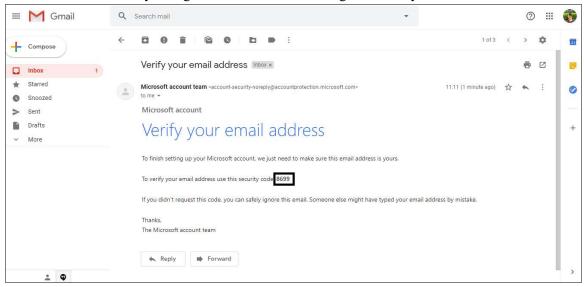
Screenshot 33: Create a password pop-up

4. Enter a password and click **Next**. The **Verify email** pop-up appears.



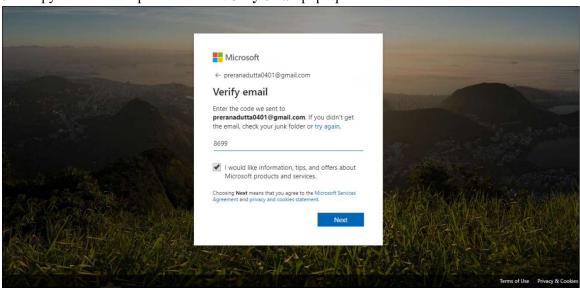
Screenshot 34: Verify email popup

5. You will receive a system generated e-mail containing the security code.



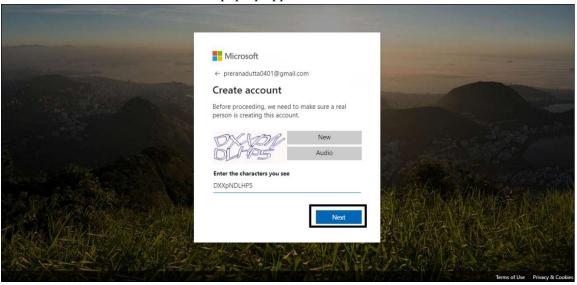
Screenshot 35: Security code e-mail

6. Copy the code and paste it in the Verify email pop-up window.



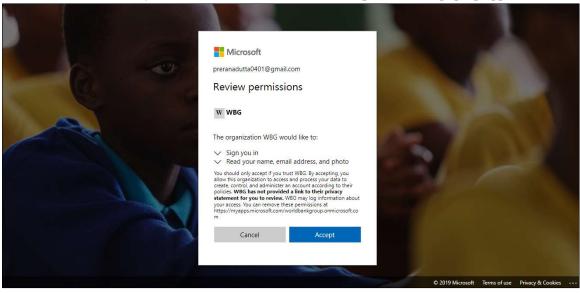
Screenshot 36: Verify email popup

7. Click **Next**. The **Create account** pop-up appears.



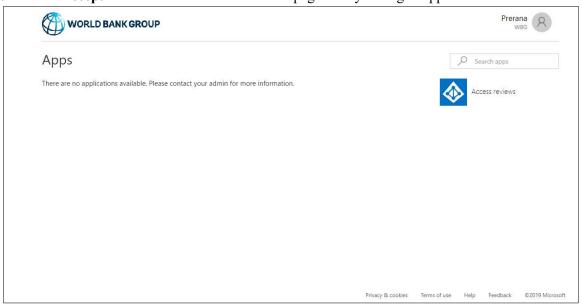
Screenshot 37: Create account pop-up

8. Enter the characters you see and click **Next**. The **Review permissions** pop-up appears.



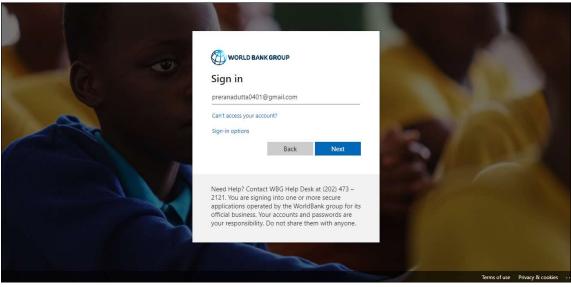
Screenshot 38: Review permissions pop-up

9. Click Accept. The WORLD BANK GROUP page with your log in appears.



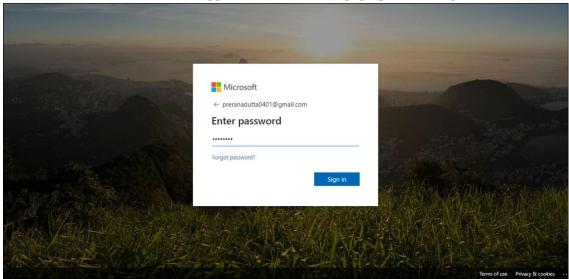
Screenshot 39: WORLD BANK GROUP page

10. Log in to the CATS application. Enter your e-mail id.



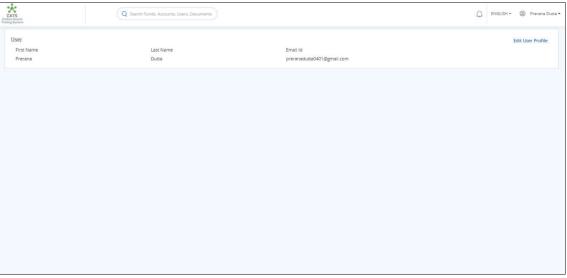
Screenshot 40: CATS login page

11. Click **NEXT**. A new window appears with **Microsoft** pop-up. Enter the password.



Screenshot 41: Microsoft sign in page

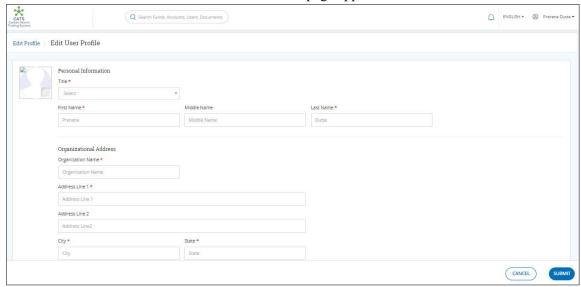
12. Click **Sign in**. The CATS application page appears.



Screenshot 42: CATS application page

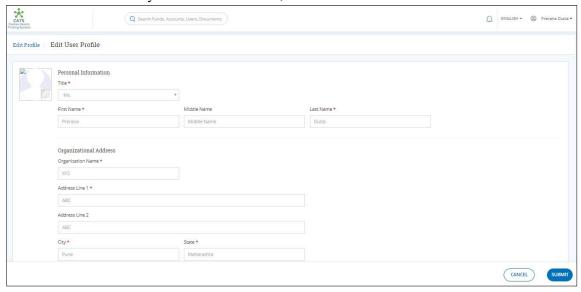
NOTE: The External user can inform Administrator to assign suitable role for accessing the application.

13. Click **Edit User Profile**. The Edit User Profile page appears.



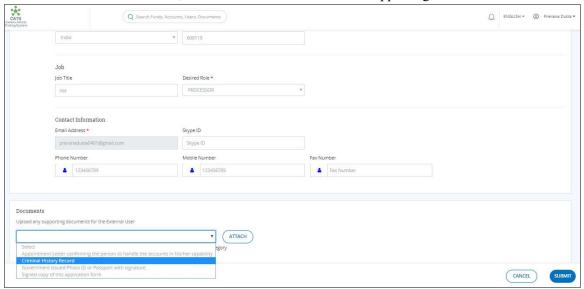
Screenshot 43: Edit User Profile page

14. Fill all the mandatory fields marked with *, in all the sections.



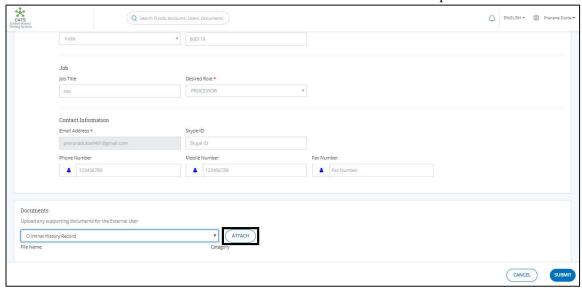
Screenshot 44: Edit User Profile page

15. In the **Documents** section, click the field to see the list of supporting documents.



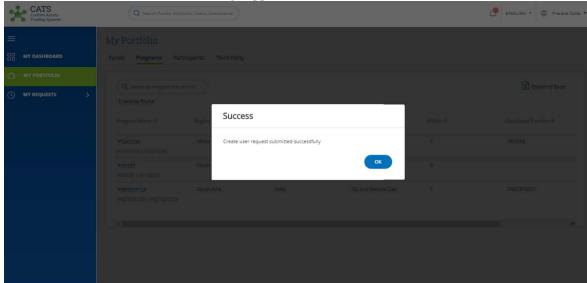
Screenshot 45: Edit User Profile page

16. Select the document to be attached from the list. Click **ATTACH** to upload the document.



Screenshot 46: Edit User Profile page

17. Click **SUBMIT**. A Success message appears. Click **OK**.



Screenshot 47: Edit User Profile page

<u>NOTE:</u> After the **External User** submits the form, a system generated mail gets triggered to the **Invitation Approver** as well as **External User**. The invitation approver has the authority to either accept or reject the request.

C. Procedural steps to be followed by the Invitation Approver:

The Invitation Approver logs into the CATS application using his e-mail and password. He then needs to follow these steps to approve or reject a request.

ii. Group Management

System administrator can create and manage groups. Managing groups involves adding users to a group and editing group permissions (if required). A group can have more than one role. Below is the list of the default groups (that are readily present in the CATS system) and the roles assigned to each group:

<u>NOTE:</u> This is the standard configuration that is presently available in the CATS system, however the administrator has the authority to create unlimited number of groups and add as many roles required under each group.

Sr #	Groups	Description	Roles	
1	D-cC M-	A		
1	Buffer Manager	Approves buffering related	•	Fund Transaction Contributor
		transactions.	•	Program Transaction Contributor
			•	Buffer Manager Restricted-Fund
			•	Buffer Manager Restricted-
				Program

2	Buffer	Initiates buffering related	Buffer Transaction Processor
	Transaction	transactions.	Restricted-Program
3	Fund Manager	Approves Tranche, ERPA & Donor agreement. Approves normal (non-buffering related) transactions.	 Fund Approver Tranche Approver ERPA Approver Donor Approver Fund Manager Restricted-Fund Fund Manager Restricted-Tranche Fund Manager Restricted-Program Close Tranche Approver Fund Manager Restricted-Participant
4	Fund Transaction Processor	Initiates all 7 entities & close tranche. Initiates normal (non-buffering) transactions.	 Fund Contributor Fund Reader Tranche Contributor Tranche Reader Program Contributor Program Reader Participant Contributor Participant Reader Third Party Contributor Third Party Reader ERPA Contributor ERPA Reader Donor Contributor Donor Reader Fund Transaction Processor Restricted -Fund Fund Transaction Processor Restricted -Program Fund Transaction Processor Restricted -Tranche Close Tranche Processor Fund Transaction Processor Restricted - Participant
5	Global Admin	Acts as a super user	 Global Admin Participant Invitation Approver Program Invitation Approver
			Third Party Invitation Approver
6	Global Reader	Acts as a global reader	Global Reader
7	Invitation Approver	Can approve external user in the system	 Program Invitation Approver Participant Invitation Approver Third Party Invitation Approver

8	Invitation Contributor	Can submit external user's application on the behalf of an external user in the system	 Program Invitation Contributor Participant Invitation Contributor Third Party Invitation Contributor
9	Invitation Processor	Can invite external user in the system	 Program Invitation Processor Participant Invitation Processor Third Party Invitation Processor
10	Participant Transaction Processor	Can initiate transactions from Participant holdings account	Participant Transaction Processor Restricted-Participant
11	Program Transaction Processor	Can initiate transactions from Program holdings account	Program Transaction Processor Restricted-Program
12	Program_Particip ant_Thirdparty Approver	Can approve transactions triggered from Participant, Program & Third-party holdings account	 Program Approver Restricted- Program Participant Approver Restricted Participant Thirdparty Approver Restricted Third party
13	Thirdparty Transaction Processor	Can initiate transactions from Third-party holdings account	Third-party Transaction Processor Restricted – Thirdparty
14	External Entities Reader (Restricted)	External Entities Reader (Restricted)	Program ReaderParticipant ReaderThird Party Reader
15	Internal Entities Reader (Restricted)	Internal Entities Reader (Restricted)	Fund ReaderTranche Reader

• Create group

This section explains how to create a group in CATS application.

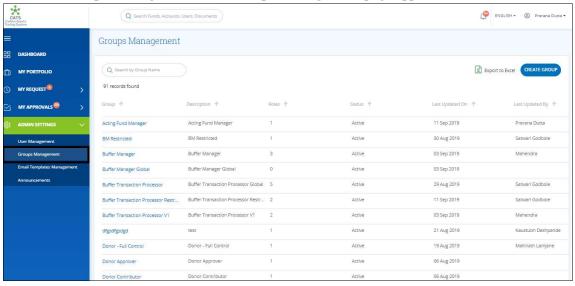
• Procedural steps:

1. In the left navigation pane, click **ADMIN SETTINGS**. The **ADMIN SETTINGS** list appears.



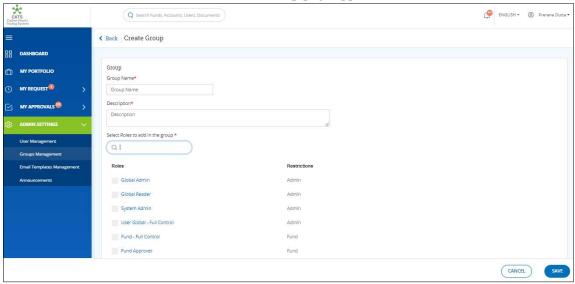
Screenshot 48: Left navigation pane

2. Click Groups Management. The Groups Management page appears.



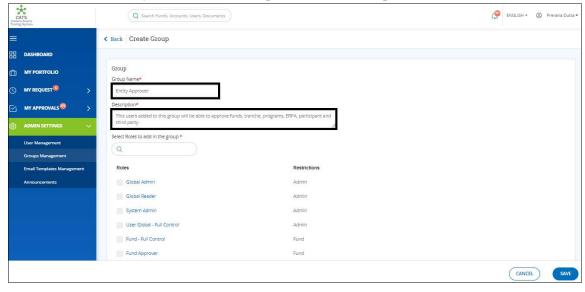
Screenshot 49: Groups Management page

3. Click **CREATE GROUP**. The **Create Group** page appears.



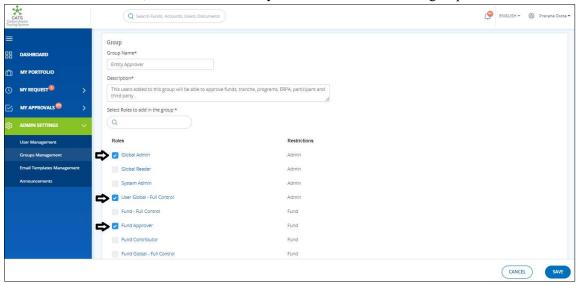
Screenshot 50: Create Group page

4. Enter the mandatory details in the **Group Name** and **Description** boxes.



Screenshot 51: Create Group page

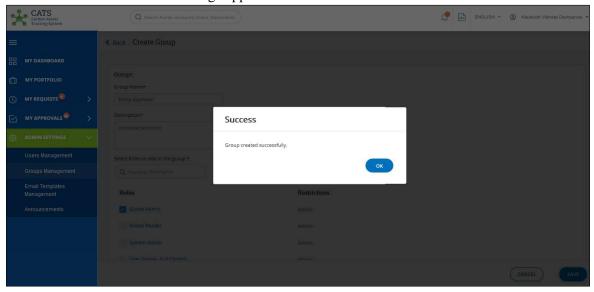
5. In the **Roles** section, select the roles that you want to add in the new group.



Screenshot 52: Create Group page

NOTE: There are no restrictions on the number of roles to be added in a group.

6. Click SAVE. A success message appears. Click OK.



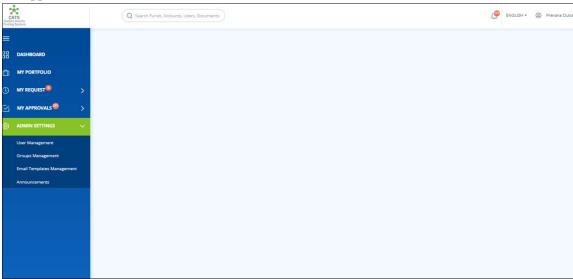
Screenshot 53: Success Message

• Edit a group

This section explains how to edit a group in CATS application.

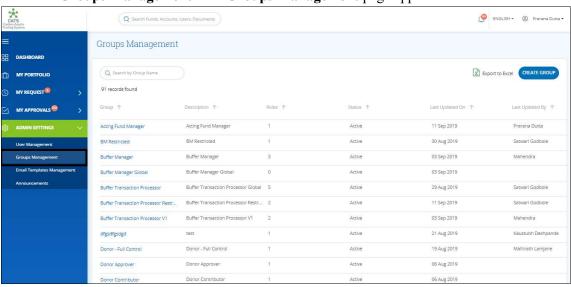
• Procedural steps:

1. In the left navigation pane, click **ADMIN SETTINGS**. The **ADMIN SETTINGS** list appears.



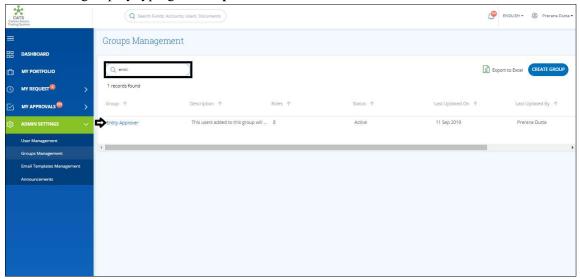
Screenshot 54: Left navigation pane

2. Click Groups Management. The Groups Management page appears.



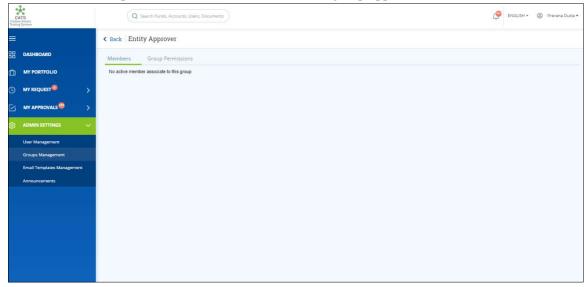
Screenshot 55: Groups Management page

3. Search a group by typing a **Group Name** in the search box.



Screenshot 56: Groups Management page

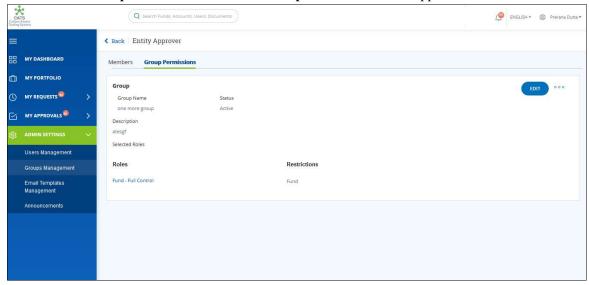
4. Click the **Group Name**. The **Members** area of the group appears.



Screenshot 57: Members area

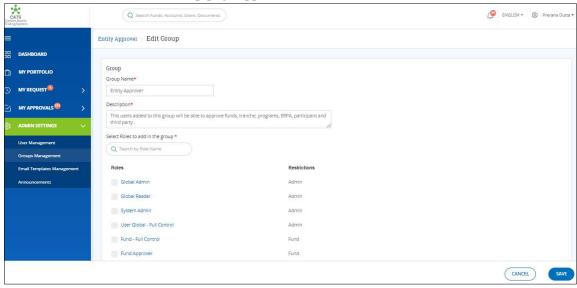
<u>NOTE:</u> A message No active member associated to this group appears in the Members area, as no users are linked to the group.

5. Click the **Group Permissions** tab. The **Group Permissions** area appears.



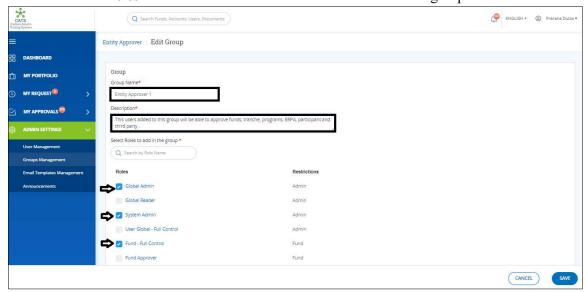
Screenshot 58: Group Permissions area

6. Click **EDIT**. The **Edit Group** page appears.



Screenshot 59: Edit Group page

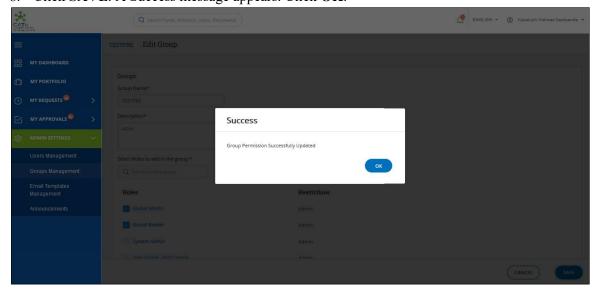
7. Edit the required fields. Select the **roles** check boxes, for the roles to be added in the group and clear the **roles** checkboxes for the roles to be removed from the group.



Screenshot 60: Edit Group page

NOTE: The roles checkboxes can be cleared only if a user is not added to the group. If a user is added to the group, the selected check boxes cannot be cleared.

8. Click SAVE. A Success message appears. Click OK.

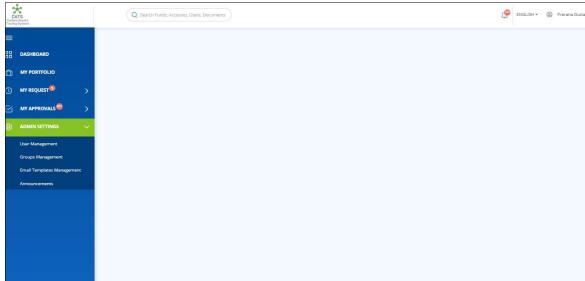


Screenshot 61: Success Message

• Add a user to a group

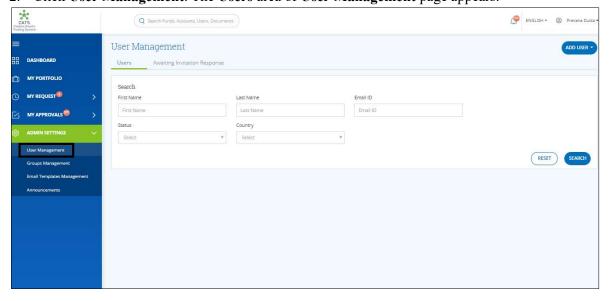
This section explains how to add a user to a group in CATS application.

- Procedural steps:
 - 1. In the left navigation pane, click **ADMIN SETTINGS**. The **ADMIN SETTINGS** list appears.



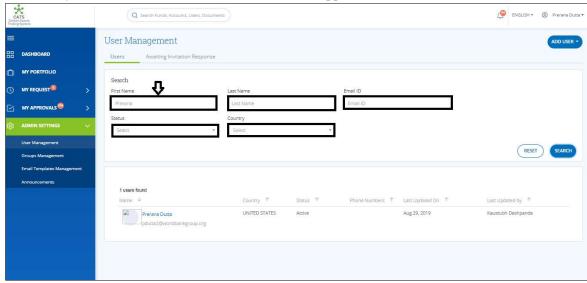
Screenshot 62: Left navigation pane

2. Click User Management. The Users area of User Management page appears.



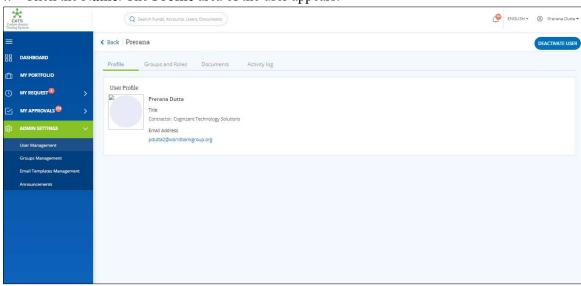
Screenshot 63: User Management page

3. Fill any of the five fields. Click **SEARCH**. A list appears below the **Search** section.



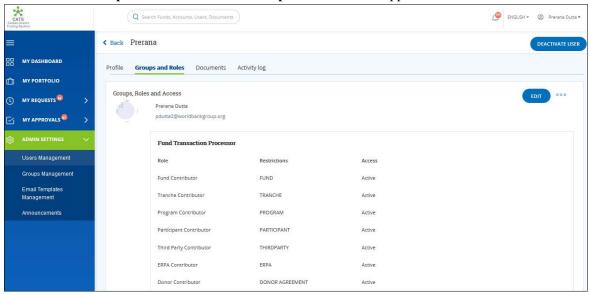
Screenshot 64: User Management page

4. Click the **Name**. The **Profile** area of the user appears.



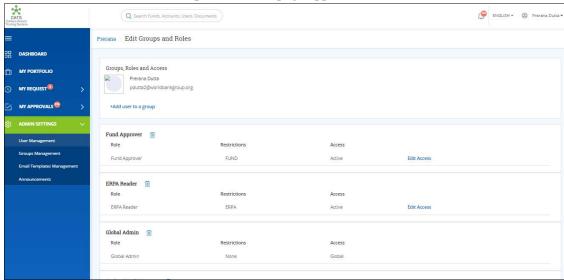
Screenshot 65: Profile area

5. Click the Group and Roles tab. The Group and Roles area appears.



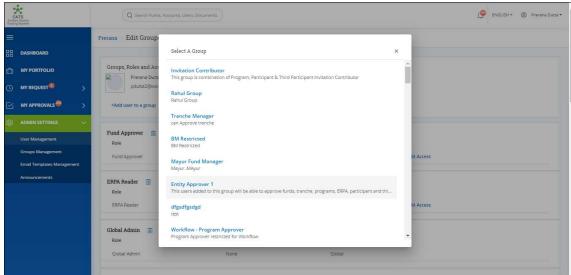
Screenshot 66: Group and Roles area

6. Click **EDIT**. The **Edit Groups and Roles** page appears.



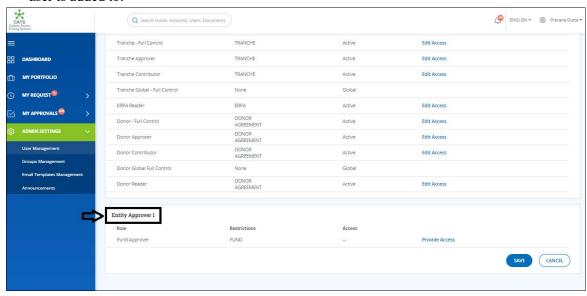
Screenshot 67: Edit Groups and Roles page

7. Click +Add user to a group. The Select A Group pop-up window appears.



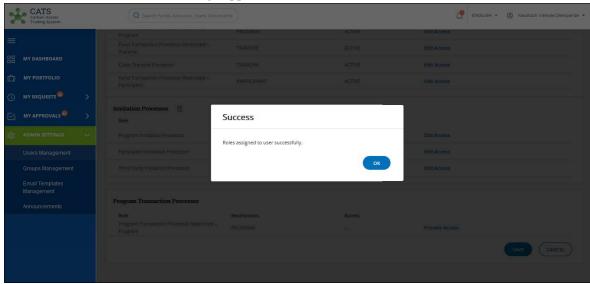
Screenshot 68: Select A Group pop-up

8. Click a Group such as **Entity Approver 1**. The group gets added to the list of groups the user is added to.



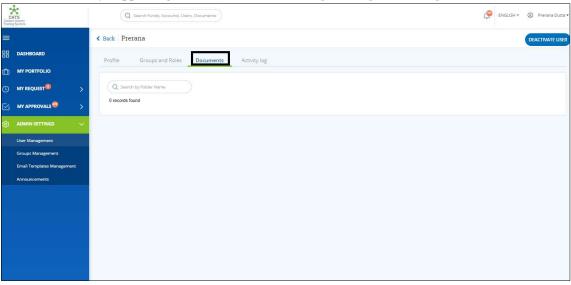
Screenshot 69: Edit Groups and Roles page

9. Click SAVE. A success message appears. Click OK.



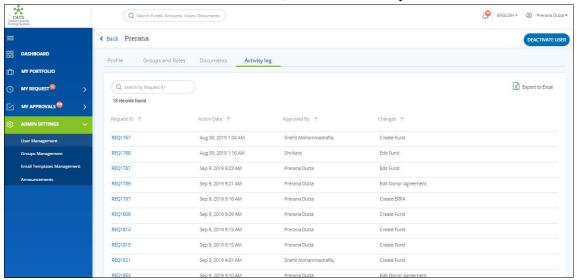
Screenshot 70: Edit Groups and Roles page

10. Click the **Documents** tab. The **Documents** area appears. This area shows if the user has submitted any supporting documents while creating, editing or deleting the entities.



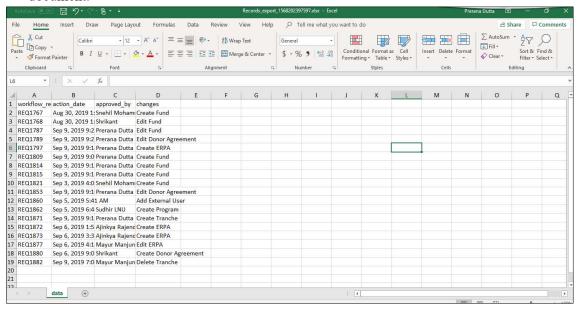
Screenshot 71: Documents area

11. Click the **Activity Log** tab. The **Activity Log** area appears. This area shows the information about the list of entities created, edited or deleted by the user.



Screenshot 72: Activity log area

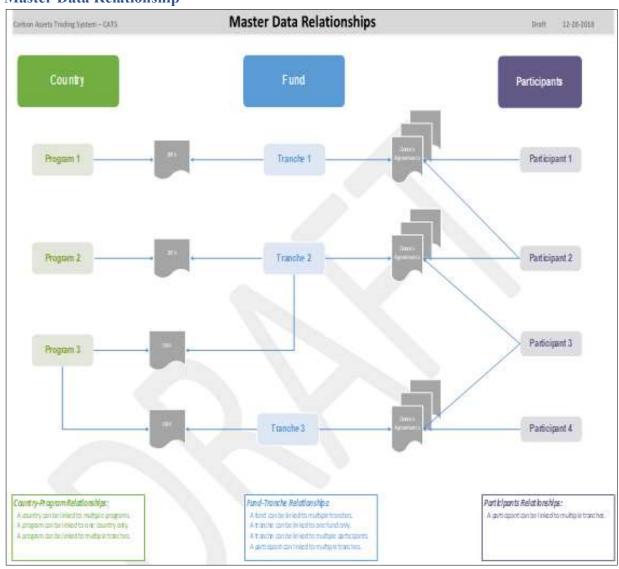
12. Click **Export to Excel** to download the **Activity Log** details in the form of an Excel document.



Screenshot 73: Activity Log details captured in Excel document

5. Master Data Management

i. Master Data Relationship



Screenshot 74: Master Data Relationships

ii. Entity Creation & Approval Matrix

Entities	Operations	Creator	Approver
Fund	Create fund	Fund Transaction Processor	Administrator
	Edit Fund	Fund Transaction Processor	Administrator
	Delete fund	Fund Transaction Processor	Administrator
Tranche	Create tranche	Fund Transaction Processor	Fund Manager
	Edit tranche	Fund Transaction Processor	Fund Manager
	Delete tranche	Fund Transaction Processor	Fund Manager
	Close tranche	Fund Transaction Processor	Fund Manager
Participant	Create participant	Fund Transaction Processor	Administrator
	Edit participant	Fund Transaction Processor	Administrator
	Delete participant	Fund Transaction Processor	Administrator
Third party	Create third party	Fund Transaction Processor	Administrator
	Edit third party	Fund Transaction Processor	Administrator
	Delete third party	Fund Transaction Processor	Administrator
Program	Create program	Fund Transaction Processor	Administrator
	Edit program	Fund Transaction Processor	Administrator
	Delete program	Fund Transaction Processor	Administrator
ERPA	Create	Fund Transaction Processor	Fund Manager
	Edit	Fund Transaction Processor	Fund Manager
	Delete	Fund Transaction Processor	Fund Manager
Donor Agreement	Create	Fund Transaction Processor	Fund Manager
	Edit	Fund Transaction Processor	Fund Manager
	Delete	Fund Transaction Processor	Fund Manager

Table 1: Entity creation and approval matrix

iii. Procedural Steps

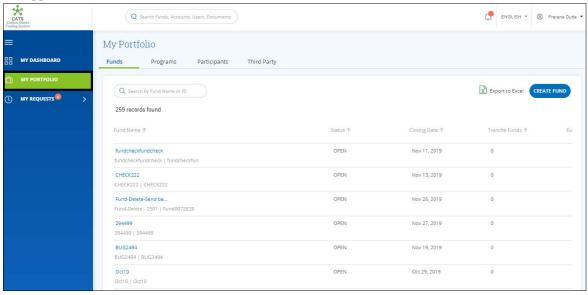
This section explains how to create, edit, and delete various entities.

A. Fund

Create Fund

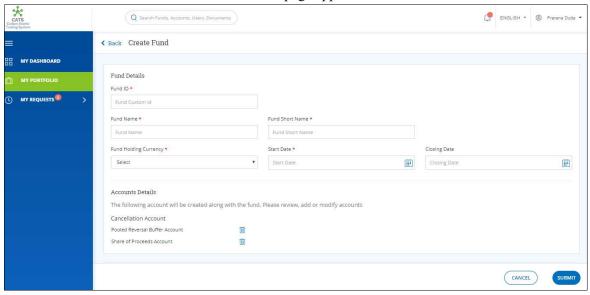
A Fund Transaction Processor can create a new fund by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



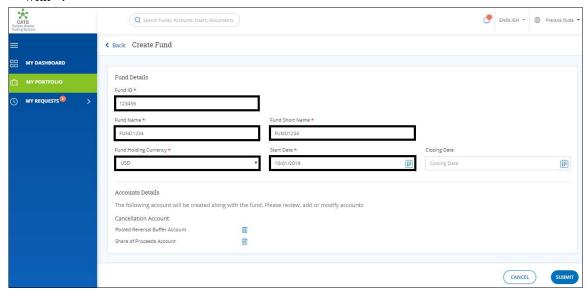
Screenshot 75: My Portfolio page

2. Click CREATE FUND. The Create Fund page appears.



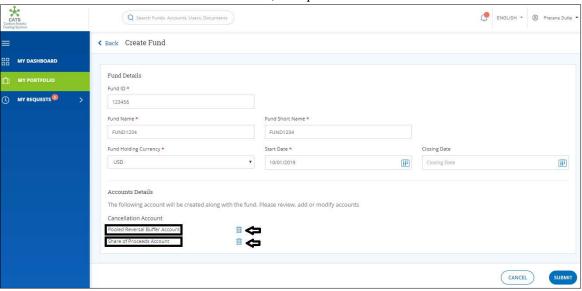
Screenshot 76: Create Fund page

3. In the **Fund Details** section, enter the mandatory fund details in the boxes that are marked with *.



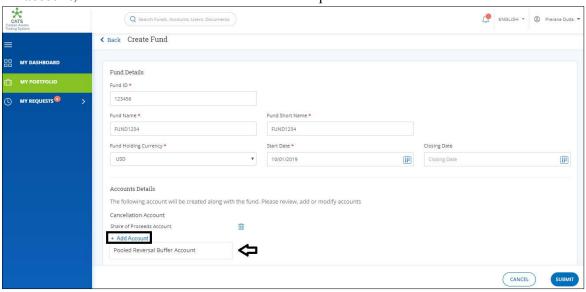
Screenshot 77: Fund Details section

4. In the Account Details section, click the bin icons () to delete Pooled Reversal Buffer Account and Share of Proceeds Account, if required.



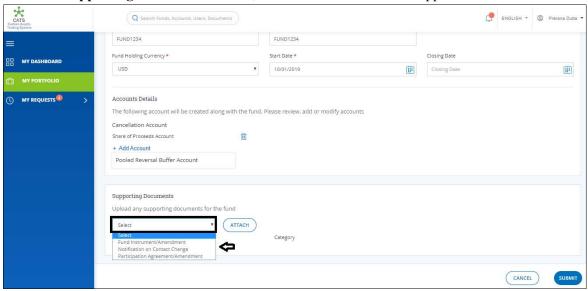
Screenshot 78: Accounts Details section

5. Click Add account. Click Pooled Reversal Buffer Account and/or Share of Proceeds account, to add them back to account details if required.



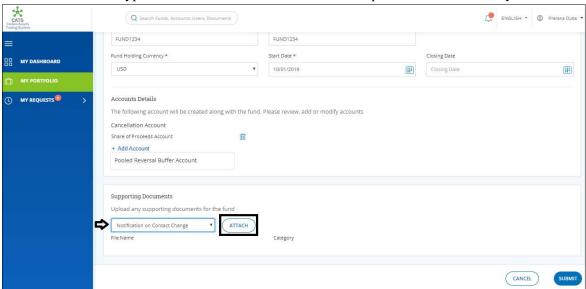
Screenshot 79: Accounts Details section

6. In the **Supporting Documents** section, click the **Select** box. A list appears.



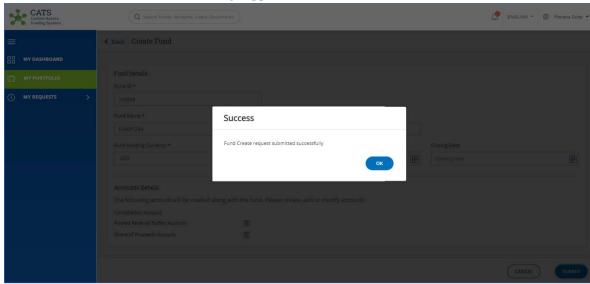
Screenshot 80: Supporting Documents section

7. Click document type from the list and click **ATTACH** to upload a document if any.



Screenshot 81: Supporting Documents section

8. Click SUBMIT. A Success message appears. Click OK.



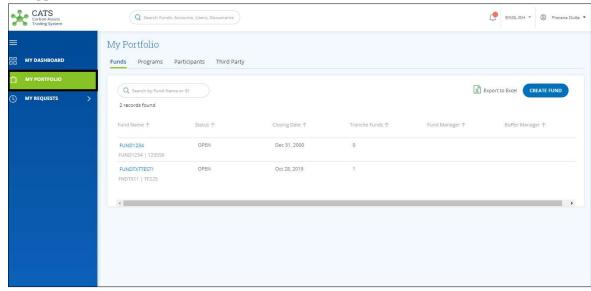
Screenshot 82: Create Fund area

<u>NOTE</u>: After the fund creation request is submitted, it is routed to the administrator for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

Edit Fund

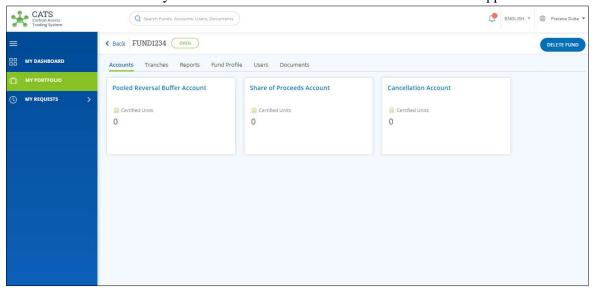
A Fund Transaction processor (FTP) can edit a fund that already exists in the system by following the below steps:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



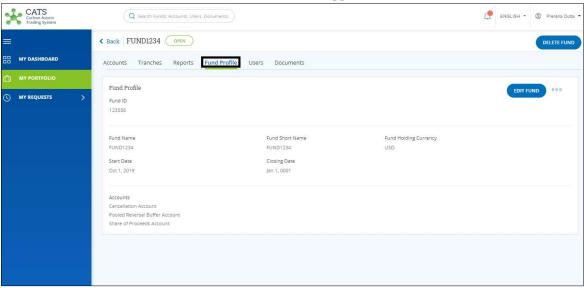
Screenshot 83: My Portfolio page

2. Click the **Fund Name** you want to edit. The fund **Accounts** area of the fund appears.



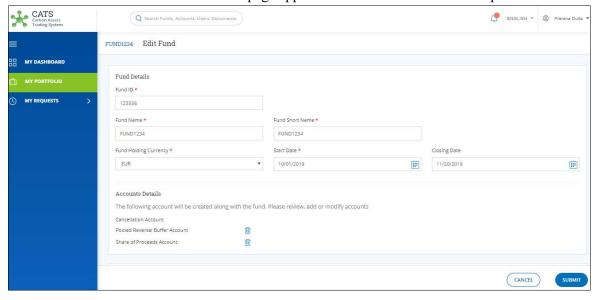
Screenshot 84: Fund - Accounts area

3. Click the **Fund Profile** tab. The **Fund Profile** area appears.



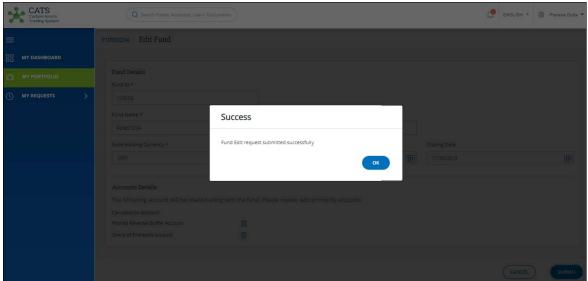
Screenshot 85: Fund Profile area

4. Click **EDIT FUND**. The **Edit Fund** page appears. Edit the fields wherever required.



Screenshot 86: Edit Fund page

5. Click SUBMIT. A Success message appears. Click OK.



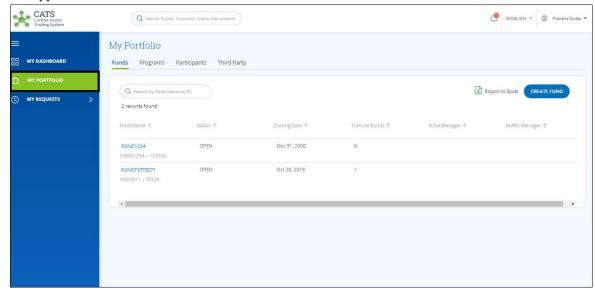
Screenshot 87: Edit Fund page

<u>NOTE</u>: After the fund edition request is submitted, it is routed to the administrator for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Delete Fund

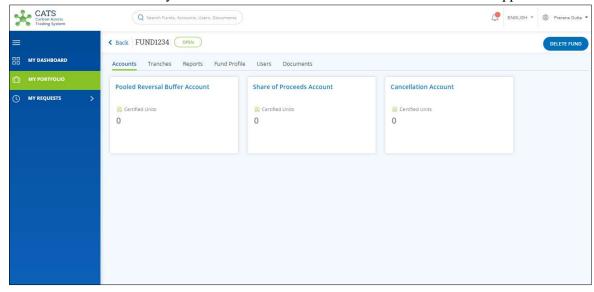
A Fund Transaction processor (FTP) can delete a fund that already exists in the system. The FTP needs to follow the below steps to delete a fund:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list in **My Portfolio** page appears.



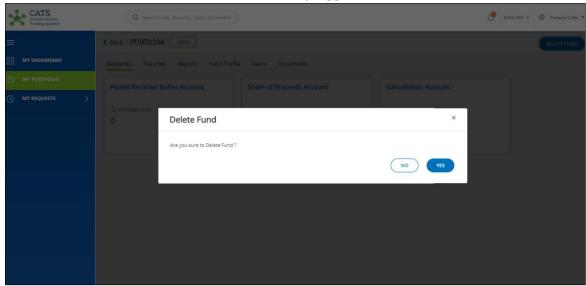
Screenshot 88: My Portfolio page

2. Click the **Fund Name** you want to delete. The fund **Accounts** area of the fund appears.



Screenshot 89: Fund - Accounts area

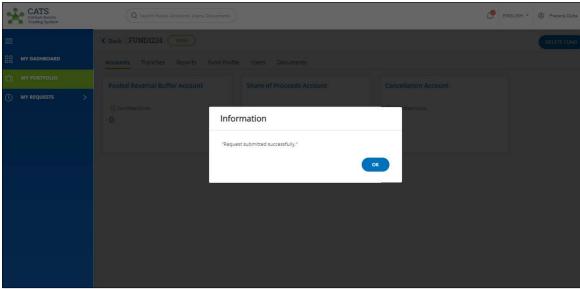
3. Click **DELETE FUND**. A confirmation message appears.



Screenshot 90: Confirmation message

NOTE: The system will not allow to delete fund if a tranche is associated with it.

4. Click Yes. A success message appears. Click OK.



Screenshot 91: Success message

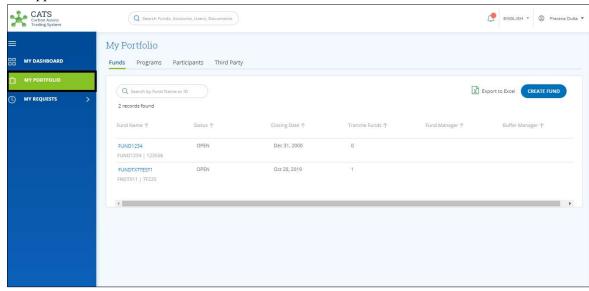
<u>NOTE</u>: After the fund deletion request is submitted, it is routed to the administrator for approval. The request can be either <u>approved</u> or <u>rejected</u>.

B. Tranche

• Create Tranche

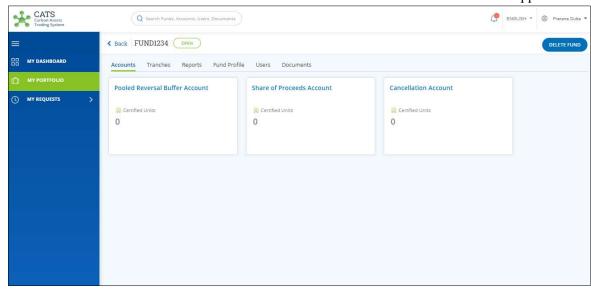
A Fund Transaction Processor can create a new tranche by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



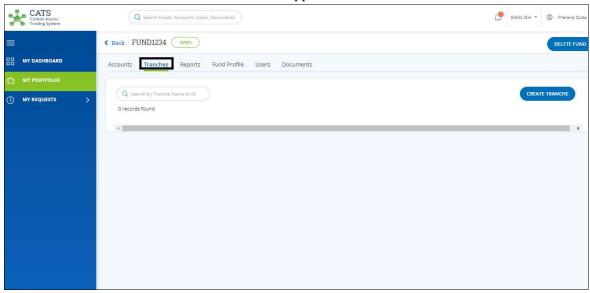
Screenshot 92: My Portfolio page

2. Click the **Fund Name** for which tranche is to be created. The fund **Accounts** area appears.



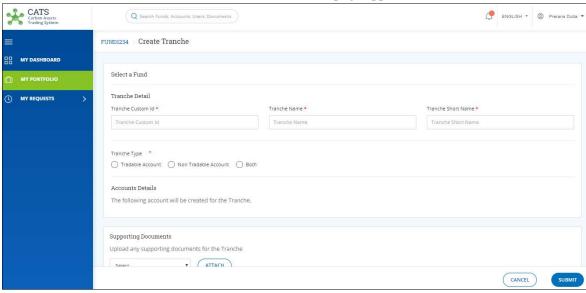
Screenshot 93: Fund - Accounts area

3. Click the **Tranches** tab. The **Tranches** area appears.



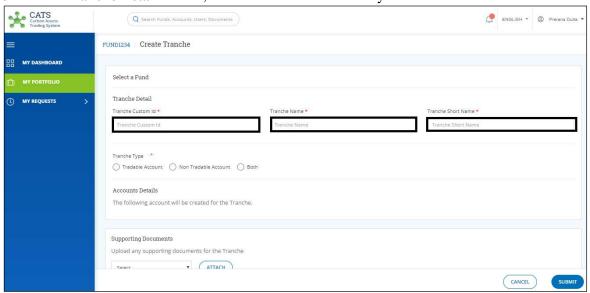
Screenshot 94: Tranche area

4. Click CREATE TRANCHE. The Create Tranche page appears.



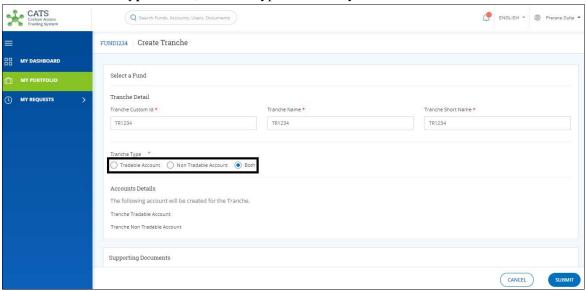
Screenshot 95: Create Tranche page

5. In the **Tranche Detail** section, enter details in the mandatory fields marked with *.



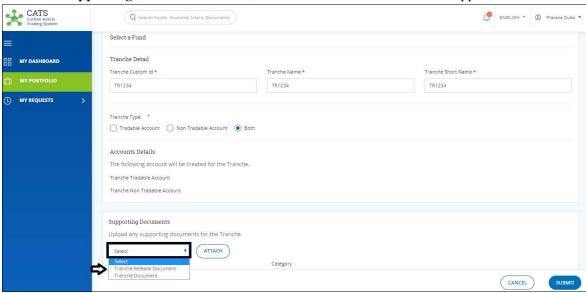
Screenshot 96: Create Tranche page

6. In the **Tranche Type** section, click the type of tranche you want.



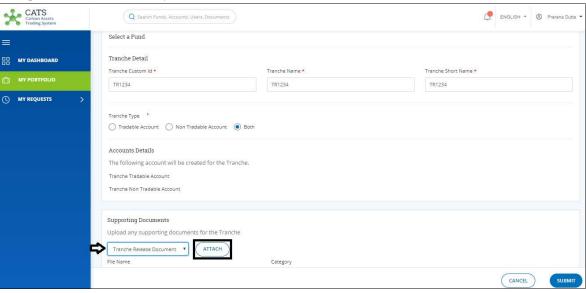
Screenshot 97: Create Tranche page

8. In the **Supporting Documents** section, click **Select**. A list of documents appears.



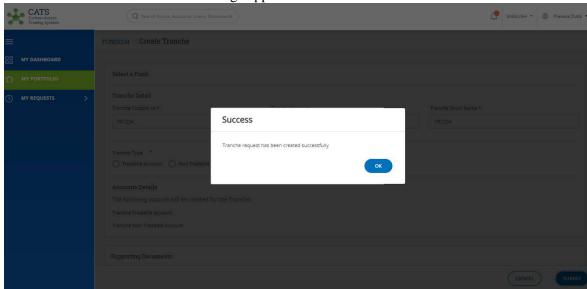
Screenshot 98: Create Tranche page

9. From the list, click the supporting document that you want to upload. Click **ATTACH** to upload a document if any.



Screenshot 99: Create Tranche page

10. Click SUBMIT. A Success message appears. Click OK.



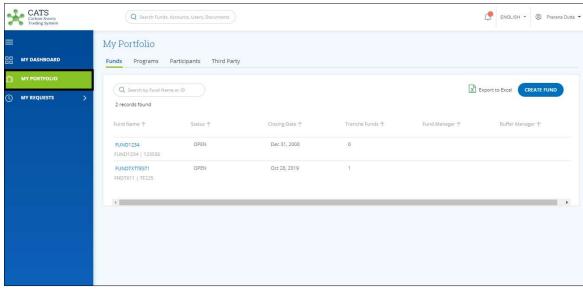
Screenshot 100: Create Tranche page

<u>NOTE</u>: After the tranche creation request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Edit Tranche

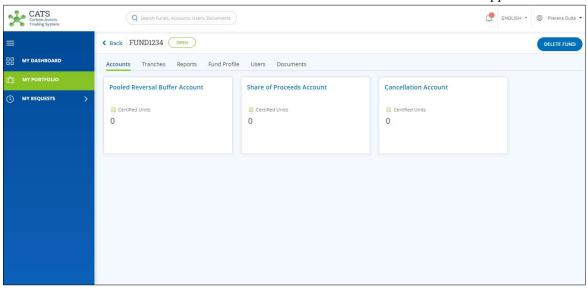
A Fund Transaction Processor (FTP) can edit a tranche that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



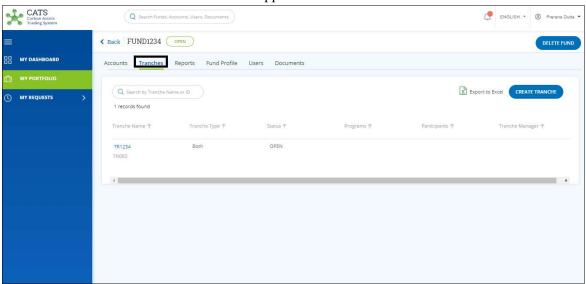
Screenshot 101: My Portfolio page

2. Click the **Fund Name** whose tranche is to be edited. The fund **Accounts** area appears.



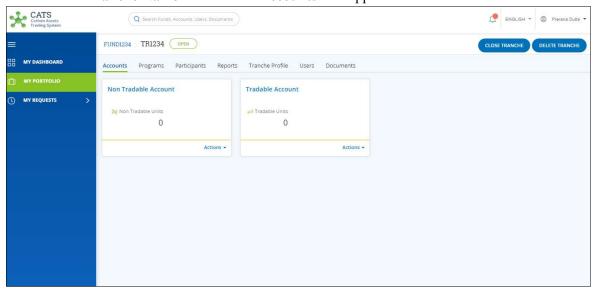
Screenshot 102: Fund - Accounts area

3. Click **Tranches** tab. The **Tranches** list appears.



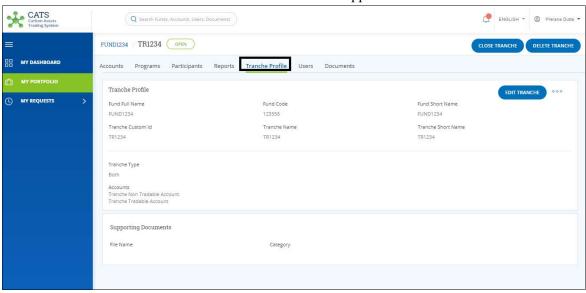
Screenshot 103: Tranches list

4. Click the **Tranche Name**. The tranche **Accounts** area appears.



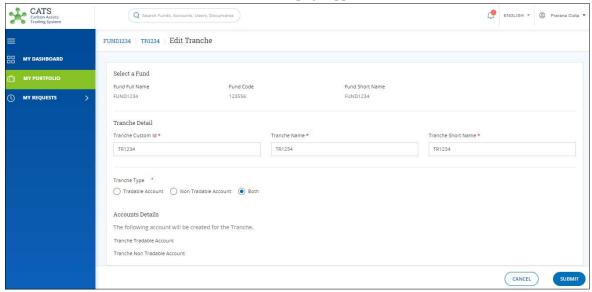
Screenshot 104: Tranche - Accounts area

5. Click **Tranche Profile** tab. The **Tranche Profile** area appears.



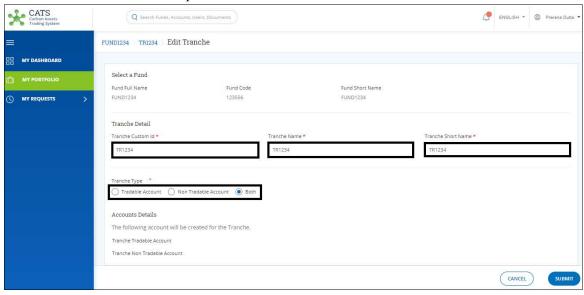
Screenshot 105: Tranche Profile area

6. Click **EDIT TRANCHE**. The **Edit Tranche** page appears.



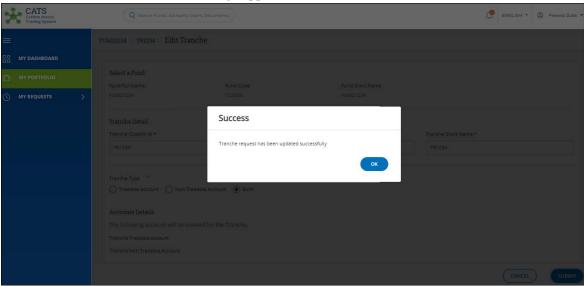
Screenshot 106: Edit Tranche page

7. Edit the fields wherever required.



Screenshot 107: Edit Tranche page

8. Click SUBMIT. A Success message appears. Click OK.



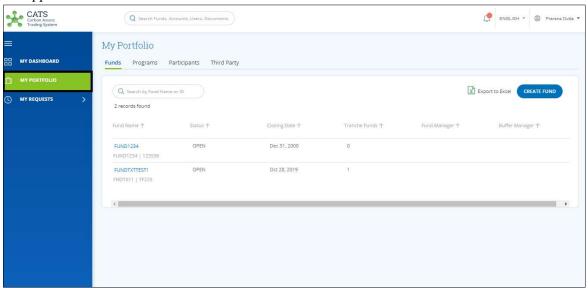
Screenshot 108: Edit Tranche page

<u>NOTE</u>: After the tranche edition request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

Delete Tranche

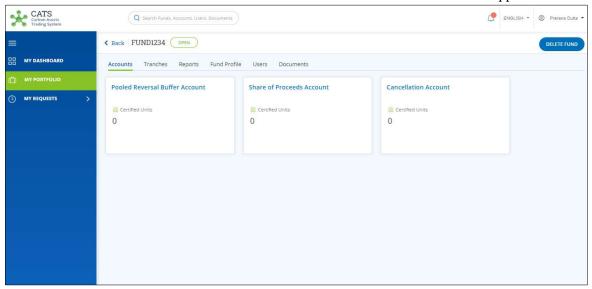
A Fund Transaction Processor (FTP) can delete a tranche that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



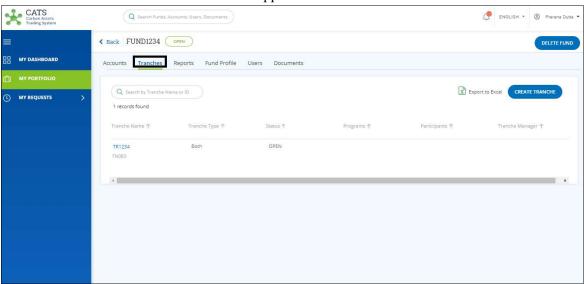
Screenshot 109: My Portfolio page

2. Click the **Fund Name** whose tranche is to be deleted. The fund **Accounts** area appears.



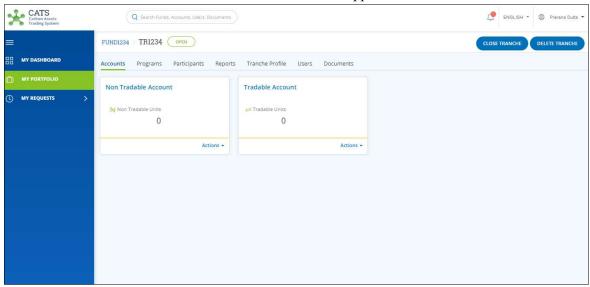
Screenshot 110: Fund - Accounts area

3. Click **Tranches** tab. The **Tranches** list appears.



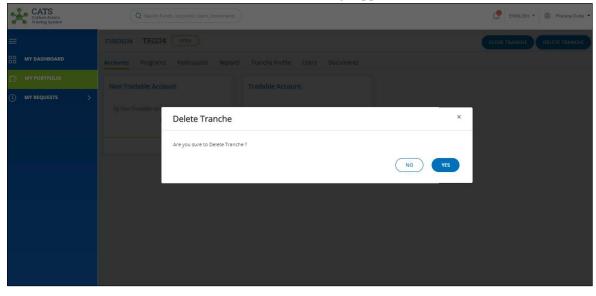
Screenshot 111: Tranches list

4. Click the **Tranche Name**. The tranche **Accounts** area appears.



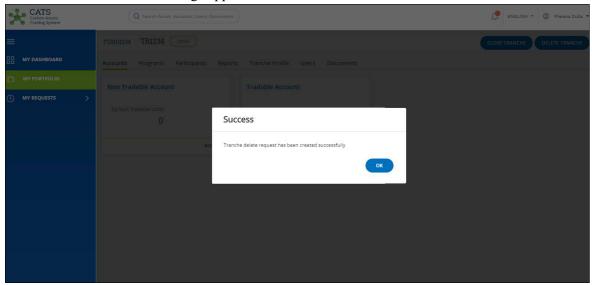
Screenshot 112: Tranche - Accounts area

5. Click **DELETE TRANCHE**. A confirmation message appears.



Screenshot 113: Delete Tranche message

6. Click Yes. A success message appears. Click OK.

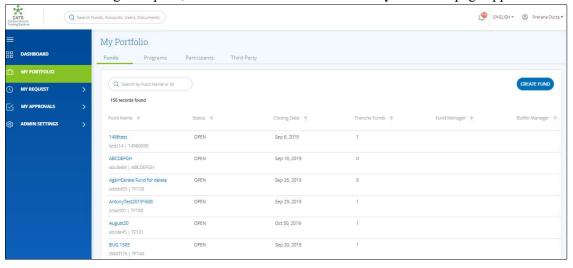


Screenshot 114: Success message

<u>NOTE</u>: After the tranche deletion request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u> or <u>rejected</u>.

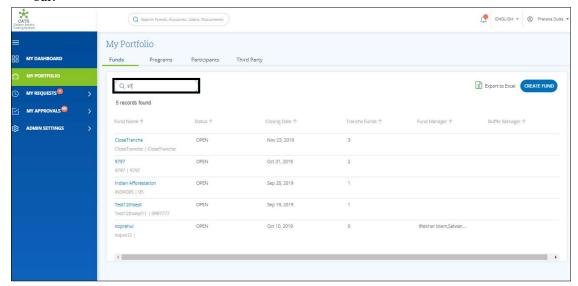
• Close Tranche

1. In the left navigation pane, click MY PORTFOLIO. The My Portfolio page appears.



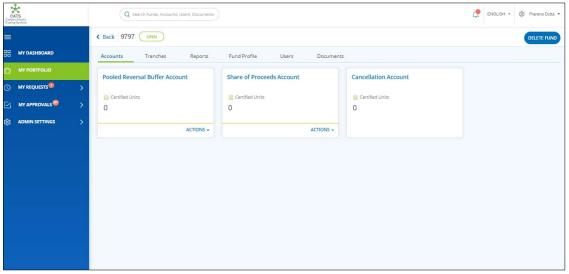
Screenshot 115: My Portfolio page

2. Search the fund name whose tranche you want to close, by typing a keyword in the search bar.



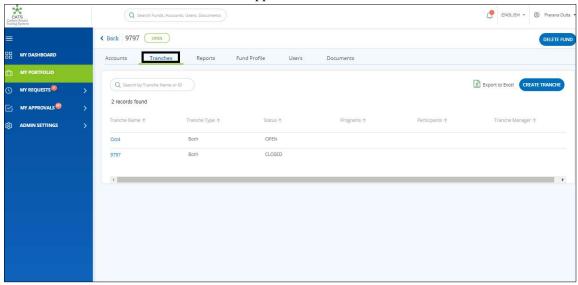
Screenshot 116: My Portfolio page

3. Click the fund name. The **Accounts** area appears.



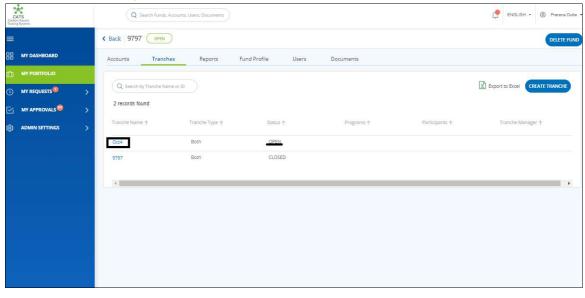
Screenshot 117: Accounts area

4. Click **Tranche** tab. The **Tranche** list appears.



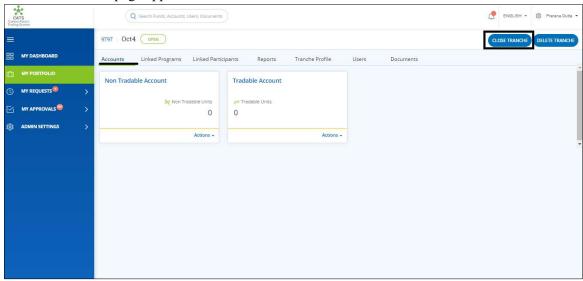
Screenshot 118: Tranches area

5. Click the **Tranche Name** which has an **OPEN** status. The **CLOSED** status says that the tranche has already been closed.



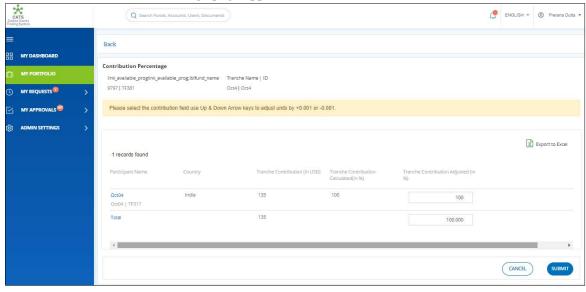
Screenshot 119: Tranches area

6. The Accounts page appears. Click CLOSE TRANCHE.



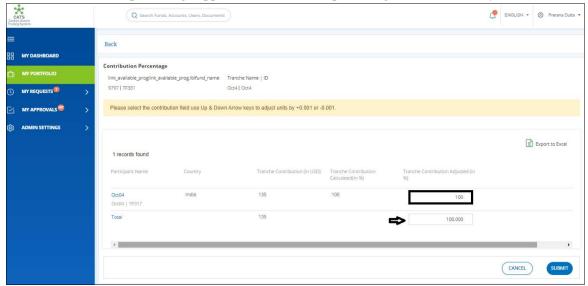
Screenshot 120: Accounts area

7. The Contribution Percentage page appears.



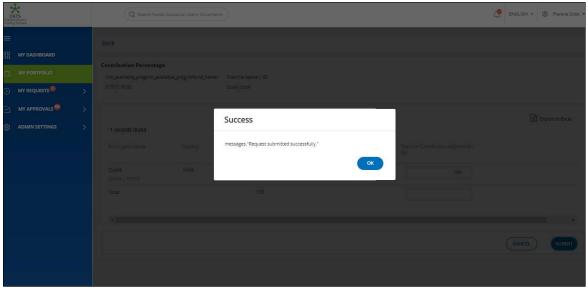
Screenshot 121: Contribution Percentage page

8. The contribution percentage appears as 100%. This percentage can be varied by 0.001%.



Screenshot 122: Contribution Percentage page

9. Click SUBMIT. The SUCCESS dialog box appears. Click OK.



Screenshot 123: Contribution Percentage page

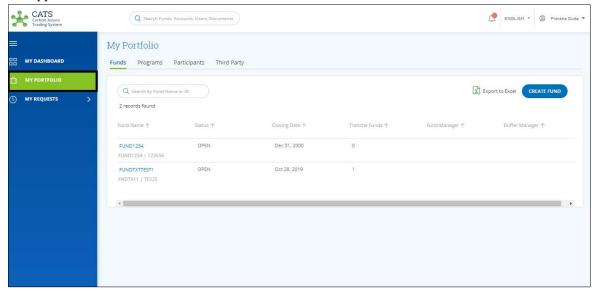
10. After we click **SUBMIT**, the tranche deletion request is either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

C. Participant

• Create Participant

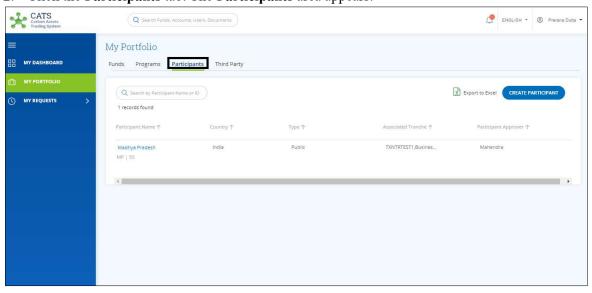
A Fund Transaction Processor can create a new participant by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



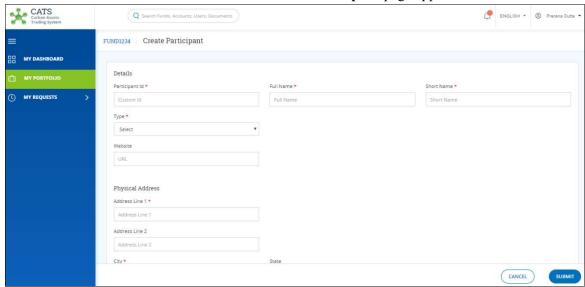
Screenshot 124: My Portfolio page

2. Click the **Participants** tab. The **Participants** area appears.



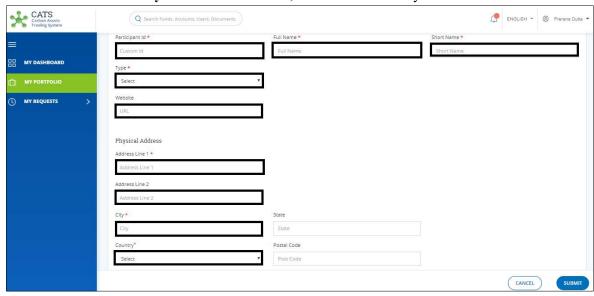
Screenshot 125: Participants area

3. Click CREATE PARTICIPANT. The Create Participant page appears.



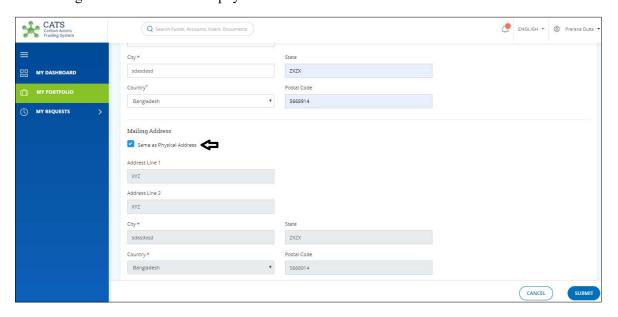
Screenshot 126: Create Participant page

4. In the **Details** and **Physical Address** section, fill all the mandatory fields marked with *.



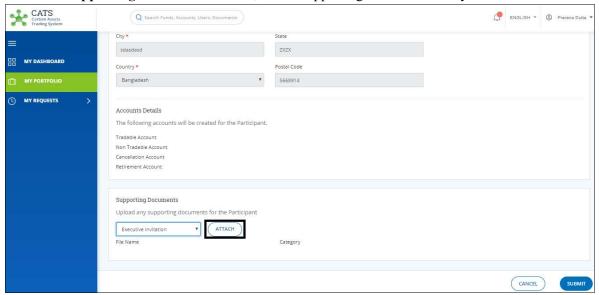
Screenshot 127: Create Participant page

5. In the **Mailing Address** section, select the **Same as Physical Address** check box if your mailing address is same as the physical address.



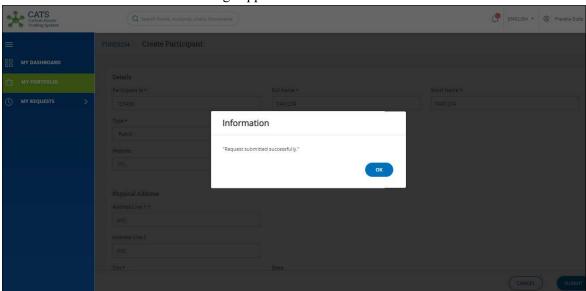
Screenshot 128: Mailing Address section

6. In the **Supporting Documents** section, attach supporting documents if any.



Screenshot 129: Supporting Documents section

7. Click SUBMIT. A success message appears. Click OK.



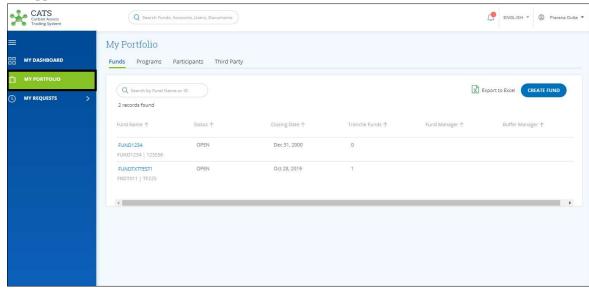
Screenshot 130: Success message

<u>NOTE</u>: After the participation creation request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Edit Participant

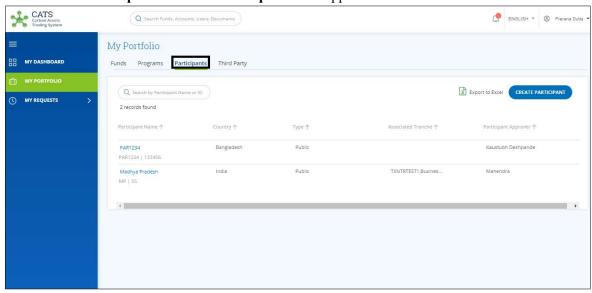
A Fund Transaction Processor (FTP) can edit a participant that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



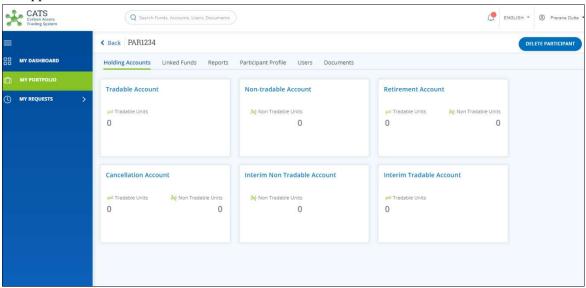
Screenshot 131: My Portfolio page

2. Click the **Participants** tab. The **Participants** area appears.



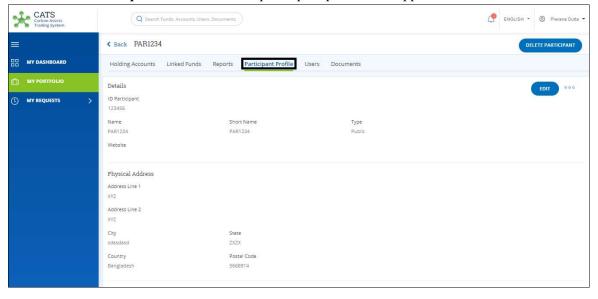
Screenshot 132: Participants area

3. Click the **Participant Name** that you want to edit. The participant **Holding Accounts** area appears.



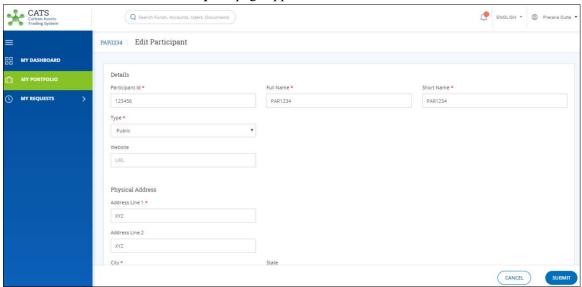
Screenshot 133: Participant - Holding Accounts area

4. Click the **Participant Profile** tab. The participant profile area appears.



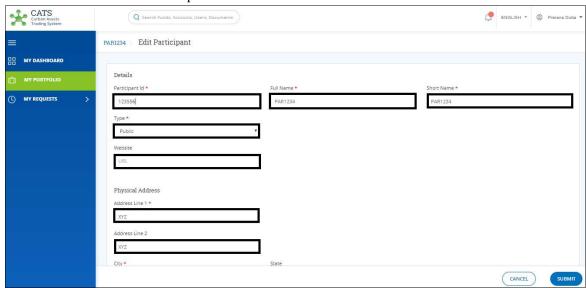
Screenshot 134: Participant Profile area

5. Click **EDIT**. The **Edit Participant** page appears.



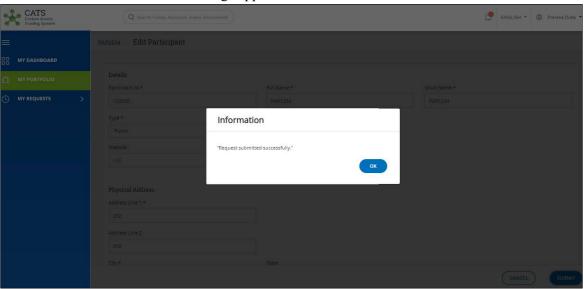
Screenshot 135: Edit participant page

6. Edit the fields wherever required.



Screenshot 136: Edit participant page

7. Click SUBMIT. A success message appears. Click OK.



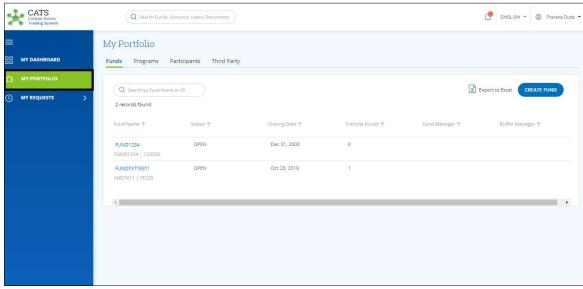
Screenshot 137: Success Message

<u>NOTE</u>: After the participation edition request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Delete Participant

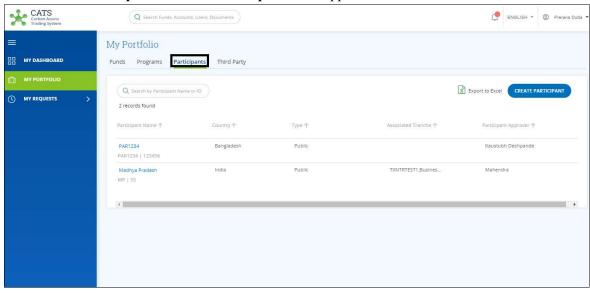
A Fund Transaction Processor (FTP) can delete a participant that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



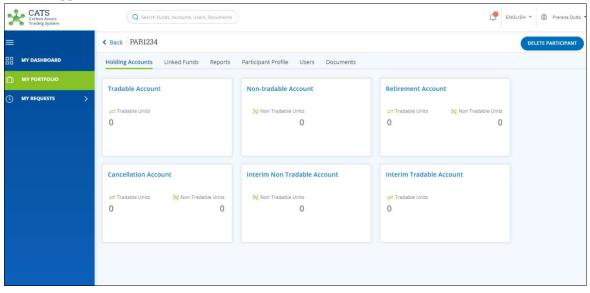
Screenshot 138: My Portfolio page

2. Click the **Participants** tab. The **Participants** area appears.



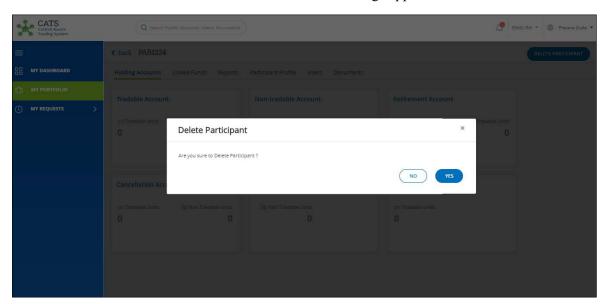
Screenshot 139: Participants area

3. Click the **Participant Name** that you want to delete. The participant **Holding Accounts** area appears.



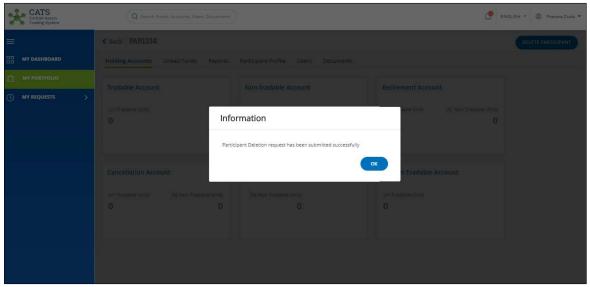
Screenshot 140: Participant - Holding Accounts area

4. Click **DELETE PARTICIPANT**. A confirmation message appears.



Screenshot 141: Confirmation message

5. Click YES. A success message appears. Click OK.



Screenshot 142: Success Message

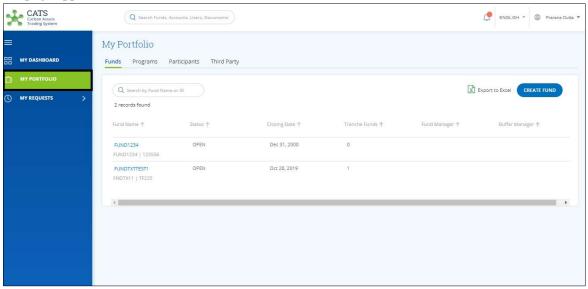
<u>NOTE</u>: After the participant deletion request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u> or <u>rejected</u>.

D. Third Party

• Create Third Party

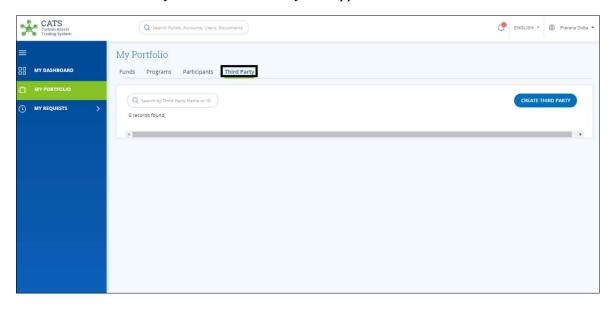
A Fund Transaction Processor (FTP) can create a third party by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



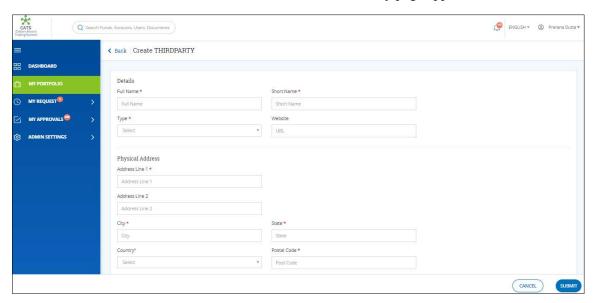
Screenshot 143: My Portfolio page

2. Click the **Third Party** tab. The **Third Party** area appears.



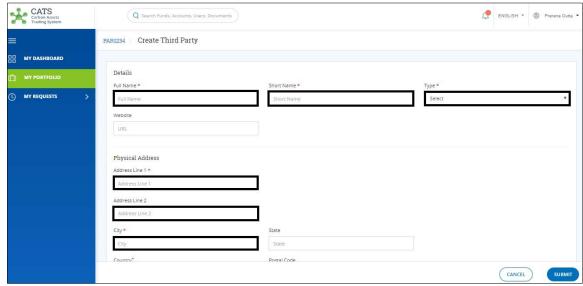
Screenshot 144: Third Party area

3. Click CREATE THIRD PARTY. The Create Third Party page appears.



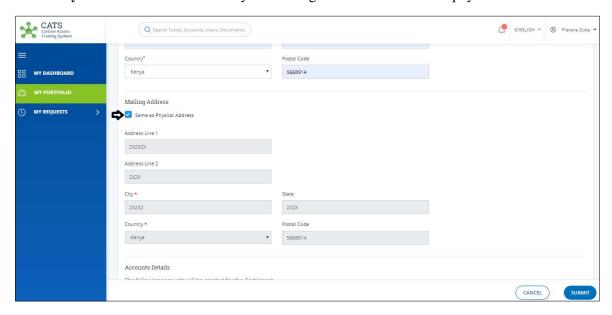
Screenshot 145: Create Third Party page

4. In the **Details** and **Physical Address** section, fill all the mandatory fields marked with *.



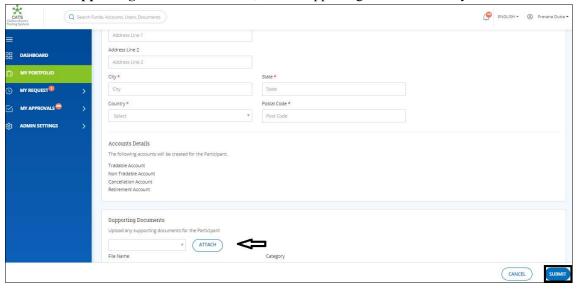
Screenshot 146: Create Third Party page

5. In the **Mailing Address** section, fill all the mandatory fields marked with *. Select **Same** as **Physical Address** check box if your mailing address is same as the physical address.



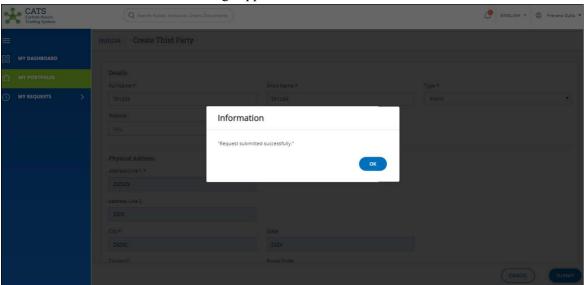
Screenshot 147: Create Third Party page

6. In the **Supporting Documents** section, attach supporting documents if any.



Screenshot 148: Create Third Party page

7. Click **SUBMIT**. A success message appears. Click **OK**.



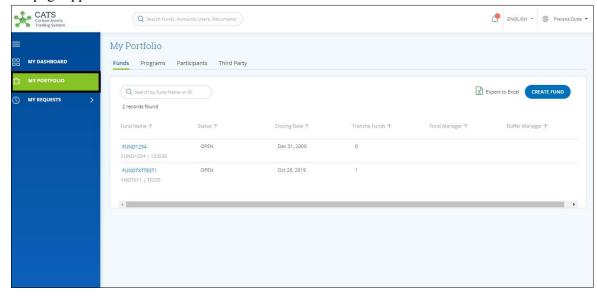
Screenshot 149: Success message

<u>NOTE</u>: After the third party creation request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Edit Third Party

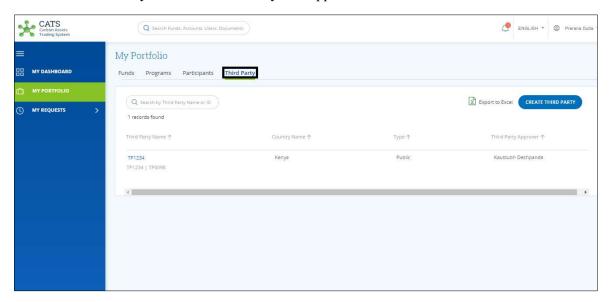
A Fund Transaction Processor (FTP) can edit a Third Party that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



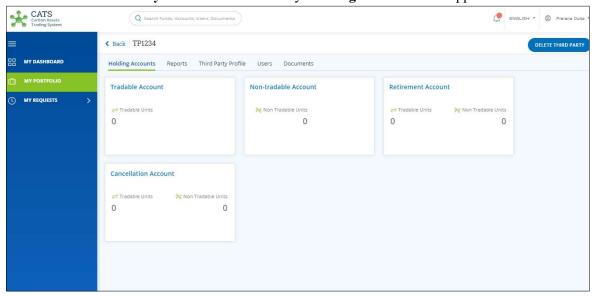
Screenshot 150: My Portfolio page

2. Click **Third Party** tab. The **Third Party** area appears.



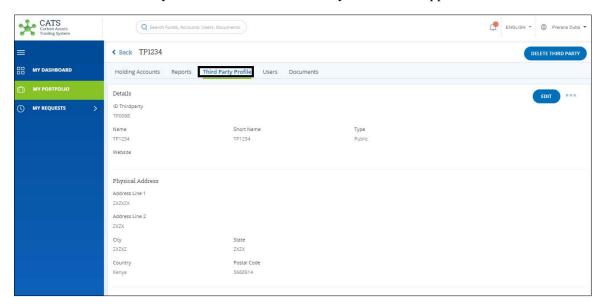
Screenshot 151: Third Party - Holding Accounts area

3. Click the Third Party Name. The Third Party Holding Accounts area appears.



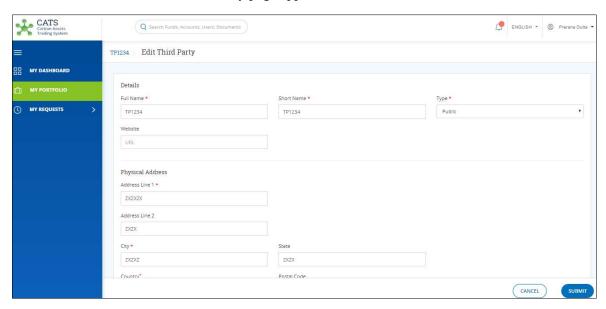
Screenshot 152: Third Party - Holding Accounts area

4. Click the **Third Party Profile** tab. The **Third Party Profile** area appears.



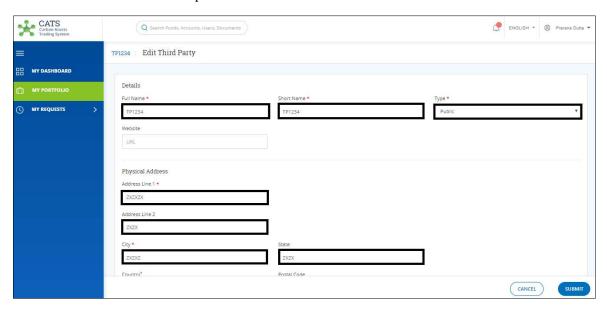
Screenshot 153: Third Party Profile area

5. Click **EDIT**. The **Edit Third Party** page appears.



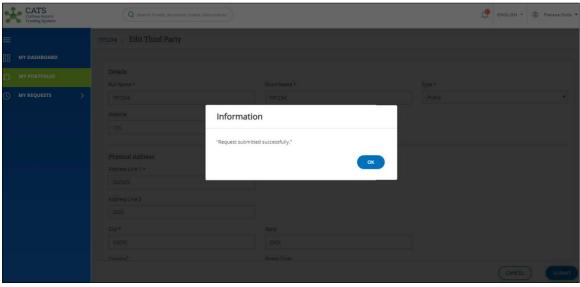
Screenshot 154: Edit Third Party page

6. Edit the fields wherever required.



Screenshot 155: Edit Third Party page

7. Click **SUBMIT**. A success message appears. Click **OK**.



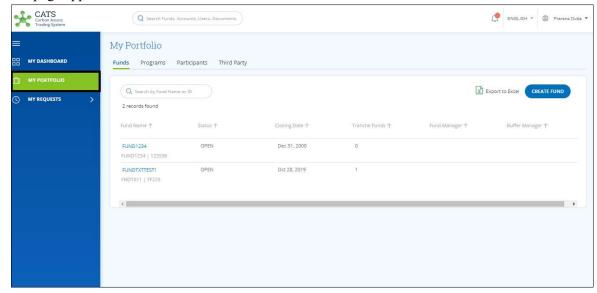
Screenshot 156: Success message

<u>NOTE</u>: After the third party edition request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Delete Third Party

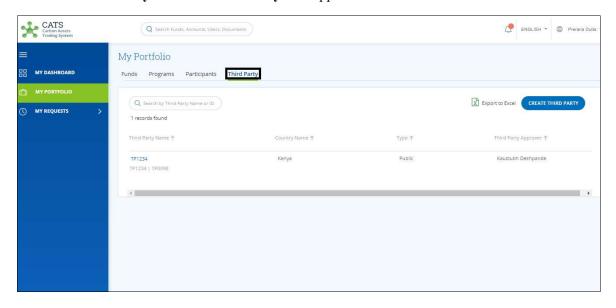
A Fund Transaction Processor (FTP) can delete a Third Party that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



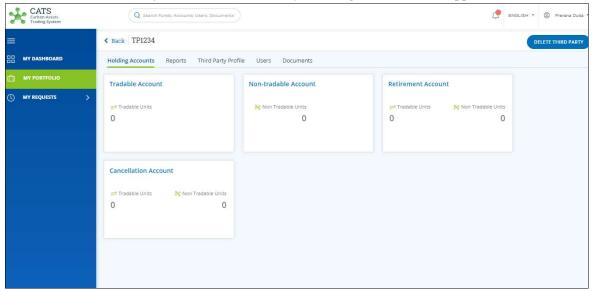
Screenshot 157: My Portfolio page

2. Click **Third Party** tab. The **Third Party** area appears.



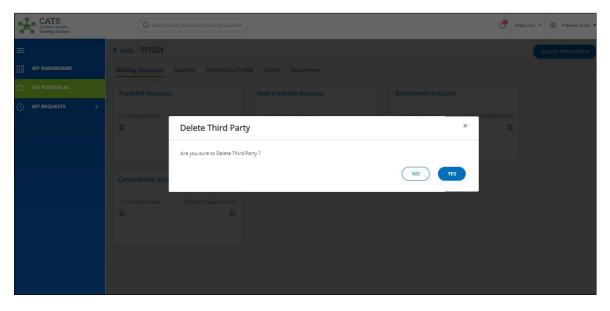
Screenshot 158: Third Party - Holding Accounts area

3. Click the **Third Party Name**. The Third Party **Holding Accounts** area appears.



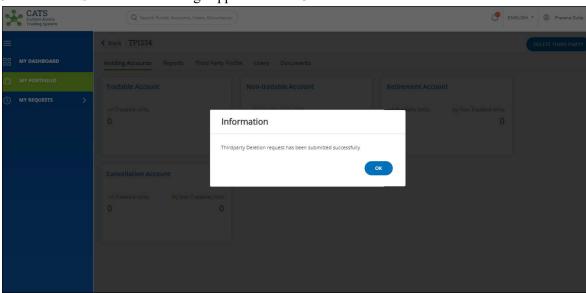
Screenshot 159: Third Party - Holding Accounts area

4. Click **DELETE THIRD PARTY**. A confirmation message appears.



Screenshot 160: Confirmation Message

5. Click YES. A success message appears. Click OK.



Screenshot 161: Success Message

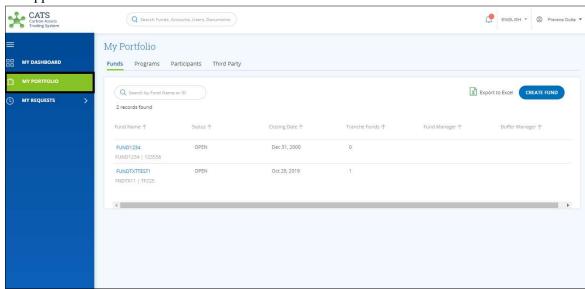
<u>NOTE</u>: After the third party deletion request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u> or <u>rejected</u>.

E. Program

Create Program

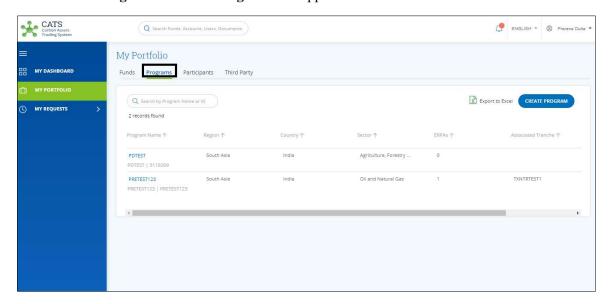
A Fund Transaction Processor (FTP) can create a new program by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



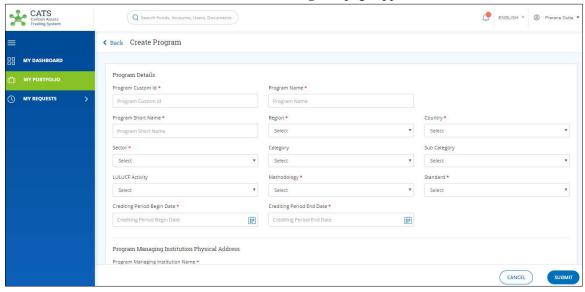
Screenshot 162: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



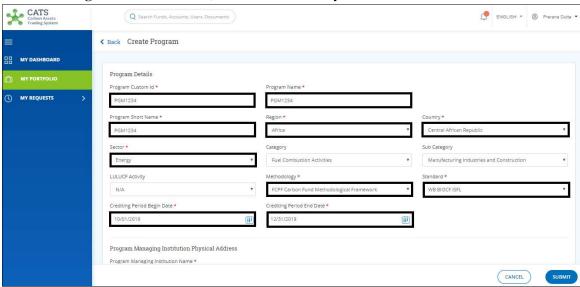
Screenshot 163: Programs list

3. Click CREATE PROGRAM. The Create Program page appears.



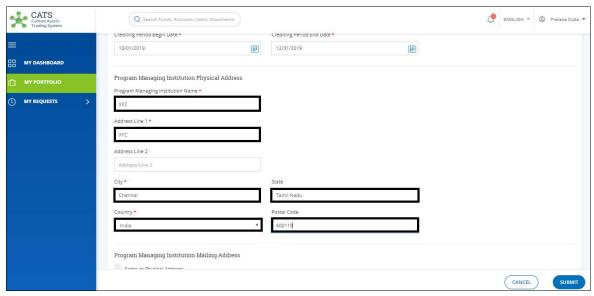
Screenshot 164: Create Program page

4. In the **Program Details** section, fill all the mandatory fields marked with *.



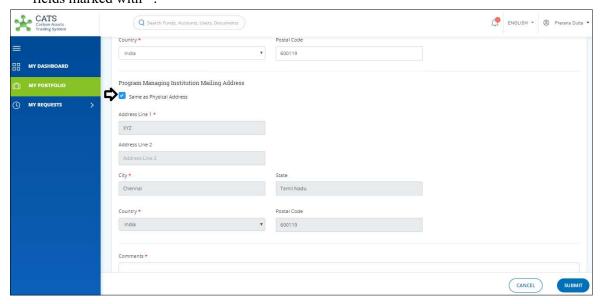
Screenshot 165: Create Program page

5. In the **Program Managing Institution Physical Address** section, fill all the mandatory fields marked with *.



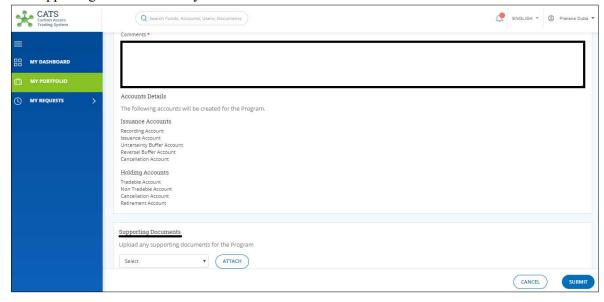
Screenshot 166: Create Program page

6. In the **Program Managing Institution Mailing Address** section, select **Same as Physical Address** if mailing address and physical address are the same. If not, fill all the mandatory fields marked with *.



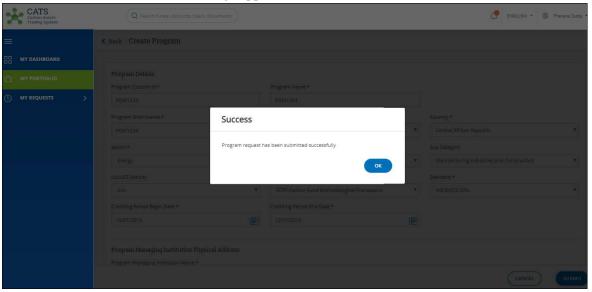
Screenshot 167: Create Program page

7. Enter comments in the **Comments** section. In the **Supporting Documents** section, attach supporting documents if any.



Screenshot 168: Create Program page

8. Click **SUBMIT**. A success message appears. Click **OK**.

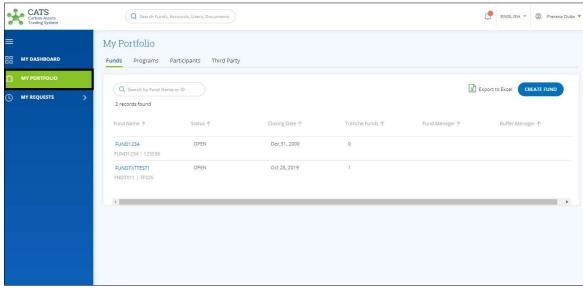


<u>NOTE</u>: After the program creation request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

Edit program

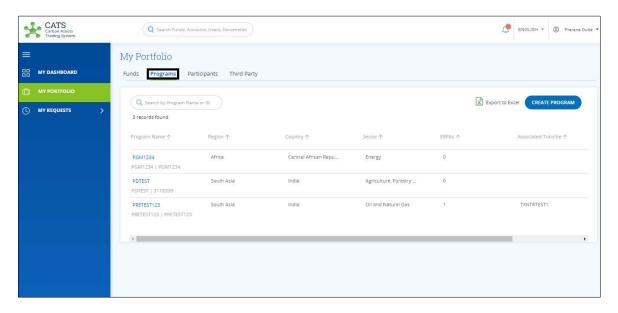
A Fund Transaction Processor (FTP) can edit a program that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



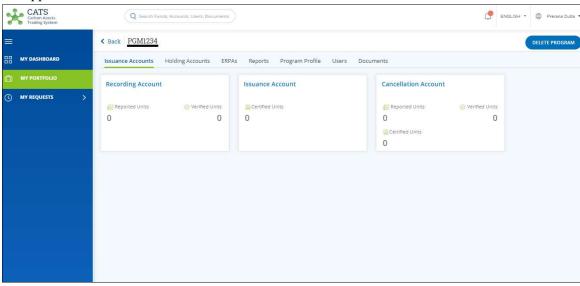
Screenshot 169: My Portfolio page

2. Click **Programs** tab. The **Programs** list appears.



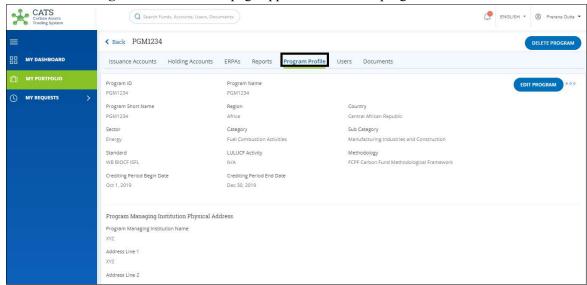
Screenshot 170: Programs list

3. Click the **Program Name** that you want to edit. The Program **Issuance Accounts** area appears.



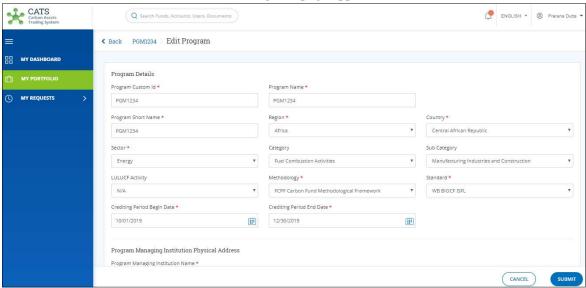
Screenshot 171: Program - Issuance Accounts area

4. Click the **Program Profile** tab. A page appears with all the program details.



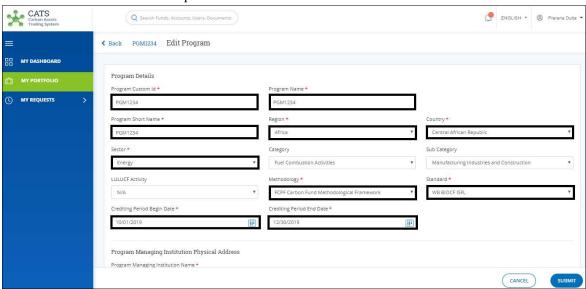
Screenshot 172: Program Details area

5. Click **EDIT PROGRAM**. The **Edit Program** page appears.



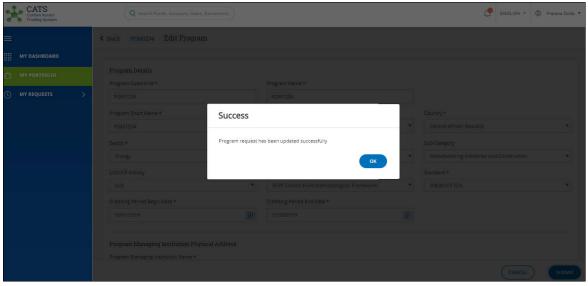
Screenshot 173: Edit Program page

6. Edit the fields wherever required.



Screenshot 174: Edit Program page

7. Click SUBMIT. A Success message appears. Click OK.



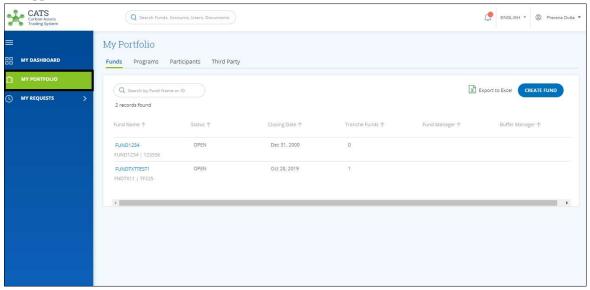
Screenshot 175: Success message

<u>NOTE</u>: After the program edition request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Delete Program

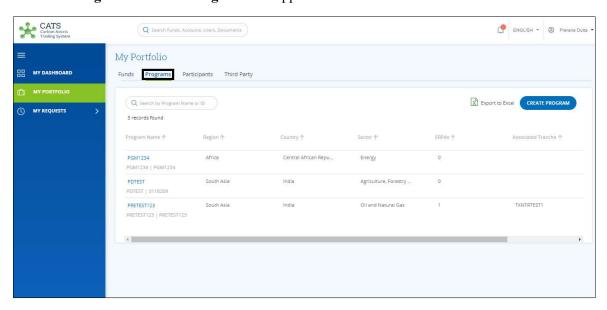
A Fund Transaction Processor (FTP) can delete a program that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



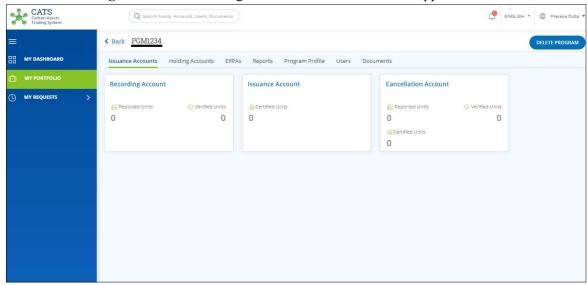
Screenshot 176: My Portfolio page

2. Click **Programs** tab. The **Programs** list appears.



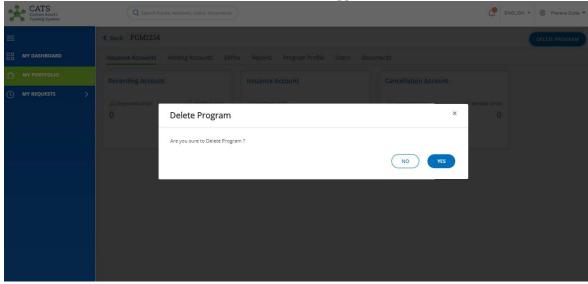
Screenshot 177: Programs list

3. Click the **Program Name**. The Program **Issuance Accounts** area appears.



Screenshot 178: Program - Issuance Accounts area

4. Click **DELETE PROGRAM**. A confirmation box appears. Click **YES**.



Screenshot 179: Delete Program dialog box

NOTE:

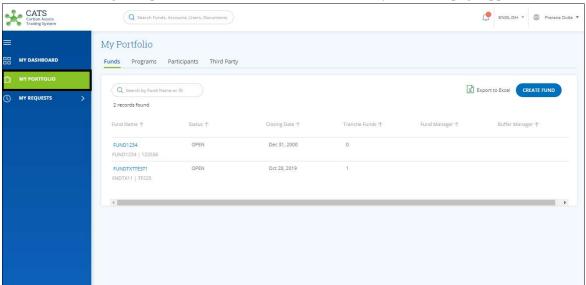
- ❖ A program cannot be deleted if a tranche is associated with it.
- After the program deletion request is submitted, it is routed to the Administrator for approval. The request can be either <u>approved</u> or <u>rejected</u>.

F. ERPA

Create ERPA

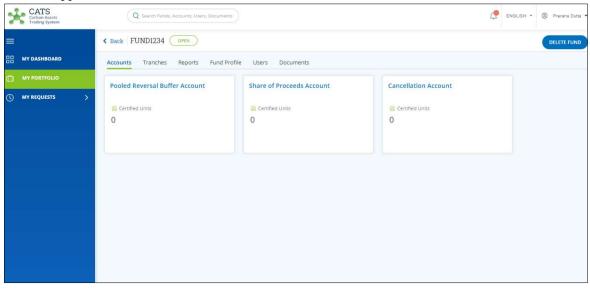
Creating an ERPA means linking a tranche with a program. A Fund Transaction Processor (FTP) can create an ERPA by following the steps below:

1. In the left navigation pane, click MY PORTFOLIO. The My Portfolio page appears.



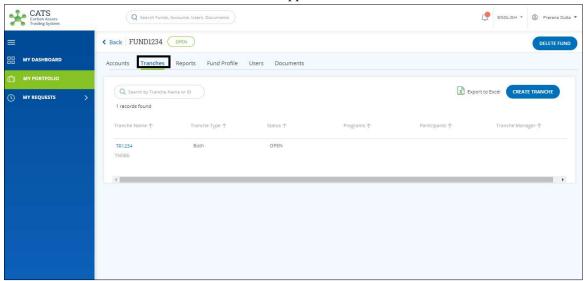
Screenshot 180: My Portfolio page

2. Click the **Fund Name** whose tranche and program you want to link. The Fund **Accounts** area appears.



Screenshot 181: Fund - Accounts area

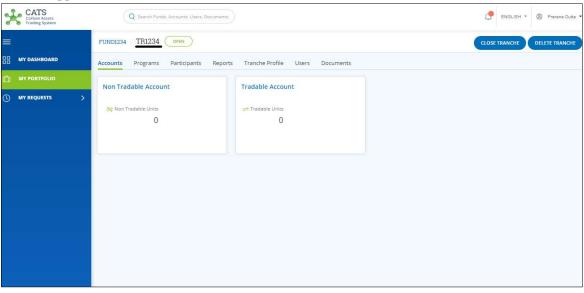
3. Click the **Tranches** tab. The **Tranches** list appears.



Screenshot 182: Tranche area

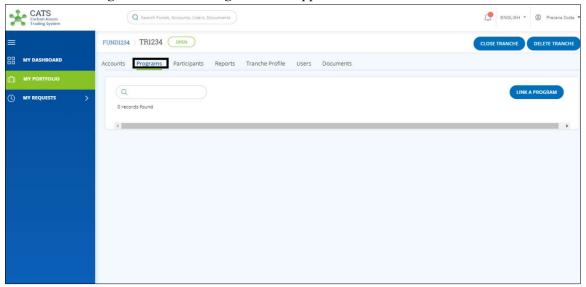
NOTE: More than one tranche can be present in the Tranches list.

4. Click the **Tranche Name** that you want to link with a program. The Tranche **Accounts** area appears.



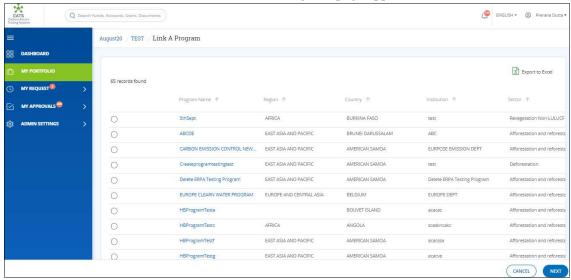
Screenshot 183: Tranche - Accounts area

5. Click the **Programs** tab. The **Programs** area appears.



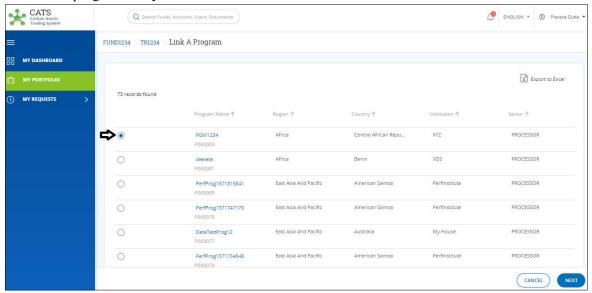
Screenshot 184: Tranche - Programs area

6. Click LINK A PROGRAM. The Link A Program page appears.



Screenshot 185: Tranche - Link A Program page

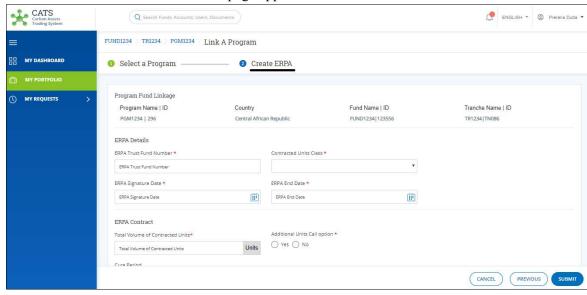
7. Click a program that you want to link to the tranche.



Screenshot 186: Link A Program page

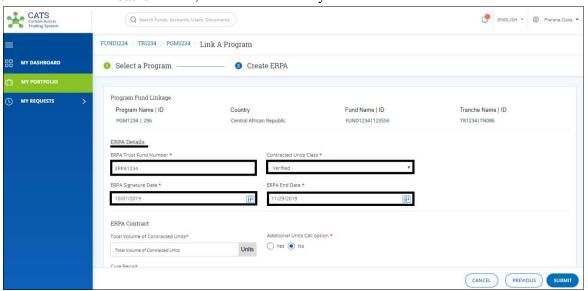
NOTE: A tranche can be linked to just one program.

8. Click **NEXT**. The **Create ERPA** page appears.



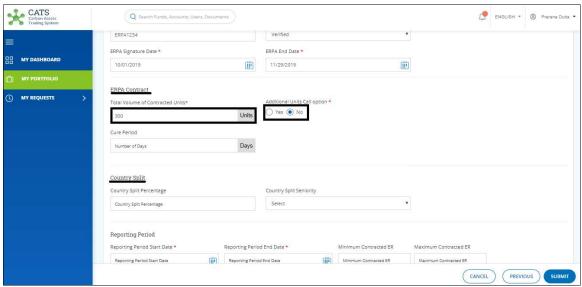
Screenshot 187: Create ERPA page

9. In the ERPA Details section, fill all the mandatory fields marked with *.



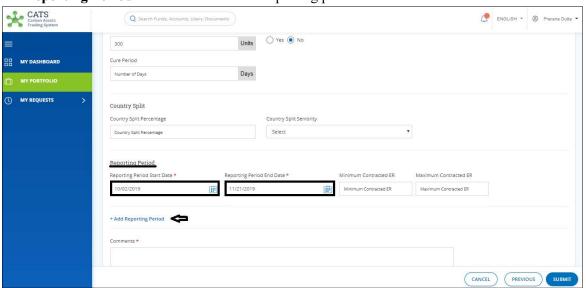
Screenshot 188: Create ERPA page

10. In the **ERPA Contract** and **Country split** sections, fill all the mandatory fields marked with *.



Screenshot 189: Create ERPA page

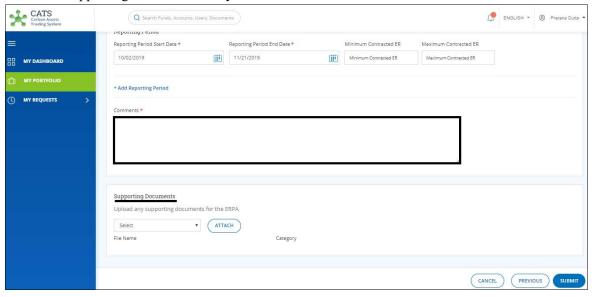
11. In the **Reporting Period** section, enter details in all the mandatory fields. Click **+Add Reporting Period** to add more than one reporting periods.



Screenshot 190: Create ERPA page

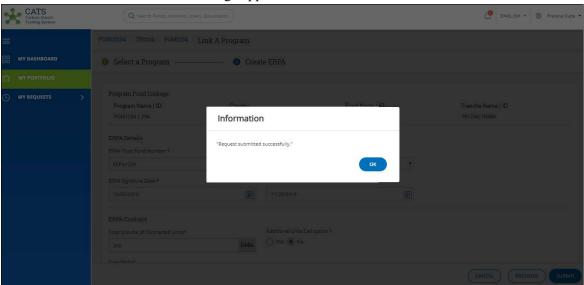
NOTE: The **Reporting Period Start Date** should not be before the **ERPA Signature Date**.

12. Enter your comments in the **Comments** section. In the **Supporting documents** section, attach supporting documents if any.



Screenshot 191: Create ERPA page

13. Click SUBMIT. A Success message appears. Click OK.



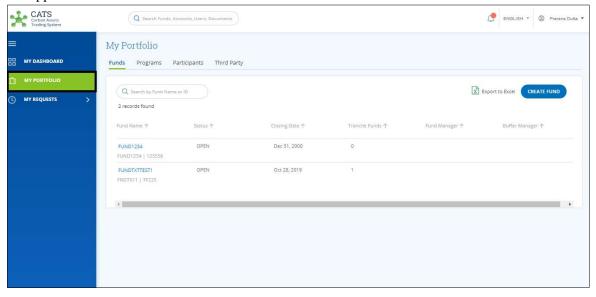
Screenshot 192: Success message

<u>NOTE</u>: After the ERPA creation request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

Edit ERPA

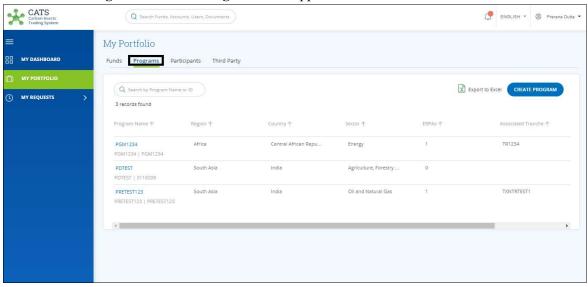
A Fund Transaction Processor (FTP) can edit an ERPA that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



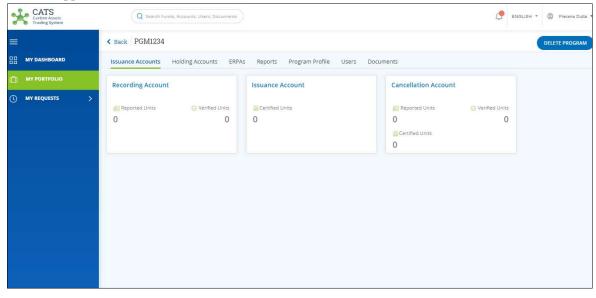
Screenshot 193: My Portfolio page

2. Click the **Programs** tab. The **Programs** area appears.



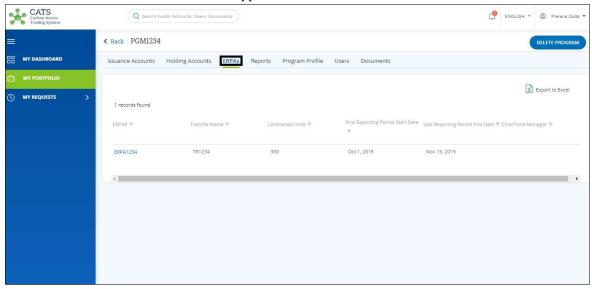
Screenshot 194: Programs area

3. Click the **Program name** whose ERPA you want to edit. The Program **Issuance Accounts** area appears.



Screenshot 195: Issuance Accounts area

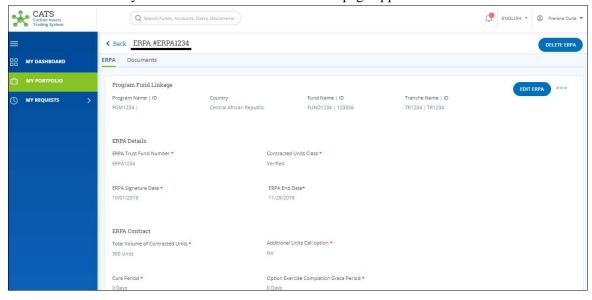
4. Click **ERPAs** tab. The **ERPAs** list appears.



Screenshot 196: ERPAs area

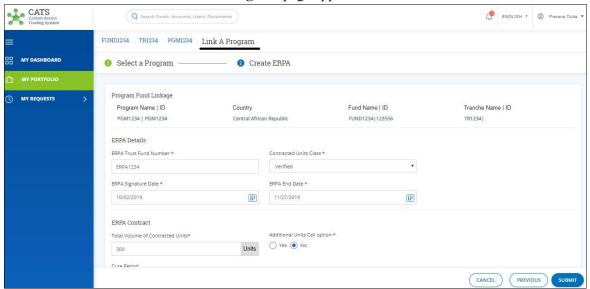
NOTE: There can be more than one ERPA for a program.

5. Click the **ERPA** you want to edit. The ERPA details page appears.



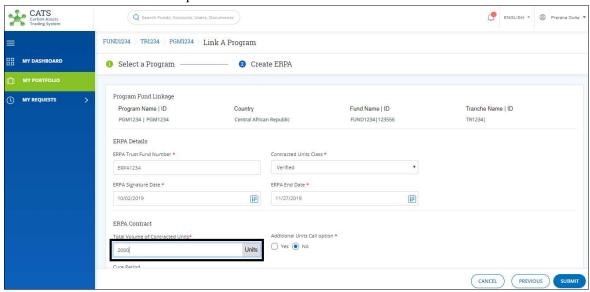
Screenshot 197: ERPA details page

6. Click **EDIT ERPA**. The **Link A Program** page appears.



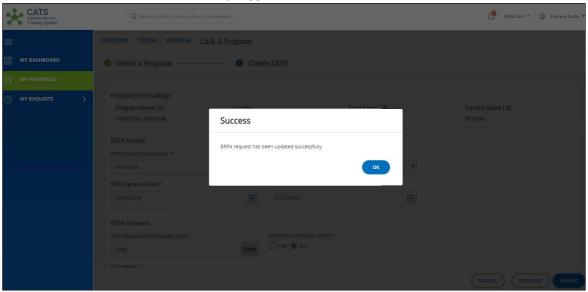
Screenshot 198: Link A Program page

7. Edit the fields wherever required.



Screenshot 199: Link A Program page

8. Click SUBMIT. A Success message appears. Click OK.



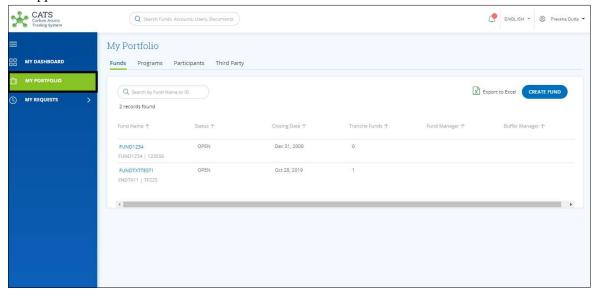
Screenshot 200: Success message

<u>NOTE</u>: After the ERPA edition request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Delete ERPA

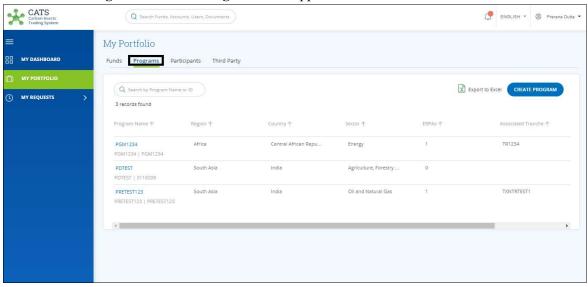
A Fund Transaction Processor (FTP) can delete an ERPA that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



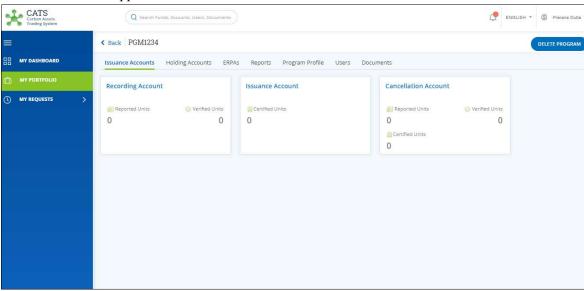
Screenshot 201: My Portfolio page

2. Click the **Programs** tab. The **Programs** area appears.



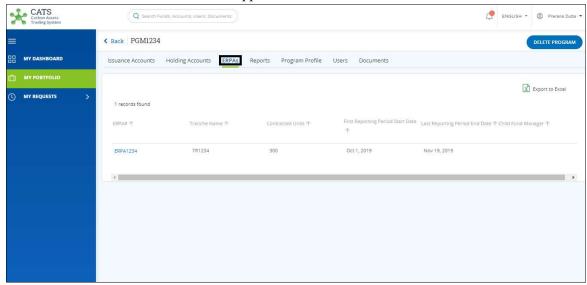
Screenshot 202: Programs area

3. Click the **Program name** whose ERPA you want to delete. The Program **Issuance Accounts** area appears.



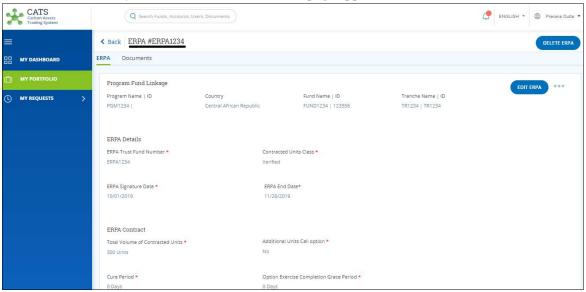
Screenshot 203: Issuance Accounts area

4. Click **ERPAs** tab. The **ERPAs** list appears.



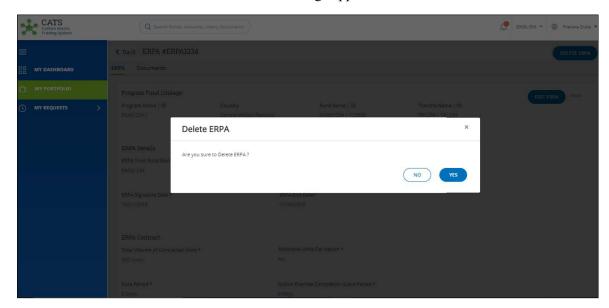
Screenshot 204: ERPAs area

5. Click the **ERPA** you want to delete. The ERPA page appears.



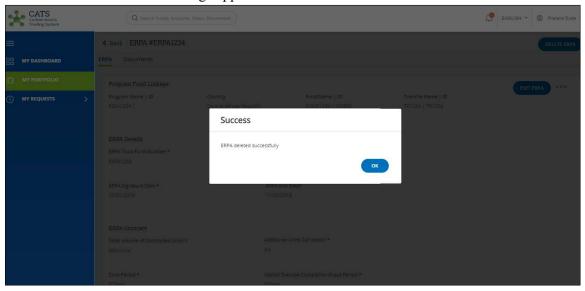
Screenshot 205: ERPA page

6. Click **DELETE ERPA**. A confirmation message appears.



Screenshot 206: Confirmation message

7. Click YES. A Success message appears. Click OK.



Screenshot 207: Success message

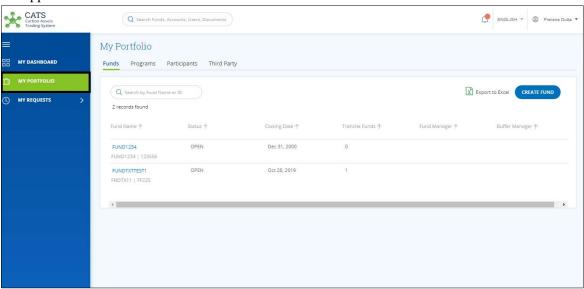
<u>NOTE</u>: After the ERPA deletion request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u> or <u>rejected</u>.

G. Donor Agreement

• Create Donor Agreement

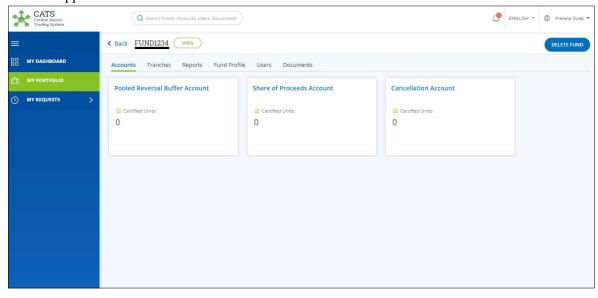
Creating a Donor Agreement means linking a tranche with a participant/third party. A Fund Transaction Processor (FTP) can create a donor agreement by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



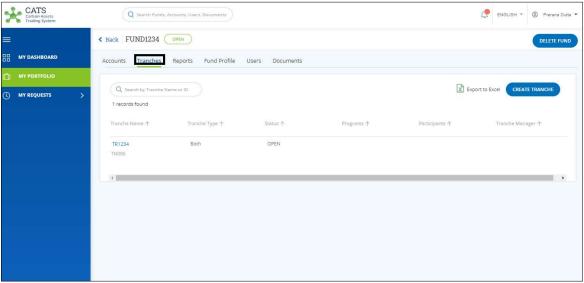
Screenshot 208: My Portfolio page

2. Click the **Fund Name** whose tranche and participant you want to link. The Fund **Accounts** area appears.



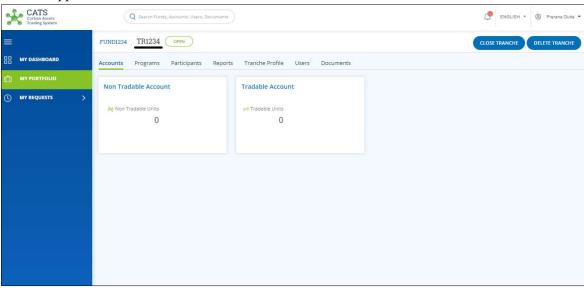
Screenshot 209: Fund - Accounts area

3. Click the **Tranches** tab. The **Tranches** list appears.



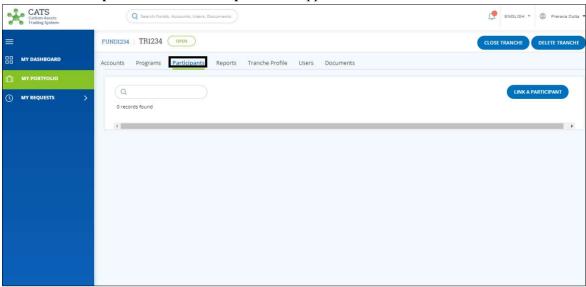
Screenshot 210: Tranche area

4. Click the **Tranche Name** that you want to link with a participant. The Tranche **Accounts** area appears.



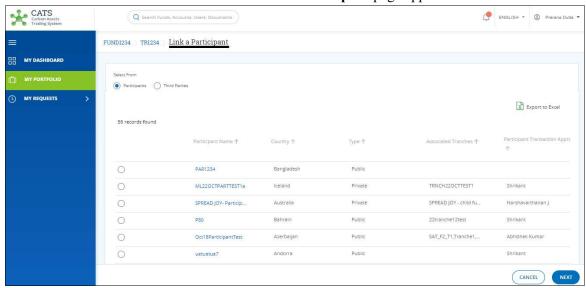
Screenshot 211: Tranche - Accounts area

5. Click **Participants** tab. The **Participants** area appears.



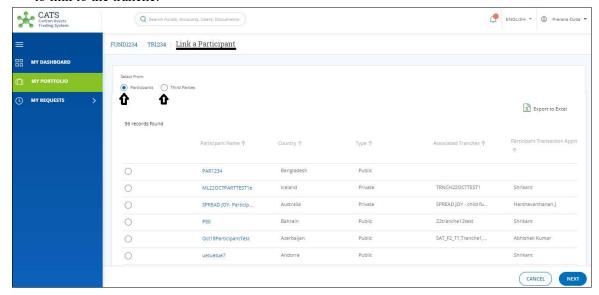
Screenshot 212: Participants area

6. Click LINK A PARTICIPANT. The Link a Participant page appears.



Screenshot 213: Link a Participant page

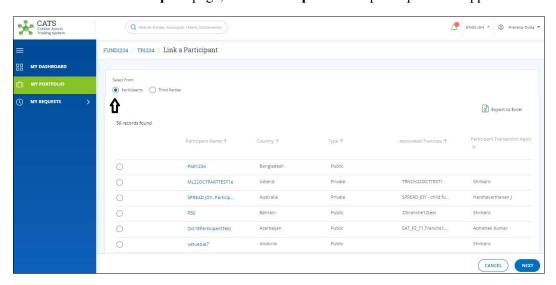
7. Click **Participants** or **Third Party** to get a list of participants/third party whom you want to link to the tranche.



Screenshot 214: Link a participant page

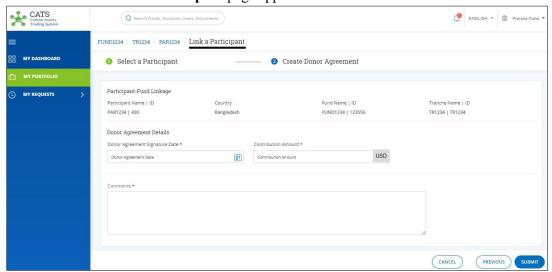
NOTE: You can link either Participants or third party to a tranche at a time.

- Link a Participant Tranche
 - i. In the Link a Participant page, click Participants. The participants list appears.



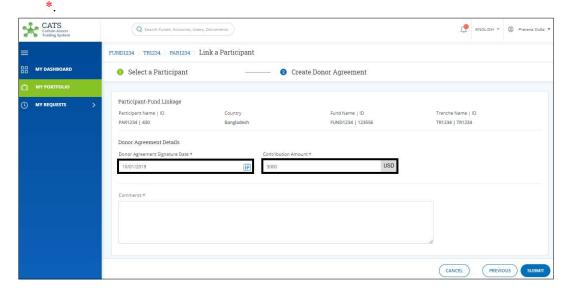
Screenshot 215: Link a Participant page

ii. Click the **Participant Name** whom you want to link with the tranche. Click **NEXT**. The **Link a Participant** page appears.



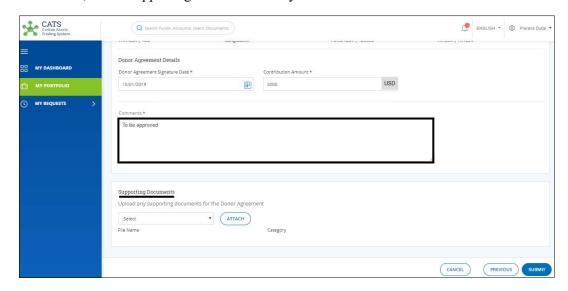
Screenshot 216: Link a Participant page

iii. In the Donor Agreement Details section, fill all the mandatory fields marked with



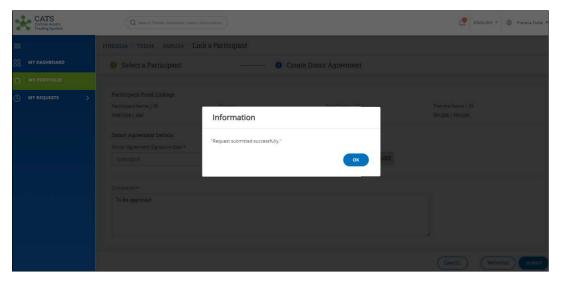
Screenshot 217: Link a Participant page

iv. Enter your comments in the **Comments** section. In the **Supporting Documents** section, attach supporting documents if any.



Screenshot 218: Link a Participant page

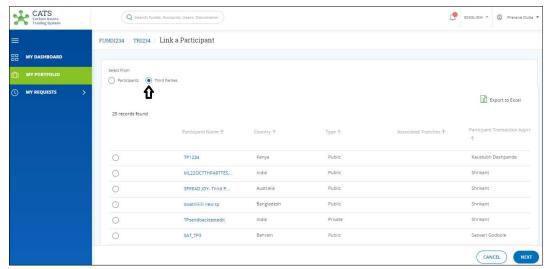
v. Click **SUBMIT**. A Success message appears. Click **OK**.



Screenshot 219: Success message

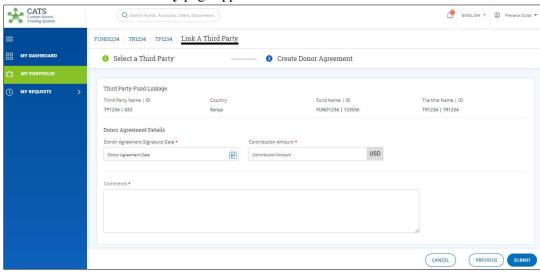
• Link a Third Party - Tranche

i. In the **Link a Participant** page, click **Third Parties**. The Third Parties list appears.



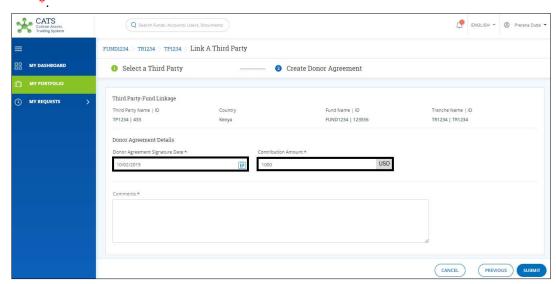
Screenshot 220: Link a Participant page

ii. Click a **Third Party Name** whom you want to link with the tranche. Click **NEXT**. The **Link A Third Party** page appears.



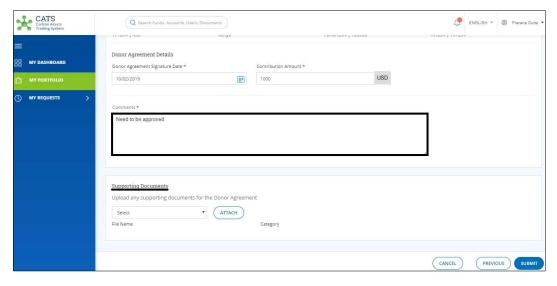
Screenshot 221: Link A Third Party page

iii. In the **Donor Agreement Details** section, fill all the mandatory fields marked with



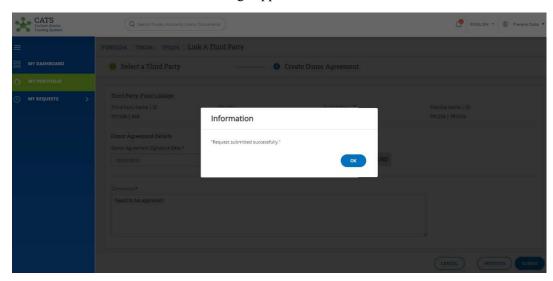
Screenshot 222: Link A Third Party page

iv. Enter your comments in the **Comments** section. In the **Supporting Documents** section, attach supporting documents if any.



Screenshot 223: Link A Third Party page

v. Click **SUBMIT**. A Success message appears. Click **OK**.



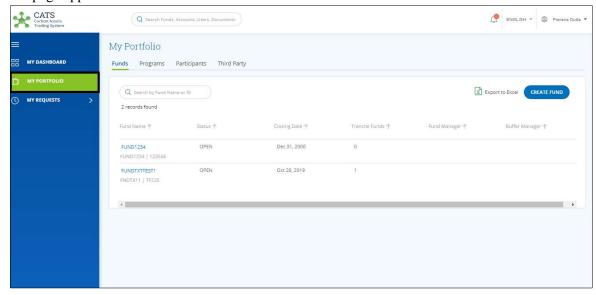
Screenshot 224: Success Message

<u>NOTE</u>: After the Donor Agreement creation request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Edit Donor Agreement

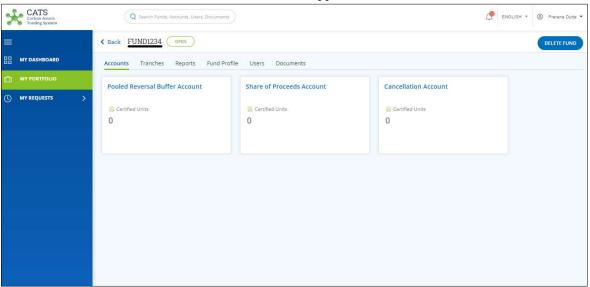
A Fund Transaction Processor (FTP) can edit a donor agreement that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



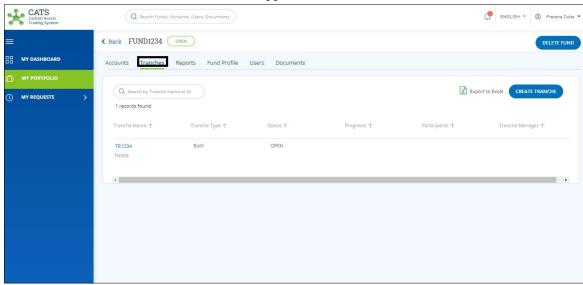
Screenshot 225: My Portfolio page

2. Click the Fund Name. The Fund Accounts area appears.



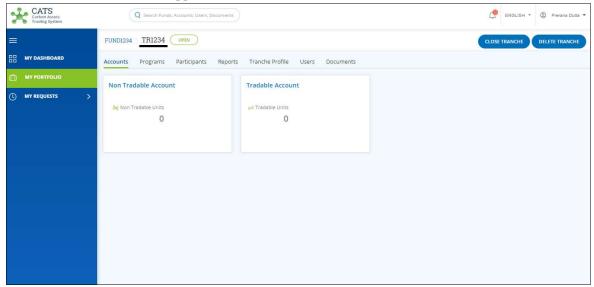
Screenshot 226: Funds - Accounts area

3. Click **Tranches** tab. The **Tranches** list appears.



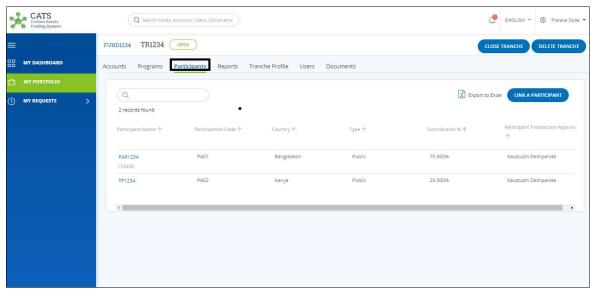
Screenshot 227: Tranches list

4. Click the **Tranche Name** whose participant's donor agreement you want to edit. The Tranche **Accounts** area appears.



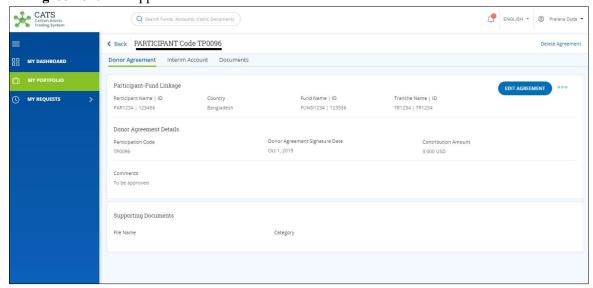
Screenshot 228: Tranche - Accounts area

5. Click **Participants** tab. The Participants/Third Party list appears that are linked with the tranche.



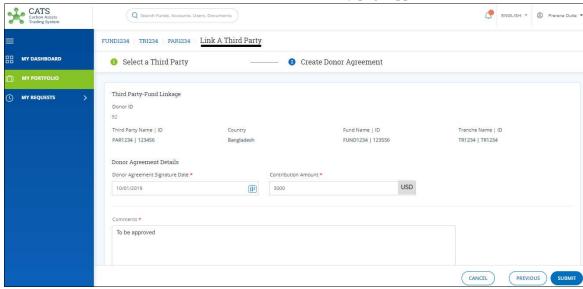
Screenshot 229: Linked Participants area

6. Click the **Participant Name** whose donor agreement you want to edit. The **Donor Agreement** area appears.



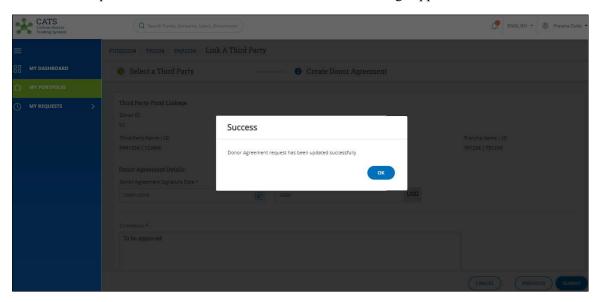
Screenshot 230: Donor Agreement area

7. Click EDIT AGREEMENT. The Link A Third Party page appears.



Screenshot 231: Link A Third Party page

8. Edit the required fields and click **SUBMIT**. A Success message appears. Click **OK**.



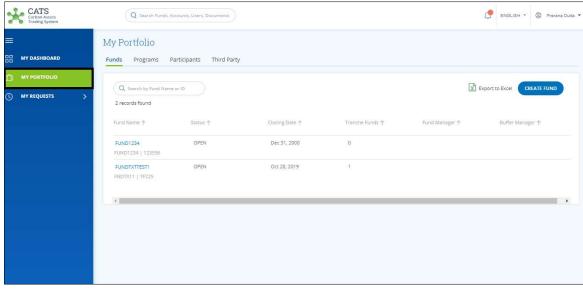
Screenshot 232: Success Message

<u>NOTE</u>: After the Donor Agreement edition request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u>, <u>rejected</u> or <u>sent back for revision</u>.

• Delete Donor Agreement

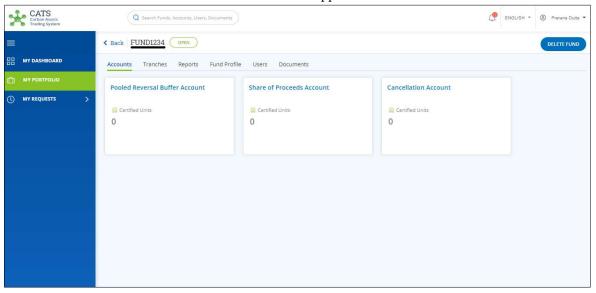
A Fund Transaction Processor (FTP) can delete a donor agreement that already exists in the system, by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



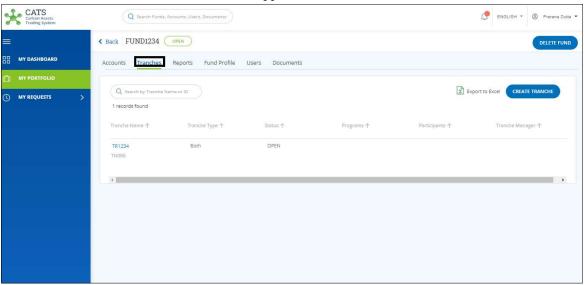
Screenshot 233: My Portfolio page

2. Click the Fund Name. The Fund Accounts area appears.



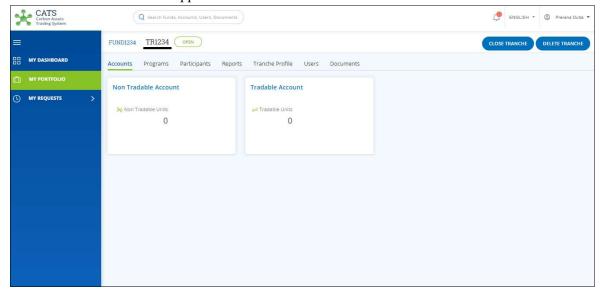
Screenshot 234: Funds - Accounts area

3. Click **Tranches** tab. The **Tranches** list appears.



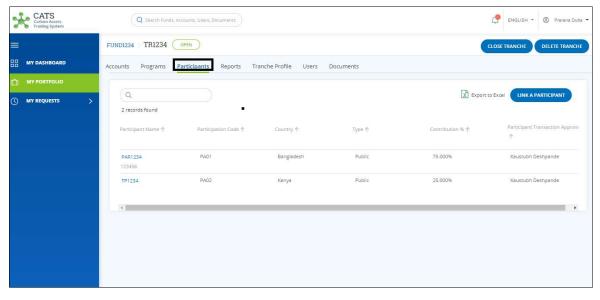
Screenshot 235: Tranches list

4. Click the **Tranche Name** whose participant's donor agreement you want to edit. The Tranche **Accounts** area appears.



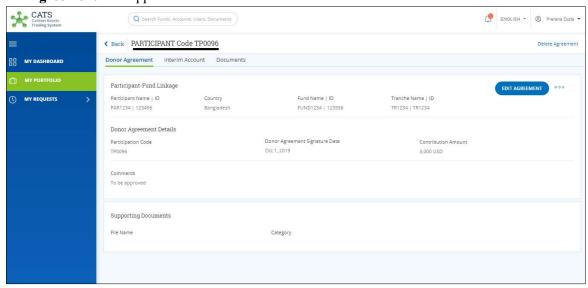
Screenshot 236: Tranche - Accounts area

5. Click **Participants** tab. The Participants/Third Party list appears that are linked with the tranche.



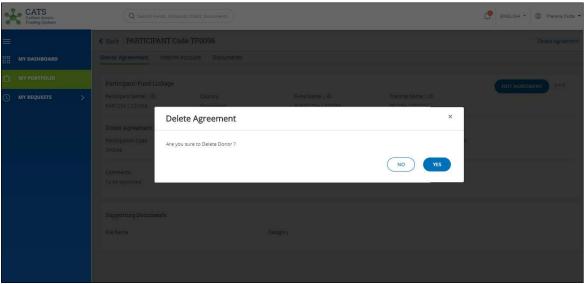
Screenshot 237: Linked Participants area

6. Click the **Participant Name** whose donor agreement you want to edit. The **Donor Agreement** area appears.



Screenshot 238: Donor Agreement area

7. Click **Delete Agreement** at the top right corner of the page. A confirmation message appears. Click **YES**.



Screenshot 239: Confirmation message

<u>NOTE</u>: After the Donor Agreement deletion request is submitted, it is routed to the Fund Manager for approval. The request can be either <u>approved</u> or <u>rejected</u>.

iv. Approval of the entities

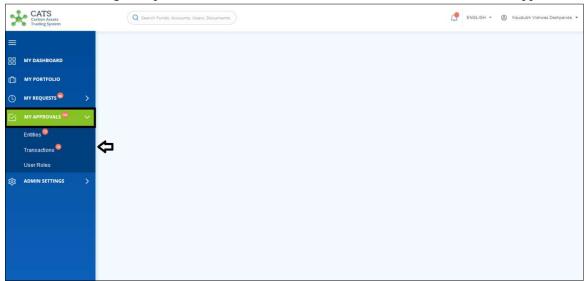
After an entity is created or edited or deleted, the Administrator/Fund Manager (depends on the entity) receives a notification via e-mail.

The entities that needs Administrator's approval are: Fund, Participant, Third Party and Program.

The entities that needs Fund Manager's approval are: Tranche, ERPA, and Donor Agreement.

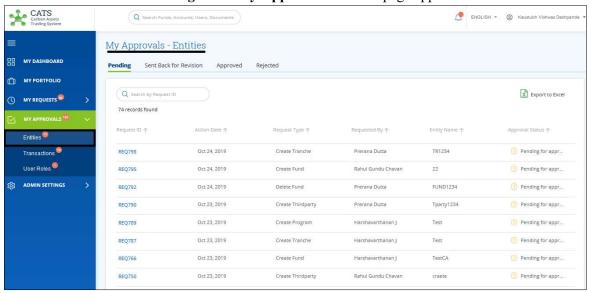
The Administrator/Fund Manager can login to the CATS application and perform either of the actions listed below:

- Approve a request
 - 1. In the left navigation pane, click MY APPROVALS. The MY APPROVALS list appears.



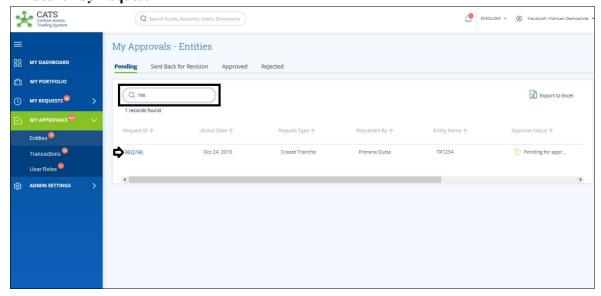
Screenshot 240: Home page

2. Click Entities. The Pending list of My Approvals-Entities page appears.



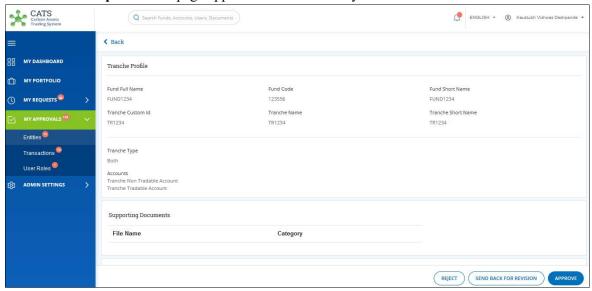
Screenshot 241: My Approvals-Entities page

3. Search the **Request ID** on which action needs to be taken, by typing a keyword in the **Search by Request ID** box.



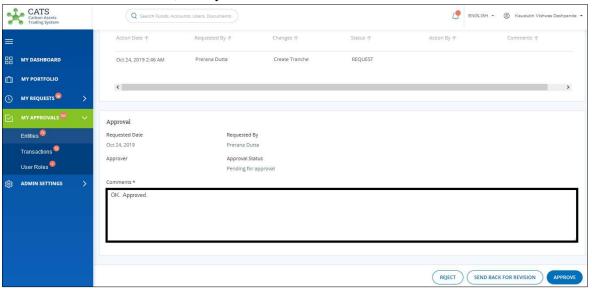
Screenshot 242: My Approvals-Entities page

4. Click the **Request ID**. A page appears with all the entity details.



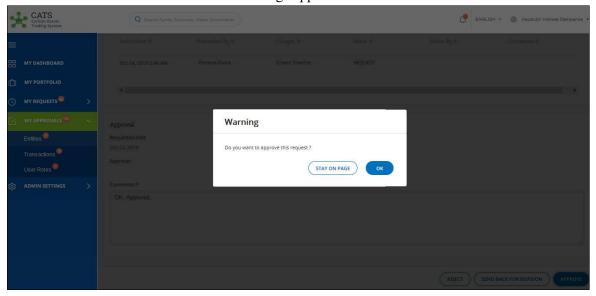
Screenshot 243: Entity details page

5. In the **Comments** section, enter your comments.



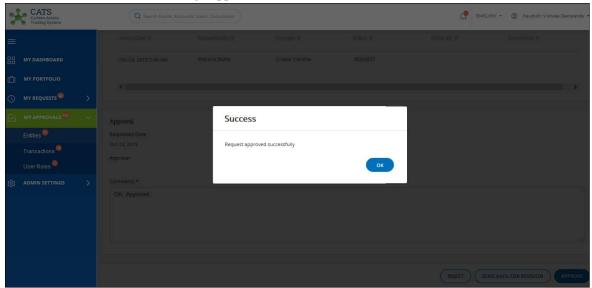
Screenshot 244: Entity details page

6. Click **APPROVE**. A Confirmation message appears.



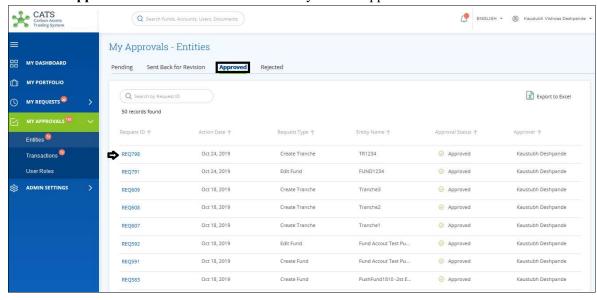
Screenshot 245: Confirmation message

7. Click **OK**. A Success message appears. Click **OK**.



Screenshot 246: Success Message

8. Click **Approved** tab to view the list of entities you have approved.



Screenshot 247: Approved list

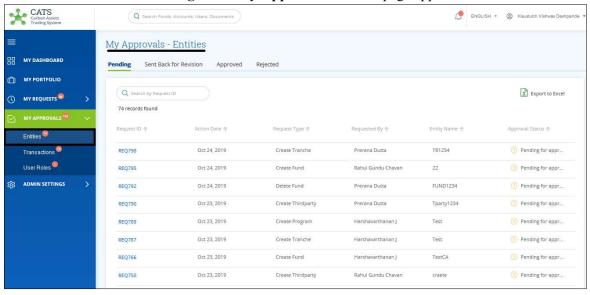
• Reject a request

1. In the left navigation pane, click MY APPROVALS. The MY APPROVALS list appears.



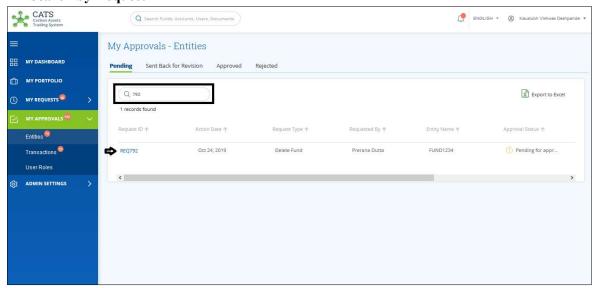
Screenshot 248: Home page

2. Click Entities. The Pending list of My Approvals-Entities page appears.



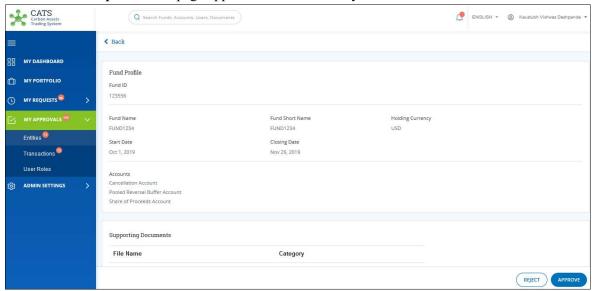
Screenshot 249: My Approvals-Entities page

3. Search the **Request ID** on which action needs to be taken, by typing a keyword in the **Search by Request ID** box.



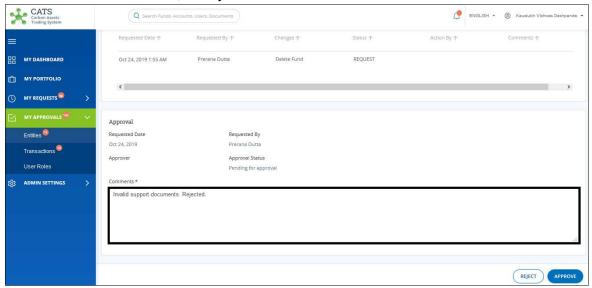
Screenshot 250: My Approvals-Entities page

4. Click the **Request ID**. A page appears with all the entity details.



Screenshot 251: Entity details page

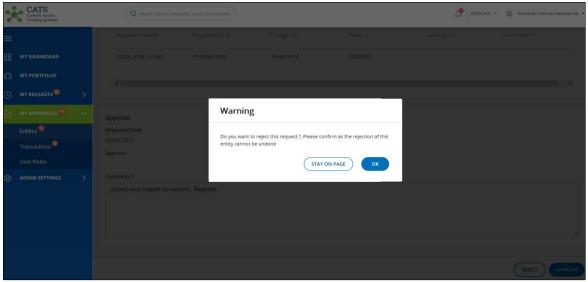
5. In the **Comments** section, enter your comments.



Screenshot 252: Entity details page

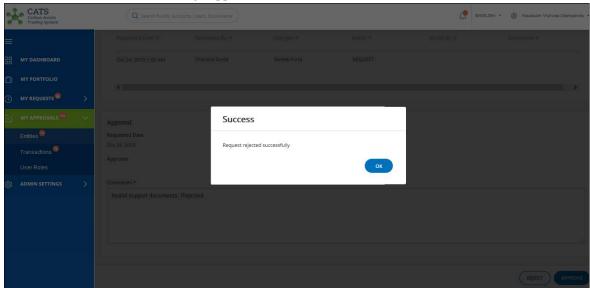
NOTE: There is no **SEND BACK FOR REVISION** button in case of entity deletion.

6. Click **REJECT**. A Confirmation message appears.



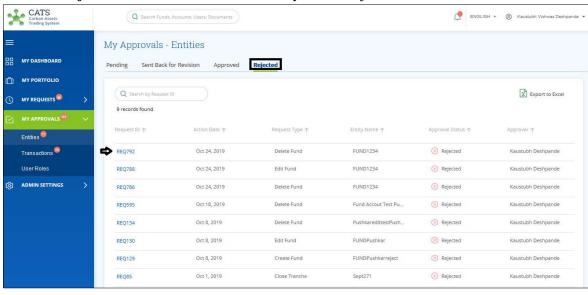
Screenshot 253: Confirmation message

7. Click **OK**. A Success message appears. Click **OK**.



Screenshot 254: Success message

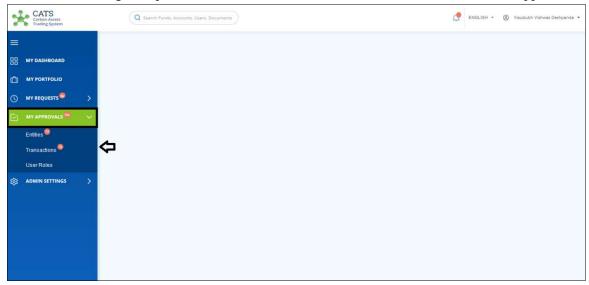
8. Click **Rejected** tab to view the list of entities you have rejected.



Screenshot 255: Rejected list

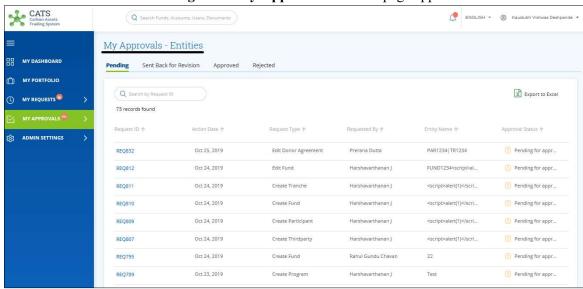
• Send back for revision

1. In the left navigation pane, click MY APPROVALS. The MY APPROVALS list appears.



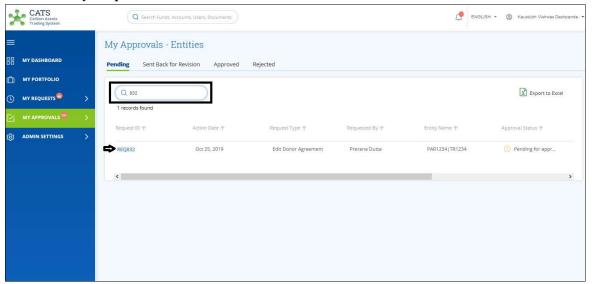
Screenshot 256: Home page

2. Click Entities. The Pending list of My Approvals-Entities page appears.



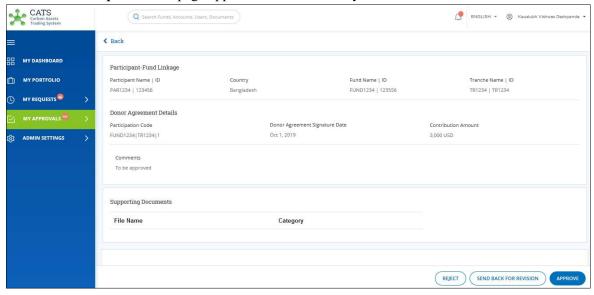
Screenshot 257: My Approvals-Entities page

3. Search the **Request ID** on which action needs to be taken, by typing a keyword in the **Search by Request ID** box.



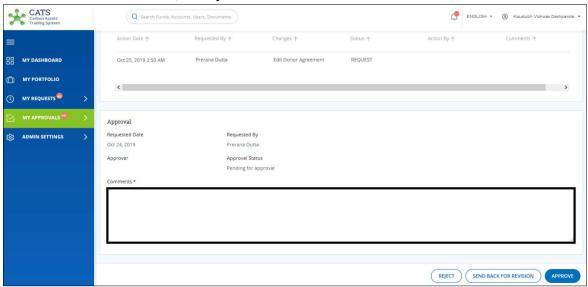
Screenshot 258: My Approvals-Entities page

4. Click the **Request ID**. A page appears with all the entity details.



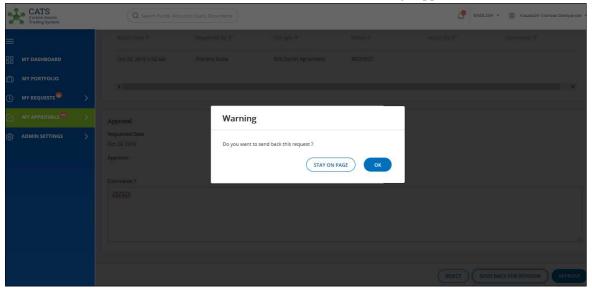
Screenshot 259: Entity details page

5. In the **Comments** section, enter your comments.



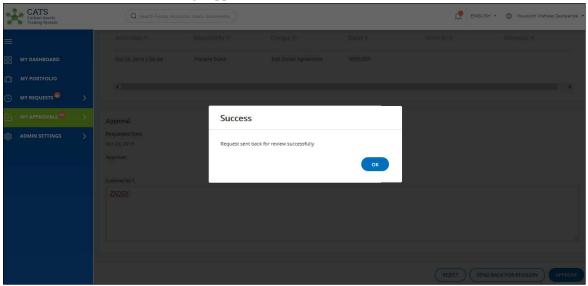
Screenshot 260: Entity details page

6. Click SEND BACK FOR REVISION. A Confirmation message appears.



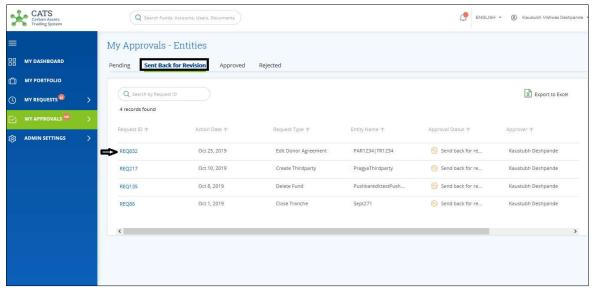
Screenshot 261: Confirmation message

7. Click **OK**. A Success message appears. Click **OK**.



Screenshot 262: Success message

8. Click **Sent Back for Revision** tab to view the list of entities you have sent back for revision.



Screenshot 263: Sent Back for Revision list

6. Transactions

Transactions refers to the transfer of ER Units from one account to another. The transfer of ER units can happen within the accounts in an entity or from one entity to another. Each account may contain one/more than one transactions. Given below are the account names:

- Recording Account
- Issuance Account
- Uncertainty Buffer Account
- Reversal Buffer Account
- Tranche Tradable Account
- Tranche Non Tradable Account
- Participant Holding Account
- Third Party Holding Account
- Program Holding Accounts
- Fund Account

Transactions will follow a sequential model, where ER units will be available to the next transaction, only if followed in sequence. For example: Units in certain block will not be available for reversal buffer transaction until the uncertainty buffer transaction has been executed on the block.

i. Entities and Accounts

Entities like **Funds**, **Tranches**, **Programs**, **Participants** and **Third Party** has various kinds of accounts where trading of the ER units happens. Below is a table showing the name of accounts associated with each entity:

Entities	Account Names
Fund	Share of proceeds (SOP) Account
	Pooled Reversal Buffer Account
	Cancellation Account
Tranche	Tranche Tradable Account
	Tranche Non-Tradable Account
Participant	Tradable Account
	Retirement Account
	Non-Tradable Account
	Cancellation Account
	Tradable Interim Account
	Non-Tradable Interim Account
Third Party	Tradable Account
	Retirement Account
	Non-Tradable Account
	Cancellation Account
Program	Recording Account (Issuance)
Program	Issuance Account (Issuance)
	Uncertainty Buffer Account (Issuance)
	Reversal Buffer Account (Issuance)
	Tradable Account (Issuance)
	Non-tradable Account (Issuance)
	Cancellation Account (Issuance)
	Retirement Account (Issuance)

Tradable Account (Holdings)
Retirement Account (Holdings)
Non-Tradable Account (Holdings)
Cancellation Account (Holdings)

There can be one or more than one transactions/activities that are possible from the accounts listed above. It requires a **submitter** to submit a transaction request and an **approver** (in some cases there can be more than one) to complete a transaction. Refer the **Transaction Approval Matrix** below, for a better understanding of transactions possible from each account, the submitter, the approver, and the flow of ER units.



ii. Assets Tracking and Mapping

The ER units will be defined using three attributes:



Unit Class: defines the unit class as an asset in relation to the MRV activity

Unit Type: defines the tradability of the units

Unit Status: defines the status of the unit as implicated by the transactions performed

iii. Recording Account (Transactions)

Below transactions/activities can be executed by a **Fund Transaction Processor** from a Recording Account:

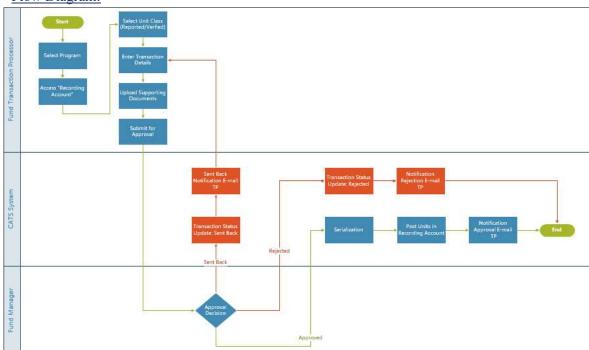
- Record Units
- Issue Units
- Cancel Units

After a transaction is executed by a **Fund Transaction Processor**, the approver has the authority to either approve, reject or send the request back for revision. There may be one or two approvers depending on the transaction.

A. Record Units

A **Fund Transaction Processor** can record the units using the **Recording Account**. To record units in a program, we need to make sure that the **Program** is linked with at least one **Tranche**. Refer <u>CREATE ERPA</u> to link a program with a tranche.

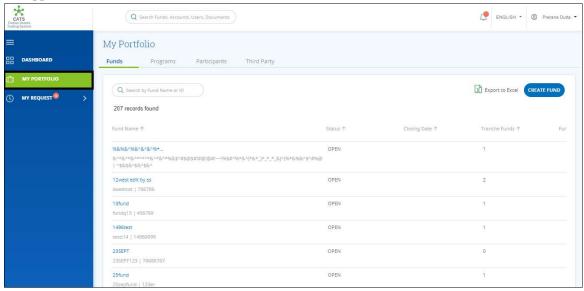
Flow Diagram:



Steps to be followed by Fund Transaction Processor:

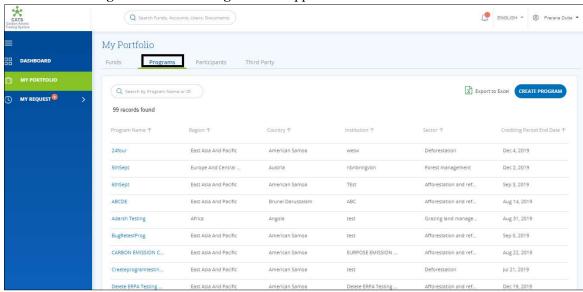
The Fund Transaction Processor logs into CATS with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



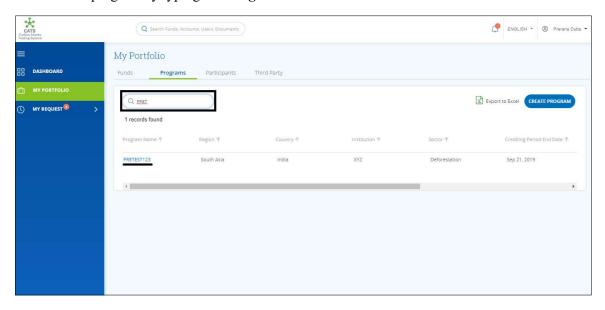
Screenshot 264: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



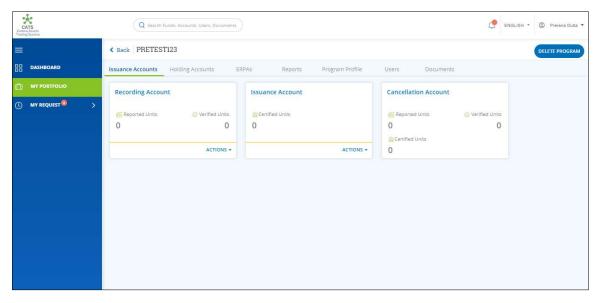
Screenshot 265: Programs list

3. Search a program by typing the **Program Name** in the search box.



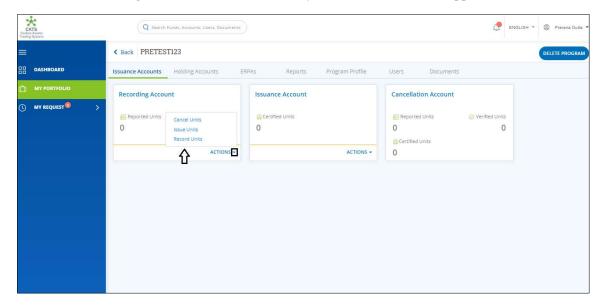
Screenshot 266: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



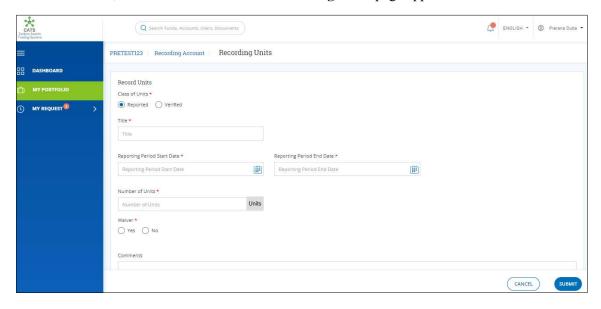
Screenshot 267: Issuance Accounts area

5. In the **Recording Account** Box, click the symbol. A list of actions appears.



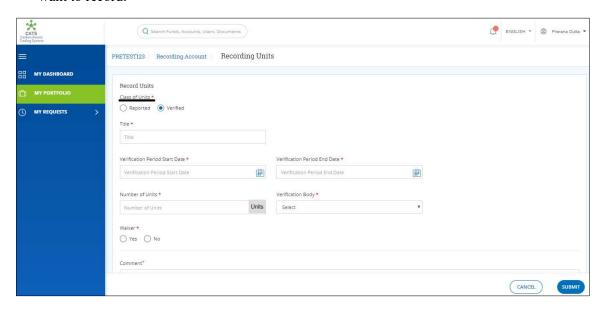
Screenshot 268: Issuance Accounts area

6. From the list, click **Record Units**. The **Recording Units** page appears.



Screenshot 269: Recording Units page

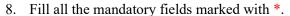
7. In the **Class of Units** section, click **Reported** or **Verified** based on the type of units you want to record.

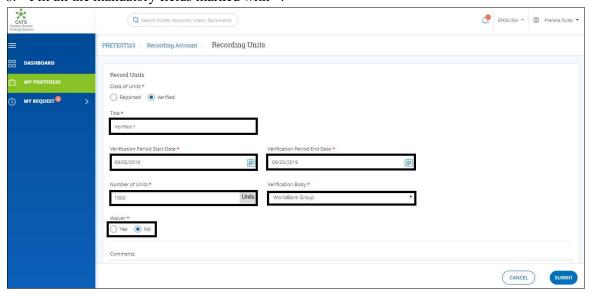


Screenshot 270: Recording Units page

NOTE:

- ❖ A user can record the **Reported** and **Verified** units any number of times.
- ❖ The units that are recorded as **Reported** can only be cancelled.
- The units that are recorded as **Verified** can either be transferred to Issuance Account or cancelled.

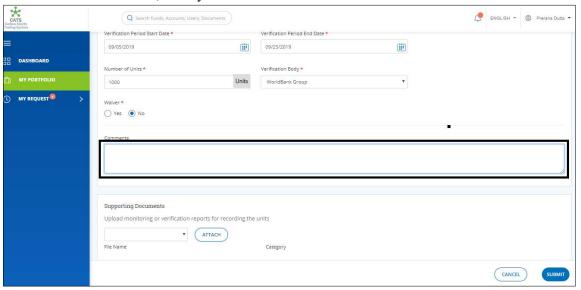




Screenshot 271: Recording Units page

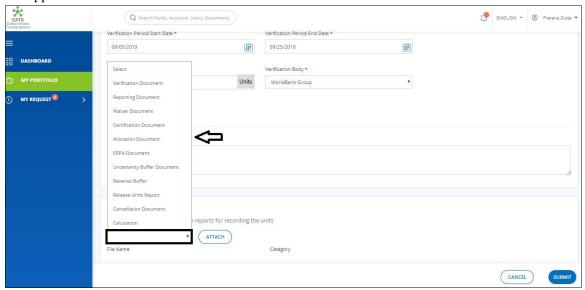
NOTE:

- ❖ A user can record the **Reported** units any number of times and system allows the user to record the units with overlapping **Reporting Period**.
- ❖ The period of recording the units should not be for future dates.
- ❖ There will be no **Verification Body** field, if the Class of Units is **Reported**.
- 9. In the **Comments** box, write your comments.



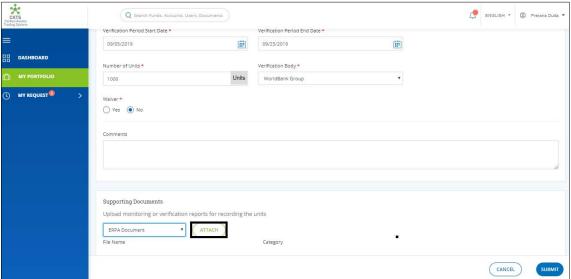
Screenshot 272: Recording Units page

10. In the **Supporting Documents** section, click the box. A list of supporting documents appears.



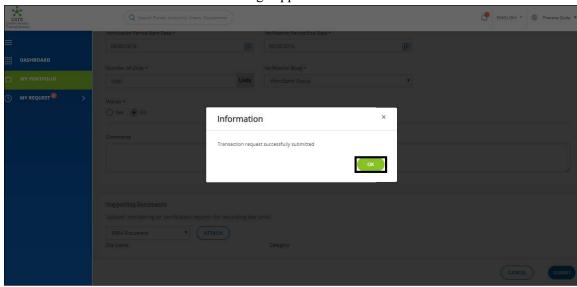
Screenshot 273: Recording Units page

11. From the list, click a supporting document. Then, click ATTACH. Q Search Funds, Ac



Screenshot 274: Recording Units page

12. Click **SUBMIT**. A confirmation message appears. Click **OK**.



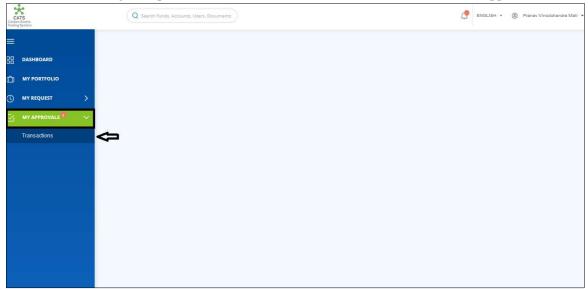
Screenshot 275: Confirmation message

NOTE: After the **Fund Transaction Processor** records the transaction, the request goes to the Fund Manager for approval.

> Steps to be followed by the Fund Manager:

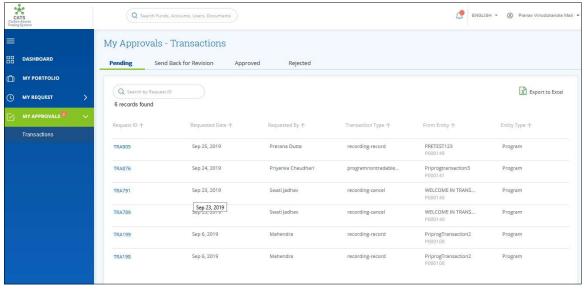
The Fund Manager logs into CATS with his e-mail ID and password.

1. In the left Navigation pane, click MY APPROVALS. The Transactions tab appears.



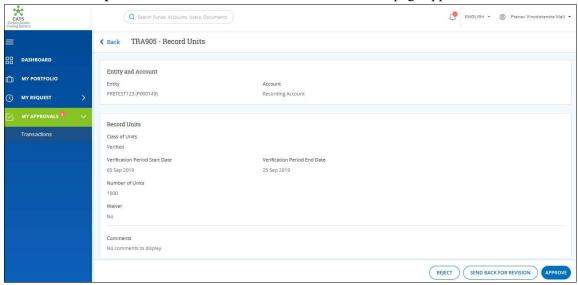
Screenshot 276: CATS home page

2. Click **Transactions**. The **Pending** list of **My Approvals-Transactions** page appears.



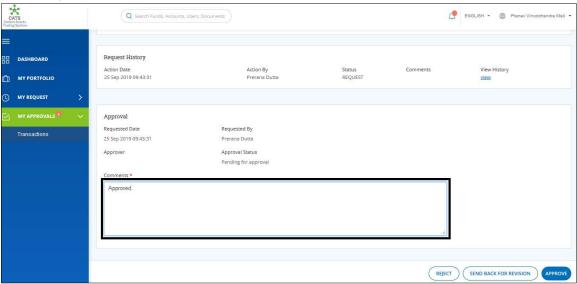
Screenshot 277: My Approvals-Transactions page

3. Click the **Request ID** that needs an action. The **Record Units** page appears.



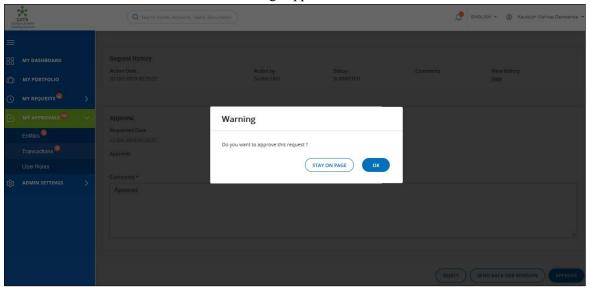
Screenshot 278: Record Units page

4. Enter your comments in the **Comments** section.



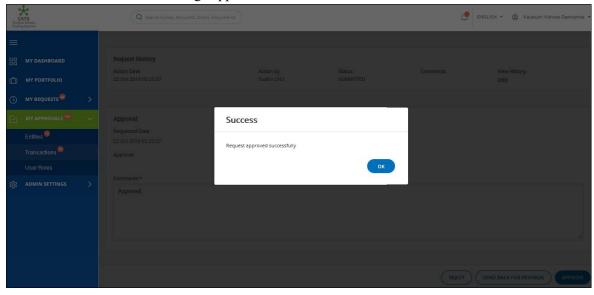
Screenshot 279: Record Units page

5. Click **APPROVE.** A confirmation message appears.



Screenshot 280: Record Units page

6. Click OK. A Success message appears. Click OK.



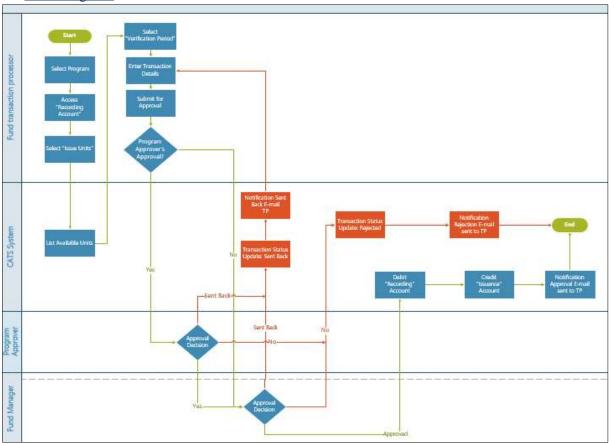
Screenshot 281: Record Units page

NOTE: Same steps will follow for **Reject** and **Send Back for Revision**.

B. Issue Units

The Fund Transaction Processor can issue only the Verified Units present in the Recording Account. The request after submission gets triggered to the Program Approver first and then goes to the Fund Manager for approval.

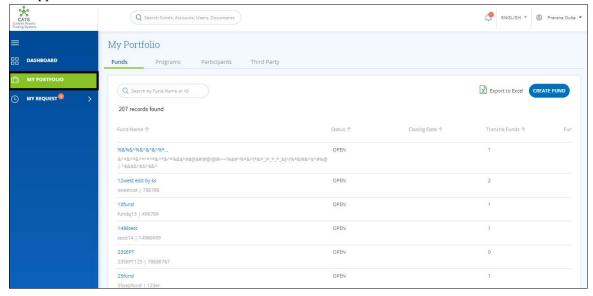
Flow Diagram:



> Steps to be followed by Fund Transaction Processor:

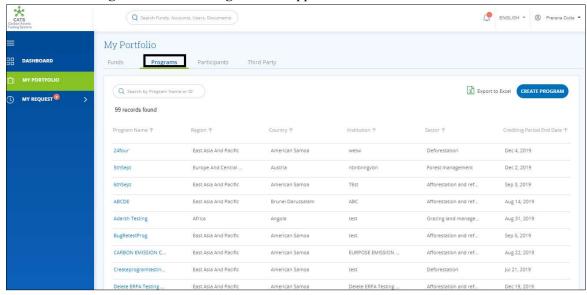
Suppose the **Fund Transaction Processor** has submitted two Verified Units and two Reported Units by following the same procedural steps demonstrated in <u>Record Units</u> and the **Fund Manager** has approved the request.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



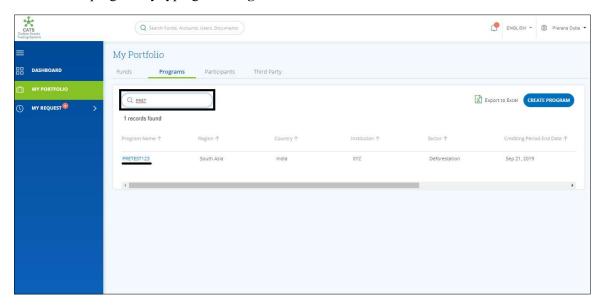
Screenshot 282: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



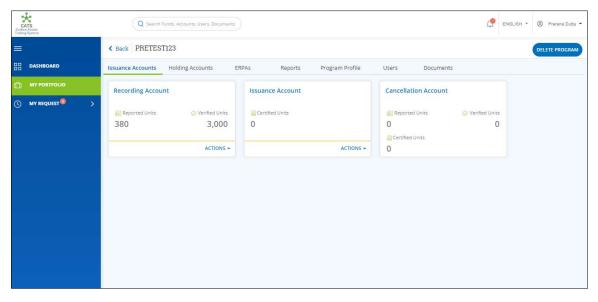
Screenshot 283: Programs list

3. Search a program by typing the **Program Name** in the search box.



Screenshot 284: Programs area

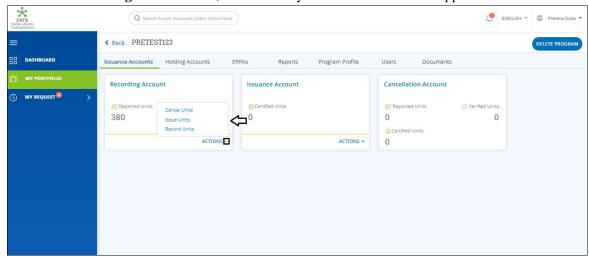
4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



Screenshot 285: Issuance Accounts area

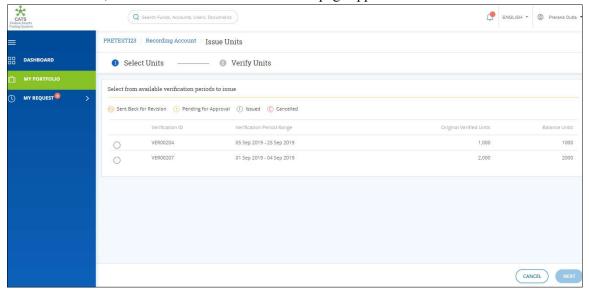
<u>NOTE:</u> Recording Account present under Issuance Accounts tab has 3000 Verified units & 380 Reported units.

5. In the **Recording Account** Box, click the *symbol. A list of actions appears.



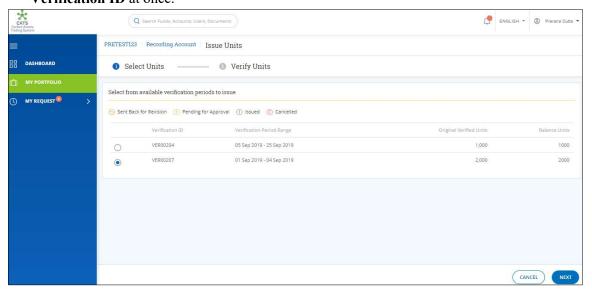
Screenshot 286: Issuance Accounts area

6. From the list, click Issue Units. The Issue Units page appears.



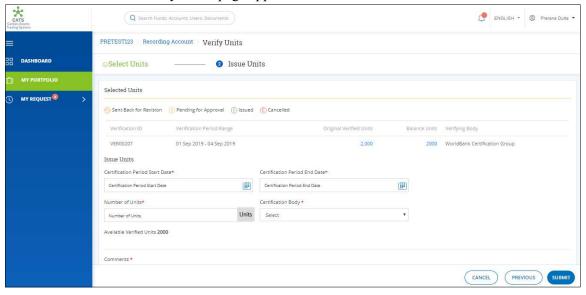
Screenshot 287: Issue Units page

7. Select a **Verification ID** whose units you want to issue. The user can click one **Verification ID** at once.



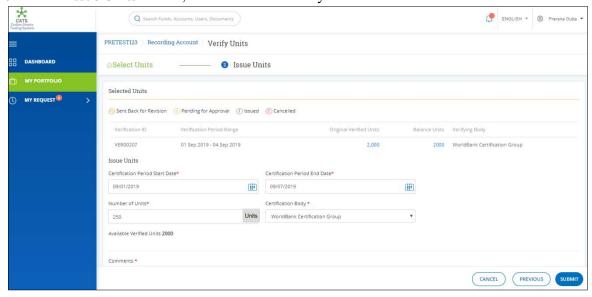
Screenshot 288: Issue Units page

8. Click **NEXT**. The **Verify Units** page appears.



Screenshot 289: Verify Units page

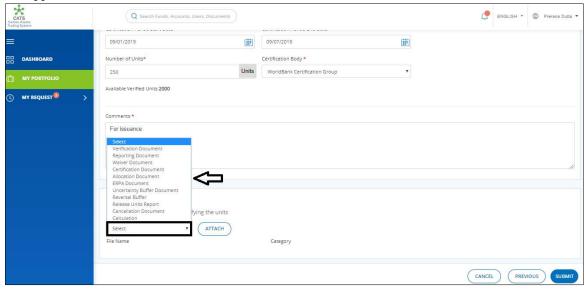
9. In the **Issue Units** section, enter all the mandatory fields marked with *.



Screenshot 290: Verify Units page

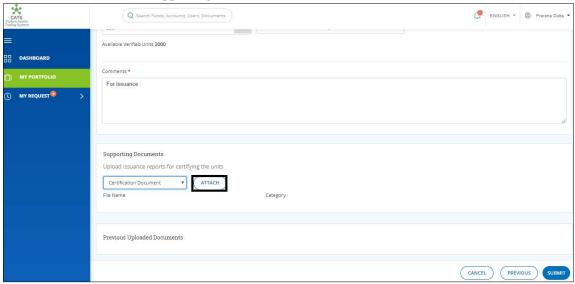
<u>NOTE:</u> The Certification Period Start Date and Certification Period End Date must lie within the Verification Period Range.

10. In the **Supporting Documents** section, click the box. A list of supporting documents appears.



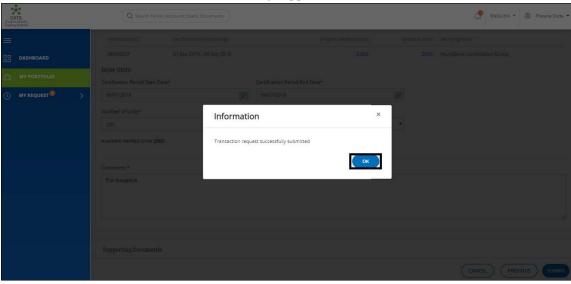
Screenshot 291: Verify Units page

11. From the list, click a supporting document. Then, click **ATTACH**.



Screenshot 292: Verify Units page

12. Click **SUBMIT**. The confirmation message appears. Click **OK**.



Screenshot 293: Confirmation message

<u>NOTE:</u> After the **Fund Transaction Processor** issues the units, the request first goes to the **Program Approver** for approval. After the **Program Approver's** approval, the request gets triggered for the **Fund Manager's** approval.

> Steps to be followed by the Program Approver:

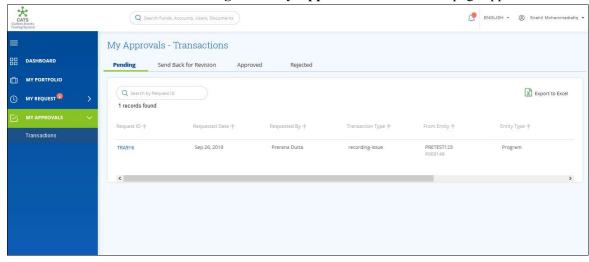
The Transaction Approver logs into CATS with his e-mail ID and password.

1. In the left Navigation pane, click MY APPROVALS. The Transactions tab appears.



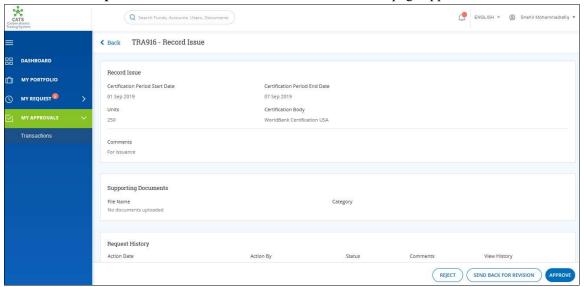
Screenshot 294: CATS home page

2. Click **Transactions**. The **Pending** list of **My Approvals-Transactions** page appears.



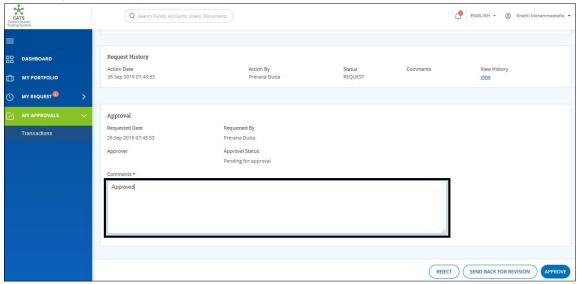
Screenshot 295: My Approvals-Transactions page

3. Click the **Request ID** that needs an action. The **Record Issue** page appears.



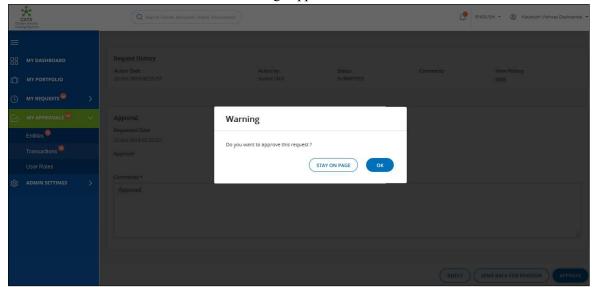
Screenshot 296: Record Issue page

4. Enter your comments in the **Comments** section.



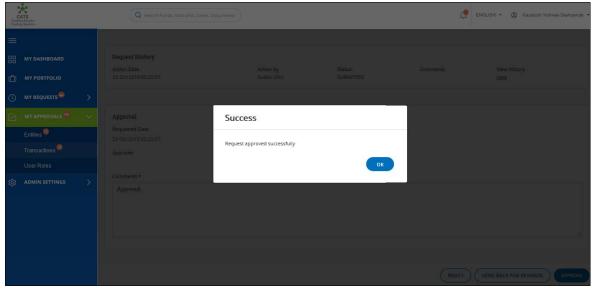
Screenshot 297: Record Issue page

5. Click **APPROVE.** A confirmation message appears.



Screenshot 298: Record Issue page

6. Click **OK.** A Success message appears. Click **OK**.



Screenshot 299: Record Issue page

NOTE: Same steps will follow for **Reject** and **Send Back for Revision**.

> Steps to be followed by the Fund Manager:

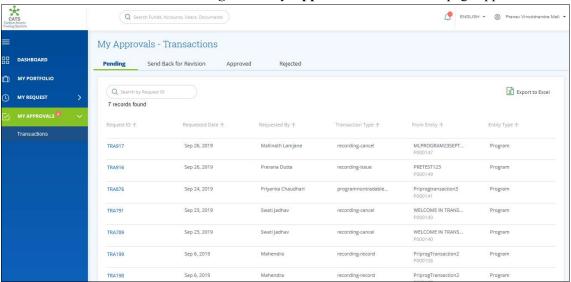
The Fund Manager logs into CATS with his e-mail ID and password.

1. In the left Navigation pane, click MY APPROVALS. The Transactions tab appears.



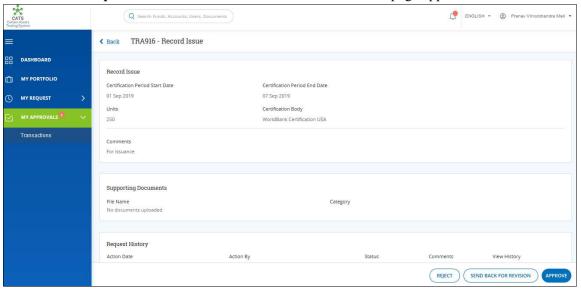
Screenshot 300: CATS home page

2. Click **Transactions**. The **Pending** list of **My Approvals-Transactions** page appears.



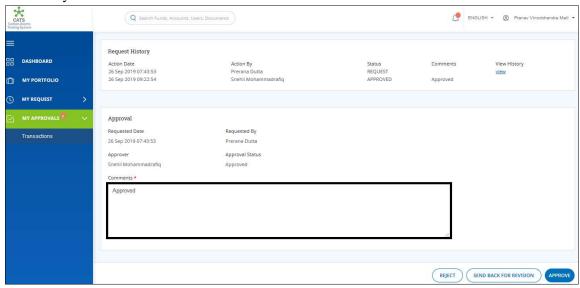
Screenshot 301: My Approvals-Transactions page

3. Click the **Request ID** that needs an action. The **Record Issue** page appears.



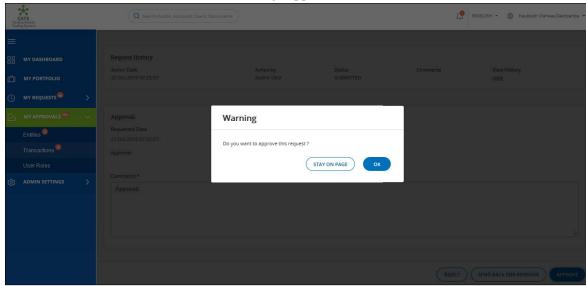
Screenshot 302: Record Issue page

4. Enter your comments in the **Comments** section.



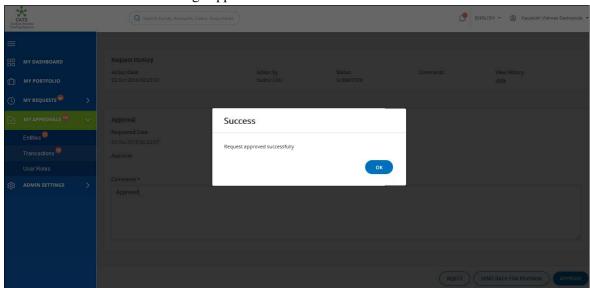
Screenshot 303: Record Issue page

5. Click **APPROVE.** A confirmation message appears.



Screenshot 304: Record Issue page

6. Click **OK**. A Success message appears. Click **OK**.



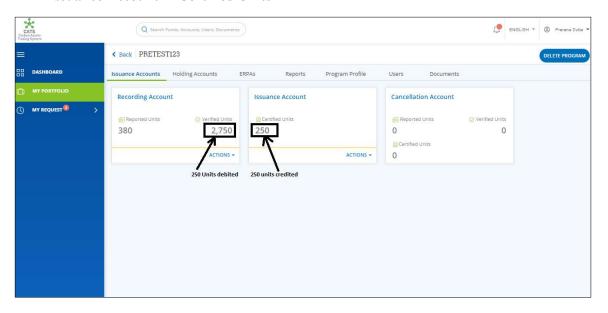
Screenshot 305: Record Issue page

NOTE: Same steps will follow for **Reject** and **Send Back for Revision**.

Flow of Units from Recording Account to Issuance Account:

After the **Program Approver** and the **Fund Manager** approves the issuance of units, the **Fund Transaction Processor** receives a system generated e-mail notifying that the transaction

is approved. The verified units get debited from the **Recording Account** and are credited into the **Issuance Account** as **Certified Units**.

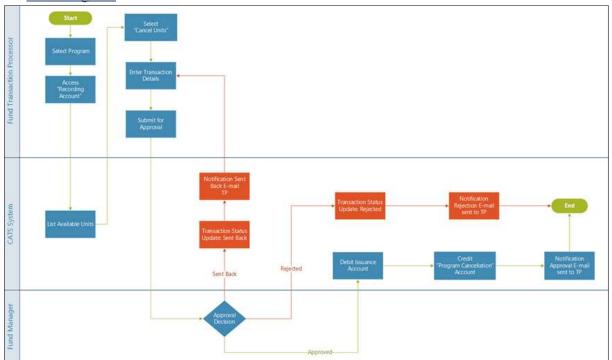


Screenshot 306: Debit and credit of Units

C. Cancel Units

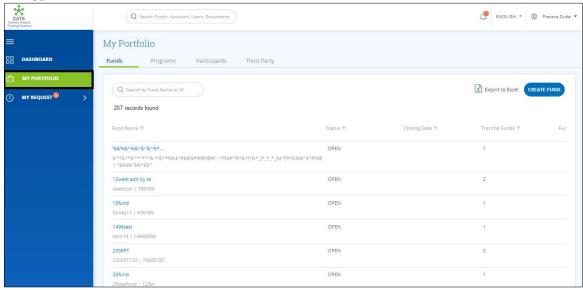
A Fund Transaction Processor can cancel both Reported Units and Verified Units. The request after submission needs to be approved by the Fund Manager.

Flow Diagram:



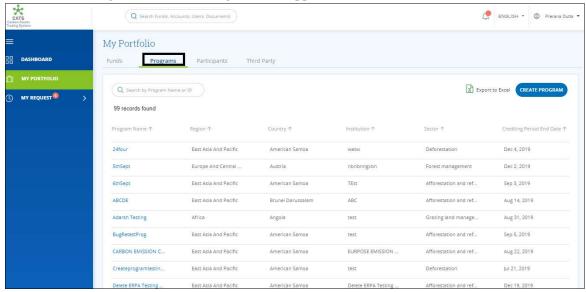
> Steps to be followed by Fund Transaction Processor:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



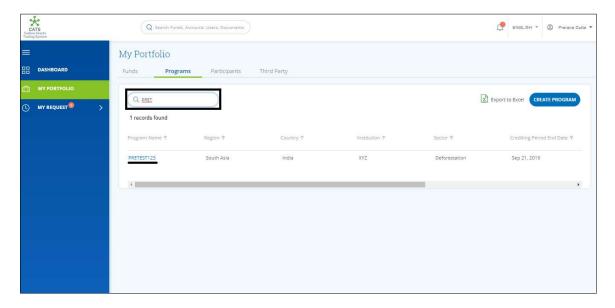
Screenshot 307: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



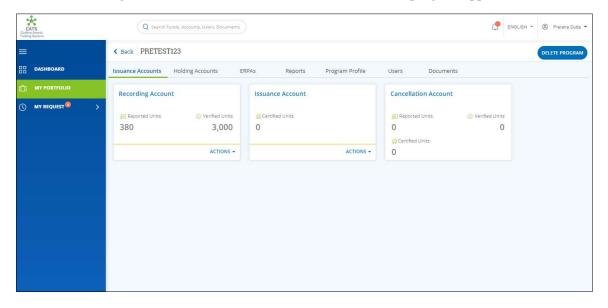
Screenshot 308: Programs list

3. Search a program by typing the **Program Name** in the search box.



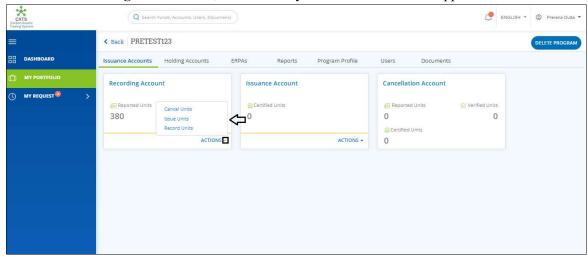
Screenshot 309: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



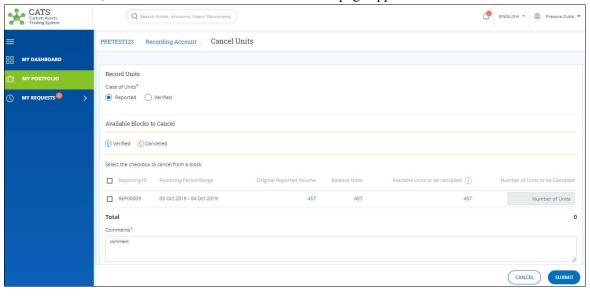
Screenshot 310: Issuance Accounts area

5. In the **Recording Account** Box, click the *symbol. A list of actions appears.



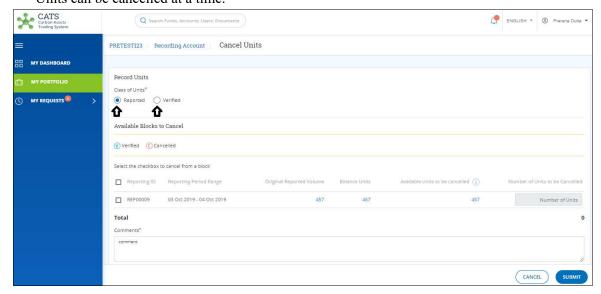
Screenshot 311: Issuance Accounts area

6. From the list, click Cancel Units. The Cancel Units page appears.



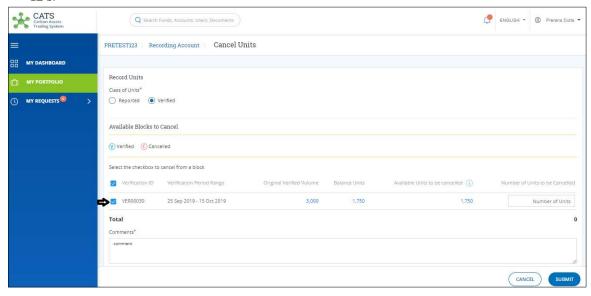
Screenshot 312: Cancel Units page

7. In the **Class of Units** section, click **Reported** or **Verified**. Either the Reported or Verified Units can be cancelled at a time.



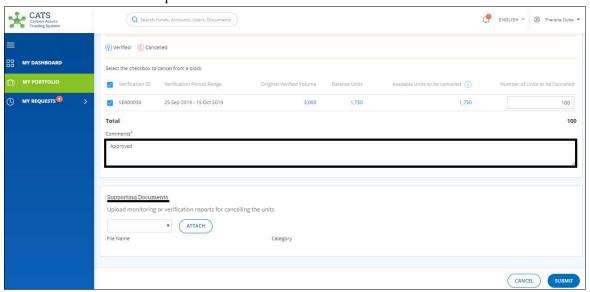
Screenshot 313: Cancel Units page

8. Select a **Reporting ID** that needs to be cancelled. There can be more than one **Reporting IDs**.



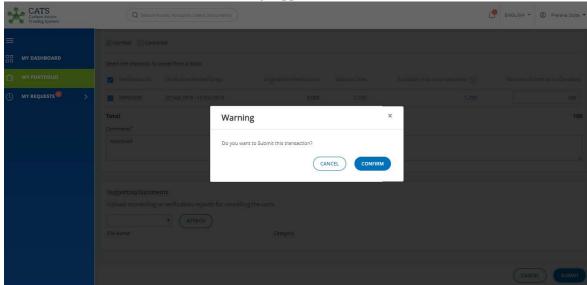
Screenshot 314: Cancel Units page

9. Enter the comments in the **Comments** section. In the **Supporting Documents** section, attach a document if required.



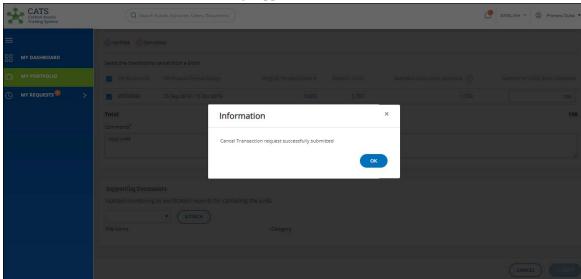
Screenshot 315: Cancel Units page

10. Click **SUBMIT**. A confirmation message appears.



Screenshot 316: Confirmation message

11. Click CONFIRM. A Success message appears. Click OK.



Screenshot 317: Success message

> Steps to be followed by the Fund Manager:

The **Fund Manager** reviews the request and either approves the request, rejects the request or sends the request back for revision. Refer <u>these</u> for more details.

iv. Issuance Account (Transactions)

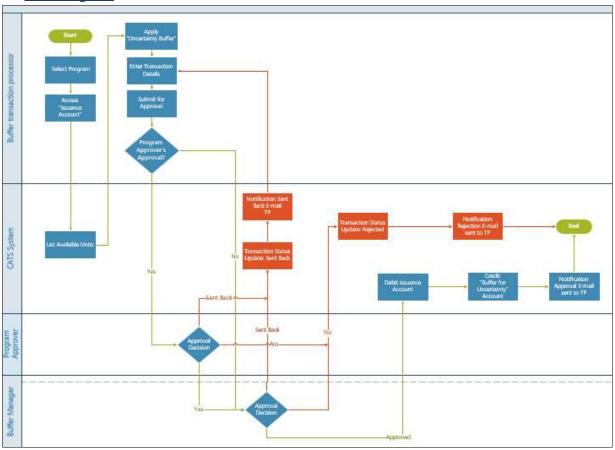
Below transactions/activities can be executed from an Issuance Account (Issuance Accounts tab) under a Program:

- Uncertainty Buffer Allocation
- Reversal Buffer Allocation
- Share of Proceeds (SoP) allocation
- Purchase Allocation
- Country Allocation
- Cancel Units

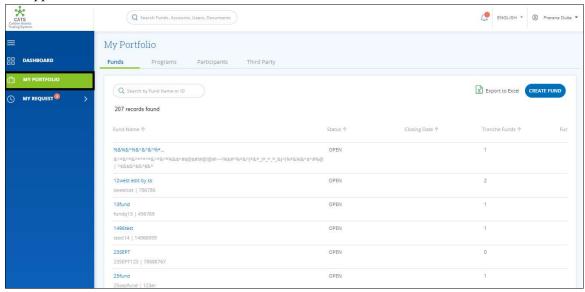
A. Uncertainty Buffer Allocation

A user must have the role of **Buffer Transaction Processor** to allocate the **Certified** units in the Issuance Account to Uncertainty Buffer Account of the same program. After the transaction is executed, the **Program Approver** and the **Buffer Manager** have the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:

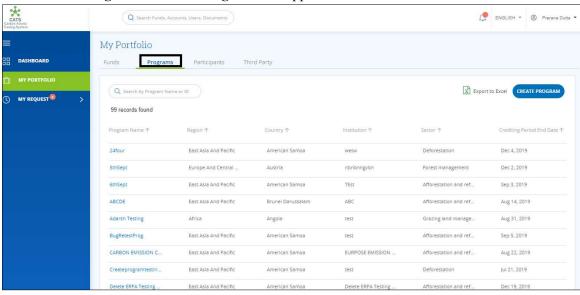


Procedural steps to be followed by the Buffer Transaction Processor: The Buffer Transaction Processor logs into the CATS application with his e-mail ID and password. 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



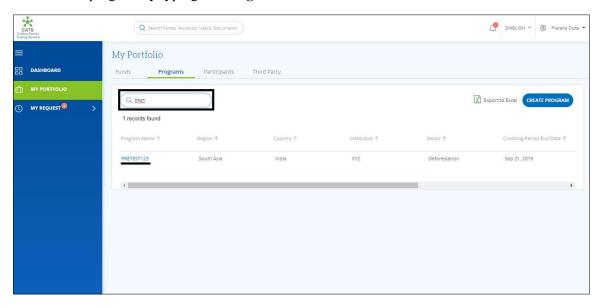
Screenshot 318: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



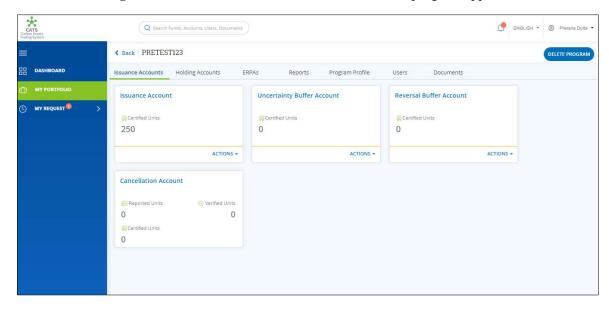
Screenshot 319: Programs list

3. Search a program by typing the **Program Name** in the search box.



Screenshot 320: Programs list

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



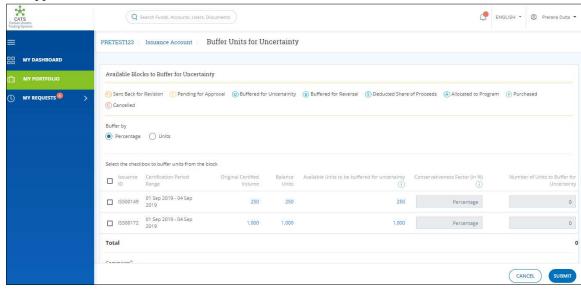
Screenshot 321: Issuance Accounts area

← Back PRETEST123 Issuance Accounts Holding Accounts Program Profile Documents Issuance Account Uncertainty Buffer Account Reversal Buffer Account Certified Units Certified Units @ Certified Units 250 0 0 ACTIONS + ACTIONS -Buffer for Uncertainty Cancellation Accou 0 0 @Certified Units 0

5. In the **Issuance Account** box, click the *symbol. A list of actions appears.

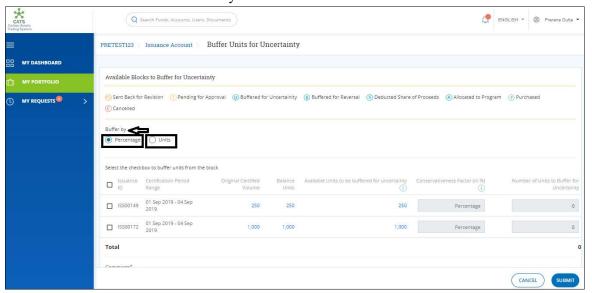
Screenshot 322: Issuance Accounts area

6. From the list, click **Buffer for Uncertainty**. The **Buffer Units for Uncertainty** page appears.



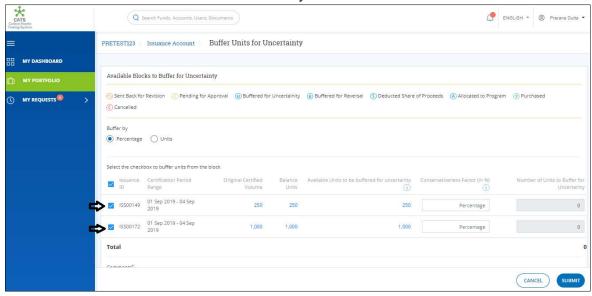
Screenshot 323: Buffer Units for Uncertainty page

7. In the **Buffer by** section, click **Percentage** if you want to allocate a percentage of Certified Units to the "Uncertainty Buffer Account" or click **Units** if you want to allocate some number of units to the "Uncertainty Buffer Account".



Screenshot 324: Buffer Units for Uncertainty page

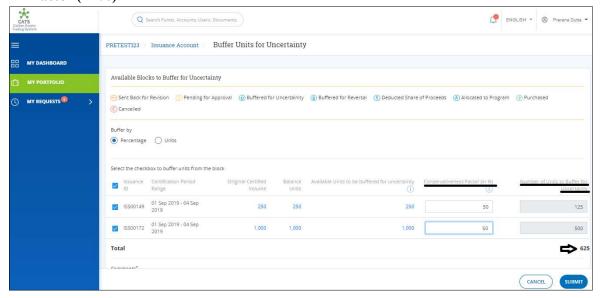
8. Select the **Issuance ID** checkbox whose units you want to transfer.



Screenshot 325: Buffer Units for Uncertainty page

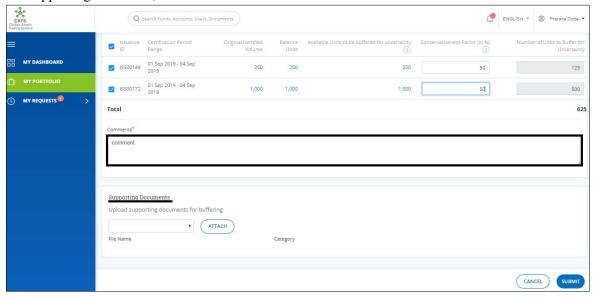
<u>NOTE:</u> Units from more than one **Issuance ID**s can be transferred to Buffer Uncertainty account at once.

9. Enter the percentage in the Conservativeness Factor (in %) field. The Number of Units to Buffer for Uncertainty changes based on the value we enter in Conservativeness Factor (in %).



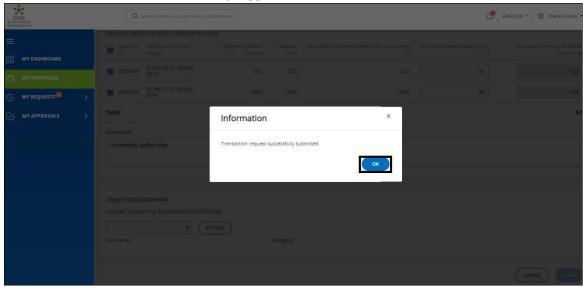
Screenshot 326: Buffer Units for Uncertainty page

10. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 327: Buffer Units for Uncertainty page

12. Click SUBMIT. A success message appears. Click OK.



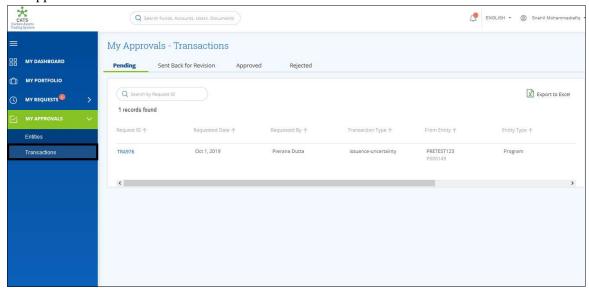
Screenshot 328: Buffer Units for Uncertainty page

- > Procedural steps to be followed by the Program Approver:
 - The **Program Approver** logs into the CATS application using his e-mail ID and password.
 - 1. In the left Navigation pane, click **MY APPROVALS**. The **MY APPROVALS** list appears.



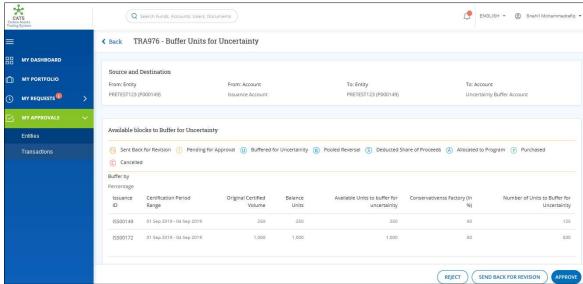
Screenshot 329: CATS home page

2. From the list, click **Transactions**. The **Pending** list of **My Approvals-Transactions** page appears.



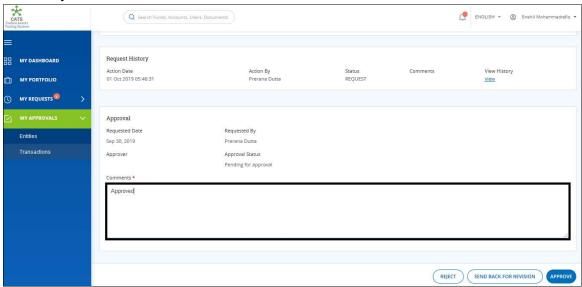
Screenshot 330: My Approvals-Transactions page

3. Click the **Request ID** that needs an action. The **Buffer Units for Uncertainty** page appears.



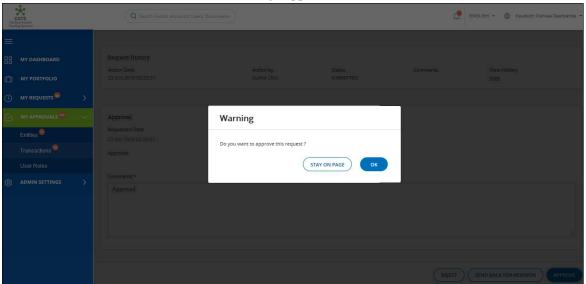
Screenshot 331: Buffer Units for Uncertainty page

4. Enter your comments in the **Comments** section.



Screenshot 332: Buffer Units for Uncertainty page

5. Click **APPROVE.** A confirmation message appears.



Screenshot 333: Buffer Units for Uncertainty page

ENGLISH • © Maustuch Visines Destroande

Request History
Action by
Sudhur Linu

MY PROTIFICIO

MY PROTUBLE

ACTION DATE

A

6. Click **OK.** A Success message appears. Click **OK**.

Screenshot 334: Buffer Units for Uncertainty page

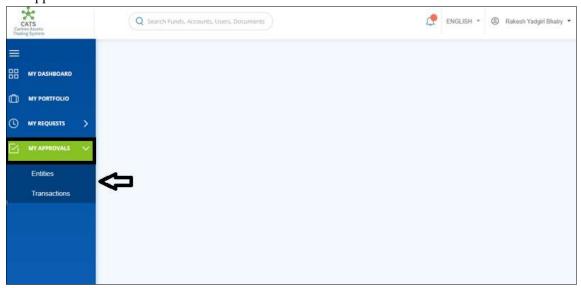
NOTE: Same steps will follow for **Reject** and **Send Back for Revision**.

Procedural steps to be followed by the Buffer Manager:

After the transaction is approved by the **Program Approver**, the request is triggered to the **Buffer Manager** for approval.

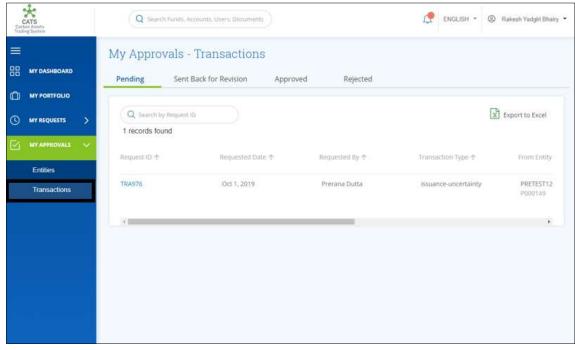
The **Buffer Manager** logs into the CATS application with his e-mail ID and password.

1. In the left Navigation pane, click **MY APPROVALS**. The **MY APPROVALS** list appears.



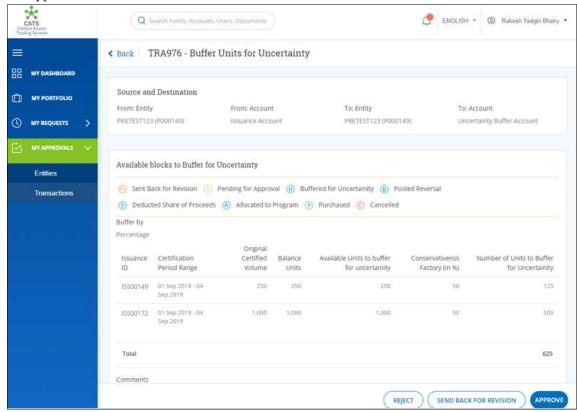
Screenshot 335: CATS home page

2. From the list, click **Transactions**. The **Pending** list of **My Approvals-Transactions** page appears.



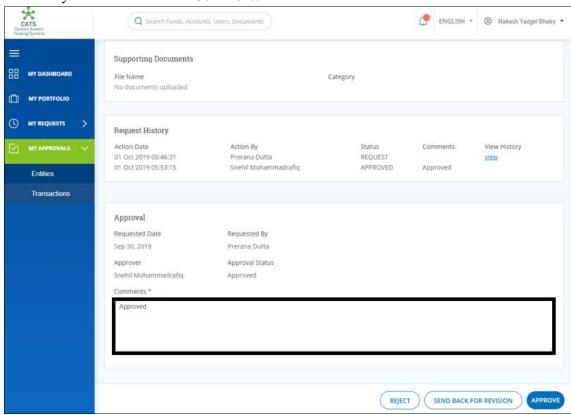
Screenshot 336: My Approvals-Transactions page

3. Click the **Request ID** that needs an action. The **Buffer Units for Uncertainty** page appears.



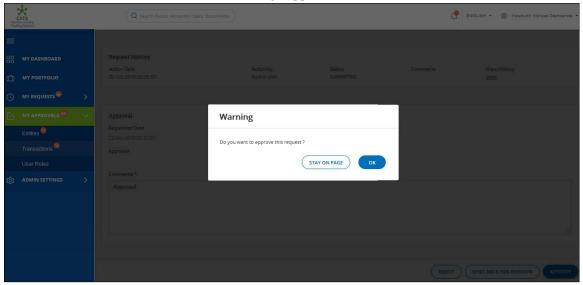
Screenshot 337: Buffer Units for Uncertainty page

4. Enter your comments in the **Comments** section.



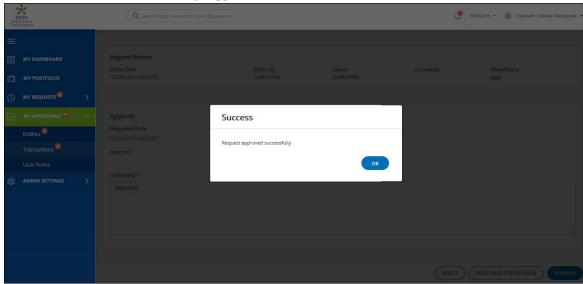
Screenshot 338: Buffer Units for Uncertainty page

5. Click **APPROVE.** A confirmation message appears.



Screenshot 339: Buffer Units for Uncertainty page

6. Click **OK**. A Success message appears. Click **OK**.

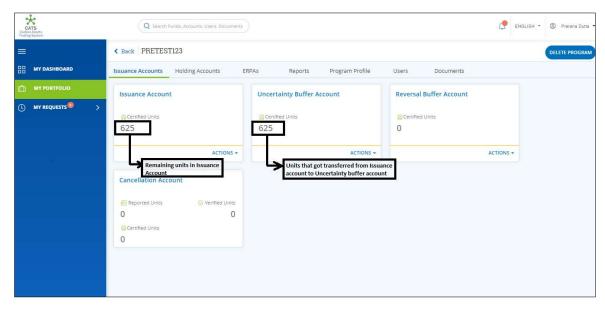


Screenshot 340: Buffer Units for Uncertainty page

NOTE: Same steps will follow for **Reject** and **Send Back for Revision**.

Flow of Units from Issuance Account to Uncertainty Buffer Account:

After the **Program Approver** and the **Buffer Manager** approves allocation of units from **Issuance Account** to **Uncertainty Buffer Account**, the **Fund Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Issuance Account** and are credited into **Uncertainty Buffer Account**.

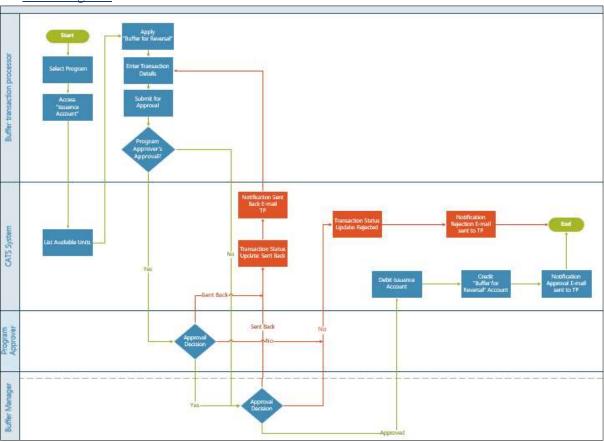


Screenshot 341: Debit and credit of Units

B. Reversal Buffer Allocation

A user must have the role of **Buffer Transaction Processor** to transfer the **Certified** units from the **Issuance Account** to the **Reversal Buffer Account** of the same program. After the transaction is executed, the **Program Approver** and the **Buffer Manager** have the authority to either Approve, Reject or Send the transaction request back for revision.

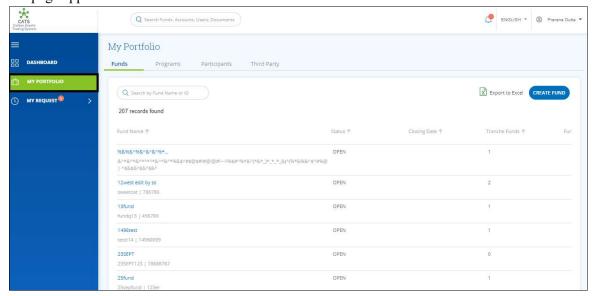
Flow Diagram:



Procedural steps to be followed by the Buffer Transaction Processor:

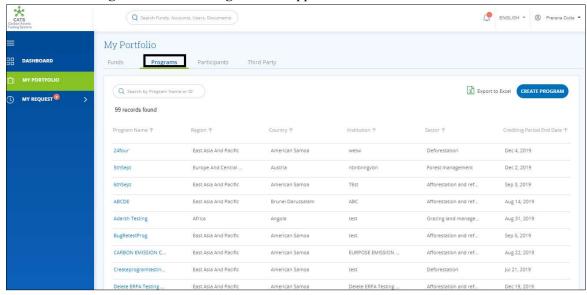
The **Buffer Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



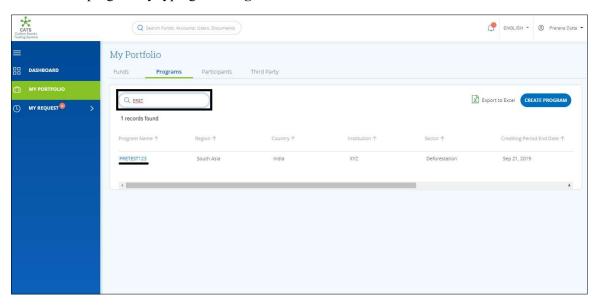
Screenshot 342: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



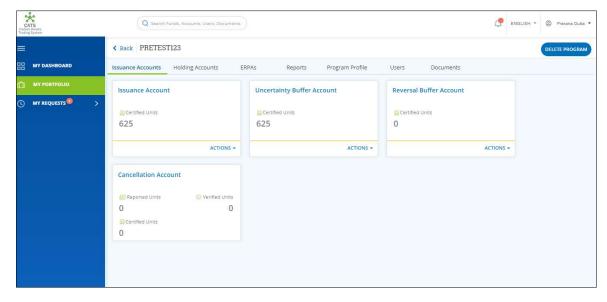
Screenshot 343: Programs list

3. Search a program by typing the **Program Name** in the search box.



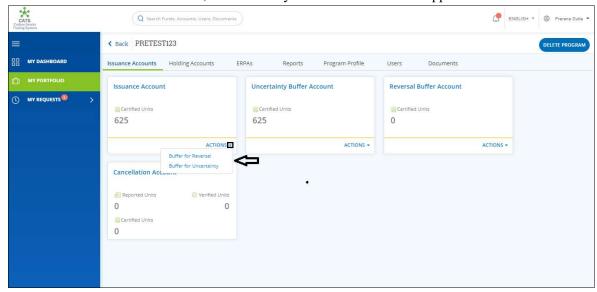
Screenshot 344: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



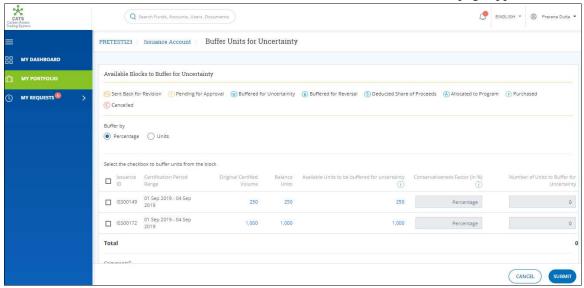
Screenshot 345: Issuance Accounts area

5. In the **Issuance Account** box, click the *symbol. A list of actions appears.



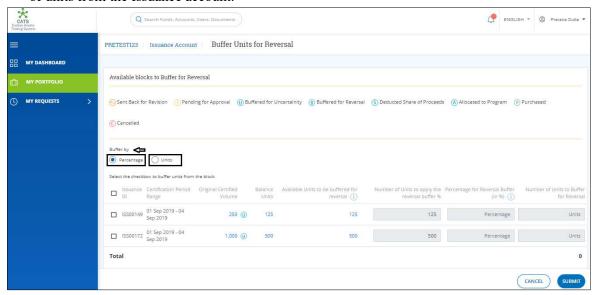
Screenshot 346: Issuance Accounts area

6. From the list, click **Buffer for Reversal**. The **Buffer Units for Reversal** page appears.



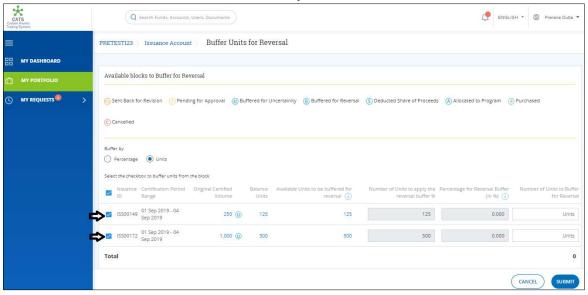
Screenshot 347: Buffer Units for Reversal page

7. In the **Buffer by** section, click **Percentage** if you want to allocate a percentage of Certified Units to the "Reversal Buffer Account" or click **Units** if you want to allocate some number of units from the Issuance account.



Screenshot 348: Buffer Units for Reversal page

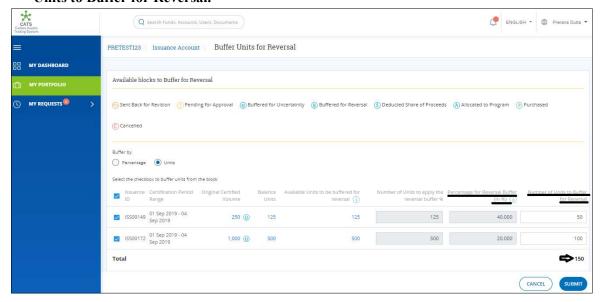
8. Select the **Issuance ID** checkbox whose units you want to transfer.



Screenshot 349: Buffer Units for Reversal page

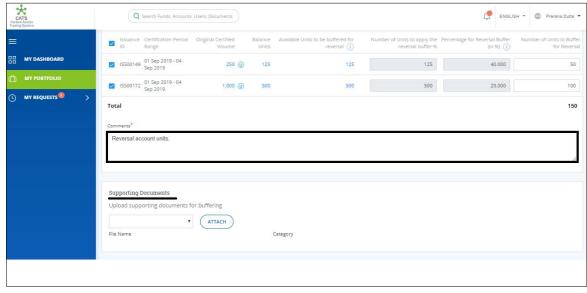
<u>NOTE:</u> Units from more than one **Issuance ID**s can be transferred to Buffer Reversal account at once.

9. Enter the number of units in the Number of Units to Buffer for Reversal. The Conservativeness Factor (in %) field changes based on the value we enter in Number of Units to Buffer for Reversal.



Screenshot 350: Buffer Units for Reversal page

10. Enter the comments in the **Comments** section. In the **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 351: Buffer Units for Reversal page

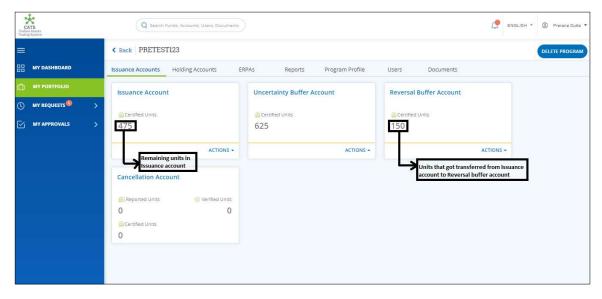
CATS Commercial Commercial

11. Click **SUBMIT**. A success message appears. Click **OK**. The request is submitted.

Screenshot 352: Success message

- Procedural steps to be followed by the Program Approver:
 The Program Approver logs into the CATS application using his e-mail ID and password.
 He, then needs to follow the same steps as in Procedural steps to be followed by Program Approver.
- Procedural steps to be followed by the Buffer Manager:
 The Buffer Manager logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in Procedural steps to be followed by Buffer Manager.
- Flow of Units from Issuance Account to Reversal Buffer Account:

 After both the Program Approver and the Buffer Manager approves allocation of units from Issuance Account to Reversal Buffer Account, the Buffer Transaction Processor receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the Issuance Account and are credited into Reversal Buffer Account.

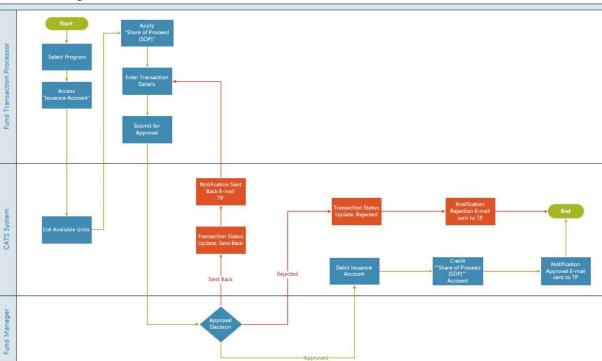


Screenshot 353: Debit and credit of Units

C. Share of Proceeds (SoP) Allocation

A user must have the role of **Fund Transaction Processor** to transfer the **Certified** units from the **Issuance Account** to the **Share of Proceeds Account** under fund. After the transaction is executed, the **Fund Manager** have the authority to either Approve, Reject or Send the transaction request back for revision.

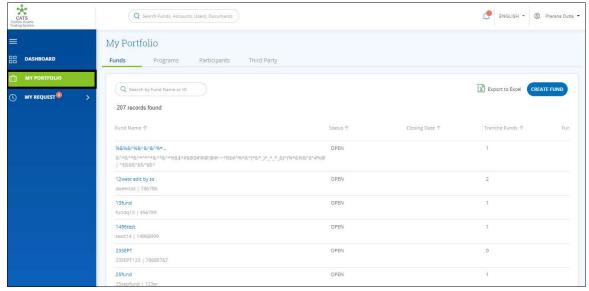
Flow Diagram:



Procedural steps to be followed by the Fund Transaction Processor:

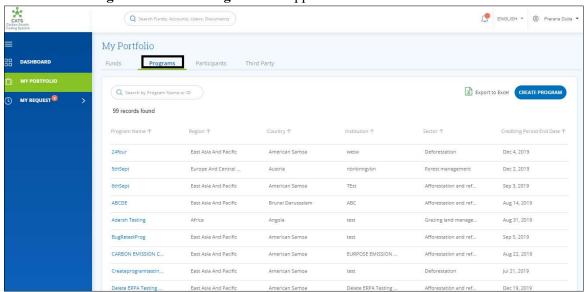
The **Fund Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



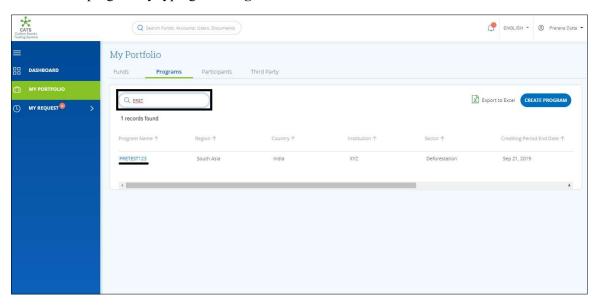
Screenshot 354: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



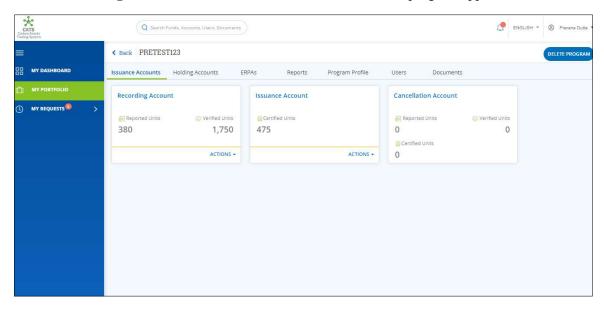
Screenshot 355: Programs list

3. Search a program by typing the **Program Name** in the search box.



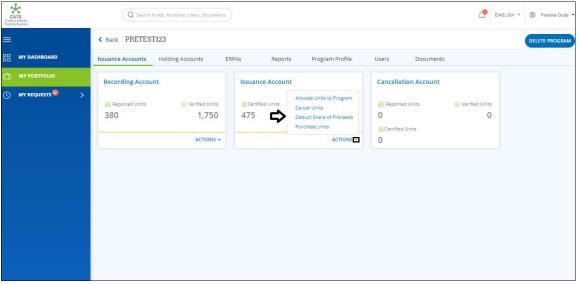
Screenshot 356: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



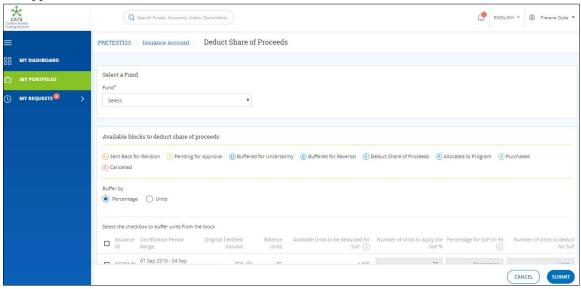
Screenshot 357: Issuance Accounts area

5. In the **Issuance Account** box, click the *symbol. A list of actions appears.



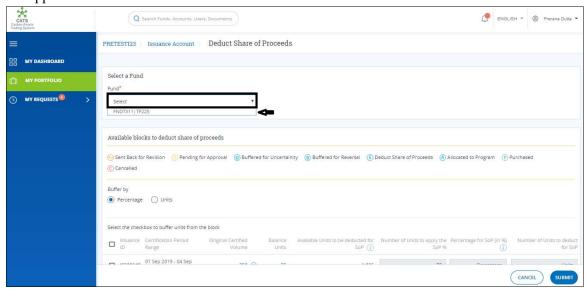
Screenshot 358: Issuance Accounts area

6. From the list, click **Deduct Share of Proceeds**. The **Deduct Share of Proceeds** page appears.



Screenshot 359: Deduct Share of Proceeds page

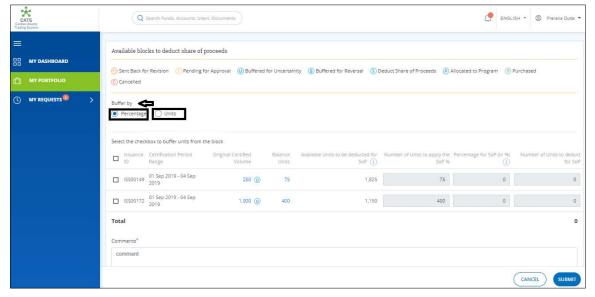
7. In the **Select a Fund** section, click the **Select** box. A list of funds linked to the program appears. Click on a fund.



Screenshot 360: Deduct Share of Proceeds page

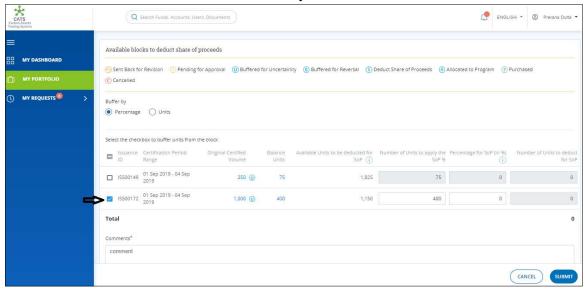
NOTE: A program can be linked with more than one funds.

8. In the **Buffer by** section, click **Percentage** if you want to allocate a percentage of Certified Units to the "Share of Proceeds" account or click **Units** if you want to allocate some number of units from the Issuance account.



Screenshot 361: Deduct Share of Proceeds page

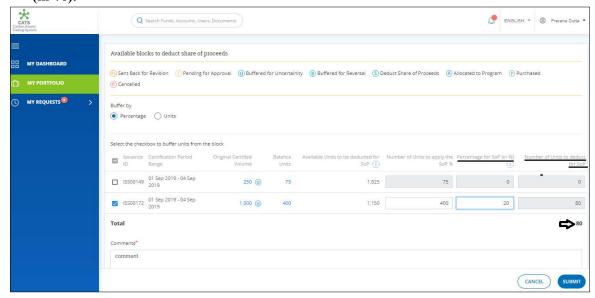
9. Select the Issuance ID checkbox whose units you want to transfer.



Screenshot 362: Deduct Share of Proceeds page

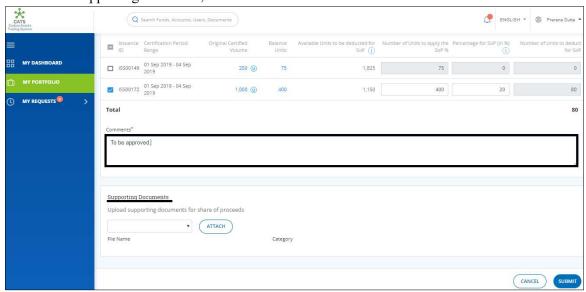
<u>NOTE:</u> Units from more than one **Issuance ID**s can be transferred to Share of Proceeds account at once.

10. Enter the percentage of units in the **Percentage for SoP** (in %) field. The **Number of Units to deduct for SoP** field changes based on the value we enter in **Percentage for SoP** (in %).



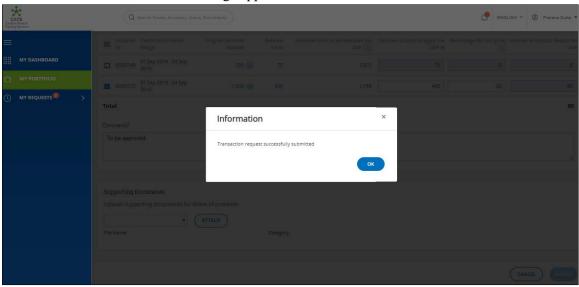
Screenshot 363: Deduct Share of Proceeds page

11. Enter the comments in the **Comments** section. In the **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 364: Deduct Share of Proceeds page

12. Click SUBMIT. A success message appears. Click OK.



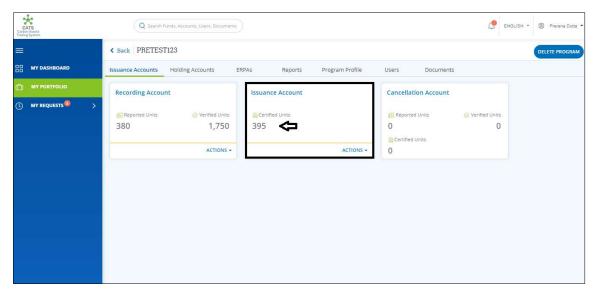
Screenshot 365: Success message

Procedural steps to be followed by the Fund Manager:

The **Fund Manager** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Fund Manager</u>.

Flow of Units from Issuance Account to Share of Proceeds Account:

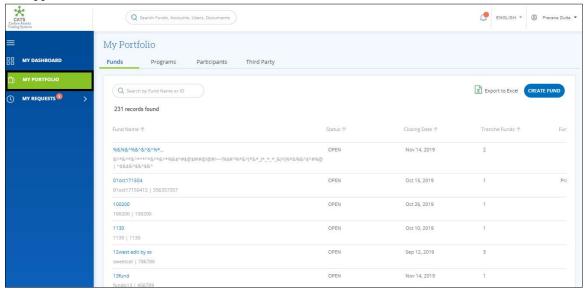
After the **Fund Manager** approves allocation of units from **Issuance Account** to **Share of Proceeds Account**, the **Fund Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Issuance Account** and are credited into **Share of Proceeds Account** under fund.



Screenshot 366: Units debited from the Issuance Account

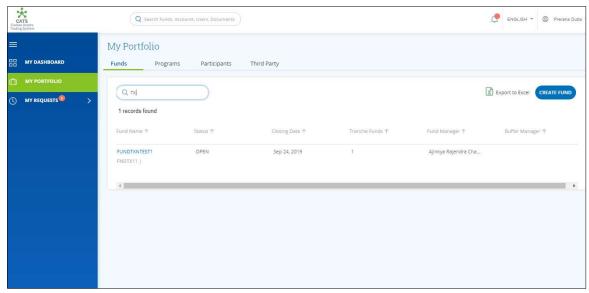
Follow the steps below to see the units credited in the Share of Proceeds account:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



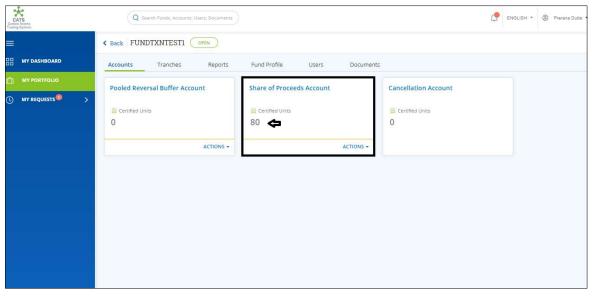
Screenshot 367: My Portfolio page

2. Search the **Fund Name** that is linked to your program by entering a keyword in the search box.



Screenshot 368: My Portfolio page

3. Click the **Fund Name**. The **Accounts** area of the fund details page appears. The number of units credited in the **Share of Proceeds** account can be seen in the **Share of Proceeds** box.

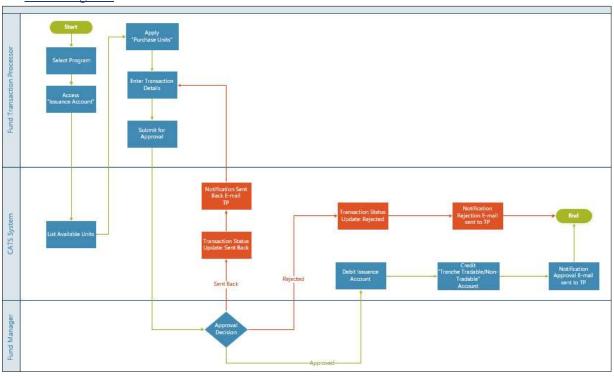


Screenshot 369: Units credited in SoP Account

D. Purchase Allocation

A user must have the role of Fund Transaction Processor to transfer the Certified units from the Issuance Account (under a program) to Tranche Tradable Account or Tranche Non-Tradable Account (Depending on the user's selection). After the transaction is executed, the Fund Manager has the authority to either Approve, Reject or Send the transaction request back for revision.

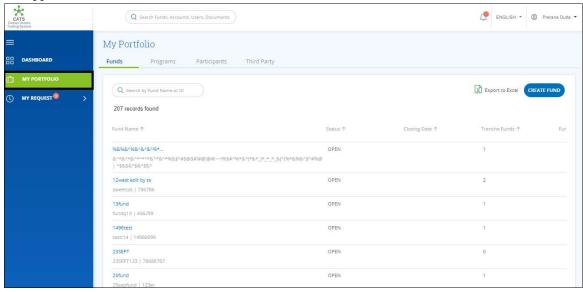
Flow Diagram:



Procedural steps to be followed by the Fund Transaction Processor:

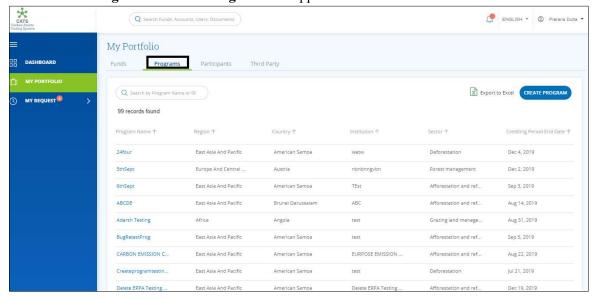
The **Fund Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



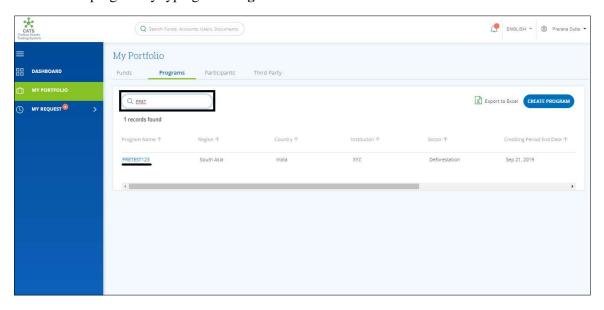
Screenshot 370: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



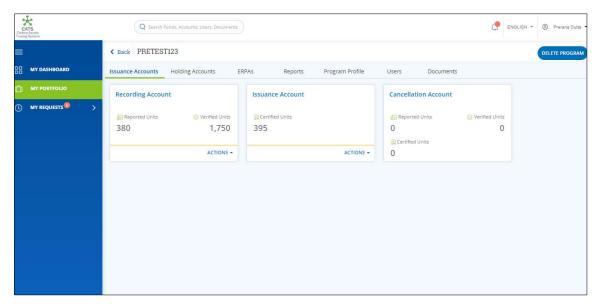
Screenshot 371: Programs list

3. Search a program by typing the **Program Name** in the search box.



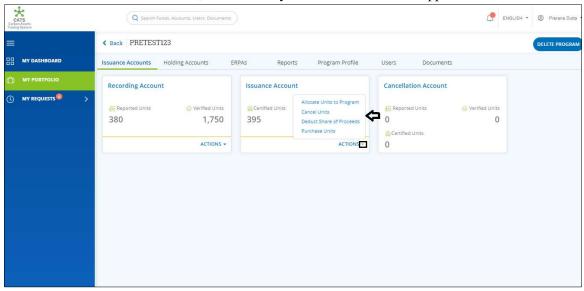
Screenshot 372: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



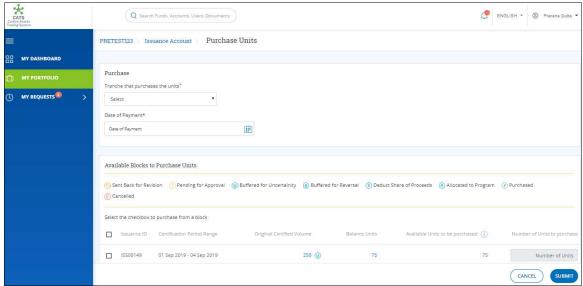
Screenshot 373: Issuance Accounts area

5. In the **Issuance Account** box, click the *symbol. A list of actions appears.



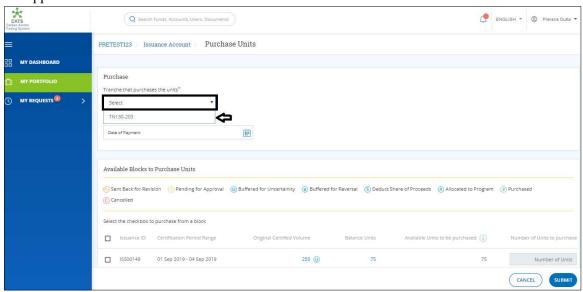
Screenshot 374: Issuance Accounts area

6. From the list, click **Purchase Units**. The **Purchase Units** page appears.



Screenshot 375: Purchase Units page

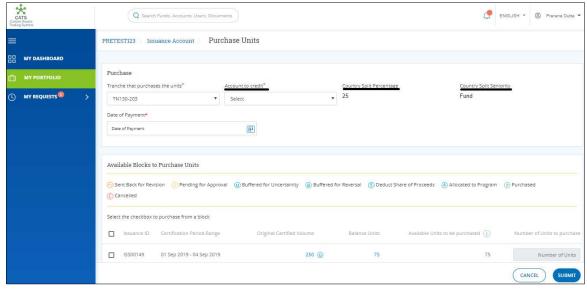
7. In the **Purchase** section, click the **Select** box. A list of tranches linked to the program appears.



Screenshot 376: Purchase Units page

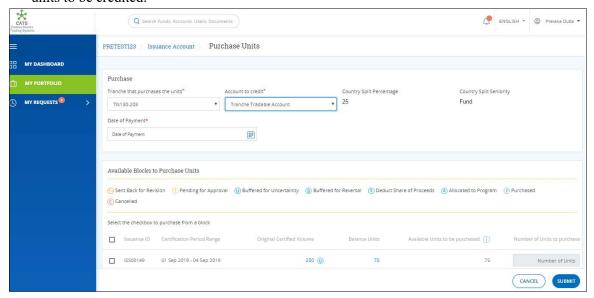
NOTE: A program can be linked to more than one tranche.

8. Click on the tranche name. The **Account to credit**, **Country Split Percentage** and **Country Split Seniority** fields appears.



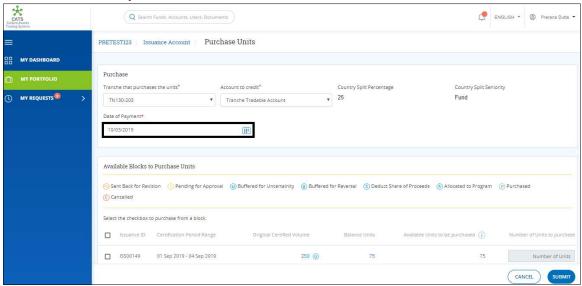
Screenshot 377: Purchase Units page

9. In Account to Credit field, click the Select box. A list appears. Click Tranche Tradable Account or Tranche Non Tradable Account depending on which account you want the units to be credited.



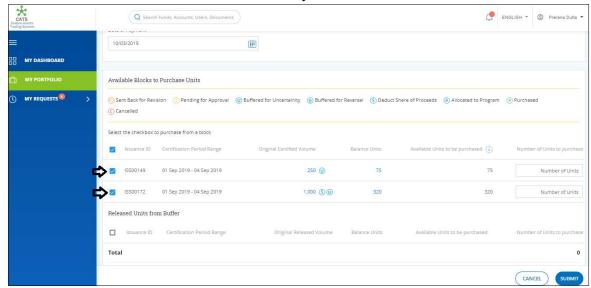
Screenshot 378: Purchase Units page

10. In the **Date of Payment** field, enter a date.



Screenshot 379: Purchase Units page

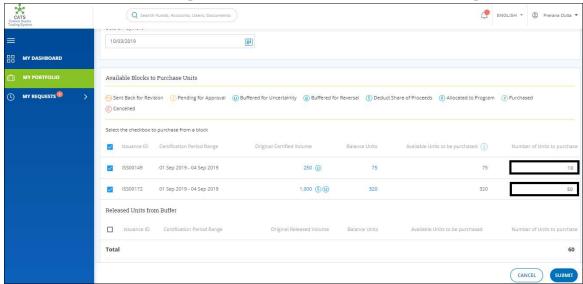
11. Select the **Issuance ID** checkbox whose units you want to transfer.



Screenshot 380: Purchase Units page

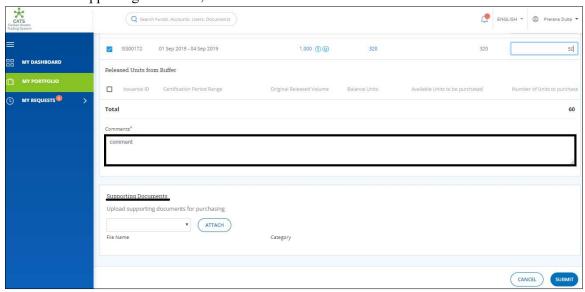
NOTE: Units from more than one **Issuance ID**s can be purchased at once.

12. In the **Number of Units to purchase** boxes, enter the number of units to be purchased.



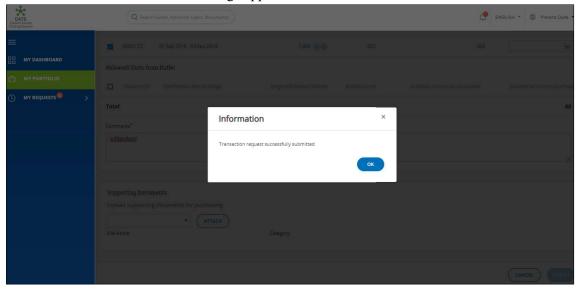
Screenshot 381: Purchase Units page

13. Enter the comments in the **Comments** section. In the **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 382: Purchase Units page

14. Click SUBMIT. A success message appears. Click OK.



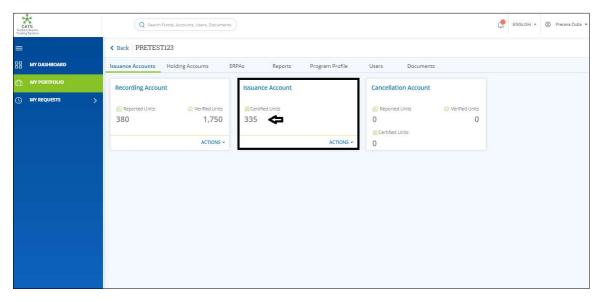
Screenshot 383: Success message

- Procedural steps to be followed by the Fund Manager:
 The Fund Manager logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in Procedural steps to be followed by Fund Manager.
- Flow of Units from Issuance Account to Tranche Tradable/ Tranche Non Tradable Account:

 After the Fund Manager approves allocation of units from Issuance Account to Tranche

 Tradable or Non Tradable Account, the Fund Transaction Processor receives a system
 generated e-mail notifying that the transaction is approved. The certified units get debited from
 the Issuance Account and are credited into Tranche Tradable or Tranche Non Tradable

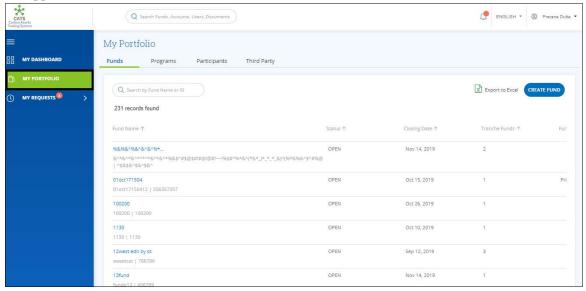
 Account.



Screenshot 384: Units debited from the Issuance Account

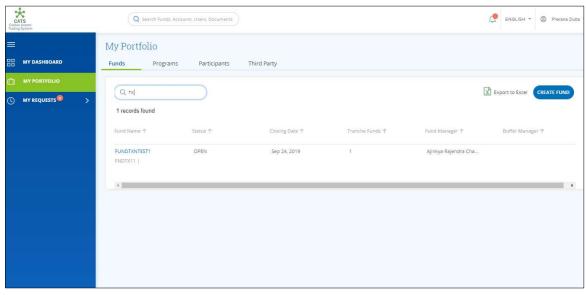
Follow the steps below to see the units credited in the **Tranche Tradable or Non Tradable** account:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



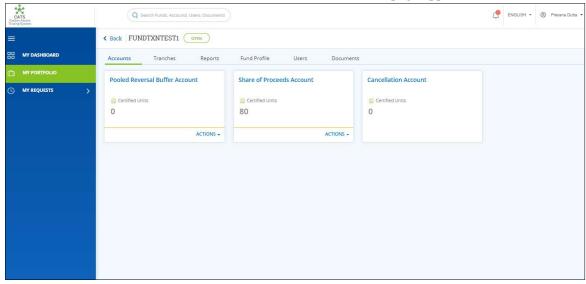
Screenshot 385: My Portfolio page

2. Search the **Fund Name** that is linked to your program by entering a keyword in the search box.



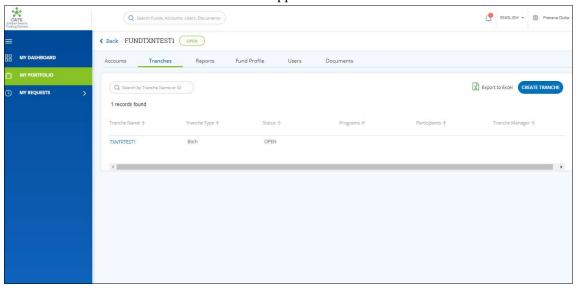
Screenshot 386: My Portfolio page

3. Click the **Fund Name**. The **Accounts** area of the fund details page appears.



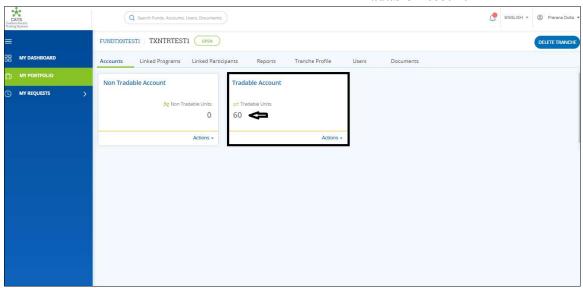
Screenshot 387: Accounts area

4. Click the **Tranches** tab. The Tranche list appears.



Screenshot 388: Tranches List

5. Click the **Tranche Name**. The **Accounts** area of Tranche page appears. The number of units credited in the tradable account can be seen in the **Tradable Account** box.

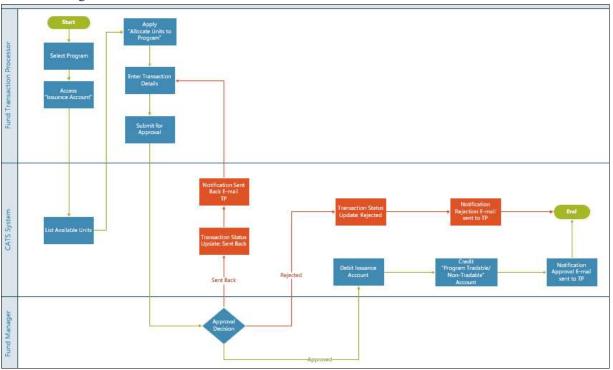


Screenshot 389: Units credited in Tradable Account

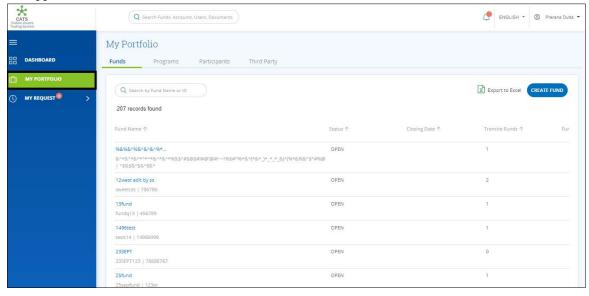
E. Country Allocation

A user must have the role of **Fund Transaction Processor** to transfer the **Certified** units from the **Issuance Account** to **Program Holdings** (**Tradable/ Non Tradable Account**) (Depending on the user's selection). After the transaction is executed, the **Fund Manager** has the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:



- Procedural steps to be followed by the Fund Transaction Processor:
 - The **Fund Transaction Processor** logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



Screenshot 390: My Portfolio page

Q Search Funds, Accounts, Users, Documents ENGLISH * @ Prerana Dutta * My Portfolio Programs Participants Third Party Export to Excel CREATE PROGRAM Q Search by Program Name or ID 99 records found Program Name 🛧 Country 1 Sector 1 American Samoa 24four East Asia And Pacific Deforestation Dec 4, 2019 Europe And Central . 5thSept Austria Forest management Dec 2, 2019 East Asia And Pacific American Samoa Afforestation and ref.. Sep 3, 2019 6thSept TEst East Asia And Pacific Brunei Darussalam Aug 14, 2019 Afforestation and ref... BugRetestProg East Asia And Pacific American Samoa Afforestation and ref... Sep 5, 2019 CARBON EMISSION C... East Asia And Pacific American Samoa EURPOSE EMISSION . Afforestation and ref... Aug 22, 2019 East Asia And Pacific Jul 21, 2019 Createprogramtestin... American Samoa Deforestation test

2. Click the **Programs** tab. The **Programs** list appears.

Delete ERPA Testing

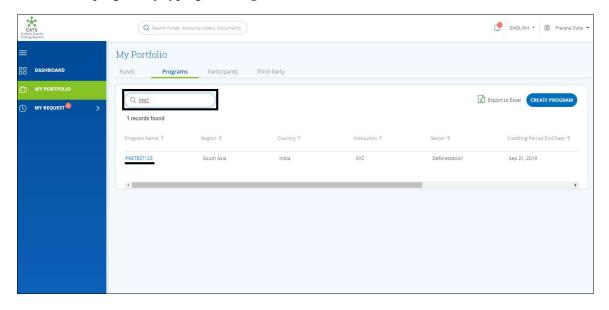
Screenshot 391: Programs list

Dec 19, 2019

Afforestation and ref.

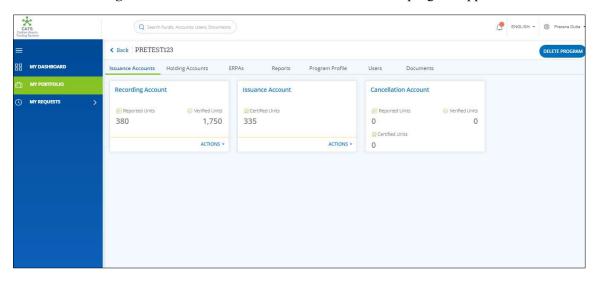
3. Search a program by typing the **Program Name** in the search box.

East Asia And Pacific



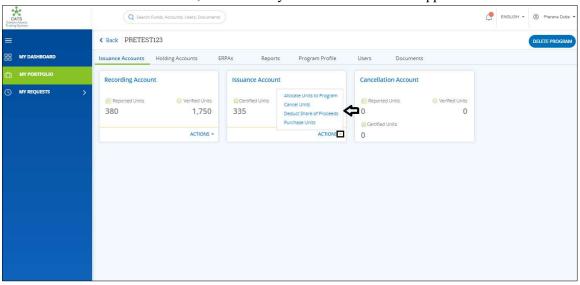
Screenshot 392: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



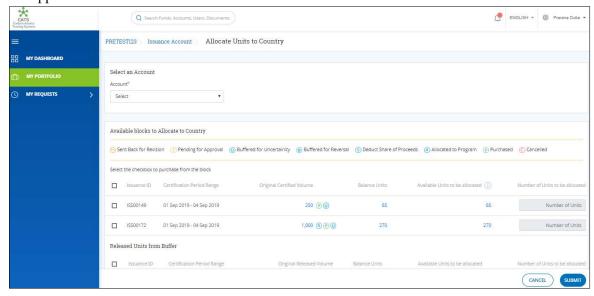
Screenshot 393: Issuance Accounts area

5. In the **Issuance Account** box, click the *symbol. A list of actions appears.



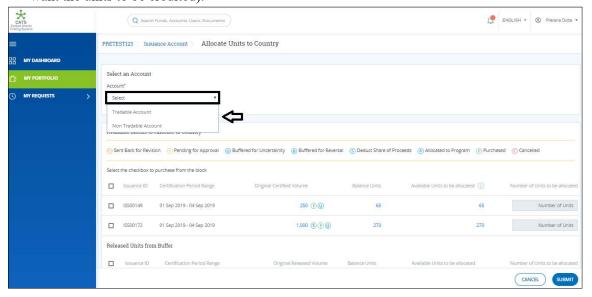
Screenshot 394: Issuance Accounts area

6. From the list, click **Allocate Units to Program**. The **Allocate Units to Country** page appear.



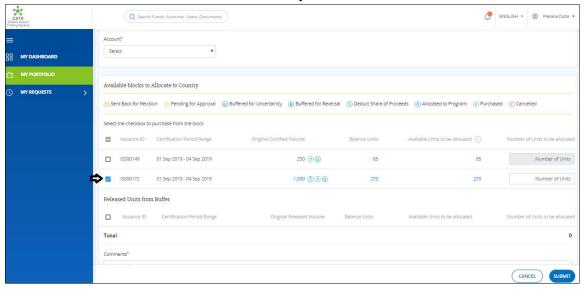
Screenshot 395: Allocate Units to Country page

7. In the **Select an Account** section, click the **Select** box. A list appears. Click **Tradable Account** or **Non Tradable Account** (depending on which program holdings account you want the units to be credited).



Screenshot 396: Allocate Units to Country page

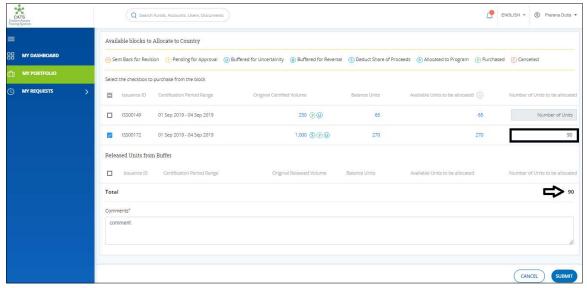
8. Select the **Issuance ID** checkbox whose units you want to transfer.



Screenshot 397: Allocate Units to Country page

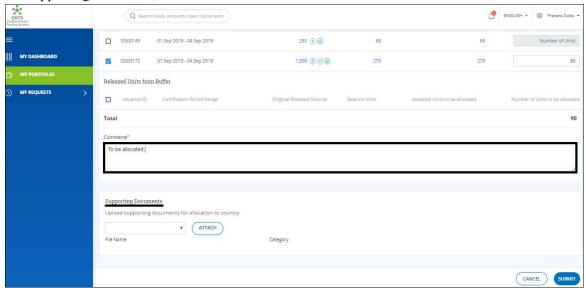
NOTE: More than one Issuance IDs can be selected.

9. In the **Number of Units to be allocated** boxes, enter the number of units to be allocated.



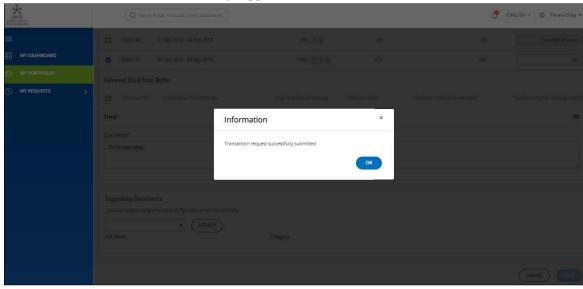
Screenshot 398: Allocate Units to Country page

10. Enter comments in the **Comments** section. In the **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 399: Allocate Units to Country page

11. Click SUBMIT. A success message appears. Click OK.



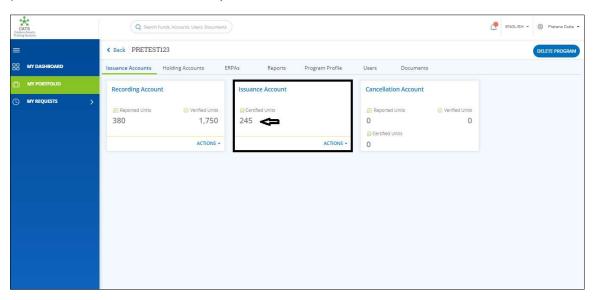
Screenshot 400: Success message

Procedural steps to be followed by the Fund Manager:

The **Fund Manager** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Fund Manager</u>.

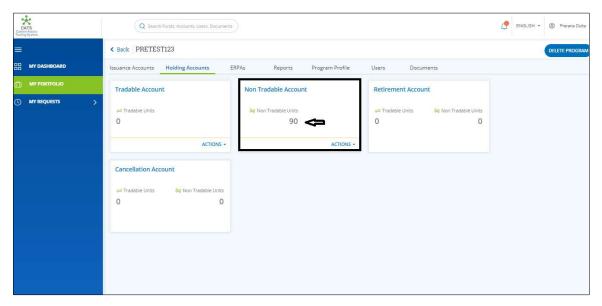
Flow of Units from Issuance Account to Program Holdings Tradable or Tranche Non-Tradable Account:

After the **Fund Manager** approves transaction request, the **Fund Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Issuance Account** and are credited into **Program Holdings** (**Tradable/ Non-Tradable account**).



Screenshot 401: Units debited from the Issuance Account

The debited units from Issuance Account gets credited to Non Tradable Account under the Holding Accounts tab.

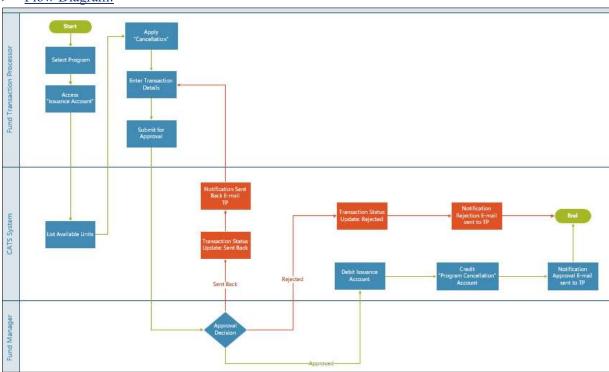


Screenshot 402: Units credited to Non Tradable Account

F. Cancel Units

A user must have the role of **Fund Transaction Processor** to transfer the **Certified** units from **Issuance Account** to **Cancellation Account** under a program. After the transaction is executed, the request is triggered to the **Fund Manager** for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

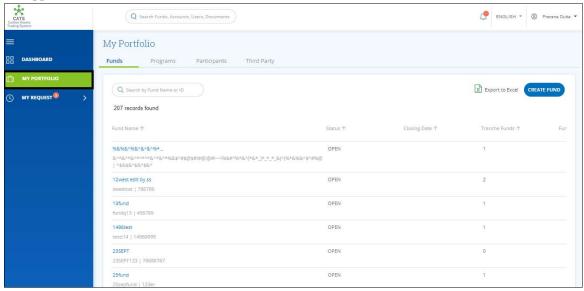
Flow Diagram:



Procedural steps to be followed by the Fund Transaction Processor:

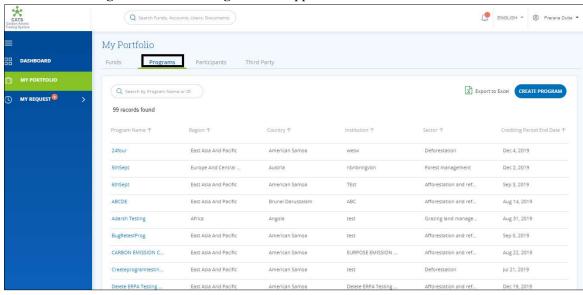
The **Fund Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



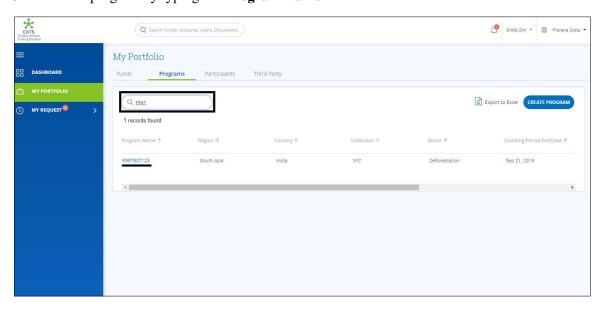
Screenshot 403: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



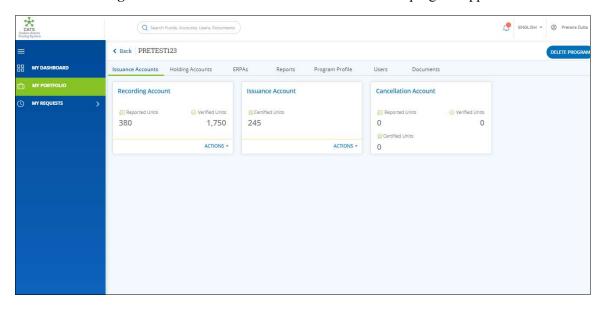
Screenshot 404: Programs list

3. Search a program by typing the **Program Name** in the search box.



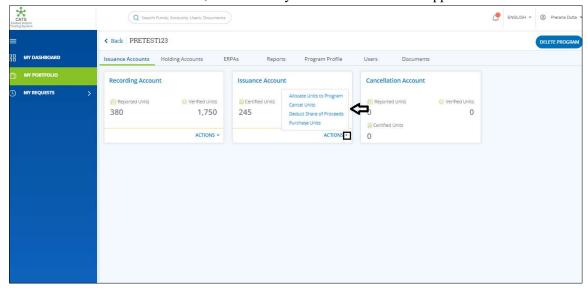
Screenshot 405: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



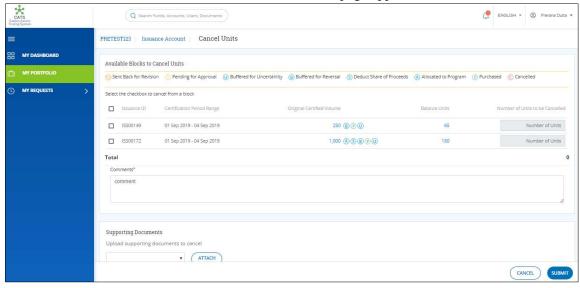
Screenshot 406: Issuance Accounts area

5. In the **Issuance Account** box, click the *symbol. A list of actions appears.



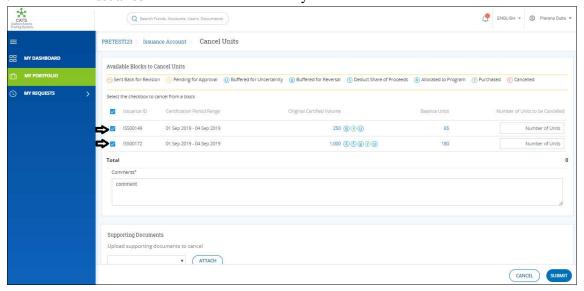
Screenshot 407: Issuance Accounts area

6. From the list, click Cancel Units. The Cancel Units page appears.



Screenshot 408: Cancel Units page

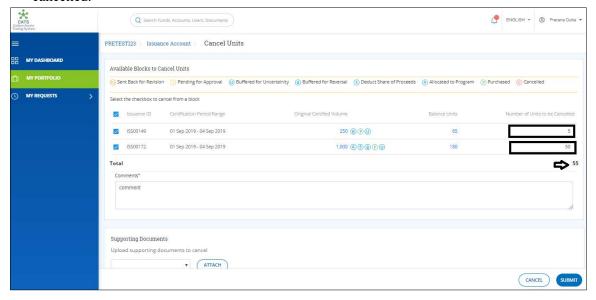
7. Select the **Issuance ID** checkbox whose units you want to cancel.



Screenshot 409: Cancel Units page

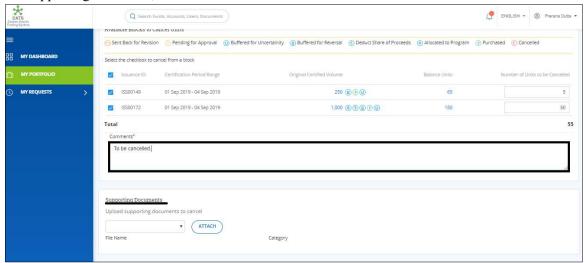
NOTE: More than one Issuance IDs can be selected.

8. In the **Number of Units to be Cancelled** boxes, enter the number of units that needs to be cancelled.



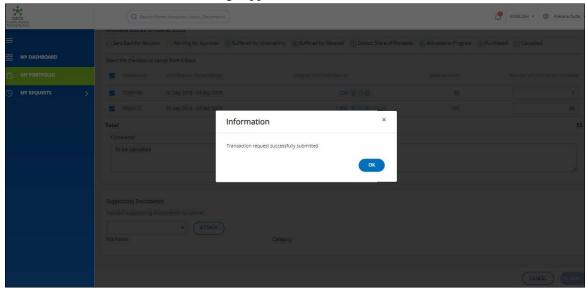
Screenshot 410: Cancel Units page

9. Enter comments in the **Comments** section. In the **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 411: Cancel Units page

10. Click SUBMIT. A success message appears. Click OK.



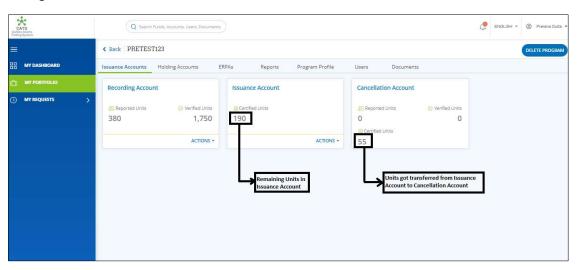
Screenshot 412: Success message

Procedural steps to be followed by the Fund Manager:

The **Fund Manager** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Fund Manager</u>.

Flow of Units from Issuance Account to Cancellation Account:

After the **Fund Manager** approves the cancellation of units, the **Fund Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Issuance Account** and are credited into **Cancellation Account**.



Screenshot 413: Debit and Credit of Units

v. Uncertainty Buffer Account (Transactions)

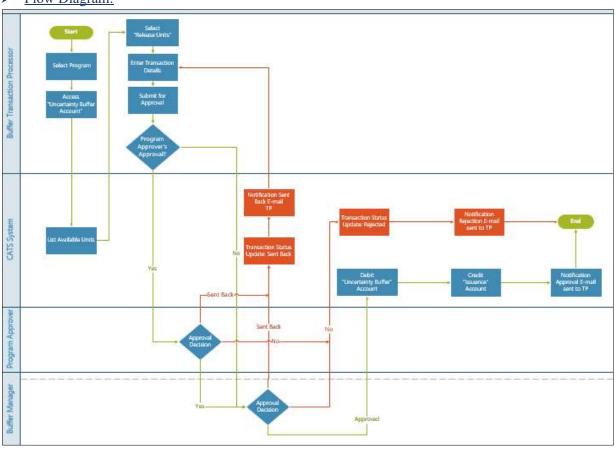
Below transactions/activities can be executed from an Uncertainty Buffer Account under a Program:

- Release Units
- Cancel Units

A. Release Units

A user must have the role of **Buffer Transaction Processor** to release the **Certified** units from the **Uncertainty Buffer Account** back to **Issuance Account** of the same program. After the transaction is executed, the request is routed to **Program Approver** first and then to the **Buffer Manager** for approval. Both the approvers have the authority to either Approve, Reject or Send the transaction request back for revision.

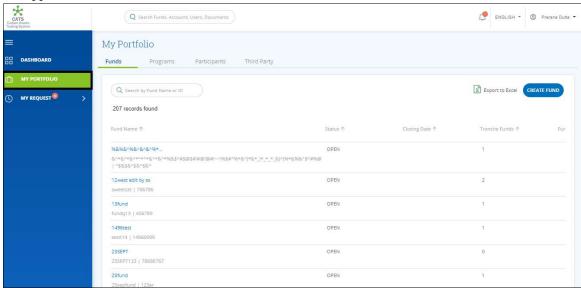
Flow Diagram:



> Procedural steps to be followed by the Buffer Transaction Processor:

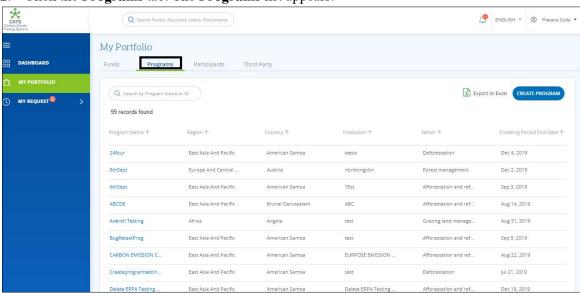
The **Buffer Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



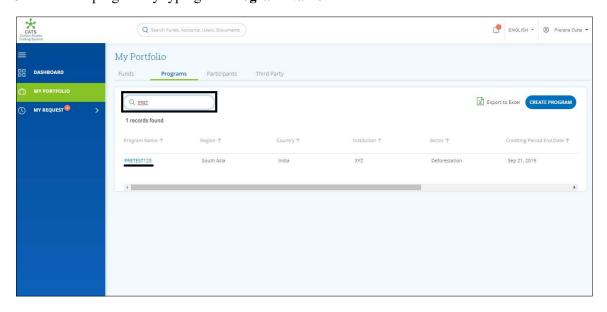
Screenshot 414: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



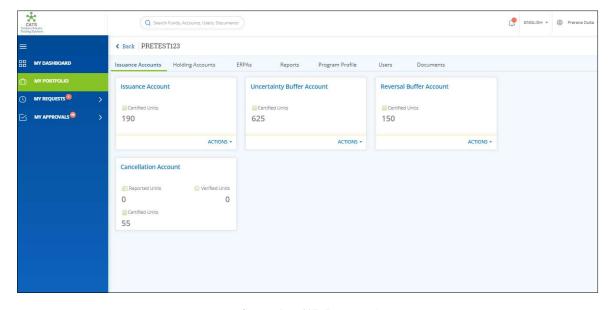
Screenshot 415: Programs list

3. Search a program by typing the **Program Name** in the search box.



Screenshot 416: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



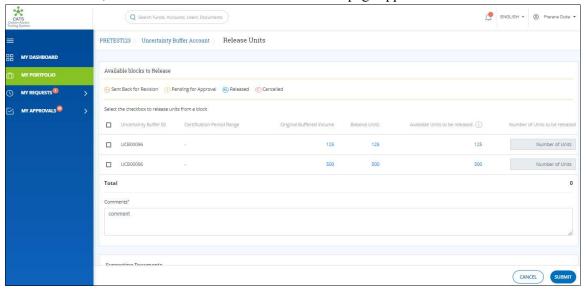
Screenshot 417: Issuance Accounts area

| Cancellation Account | Cancel Units | Cancel Unit

5. In the **Uncertainty Buffer Account** box, click the *symbol. A list of actions appears.

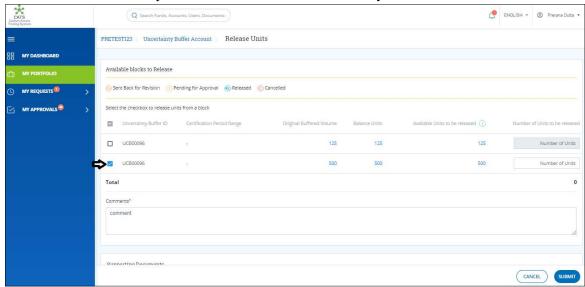
Screenshot 418: Issuance Accounts area

6. From the list, click Release Units. The Release Units page appears.



Screenshot 419: Release Units page

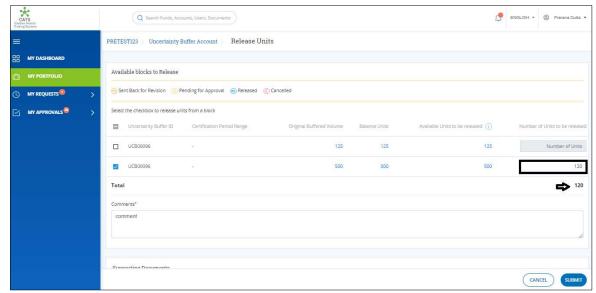
7. Select the Uncertainty Buffer ID checkboxes whose units you want to release.



Screenshot 420: Release Units page

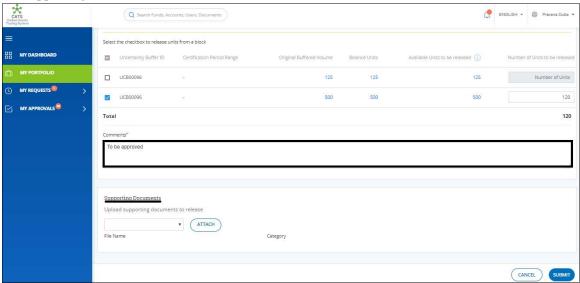
<u>NOTE:</u> Units from more than one **Uncertainty Buffer ID**s can be transferred to **Issuance Account** at once.

8. Enter the number of units in **Number of Units to be released** boxes.



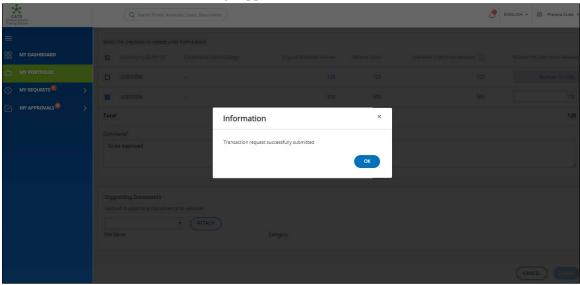
Screenshot 421: Release Units page

9. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 422: Release Units page

10. Click SUBMIT. A success message appears. Click OK.



Screenshot 423: Success message

Procedural steps to be followed by the Program Approver:

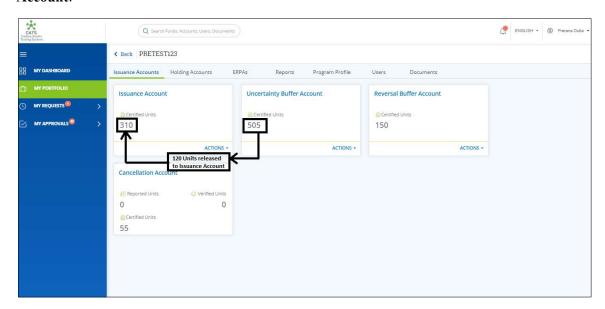
The **Program Approver** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Program Approver</u>.

Procedural steps to be followed by the Buffer Manager:

The **Buffer Manager** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Buffer Manager</u>.

Flow of Units from Uncertainty Buffer Account to Issuance Account:

After both the approvers approves the cancellation of units, the **Buffer Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Uncertainty Buffer Account** and are credited into **Issuance Account**.

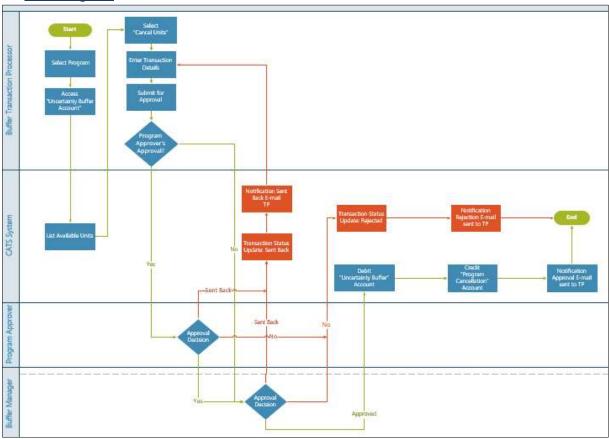


Screenshot 424: Debit and Credit of Units

B. Cancel Units

A user must have the role of **Buffer Transaction Processor** to transfer the **Certified** units from the **Uncertainty Buffer Account** to **Cancellation Account** of the same program. After the transaction is executed, the request is routed to **Program Approver** first and then to the **Buffer Manager** for approval. Both the approvers have the authority to either Approve, Reject or Send the transaction request back for revision.

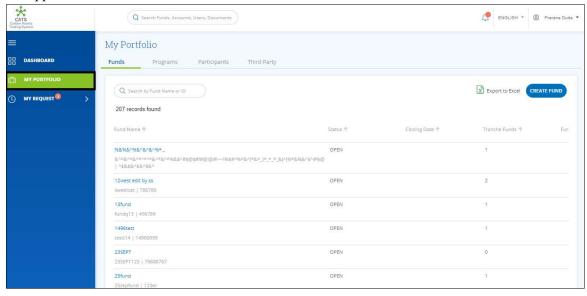
Flow Diagram:



Procedural steps to be followed by the Buffer Transaction Processor:

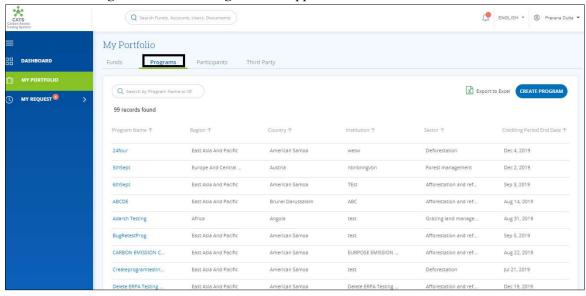
The **Buffer Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



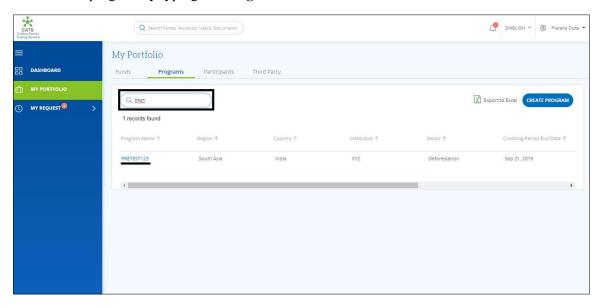
Screenshot 425: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



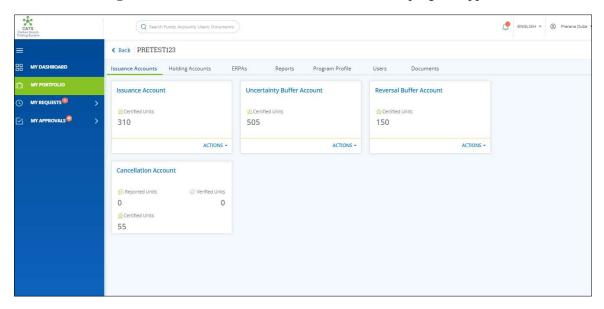
Screenshot 426: Programs list

3. Search a program by typing the **Program Name** in the search box.



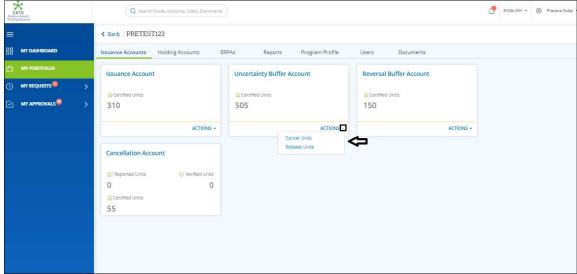
Screenshot 427: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



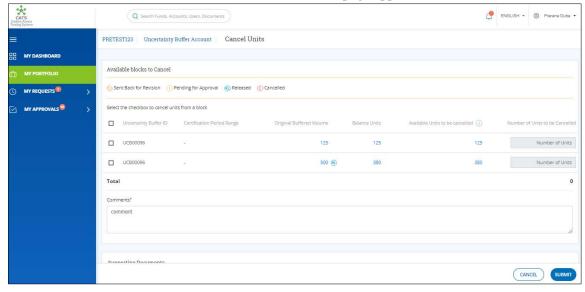
Screenshot 428: Issuance Accounts area

5. In the Uncertainty Buffer Account box, click the symbol. A list of actions appears.



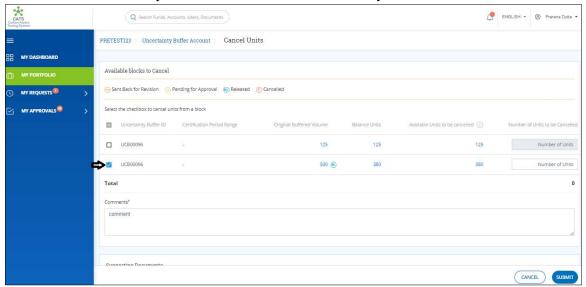
Screenshot 429: Issuance Accounts area

6. From the list, click Cancel Units. The Cancel Units page appears.



Screenshot 430: Cancel Units page

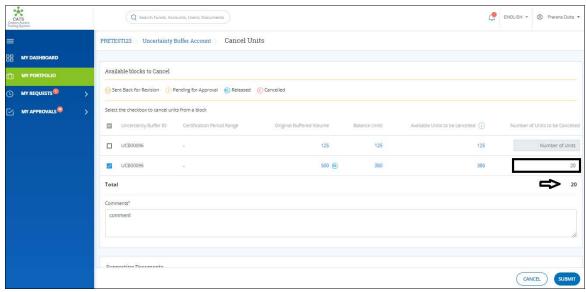
7. Select the **Uncertainty Buffer ID** checkboxes whose units you want to cancel.



Screenshot 431: Cancel Units page

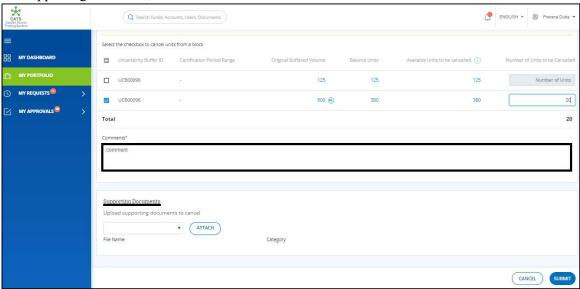
NOTE: Units from more than one **Uncertainty Buffer ID**s can be cancelled at once.

8. Enter the number of units in **Number of Units to be Cancelled** box.



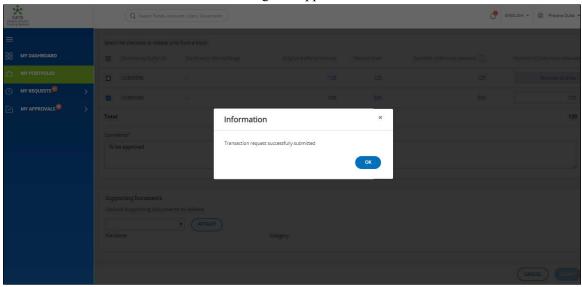
Screenshot 432: Cancel Units page

9. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 433: Cancel Units page

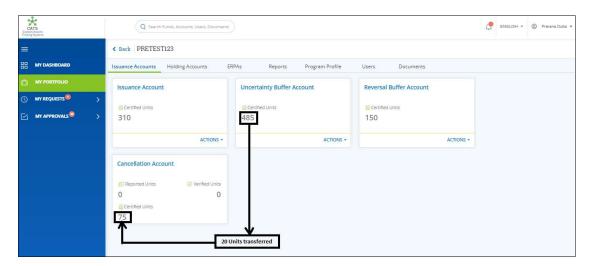
10. Click **SUBMIT**. The **Information** dialog box appears. Click **OK**.



Screenshot 434: Cancel Units page

- Procedural steps to be followed by the Program Approver:
 - The **Program Approver** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Program Approver</u>.
- Procedural steps to be followed by the Buffer Manager:
 - The **Buffer manager** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in Procedural steps to be followed by Buffer Manager.
- Flow of Units from Uncertainty Buffer Account to Cancellation Account:

After both the approvers approves the cancellation of units, the **Buffer Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Uncertainty Buffer Account** and are credited into **Cancellation Account**.



Screenshot 435: Debit and Credit of Units

vi. Reversal Buffer Account (Transactions)

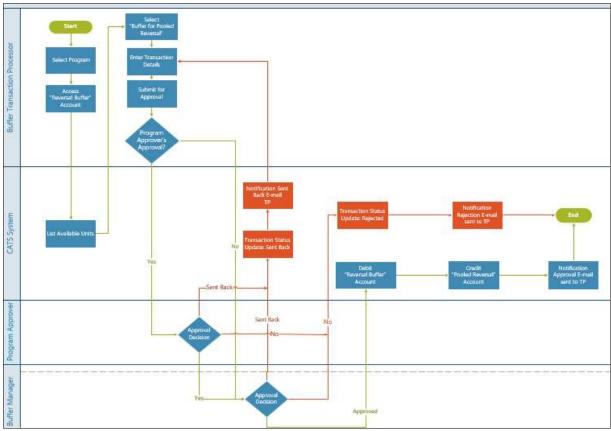
Below transactions/activities can be executed from a Reversal Buffer Account under a Program:

- Pooled Reversal Allocation
- Release Units
- Cancel Units

A. Pooled Reversal Allocation

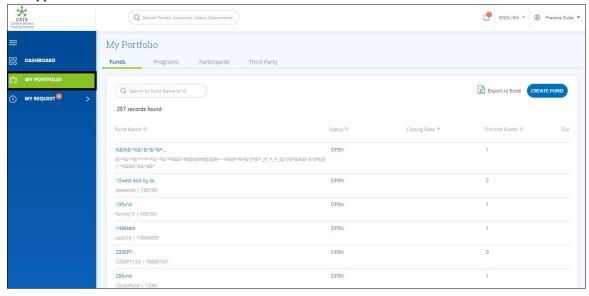
A user must have the role of **Buffer Transaction Processor** to release the **Certified** units from the **Reversal Buffer Account** to **Pooled Reversal Buffer Account** (under Fund Accounts). After the transaction is executed, the request is routed to **Program Approver** first and then to the **Buffer Manager** for approval. Both the approvers have the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:



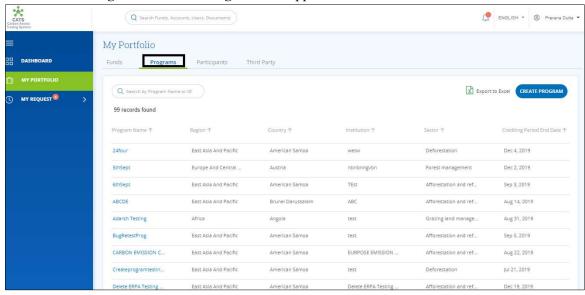
Procedural steps to be followed by the Buffer Transaction Processor:
The Buffer Transaction Processor logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



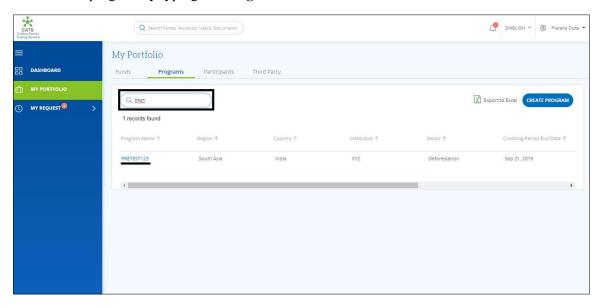
Screenshot 436: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



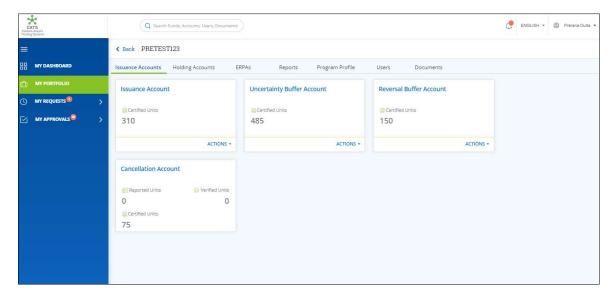
Screenshot 437: Programs list

3. Search a program by typing the **Program Name** in the search box.



Screenshot 438: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



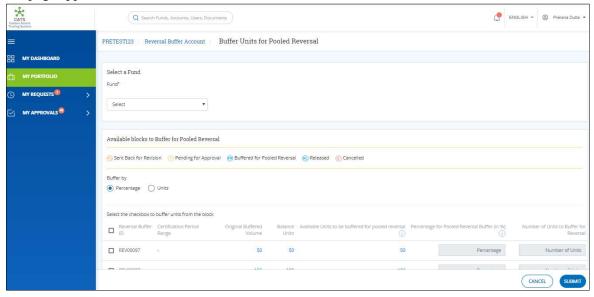
Screenshot 439: Issuance Accounts area

♠ ENGLISH * ② Prerana Dutta ← Back PRETEST123 Issuance Accounts Holding Accounts Program Profile Documents Uncertainty Buffer Account Reversal Buffer Account 485 150 ACTIONS -ACTIONS -ACTIONS -Cancellation Account Release Units 0 @ Certified Units 75

5. In the **Reversal Buffer Account** box, click the symbol. A list of actions appears.

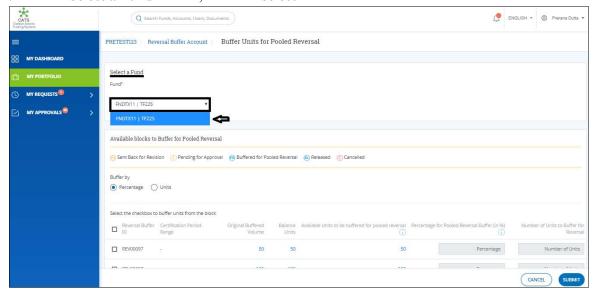
Screenshot 440: Issuance Accounts area

6. From the list, click **Buffer for Pooled Reversal**. The **Buffer Units for Pooled Reversal** page appears.



Screenshot 441: Buffer Units for Pooled Reversal page

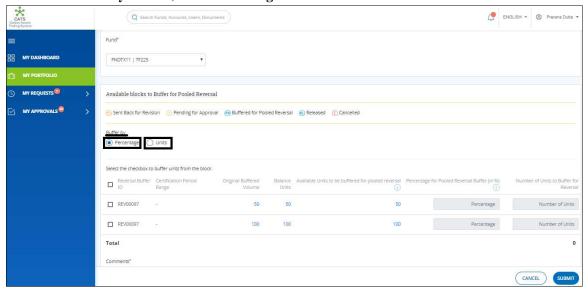
7. In the **Select a Fund** section, click the **Select** box to select a fund.



Screenshot 442: Buffer Units for Pooled Reversal page

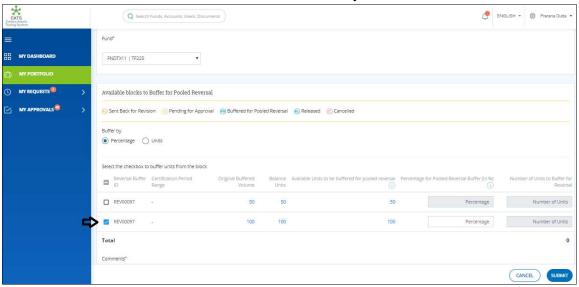
NOTE: The list may contain more than one funds depending on how many funds the program is linked with.

8. In the **Buffer by** section, click **Percentage** or **Units**.



Screenshot 443: Buffer Units for Pooled Reversal page

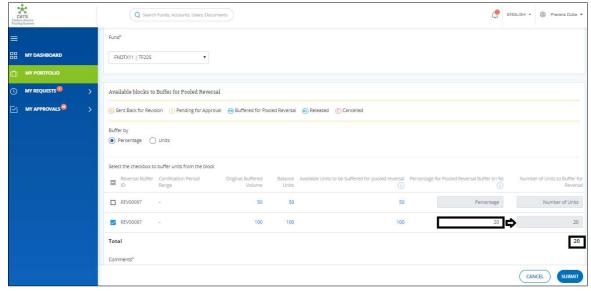
9. Select the **Reversal Buffer ID** checkboxes whose units you want to release.



Screenshot 444: Buffer Units for Pooled Reversal page

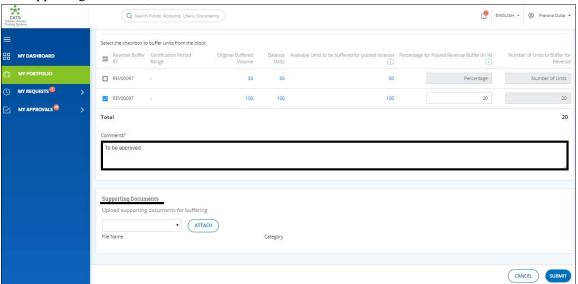
NOTE: Units from more than one **Reversal Buffer ID**s can be selected at once.

10. Enter the percentage of units in the **Percentage for Pooled Reversal Buffer (in %)** boxes. The number of units gets reflected in the **Number of Units to Buffer for Reversal** box.



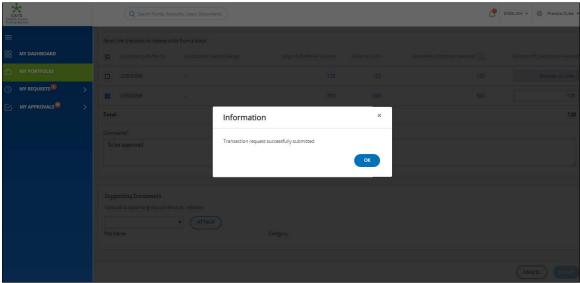
Screenshot 445: Buffer Units for Pooled Reversal page

11. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 446: Buffer Units for Pooled Reversal page

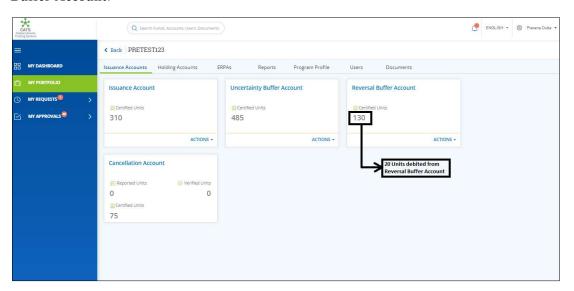
12. Click SUBMIT. A success message appears. Click OK.



Screenshot 447: Buffer Units for Pooled Reversal page

- Procedural steps to be followed by the Program Approver:
 The Program Approver logs into the CATS application using his e-mail ID and password.
 He, then needs to follow the same steps as in Procedural steps to be followed by Program Approver.
- Procedural steps to be followed by the Buffer Manager:
 The Buffer Manager logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in Procedural steps to be followed by Buffer Manager.
- Flow of Units from Reversal Buffer Account to Pooled Reversal Buffer Account:

 After both the approvers approves the cancellation of units, the Buffer Transaction Processor receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the Reversal Buffer Account and are credited into Pooled Reversal Buffer Account.

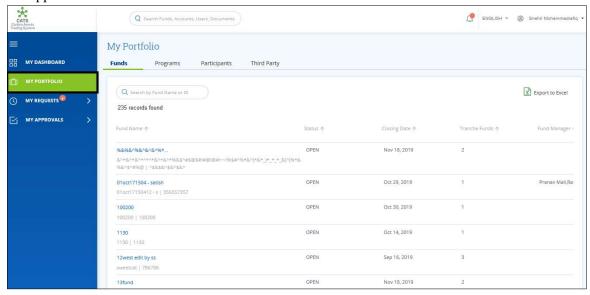


Screenshot 448: Debit of Units from Reversal Buffer Account

The **Buffer Transaction Processor** cannot see the Units credited into **Pooled Reversal Buffer Account** as he doesn't have access to the Fund. However, both the approvers can see the units credited into **Pooled Reversal Buffer Account.**

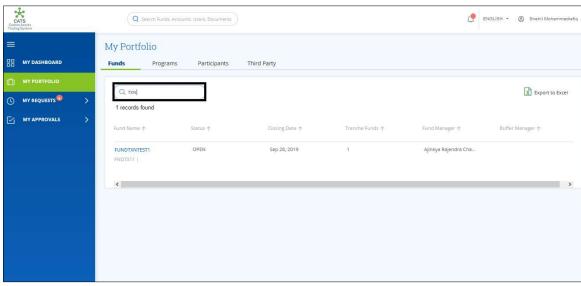
Program Approver and **Buffer Manager** can follow the below steps to see the units credited in the **Pooled Reversal Buffer Account**:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



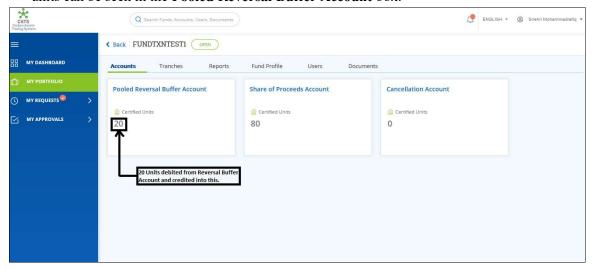
Screenshot 449: My Portfolio page

2. Search the **Fund Name** that is linked to the program by entering a keyword in the search box.



Screenshot 450: My Portfolio page

3. Click the **Fund Name**. The **Accounts** area of the fund details page appears. The credited units can be seen in the **Pooled Reversal Buffer Account** box.

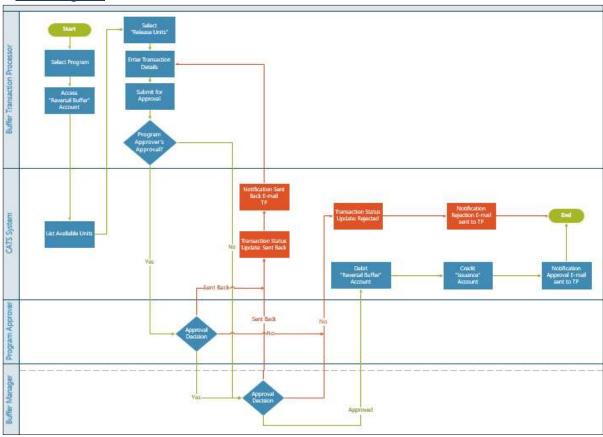


Screenshot 451: Units credited in Pooled Reversal Buffer Account

B. Release Units

A user must have the role of **Buffer Transaction Processor** to release the **Certified** units from the **Reversal Buffer Account** back to **Issuance Account** of the same program. After the transaction is executed, the request is routed to **Program Approver** first and then to the **Buffer Manager** for approval. Both the approvers have the authority to either Approve, Reject or Send the transaction request back for revision.

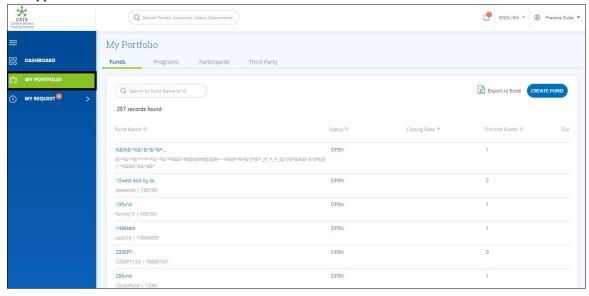
Flow Diagram:



Procedural steps to be followed by the Buffer Transaction Processor:

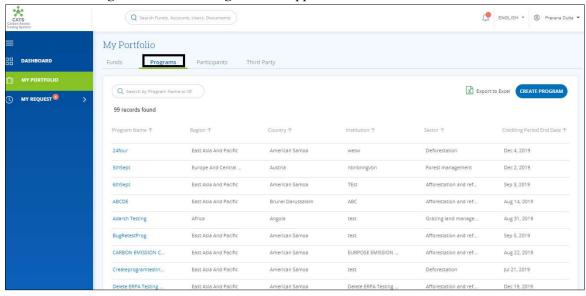
The **Buffer Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



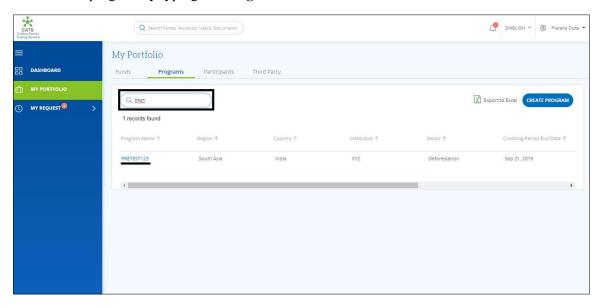
Screenshot 452: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



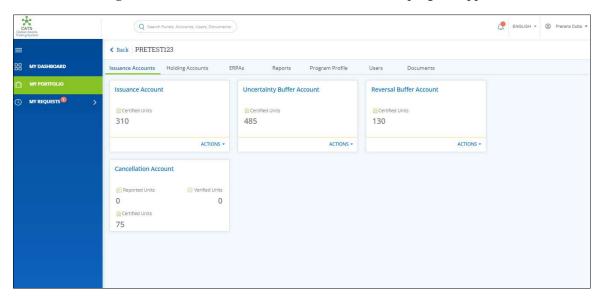
Screenshot 453: Programs list

3. Search a program by typing the **Program Name** in the search box.



Screenshot 454: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



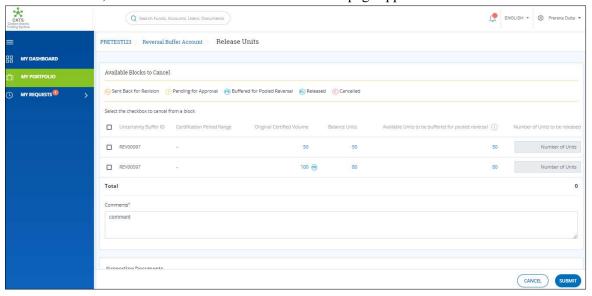
Screenshot 455: Issuance Accounts area

← Back PRETEST123 Issuance Accounts Holding Accounts Issuance Account Uncertainty Buffer Account Reversal Buffer Account ACTIONS + ACTIONS + Cancellation Account 0 Certified Units 75

5. In the **Reversal Buffer Account** box, click the symbol. A list of actions appears.

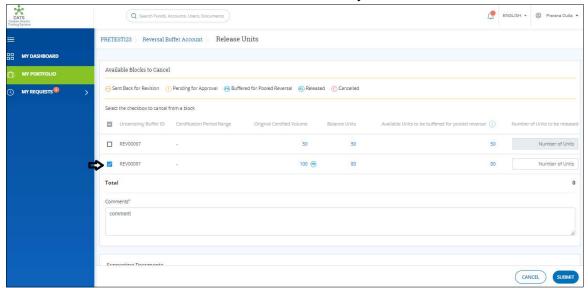
Screenshot 456: Issuance Accounts area

6. From the list, click Release Units. The Release Units page appears.



Screenshot 457: Release Units page

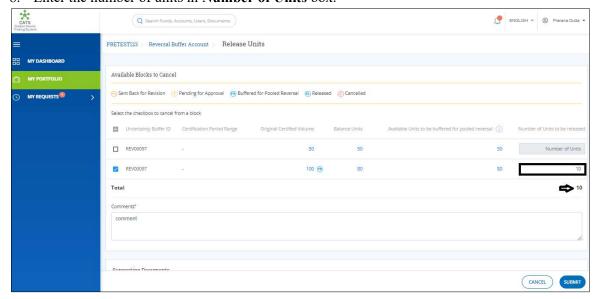
7. Select the **Reversal Buffer ID** checkboxes whose units you want to release.



Screenshot 458: Release Units page

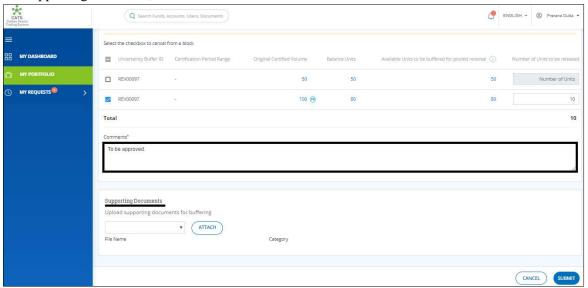
<u>NOTE:</u> Units from more than one **Reversal Buffer ID**s can be transferred to **Issuance Account** at once.

8. Enter the number of units in **Number of Units** box.



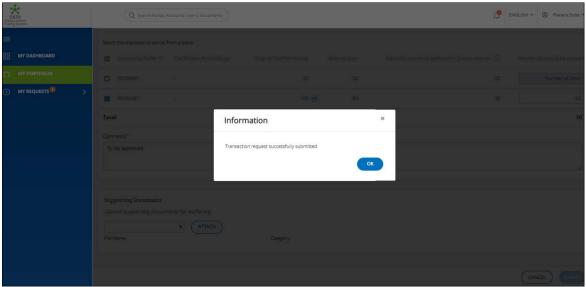
Screenshot 459: Release Units page

9. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 460: Release Units page

10. Click **SUBMIT**. The **Information** dialog box appears. Click **OK**.



Screenshot 461: Release Units page

Procedural steps to be followed by the Program Approver:

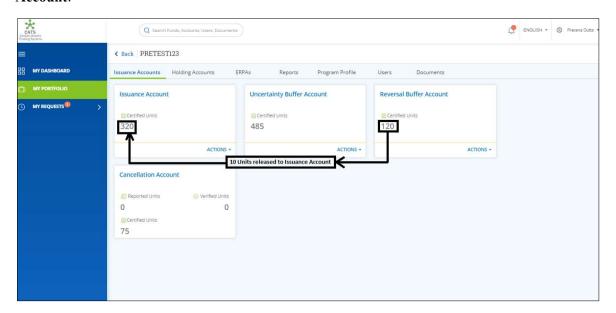
The **Program Approver** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Program Approver</u>.

Procedural steps to be followed by the Buffer Manager:

The **Buffer Manager** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Buffer Manager</u>.

Flow of Units from Reversal Buffer Account to Issuance Account:

After the both the approvers approves the cancellation of units, the **Buffer Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Reversal Buffer Account** and are credited into **Issuance Account**.

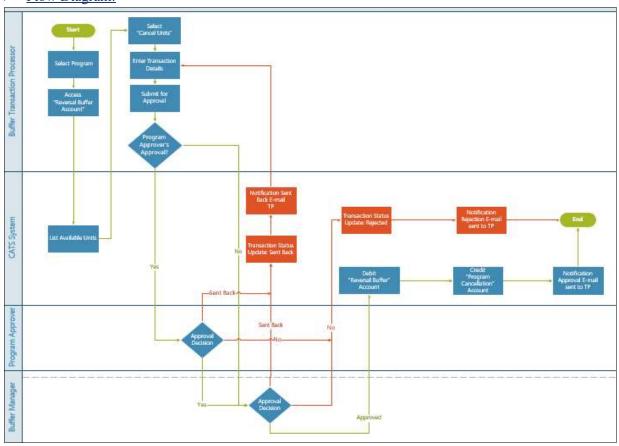


Screenshot 462: Debit and Credit of Units

C. Cancel Units

A user must have the role of **Buffer Transaction Processor** to transfer the **Certified** units from the **Reversal Buffer Account** to **Cancellation Account** of the same program. After the transaction is executed, the request is first routed to the **Program Approver** and then to the **Buffer Manager** for approval. Both the approvers have the authority to either Approve, Reject or Send the transaction request back for revision.

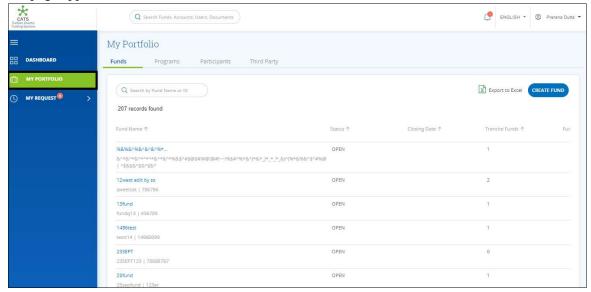
Flow Diagram:



Procedural steps to be followed by the Buffer Transaction Processor:

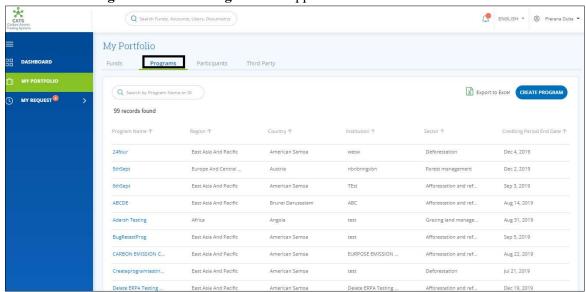
The **Buffer Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



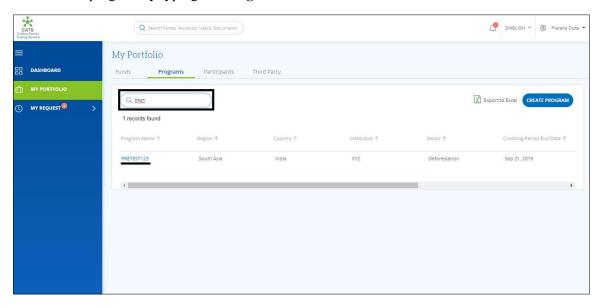
Screenshot 463: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



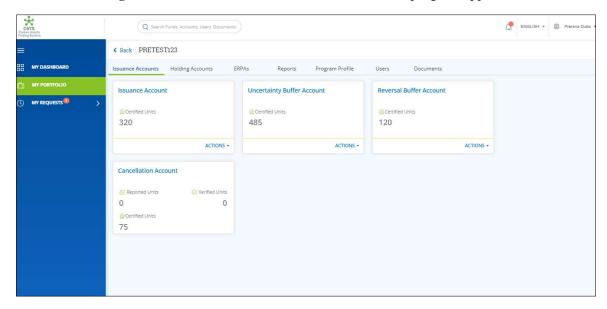
Screenshot 464: Programs list

3. Search a program by typing the **Program Name** in the search box.



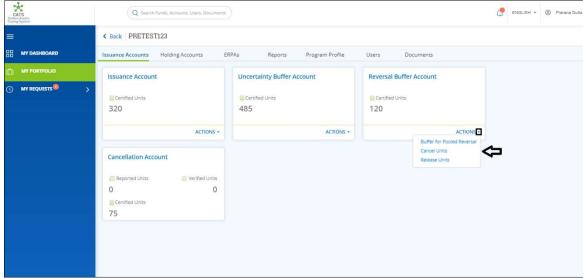
Screenshot 465: Programs area

4. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



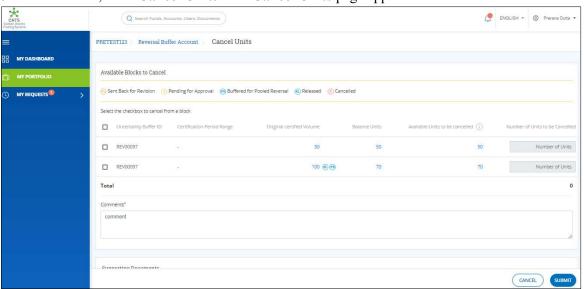
Screenshot 466: Issuance Accounts area

5. In the **Reversal Buffer Account** box, click the symbol. A list of actions appears.



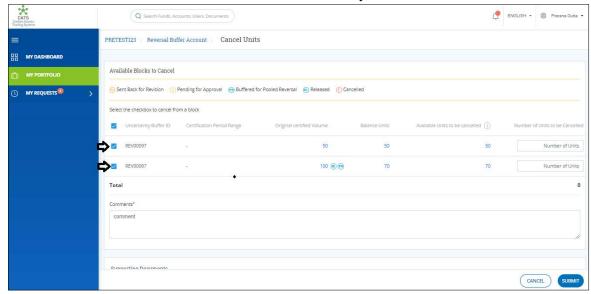
Screenshot 467: Issuance Accounts area

6. From the list, click Cancel Units. The Cancel Units page appears.



Screenshot 468: Cancel Units page

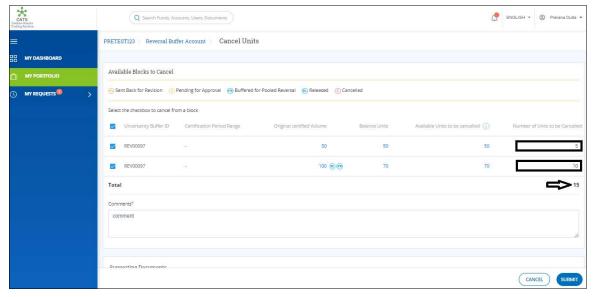
7. Select the **Reversal Buffer ID** checkboxes whose units you want to cancel.



Screenshot 469: Cancel Units page

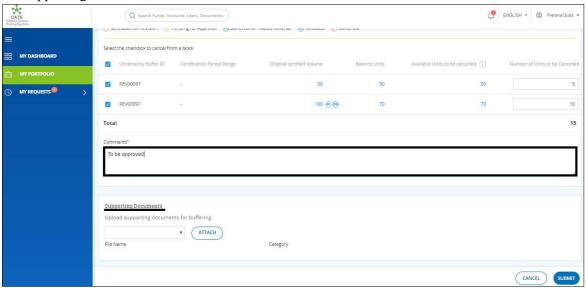
NOTE: Units from more than one **Reversal Buffer ID**s can be cancelled at once.

8. Enter the number of units in **Number of Units to be Cancelled** box.



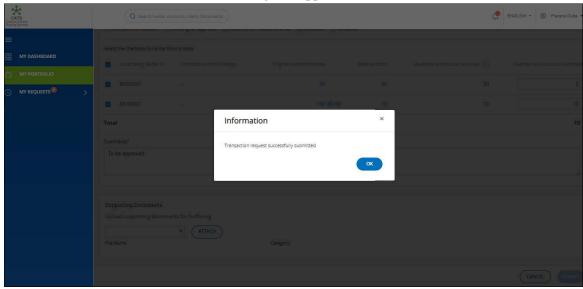
Screenshot 470: Cancel Units page

9. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 471: Cancel Units page

10. Click **SUBMIT**. The **Information** dialog box appears. Click **OK**.



Screenshot 472: Cancel Units page

Procedural steps to be followed by the Program Approver:

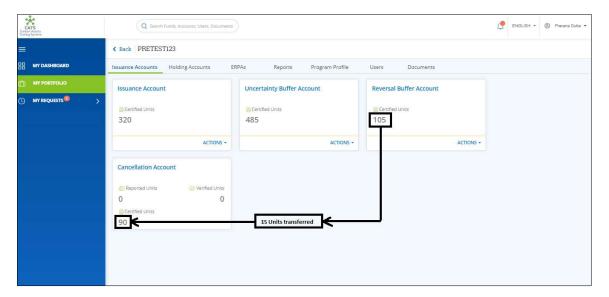
The **Program Approver** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Program Approver</u>.

Procedural steps to be followed by the Buffer Manager:

The **Buffer Manager** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in Procedural steps to be followed by Buffer Manager.

Flow of Units from Uncertainty Buffer Account to Cancellation Account:

After both the approvers approves the cancellation of units, the **Buffer Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Reversal Buffer Account** and are credited into **Cancellation Account**.

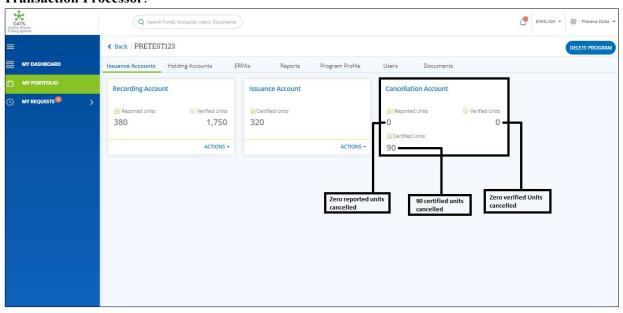


Screenshot 473: Debit and Credit of Units

vii. Cancellation Account (Transactions)

User with any role can view the cancelled units in the **Cancellation Account**. The cancelled units are segregated into **Reported** Units, **Verified** Units and **Certified** Units based on the units cancelled from different accounts. Cancellation Account is view only account and hence no transactions can be executed from it.

This is how a cancellation account looks from a user's account who is having the role of **Fund Transaction Processor**:



Screenshot 474: Cancellation Account

viii. Tranche Tradable Account (Transactions)

Below transaction/activity can be executed from a Tranche Tradable Account:

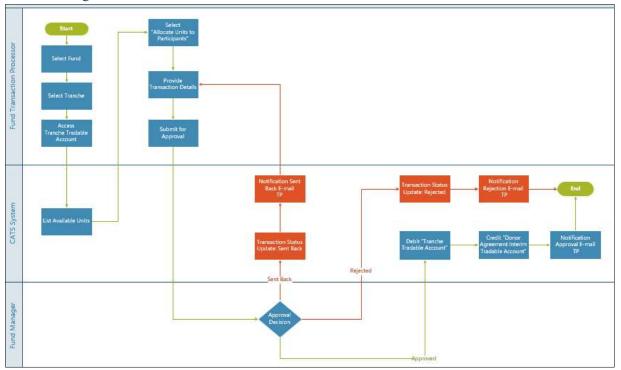
• Close Tranche – Allocation to Participants

A. Close Tranche – Allocation to Participants

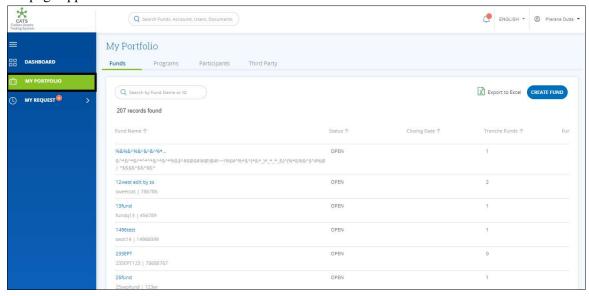
A user must have the role of **Fund Transaction Processor** to allocate **Tranche Tradable Units** to a **Participant**. For the allocation to happen, the participant must be linked to the tranche whose tradable units are being allocated to him. Follow these steps to create Donor Agreement to link a participant with tranche.

After the transaction is executed, the request is routed to the **Fund Manager** for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:

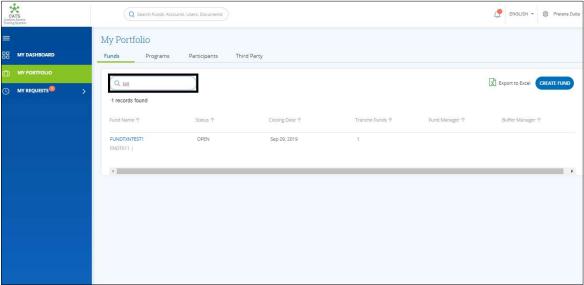


- Procedural steps to be followed by the Fund Transaction Processor:
 - The **Fund Transaction Processor** logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



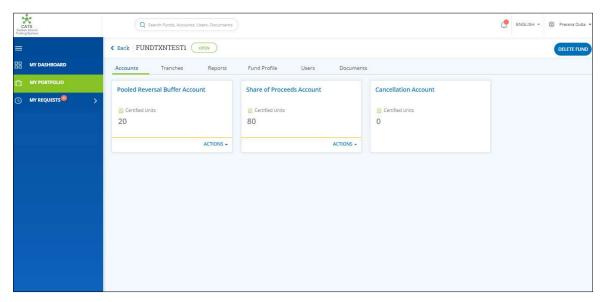
Screenshot 475: My Portfolio page

2. Search the **Fund Name**, whose tranche tradable units are to be allocated to the participant.



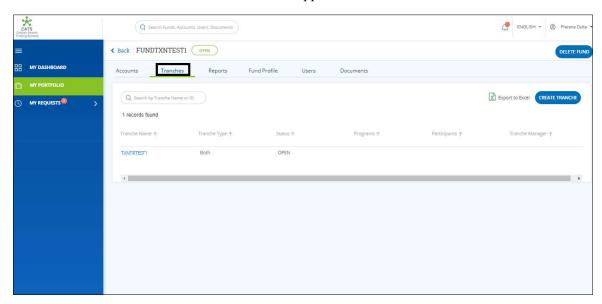
Screenshot 476: My Portfolio page

3. Click the **Fund Name**. The **Accounts** area of the fund details page appears.



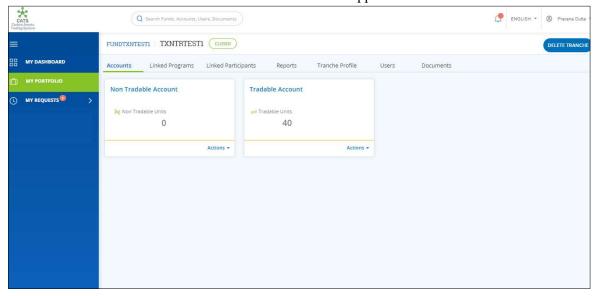
Screenshot 477: Accounts area

4. Click the **Tranches** tab. The **Tranches** area appears.



Screenshot 478: Tranches area

5. Click the **Tranche Name**. The tranche **Accounts** area appears.



Screenshot 479: Issuance Accounts area

<u>NOTE:</u> The tradable units of a tranche can be allocated to the linked participant only if we close the tranche.

The Tranche TXNTRTEST1 is already closed as there is symbol near the tranche name. If the tranche is not closed, there will be a button saying **CLOSE TRANCHE** on the top right corner.

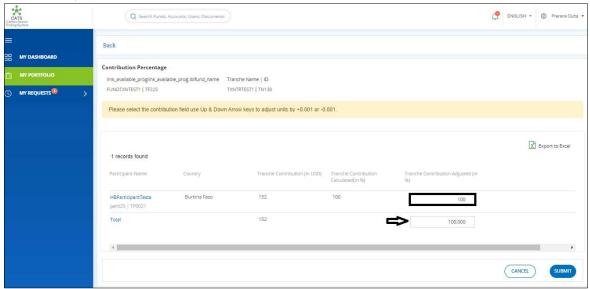
Prerana Dutta ▼ Back Contribution Percentage TXNTRTEST1 | TN130 FUNDTXINTEST1 | TF225 Please select the contribution field use Up & Down Arrow keys to adjust units by +0.001 or -0.001. Export to Excel 1 records found 100 152

6. Click CLOSE TRANCHE. The Contribution Percentage page appears.

Screenshot 480: Contribution Percentage page

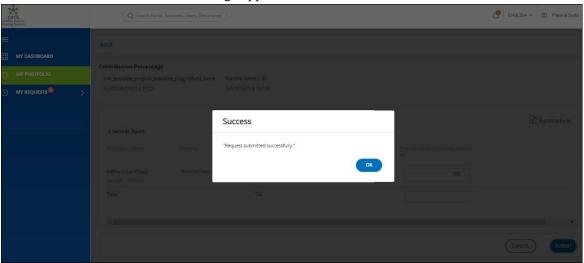
CANCEL

The Tranche Contributed Adjusted (in %) is 100% by default. This percentage can be varied by $\pm 0.001\%$.



Screenshot 481: Contribution Percentage page

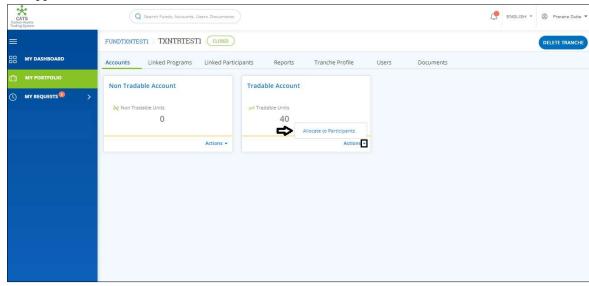
8. Click SUBMIT. A Success message appears. Click OK.



Screenshot 482: Success message

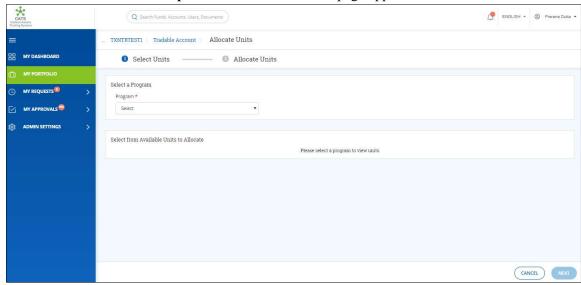
<u>NOTE</u>: The request goes to the **Fund Manager** for approval. After his approval, the **CLOSE TRANCHE** button disappears, and the tranche tradable units are eligible to be allocated to a participant.

9. In the **Tradable Account** box, click the symbol. The **Allocate to Participants** link appears.



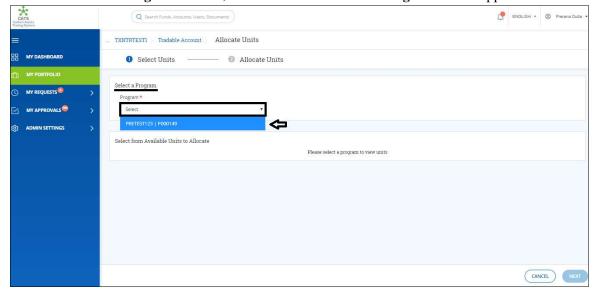
Screenshot 483: Tranche Accounts page

10. Click Allocate to Participants. The Allocate Units page appears.



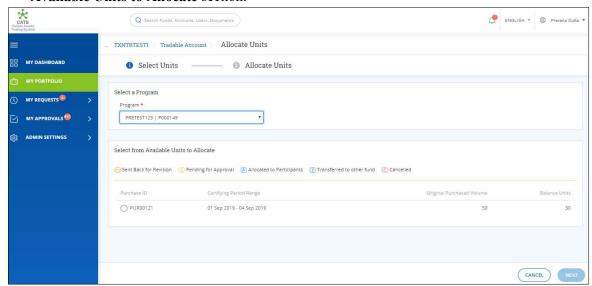
Screenshot 484: Allocate Units page

11. In the Select a Program section, click the Select box. The Program Name appears.



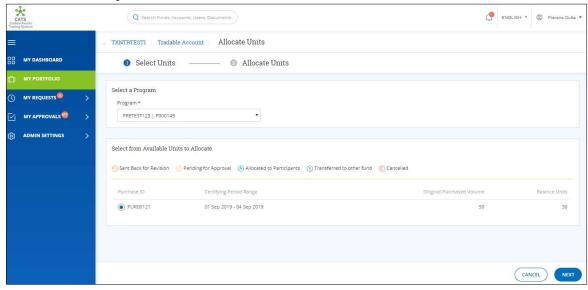
Screenshot 485: Allocate Units page

12. Click the **Program Name**. The balance units of the Program get listed in the **Select from Available Units to Allocate** section.



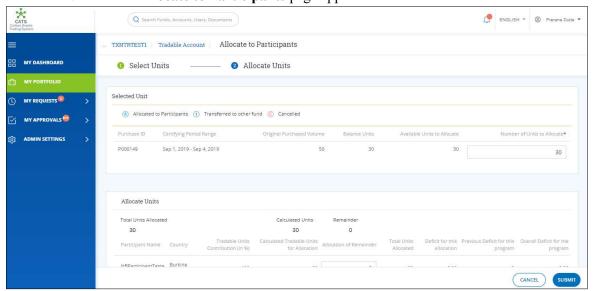
Screenshot 486: Allocate Units page

13. Click the **Purchase ID** whose units you want to allocate to the participant. There can be more than one purchase IDs.



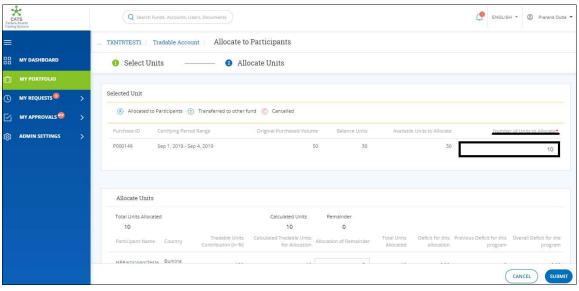
Screenshot 487: Allocate Units page

14. Click **NEXT**. The **Allocate to Participants** page appears.



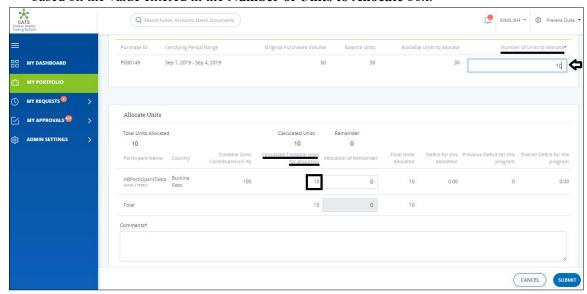
Screenshot 488: Allocate to Participants page

15. In the **Selected Unit** section, enter the number of units in the **Number of Units to Allocate** box.



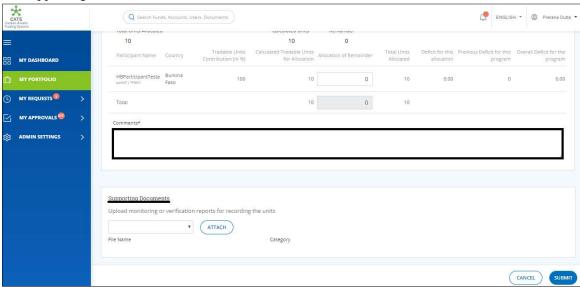
Screenshot 489: Allocate to Participants page

16. In the **Allocate Units** section, the **Calculated Tradable Units for Allocation** changes based on the value entered in the **Number of Units to Allocate** box.



Screenshot 490: Allocate to Participants page

17. Enter the comments in the Comments section. In Supporting Documents section, attach a supporting document, if needed.



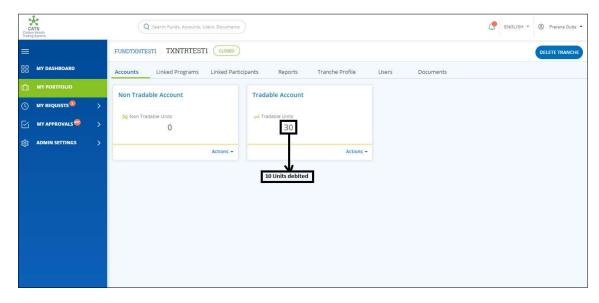
Screenshot 491: Allocate to Participants page

Exclusion | Contribution Percentage | Role parable programment | Request Submitted Successfully.* | Transcellation | Report to Excellation | Report to

18. Click SUBMIT. A Success message appears. Click OK.

Screenshot 492: Success message

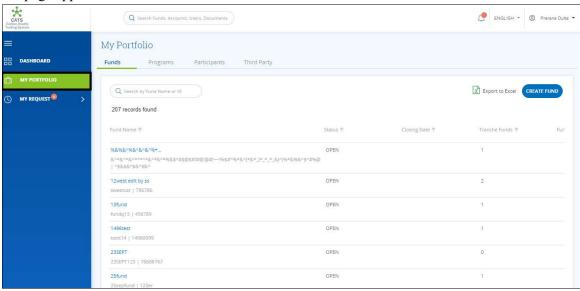
- Procedural steps to be followed by the Fund Manager:
 The Fund Manager logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in Procedural steps to be followed by Fund Manager.
- Flow of Units from Tranche Tradable Account to Donor Agreement Interim Tradable Account: After the Fund Manager approves the transaction of units, the Fund Transaction Processor receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the Tranche Tradable Account and are credited into Donor Agreement Interim Tradable Account.



Screenshot 493: Debit of Units from Tranche Tradable Account

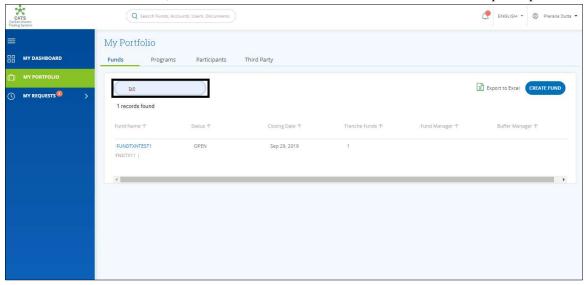
The Fund Transaction Processor can view the credited units in Donor Agreement Interim Tradable Account by following the steps below:

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



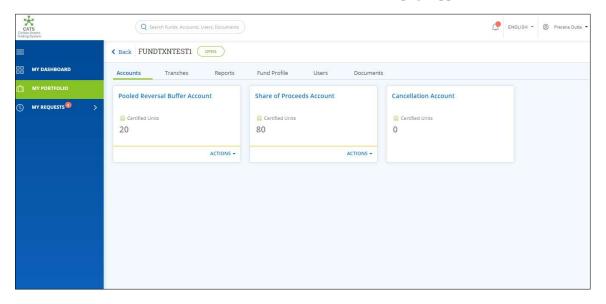
Screenshot 494: My Portfolio page

2. Search the Fund Name, whose tranche tradable units are to be allocated to the participant.



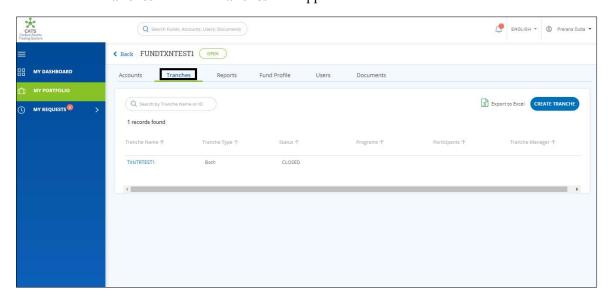
Screenshot 495: My Portfolio page

3. Click the **Fund Name**. The **Accounts** area of the fund details page appears.



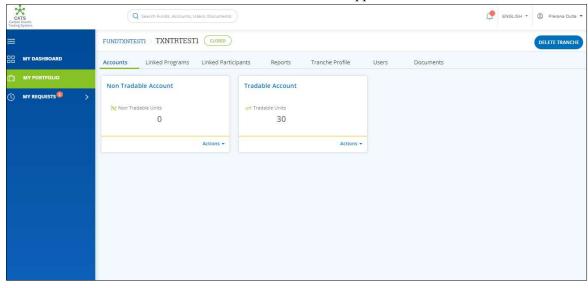
Screenshot 496: Accounts area

4. Click the **Tranches** tab. The **Tranches** area appears.



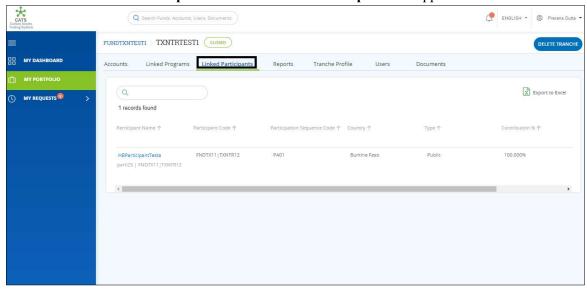
Screenshot 497: Tranches area

5. Click the **Tranche Name**. The tranche **Accounts** area appears.



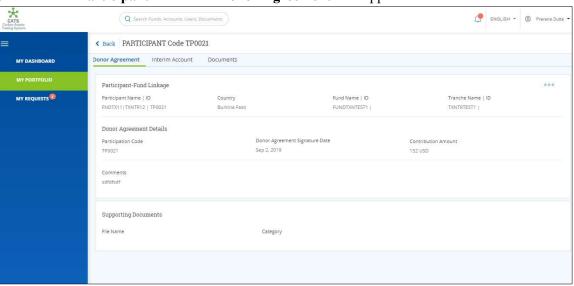
Screenshot 498: Tranche - Accounts area

6. Click the Linked Participants tab. The Linked Participants list appears.



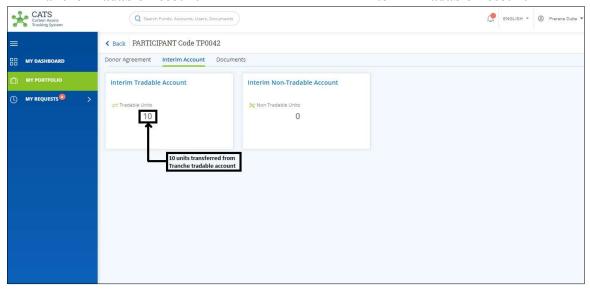
Screenshot 499: Linked Participants list

7. Click the **Participant** name. The **Donor Agreement** area appears.



Screenshot 500: Donor Agreement page

8. Click **Interim Account** tab. The **Interim Account** area appears. The debited units from **Tranche Tradable Account** can be seen credited under **Interim Tradable Account** box.



Screenshot 501: Donor Agreement Interim Account Page

ix. Tranche Non-Tradable (Transactions)

Below transaction/activity can be executed from a Tranche Tradable Account:

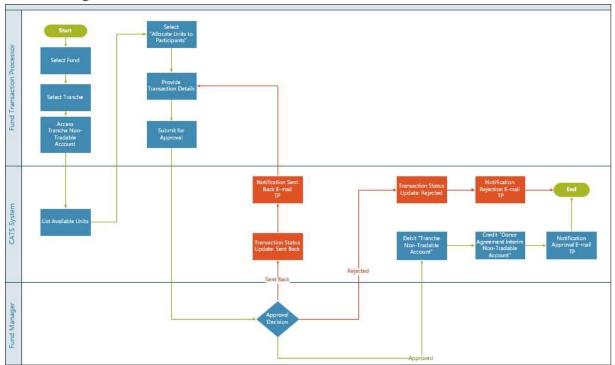
• Close Tranche – Allocation to Participants

A. Close Tranche – Allocation to Participants

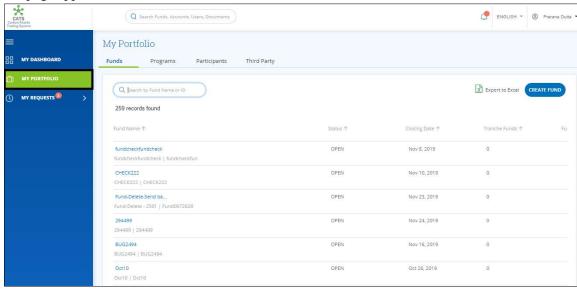
A user must have the role of **Fund Transaction Processor** to allocate **Tranche Non-Tradable Units** to a **Participant**. For the allocation to happen, the tranche must be closed, and the participant must be linked to the tranche whose non-tradable units are being allocated to him. Follow these steps to create Donor Agreement to link a participant with tranche.

After the transaction is executed, the request is routed to the **Fund Manager** for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:

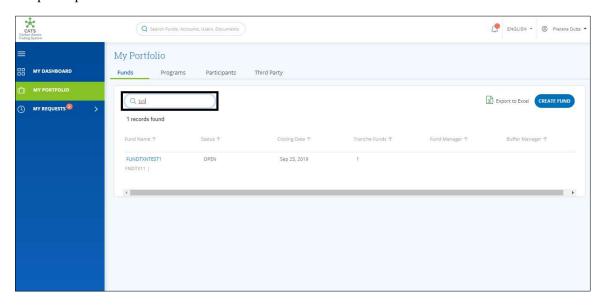


- Procedural steps to be followed by the Fund Transaction Processor:
 The Fund Transaction Processor logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



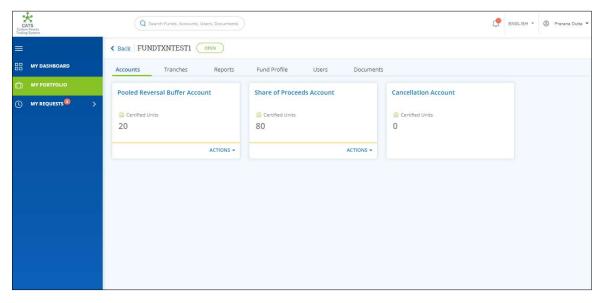
Screenshot 502: My Portfolio page

2. Search the **Fund Name**, whose tranche non-tradable units are to be allocated to the participant.



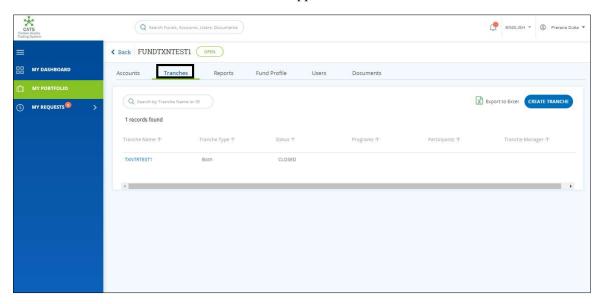
Screenshot 503: My Portfolio page

3. Click the **Fund Name** whose tranche non-tradable units are to be allocated to the participant. The **Accounts** area of the fund details page appears.



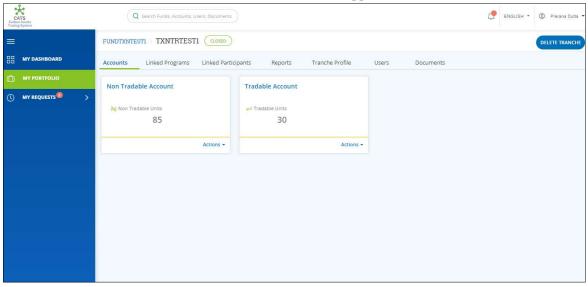
Screenshot 504: Fund-Accounts area

4. Click the **Tranches** tab. The **Tranches** list appears.



Screenshot 505: Tranches list

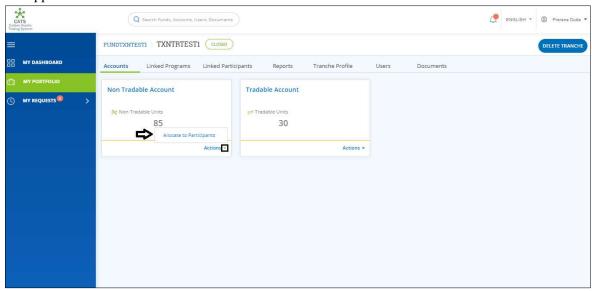
5. Click the **Tranche Name**. The tranche **Accounts** area appears.



Screenshot 506: Tranche Accounts area

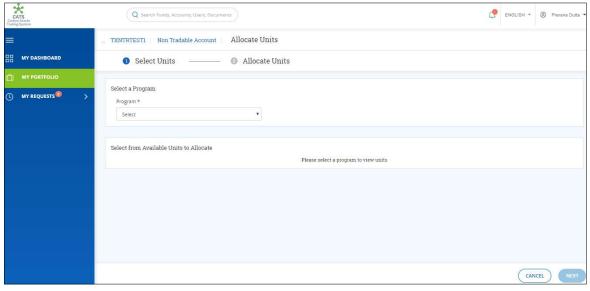
<u>NOTE</u>: The non-tradable units of a tranche can be allocated to the linked participant only if we close the tranche.

6. In the **Non Tradable Account** box, click the *symbol. The **Allocate to Participants** link appears.



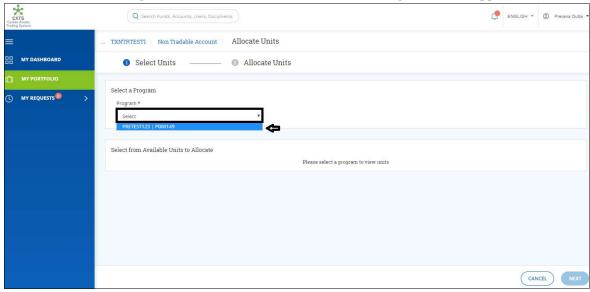
Screenshot 507: Tranche Accounts page

7. Click Allocate to Participants. The Allocate Units page appears.



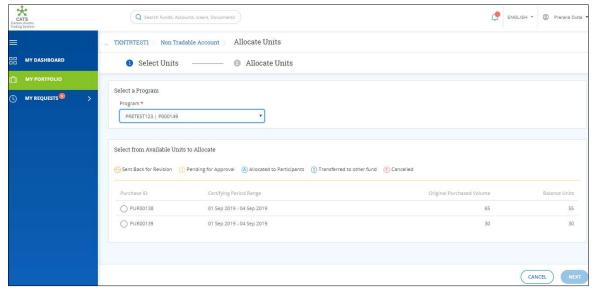
Screenshot 508: Allocate Units page

8. In the Select a Program section, click the Select box. The Program Name appears.



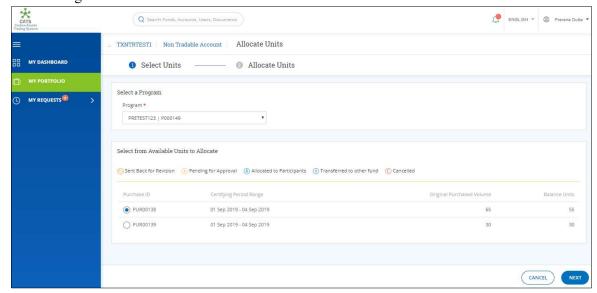
Screenshot 509: Allocate Units page

9. Click the **Program Name**. The purchase IDs get listed in the **Select from Available Units** to Allocate section.



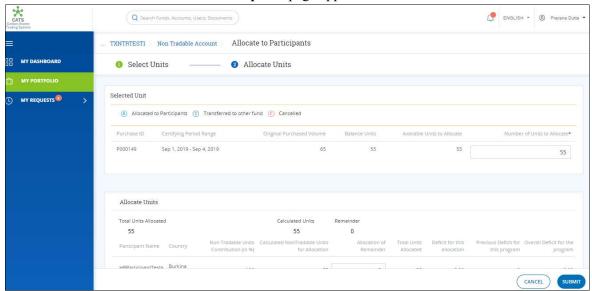
Screenshot 510: Allocate Units page

10. Click the **Purchase ID** whose units you want to allocate to the participant. The **NEXT** button gets enabled.



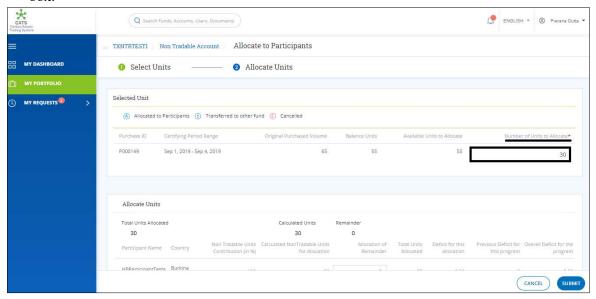
Screenshot 511: Allocate Units page

11. Click **NEXT**. The **Allocate to Participants** page appears.



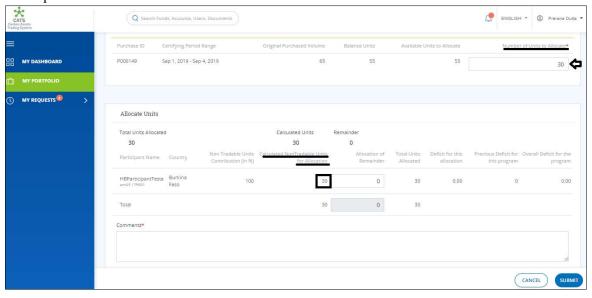
Screenshot 512: Allocate to Participants page

12. In the **Selected Unit** section, enter the number of units in the **Number of Units to Allocate** box.



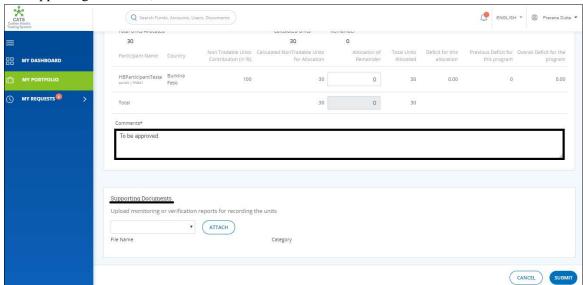
Screenshot 513: Allocate to Participants page

13. In the Allocate Units section, the Calculated Non Tradable Units for Allocation changes as per the value entered in the Number of Units to Allocate box.



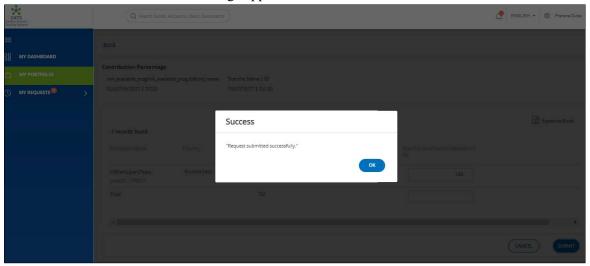
Screenshot 514: Allocate to Participants page

14. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 515: Allocate to Participants page

15. Click SUBMIT. A Success message appears. Click OK.



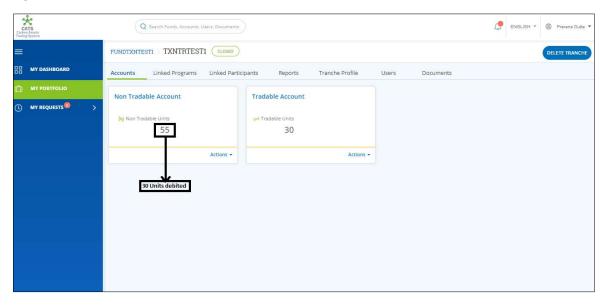
Screenshot 516: Success message

Procedural steps to be followed by the Fund Manager:

The **Fund Manager** logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Fund Manager</u>.

Flow of Units from Tranche Non Tradable Account to Donor Agreement Interim Non Tradable Account:

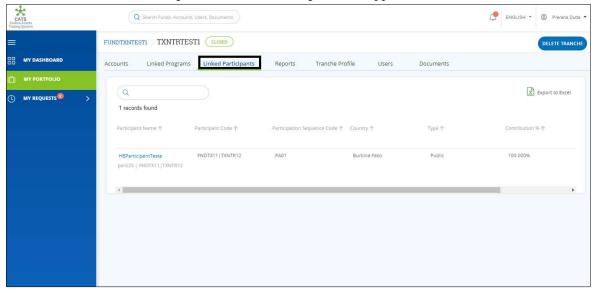
After the **Fund Manager** approves the transaction of units, the **Fund Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the **Tranche Non Tradable Account** and are credited into **Donor Agreement Interim Non Tradable Account**.



Screenshot 517: Debit of Units from Tranche Non Tradable Account

The Fund Transaction Processor can see the credited units in Donor Agreement Interim Non Tradable Account by following the steps below:

1. Click the **Linked Participants** tab. The **Participants** list appears.



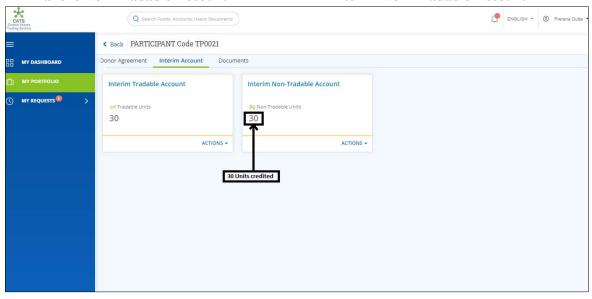
Screenshot 518: Linked Participants list

♠ ENGLISH * ♠ Prerana Dutta ← Back PARTICIPANT Code TP0021 Donor Agreement Interim Account Documents MY REQUESTS 1 Participant Name | ID Country Fund Name | ID Tranche Name | ID FNDTX11|TXNTR12 | TP0021 FUNDTXNTEST1 | TXNTRTEST1 | Donor Agreement Details Donor Agreement Signature Date Participation Code Sep 2, 2019 152 USD Supporting Documents File Name Category

2. Click the **Participant** name. The **Donor Agreement** area appears.

Screenshot 519: Donor Agreement page

3. Click Interim Account tab. The Interim Account area appears. The debited units from Tranche Non Tradable Account are credited into Interim Non-Tradable Account.



Screenshot 520: Participant-Interim Account Page

x. Donor Agreement Interim Account (Transactions)

Below transactions/activities can be executed from a Donor Agreement Interim Account:

- Interim Tradable Account Forward Units
- Interim Non-Tradable Account Forward Units

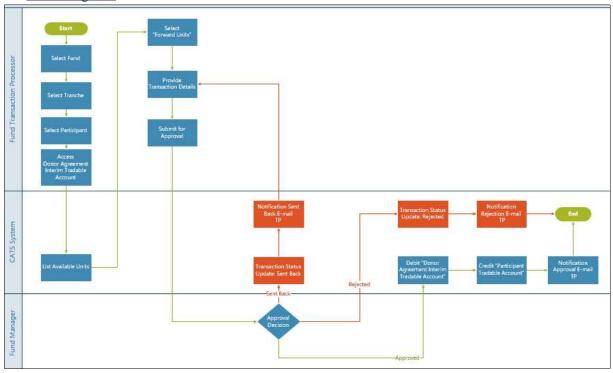
For the above transactions to happen, there must be some units in the **Donor Agreement Interim Tradable Account** and **Donor Agreement Interim Non Tradable Account**.

A. Interim Tradable Account - Forward Units

A user must have the role of **Fund Transaction Processor** to forward units from **Donor Agreement Interim Tradable Account** to the **Participant (Holding) Tradable Account**.

After the transaction is executed, the request is routed to the **Fund Manager** for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

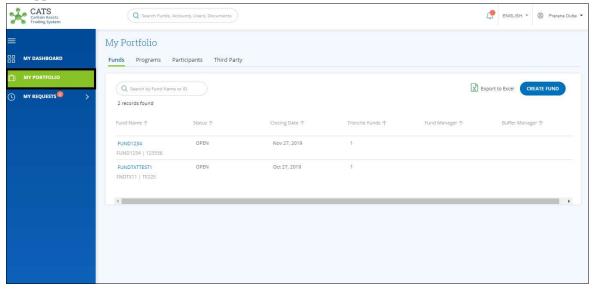
Flow Diagram:



Procedural steps to be followed by the Fund Transaction Processor:

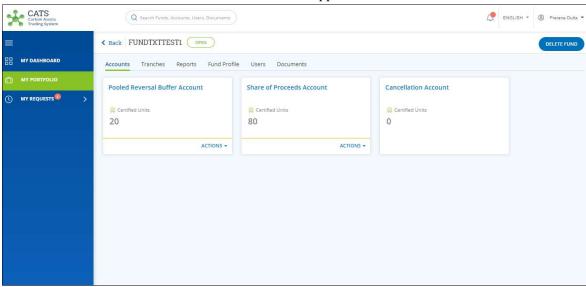
The **Fund Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



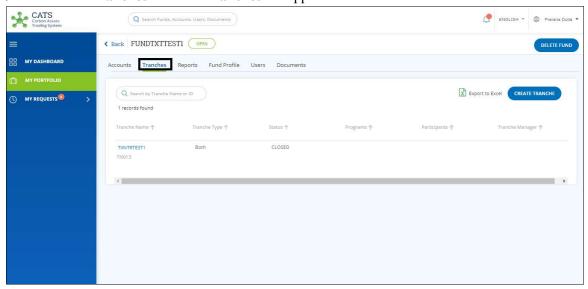
Screenshot 521: My Portfolio page

2. Click the **Fund Name**. The Fund **Accounts** area appears.



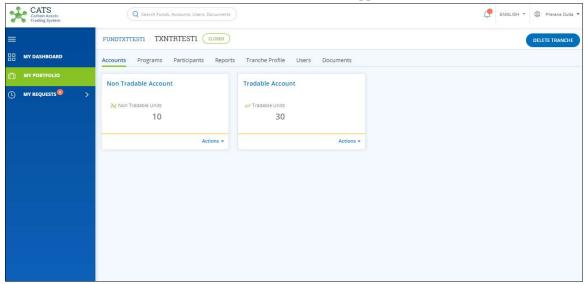
Screenshot 522: Fund - Accounts area

3. Click the **Tranches** tab. The **Tranches** list appears.



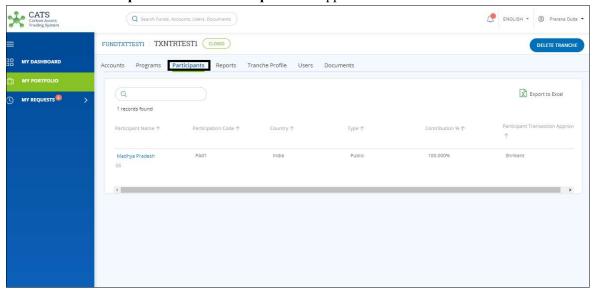
Screenshot 523: Tranches list

4. Click the **Tranche Name**. The Tranche **Accounts** area appears.



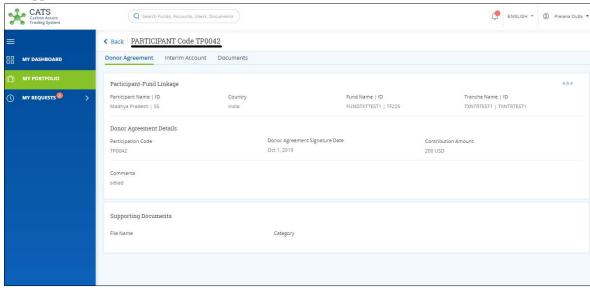
Screenshot 524: Tranche – Accounts area

5. Click the **Participants** tab. The **Participants** list appears.



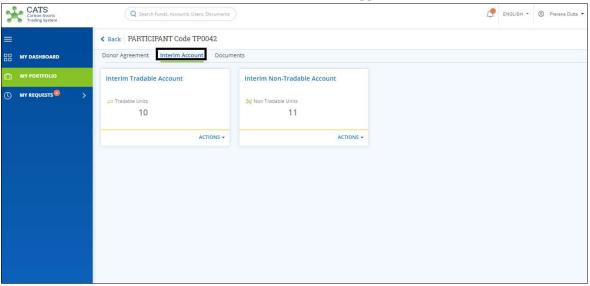
Screenshot 525: Participants list

6. Click a **Participant Name** from the list. The **Donor Agreement** area of the Participant appears.



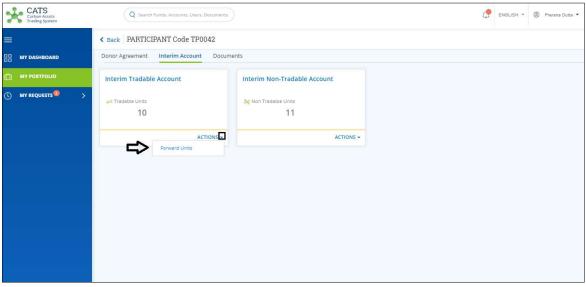
Screenshot 526: Participant Donor Agreement area

7. Click **Interim Account** tab. The **Interim Account** area appears.



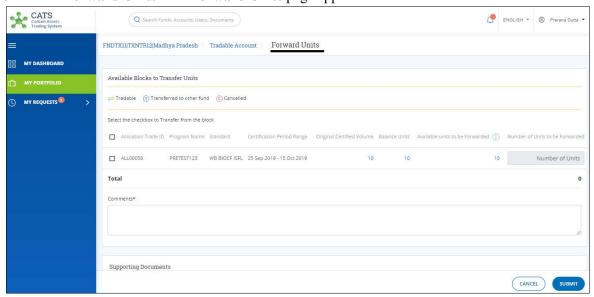
Screenshot 527: Interim Account area

8. In the **Interim Tradable Account** box, click the symbol. The **Forward Units** link appears.



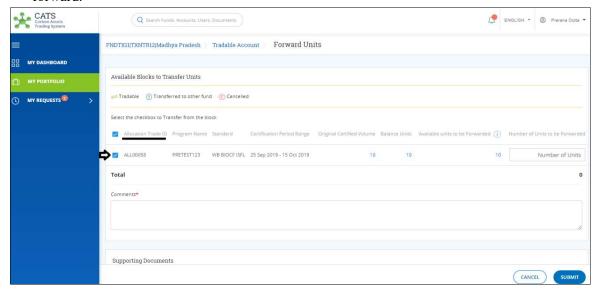
Screenshot 528: Interim Account area

9. Click Forward Units. The Forward Units page appears.



Screenshot 529: Forward Units page

10. Select the **Allocation Trade ID** checkbox of the program, whose units you want to forward.

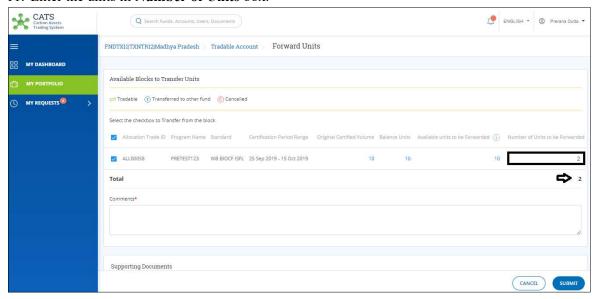


Screenshot 530: Forward Units page

NOTE:

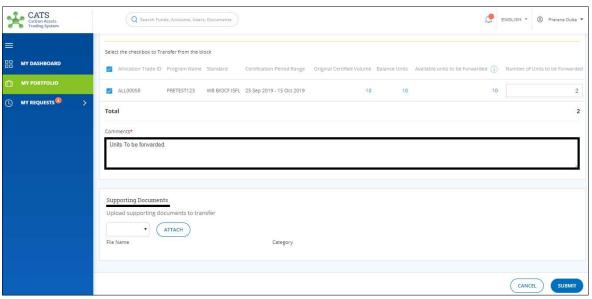
- ❖ There can be more than one Allocation Trade IDs in a program.
- **!** Units from more than one **Allocation Trade IDs** can be forwarded at once.

11. Enter the units in **Number of Units** box.



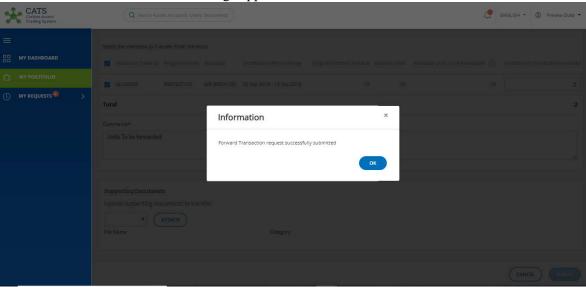
Screenshot 531: Forward Units page

12. Enter your comments in the **Comments** section. In the **Supporting Documents** section, attach a document if needed.



Screenshot 532: Forward Units page

13. Click SUBMIT. A success message appears. Click OK.



Screenshot 533: Success message

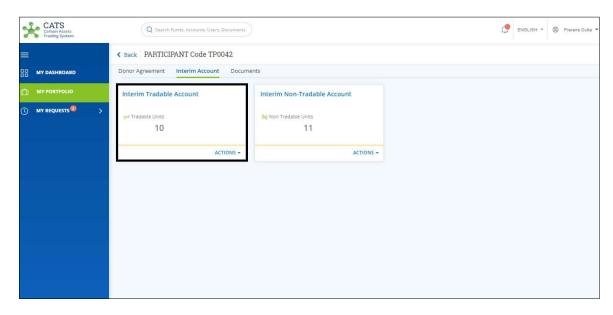
Procedural steps to be followed by the Fund Manager:

The transaction request goes to the **Fund Manager** for approval. The approver needs to login to the CATS application with his e-mail ID and password and follow <u>these</u> steps to approve the transaction.

Flow of Units from Donor Agreement Interim Tradable Account to Participant Tradable Account:

After the Fund Manager approves the transaction of units, the Fund Transaction Processor receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the Donor Agreement Interim Tradable Account and gets credited into Participant Tradable Account.

Below are the screenshots that shows the number of units in **Donor Agreement Interim Tradable Account**, before and after the transaction.

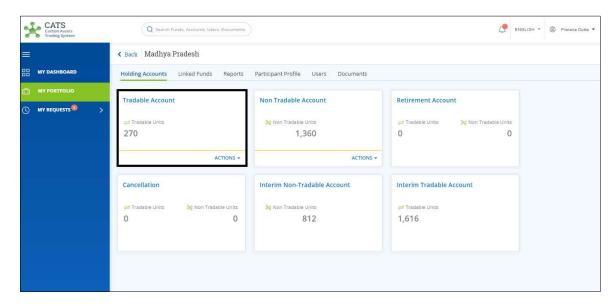


Screenshot 534: Donor Agreement Interim Tradable Account – Before transaction

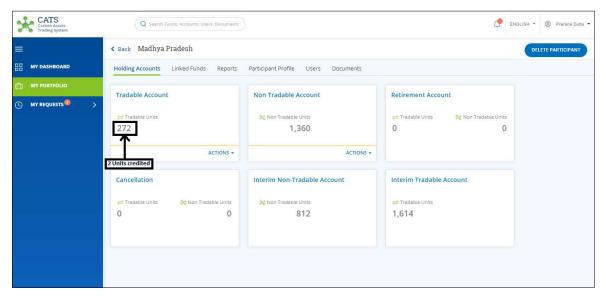


Screenshot 535: Donor Agreement Interim Tradable Account – After transaction

Below are the screenshots that shows the number of units in **Participant Tradable Account**, before and after the transaction. The Fund Transaction Processor would not be able to view the Participant Holding Accounts. A user with the role of **Participant Transaction Processor** can view the Participant holding accounts.



Screenshot 536: Participant Tradable Account – Before transaction



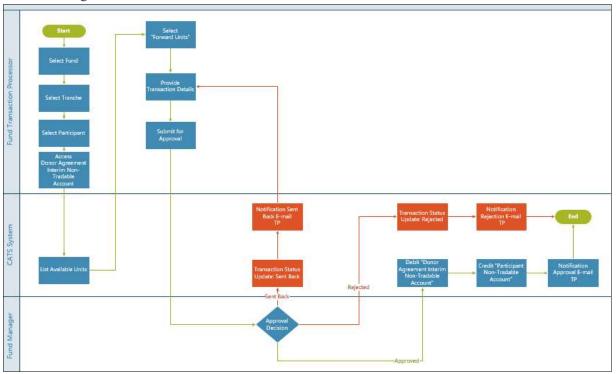
Screenshot 537: Participant Tradable Account – After transaction

B. Interim Non Tradable Account - Forward Units

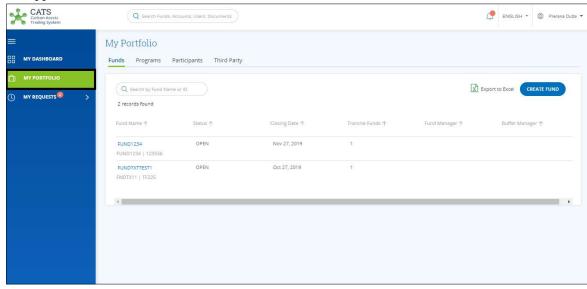
A user must have the role of Fund Transaction Processor to forward units from Donor Agreement Interim Non Tradable Account to the Participant (Holding) Non Tradable Account.

After the transaction is executed, the request is routed to the **Fund Manager** for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:

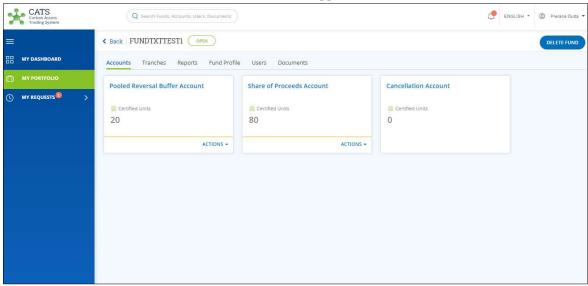


- Procedural steps to be followed by the Fund Transaction Processor:
 - The **Fund Transaction Processor** logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



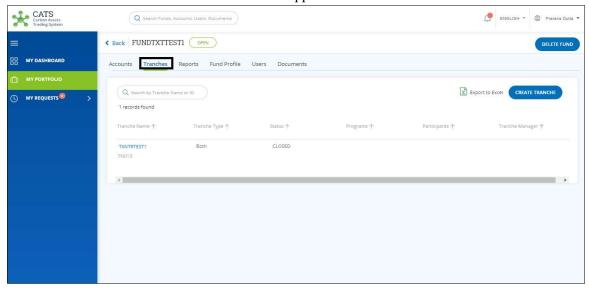
Screenshot 538: My Portfolio page

2. Click the **Fund Name**. The Fund **Accounts** area appears.



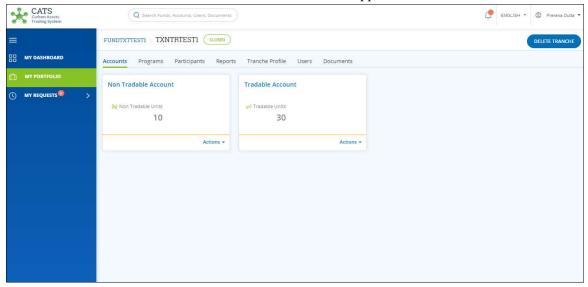
Screenshot 539: Fund – Accounts area

3. Click the **Tranches** tab. The **Tranches** list appears.



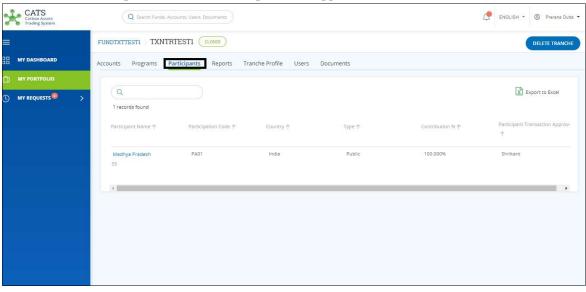
Screenshot 540: Tranches list

4. Click the **Tranche Name**. The Tranche **Accounts** area appears.



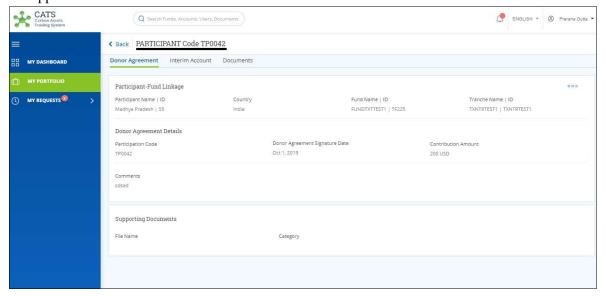
Screenshot 541: Tranche – Accounts area

5. Click the **Participants** tab. The **Participants** list appears.



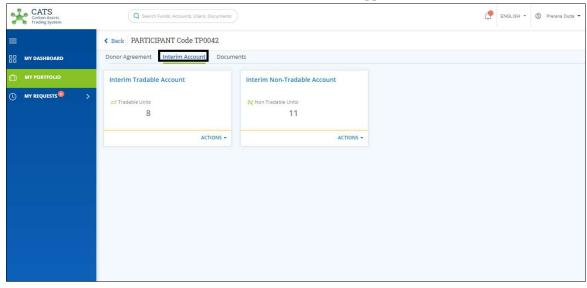
Screenshot 542: Participants list

6. Click a **Participant Name** from the list. The **Donor Agreement** area of the Participant appears.



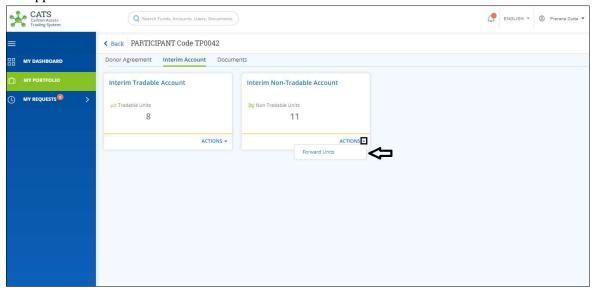
Screenshot 543: Participant Donor Agreement area

7. Click Interim Account tab. The Interim Account area appears.



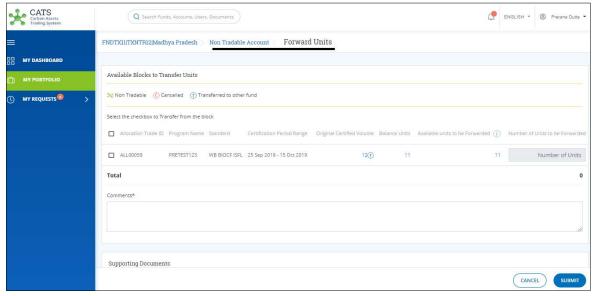
Screenshot 544: Interim Account area

8. In the **Interim Non Tradable Account** box, click the symbol. The **Forward Units** link appears.



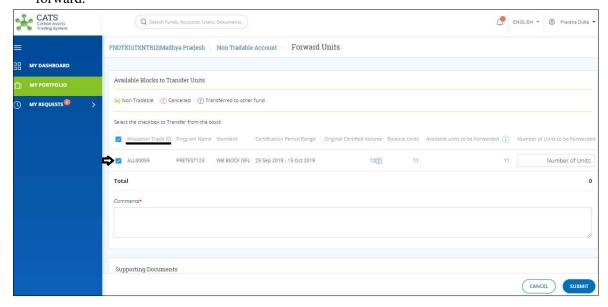
Screenshot 545: Interim Account area

9. Click Forward Units. The Forward Units page appears.



Screenshot 546: Forward Units page

10. Select the **Allocation Trade ID** checkbox of the program, whose units you want to forward.

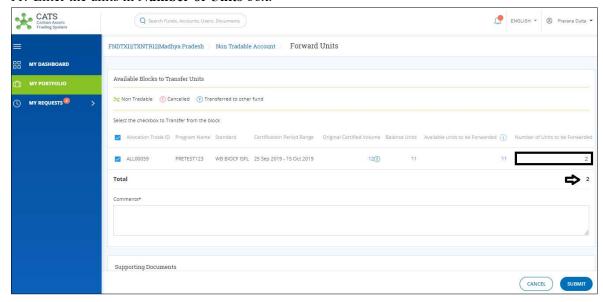


Screenshot 547: Forward Units page

NOTE:

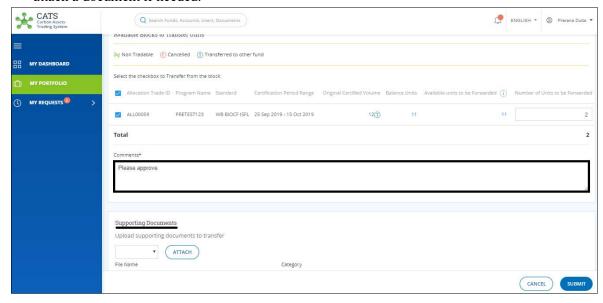
- ❖ There can be more than one **Allocation Trade IDs** in a program.
- ❖ Units from more than one Allocation Trade IDs can be forwarded at once.

11. Enter the units in **Number of Units** box.



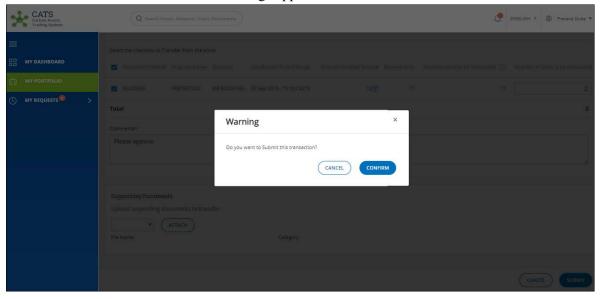
Screenshot 548: Forward Units page

12. Enter your comments in the **Comments** section. In the **Supporting Documents** section, attach a document if needed.



Screenshot 549: Forward Units page

13. Click **SUBMIT**. A confirmation message appears. Click **CONFIRM**.



Screenshot 550: Confirmation message

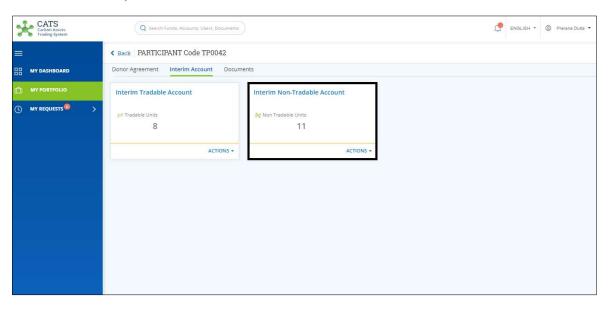
➤ <u>Procedural steps to be followed by the Fund Manager:</u>

The transaction request goes to the **Fund Manager** for approval. The approver needs to login to the CATS application with his e-mail ID and password and follow <u>these</u> steps to approve the transaction.

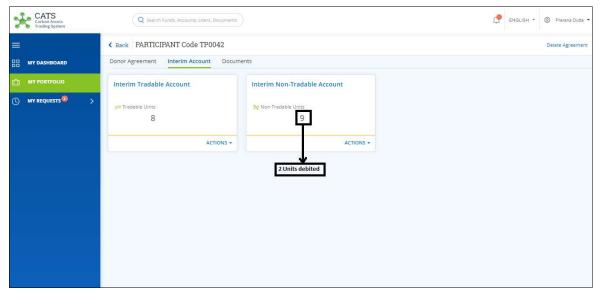
Flow of Units from Donor Agreement Interim Non Tradable Account to Participant Non Tradable Account:

After the Fund Manager approves the transaction of units, the Fund Transaction Processor receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the Donor Agreement Interim Non Tradable Account and gets credited into Participant Non Tradable Account.

Below are the screenshots that shows the number of units in **Donor Agreement Interim Non Tradable Account**, before and after the transaction.

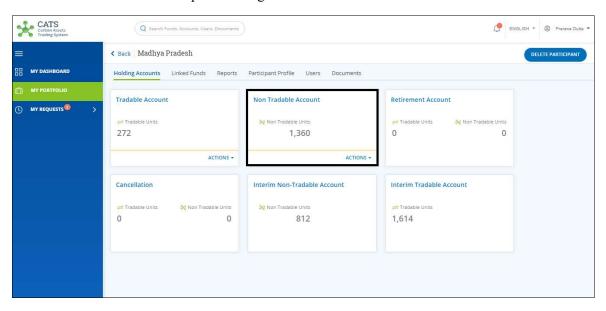


Screenshot 551: Donor Agreement Interim Non Tradable Account - Before transaction

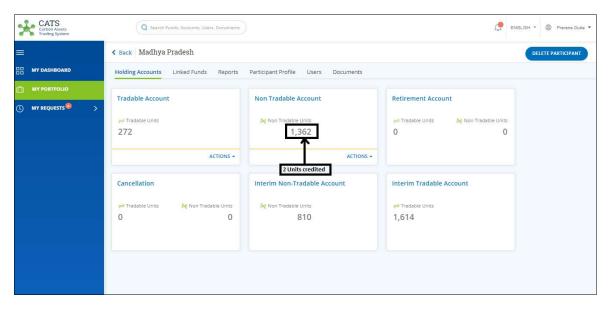


Screenshot 552: Donor Agreement Interim Non Tradable Account – After transaction

Below are the screenshots that shows the number of units in **Participant Non Tradable Account**, before and after the transaction. The Fund Transaction Processor would not be able to view the Participant Holding Accounts. A user with the role of **Participant Transaction Processor** can view the Participant holding accounts.



Screenshot 553: Participant Non Tradable Account – Before transaction



Screenshot 554: Participant Non Tradable Account – After transaction

xi. Participant Holding Account (Transactions)

Below transactions/activities can be executed from a Participant Holding Account:

- Participant Tradable Account Transfer Units
- Participant Non-Tradable Account Retire Units

- Participant Non-Tradable Account Allocate Units
- Participant Tradable Account Cancel Units
- Participant Non-Tradable Account Cancel Units
- Participant Tradable Account Retire Units

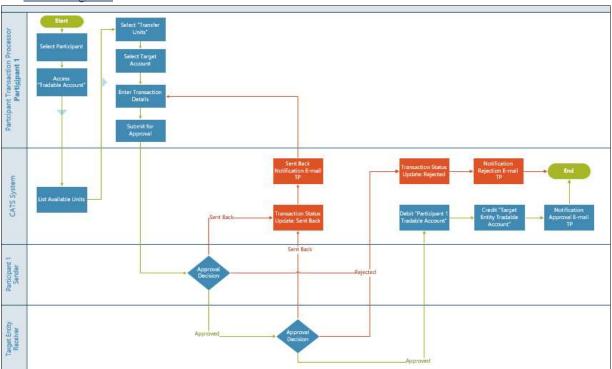
For the above transactions to happen, it is important that the units are forwarded from **Donor Agreement Interim Tradable/Non Tradable Account** to **Participant Holdings Tradable/Non Tradable Account**.

A. Participant Tradable Account - Transfer Units

A user must have the role of **Participant Transaction Processor** to transfer units from **Participant Tradable Account** to any other entity's tradable account. The entity can be either a **Participant** or a **Third Party**.

After the transaction is executed, the request is routed first to the **Participant Transaction Approver** of the sender's account and then goes to **Participant or Third Party Transaction Approver** (based on the entity) of the receiver's account for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

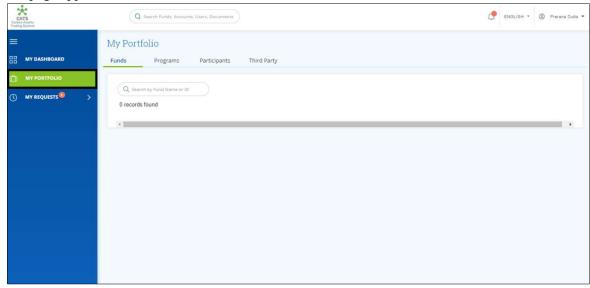
Flow Diagram:



Procedural steps to be followed by the Participant Transaction Processor:

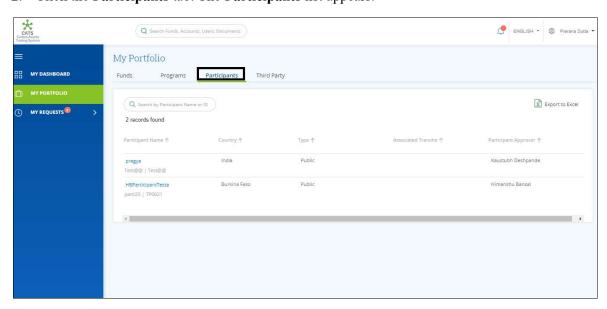
The **Participant Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



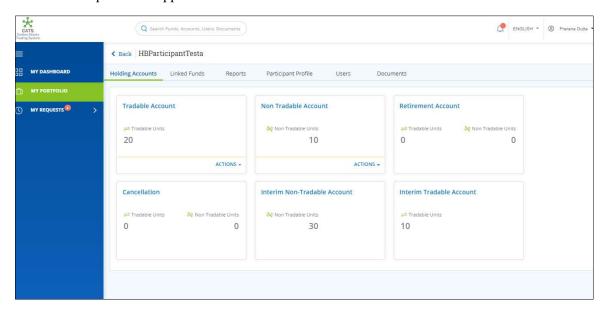
Screenshot 555: My Portfolio page

2. Click the **Participants** tab. The **Participants** list appears.



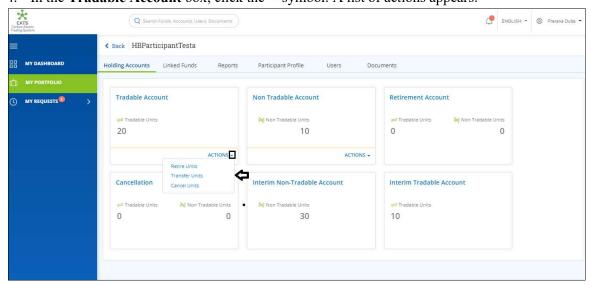
Screenshot 556: Participants area

3. Click the **Participant Name** say "HBParticipantTesta". The **Holding Accounts** area of HBParticipantTesta appears.



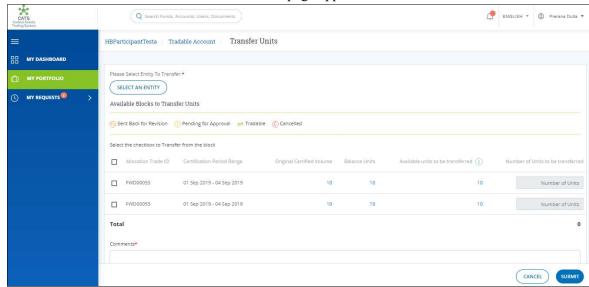
Screenshot 557: Participant-Holding Accounts area

4. In the **Tradable Account** box, click the symbol. A list of actions appears.



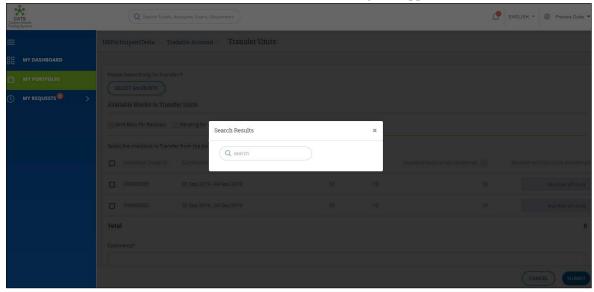
Screenshot 558: Participant-Holding Accounts area

5. Click **Transfer Units**. The **Transfer Units** page appears.



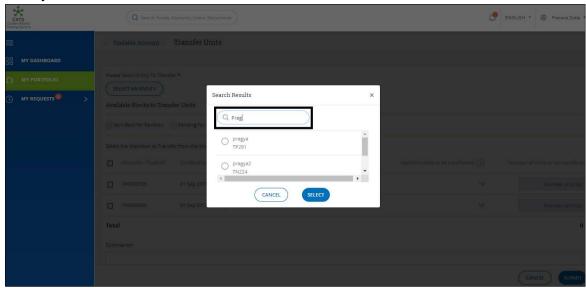
Screenshot 559: Transfer Units page

6. Click SELECT AN ENTITY. The Search Results dialog box appears.



Screenshot 560: Transfer Units page

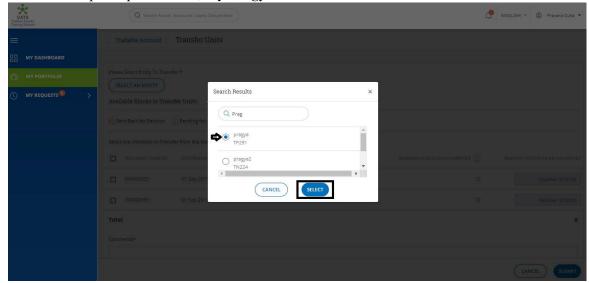
7. Search the name of the participant whom you want to send the tradable units, by typing a keyword in the **Search** box.



Screenshot 561: Transfer Units page

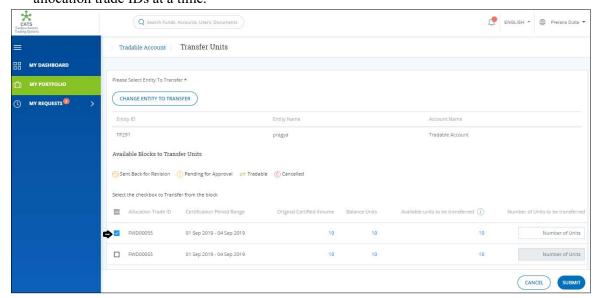
NOTE: Participant 1 can also transfer the tradable account units to a third party.

8. Click the participant's name, say Pragya and click SELECT.



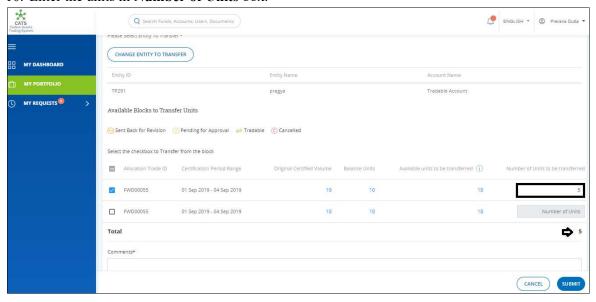
Screenshot 562: Transfer Units page

9. Select the **Allocation Trade ID** checkbox. A participant can select more than one allocation trade IDs at a time.



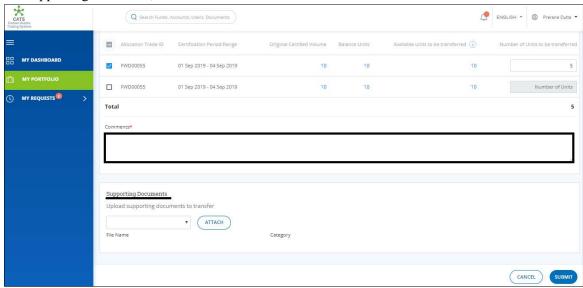
Screenshot 563: Transfer Units page

10. Enter the units in **Number of Units** box.



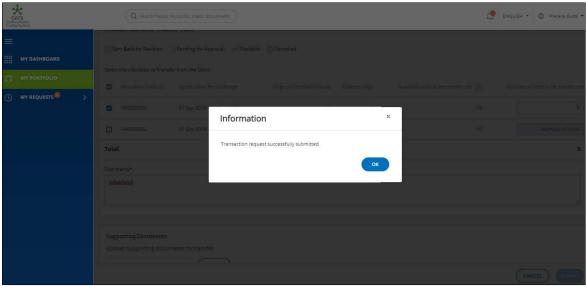
Screenshot 564: Transfer Units page

11. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 565: Transfer Units page

12. Click SUBMIT. A success message appears. Click OK.

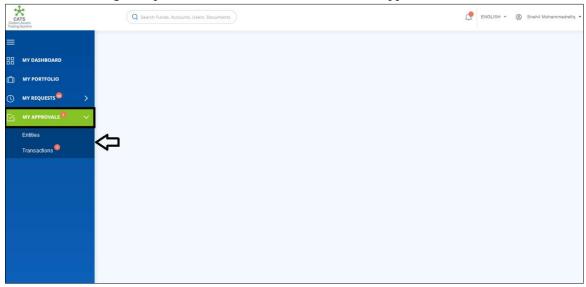


Screenshot 566: Success message

Procedural steps to be followed by the Participant Transaction Approver or Third Party Transaction Approver:

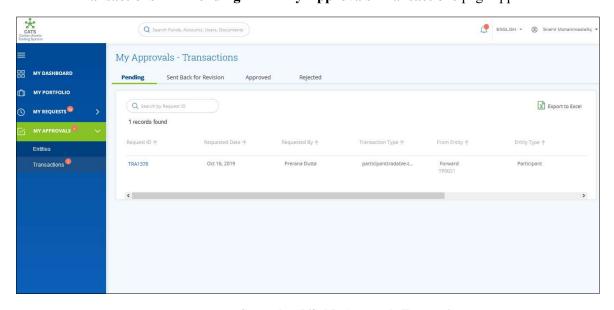
The transaction request first goes to the **Participant Transaction Approver** of the sender's account and then goes to **Participant or Third Party Transaction Approver** of the receiver's account (based on the receiver) for approval. Both the approvers need to follow the steps below, to approve the transaction request.

1. In the left navigation pane, click MY APPROVALS. A list appears.



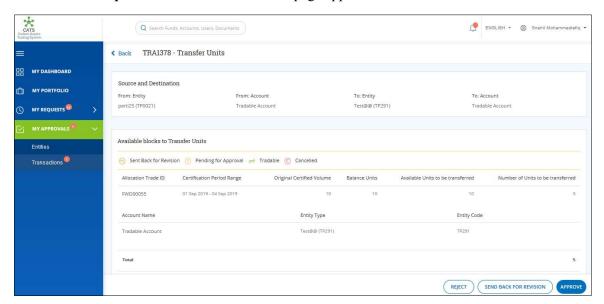
Screenshot 567: Home page

2. Click **Transactions**. The **Pending** list of **My Approvals-Transactions** page appears.



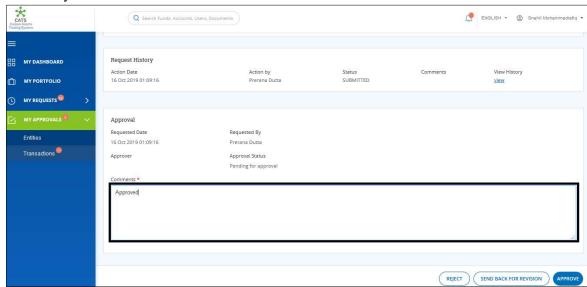
Screenshot 568: My Approvals-Transactions page

3. Click the **Request ID**. The **Transfer Units** page appears.



Screenshot 569: Transfer Units page

4. Enter your comments in the **Comments** section.



Screenshot 570: Transfer Units page

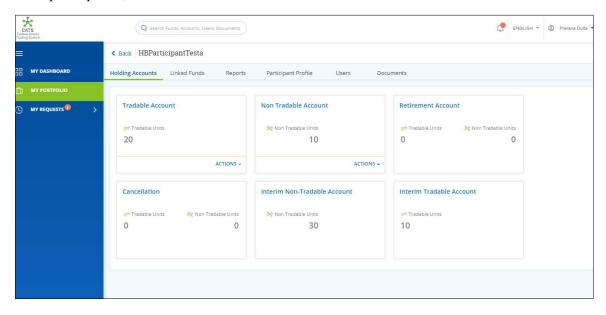
Warning Do you want to approve this request STAY ON PAGE

5. Click **APPROVE.** A confirmation message appears. Click **OK**.

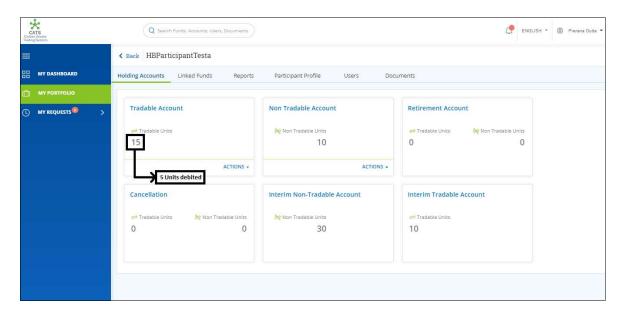
Screenshot 571: Confirmation message

Flow of Units from Participant1 Tradable Account to Participant2 Tradable Account: After both the approvers approves the transaction of units, the **Participant Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The certified units get debited from the Tradable Account of participant1 and gets credited into Tradable Account of participant2.

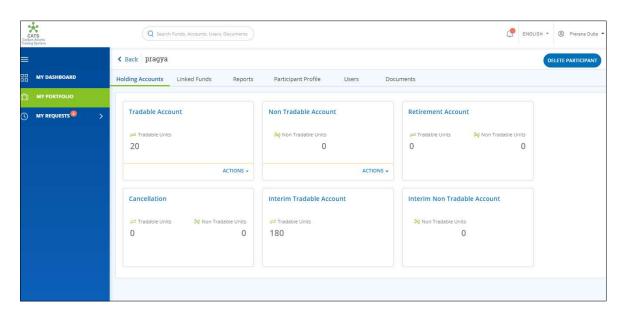
Below are the screenshots that shows the number of units in **Tradable Accounts** of participant 1 and participant 2, before and after the transaction.



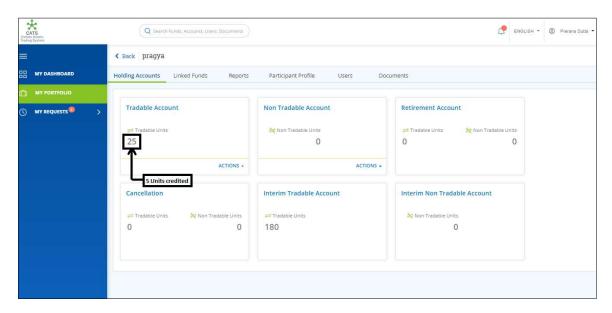
Screenshot 572: Participant1 Tradable Account – Before transaction



Screenshot 573: Participant1 Tradable Account – After transaction



Screenshot 574: Participant2 Tradable Account – Before transaction



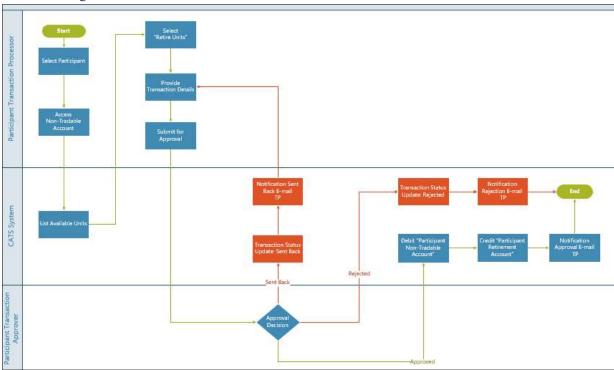
Screenshot 575: Participant2 Tradable Account – After transaction

B. Participant Non-Tradable Account - Retire Units

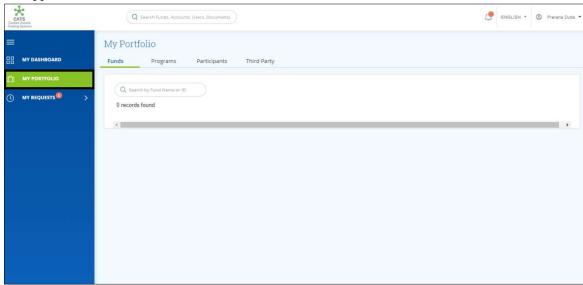
A Participant Transaction Processor can retire the units which are incapable of trading, from Participant Non Tradable Account. After the transaction is executed, the request is routed to Participant Transaction Approver. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

Upon the approval of **Participant Approver**, the retired units get credited into the **Retirement Account** of the same participant.

Flow Diagram:

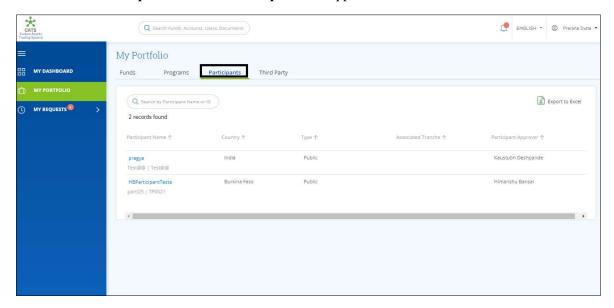


- Procedural steps to be followed by the Participant Transaction Processor:
 - The **Participant Transaction Processor** logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



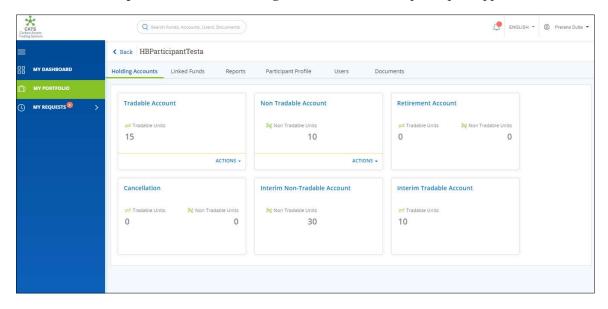
Screenshot 576: My Portfolio page

2. Click the **Participants** tab. The **Participants** list appears.



Screenshot 577: Participants area

3. Click a Participant Name. The Holding Accounts area of the participant appears.



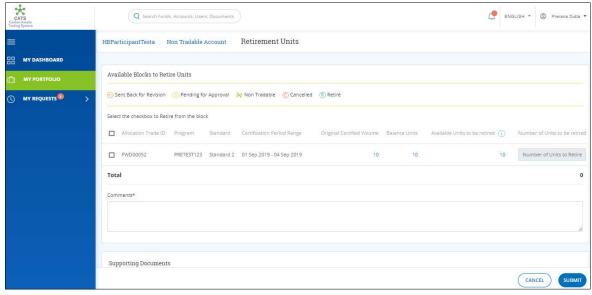
Screenshot 578: Participant-Holding Accounts area

← Back HBParticipantTesta Participant Profile Documents Tradable Account Retirement Account Non Tradable Account Non Tradable Units 10 ACTIONS -ACTIONS -Interim Tradable Account Cancellation Interim Non-Tra Cancel Units 0 30 10

4. In the **Non Tradable Account** box, click the *symbol. A list of actions appears.

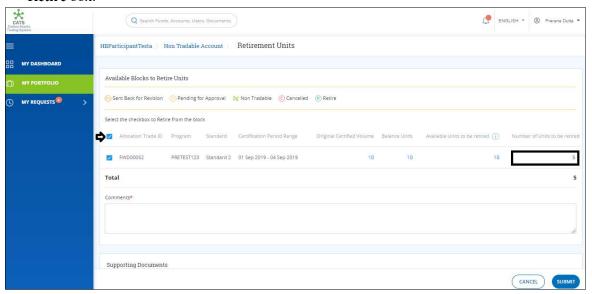
Screenshot 579: Participant-Holding Accounts area

5. Click Retire Units. The Retirement Units page appears.



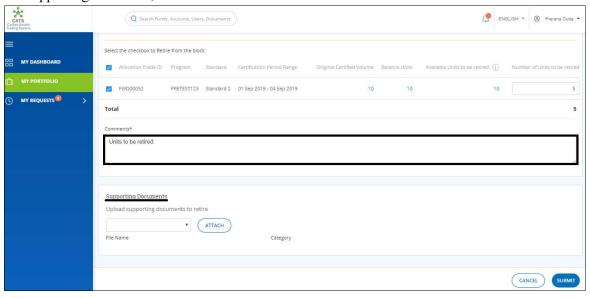
Screenshot 580: Retirement Units page

6. Select the **Allocation Trade ID** checkbox and enter the units in **Number of Units to Retire** box.



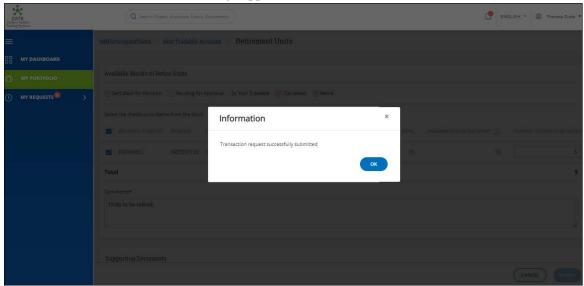
Screenshot 581: Retirement Units page

7. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 582: Retirement Units page

8. Click **SUBMIT**. A success message appears. Click **OK**.

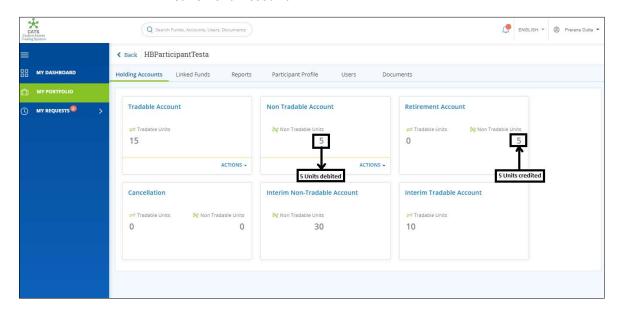


Screenshot 583: Success message

Procedural steps to be followed by the Participant Transaction Approver:
The Participant Transaction Approver logs into the CATS application using his e-mail ID and password. He, then needs to follow these steps to approve a transaction.

Flow of Units from Participant Non Tradable Account to Retirement Account:

After the **Participant Transaction Approver** approves the transaction of units, the **Participant Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The non-tradable units get debited from the **Non Tradable Account** and are credited into the **Retirement Account**.



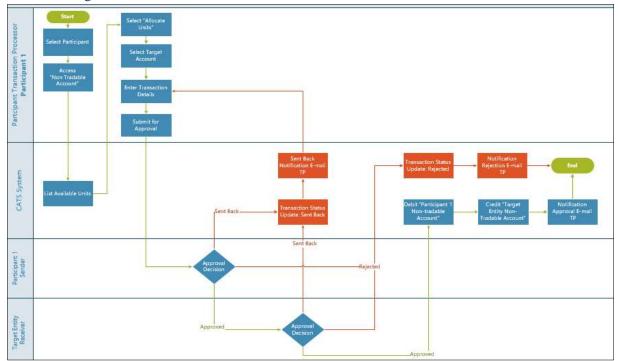
Screenshot 584: Debit and credit of units

C. Participant Non Tradable Account - Allocate Units

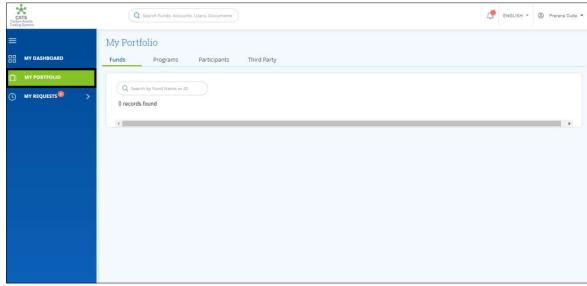
A user must have the role of **Participant Transaction Processor** to transfer units from **Participant Non Tradable Account** to **Program Non Tradable Account**.

After the transaction is executed, the request is routed first to the **Participant Transaction Approver** of the sender and then goes to **Program Transaction Approver** of the receiver. Both the approvers have the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:

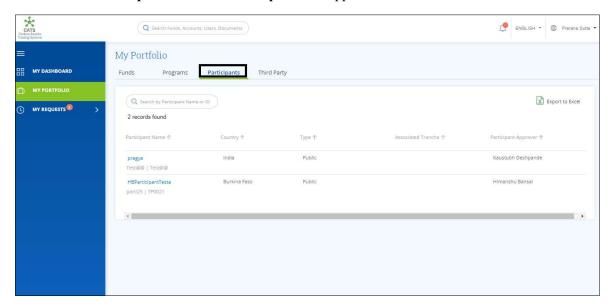


- Procedural steps to be followed by the Participant Transaction Processor:
 - The **Participant Transaction Processor** logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



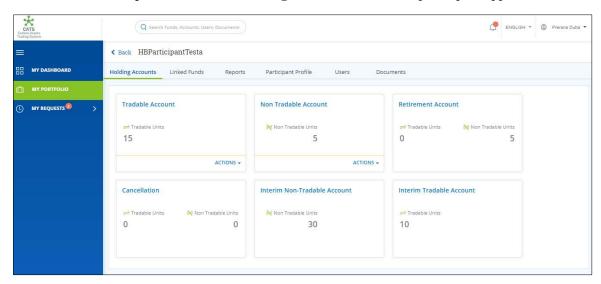
Screenshot 585: My Portfolio page

2. Click the **Participants** tab. The **Participants** list appears.



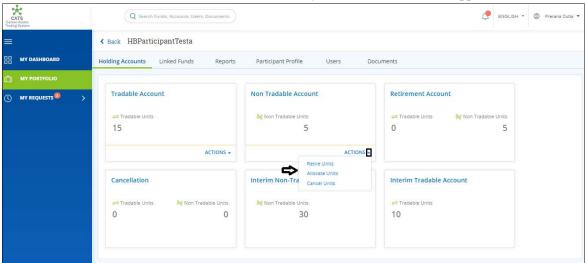
Screenshot 586: Participants area

3. Click the **Participant Name**. The **Holding Accounts** area of the participant appears.



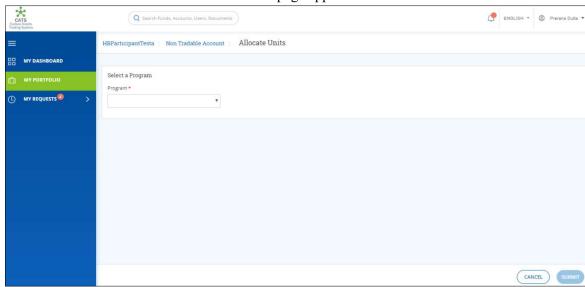
Screenshot 587: Participant-Holding Accounts area

4. In the **Non Tradable Account** box, click the *symbol. A list of actions appears.



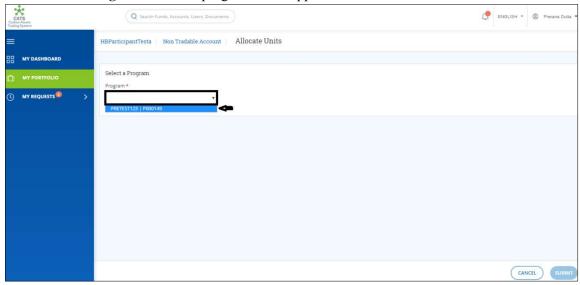
Screenshot 588: Participant-Holding Accounts area

5. Click Allocate Units. The Allocate Units page appears.



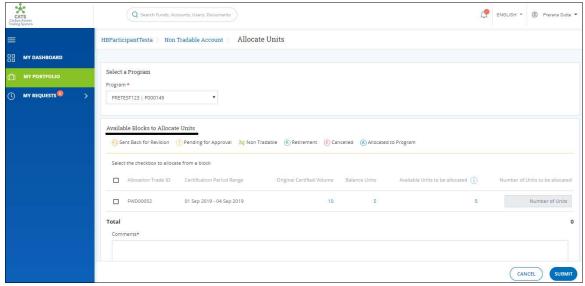
Screenshot 589: Allocate Units page

6. Click **the Program** box. The program name appears.



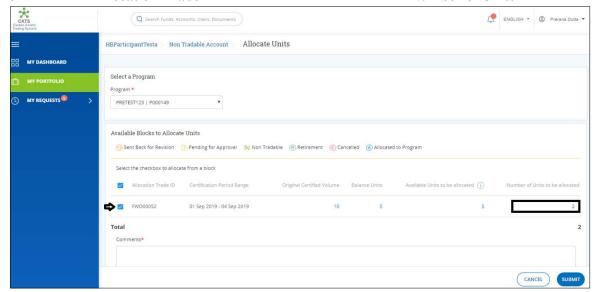
Screenshot 590: Allocate Units page

7. Click the program name. The **Available Blocks to Allocate Units** section appears.



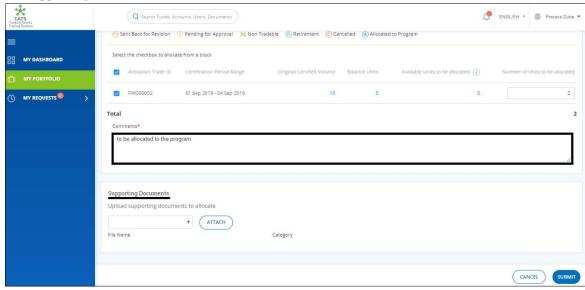
Screenshot 591: Allocate Units page

8. Select the Allocation Trade ID checkbox and enter the units in Number of Units box.



Screenshot 592: Allocate Units page

9. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 593: Allocate Units page

| Restrict Date | Restrict Dat

10. Click SUBMIT. A success message appears. Click OK.

Screenshot 594: Success message

Procedural steps to be followed by the Participant Transaction Approver and Program Transaction Approver:

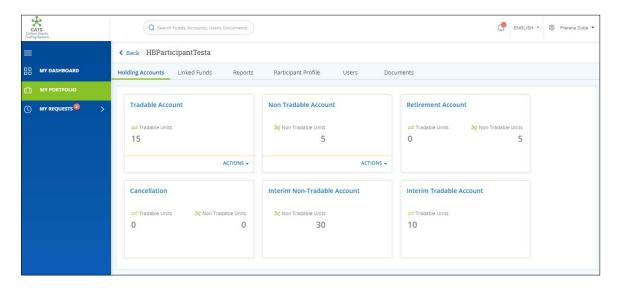
The **Participant Transaction Approver** logs into the CATS application using his e-mail ID and password. He, then needs to follow these steps to approve a transaction.

The request first goes to the **Participant Transaction Approver** and upon his approval, it goes to **Program Transaction Approver** for the final approval.

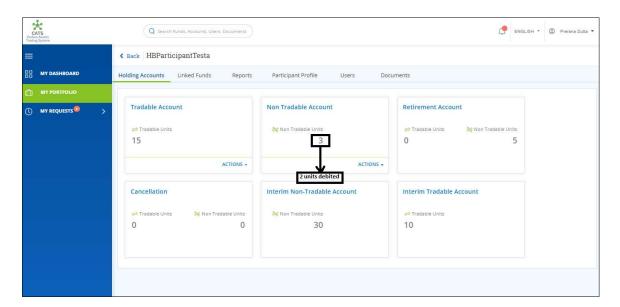
Flow of Units from Participant Non Tradable Account to Program Non Tradable Account:

After both, Participant Transaction Approver and Program Transaction Approver approves the transaction of units, the Participant Transaction Processor receives a system generated e-mail notifying that the transaction is approved. The non-tradable units get debited from the Non-Tradable Account of participant and gets credited into Non Tradable Account of the program.

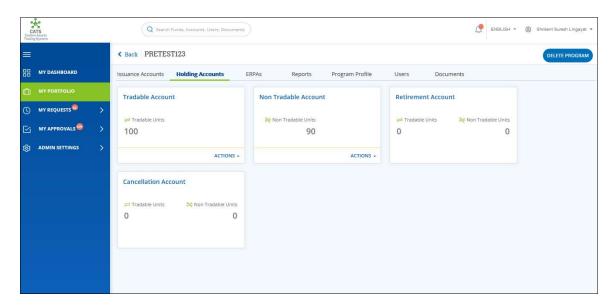
Below are the screenshots that shows the number of units in **Non Tradable Accounts** of participant and program, before and after the transaction.



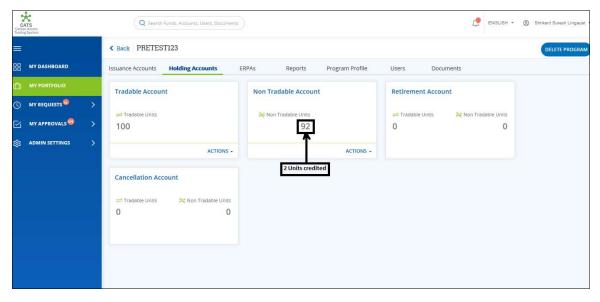
Screenshot 595: Participant Non Tradable Account – Before transaction



Screenshot 596: Participant Non Tradable Account - After transaction



Screenshot 597: Program Non Tradable Account – Before transaction



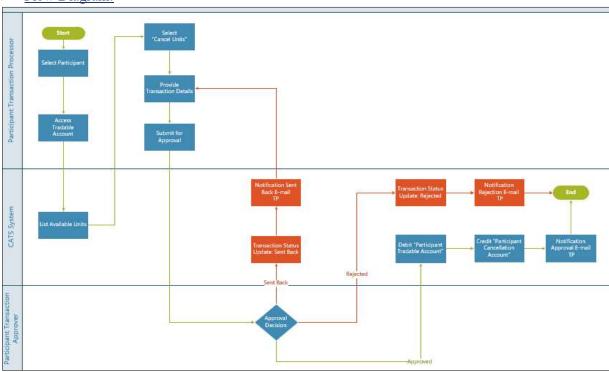
Screenshot 598: Program Non Tradable Account – After transaction

D. Participant Tradable Account - Cancel Units

A user must have the role of **Participant Transaction Processor** to cancel the units from **Participant Tradable Account**. After the transaction is executed, the request is routed to **Participant Transaction Approver**. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

After Participant Transaction Approver approves the transaction, the debited units from Participant Tradable Account gets credited under Tradable Units of Participant Cancellation Account.

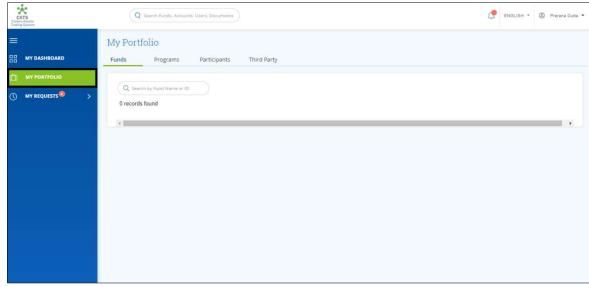
Flow Diagram:



Procedural steps to be followed by the Participant Transaction Processor:

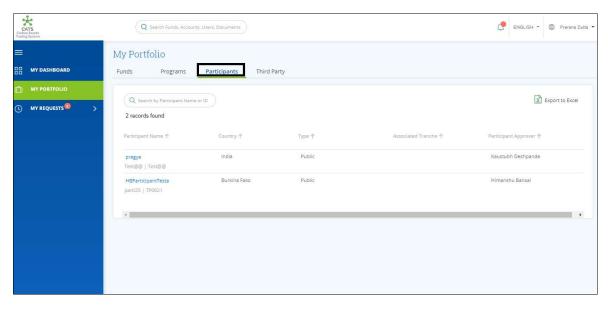
The **Participant Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



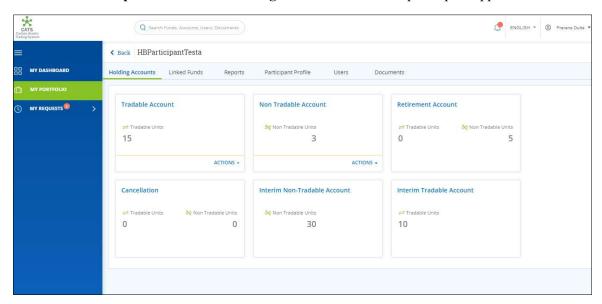
Screenshot 599: My Portfolio page

2. Click the **Participants** tab. The **Participants** list appears.



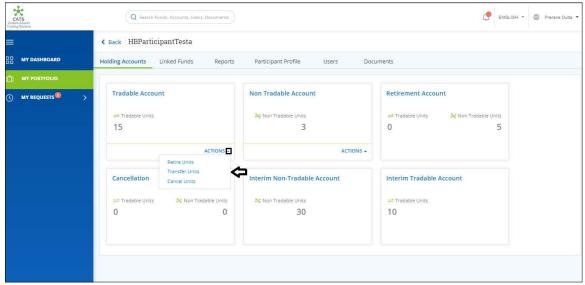
Screenshot 600: Participants area

3. Click a Participant Name. The Holding Accounts area of the participant appears.



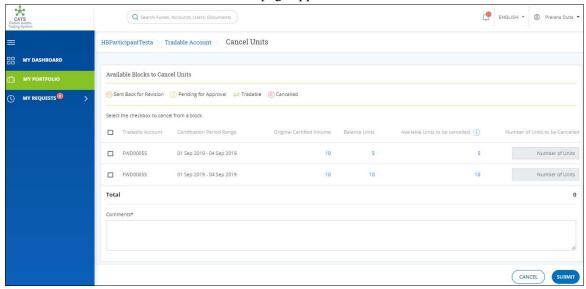
Screenshot 601: Participant-Holding Accounts area

4. In the **Tradable Account** box, click the *symbol. A list of actions appears.



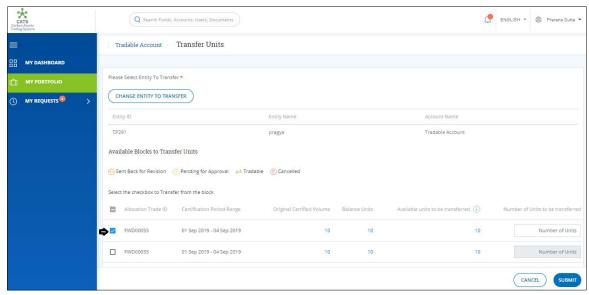
Screenshot 602: Participant-Holding Accounts area

5. Click Cancel Units. The Cancel Units page appears.



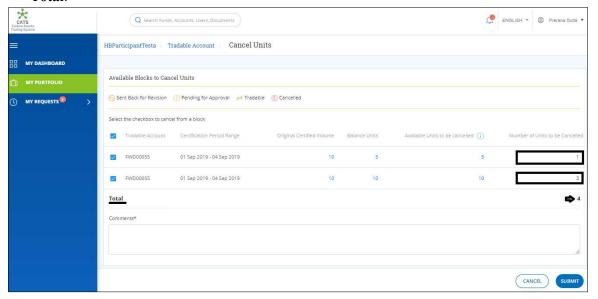
Screenshot 603: Cancel Units page

6. Select the **Tradable Account** checkbox. A participant can select more than one checkbox at a time.



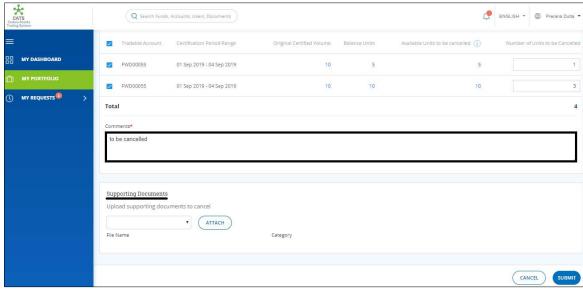
Screenshot 604: Cancel Units page

7. Enter the units in **Number of Units** box. The total number of units gets displayed against **Total**.



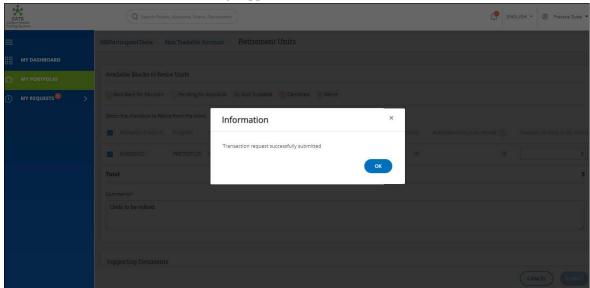
Screenshot 605: Cancel Units page

8. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 606: Cancel Units page

9. Click **SUBMIT**. A success message appears. Click **OK**.



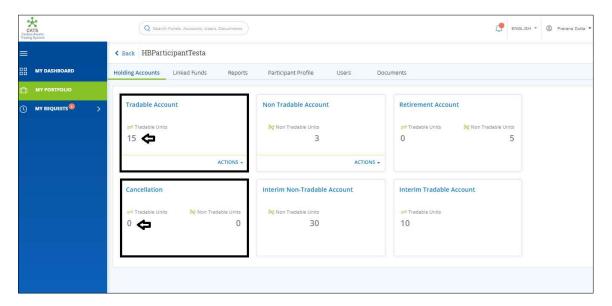
Screenshot 607: Success message

- Procedural steps to be followed by the Participant Transaction Approver:
 The approver logs into the CATS application using his e-mail ID and password. He then needs to follow these steps to approve a transaction.
- Flow of Units from Participant Tradable Account to Cancellation Account:

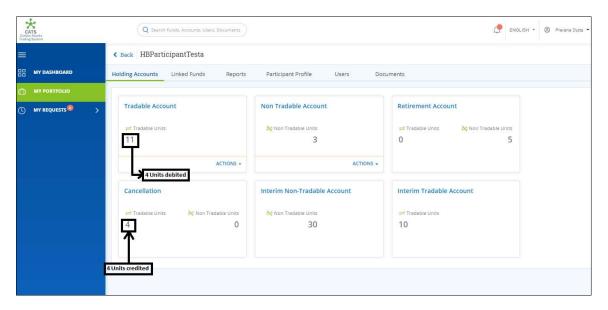
 After the Participant Transaction Approver approves the transaction of units, the

 Participant Transaction Processor receives a system generated e-mail notifying that the
 transaction is approved. The units get debited from the Tradable Account of participant and
 gets credited into Cancellation Account.

Below are the screenshots that shows the number of units in **Tradable Account** and **Cancellation Account**, before and after the transaction.



Screenshot 608: Units before transaction



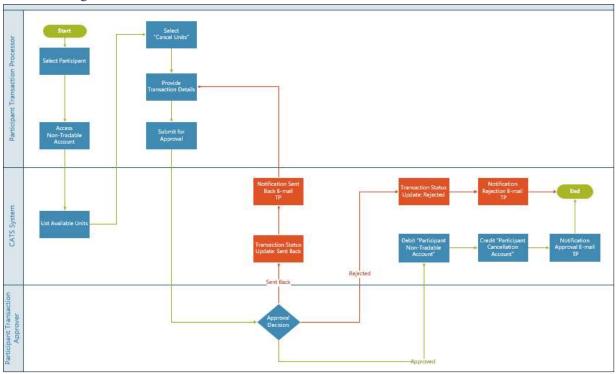
Screenshot 609: Units after transaction

E. Participant Non Tradable Account - Cancel Units

A user must have the role of **Participant Transaction Processor** to cancel the units from **Participant Non Tradable Account**. After the transaction is executed, the request is routed to **Participant Transaction Approver**. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

After Participant Transaction Approver approves the transaction, the debited units from Participant Non Tradable Account gets credited under Non Tradable Units of Participant Cancellation Account.

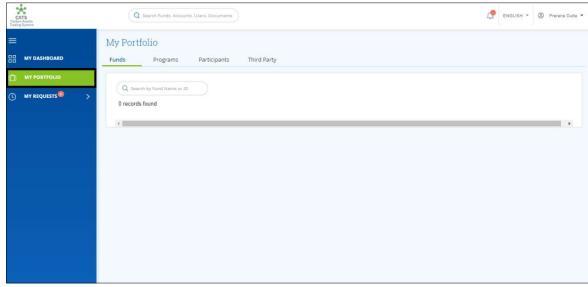
Flow Diagram:



Procedural steps to be followed by the Participant Transaction Processor:

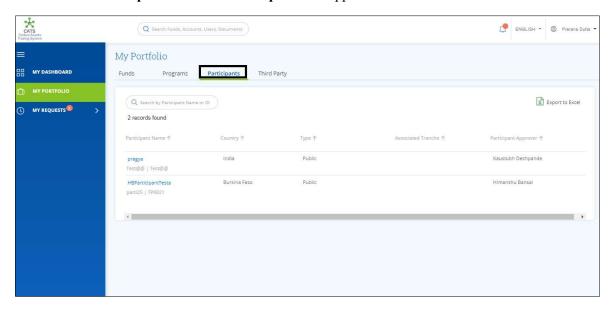
The **Participant Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



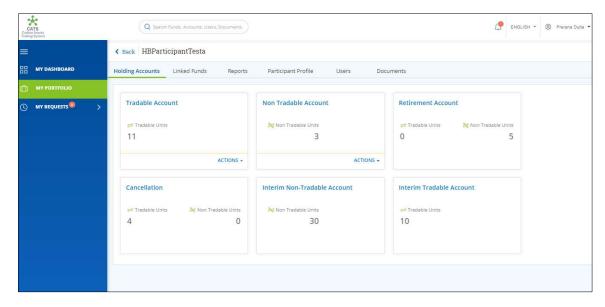
Screenshot 610: My Portfolio page

2. Click the **Participants** tab. The **Participants** list appears.



Screenshot 611: Participants area

3. Click a Participant Name. The Holding Accounts area of the participant appears.



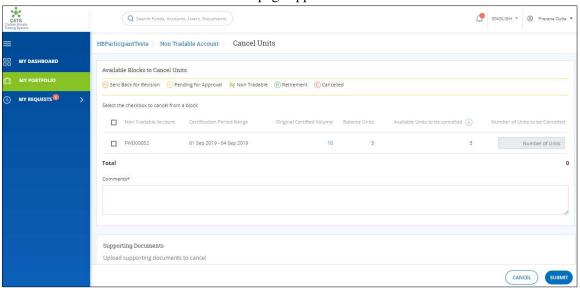
Screenshot 612: Participant-Holding Accounts area

Prerana Dutta ▼ ← Back HBParticipantTesta Holding Accounts Linked Funds Participant Profile MY REQUESTS 1 Tradable Account Non Tradable Account Retirement Account 0 Retire Units
Allocate Units
Interim Non-Tra
Cancel Units Cancellation Interim Tradable Account Non Tradable Units 30 10 0

4. In the **Non Tradable Account** box, click the *symbol. A list of actions appears.

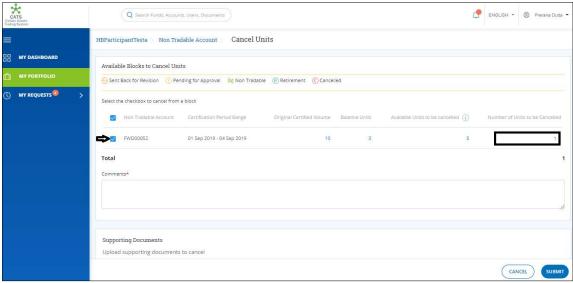
Screenshot 613: Participant-Holding Accounts area

5. Click Cancel Units. The Cancel Units page appears.



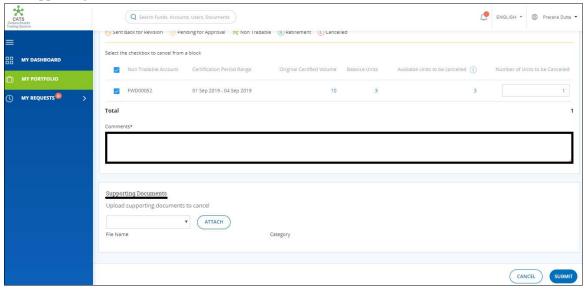
Screenshot 614: Cancel Units page

6. Select the Non Tradable Account checkbox and enter the units in Number of Units box.



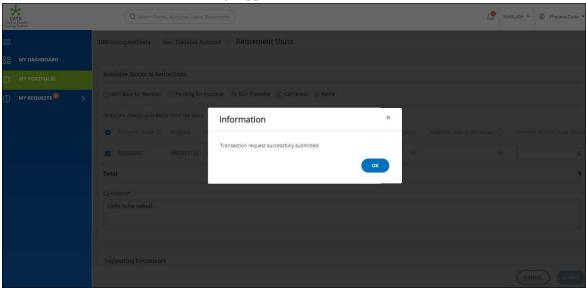
Screenshot 615: Cancel Units page

7. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 616: Cancel Units page

8. Click **SUBMIT**. A success message appears. Click **OK**.



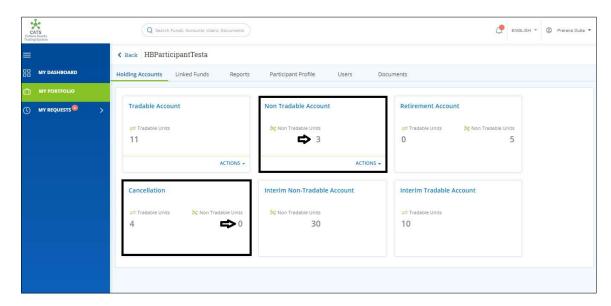
Screenshot 617: Success message

- Procedural steps to be followed by the Participant Transaction Approver:
 The Participant Transaction Approver logs into the CATS application using his e-mail ID and password. He, then needs to follow these steps to approve a transaction.
- Flow of Units from Participant Non Tradable Account to Cancellation Account:

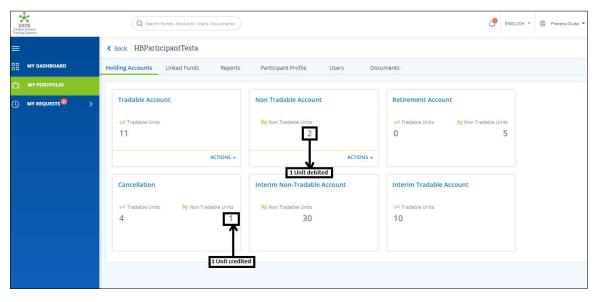
 After the Participant Transaction Approver approves the transaction of units, the

 Participant Transaction Processor receives a system generated e-mail notifying that the
 transaction is approved. The units get debited from the Non Tradable Account of participant
 and gets credited into the Cancellation Account.

Below are the screenshots that shows the number of units in **Non Tradable Account** and **Cancellation Account**, before and after the transaction.



Screenshot 618: Units before transaction



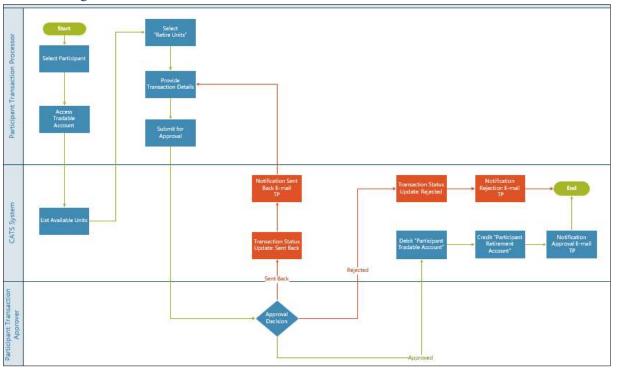
Screenshot 619: Units after transaction

F. Participant Tradable Account - Retire Units

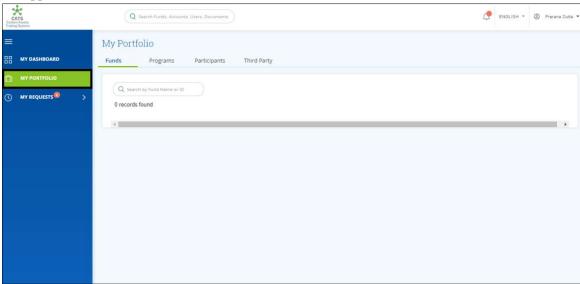
A Participant Transaction Processor can retire the units which are incapable of trading, from Participant Tradable Account. After the transaction is executed, the request is routed to Participant Transaction Approver. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

Upon the approval of Participant Approver, the retired units get credited into the **Retirement Account** of the same participant.

Flow Diagram:

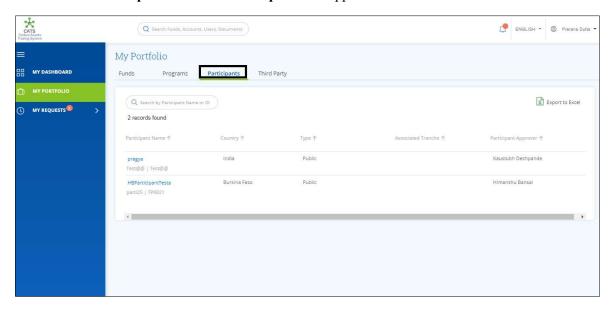


- Procedural steps to be followed by the Participant Transaction Processor:
 The Participant Transaction Processor logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



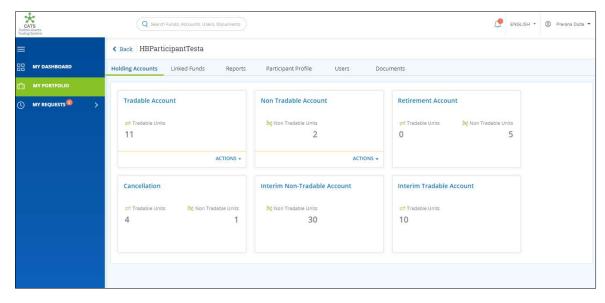
Screenshot 620: My Portfolio page

2. Click the **Participants** tab. The **Participants** list appears.



Screenshot 621: Participants area

3. Click the **Participant Name**. The **Holding Accounts** area of the participant appears.



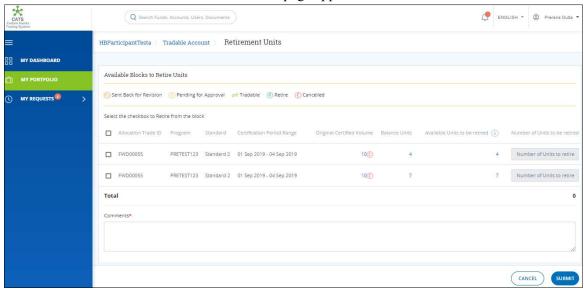
Screenshot 622: Participant-Holding Accounts area

● ENGLISH ▼ ② Prerana Dutta ▼ ← Back HBParticipantTesta Tradable Account Non Tradable Account Retirement Account 0 11 ACTIONS -ACTIONS + Interim Non-Tradable Account Interim Tradable Account Cancellation 10

4. In the **Tradable Account** box, click the symbol. A list of actions appears.

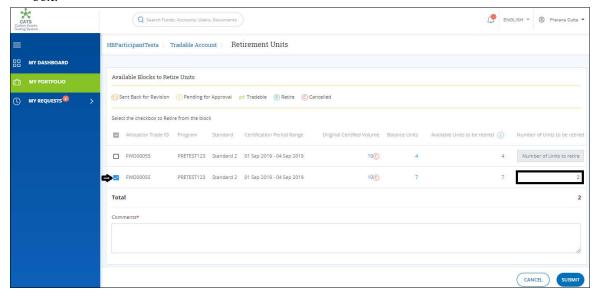
Screenshot 623: Participant-Holding Accounts area

5. Click **Retire Units.** The **Retirement Units** page appears.



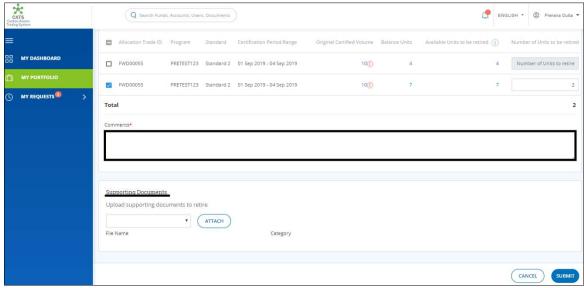
Screenshot 624: Retirement Units page

6. Select the **Allocation Trade ID** checkbox and enter the units in **Number of Units to retire** box.



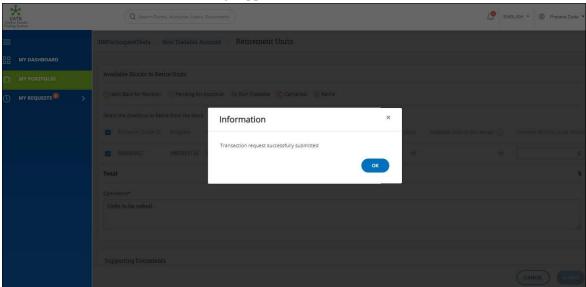
Screenshot 625: Retirement Units page

7. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



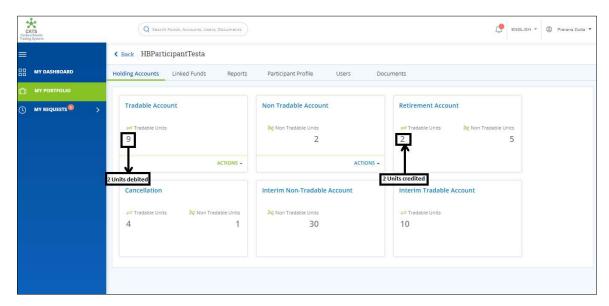
Screenshot 626: Retirement Units page

8. Click SUBMIT. A success message appears. Click OK.



Screenshot 627: Success message

- Procedural steps to be followed by the Participant Transaction Approver:
 The Participant Transaction Approver logs into the CATS application using his e-mail ID and password. He, then needs to follow these steps to approve a transaction.
- Flow of Units from Participant Tradable Account to Participant Retirement Account:
 After the Participant Transaction Approver approves the transaction of units, the
 Participant Transaction Processor receives a system generated e-mail notifying that the
 transaction is approved. The non-tradable units get debited from the Tradable Account and
 are credited into the Retirement Account.



Screenshot 628: Debit and credit of units

xii. Third Party Holding Account (Transactions)

Below transactions/activities can be executed from a Third Party Holding Account:

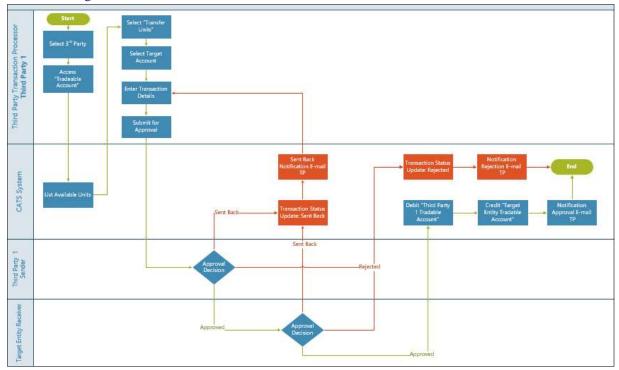
- Third Party Tradable Account Transfer Units
- Third Party Tradable Account Cancel Units

A. Third Party Tradable Account - Transfer Units

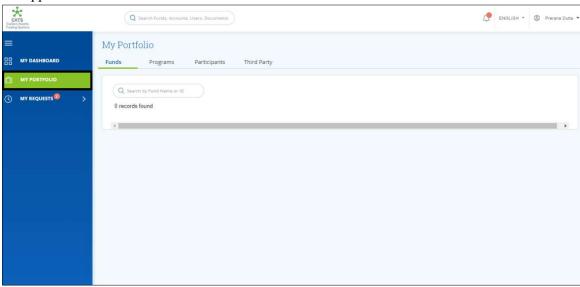
For the transaction to happen, there must be some units in the **Third Party Tradable Account**. A user must have the role of **Third Party Transaction Processor** to transfer units from **Third Party Tradable Account** to any other entity's (Participant or Third Party) tradable account.

After the transaction is executed, the request is routed first to the **Third Party Transaction Approver** of the sender's account and then goes to the **Participant or Third party Transaction Approver** (based on the entity) of the receiver's account for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:

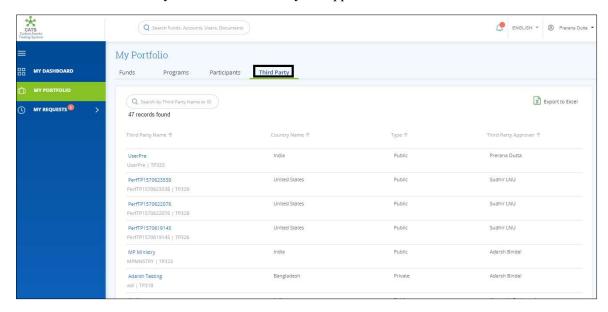


- Procedural steps to be followed by the Third Party Transaction Processor:
 The Third Party Transaction Processor logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



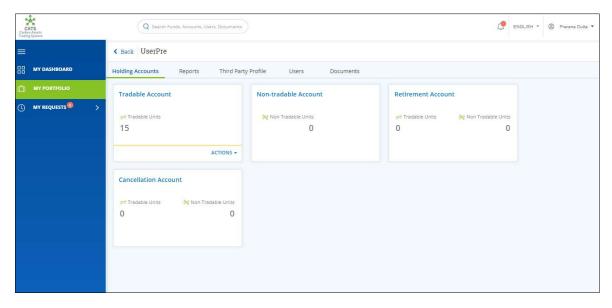
Screenshot 629: My Portfolio page

2. Click the **Third Party** tab. The **Third Party** list appears.



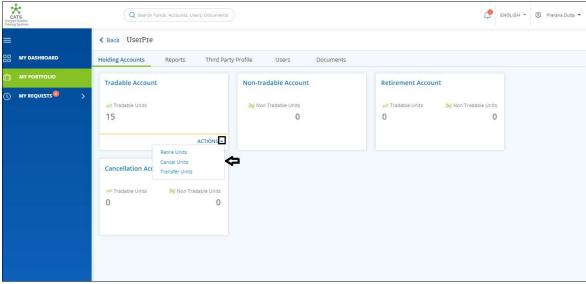
Screenshot 630: Third Party area

3. Click the **Third Party Name**. The **Holding Accounts** area of the **Third Party** appears.



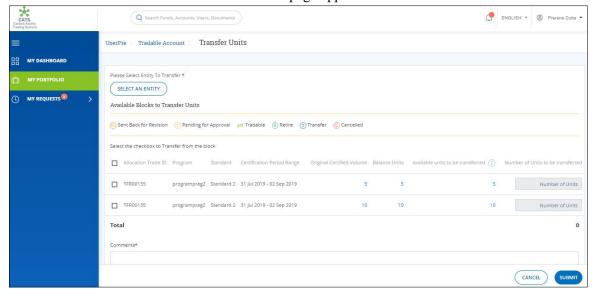
Screenshot 631: Third Party -Holding Accounts area

4. In the **Tradable Account** box, click the symbol. A list of actions appears.



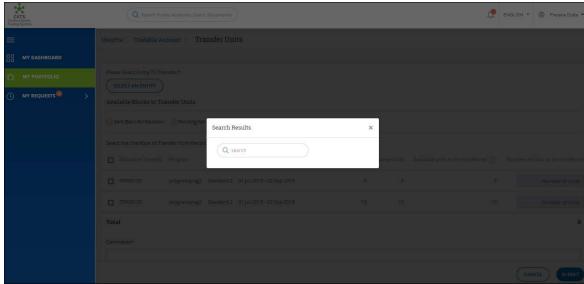
Screenshot 632: Third Party -Holding Accounts area

5. Click Transfer Units. The Transfer Units page appears.



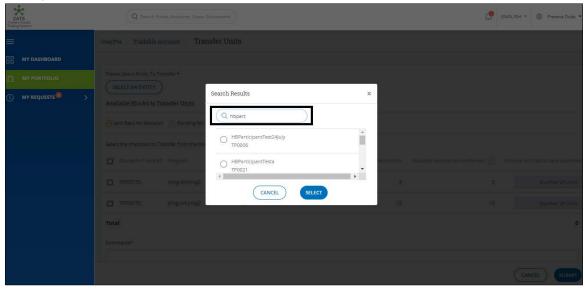
Screenshot 633: Transfer Units page

6. Click **SELECT AN ENTITY**. The **Search Results** dialog box appears.



Screenshot 634: Transfer Units page

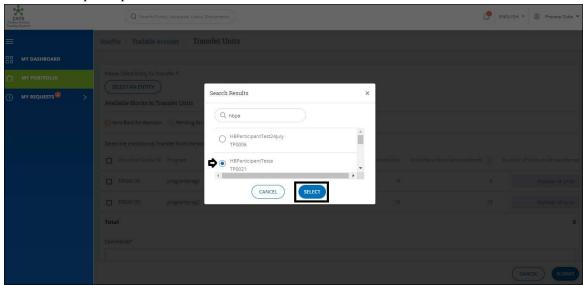
7. Search the name of the participant whom you want to send the tradable units, by typing a keyword in the **Search** box.



Screenshot 635: Transfer Units page

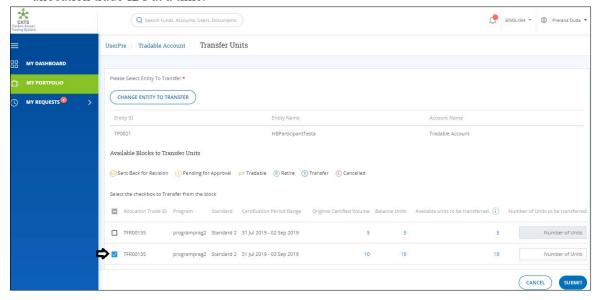
NOTE: The Third Party can also transfer the tradable account units to another third party.

8. Click the participant's name and click **SELECT.**



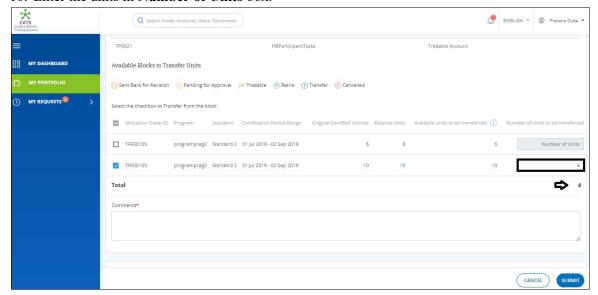
Screenshot 636: Transfer Units page

9. Select the **Allocation Trade ID** checkbox. A participant can select more than one allocation trade IDs at a time.



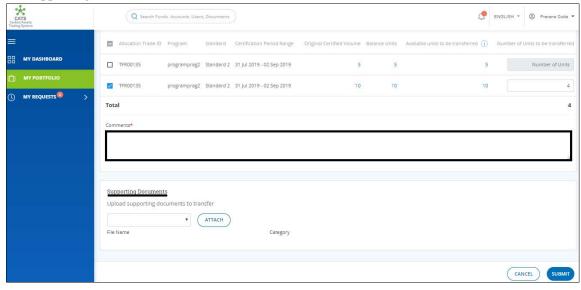
Screenshot 637: Transfer Units page

10. Enter the units in **Number of Units** box.



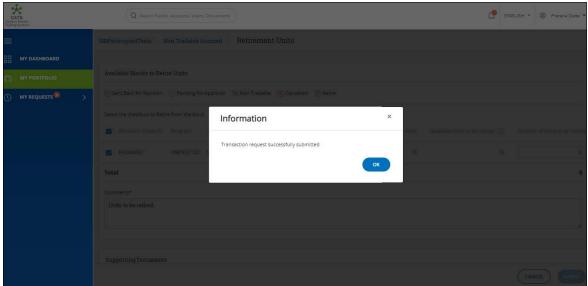
Screenshot 638: Transfer Units page

11. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 639: Transfer Units page

12. Click **SUBMIT**. A success message appears. Click **OK**.



Screenshot 640: Success message

Procedural steps to be followed by the Third Party Transaction Approver and Participant Transaction Approver:

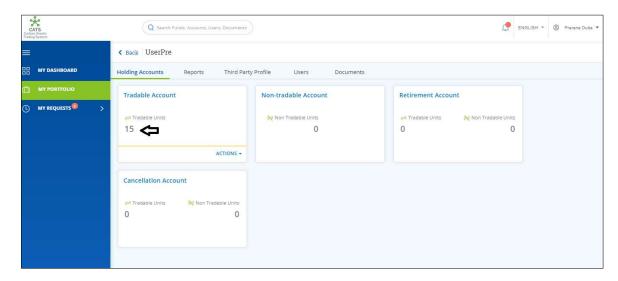
The transaction request first gets triggered to the **Third Party Approver** of the sender's account. After the first approver approves the transaction, the request then goes to the **Participant Transaction Approver**, as the receiver entity is a participant. Both the approvers need to follow <u>these</u> steps, to approve the transaction request.

Flow of Units from Third Party Tradable Account to Participant Tradable Account:

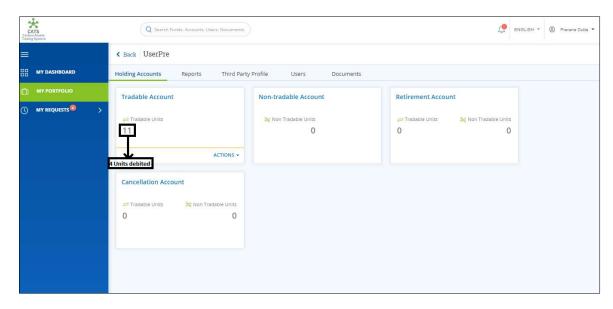
After both the approvers approves the transaction of units, the Third Party Transaction

Processor receives a system generated e-mail notifying that the transaction is approved. The tradable units get debited from the Third Party Tradable Account and gets credited into Tradable Account of the participant.

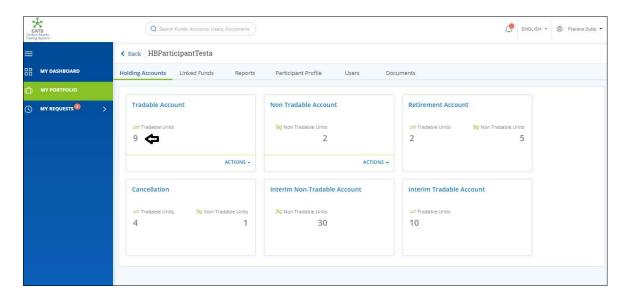
Below are the screenshots that shows the number of units in **Tradable Accounts** of third party and participant, before and after the transaction.



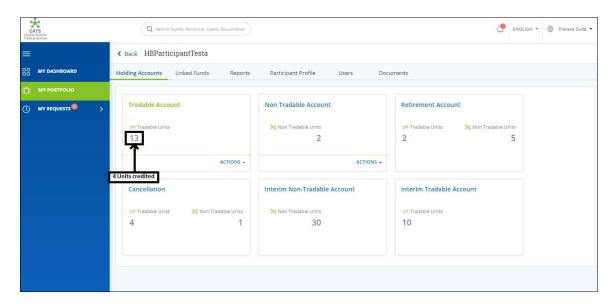
Screenshot 641: Third Party Tradable Account – Before transaction



Screenshot 642: Third Party Tradable Account – After transaction



Screenshot 643: Participant Tradable Account – Before transaction



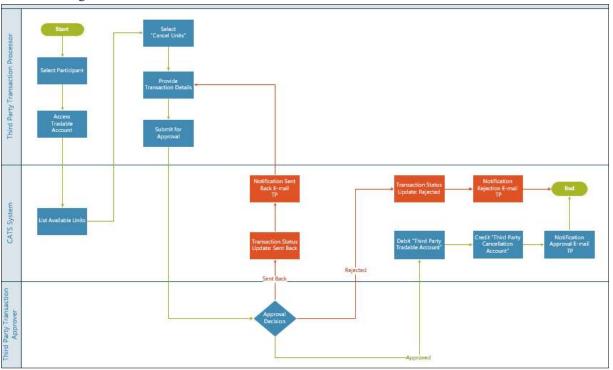
Screenshot 644: Participant Tradable Account – Before transaction

B. Third Party Tradable Account - Cancel Units

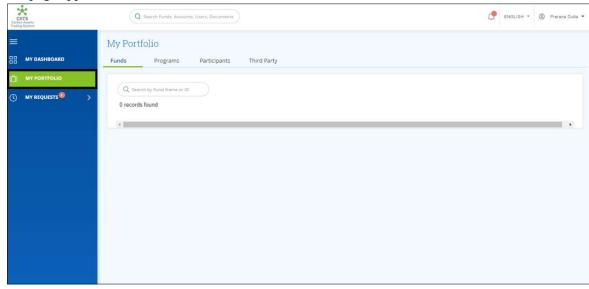
A user must have the role of **Third Party Transaction Processor** to cancel the units from **Third Party Tradable Account**. After the transaction is executed, the request is routed to **Third Party Transaction Approver**. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

After Third Party Transaction Approver approves the transaction, the debited units from Tradable Account gets credited under Tradable Units of Cancellation Account.

Flow Diagram:

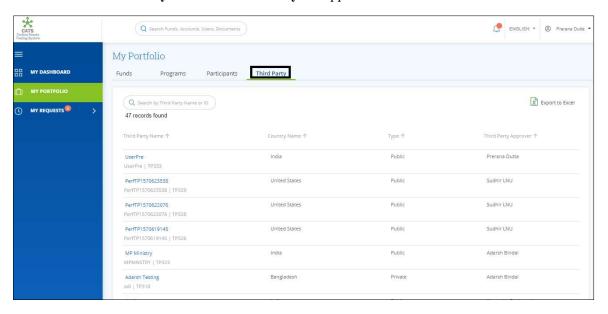


- Procedural steps to be followed by the Third Party Transaction Processor:
 The Third Party Transaction Processor logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



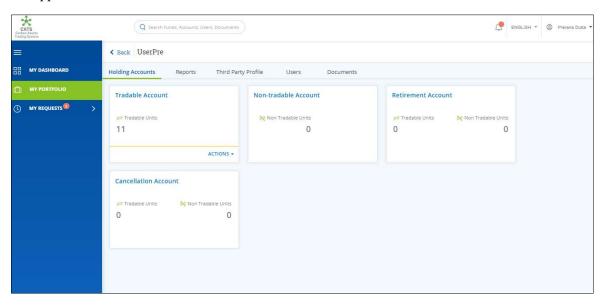
Screenshot 645: My Portfolio page

2. Click the **Third Party** tab. The **Third Party** list appears.



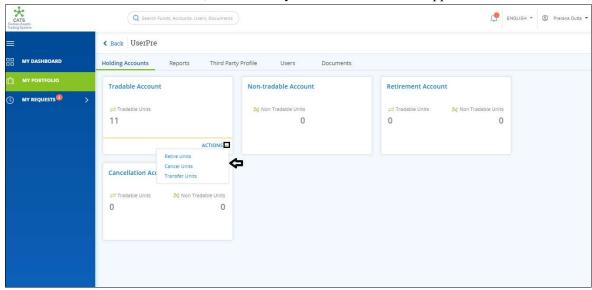
Screenshot 646: Participants area

3. Click a **Third Party Name** from the list. The **Holding Accounts** area of the third party appears.



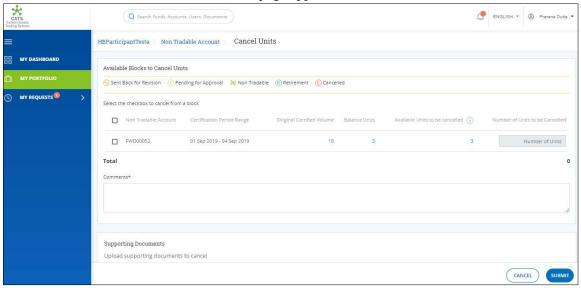
Screenshot 647: Participant-Holding Accounts area

4. In the **Tradable Account** box, click the *symbol. A list of actions appears.



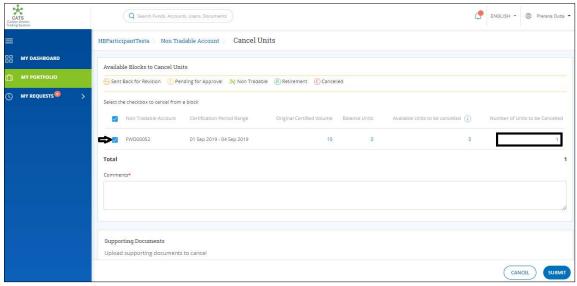
Screenshot 648: Participant-Holding Accounts area

5. Click Cancel Units. The Cancel Units page appears.



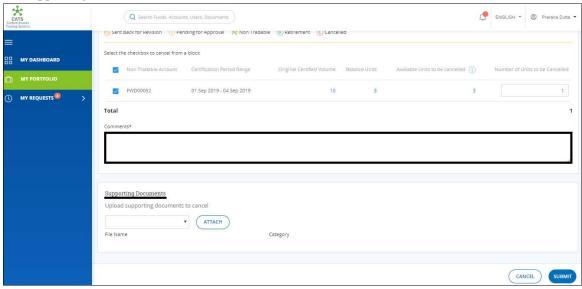
Screenshot 649: Cancel Units page

6. Select the Non Tradable Account checkbox and enter the units in Number of Units box.



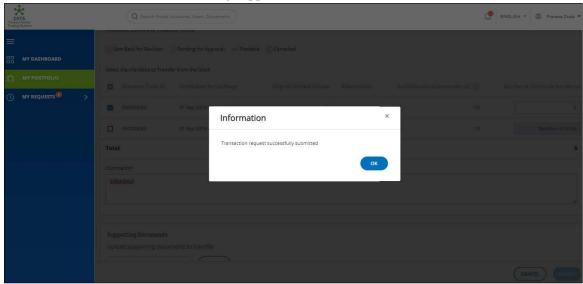
Screenshot 650: Cancel Units page

7. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 651: Cancel Units page

8. Click **SUBMIT**. A success message appears. Click **OK**.



Screenshot 652: Success message

Procedural steps to be followed by the Participant Transaction Approver:

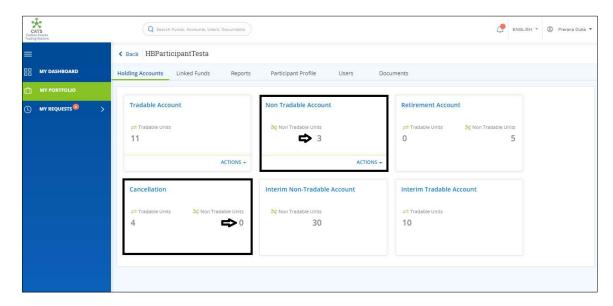
The Participant Transaction Approver must have the role of Program_Participant_ThirdParty Approver to approve, reject or send the request back for revision.

The approver logs into the CATS application using his e-mail ID and password. He, then needs to follow the same steps as in <u>Procedural steps to be followed by Program Participant ThirdParty Approver.</u>

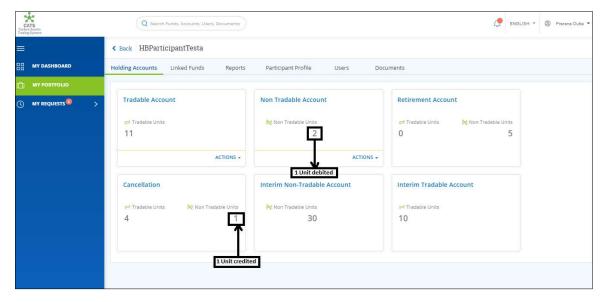
Flow of Units from Participant Non Tradable Account to Cancellation Account:

After the **Participant Transaction Approver** approves the transaction of units, the **Participant Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The units get debited from the **Non Tradable Account** of participant and gets credited into the **Cancellation Account**.

Below are the screenshots that shows the number of units in **Non Tradable Account** and **Cancellation Account**, before and after the transaction.



Screenshot 653: Units before transaction



Screenshot 654: Units after transaction

xiii. Program Holding Account (Transactions)

Below transactions/activities can be executed from a Program Holding Account:

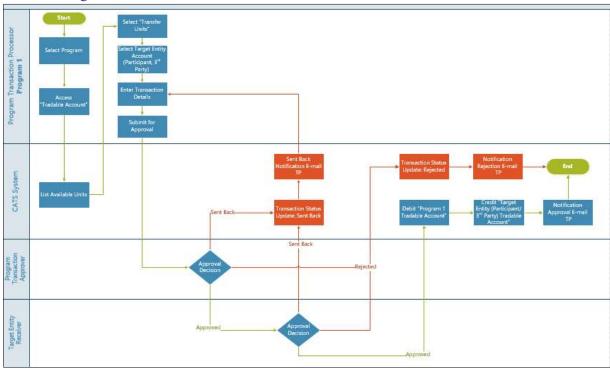
- Program Tradable Account Transfer Units
- Program Non-Tradable Account Retire Units
- Program Tradable Account Cancel Units
- Program Non-Tradable Account Cancel Units
- Program Tradable Account Retire Units

A. Program Tradable Account - Transfer Units

A user must have the role of **Program Transaction Processor** to transfer units from **Program Tradable Account** to any other entity's tradable account. The entity can be either a **Participant** or a **Third Party**. For the transaction to happen, it is necessary that some units are present in the **Program Tradable Account**.

After the transaction is executed, the request is routed first to the **Program Transaction Approver** of the sender's account and then goes to **Participant or Third Party Transaction Approver** (based on the entity) of the receiver's account for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

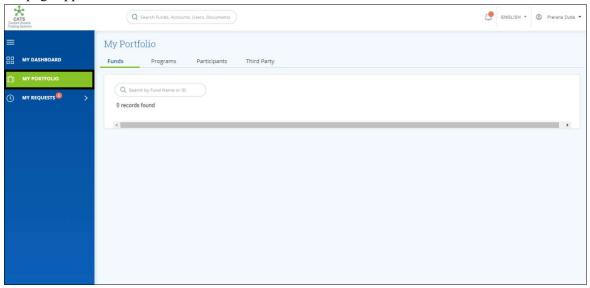
Flow Diagram:



Procedural steps to be followed by the Participant Transaction Processor:

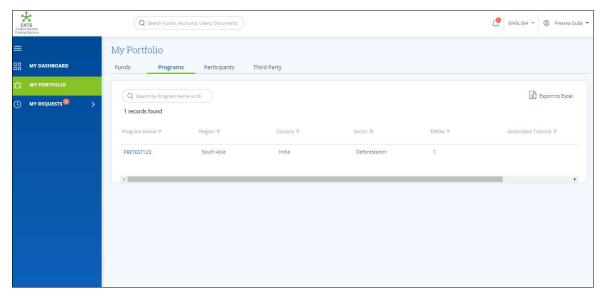
The **Program Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



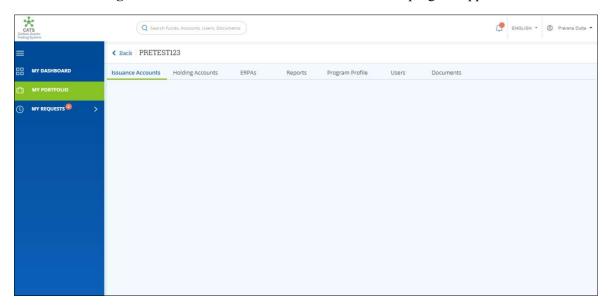
Screenshot 655: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



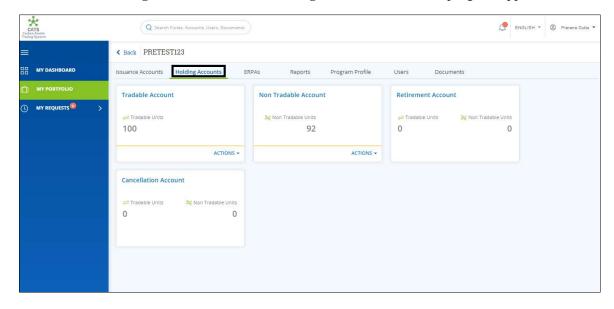
Screenshot 656: Programs list

3. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



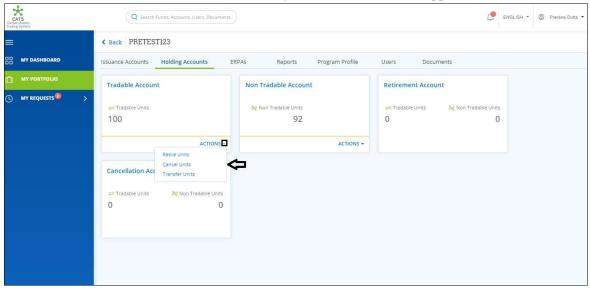
Screenshot 657: Program - Issuance Accounts area

4. Click the **Holding Accounts** tab. The **Holding Accounts** area of the program appears.



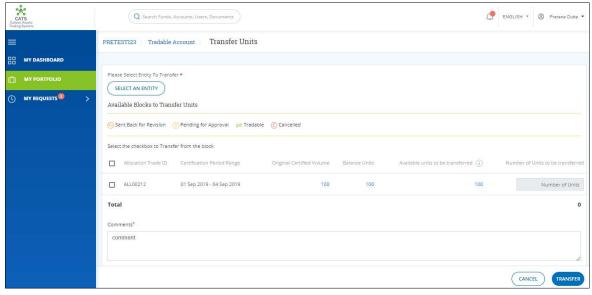
Screenshot 658: Program - Holding Accounts area

5. In the **Tradable Account** box, click the *symbol. A list of actions appears.



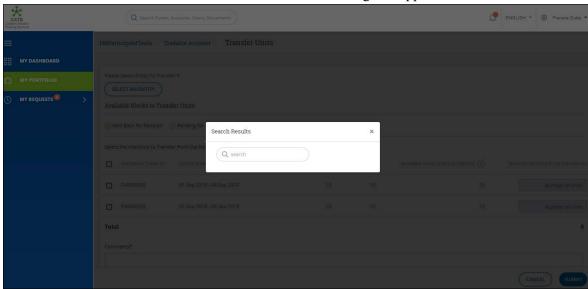
Screenshot 659: Program - Holding Accounts area

6. Click **Transfer Units**. The **Transfer Units** page appears.



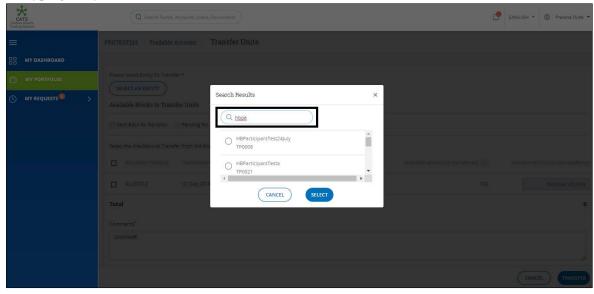
Screenshot 660: Transfer Units page

7. Click **SELECT AN ENTITY**. The **Search Results** dialog box appears.



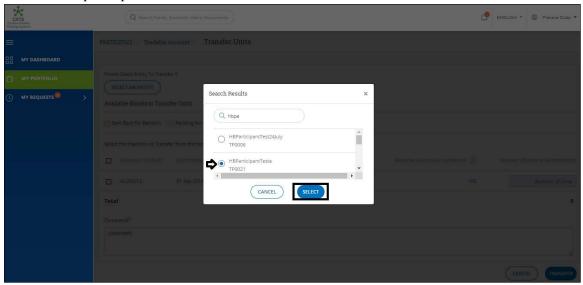
Screenshot 661: Transfer Units page

8. Search the name of a participant or third party who you want to send the tradable units, by typing a keyword in the **Search** box.



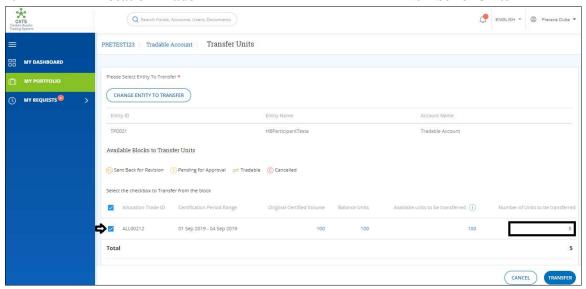
Screenshot 662: Transfer Units page

9. Click the participant's name and click **SELECT**.



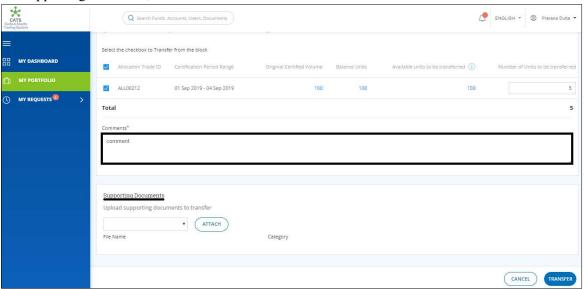
Screenshot 663: Transfer Units page

10. Select the Allocation Trade ID checkbox and enter the units in Number of Units box.



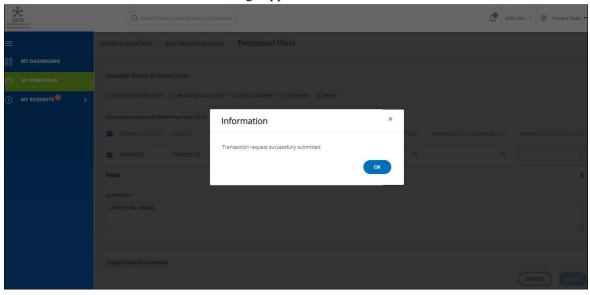
Screenshot 664: Transfer Units page

11. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 665: Transfer Units page

12. Click TRANSFER. A success message appears. Click OK.



Screenshot 666: Success message

Procedural steps to be followed by the Program Transaction Approver and Participant or Third Party Transaction Approver:

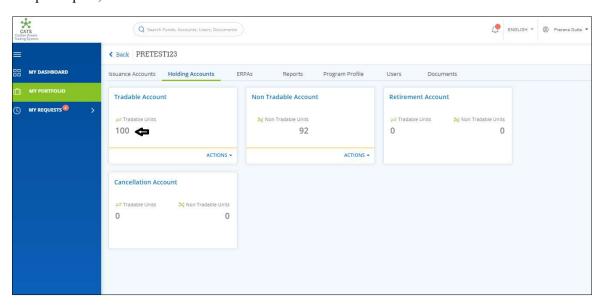
The transaction request first goes to the **Program Transaction Approver** of the sender's account and then goes to **Participant or Third Party Transaction Approver** of the receiver's account (based on the entity selected) for approval. Both the approvers need to follow the <u>same</u> steps that are covered before.

Flow of Units from Program Tradable Account to Participant Tradable Account:

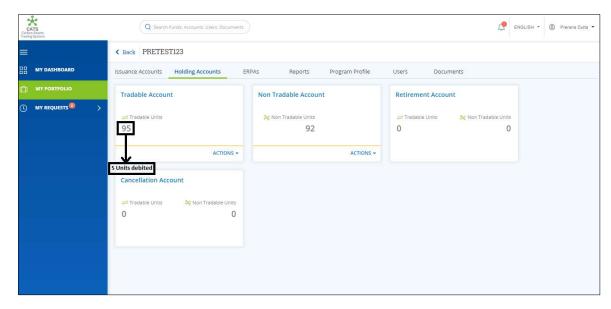
After both the approvers approves the transaction of units, the **Program Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The

tradable units get debited from the **Tradable Account** of program and gets credited into **Tradable Account** of participant.

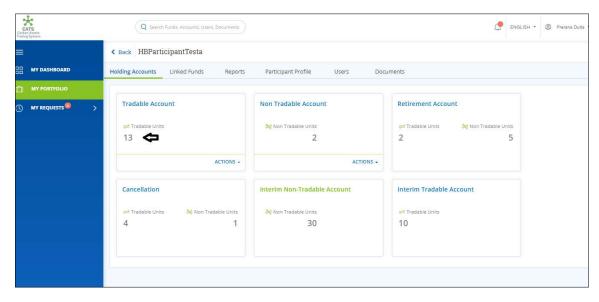
Below are the screenshots that shows the number of units in **Tradable Accounts** of program and participant, before and after the transaction.



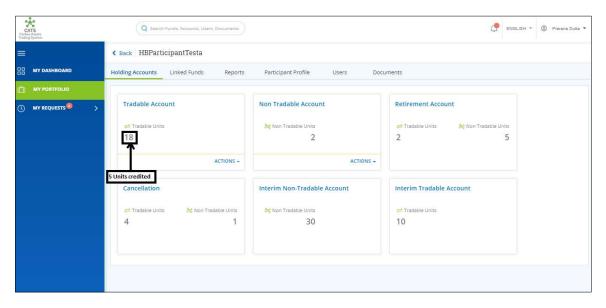
Screenshot 667: Program Tradable Account - Before transaction



Screenshot 668: Program Tradable Account – After transaction



Screenshot 669: Participant Tradable Account – Before transaction



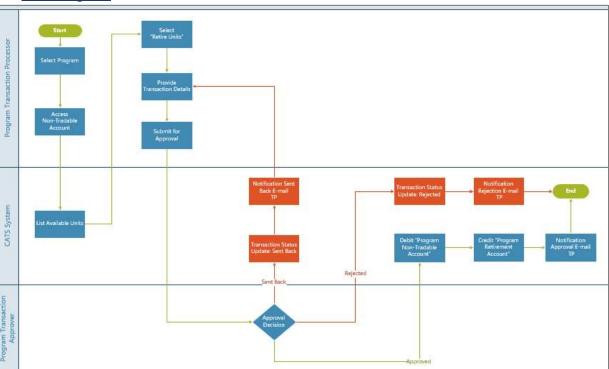
Screenshot 670: Participant Tradable Account – After transaction

B. Program Non Tradable Account - Retire Units

A program Transaction Processor can retire the units which are incapable of trading, from program Non Tradable Account. After the transaction is executed, the request is routed to program Transaction Approver. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

Upon the approval of **Program Transaction Approver**, the retired units get credited into the **Retirement Account** of the same program.

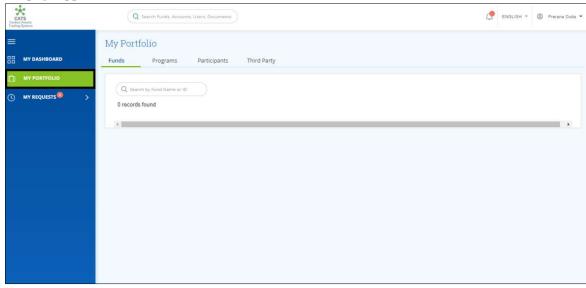
Flow Diagram:



Procedural steps to be followed by the Program Transaction Processor:

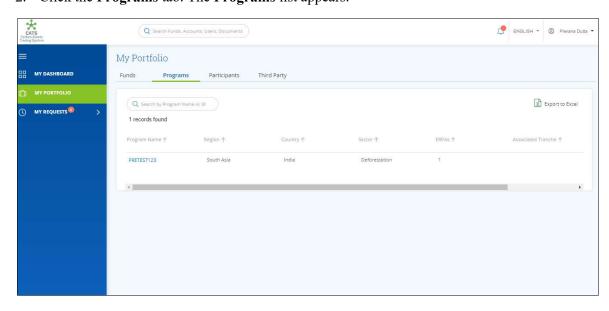
The **Program Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



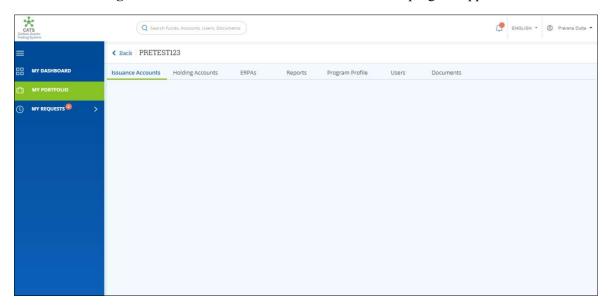
Screenshot 671: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



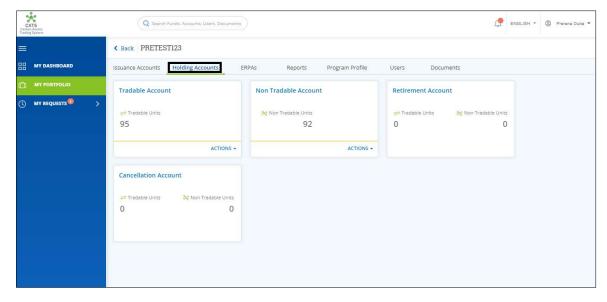
Screenshot 672: Programs list

3. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



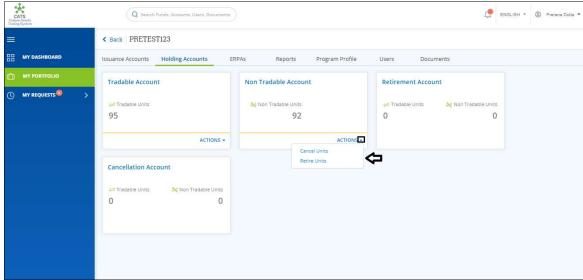
Screenshot 673: Program - Issuance Accounts area

4. Click the **Holding Accounts** tab. The **Holding Accounts** area of the program appears.



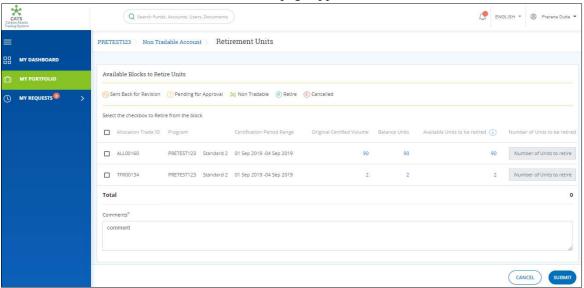
Screenshot 674: Program - Holding Accounts area

5. In the **Non Tradable Account** box, click the *symbol. A list of actions appears.



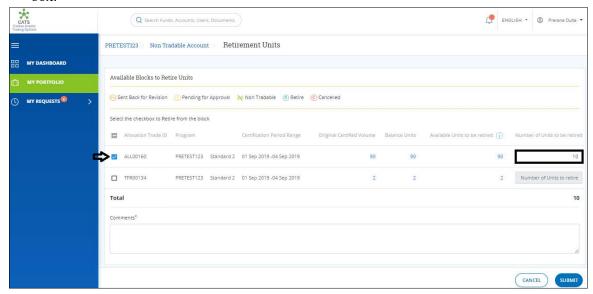
Screenshot 675: Program - Holding Accounts area

6. Click Retire Units. The Retirement Units page appears.



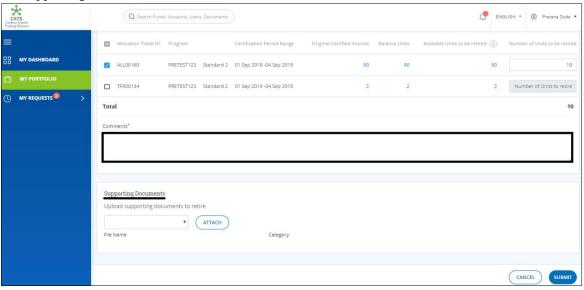
Screenshot 676: Retirement Units page

7. Select the **Allocation Trade ID** checkbox and enter the units in **Number of Units to retire** box.



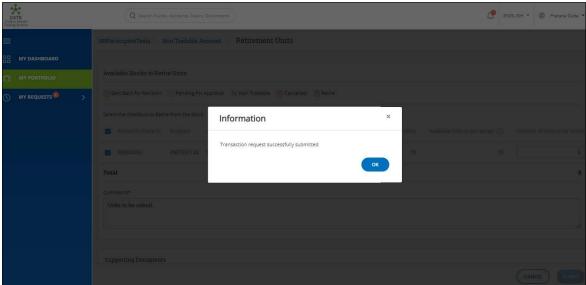
Screenshot 677: Retirement Units page

8. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 678: Retirement Units page

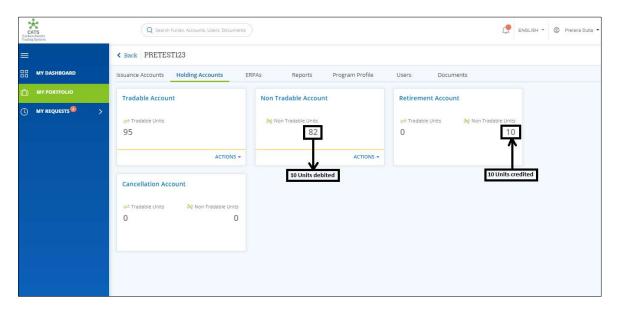
9. Click **SUBMIT**. A success message appears. Click **OK**.



Screenshot 679: Success message

- Procedural steps to be followed by the Program Transaction Approver:
 The Program Transaction Approver logs into the CATS application using his e-mail ID and password. He, then needs to follow these steps to approve a transaction.
- Flow of Units from Non Tradable Account to Retirement Account:

 After the Program Transaction Approver approves the transaction of units, the Program Transaction Processor receives a system generated e-mail notifying that the transaction is approved. The non-tradable units get debited from the Non Tradable Account and are credited into the Retirement Account of the same program.



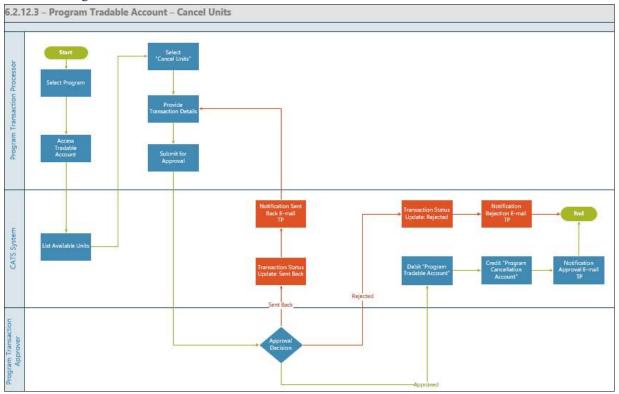
Screenshot 680: Debit and credit of units

C. Program Tradable Account - Cancel Units

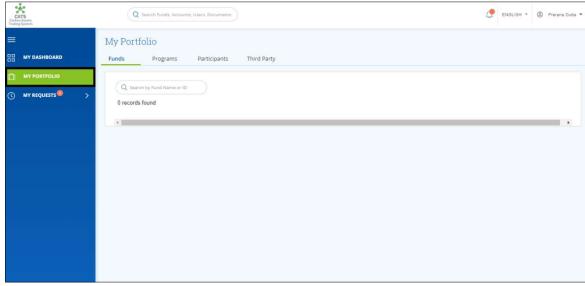
A user must have the role of **Program Transaction Processor** to cancel the units from **Program Tradable Account**. After the transaction is executed, the request is routed to **Program Transaction Approver**. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

After **Program Transaction Approver** approves the transaction, the debited units from **Program Tradable Account** gets credited under **Tradable Units** of **Program Cancellation Account**.

Flow Diagram:

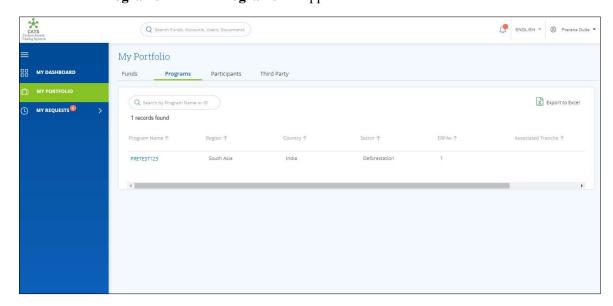


- Procedural steps to be followed by the Program Transaction Processor:
 The Program Transaction Processor logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



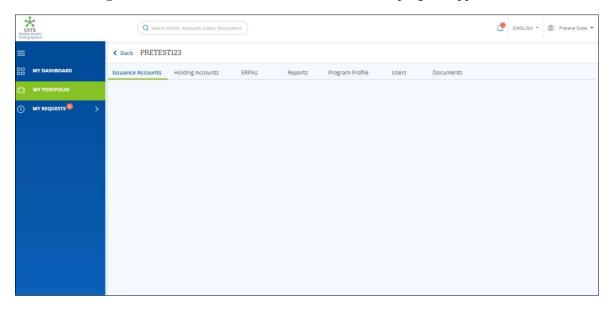
Screenshot 681: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



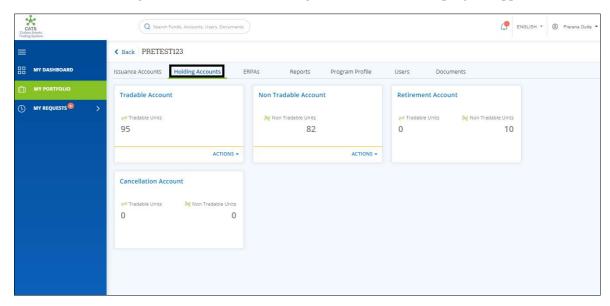
Screenshot 682: Participants area

3. Click a **Program Name**. The **Issuance Accounts** area of the program appears.



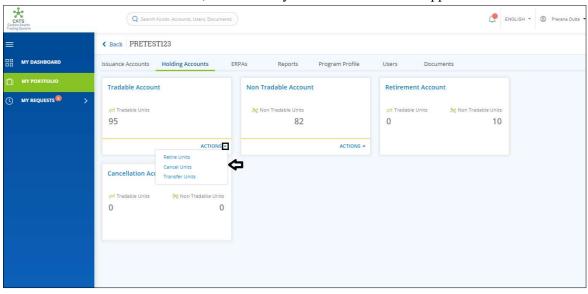
Screenshot 683: Program - Issuance Accounts area

4. Click the **Holding Accounts** tab. The **Holding Accounts** area of the program appears.



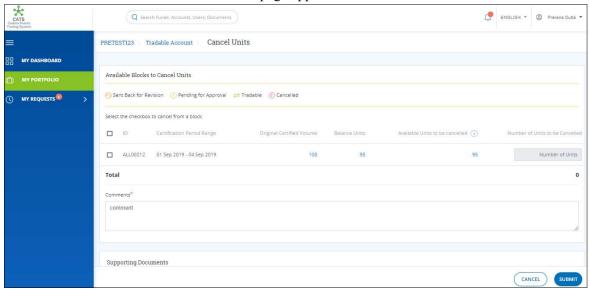
Screenshot 684: Program - Holding Accounts area

5. In the **Tradable Account** box, click the symbol. A list of actions appears.



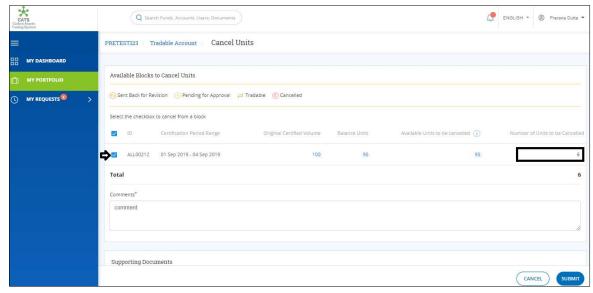
Screenshot 685: Program - Holding Accounts area

6. Click Cancel Units. The Cancel Units page appears.



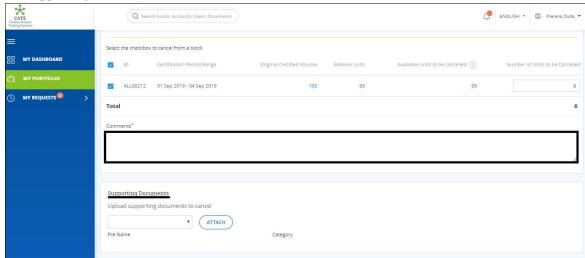
Screenshot 686: Cancel Units page

7. Select the **ID** checkbox and enter the units in **Number of Units** box.



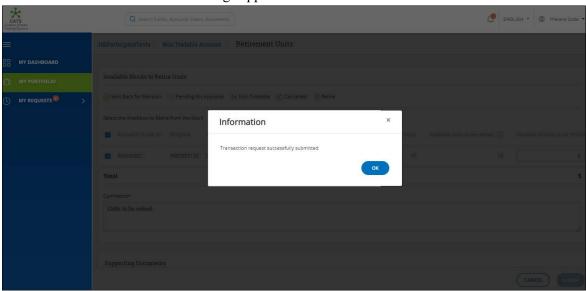
Screenshot 687: Cancel Units page

8. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 688: Cancel Units page

9. Click SUBMIT. A success message appears. Click OK.



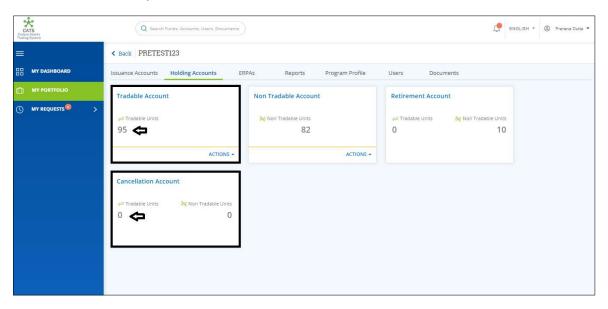
Screenshot 689: Success message

Procedural steps to be followed by the Program Transaction Approver:
The approver logs into the CATS application using his e-mail ID and password He, then needs to follow these steps to approve a transaction.

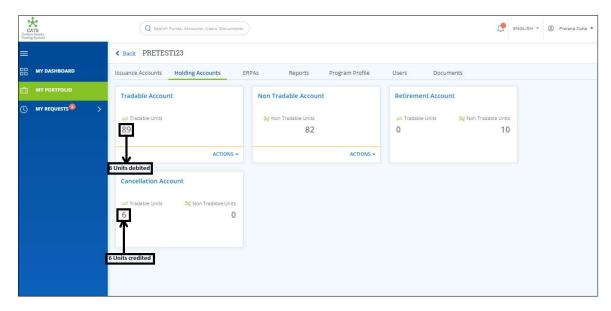
Flow of Units from Program Tradable Account to Cancellation Account:

After the **Program Transaction Approver** approves the transaction of units, the **Program Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The units get debited from the **Tradable Account** of program and gets credited into **Cancellation Account**.

Below are the screenshots that shows the number of units in **Tradable Account** and **Cancellation Account**, before and after the transaction.



Screenshot 690: Units before transaction



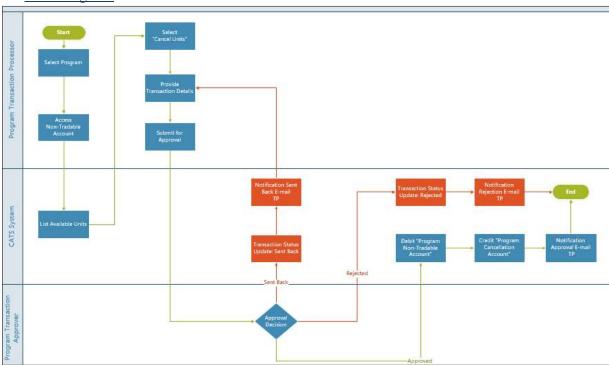
Screenshot 691: Units after transaction

D. Program Non Tradable Account - Cancel Units

A user must have the role of **Program Transaction Processor** to cancel the units from **Program Non Tradable Account**. After the transaction is executed, the request is routed to **Program Transaction Approver**. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

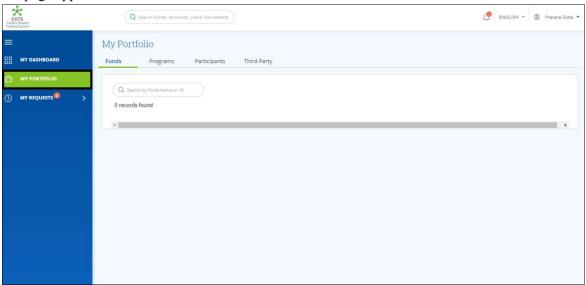
After Program Transaction Approver approves the transaction, the debited units from Program Non Tradable Account gets credited under Non Tradable Units of Program Cancellation Account.

Flow Diagram:



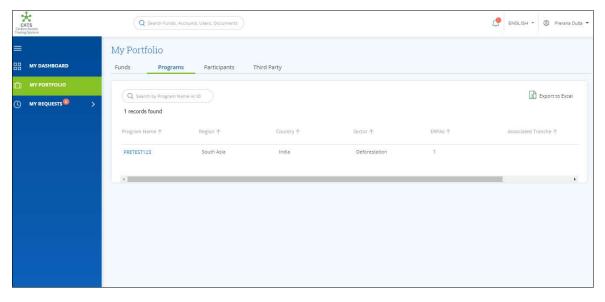
Procedural steps to be followed by the Program Transaction Processor:
The Program Transaction Processor logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



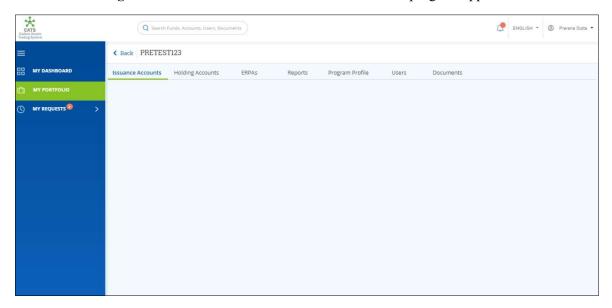
Screenshot 692: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



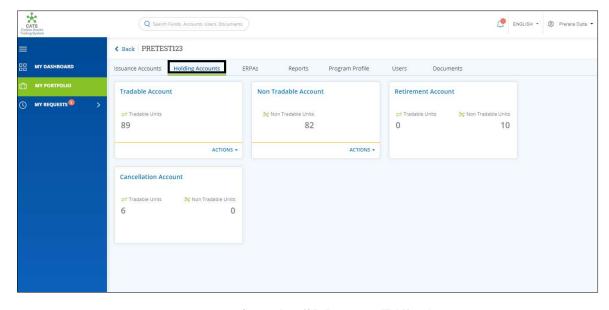
Screenshot 693: Participants area

3. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



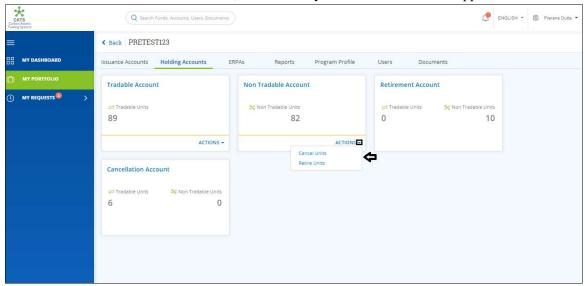
Screenshot 694: Program - Issuance Accounts area

4. Click the **Holding Accounts** tab. The **Holding Accounts** area of the program appears.



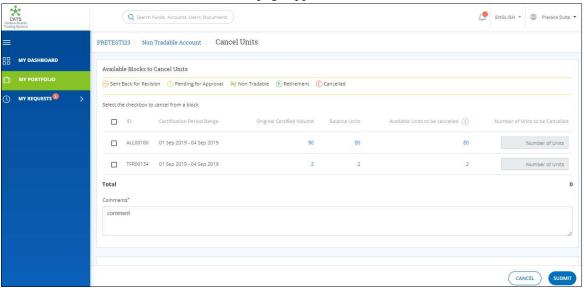
Screenshot 695: Program - Holding Accounts area

5. In the **Non Tradable Account** box, click the *symbol. A list of actions appears.



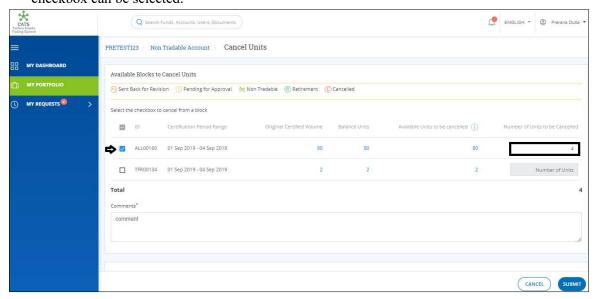
Screenshot 696: Program - Holding Accounts area

6. Click Cancel Units. The Cancel Units page appears.



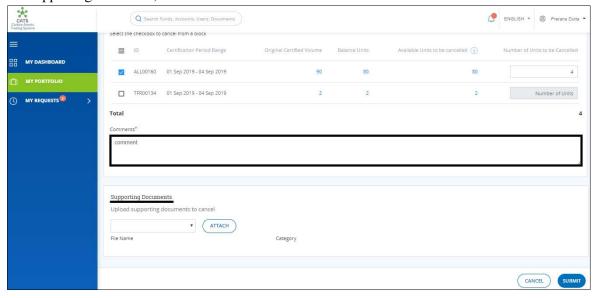
Screenshot 697: Cancel Units page

7. Select the **ID** checkbox and enter the units in **Number of Units** box. More than one checkbox can be selected.



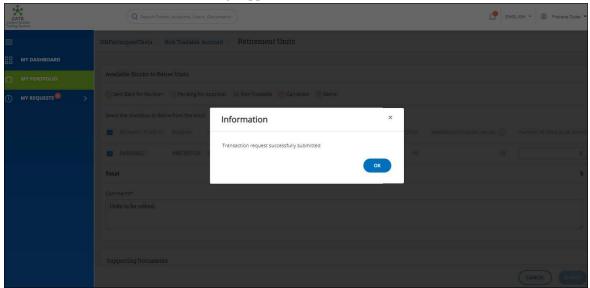
Screenshot 698: Cancel Units page

8. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 699: Cancel Units page

9. Click SUBMIT. A success message appears. Click OK.

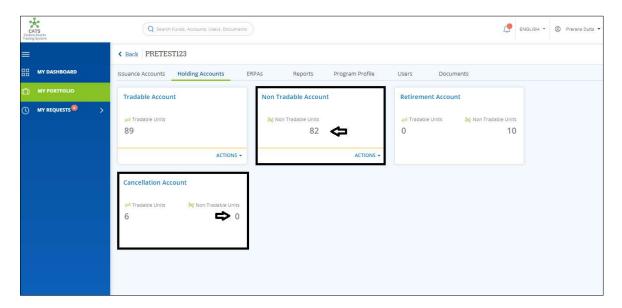


Screenshot 700: Success message

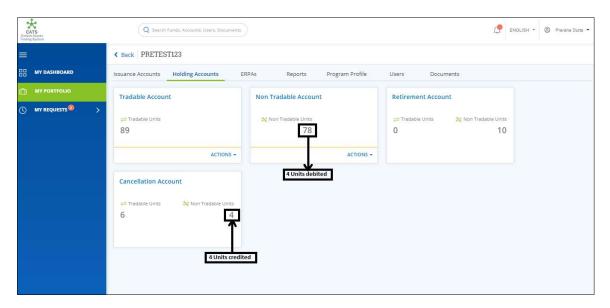
- Procedural steps to be followed by the Program Transaction Approver:
 The approver logs into the CATS application using his e-mail ID and password He, then needs to follow these steps to approve a transaction.
- Flow of Units from Program Non Tradable Account to Cancellation Account:

 After the Program Transaction Approver approves the transaction of units, the Program Transaction Processor receives a system generated e-mail notifying that the transaction is approved. The units get debited from the Non Tradable Account of program and gets credited into Cancellation Account.

Below are the screenshots that shows the number of units in **Non Tradable Account** and **Cancellation Account**, before and after the transaction.



Screenshot 701: Units before transaction



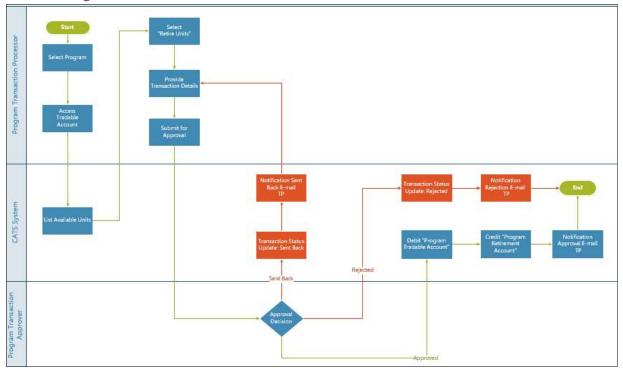
Screenshot 702: Units after transaction

E. Program Tradable Account - Retire Units

A program Transaction Processor can retire the units which are incapable of trading, from program Tradable Account. After the transaction is executed, the request is routed to program Transaction Approver. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

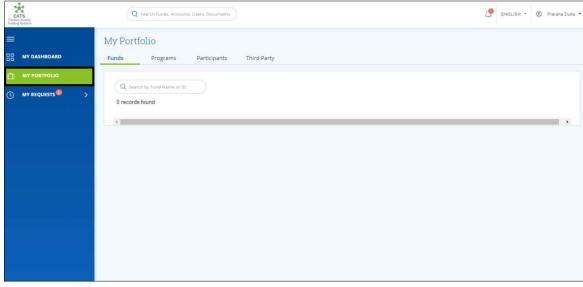
Upon the approval of **Program Transaction Approver**, the retired units get credited into the **Retirement Account** of the same program.

Flow Diagram:



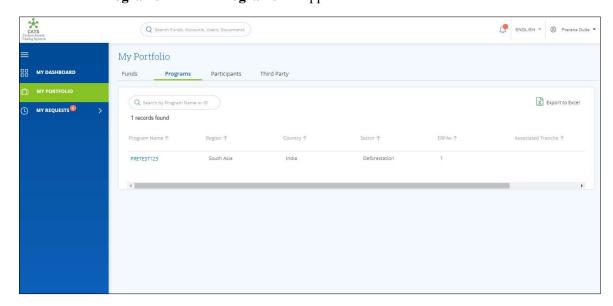
- Procedural steps to be followed by the Program Transaction Processor:

 The Program Transaction Processor logs into the CATS application with his e-mail ID and password.
 - 1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** area of **My Portfolio** page appears.



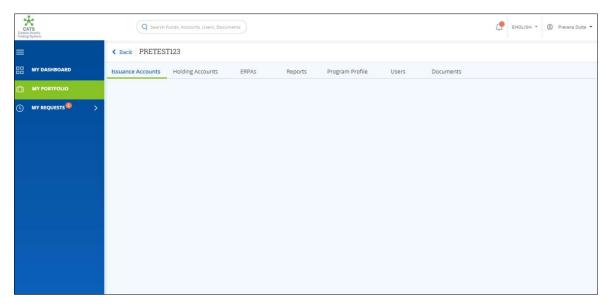
Screenshot 703: My Portfolio page

2. Click the **Programs** tab. The **Programs** list appears.



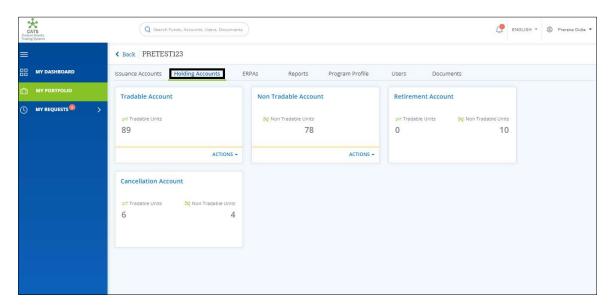
Screenshot 704: Programs list

3. Click the **Program Name**. The **Issuance Accounts** area of the program appears.



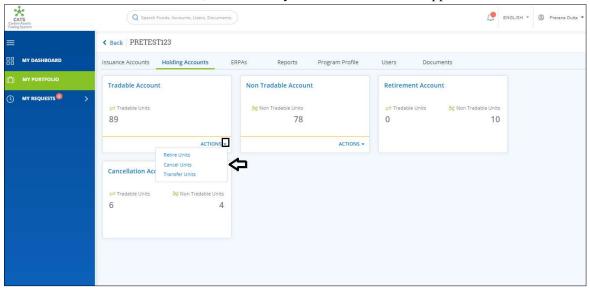
Screenshot 705: Program - Issuance Accounts area

4. Click the **Holding Accounts** tab. The **Holding Accounts** area of the program appears.



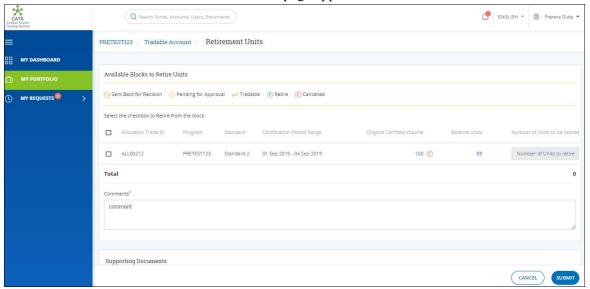
Screenshot 706: Program - Holding Accounts area

5. In the **Tradable Account** box, click the symbol. A list of actions appears.



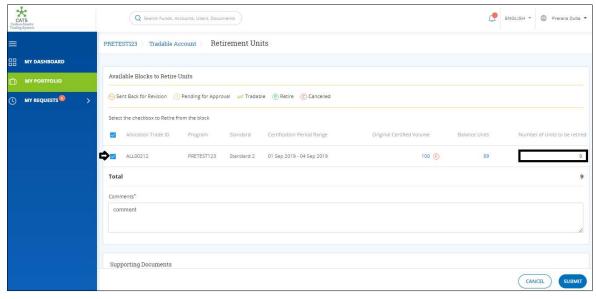
Screenshot 707: Program - Holding Accounts area

6. Click Retire Units. The Retirement Units page appears.



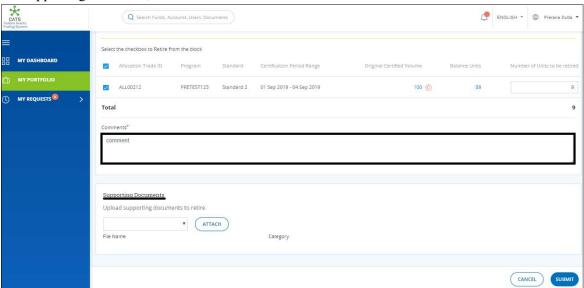
Screenshot 708: Retirement Units page

7. Select the **Allocation Trade ID** checkbox and enter the units in **Number of Units to retire** box.



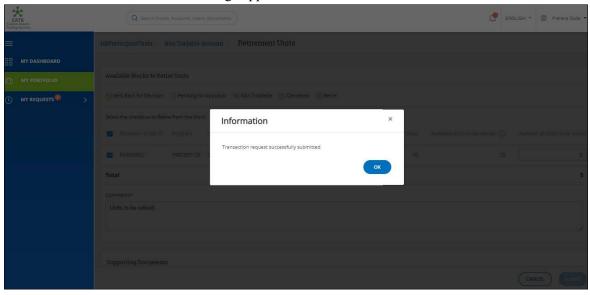
Screenshot 709: Retirement Units page

8. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 710: Retirement Units page

9. Click SUBMIT. A success message appears. Click OK.



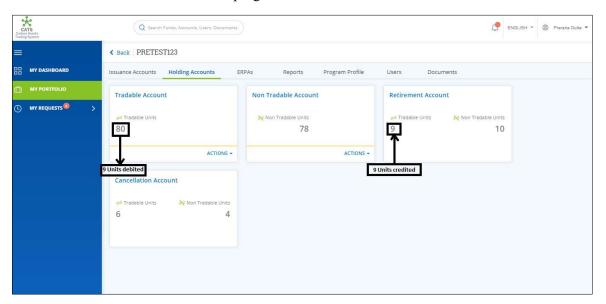
Screenshot 711: Success message

Procedural steps to be followed by the Program Transaction Approver:

The **Program Transaction Approver** logs into the CATS application using his e-mail ID and password. He, then needs to follow these steps to approve a transaction.

Flow of Units from Tradable Account to Retirement Account:

After the **Program Transaction Approver** approves the transaction of units, the **Program Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The non-tradable units get debited from the **Tradable Account** and are credited into the **Retirement Account** of the same program.



Screenshot 712: Debit and credit of units

xiv. Fund Account (Transactions)

Below transactions/activities can be executed from Fund Account:

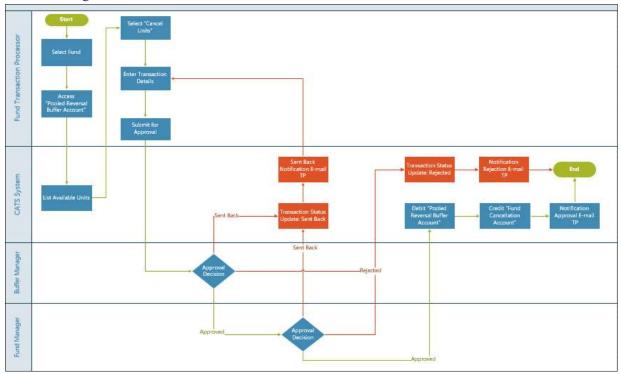
- Fund Account Pooled Reversal Buffer Account (Cancel Units)
- Fund Account Share of Proceeds (SOP) Account (Cancel Units)

A. Fund Account - Pooled Reversal Buffer Account (Cancel Units)

For the transaction to happen, some units must be available in the Fund - Pooled Reversal Buffer Account. A user must have the role of Fund Transaction Processor to transfer units from Pooled Reversal Buffer Account to the Fund - Cancellation Account of the same fund.

After the transaction is executed, the request is routed first to the **Buffer Manager**, and then after his approval it is routed to the **Fund Manager** for approval. Both the approvers have the authority to either Approve, Reject or Send the transaction request back for revision.

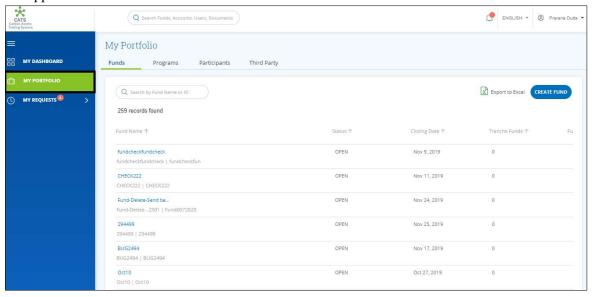
Flow Diagram:



Procedural steps to be followed by the Fund Transaction Processor:

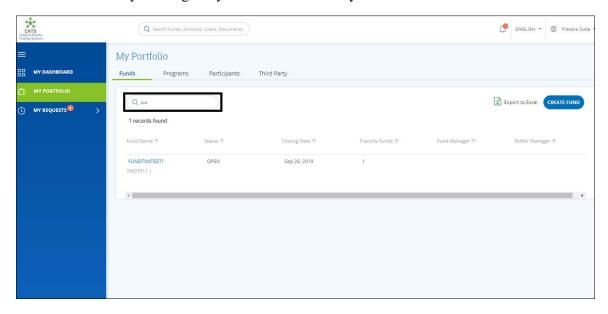
The **Fund Transaction Processor** logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



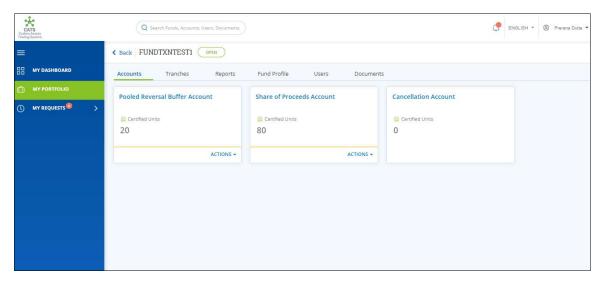
Screenshot 713: Funds list

2. Search a fund by entering a keyword in the Search by Fund Name or ID box.



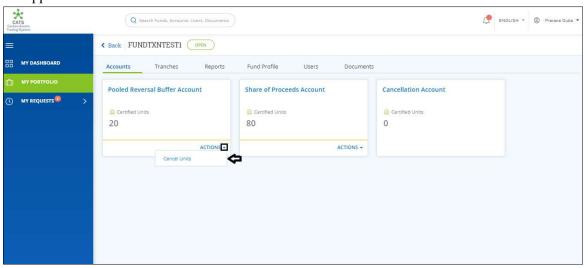
Screenshot 714: Third Party area

3. Click the Fund Name. The Accounts area of the fund appears.



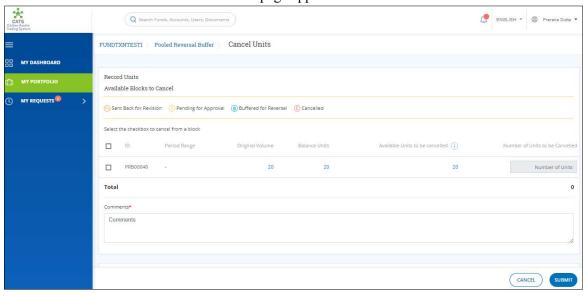
Screenshot 715: Fund - Accounts area

4. In the **Pooled Reversal Buffer Account** box, click the *symbol. A link **Cancel Units** appears.



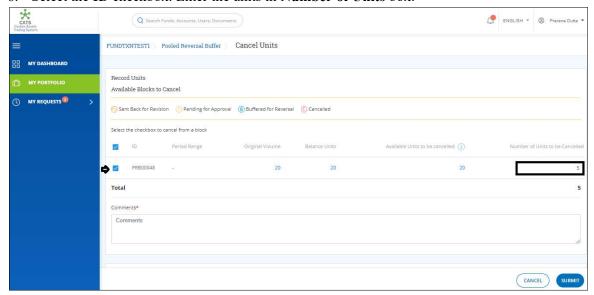
Screenshot 716: Fund - Accounts area

5. Click Cancel Units. The Cancel Units page appears.



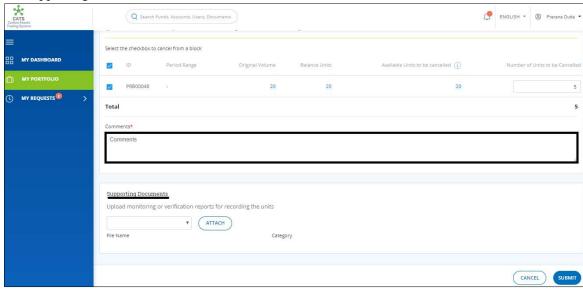
Screenshot 717: Cancel Units page

6. Select the **ID** checkbox. Enter the units in **Number of Units** box.



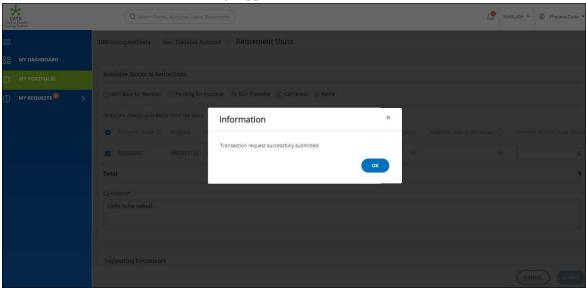
Screenshot 718: Cancel Units page

7. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 719: Cancel Units page

8. Click **SUBMIT**. A success message appears. Click **OK**.



Screenshot 720: Success message

Procedural steps to be followed by the Buffer Manager and Fund Manager:

Two levels of approval are required to cancel the units of **Pooled Reversal Buffer Account**. The **Buffer Manager** acts as the first approver. Upon his approval, the request is routed to the **Fund Manager**.

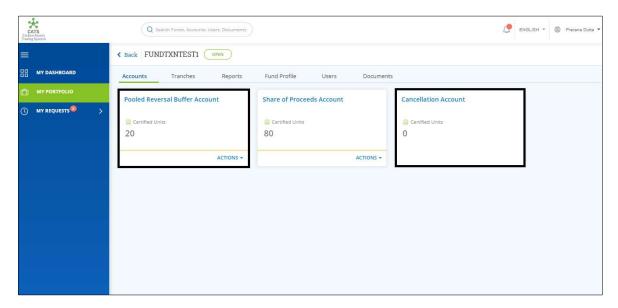
The **Buffer Manager** needs to follow <u>these</u> steps for approval/ rejection/ to send the request back for revision.

The **Fund Manager** needs to follow <u>these</u> steps for approval/rejection/ to send the request back for revision.

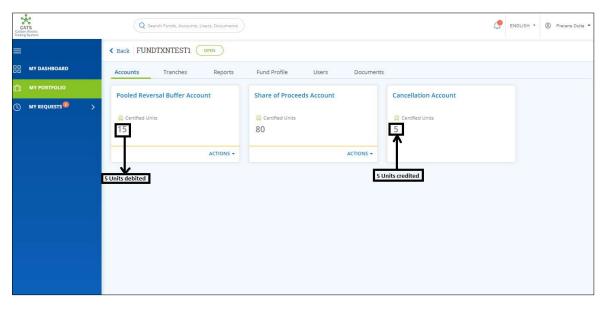
Flow of Units from Pooled Reversal Buffer Account to Cancellation Account:

After both the approvers approves the transaction of units, the **Fund Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The units get debited from the **Pooled Reversal Buffer Account** and are credited into the **Cancellation Account** of the same fund.

The below screenshots show the units in both the accounts, before and after the transaction:



Screenshot 721: Units – before transaction



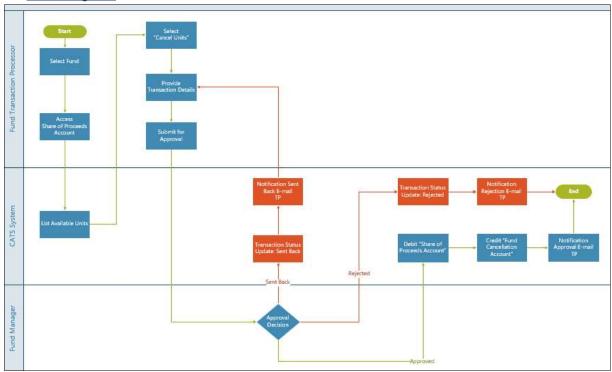
Screenshot 722: Units – after transaction

B. Fund Account - Share of Proceeds (SOP) Account (Cancel Units)

For the transaction to happen, some units must be available in the Fund - Share of Proceeds Account. A user must have the role of Fund Transaction Processor to transfer units from Share of Proceeds to the Cancellation Account of the same fund.

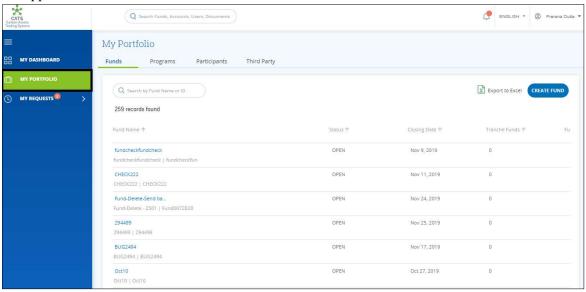
After the transaction is executed, the request is routed to the **Fund Manager** for approval. The approver has the authority to either Approve, Reject or Send the transaction request back for revision.

Flow Diagram:



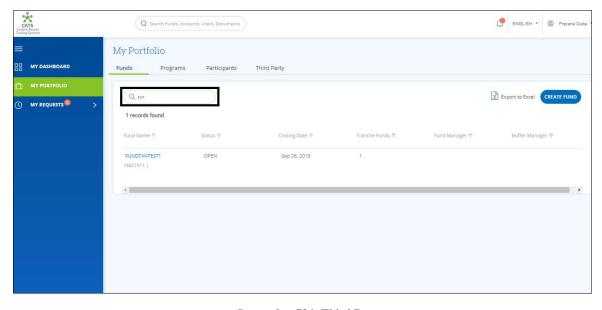
Procedural steps to be followed by the Fund Transaction Processor:
The Fund Transaction Processor logs into the CATS application with his e-mail ID and password.

1. In the left navigation pane, click **MY PORTFOLIO**. The **Funds** list of **My Portfolio** page appears.



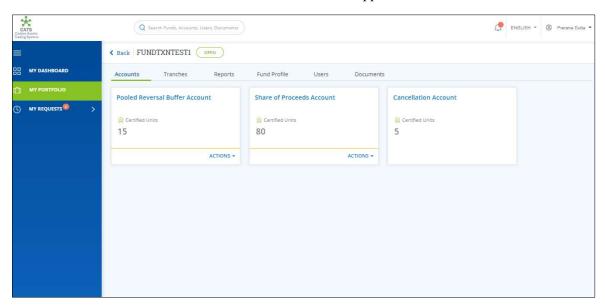
Screenshot 723: Funds list

2. Search a fund by entering a keyword in the **Search by Fund Name or ID** box.



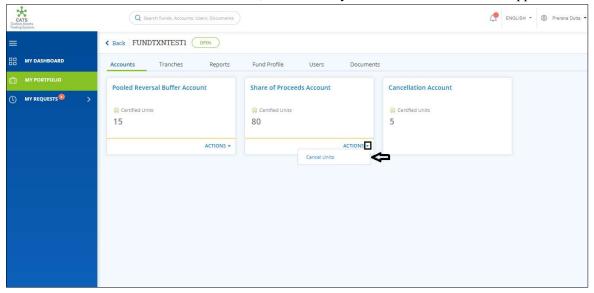
Screenshot 724: Third Party area

3. Click the **Fund Name**. The **Accounts** area of the fund appears.



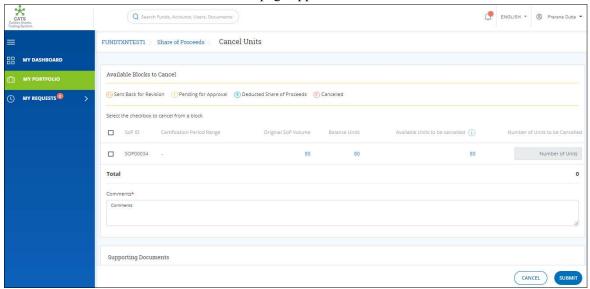
Screenshot 725: Fund - Accounts area

4. In the **Share of Proceeds Account** box, click the symbol. A link **Cancel Units** appears.



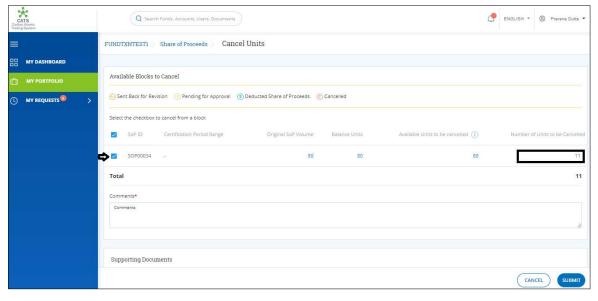
Screenshot 726: Fund - Accounts area

5. Click Cancel Units. The Cancel Units page appears.



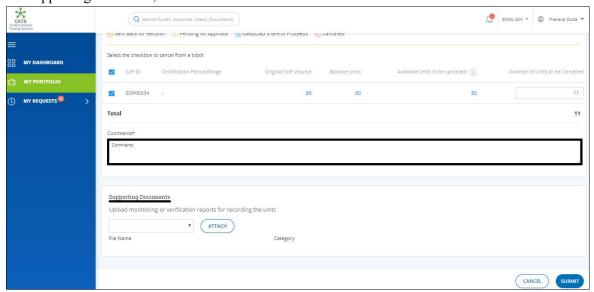
Screenshot 727: Cancel Units page

6. Select the **SoP ID** checkbox. Enter the units in **Number of Units** box.



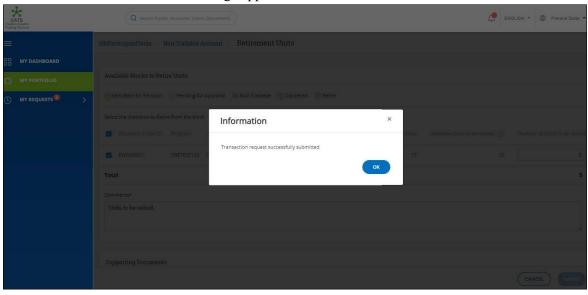
Screenshot 728: Cancel Units page

7. Enter the comments in the **Comments** section. In **Supporting Documents** section, attach a supporting document, if needed.



Screenshot 729: Cancel Units page

8. Click **SUBMIT**. A success message appears. Click **OK**.



Screenshot 730: success message

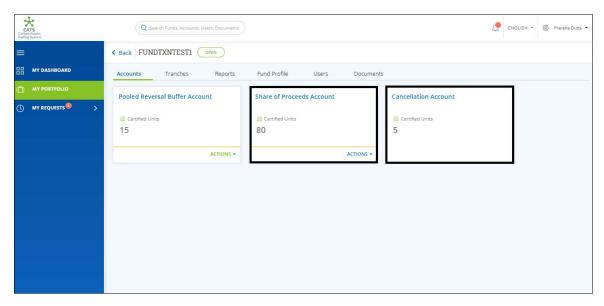
Procedural steps to be followed by the Fund Manager:

The **Fund Manager** logs into the CATS application with his e-mail ID and password. He then needs to follow <u>these</u> steps for approval/ rejection/ to send the request back for revision.

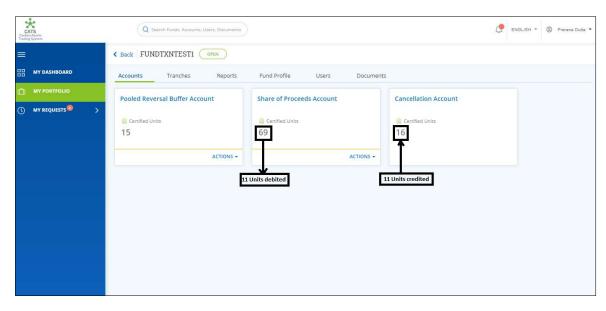
Flow of Units from Share of Proceeds Account to Cancellation Account:

After the **Fund Manager** approves the transaction of units, the **Fund Transaction Processor** receives a system generated e-mail notifying that the transaction is approved. The units get debited from the **Share of Proceeds Account** and are credited into the **Cancellation Account** of the same fund.

The below screenshots show the units in both the accounts, before and after the transaction:



Screenshot 731: Units – before transaction



Screenshot 732: Credit and debit of Units – after transaction

7. Dashboard

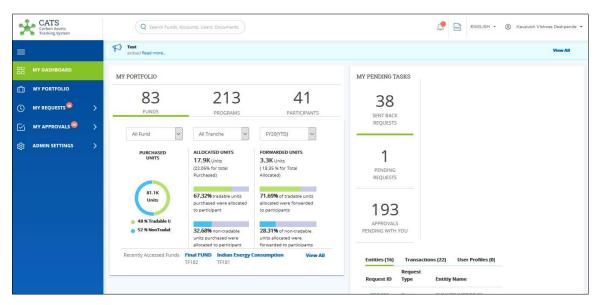
Dashboard is the summarized data form of all the entities in the application including number of Funds, Programs and Participants. System should display the dashboard based on the role and permission that the User Group is assigned. User should be able to navigate to the widget to view the details provided.

Dashboard can be accessible for the following roles:

- For Global Administrator
 - i. MY PORTFOLIO

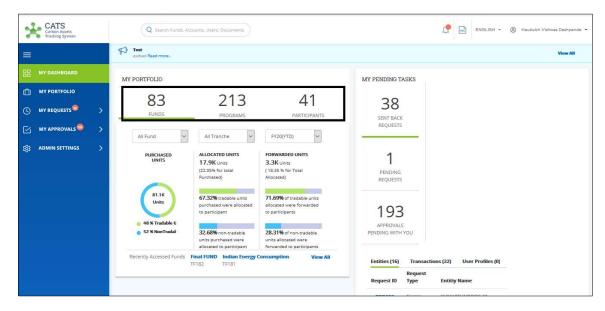
All 3 entities (Funds, Programs and Participants) should be made available in the dashboard for administrator.

1. Login to the CATS application using your e-mail ID and password. The CATS landing page appears.



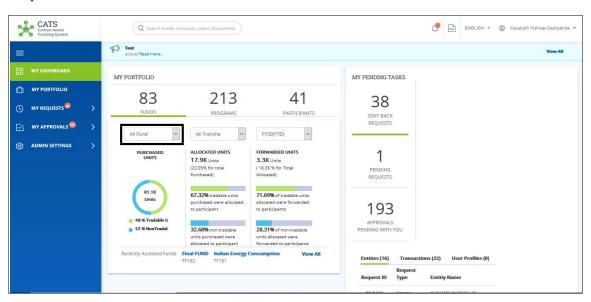
Screenshot 733: CATS landing Page

1. Number of FUNDS, PROGRAMS and PARTICIPANTS are displayed.



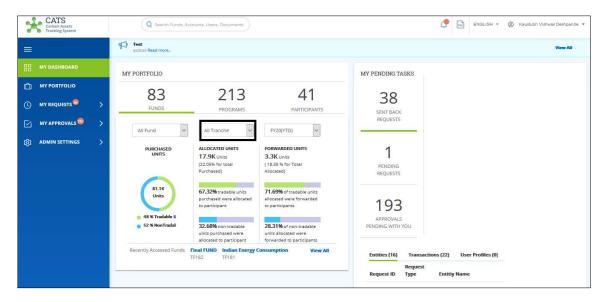
Screenshot 734: Number of entities

2. Click **FUNDS** to view the Funds created. The search box will allow the user to search a particular Fund.



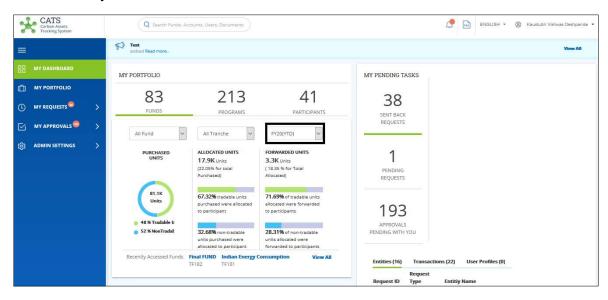
Screenshot 735: Search Funds

3. Search All Tranche associated to that Fund.



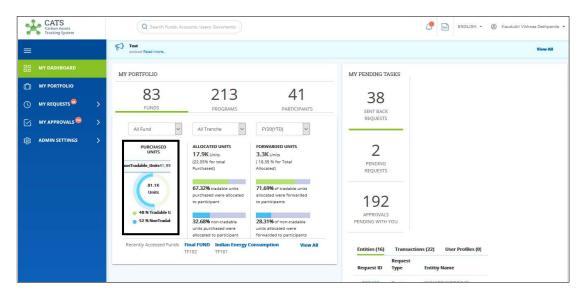
Screenshot 736: Search associated Tranche

4. Search the year bar to view the Funds associated to it.



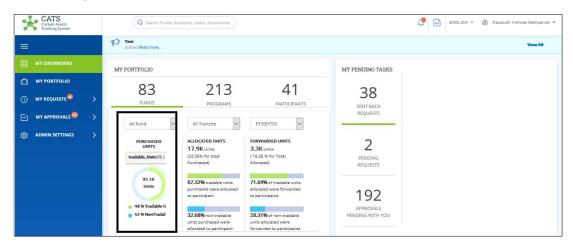
Screenshot 737: Searchbar for Year

5. **PURCHASED UNITS** can be viewed under the Tranche. While hovering over the diagram, number of Tradable and Non- tradable units appears. Blue region indicates the Non - Tradable units of the Tranche.



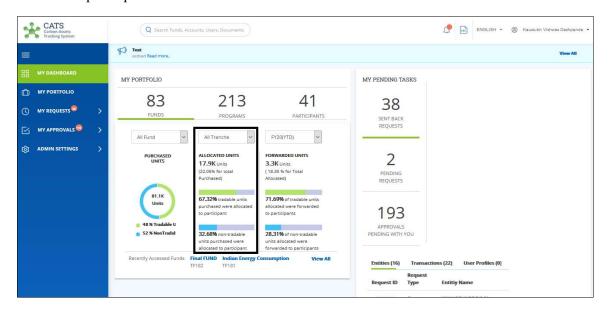
Screenshot 738: Purchased Units of Tranche (Non - Tradable)

7. Green region indicates the Tradable units of the Tranche.



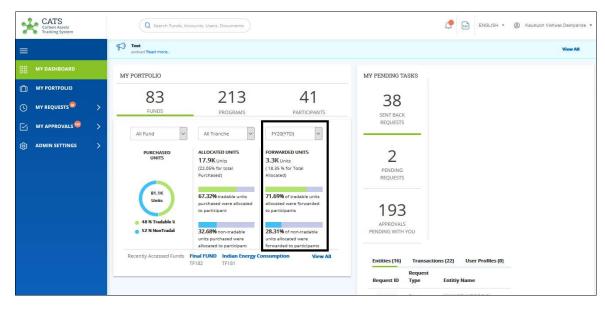
Screenshot 739: Purchased Units of Tranche (Tradable)

8. To view the **ALLOCATED UNITS** (Tradable and Non-Tradable) out of Purchased units for Tranche. Allocated units are those which are allocated from the Linked Tranche to the Interim participant account.



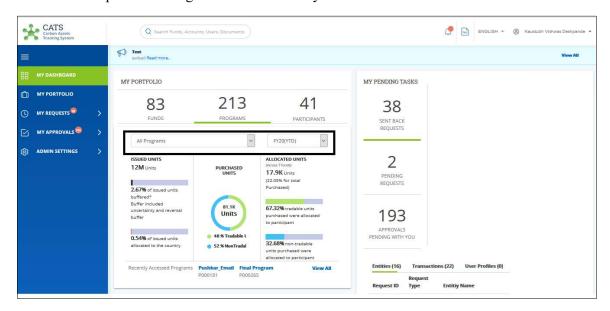
Screenshot 740: Allocated Units of Tranche (Tradable and Non-tradable)

9. To view the **FORWARDED UNITS** (Tradable and Non-Tradable) of Tranche. Forwarded Units are those which are forwarded from Interim account to the Linked Participant account.



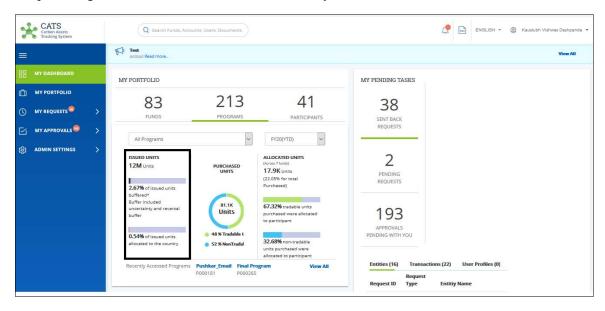
Screenshot 741: Forwarded units of Tranche (Tradable and Non-tradable)

10. Click **PROGRAMS** to view the number of Programs. The search box will allow the user to search a particular Program for the selected year.



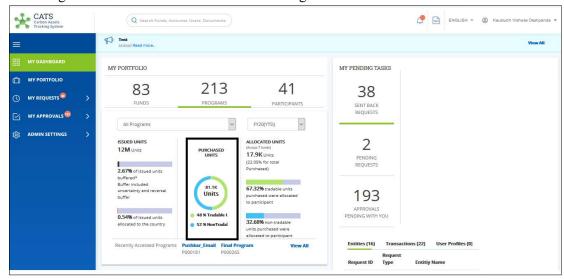
Screenshot 742: Search Programs for the selected year

11. **ISSUED UNITS** can be viewed under the Programs. First bar shows the percentage of units buffered (Uncertainty and Reversal Buffer) out of Issued Units. Second bar shows the percentage of issued units allocated to the country.



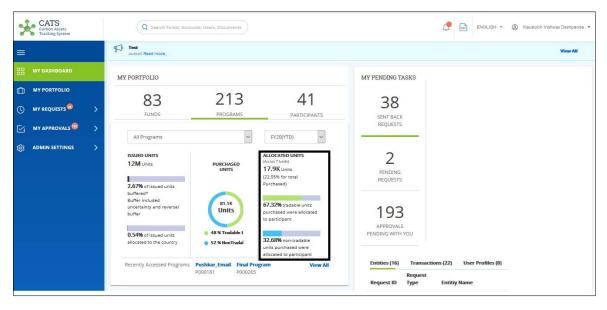
Screenshot 743: Issued Units of Program

12. **PURCHASED UNITS** can be viewed under Programs. These units are those which are purchased from the issuance account and get credited to a tranche or multiple tranches. Green region indicates Tradable units and Blue region indicates Non - Tradable units.



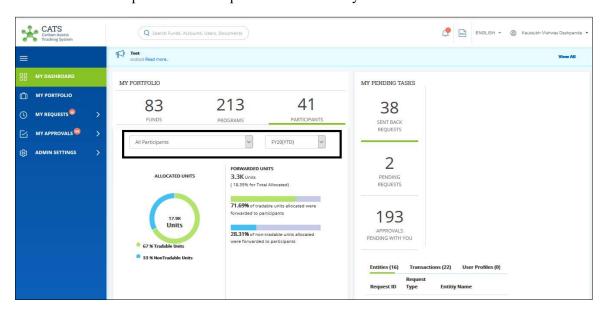
Screenshot 744: Program Purchased Units

13. **ALLOCATED UNITS** are those which are allocated from the Linked Tranche to the Interim participant account.



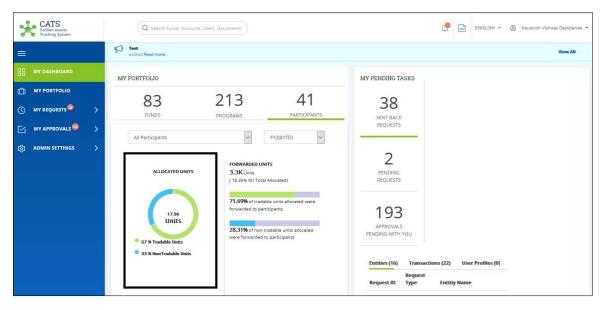
Screenshot 745: Allocated Units

14. Click **PARTICIPANTS** to view the number of Participants. The search box will allow the user to search a particular Participant for the selected year.



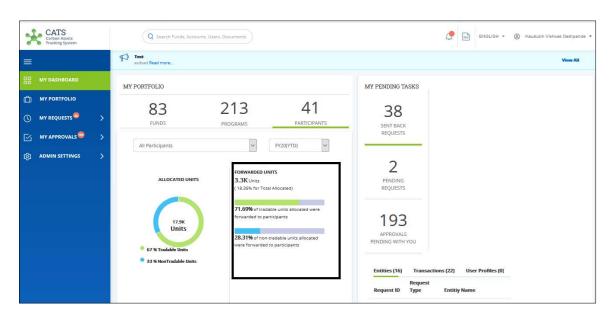
Screenshot 746: Search Participants for the selected year

15. **ALLOCATED UNITS** can be viewed under the Participants. Green region indicates Tradable units and Blue region indicates Non - Tradable units.



Screenshot 747: Allocated Units of Participants

16. **FORWARDED UNITS** are those which are forwarded from Interim account to the Linked Participant account.

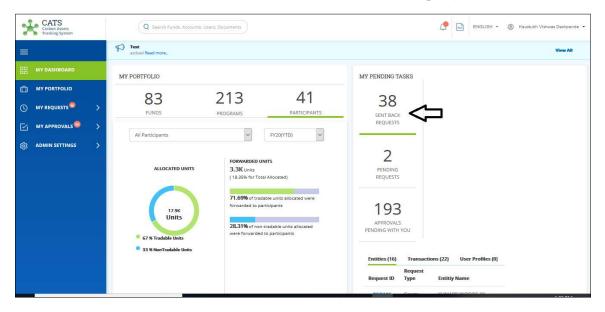


Screenshot 748: Forwarded Units of Participants

ii. MY PENDING TASKS

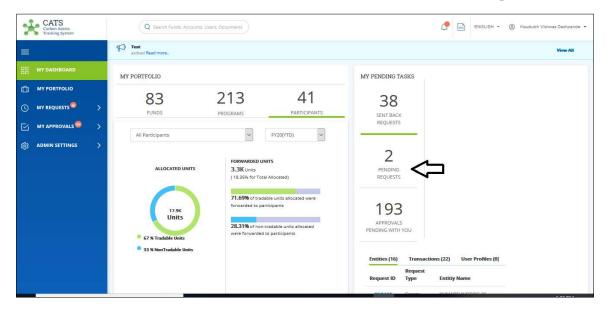
The Number of sent back requests, Pending Requests to take action and Requests pending for approval is listed for administrator. The system should also provide a link to the Request for being navigated to the Request details page. 'View All' option enables to view the Requests at a detailed level.

1. User can view total number of **SENT BACK REQUESTS** in Dashboard. The count is the summation of Entities and Transactions in MY REQUESTS (Left pane).



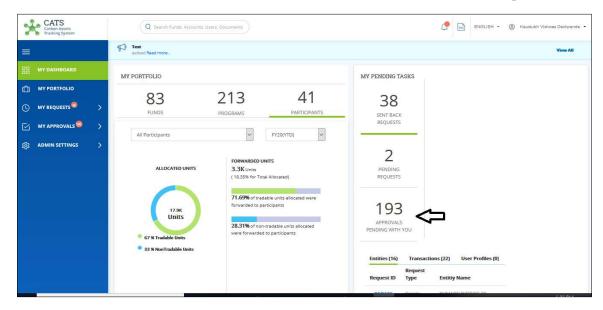
Screenshot 749: Sent Back Request

2. Total number of **PENDING REQUESTS** can be viewed in Dashboard. It is the summation of Entities, Transactions and User Roles in MY REQUESTS (Left pane).



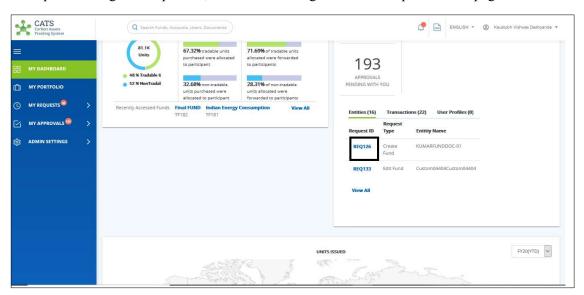
Screenshot 750: Pending Requests

3. User can view total number of **APPROVALS PENDING WITH YOU** which is the summation of Entities, Transactions and User Roles in MY APPROVALS (Left pane).



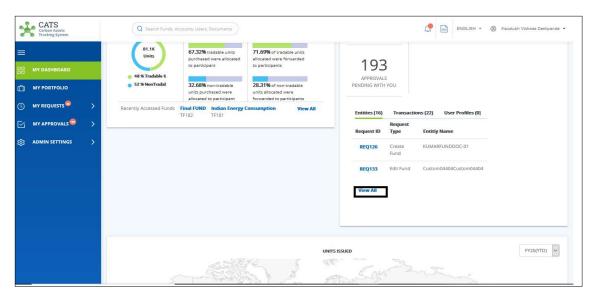
Screenshot 751: Approvals Pending With You

4. Upon clicking the Request Id, user will be navigated to the Request details page.



Screenshot 752: Recent Request Id List

5. **View All** navigates the user to MY REQUESTS to view the number of requests at a detailed level.

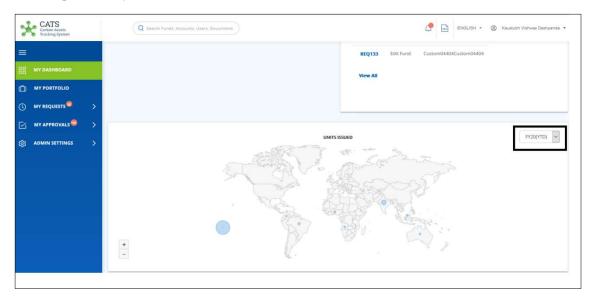


Screenshot 753: View All Navigation

iii. UNITS ISSUED

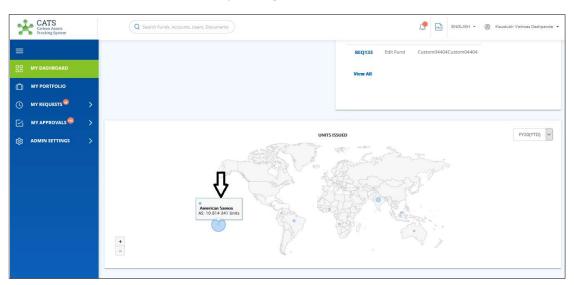
Units Issuance By Region at a Program level should be displayed.

1. User can select the year accordingly to view the ER units issued in different regions for that particular year.



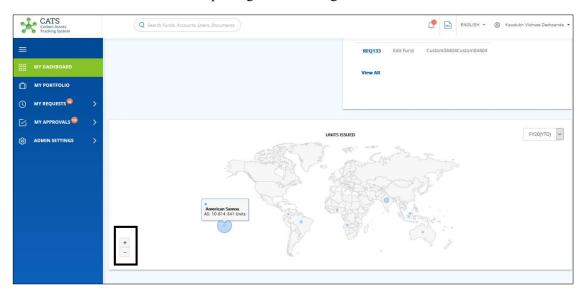
Screenshot 754: Units Issuance By Year

2. User can view the Blue highlighted area at different places in the map. This displays the total number of ER units issued by the region.



Screenshot 755: Units Issuance By Region

3. User can zoom in / out the map using the '+/- ' signs.

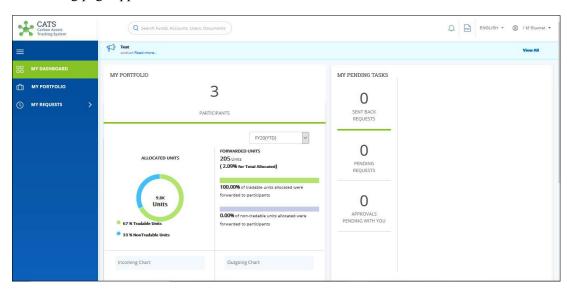


Screenshot 756: Zoom In / Out the Map

- For External User
 - i. MY PORTFOLIO

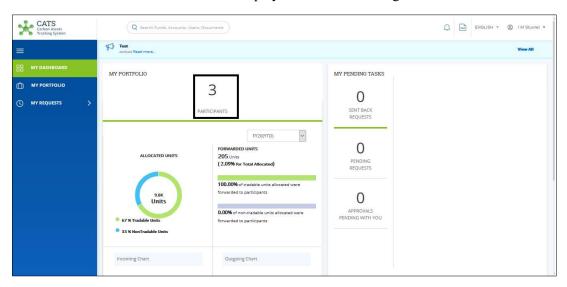
External User can view the dashboard according to the roles assigned to it. The following roles are:

- For Participant Transaction Processor
 User can only view the Participant related details for this role.
 - 1) Login to the CATS application using your e-mail ID and password. The CATS landing page appears.



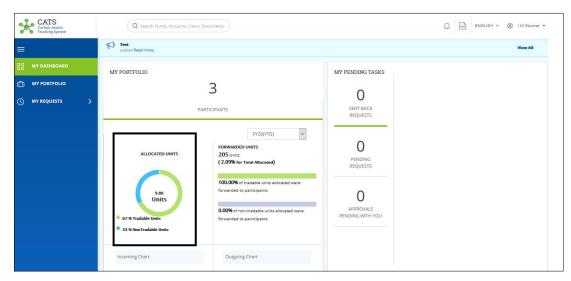
Screenshot 757: External User landing page

2. Number of **PARTICIPANTS** are displayed whose access is given to this role.



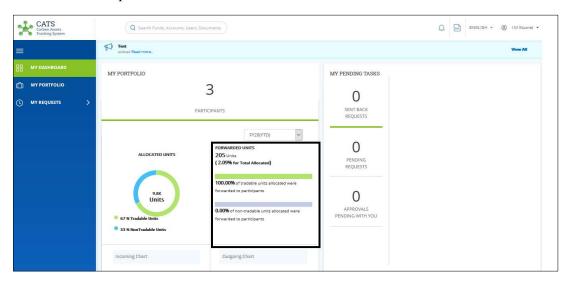
Screenshot 758: Number Of Participants

3. **ALLOCATED UNITS** can be viewed under the Participants. Green region indicates Tradable units and Blue region indicates Non - Tradable units.



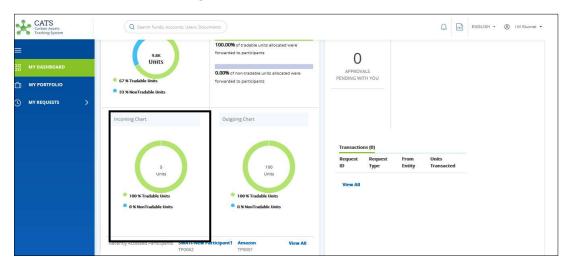
Screenshot 759: Allocated units

4. **FORWARDED UNITS** are those which are forwarded from Interim account to the Linked Participant account.



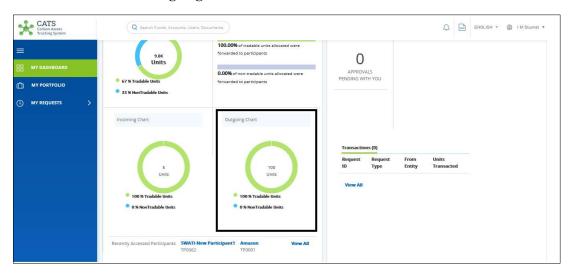
Screenshot 760: Forwarded units

5. User can view the **Incoming Chart** of Tradable and Non-Tradable units.



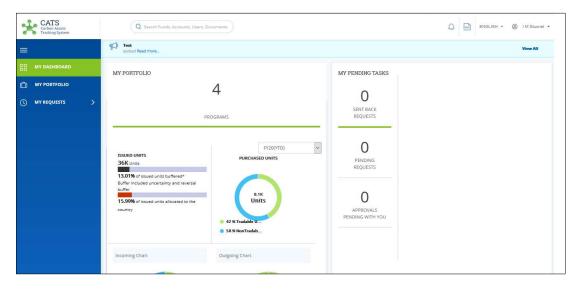
Screenshot 761: Incoming chart

6. User can view the **Outgoing Chart** of Tradable and Non- Tradable units.



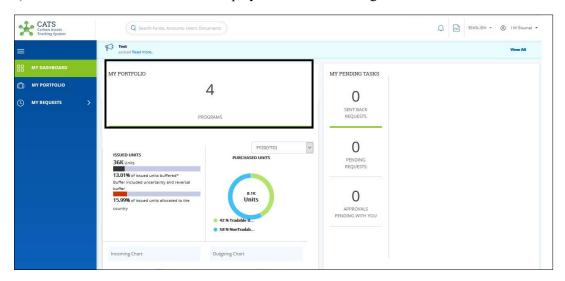
Screenshot 762: Outgoing chart

- > For Program Transaction Processor
 - User can only view the Program related details for this role.
 - 1) Login to the CATS application using your e-mail ID and password. The CATS landing page appears.



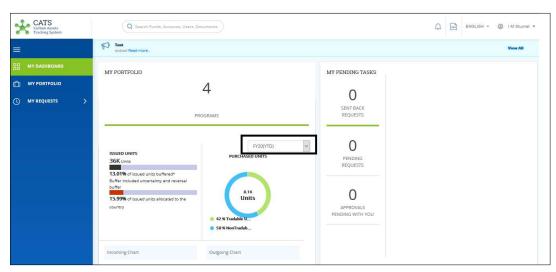
Screenshot 763: External user- Landing Page

2) Number of **PROGRAMS** are displayed whose access is given to this role.



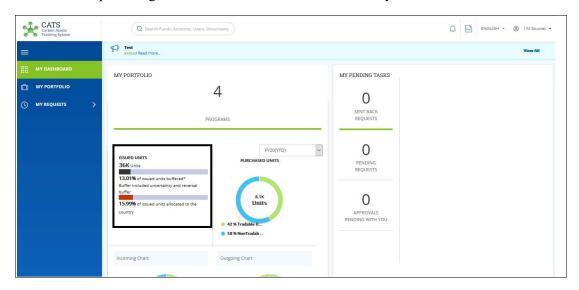
Screenshot 764: Number of Programs

3) User can select the year to view if there are any transactions for that year for the selected Programs.



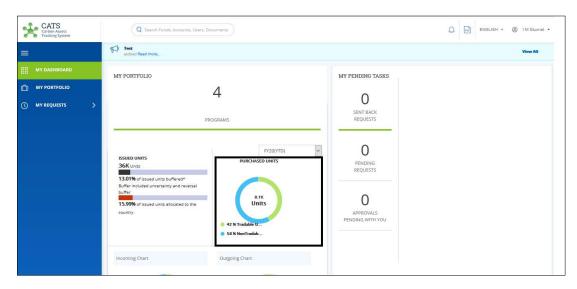
Screenshot 765: Searchbox for Year

4) **ISSUED UNITS** can be viewed under the Programs. First bar shows the percentage of units buffered (Uncertainty and Reversal Buffer) out of Issued Units. Second bar shows the percentage of issued units allocated to the country.



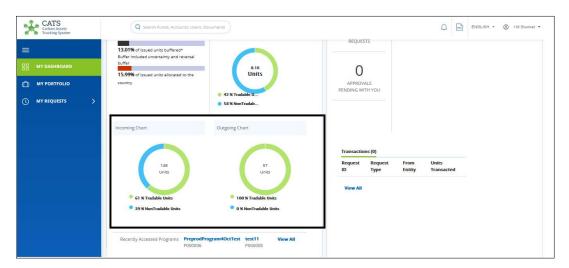
Screenshot 766: Issued Units

5) **PURCHASED UNITS** can be viewed under Programs. These units are those which are purchased from the issuance account and get credited to a tranche or multiple tranches. Green region indicates Tradable units and Blue region indicates Non - Tradable units.



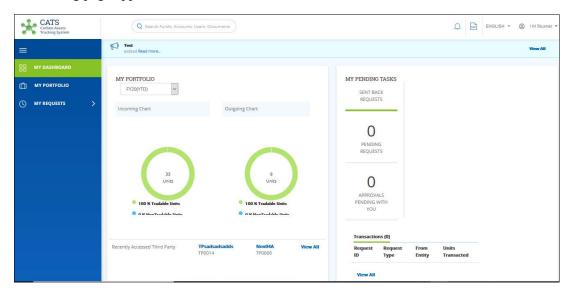
Screenshot 767: Purchased Units

6) User can view **Incoming Chart** and **Outgoing Chart** for Tradable and Non-Tradable units.



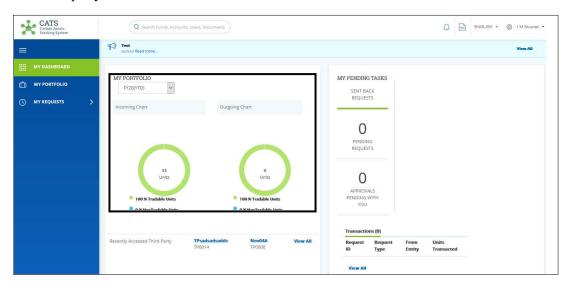
Screenshot 768: Chart Depiction

- > For Third party Transaction Processor
 - User can only view the Third party related details for this role.
 - 1) Login to the CATS application using your e-mail ID and password. The CATS landing page appears.



Screenshot 769: External User-landing page

2) User can select the year to view the **Incoming Chart** and **Outgoing Chart** of the Third party for Tradable and Non-Tradable units.



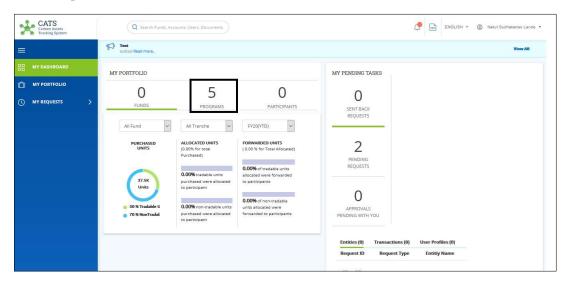
Screenshot 770: Chart Depiction according to the year

NOTE: MY PENDING TASKS of Participant Transaction Processor, Program Transaction Processor and Third party Transaction Processor are same as of Global Admin of Dashboard. Please refer <u>MY PENDING TASKS</u> of Global admin.

• For Internal User

i. MY PORTFOLIO

All 3 entities (Funds, Programs and Participants) must be visible to the user but the count will be visible according to the role assigned to it. For Program Transaction Processor, only Program's count will be visible and other's count will be displayed as 0. Same is applicable for Participant Transaction Processor and Fund Transaction Processor.



Screenshot 771: Program's count displayed for Program Transaction Processor

NOTE: Apart from above mentioned info, **MY PORTFOLIO, MY PENDING TASKS** and **UNITS ISSUED** are similar as of Global Admin role. Please refer **MY PORTFOLIO, MY PENDING TASKS** and **UNITS ISSUED**.

8. Reports

Reports can be generated for the following entities:

Funds and Tranches

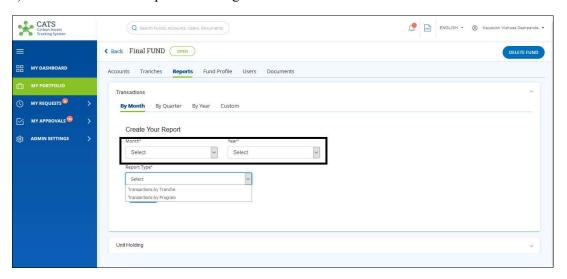
An aggregated report that provides a snap shot of all the assets under a specific fund & tranche at certain point of time, categorized into respective tranches and classified as per the asset's status (Active, Cancelled, Retired, Buffered) and class (Reported, Verified, Certified). Any user who has access to entity will be able to view the report.

i. Transactions

User can generate Transactions related report on Monthly, Quarterly, Yearly & with Customized time period basis.

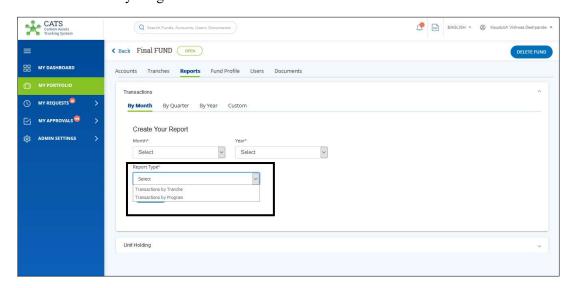
➤ By Month

1) User can view the report according to the selected **Month** and **Year**.



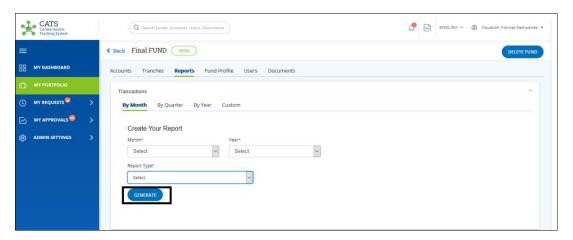
Screenshot 772: Report - Select Month and Year

2) User can select **Report Type** accordingly- either Transactions by Tranche or Transactions by Program.



Screenshot 773: Report Type

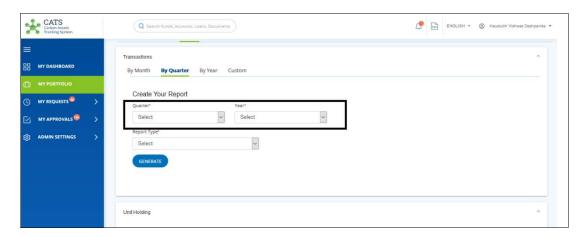
3) Upon clicking **GENERATE**, the report will be generated in the form of PDF or Excel.



Screenshot 774: Generate Tab

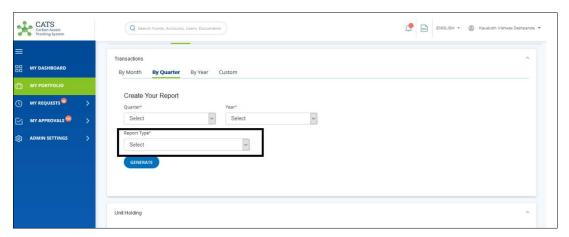
By Quarter

1) User can view the report according to the selected **Quarter** (Q1, Q2, Q3 and Q4) and **Year**.



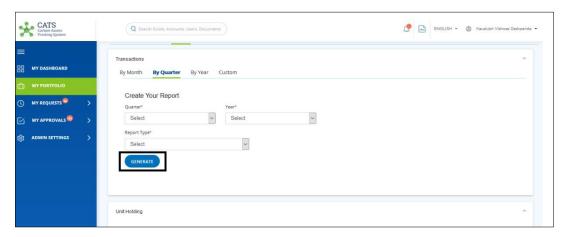
Screenshot 775: Select Quarter and Year (By Quarter)

2) User can select **Report Type** accordingly- either Transactions by Tranche or Transactions by Program.



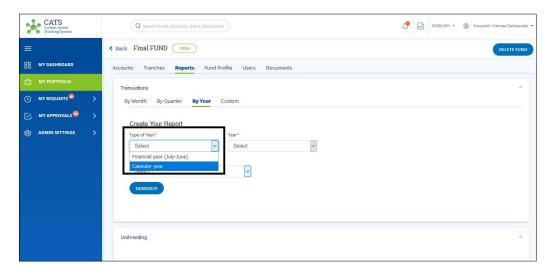
Screenshot 776: Report Type (By Quarter)

3) Upon clicking **GENERATE**, the report will be generated in the form of PDF or Excel.



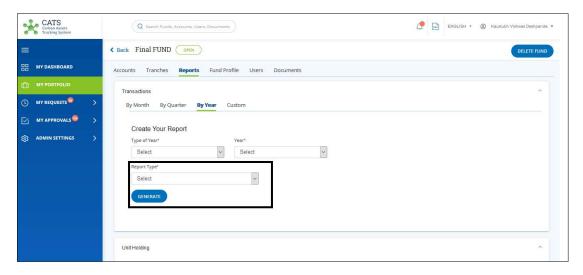
Screenshot 777: Generate Report (By Quarter)

- ➢ By Year
 - 1) User can view the report according to the selected **Type of Year** (Financial Year and Calendar Year) and **Year**.



Screenshot 778: Report - By Year

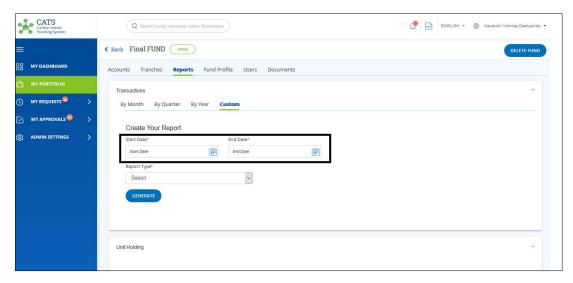
2) User can select **Report Type** accordingly- either Transactions by Tranche or Transactions by Program. Upon clicking **GENERATE**, the report will be generated in the form of PDF or Excel.



Screenshot 779: Report - By Year (Generate Tab)

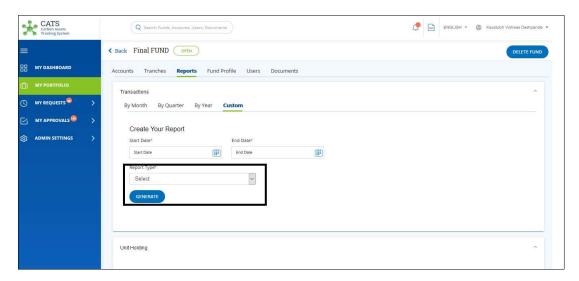
Custom

1) User can view the report according to the selected **Start Date** and **End Date**.



Screenshot 780: Report - By Custom

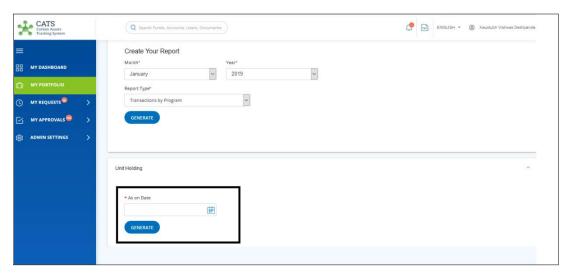
2) User can select **Report Type** accordingly- either Transactions by Tranche or Transactions by Program. Upon clicking **GENERATE**, the report will be generated in the form of PDF or Excel.



Screenshot 781: Report – By Custom (Generate Tab)

ii. Unit holding

User can generate "Unit Holding" report on a specific date and can enter report's beginning and end dates by clicking on the calendar icon. Upon clicking **GENERATE**, the report will be generated.



Screenshot 782: Report - Unit Holding

Programs

An aggregated report that provides a snap shot of all the assets allocated to a specific program between specific dates and any user who has access to entity will be able to view the report.

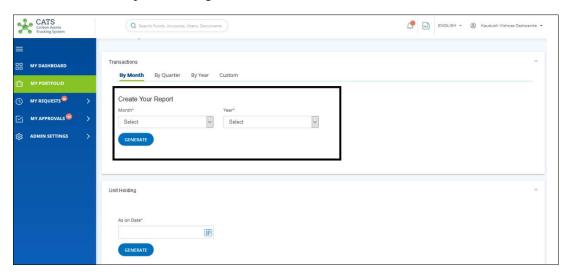
Issuance Reports

i. Transactions

User can generate Transactions related report on Monthly, Quarterly, Yearly & with Customized time period basis.

> By Month

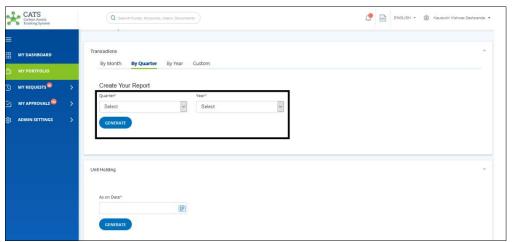
User can view the report according to the selected **Month** and **Year**. Upon clicking **GENERATE**, the report will be generated in the form of PDF or Excel.



Screenshot 783: Program - By Month

By Quarter

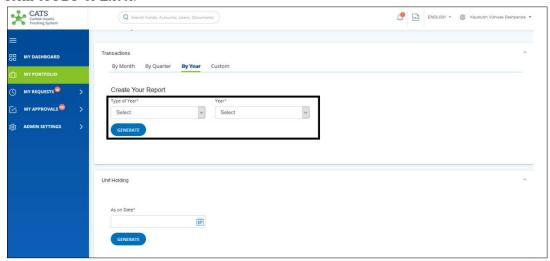
User can view the report according to the selected **Quarter** (Q1, Q2, Q3 and Q4) and **Year**. Upon clicking **GENERATE**, the report will be generated in the form of PDF or Excel.



Screenshot 784: Program - By Quarter

➢ By Year

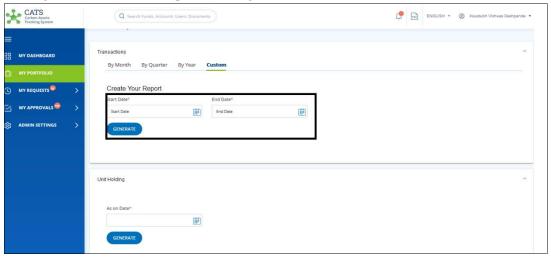
User can view the report according to the selected **Type of Year** (Financial Year and Calendar Year) and **Year**. Upon clicking **GENERATE**, the report will be generated in the form of PDF or Excel.



Screenshot 785: Program - By Year

Custom

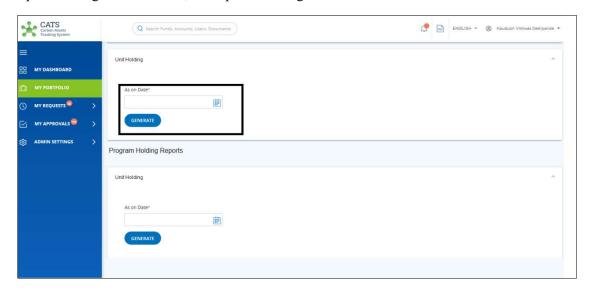
User can view the report according to the selected **Start Date** and **End Date**. Upon clicking **GENERATE**, the report will be generated in the form of PDF or Excel.



Screenshot 786: Program - By Custom

ii. Unit Holding

User can generate "Unit Holding" report on a specific date by clicking on the calendar icon. Upon clicking **GENERATE**, the report will be generated.

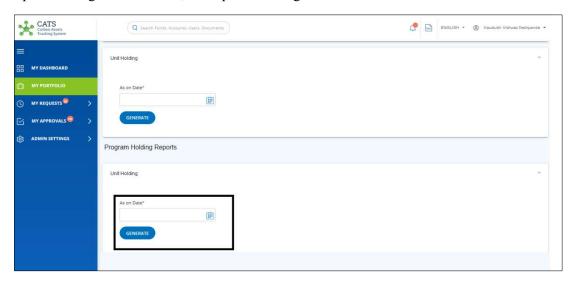


Screenshot 787: Issuance Reports – Unit Holding

Program Holding Reports

i. Unit Holding

User can generate "Unit Holding" report on a specific date by clicking on the calendar icon. Upon clicking **GENERATE**, the report will be generated.



Screenshot 788: Program Holding Reports – Unit Holding

Participants

An aggregated report that provides a snap shot of all the assets allocated to a specific participant between specific dates. Any user who has access to the entity will be able to view the report.

NOTE: Transactions and Unit Holding are similar as of Program's Issuance Reports. Please refer Transactions and Unit Holding.

• Third Party

An aggregated report provides a snap shot of any asset type, status, class of any account under specific Third-party account within the fund between two dates. Any user who has access to the entity will be able to view the report.

NOTE: Transactions and Unit Holding are similar as of Program's Issuance Reports. Please refer Transactions and Unit Holding.

9. Notification & Announcements

Notifications and **Announcements** can be viewed by the users who are a part of the CATS application. The users need to log in to the CATS application with their e-mail IDs and Passwords.

i. Notification

All the information regarding the submission and approval of a request can be viewed in the **Notification**.

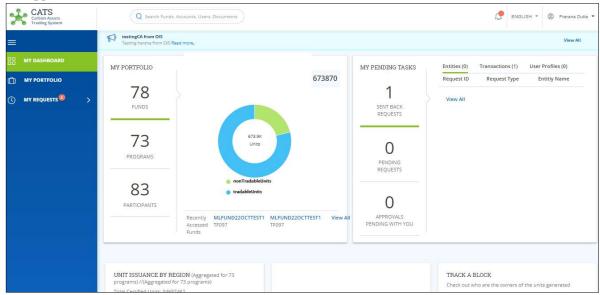
Three set of users can only see the requests listed under Notification: **Submitter**, **Approver** and **Users who needs to be informed.**

The below requests can be grouped under the Notifications icon:

- * Requests 'Awaiting Approval'
- * Requests 'Need to be Approved'
- Requests 'Need to be edited'
- * Requests 'Pending WB Clearance'

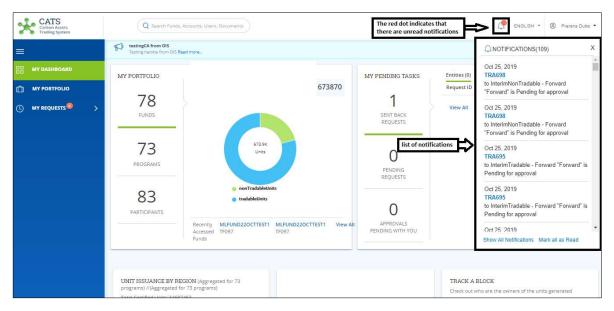
The Notifications can be viewed in the **CATS** home page. To view the notification, follow the below steps:

1. Login to the CATS application using your e-mail ID and password. The CATS landing page appears.



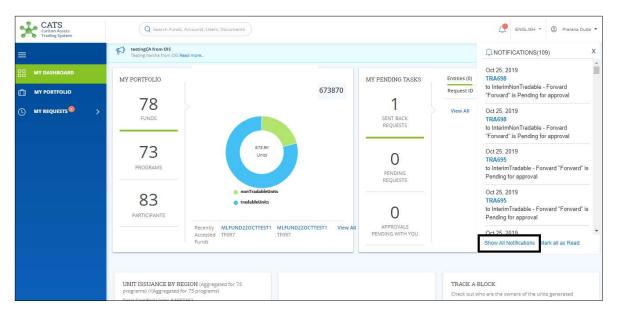
Screenshot 789: CATS landing page

2. Click the bell icon () on the top. The **NOTIFICATIONS** list appears.



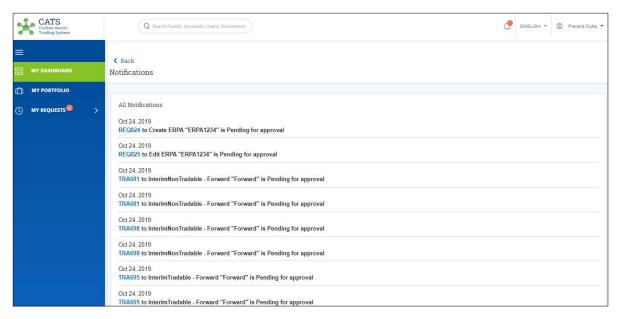
Screenshot 790: CATS Landing Page – Notifications

3. To view all the notifications in a separate page, click **Show All Notifications** on the bottom of the **NOTIFICATIONS** list.



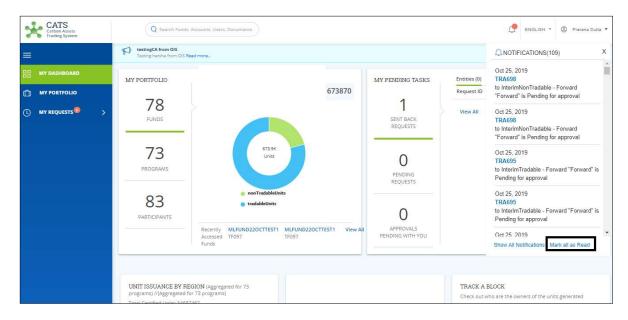
Screenshot 791: CATS Landing Page – Notifications

4. Upon clicking Show All Notifications, the Notifications list appears in a separate page.



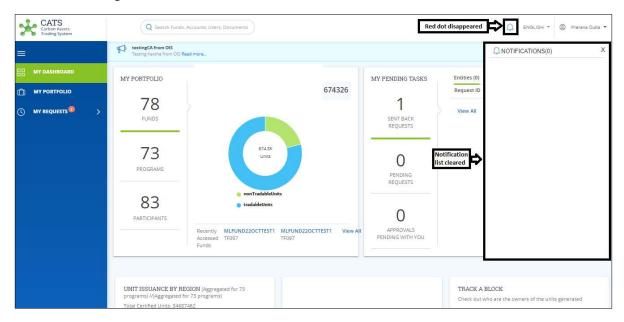
Screenshot 792: Notifications page

5. Click Mark all as Read on the bottom of the NOTIFICATIONS list, to remove the red dot next to the bell icon.



Screenshot 793: CATS Landing Page - Notifications

6. Upon clicking **Mark all as Read**, the notification icon appears without a red dot. Also, the notifications get removed from the list.



Screenshot 794: CATS Landing Page – Notifications

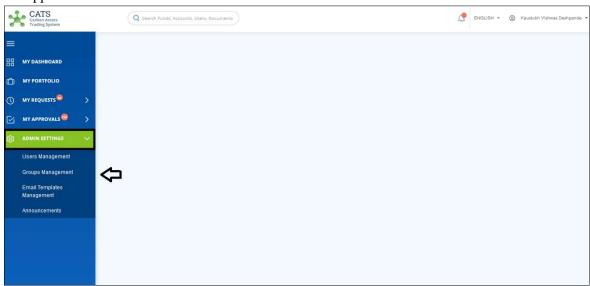
ii. Announcements

A user having the role of **Global Administrator** has the provision of making an announcement related to the application. All the users who are a part of CATS application will be able to view the announcements created by Global Administrator.

Create Announcement

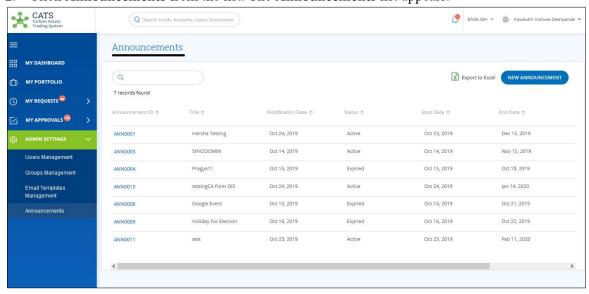
Global Administrator can log in to the system using his e-mail ID and password. He then needs to follow the steps below to create an announcement:

1. In the left navigation pane, click **ADMIN SETTINGS**. The **ADMIN SETTINGS** list appears.



Screenshot 795: CATS - Landing page

2. Click **Announcements** from the list. The **Announcements** list appears.



Screenshot 796: Announcement list

CATS
Carbon Assets Q Search Funds, Accounts, Users, Documents **♦ Back** New Announcement MY DASHBOARD Announcement Details Title * Start Date * End Date * (L) MY REQUESTS (D) (iii) End Date (111) MY APPROVALS Description Users Management Supporting Documents Upload any supporting documents for the Announcement ATTACH

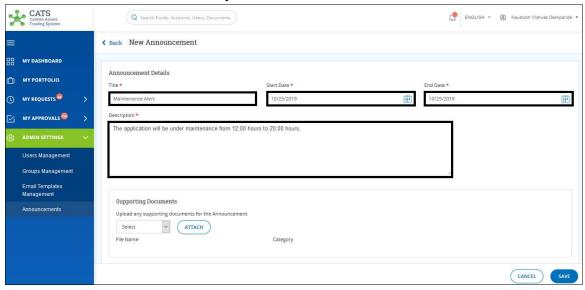
Category

3. Click **NEW ANNOUNCEMENT**. The **New Announcement** page appears.

Screenshot 797: New Announcement page

CANCEL SAVE

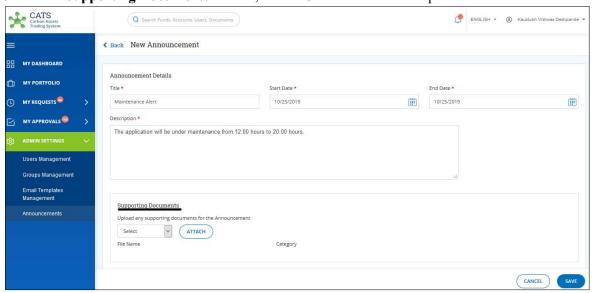
4. Fill the details in all the mandatory fields that are marked with *.



Screenshot 798: New Announcement page

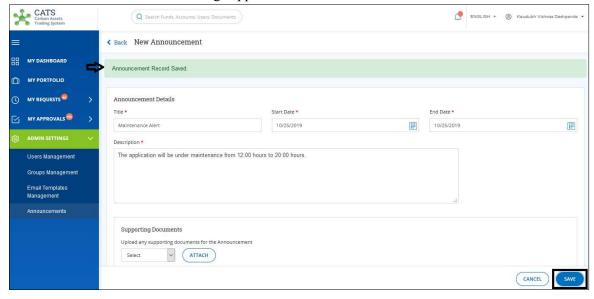
NOTE: Future dates can also be provided in **Start Date** and **End Date** fields.

5. In the **Supporting Documents** section, **ATTACH** a document if required.



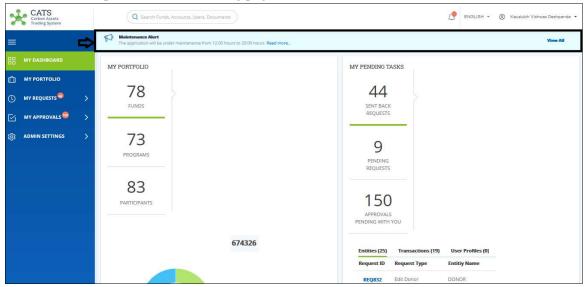
Screenshot 799: New Announcement page

6. Click SAVE. A Success message appears.



Screenshot 800: New Announcement page

7. In the left navigation pane, click **MY DASHBOARD**. The created Announcement can be seen at the top of the CATS Landing page.



Screenshot 801: CATS Landing page

• View and Edit Announcement

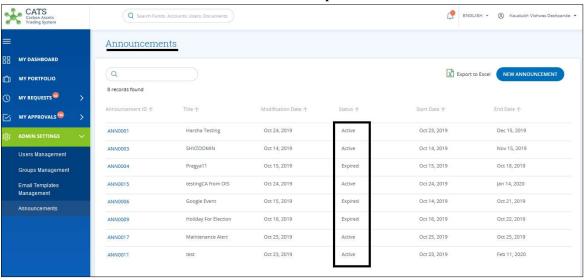
A user having the role of **Global Administrator** can view the announcements that are already present in the system and can edit them:

1. In the left navigation pane, click **ADMIN SETTINGS**. The **ADMIN SETTINGS** list appears.



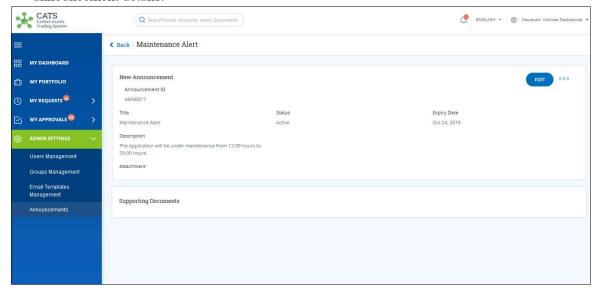
Screenshot 802: CATS - Landing page

2. Click **Announcements** from the list. The **Announcements** list appears with announcements that are either in **Active** state or **Expired** state.



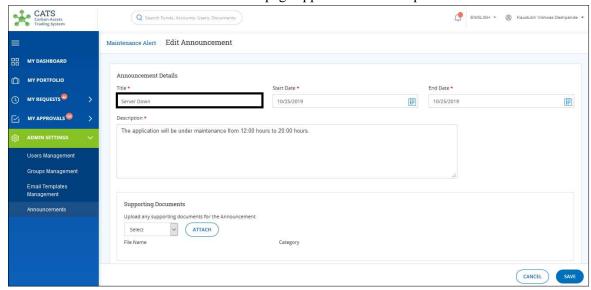
Screenshot 803: Announcement list

3. Click the **Announcement ID** that you want to edit. A page appears with all the announcement details.



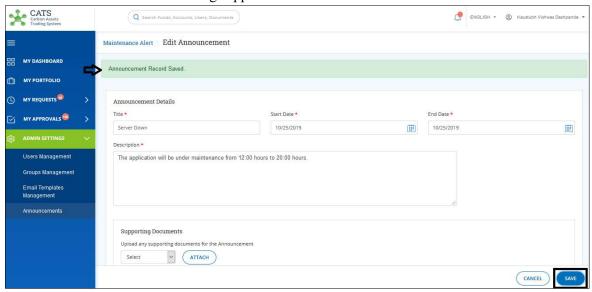
Screenshot 804: Announcement details page

4. Click **EDIT**. The **Edit Announcement** page appears. Edit the required fields.



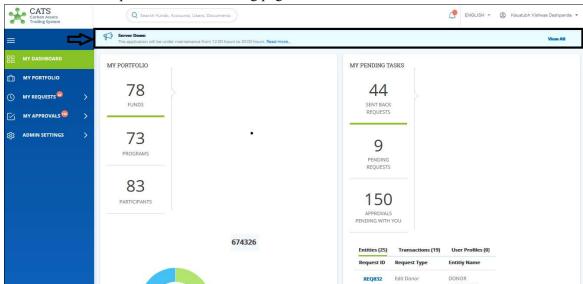
Screenshot 805: Edit Announcement page

5. Click SAVE. A Success message appears.



Screenshot 806: Edit Announcement page

6. In the left navigation pane, click **MY DASHBOARD**. The edited Announcement can be viewed at the top of the CATS Landing page.



Screenshot 807: CATS Landing page

• Announcement – View Change History

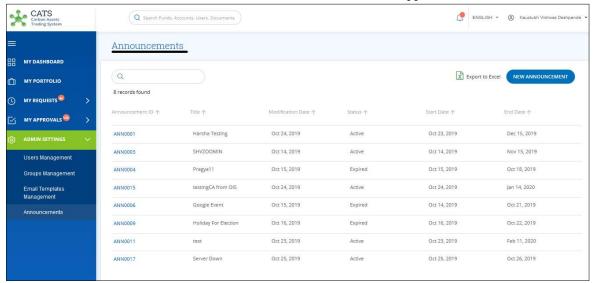
A user having the role of **Global Administrator** can view the change history of an Announcement by following the steps below:

1. In the left navigation pane, click **ADMIN SETTINGS**. The **ADMIN SETTINGS** list appears.



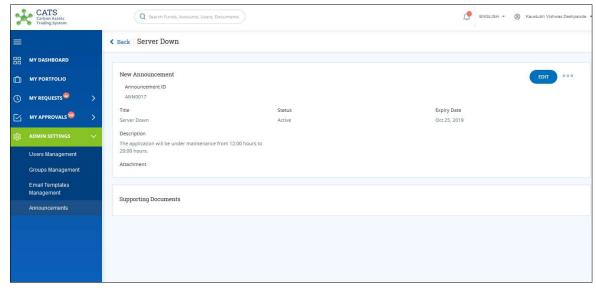
Screenshot 808: CATS - Landing page

2. Click **Announcements** from the list. The **Announcements** list appears.



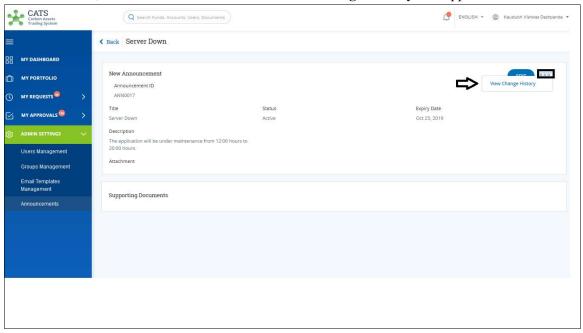
Screenshot 809: Announcement list

3. Click the **Announcement ID** whose change history needs to be viewed. A page appears with all the announcement details.



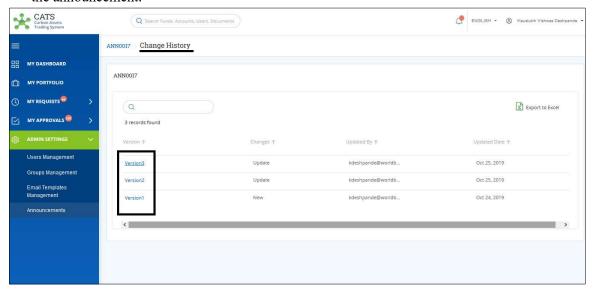
Screenshot 810: Announcement details page

4. Click ooo , next to the **EDIT** button. The **View Change History** link appears.



Screenshot 811: Announcement details page

5. Click **View Change History**. The **Change History** page appears with all the versions of the announcement.



Screenshot 812: Change History page

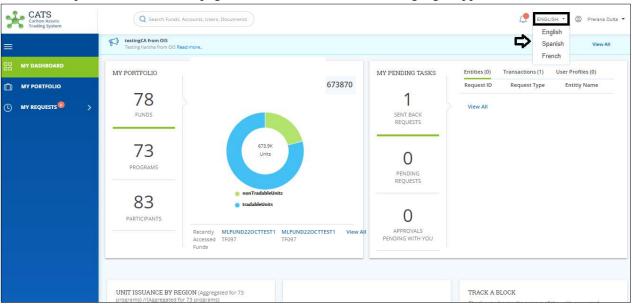
10. Multi-lingual

The multi-lingual feature in the CATS application makes it easier for the users who doesn't know English. The other languages in which the CATS application can be viewed are:

- Spanish
- French

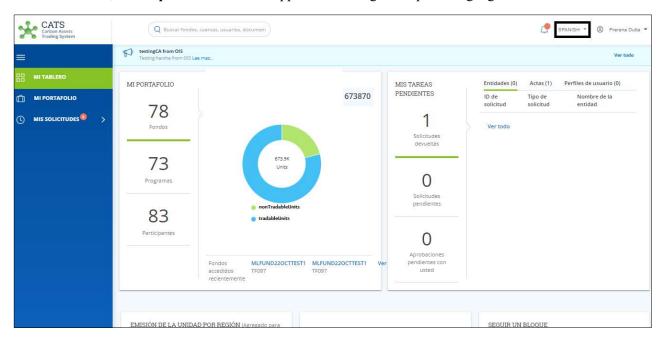
The user needs to login to the CATS application and follow the steps below to view the application in the above-mentioned languages:

1. At the top of the CATS home page, click **ENGLISH**. A list of languages appears.



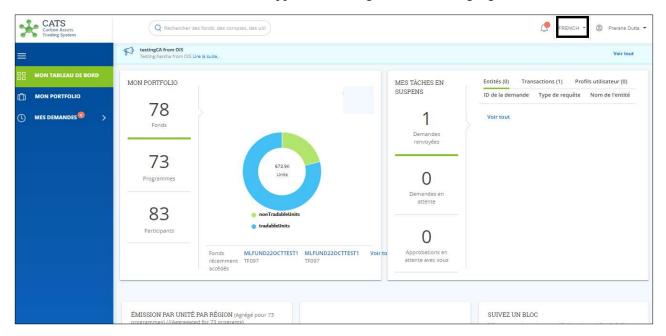
Screenshot 813: CATS home page - English

2. From the list, click **Spanish**. The whole application changes in Spanh language.



Screenshot 814: CATS Home page - Spanish

3. From the list, click **French**. The whole application changes in French language.



Screenshot 815: CATS Home page - French

11. Glossary of Business Terms

Acronym	Description
FCPF	Forest Carbon Partnership Facility
ISFL	Initiative for Sustainable Forest Landscapes
MRV	Measurement, Reporting and Verification
REDD	Reducing Emissions from Deforestation and Forest Degradation
REDD+	REDD plus Conservation, Sustainable Management of Forests, and Enhancement of Forest Carbon Stocks
CORSIA	Carbon Offsetting and Reduction Scheme for International Aviation
Issuance	The creation of a carbon unit by a registry administrator and its allocation to an account holder
External transfer	The transfer of a carbon unit from an account in one registry to an account in another registry
Internal transfer	The transfer of a carbon unit from one account to another one within a registry
Retirement	The disposal of a carbon unit for compliance with an emissions target
Cancellation	The disposal of a carbon unit where the unit is not used for compliance with an emissions target, and cannot be used by others for compliance either
Conversion	The transformation of one carbon unit type to another
Banking	The carrying over of unused carbon units from one compliance period to the next
Borrowing	The use of carbon units from future compliance periods to meet obligations in the current compliance period
Regulator	public authority appointed by law to oversee and enforce the market mechanism
Registry administrator	A body responsible for the day-to-day operations of the registry; this can be a public or private body
Regulated entity	A body that is legally subject to an emissions limit or other obligation; this could be a country under international law or a company under domestic law
Project developer	An organization that voluntarily engages in a project to reduce emissions in order to sell carbon units

Verifier	Responsible for ensuring, among others, that the emission reductions reported by project developers are real and additional
Broker	Engages in carbon unit transactions on behalf of a client
Intermediary	Purchases a carbon unit on its own behalf for a purpose other than compliance (e.g., resale)
Primary market	Where allowances or carbon credits enter the market and are acquired by regulated entities for compliance purposes
International market	Where countries/jurisdictions acquire carbon units to comply with caps or targets expressed in international legislation
Domestic market	Where entities, such as power stations and industrial facilities, acquire carbon units to comply with caps established through domestic legislation
CDM	Clean Development Mechanism
VCS	Verified Carbon Standard
VCU	Verified Carbon Unit
NDC	Nationally Determined Contributions
ERPA	Emission Reduction Purchase Agreement

© 2020 The World Bank 1818 H Street NW, Washington DC 20433

Telephone: 202-473-1000; Internet: www.worldbank.org

Some rights reserved

This work is a product of the staff of The World Bank. The findings, interpretations, and conclusions expressed in this work do not necessarily reflect the views of the Executive Directors of The World Bank or the governments they represent. The World Bank does not guarantee the accuracy of the data included in this work. The boundaries, colors, denominations, and other information shown on any map in this work do not imply any judgment on the part of The World Bank concerning the legal status of any territory or the endorsement or acceptance of such boundaries.

Rights and Permissions

The material in this work is subject to copyright. Because The World Bank encourages dissemination of its knowledge, this work may be reproduced, in whole or in part, for noncommercial purposes as long as full attribution to this work is given.

Attribution—Please cite the work as follows: "World Bank. 2020. User Manual. CATS (Carbon Assets Tracking System). © World Bank."

All queries on rights and licenses, including subsidiary rights, should be addressed to World Bank Publications, The World Bank Group, 1818 H Street NW, Washington, DC 20433, USA; fax: 202-522-2625; e-mail: pubrights@worldbank.org.