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# User Manual / Operational Guidelines OID Application

This document provides detailed instructions for using the OID Application.

**Target Audience:** Bank Users

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# 1. INTRODUCTION

The OID Application has been created for Reserve Bank of India, Overseas Investment Division (OID) and will enable RBI to efficiently computerize, store, query and analyze data generated and received by OID.

## 1.1. PURPOSE OF THIS DOCUMENT:

This document provides detailed usage instructions for working with the OID Application and is intended to serve as a reference document for users of this Application.

## 1.2. DEFINITIONS AND ACRONYMS USED IN THIS DOCUMENT:

Phrase / Abbreviation	Description
AD	Authorized Dealer
OID	Overseas Investment Division
RBI	Reserve Bank of India
UIN	Unique Identification Number
ESOP	Employee Stock Option Plans
Transaction	<p>A “Transaction” is a workflow-based task that is performed by banks and RBI. The current release of the OID Application supports the following Transactions:</p> <ul style="list-style-type: none"> <li>❖ Part I (New Project Creation) – Automatic and Approval Routes</li> <li>❖ Part I – Section C (Investments in Existing Projects)</li> <li>❖ Part II – Reporting of Remittances</li> <li>❖ Part III – Annual Performance Reporting</li> <li>❖ ESOP Schemes – Annexure I and II</li> <li>❖ Investment by Mutual Funds</li> <li>❖ Portfolio Investments (AP DIR Circular 66)</li> </ul>



**1.3. APPLICATION USERS**

There are broadly two categories of users:

1. Users from Banks reporting to RBI (**Bank Users**), and
2. Users from RBI's OID (**RBI Users**). Among RBI Users, three distinct categories of users exist as defined below:

User Type	Description
Bank Users	All end-users of the Banks that report to RBI. There can be multiple user IDs for each Bank. All Bank Users have the same privileges.
RBI User – Viewer	An RBI user who has data-entry privilege, but no ratification privilege.
RBI User – Approver	An RBI user who can approve, refer-back or reject Transactions awaiting RBI ratification.
RBI User – Overrider	Currently, essentially the same as RBI Approver in terms of Application privileges.



**1.4. TRANSACTION STATUS CODES AND THEIR MEANING**

Status Name	Description
<b>Pending</b>	The Transaction has been created and exists in the Database with a unique Transaction Number, <b>but is not yet visible to RBI Approver / Super-User roles, but is visible to RBI Viewer role</b> . A Bank user or RBI Viewer can work with the Transaction without any restrictions.
<b>Reported / Submitted to RBI</b>	The Transaction has been submitted to RBI successfully. <b>A Transaction can acquire this status only if the Application's validation logic determines that the Transaction does not require RBI's ratification</b> . In this case, the Transaction acquires this status immediately upon submission of the data. <b>Where applicable, the UIN is generated immediately</b> .
<b>Pending for RBI Ratification / Approval</b>	The Transaction has been submitted to RBI but is awaiting ratification from the authorized RBI user.
<b>Approved</b>	The Transaction was routed to RBI for ratification, and was subsequently successfully ratified by RBI. <b>Where applicable, the UIN is generated as soon as the authorized RBI user approves the Transaction</b> .
<b>Referred Back</b>	The Transaction was routed to RBI for ratification, but was subsequently sent back to the concerned Bank by an authorized RBI user. <b>This may happen if an approval could not be issued for the Transaction due to data discrepancies</b> . The concerned Bank must re-submit the Transaction; and the Transaction will again be routed to RBI for ratification.
<b>Rejected</b>	The Transaction was routed to RBI for ratification, <b>but RBI has, at its discretion, decided that the Transaction cannot be approved</b> . The Transaction then acquires this status and subsequently cannot be worked with by the submitting Bank. <b>The Transaction is effectively de-activated permanently and its status cannot be changed under any circumstances by any user</b> .



**1.5. USER PERMISSIONS MATRIX**

A role-based permission matrix is implemented in the OID Application. **What a user can do with a Transaction in a particular status is defined in the tables below.**

Transaction Status	PENDING			
User Role	Bank User	RBI Viewer	RBI Approver	RBI Overrider
Permission				
Update Transaction	Y	Y	N*	N*
Delete Transaction	Y	Y	N*	N*
Submit Transaction to RBI	Y	Y	N*	N*

**\* The Transaction is not visible to this user.**

Transaction Status	REPORTED / SUBMITTED TO RBI			
User Role	Bank User	RBI Viewer	RBI Approver	RBI Overrider
Permission				
Update Transaction	N	N	Y	Y
Delete Transaction	N	N	N	N
View Transaction	Y*	Y*	Y	Y

**\* The Transaction is visible in READ-ONLY mode to this user.**





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Transaction Status	PENDING FOR RBI APPROVAL / RATIFICATION			
User Role	Bank User	RBI Viewer	RBI Approver	RBI Overrider
Permission				
Approve Transaction	N	N	Y	Y
Reject Transaction	N	N	Y	Y
Update Transaction	N	N	Y	Y
Delete Transaction	N	N	N	N
View Transaction	Y*	Y*	Y	Y

\* - The Transaction is visible in READ-ONLY mode to this user.

Transaction Status	APPROVED			
User Role	Bank User	RBI Viewer	RBI Approver	RBI Overrider
Permission				
Change Transaction Status	N	N	N**	N**
Update Transaction	N	N	Y	Y
Delete Transaction	N	N	N	N
View Transaction	Y*	Y*	Y	Y

\* The Transaction is visible in READ-ONLY mode to this user.  
\*\* Once the Transaction is ratified (approved), its Status cannot be changed by any user.



Transaction Status	REFERRED-BACK			
User Role	Bank User	RBI Viewer	RBI Approver	RBI Overrider
Permission				
Change Transaction Status	Y	Y	N*	N*
Update Transaction	Y	Y	Y	Y
Delete Transaction	N	N	N	N
View Transaction	Y	Y	Y	Y

**\* Once the Transaction is Referred-Back to the Bank, RBI users cannot change the Status, but can otherwise modify the Transaction's data.**






Transaction Status	REJECTED			
User Role	Bank User	RBI Viewer	RBI Approver	RBI Overrider
Permission				
Change Transaction Status	N	N	N*	N*
Update Transaction	N	N	Y	Y
Delete Transaction	N	N	N	N
View Transaction	Y	Y	Y	Y

**\* Once the Transaction is Rejected, RBI users cannot change the Status, but can otherwise modify the Transaction's data.**






## 2. UNDERSTANDING THE USER INTERFACE

### 2.1. GUI ELEMENTS

The Application uses various icons to provide you a friendly and easy-to-understand interface. Some of the important icons and their usage in the Application are shown below. **Note:** There may be slight changes in the Application GUI – the screenshots provided in this document may change slightly in the Production environment.

Icon Image	What is this?	Description
	Lock Icon	This icon appears on the login page and denotes that you are <b>currently not logged-in</b> . You must enter your credentials and login to continue working.
	Information Icon	This icon indicates that some important information messages were generated by the Application. <b>You are advised to read the messages before performing any other action.</b>
	Warning Icon	This icon appears to indicate that warning messages were generated by the Application. <b>Usually these messages pertain to business validation failures that require your immediate attention, before you can complete your task.</b>
	Error Icon	This icon indicates that severe errors occurred while performing the operation you requested. If the icon appears on the top of the Transaction page, it indicates that your <b>page data could not be saved.</b>
	Question Icon	This icon appears whenever <b>your confirmation is required</b> to perform the operation you requested.



	Next Steps Icon	This icon appears in the “Next Steps” dialog. The icon indicates that there are links to other (child) Transaction pages that you need to complete.
	Calendar Button	This button appears next to all editable Date fields and enables you to select a desired date.
	Search Button	This button appears next to all fields that have a search facility. Clicking this button opens the appropriate search window.
	Confirmation Icon	This icon appears on the message bar when an operation completes successfully.
	Failure Icon	This icon appears on the message bar when an operation does not complete successfully.



## 2.2. GENERAL SCREEN LAYOUT

Please refer the snapshot and the legend below to understand various screen elements in a Transaction screen:

The screenshot shows the 'Foreign Exchange Department Overseas Investment Application' interface. At the top, there is a header with the State Bank of India logo (1), the title 'Foreign Exchange Department Overseas Investment Application' (2), the date and time '26-October-2009 03:33:37 PM', and navigation links 'Home Setup Tasks Query' (3) and 'Troubleshoot | Logout' (4). A yellow status bar (5) displays a message: 'The following Part I - Automatic Route details were retrieved successfully.' (6). Below this is a 'Next Steps' section (7) with a blue arrow icon and text explaining the required sections: Section A (Indian Promoters), Section B (Project details), and Section D (Funding pattern). The main form area (8) is titled 'PART I - AUTOMATIC ROUTE' and contains fields for Transaction No and Date (000000120090025, 05/10/2009 02:03:04 PM), Bank Code (000, STATE BANK OF INDIA), Authorized Dealer (AD) (0000001, CALCUTTA, MAIN BRANCH), Reporting Date (26/10/2009), Transaction Status (Pending), and Status Date (12/10/2009 05:18:57 PM). It also includes a dropdown for Purpose of Investment (Contribution in WOS) and a field for No of Indian Promoters (2). A confirmation section (9) asks the user to confirm adherence to FEMA/RBI guidelines. The 'REPORTING AD DETAILS' section (10) includes fields for Point of Contact (Mr. Hiren Shah), Designation (CTO), Telephone Number (033-40004500), Fax Number (033-45104000), Date (26/10/2009), and City (Mumbai). At the bottom, there are 'Update', 'Clear', and 'Exit' buttons (11).



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Legend	What is this?	Description
1	Page Header	The Page common header page appears in dark red color. <b>Transaction child (inner) pages do not contain the page header.</b>
2	Date and Time	The current system date and time appear on the page header at Top, Right.
3	Contact Us, Help and Logout Links	Contact Us leads to a page that displays RBI contact information for any assistance you may require with the OID Application. Help leads to the help screen for OID Application. The Logout link will log you out. <b>Any unsaved changes will be lost.</b>
4	Welcome Panel	The logged-in user name, Group and time of login are displayed in the Welcome Panel.
5	Menu Panel	The Menu Panel contains all the menu commands available to the logged-in user. <b>You can only work with the links which appear in the Menu Panel.</b> To open the menu, move your mouse over the menu bar and the menu will expand.
6	Message Panel	This information panel displays operational status messages returned by the database after each operation, such as the outcome of a Get, Add, or Modify command.
7	Next Steps Dialog	This dialog contains a link to each section exposed by this Transaction. Click the link for a particular section and enter information required on that page. <b>Transactions cannot be submitted to RBI unless all mandatory sections are filled with correct data.</b>
8	Transaction Header	Each Transaction has a set of common fields. These fields are: Transaction Number and Date, Bank Code and Name, AD Code and Name, Reporting Date, File Reference Number, Transaction Status, Status Date and Remarks. <b>Depending on the user privileges, one or more fields may not be visible. Only the Transaction main page display the Header. Inner (child) sections do not contain this Header.</b>



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9	<b>Transaction Body</b>	Each Transaction contains fields that appear below the Transaction Header. <b>These fields constitute the body of the Transaction.</b> You are expected to provide the actual data in these fields for submitting to RBI.
10	<b>Transaction Footer</b>	Each Transaction main page contains information about the Reporting AD. <b>If the Reporting Authorized Dealer details are available in the Authorized Dealer Master, the details will be populated into the Footer as soon as you type the Authorized Dealer Code or select an Authorized Dealer using the search screen.</b>



11	<b>Buttons Panel</b>	<p>These buttons enable you to perform a desired action on the currently open screen. <b>Note that only valid actions are available, other actions are hidden from view.</b> For example, while modifying a Transaction, you will not see the <b>Add</b> button since this operation is not permitted when you are editing a Transaction.</p> <p><b>Click the corresponding Action button to perform an action with the currently opened screen.</b></p> <p>The following buttons are <b>always available</b> in the Buttons Panel:</p> <ul style="list-style-type: none"><li>❖ <b>Clear:</b> Clears the contents of the currently open Transaction. All unsaved changes are discarded.</li><li>❖ <b>Exit:</b> Takes you back to the Welcome page. All unsaved changes are discarded. On child pages, a <b>Close</b> button appears instead of <b>Exit</b>; its purpose is to <b>simply close</b> the <b>new window</b> that was opened for that screen.</li><li>❖ <b>Reset:</b> Clears your typing in all fields on the form, and restores the value of each field to what it was before you replaced them.</li></ul> <p>The following Action buttons are <b>conditionally available</b> in the Buttons Panel:</p> <ul style="list-style-type: none"><li>❖ <b>Add:</b> Available only in <b>ADD</b> mode. Click this button to add a new Transaction or Master record to the database.</li><li>❖ <b>Update:</b> Available only in <b>UPDATE</b> mode. Click this button to update an existing Transaction or Master record.</li></ul>
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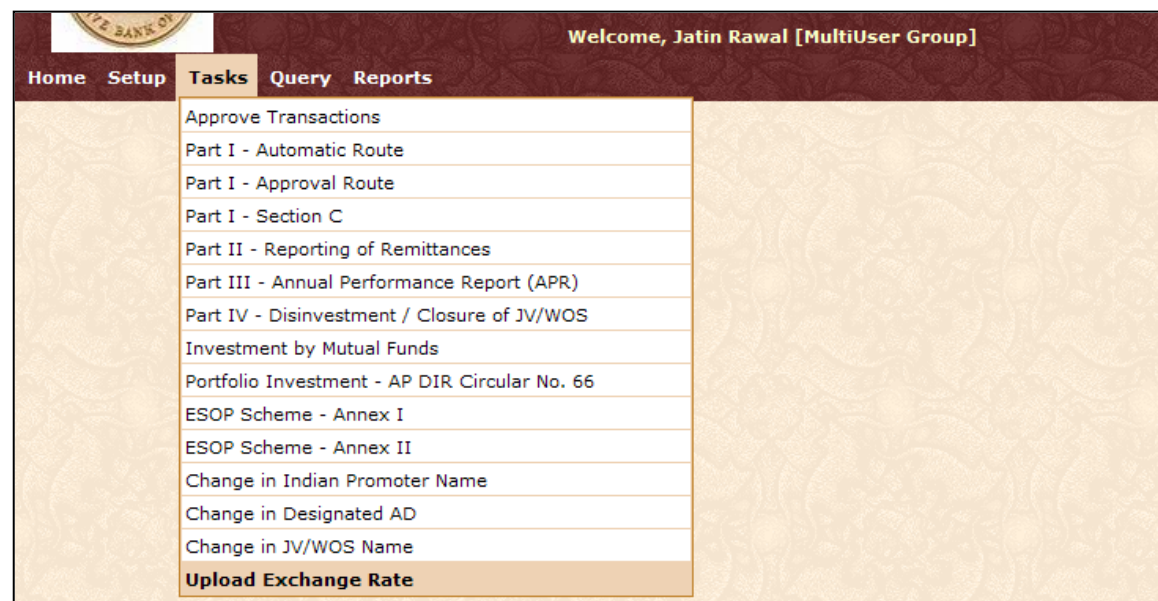


## 2.3. UNDERSTANDING PAGE NAVIGATION

Page Navigation is implemented in a consistent manner throughout the OID Application. So, whether you are working with a Master, or completing a Transaction, or performing a query, you will find that navigation is always similar and easy to understand.

### 2.3.1. Finding Your Screen

Your screen will be listed in the **Menu Panel**. Move the mouse over the **Menu Panel** and it will expand and show you all allowed **Master, Transaction, Query** and **Report** screens. The following series of screenshots shows how the menu looks like for a RBI User.





Note below that some Reports menu items are **differently formatted**; a menu item that contains sub-items appears on a dark background, with an arrow-mark located next to it, indicating that the menu can be expanded to reveal another set of menu items.



Some **Report Labels** in the Menu Table appear against a dark background with an arrow-mark that indicates that the **menu item contains more commands**.

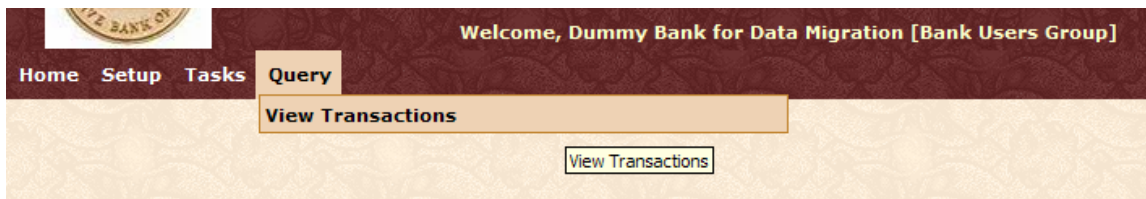
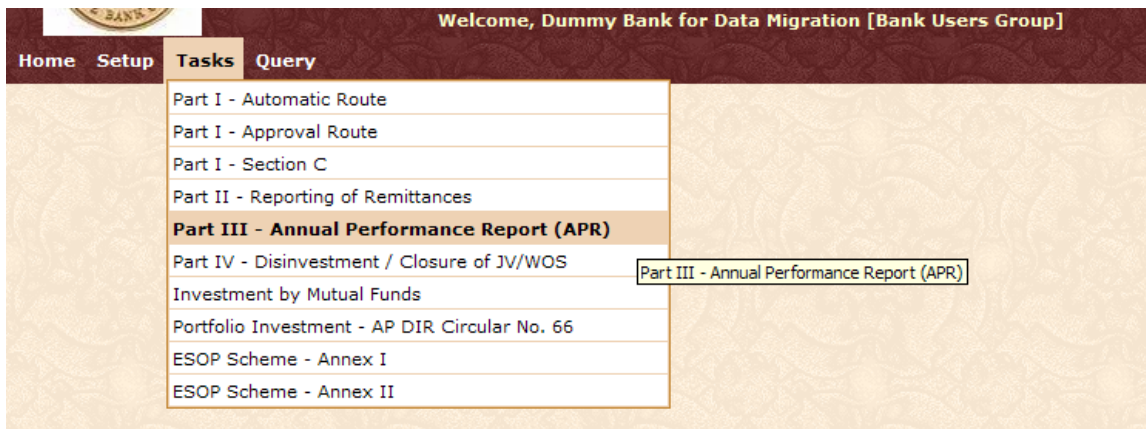
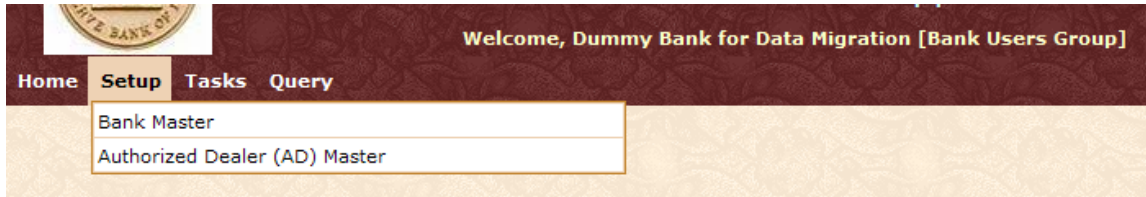
Move the mouse over the menu item to expand it and see all available commands in that menu:



The menu label **“DEAP Reports”** is expanded to reveal all available Reports in that category.



The following screenshots show how the **Menu Panel** appears for a **Bank User** (who by default has **lesser privileges** than a RBI User):



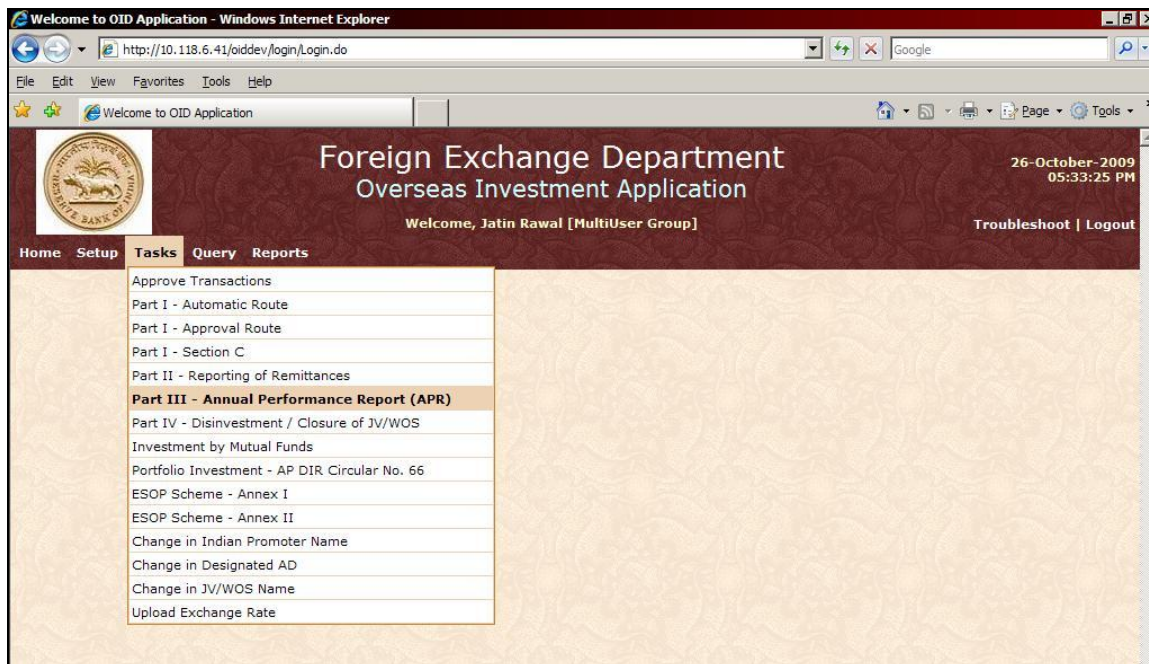
Note that, in general, **Bank Users have a much more restricted access to the Application than do the RBI Users. Not all Transactions are exposed to every Bank User**; this depends on what permissions are mapped for that **Bank Group**. Also, no **“Report”** menu item appears for the Bank User, as currently **no reports are exposed to the Bank Users Group**.

If you work with a particular Transaction but cannot see it on the Menu Panel, please send a request for access to your RBI contact person.



### 2.3.2. Opening Your Screen

- 1) Move the mouse over the Menu Panel. The Menu Panel will expand and reveal available commands:





- 2) Click on the screen you wish to open. In this example, **Part I – Automatic Route Transaction screen** has been chosen. The selected screen will open in the same browser window. The expanded **Menu Panel collapses automatically**.

The screenshot shows the 'Foreign Exchange Department Overseas Investment Application' interface. At the top, there is a header with the Reserve Bank of India logo, the title 'Foreign Exchange Department Overseas Investment Application', the date and time '26-October-2009 05:37:13 PM', and a user greeting 'Welcome, Jatin Rawal [MultiUser Group]'. Below the header is a navigation menu with 'Home', 'Setup', 'Tasks', 'Query', and 'Reports'. The main content area is titled 'PART I - AUTOMATIC ROUTE' and contains several input fields: 'Transaction No and Date', 'Bank Code', 'Authorized Dealer (AD)', 'Reporting Date', 'File Reference Number', 'Transaction Status' (set to 'Pending'), and 'Status Date'. There is also a 'Remarks' text area. Below these fields are 'Purpose of Investment' (a dropdown menu) and 'No of Indian Promoters' (a text input with '0'). A confirmation section follows with the text 'We hereby confirm that:' and two checkboxes: 'i) All the details being submitted are in adherence to all FEMA / RBI guidelines.' and 'ii) We have retained Section E and Section F strictly as per RBI formats.' Below this is the 'REPORTING AD DETAILS' section with fields for 'Point of Contact', 'Point of Contact Designation', 'Telephone Number', 'Date', 'Fax Number', and 'City'. At the bottom of the form are three buttons: 'Get', 'Clear', and 'Exit'.

- 3) You can now start working with the opened screen.

### 2.3.3. Using Navigation Buttons

As explained earlier in Section 2.2, navigation is implemented in the **Buttons Panel**. Each screen will contain this Panel, exposing the buttons relevant for that screen. **The Buttons Panel will only contain buttons that are relevant to you**; this is decided based on your permissions, the page status and other factors.

However, all screens will contain a **Clear** button and a **Close** or **Exit** button that allows you to leave the page. Master Screens additionally contain a **Reset** button that is explained in Section 2.2.

The **Buttons Panel differs slightly between Master, Transaction and other pages**. A series of screenshots below shows you how to enter and exit pages, work with buttons on a page and certain other navigational features.



The following table describes all **Action Panel Buttons** in detail:

Button Name	Action
Get	Performs a <b>GET</b> command to fetch data from the backend. Information required for the <b>GET</b> operation must be provided.
Add	This button appears only when the screen is in <b>ADD</b> mode and the user has the permissions to insert data. This button performs an <b>INSERT</b> operation on the backend table(s). Before information can be added, all specified validations will be applied and must be successfully completed.
Modify	This button appears only when the screen is in <b>MODIFY</b> mode and the user has the permissions to modify existing data. This button performs an <b>UPDATE</b> operation on the backend table(s). Before information can be updated, all specified validations will be applied and must be successfully completed.
Reset	This button has <b>special functionality</b> : it can be used to reset your changes to all fields on the screen at one go. Whatever data was present in the fields originally will be restored.  <b>Caution: This button will discard newly typed information in all fields without warning.</b>
Exit / Close	The <b>Close</b> button is only visible for windows that were opened by a Transaction main page. When clicked, the <b>Close</b> button <b>simply closes the new window</b> and returns you to the Transaction main page.  The <b>Exit</b> button is present on all other screens, and when clicked, the button takes you back to the Home page.  <b>Caution: These buttons will discard all unsaved information on your current page without warning.</b>
Clear	This button will refresh the page, re-initialize all fields, and show you the same page in <b>ADD</b> mode, if applicable.  <b>Caution: This button will discard all unsaved information on your current page without warning.</b>



### 3. PERFORMING COMMON TASKS

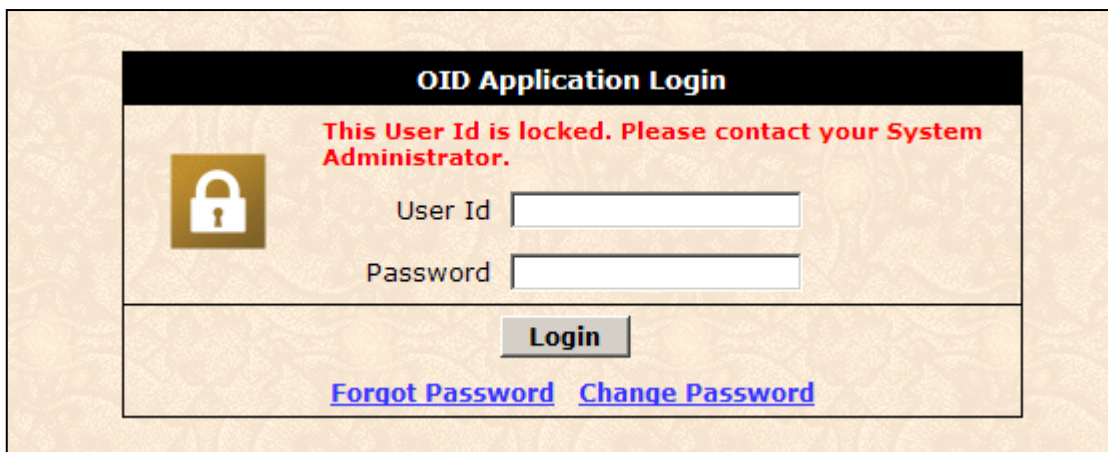
#### 3.1. LOGGING-IN TO THE APPLICATION:

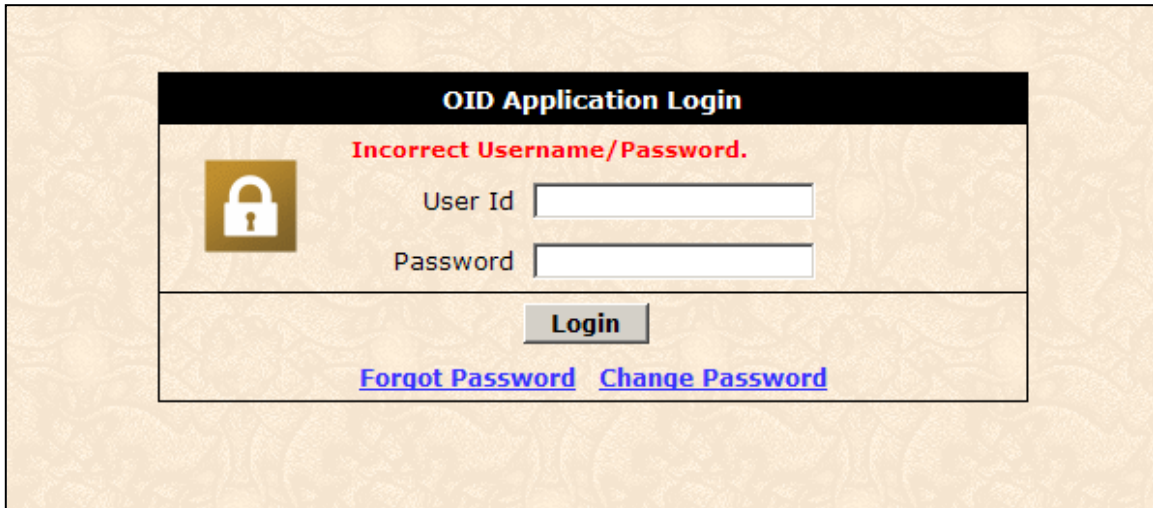
Users can connect to the OID Application through RBI's Secured Website using the URL:  
<https://secweb.rbi.org.in/oid/login/Login.do>

When you enter the above URL, the Application Login screen appears:

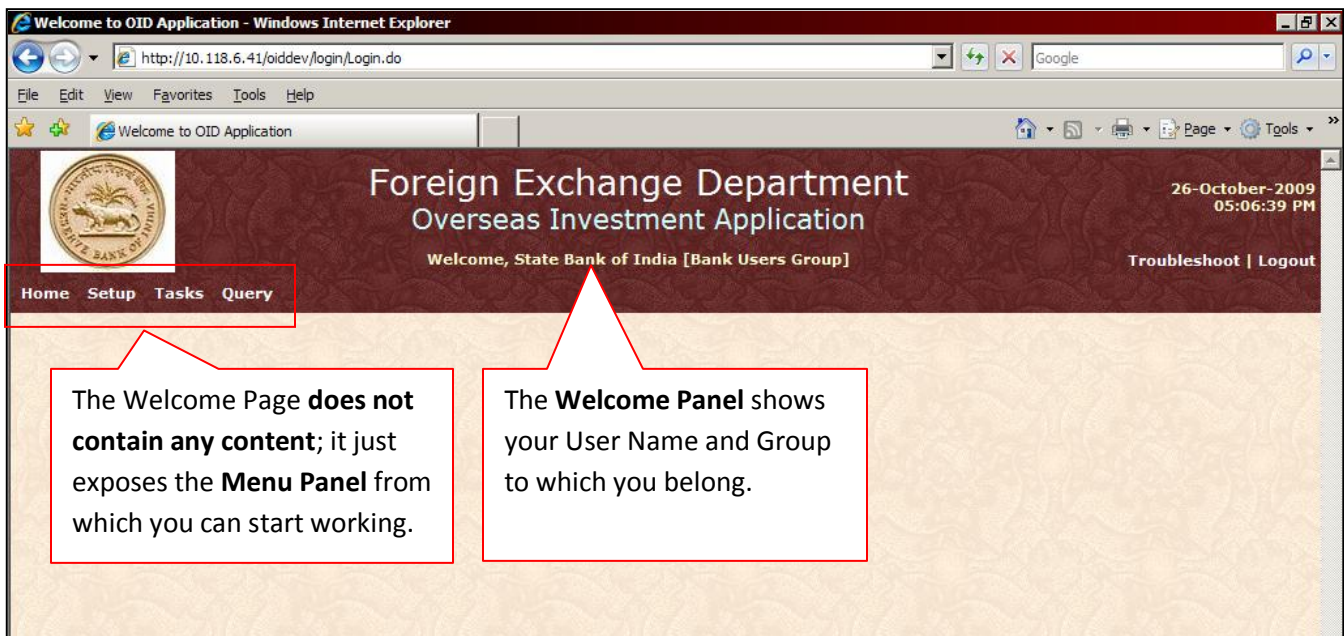


Enter your User Id and Password and **click Login** or **press Enter**. If your password does not match, or if your User ID is locked, you will see the appropriate message:





If your login was successful, you will be taken to the **Welcome Page**.







### **3.2. OPENING A PAGE**

Links to available screens are contained in the **Setup, Tasks and Query** Menu items. **Move the mouse over a Menu item and the list of available screens in that item is displayed in a drop-down table.** Click the screen you wish to work with, and the Application will open the screen in the same browser window.



### 3.3. ACCESSIBILITY RESTRICTIONS

All Transactions that provide data to RBI are exposed to all reporting Banks. Administrative tasks, such as change in the Designated AD for a particular Project (UIN), change in the Name of an existing Project etc, advanced query options, and reports are currently only available to RBI.

A list of available Transactions for an RBI User.

Home	Setup	Tasks	Query	Reports
		Approve Transactions		
		Part I - Automatic Route		
		Part I - Approval Route		
		Part I - Section C		
		Part II - Reporting of Remittances		
		Part III - Annual Performance Report (APR)		
		Part IV - Disinvestment / Closure of JV/WOS		
		Investment by Mutual Funds		
		Portfolio Investment - AP DIR Circular No. 66		
		ESOP Scheme - Annex I		
		ESOP Scheme - Annex II		
		Change in Indian Promoter Name		
		Change in Designated AD		
		Change in JV/WOS Name		
		Upload Exchange Rate		

The list of Transactions exposed to Bank Code 999.

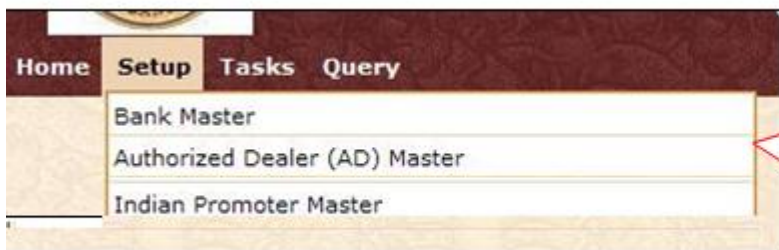
Home	Setup	Tasks	Query
		Part I - Automatic Route	
		Part I - Approval Route	
		Part I - Section C	
		Part II - Reporting of Remittances	
		Part III - Annual Performance Report (APR)	
		Part IV - Disinvestment / Closure of JV/WOS	
		Investment by Mutual Funds	
		Portfolio Investment - AP DIR Circular No. 66	
		ESOP Scheme - Annex I	
		ESOP Scheme - Annex II	



Among Masters, Bank Users have **restricted access** to only Bank Master and AD Master. In these Masters, Bank Users can **only access details pertaining to their own Bank and reporting ADs**. RBI Users are allowed unrestricted access to all Masters.



All Master screens are available for **RBI Users**.



Only **Bank** and **AD** Master are available to **Bank Users**.



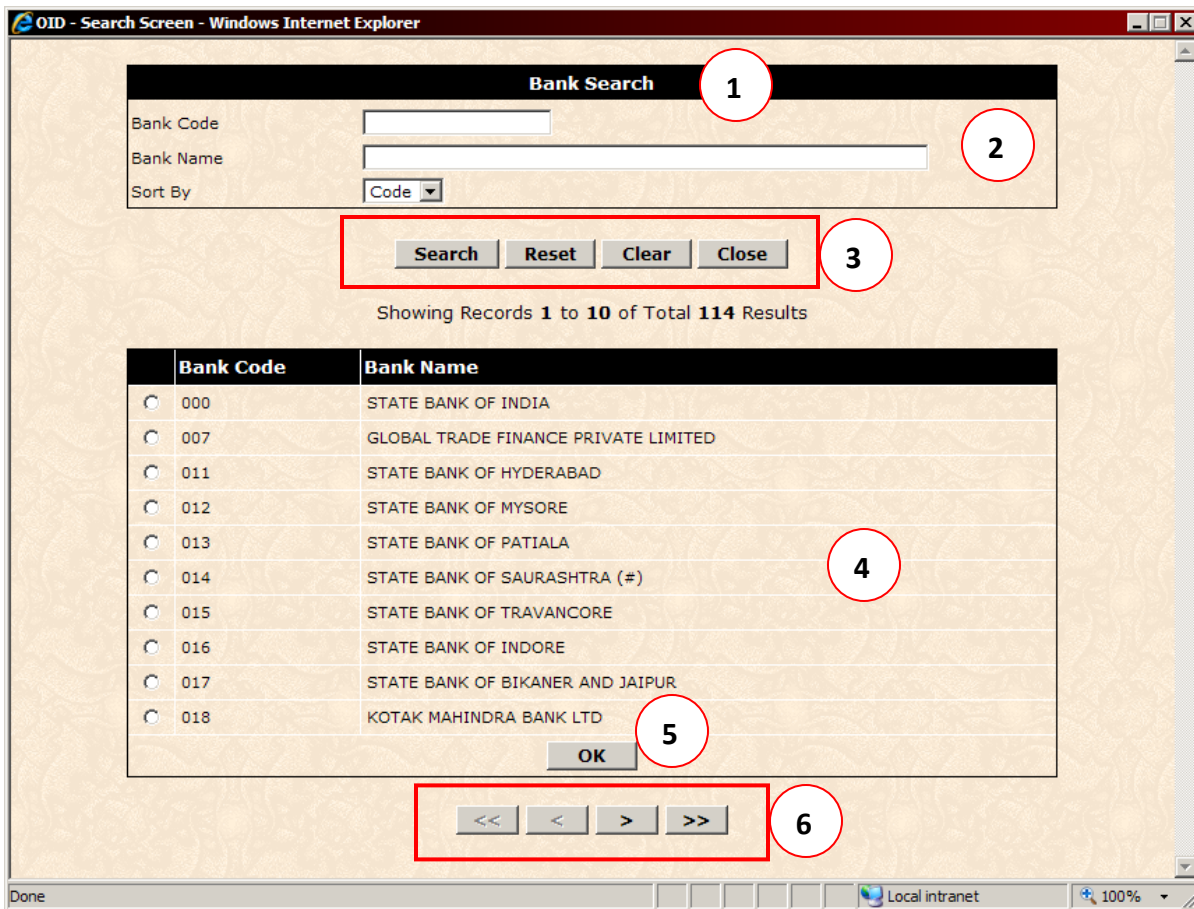


**3.4. OPENING AND WORKING WITH SEARCH WINDOWS:**

Search buttons are available wherever there are data fields that can be searched from a corresponding Master or Transaction table. It is not necessary to use the Search utility if you remember / know what data should be entered in the corresponding field. You can type the value for the field if you know it. You can also partially type the Code or Name field, and use the Search utility to obtain a filtered list of matches.

**3.4.1. Understanding the Master Search Screen Layout**

The layout of all Search screens is the same (except for Transaction Search, whose layout is different and shown in the next section). An example is the Bank Search screen below:





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Legend	What is it?	Description
1	<b>Search Title Panel</b>	The Search Title displays what is being searched for.
2	<b>Explicit Search Criteria section</b>	<p>The <b>Explicit Search Criteria Section</b> enables you to filter (narrow-down) the Search results by providing additional information <b>specific to this Search</b>. For example, you can provide:</p> <ul style="list-style-type: none"><li>❖ <b>Partial or complete</b> AD Code or AD Name for AD Search.</li><li>❖ <b>Partial or complete</b> UIN or Project Name for UIN Search etc.</li></ul> <p>You can also control the <b>sort order</b>. <b>Implicit criteria</b> (such as <b>Bank Code</b> for a Bank User) are <b>propagated from the main page</b>, and <b>cannot be changed</b> here.</p>
3	<b>Buttons Panel</b>	<p>The Buttons Panel contains the commands buttons to apply your filtering criteria specified in the <b>Explicit Search Criteria Section</b>. The following are the buttons and their functionality:</p> <ul style="list-style-type: none"><li>❖ <b>Search</b>: This button applies whatever search criteria are specified in the <b>Explicit Search Criteria Section</b> and begins a search operation on the appropriate table.</li><li>❖ <b>Reset</b>: This button resets any manual typing you may have done in the Criteria section.</li><li>❖ <b>Clear</b>: This button removes all criteria specified in the <b>Explicit Search Criteria Section</b>. Inherited criteria (Implicit Search Criteria) <b>arising from the parent page are not affected</b>.</li><li>❖ <b>Close</b>: This button will close the window immediately, <b>without communicating your selection (if any)</b>, to the parent page.</li></ul>
4	<b>Search Results Section</b>	The <b>Search Results Section</b> contains one row for each record that matched your Search criteria in the corresponding Master table. <b>You can select a record by clicking the button at the beginning (extreme left) of each row, and clicking OK.</b> This will communicate your selection to the parent page where you started your Search from, <b>and will also automatically close the Search window.</b>



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5	<b>OK Button</b>	The OK button will <b>communicate your selection to the main Transaction page</b> . If you do <b>not</b> select a record from the Search results, the <b>OK</b> button will prompt you to do so. <b>If you do not wish to make a selection, use the Close button to close the Search window.</b>
5	<b>Navigation Buttons Panel</b>	The <b>Navigation Buttons Panel</b> contains <b>First, Previous, Next</b> and <b>Last</b> buttons. The <b>Next</b> and <b>Previous</b> buttons fetch 10 records in the <b>forward</b> or <b>reverse</b> direction, respectively. The <b>First</b> and <b>Last</b> buttons take you to the <b>beginning</b> or <b>end</b> of the result set. <b>Only 10 records will be shown at any time. If the search result count is less than 10, these buttons will not be visible.</b>



### 3.4.2. Understanding the Transaction Search Screen Layout

The Transaction Search window searches for Transaction tables for records that match your search criteria. **The Transaction Search is implicitly filtered according to the page you initiated the search from. For example, if you clicked the Transaction Search button from 'Part II – Reporting of Remittances' main page, the Transaction Search will only show Part II Transaction Numbers and not others.** The layout of the Transaction Search screen is the same for all Transactions, and is shown below.

**1** SEARCH TRANSACTIONS (Part II - Reporting of Remittances)

Bank code

Authorized Dealer (AD)

Transaction Date - From  Transaction Date - To

Transaction Number

**2**

**3** Search Reset Clear Close

Showing 1 to 10 of Total 16687 Results

Transaction Number	Transaction Date	Bank Code	AD Code	AD Name	UIN	Transaction Status	Status Date
000000120090064	08/10/2009	000	0000001	CALCUTTA, MAIN BRANCH	NDPRN20050495	Reported/Submitted to RBI	08/10/2009
000000120090063	08/10/2009	000	0000001	CALCUTTA, MAIN BRANCH	AHWAZ20060503	Reported/Submitted to RBI	12/10/2009
656000120090002	08/10/2009	656	6560001	BOMBAY	MAJAZ20090205	Reported/Submitted to RBI	08/10/2009
656000120090001	08/10/2009	656	6560001	BOMBAY	MAJAZ20090205	Reported/Submitted to RBI	08/10/2009
000000620090007	06/10/2009	000	0000006	ALLAHABAD	MAJAZ20050186	Approved	12/10/2009
999000120090034	06/10/2009	999	9990001	DUMMY AD FOR DATA MIGRATION	HYWRA19960018	Reported/Submitted to RBI	08/10/2009
000000120090061	05/10/2009	000	0000001	CALCUTTA, MAIN BRANCH	MAJAZ20090204	Pending for RBI Ratification/Approval	08/10/2009
000000120090060	05/10/2009	000	0000001	CALCUTTA, MAIN BRANCH	AHWAZ20060503	Pending for RBI Ratification/Approval	05/10/2009
000000120090059	05/10/2009	000	0000001	CALCUTTA, MAIN BRANCH	MAJGX19950172	Reported/Submitted to RBI	05/10/2009
000000120090058	05/10/2009	000	0000001	CALCUTTA, MAIN BRANCH	BYWAZ20060327	Pending for RBI Ratification/Approval	05/10/2009

**4**

**5** OK

**6** << < > >>





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Legend	What is it?	Description
1	Search Title Panel	The Search Title reflects the Transaction Name that is being searched.
2	Explicit Search Criteria section	<p>The <b>Explicit Search Criteria Section</b> enables you to filter (narrow-down) the Search results by providing additional information <b>specific to this Search</b>. For example, you can provide:</p> <ul style="list-style-type: none"><li>❖ <b>Bank Code:</b> For Bank Users, this defaults to the logged-in Bank Code. RBI Users can specify any Bank Code to narrow-down their results. Note that a partial Bank Code is not acceptable – the Search will fail with an error message (illustrated in a later section).</li><li>❖ <b>AD Code:</b> Both RBI and Bank Users can specify a complete AD Code for filtering the search results. Note that a partial Bank Code is not acceptable – the Search will fail with an error message (illustrated in a later section).</li><li>❖ <b>Transaction Date – From:</b> Denotes the beginning of a Search-by-date range. The Transaction’s Reporting Date is used for the Search.</li><li>❖ <b>Transaction Date – To:</b> Denotes the end of a Search-by-date range. The Transaction’s Reporting Date is used for the Search. <b>You can provide only the “Transaction Date – To” or only the “Transaction Date – From” or neither or both. If you specify both, please note that the “Transaction Date – To” date is expected to be later than the “Transaction Date – From” date.</b></li><li>❖ <b>Transaction Number:</b> You can specify a complete or partial Transaction Number to limit your search to only Transactions that contain the value you specified.</li></ul> <p>You can also control the <b>sort order</b>. <b>Implicit criteria</b> (such as <b>Bank Code</b> for a Bank User) are propagated from the main page, and cannot be changed here.</p>



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3	Buttons Panel	<p>The Buttons Panel contains the commands buttons to apply your filtering criteria specified in the <b>Explicit Search Criteria Section</b>. The following are the buttons and their functionality:</p> <ul style="list-style-type: none"><li>❖ <b>Search</b>: This button applies whatever search criteria are specified in the <b>Explicit Search Criteria</b> section and begins a search operation on the appropriate table. <b>Note that a search will always include implicit criteria as well, though these are not visible on the Search page.</b></li><li>❖ <b>Reset</b>: This button resets any manual typing you may have done in the <b>Explicit Search Criteria</b> section. Inherited criteria (<b>Implicit Search Criteria</b>) arising from the parent page are not affected.</li><li>❖ <b>Clear</b>: This button removes all criteria specified in the <b>Explicit Search Criteria Section</b>. All inherited criteria (Implicit Search Criteria) arising from the parent page are not affected.</li><li>❖ <b>Close</b>: This button will close the window immediately, <b>without communicating your selection (if any)</b>, to the parent page.</li></ul>
4	Search Results Section	<p>The <b>Search Results Section</b> contains one row for each record that matched your Search criteria in the corresponding Transaction table. Sufficient information is provided in each row for you to identify the Transaction you searched for. <b>You can select a Transaction by clicking the record selector at the beginning (left) of each row, and clicking OK.</b> This will communicate your selection to the parent page where you started your Search from, <b>and will also automatically close the Search window.</b></p> <p>Note that the main page will immediately issue a <b>GET command</b> to retrieve the Transaction you selected in the Search window.</p>



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5	OK Button	The <b>OK</b> button will <b>communicate your selection to the main Transaction page so that Transaction retrieval can begin</b> . If you do <b>not</b> select a Transaction from the Search results, the <b>OK</b> button will prompt you to do so. <b>If you do not wish to make a selection, use the Close button to close the Search window.</b>
6	Navigation Buttons Panel	The <b>Navigation Buttons Panel</b> contains <b>First, Previous, Next</b> and <b>Last</b> buttons. The <b>Next</b> and <b>Previous</b> buttons fetch 10 records in the <b>forward</b> or <b>reverse</b> direction, respectively. The <b>First</b> and <b>Last</b> buttons take you to the <b>beginning</b> or <b>end</b> of the result set. <b>Only 10 records will be shown at any time. If the search result count is less than 10, these buttons will not be visible.</b>



Some Search examples are given below, for User ID = 999 [Dummy Bank – Testing Purposes].

### 3.4.3. Performing a Transaction Search

Click the Search button next to the **Transaction Number** field to open **Transaction Search window**:

**SEARCH TRANSACTIONS (Part I - Automatic Route)**

Bank code: 999 Dummy Bank for Data Migration

Authorized Dealer (AD): [Search]

Transaction Date - From: [Calendar] Transaction Date - To: [Calendar]

Transaction Number: [Text]

Search Reset Clear Close

Showing 1 to 10 of Total 11 Results

Transaction Number	Transaction Date	Bank Code	AD Code	AD Name	UIN	Transaction Status	Status Date
999000120090061	24/09/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	05/10/2009
999000120090060	24/09/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	24/09/2009
999000120090059	24/09/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	24/09/2009
999000120090058	18/09/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	23/09/2009
999000120090056	19/08/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	16/09/2009
999000120090055	04/08/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	27/08/2009
999000120090054	28/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	28/07/2009
999000120090053	27/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Referred Back	29/09/2009
999000120090052	27/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	28/08/2009
999000120090051	27/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	27/07/2009

OK

Local intranet 100%



Now provide a partial Transaction Number (9005) in the Transaction Number field:

A partial (incomplete) Transaction Number is provided on the main page.

Clicking the Transaction Search button now produces the following filtered list containing 9 items:

Transaction Number	Transaction Date	Bank Code	AD Code	AD Name	UIN	Transaction Status	Status Date
999000120090059	24/09/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	24/09/2009
999000120090058	18/09/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	23/09/2009
999000120090056	19/08/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	16/09/2009
999000120090055	04/08/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	27/08/2009
999000120090054	28/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	28/07/2009
999000120090053	27/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Referred Back	29/09/2009
999000120090052	27/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	28/08/2009
999000120090051	27/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	27/07/2009
999000120090050	24/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION		Pending	28/08/2009



You can provide further criteria in the Search window itself to narrow-down the results still further. In the example below, a **Start date and End Date** are specified:

The following transactions matched the search criteria you provided.

**SEARCH TRANSACTIONS (Part I - Automatic Route)**

Bank code: 999 Dummy Bank for Data Migration

Authorized Dealer (AD): [Search]

Transaction Date - From: 24/07/2009 Transaction Date - To: 28/07/2009

Transaction Number: 9005

Search Reset Clear Close

Showing 1 to 5 of Total 5 Results

Transaction Number	Transaction Date	Bank Code	AD Code	AD Name	UIN
999000120090054	28/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION	Pending 28/07/2009
999000120090053	27/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION	Referred Back 29/09/2009
<b>999000120090052</b>	<b>27/07/2009</b>	<b>999</b>	<b>9990001</b>	<b>DUMMY AD FOR DATA MIGRATION</b>	<b>Pending 28/08/2009</b>
999000120090051	27/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION	Pending 27/07/2009
999000120090050	24/07/2009	999	9990001	DUMMY AD FOR DATA MIGRATION	Pending 28/08/2009

OK

**Active Search criteria:**  
Bank Code = 999 **AND**  
Date Range: 24/07/2009 - 28/07/2009 **AND**  
Transaction Number contains "9005"

Only 5 results matched all the specified search criteria.

Note that the selected row is highlighted. The Last, Previous, First and Next buttons are not shown since the result count is less than 10.



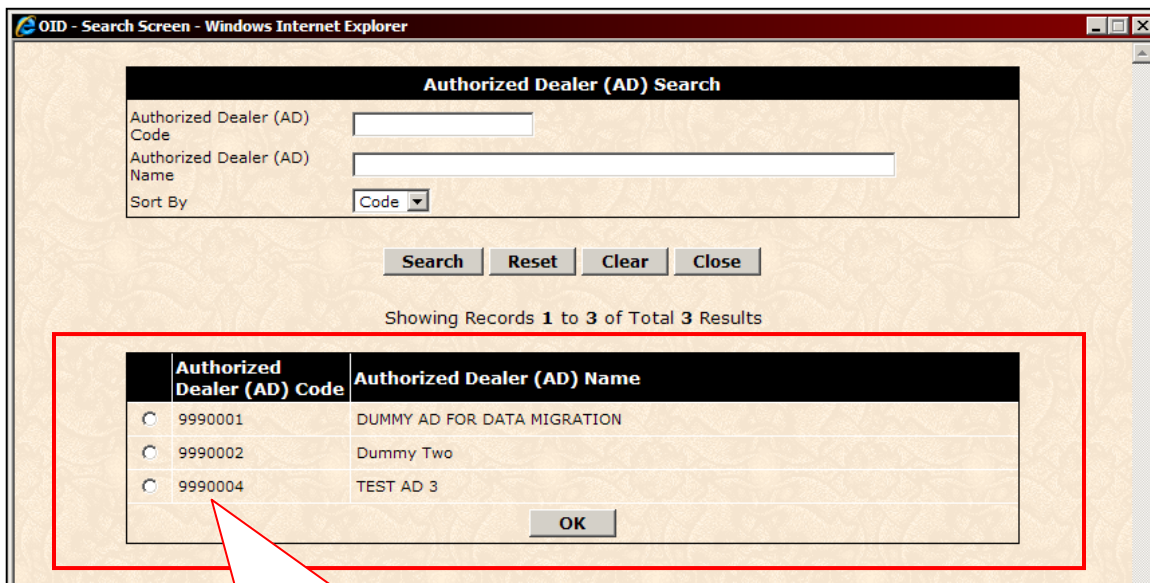
Similarly, you can also provide an AD Code to fine-tune the Search even further.

In this manner, you can continue to refine your Transaction search until you find the Transaction you want. **Once you select a result, it will be communicated to the main page, and the search window will close automatically.** Depending on what you searched for, the main page performs appropriate actions:

- 1) After a Transaction search, the Application will attempt to perform a **GET operation** automatically.
- 2) For some searches like Bank etc, the main page does not perform any action, but simply displays the selected Bank Code and Bank Name.
- 3) **For some searches like AD, UIN etc, the Application will fetch related data and update the page automatically.** For example, if you select an AD, the **Transaction Footer** will be automatically populated with AD Details that you can edit later on.

**3.4.4. Performing a Master Search – Example 1: AD Search**

Click the Search button next to Authorized Dealer field. The AD Search window will open, as shown below. For **Bank Users**, the corresponding Bank Code field will be picked up from the main page itself. **RBI Users** have to **manually specify a Bank Code** before initiating an AD Search.



For logged-in Bank User **999**, only ADs pertaining to Bank Code 999 are fetched.



For **RBI User** (example) **JATIN**, a Bank Code must first be specified on the main page:

Transaction No and Date \*

Bank Code \*

Authorized Dealer (AD)

Reporting Date \*  File Reference Number

Transaction St: Pending  Status Date

RBI Users must first manually specify a **Bank Code** before initiating an AD Search.

Then click the **AD Search** button. The AD Search window opens, and displays only ADs connected to the specified Bank Code (015):

Authorized Dealer (AD) Search

Authorized Dealer (AD) Code

Authorized Dealer (AD) Name

Sort By

Showing Records 1 to 10 of Total 625 Results

Authorized Dealer (AD) Code	Authorized Dealer (AD) Name
<input type="radio"/> 0150001	BOMBAY-FORT M.G.ROAD
<input type="radio"/> 0150002	MADRAS MAIN
<input type="radio"/> 0150003	MADRAS-MOUNT ROAD
<input type="radio"/> 0150004	TIRUCHIRAPALLI
<input type="radio"/> 0150005	OOTACAMUND
<input type="radio"/> 0150006	COIMBATORE
<input type="radio"/> 0150007	TIRUPPUR
<input type="radio"/> 0150008	MADURAI MAIN
<input type="radio"/> 0150009	SHENCOTTAH
<input type="radio"/> 0150010	VALLIYOOR

Only ADs relevant to **Bank Code 015** are shown.

**Search and sort criteria:** No explicit Search criteria is provided; **but implicit criterion is: Bank Code = 015.** The Sort criterion is by default on **Code**.

Search results section. Only 10 results will be shown per page.





To further refine the AD Search, provide further filtering criteria. For example, type **010** in the “**Authorized Dealer Code**” field in the **Search criteria** section of the Search window. Only 11 results were obtained for this search combination.

Search criteria is: **AD Code must include “010”**

Authorized Dealer (AD) Search

Authorized Dealer (AD) Code: 010

Authorized Dealer (AD) Name: [Empty]

Sort By: Code

Buttons: Search, Reset, Clear, Close

Showing Records 1 to 10 of Total 11 Results

Authorized Dealer (AD) Code	Authorized Dealer (AD) Name
0150010	VALLIYOOR
0150100	MEPRAL
0150101	KOTTAYAM-CIVIL STATION
0150102	KOTTAYAM
0150103	CHANGANASSERY
0150104	ELAPPARA
0150105	ERUMELY
0150106	KIDANGOOR
0150107	PAIPAD
0150108	PAMPADY

Buttons: OK, Navigation arrows

Only 11 matching records.



You can sort the results by Code or Name. By default, the results are sorted by Code. Click the Sort combo and select “Name” to sort by AD Name instead:



You can further narrow-down your Search by typing a few characters of the **AD Name**, if you remember them. For example, type **"PAD"** and click **Search** button to filter the results even further:

Search criteria expanded to:  
**AD Code** contains "010"  
**AND AD Name** contains "PAD"

Only 2 results were obtained.

Showing Records 1 to 2 of Total 2 Results

Authorized Dealer (AD) Code	Authorized Dealer (AD) Name
<input type="radio"/> 0150107	PAIPAD
<input type="radio"/> 0150108	PAMPADY



**3.4.5. Performing a Master Search – Example 2: UIN Search**

UIN Search can be performed from several pages; in this example we will look at Part II – Reporting of Remittances Transaction.

UIN Search conforms to the following rules:

- 1) Both Bank Code and Authorized Dealer Code are optional.
- 2) If Bank Code is present, it will be used in the Search. This automatically means that **Bank Users will only see UINs relevant to their Bank**, since the Bank Code is not editable. **RBI Users, please note that the Bank Code must be in full – incomplete or partial Bank Code will lead to an error on the Search window.**
- 3) If AD Code is present, it will be used in the Search. **Please note that the AD Code must be in full – incomplete or partial AD Code will lead to an error on the Search window.** You may use this feature to narrow-down your UIN Search if you remember the complete AD Code.

**3.4.5.1. Example UIN Search: Bank User**

The User Id chosen for this example is **999 – Dummy Bank for Testing**. This User opens the Part II Transaction page and clicks the **UIN Search** button:

**UIN Search button.** Note that the Bank Code defaults to **999** and **cannot be changed**. No AD information is provided.



The resulting UIN Search window shows **5657** results:

**Implicit Search Criterion: (From main page):**  
Bank Code = 999

**Explicit Search Criteria: (Specified on this page):**  
None.

Showing Records 1 to 10 of Total 5657 Results

UIN Code	UIN Name
MAWRA19960012	1002-MAWRA19960012-Updated Now 2
NDWRA19960011	1003-NDWRA19960011-To be updated
BYWRA19960013	1004-BYWRA19960013-To be updated 3
BYWRA19960015	1006-BYWRA19960015-To be updated
NDJRA19960016	1007-NDJRA19960016-To be updated
HYWRA19960018	1010-HYWRA19960018-To be updated
NDJRA19960020	1011-Usha Fortune Company Ltd.
HYJRA19960021	1012-HYJRA19960021-To be updated
BGWRA19960023	1014-BGWRA19960023-To be updated
NDWRA19960024	1015-NDWRA19960024-To be updated

A total of 5657 UINs were retrieved.

Now click **Close** on this page to return to the main Transaction page. Type **9990002** in the **AD Code** field. (This is a valid AD Code for **Bank Code 999**).

Transaction No and Date \*

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990002

Reporting Date \* 28/10/2009

Transaction Status \* Pending Status Date

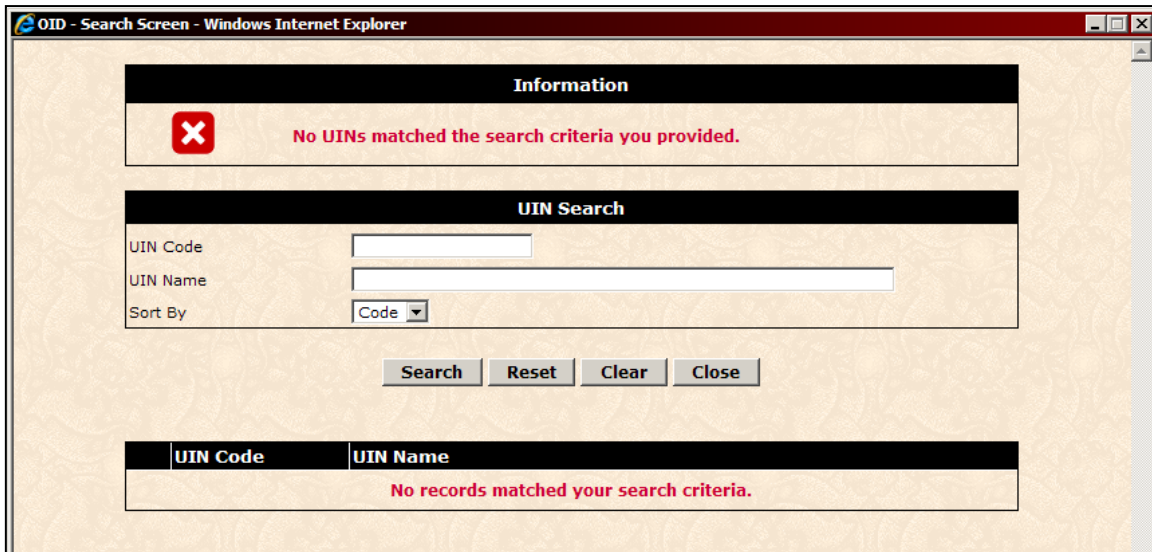
UIN \*

Indian Promoter Name \* No Indian Promoters in the Selected UIN.

Promoter Code \*



Now click the **UIN Search** button. The resulting Search screen shows no results; an error message appears with the information that no UINs matched your search criteria.



**In general, if your search criteria do not fetch any results, you will always see an error message, such as the above message for UIN.** Try to broaden your Search criteria and perform the search again. It is also possible that there are no results that match your search criteria. Please ensure that your criteria are accurate.



**3.4.6. Working with Date fields**

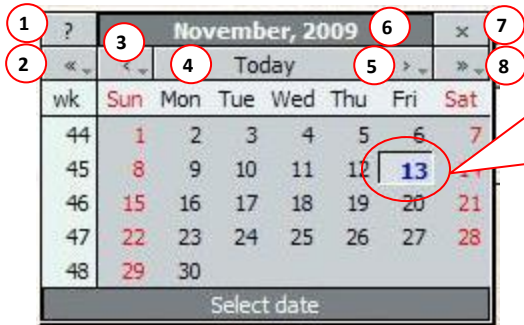
Many Transactions and Masters require a valid date to be provided as part of the data. All Search screens enable you to enter a specific date or date range to fine-tune the Search. In this section, we look at how to work quickly and efficiently with Date fields.

**3.4.6.1. Using the Calendar**


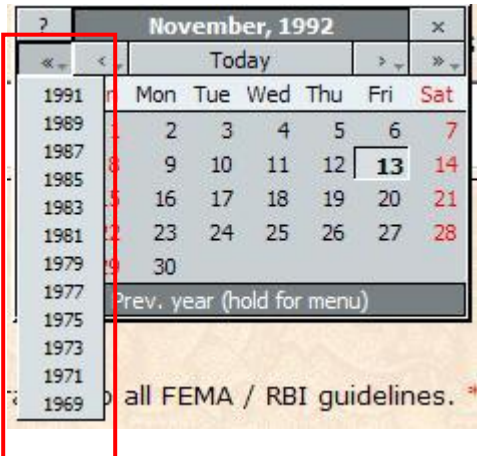
A Calendar button is provided next to every date field on all pages. Clicking the button brings up a Calendar, as shown below:

Legend	Description
1	The <b>Date field</b> that will receive the date selected using the Calendar.
2	The <b>Calendar button</b> . Click this button to open the Calendar.
3	The <b>opened Calendar</b> . Various parts of the Calendar are explained below. Click on the desired date, and it will populate the selected date into the Date field (1) and automatically close itself.

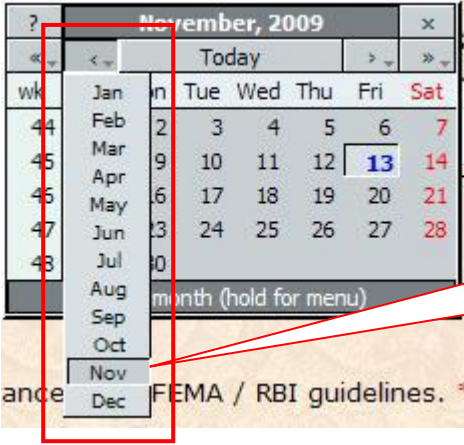
The various parts of the Calendar and their functionality are summarized below:



The **Calendar's Body** contains all the days of the month displayed in table format. Note that **current system date is differently formatted**. To choose a date, just click on it. The corresponding Date field will be **automatically updated with your selection** and the Calendar will close.

Legend	Description
1	<p>The <b>Calendar Information</b> button. Click this button to bring up a small help screen and information about the Calendar itself:</p> 
2	<p>The <b>Year Scroll (Previous)</b> button. Click this button once to move to previous year. Click and hold down the mouse button to obtain a list of years:</p> 



	Click the desired year from the list. The Calendar remains open, and the Date field is immediately updated with your selection.
3	<p>The <b>Month Scroll (Previous)</b> button. Click this button once to move to previous month. Click and hold down the mouse button to obtain a list of months:</p>  <p>Click the desired month from the list. The Calendar remains open, and the Date field is immediately updated with your selection.</p>
4	The <b>Today</b> button. Click this button to set your date to today's date. The Calendar remains open, and the Date field is immediately updated with today's date.
5	The <b>Month Scroll (Next)</b> button. The function of this button is identical to <b>Month Scroll (Previous)</b> button described above.
6	The Calendar's <b>Header panel</b> . This panel shows the <b>currently selected month and year</b> . Click and hold down the mouse over this panel to <b>drag the Calendar</b> to a different location on your screen.
7	The Calendar's <b>Close</b> button. Click this button to close the Calendar. Note that the Calendar automatically closes when you: <ul style="list-style-type: none"> <li>❖ Select a date.</li> <li>❖ Click anywhere else on the page.</li> </ul>
8	The <b>Year Scroll (Next)</b> button. The function of this button is identical to <b>Year Scroll (Previous)</b> button described above; the only difference is that future years are shown in the list instead of previous years.

**3.4.6.2. Manually typing the date**

All **Date fields on all screens allow you to manually type the date** instead of using the Calendar. This feature has been provided to **enable you rapidly type** the data. You can enter the **full date** in strict **DD/MM/YYYY format (such as 13/06/2009 for June 13, 2009), or just enter specific portions of the date for automatic completion**. These date shortcuts are provided to further speed-up your data-entry tasks. These features are detailed below. The current system date is taken to be **13/11/2009**.

<b>When you type:</b>	<b>It is interpreted as:</b>
13	A <b>day portion of the current month</b> . Hence, the interpreted date is <b>13/11/2009</b> .
Any number between 1 and 12	A <b>day portion of the current month</b> . Hence, the interpreted date is <b>(1-12)/11/2009</b> .
A number <b>greater than current day (13)</b> , for example, 15	A <b>day portion of the previous month</b> . Hence the interpreted date is <b>15/10/2009</b> .
A 4-digit number such as 1206	<b>First two digits are interpreted as a day portion, and the last two as a month portion of the current year</b> . Hence, the interpreted date is <b>12/06/2009</b> .
A 4-digit number such as 1215	The <b>interpretation logic determines that 12/15/2009 is not a valid date</b> , and hence the <b>current date (13/11/2009)</b> is chosen.
A 6-digit number such as 020309	<b>First two digits</b> are interpreted as a <b>day portion</b> , the <b>next two digits</b> as the <b>month portion</b> , and the <b>last two</b> as the <b>year portion</b> . Hence, the interpreted date is <b>02/03/2009</b> .
A 6-digit number such as 020315	<b>First two digits</b> are interpreted as a <b>day portion</b> , the <b>next two digits</b> as the <b>month portion</b> , and the <b>last two</b> as the <b>year portion</b> . However, the <b>interpretation logic does not allow future dates</b> . Hence the date is interpreted as belonging to <b>current year</b> , that is, <b>02/03/2009</b> and <b>not 02/03/2015</b> .
An 8-digit number such as 02062007	<b>First two digits</b> are interpreted as a <b>day portion</b> , the <b>next two digits</b> as the <b>month portion</b> , and the <b>last four</b> as the <b>year portion</b> . Hence, the interpreted date is <b>02/06/2007</b> .



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An 8-digit number such as 02062013	<b>First two digits</b> are interpreted as a <b>day portion</b> , the <b>next two digits</b> as the <b>month portion</b> , and the <b>last four</b> as the <b>year portion</b> . However, the <b>interpretation logic does not allow future dates</b> . Hence the date is interpreted as belonging to <b>current year</b> , that is, <b>02/06/2009</b> and <b>not 02/06/2013</b> .
---------------------------------------	--

Even though the interpretation logic does not allow future dates, you can **always either type in the future date (for example, 13/11/2011) or select a future date from the Calendar**. Note that the **date you type must strictly be in DD/MM/YYYY** format. Only forward-slash / is supported, period (.) or hyphen (-) are not permitted in any date field.



### 3.5. LOGGING-OUT OF THE APPLICATION

Click the Logout link on the top, right of the Welcome Panel. **All users are requested to logout after working with the application.** This will release Server resources allocated to that user, and enable the Server to serve other logged-in users more efficiently. **If you logged-in, but did not use the Application for 20 minutes or more, your session will expire automatically and you will be logged-out without warning. All unsaved changes will be lost.** (This is not an Application restriction, but a rule imposed by the Web Server configuration files.)



The **Logout** link is located on the **Welcome Panel**. Always logout after your work is finished.



## 4. WORKING WITH MASTERS

Masters contain the data store that is used for reporting various Transactions. Many Master tables are required for the OID Application, such as Indian Party Master, Bank Master, and Authorized Dealer Master etc.

Screens are provided to edit the data contained in the Master tables.

### 4.1. MASTER DATA ACCESSIBILITY

Details about Master data accessibility are provided in [Section 3.3 – Accessibility Restrictions](#). To summarize, RBI Approving Authorities retain complete control over Master data, with all add / update permissions granted to RBI users by default. Bank Users can only access the Bank Master and Authorized Dealer Master screens, and in those screens, they can only see data pertaining to their Bank and Authorized Dealers attached to their Bank. Bank Users are not allowed access to data pertaining to other Banks or Authorized Dealers attached to other Banks.



### 4.2. BANK MASTER

The Bank Master stores detailed information about each Reporting Bank.

Step Number	User Actions	Application Actions
1	❖ Login to the OID Application as <b>Bank User</b> ; for example: User ID <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click <b>Setup → Bank Master</b>	❖ Application opens the Bank Master screen, with the Bank Code and Name populated and read-only, as shown below:



**Foreign Exchange Department  
Overseas Investment Application**

31-December-2009  
02:21:38 PM

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 02:19:45 PM

Troubleshoot | Logout

Home Setup Tasks Query

**BANK MASTER**

Bank Code *	999	Dummy Bank for Data Migration
Bank Group *	----- Select a Bank Group -----	
Address 1 *		
Address 2		
City *		State * --- Select State ---
Pin Code		Telephone No
Fax No		
Point of Contact		
Point of Contact Designation		
Email Id *		
Bank Active Status? *	<input type="checkbox"/>	

Step Number	User Actions	Application Actions
2	❖ Click <b>Get</b> to retrieve the details for your Bank.	❖ Application successfully retrieves your Bank's details and populates the fields, as shown below:

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 02:19:45 PM

Troubleshoot | Logout

Home Setup Tasks Query

✓ The following Bank Master record was successfully retrieved.

**BANK MASTER**

Bank Code *	999	Dummy Bank for Data Migration
Bank Group *	State Bank Group	
Address 1 *	Chennai	
Address 2		
City *	Chennai	State * Tamil Nadu
Pin Code		Telephone No 04443957842
Fax No		
Point of Contact	Kavitha	
Point of Contact Designation	SSE	
Email Id *	surendrakp@hcl.in	
Bank Active Status? *	<input checked="" type="checkbox"/>	



Step Number	User Actions	Application Actions
3	❖ Update the data as required and click <b>Modify</b> .	❖ Application successfully saves the data and once again returns to <b>MODIFY</b> mode:

Foreign Exchange Department  
Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 02:19:45 PM

31-December-2009  
02:31:37 PM

Troubleshoot | Logout

Home Setup Tasks Query

Bank Master information was updated successfully.

**BANK MASTER**

Bank Code \* 999 Dummy Bank for Data Migration

Bank Group \* Private Bank Group

Address 1 \* Avenue II, T. Nagar

Address 2 Usman Road

City \* Chennai State \* Tamil Nadu

Pin Code 600025 Telephone No 04443957842

Fax No 04443957842

Point of Contact Mr. Ranganathan

Point of Contact Designation Manager - Public Relations

Email Id \* rangan@dummybank.com

Bank Active Status? \*

Get Modify Reset Clear Exit

**Notes:**

- ❖ The Bank User cannot modify the **Active Status** flag. Only RBI can activate or deactivate Banks.
- ❖ The RBI User can retrieve any Bank and update the data, including activating or deactivating that Bank.
- ❖ No provision is currently available for deleting a Bank Master record; however authorized RBI Users can de-activate a Bank to prevent that Bank from reporting any Transactions.



**4.3. AUTHORIZED DEALER MASTER**

The Authorized Dealer Master stores detailed information about each Authorized Dealer attached to each Bank.

Step Number	User Actions	Application Actions
1	❖ Login to the OID Application as <b>Bank User</b> ; for example: User ID <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click <b>Setup</b> → <b>Authorized Dealer Master</b>	❖ Application opens the Authorized Dealer Master screen, with the Bank Code and Name populated and read-only, as shown below:

Foreign Exchange Department  
Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 12:13:00 PM

01-February-2010  
12:13:45 PM

Troubleshoot | Logout

Home Setup Tasks Query

**AUTHORIZED DEALER (AD) MASTER**

Bank code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* [Search] [Text Box]

AD Category \* -- Select --

Address 1 \* [Text Box]

Address 2 [Text Box]

City \* [Text Box] State \* ---Select---

Pin Code [Text Box] Telephone No [Text Box]

Fax No [Text Box]

Point of Contact [Text Box]

Point of Contact Designation [Text Box]

AD Email Id [Text Box]

AD Active Status ? \*

Get Reset Clear Exit





Step Number	User Actions	Application Actions
2	❖ Specify the Authorized Dealer Code and Click <b>Get</b> to retrieve the details for that Authorized Dealer.	❖ Application successfully retrieves the Authorized Dealer for your Bank details and populates the fields, as shown below:

Step Number	User Actions	Application Actions
3	❖ Update the data as required and click <b>Modify</b> .	❖ Application successfully saves the data and once again returns to <b>MODIFY</b> mode:



Foreign Exchange Department  
Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 12:13:00 PM

01-February-2010  
12:19:05 PM

Troubleshoot | Logout

Home Setup Tasks Query

Authorized Dealer Master information was updated successfully.

AUTHORIZED DEALER (AD) MASTER			
Bank code *	999 Dummy Bank for Data Migration		
Authorized Dealer (AD) *	9990001 DUMMY AD FOR DATA MIGRATION		
AD Category *	A		
Address 1 *	Address I		
Address 2	Address II		
City *	MUMBAI	State *	Maharashtra
Pin Code	400096	Telephone No	022-28295555
Fax No	022-40012500		
Point of Contact	P. Ramesh		
Point of Contact Designation	MANAGER		
AD Email Id	pramesh@rbi.org.in		
AD Active Status ? *	<input checked="" type="checkbox"/>		

Get Modify Reset Clear Exit

**Notes:**

- ❖ The Bank User cannot modify the **Active Status** flag. Only RBI can activate or deactivate Authorized Dealers.
- ❖ The RBI User can retrieve any Authorized Dealer and update the data, including activating or deactivating that Authorized Dealer.
- ❖ No provision is currently available for deleting an Authorized Dealer Master record; however authorized RBI Users can de-activate that Authorized Dealer to prevent that Authorized Dealer from reporting any Transactions.

**4.4. INDIAN PROMOTER MASTER**

The Indian Promoter Master stores detailed information about each Reporting Bank.



---

Step Number	User Actions	Application Actions
1	❖ Login to the OID Application as <b>Bank User</b> ; for example: User ID <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click <b>Setup</b> → <b>Indian Promoter Master</b>	❖ Application open the Indian Promoter Master screen, as shown below:



Welcome, 1001 SRM ETS [Bank Users Group]  
You logged in at 02:49:49 PM

Contact Us | Help

Home Setup Tasks Query Circulars

**INDIAN PARTY MASTER**

Indian Party \*

Group to Which Company Belongs

Status \*

Activity \*

Net Worth(in Actual) \*  As On Date

Address 1 \*

Address 2

City \*  State \*

Pin Code

Point of Contact

Point of Contact Designation

PAN Number \*

Telephone  Fax

Indian Party Email ID

Indian Party Active Status ? \*

[Investigation History](#)

Step Number	User Actions	Application Actions
2	❖ Give Indian Party code and Click on <b>Get button</b> to retrieve the details of Indian Promoter.	❖ Application successfully retrieves Indian Promoter details and populates the fields, as shown below:



The following Indian Promoter Master record was successfully retrieved.

INDIAN PARTY MASTER			
Indian Party *	AAAAA1234C	SEARCH	BHARTI AIRTEL LIMIED
Group to Which Company Belongs			
Status *	Public Limited Company		
Activity *	353.4	SEARCH	Manufacture of machinery for manufacture of sugar and for manuManufacture of machinery for manufacture of sugar and
Net Worth(in Actual) *	0.00	As On Date	
Address 1 *	Qutab Ambience,H-5/12, Mehrauli Road		
Address 2			
City *	100001	State *	Delhi
Pin Code			
Point of Contact			
Point of Contact Designation			
PAN Number *	AAAAA1234C		
Telephone		Fax	
Indian Party Email ID	devesh.thakur@hcl.com		
Indian Party Active Status ? *	<input checked="" type="checkbox"/>		

[Investigation History](#)

Get Reset Clear Exit

**Notes:**

- ❖ The Bank User cannot modify the data. Only RBI can modify the data.
- ❖ No provision is currently available for deleting the Indian Promoter Master record; however authorized RBI Users can de-activate an Indian Promoter.

Step Number	User Actions	Application Actions
2	❖ Click on Investigation History to retrieve the Investigation history details for Indian Promoter.	❖ Application successfully retrieves Indian Promoter Investigation history details and populates the fields, as shown below:



INDIAN PARTY MASTER

Indian Party \*

Under- Investigation/ Export Caution List/  
Banking Default List \*

From Date \*   
To Date

	Under- Investigation/ Export Caution List/ Banking Default List	From Date	To Date
<input type="radio"/>	IT	16/10/2013	16/10/2013
<input type="radio"/>	Bank Caution List	23/10/2013	30/10/2013

Step Number	User Actions	Application Actions
3	<ul style="list-style-type: none"><li>To add Investigation history required to select Under Investigation/Export Caution List /Banking Default List <b>drop down box</b> and select one value.</li><li>Enter Investigation from date and to date</li><li>To save data, click on <b>add button</b></li></ul>	<ul style="list-style-type: none"><li>Application successfully saves the Investigation history detail data.</li></ul>



INDIAN Master

**INDIAN PARTY MASTER**

Indian Party \* AAAAA1234C  
BHARTI AIRTEL LIMIED

Under- Investigation/ Export Caution List/  
Banking Default List \* CBI

From Date \* 08/10/2013 To Date 15/10/2013

Add Clear Close

	Under- Investigation/ Export Caution List/ Banking Default List	From Date	To Date
<input type="radio"/>	IT	16/10/2013	16/10/2013
<input type="radio"/>	Bank Caution List	23/10/2013	30/10/2013

Edit

**Notes:**

- ❖ The Bank User cannot modify the Investigation history data. Only RBI can modify the Investigation history data.
- ❖ No provision is currently available for deleting the Investigation history record

**No other Master screens are accessible to Bank Users.**



## 5. WORKING WITH TRANSACTIONS

Transactions represent the data flows that happen between reporting banks and RBI. Transactions are the equivalent of the hard-copy data exchanged between the reporting banks and RBI. **Transactions can be keyed-in by the Bank Users once they receive data from their ADs; or the data can be keyed-in by a special category of RBI Users with the privilege to enter data on behalf of a Bank.**

Note that many Transactions will require to be ratified by authorized RBI Users before they become active. These scenarios will be discussed in the following sections.

### 5.1. OPENING AN EXISTING TRANSACTION

You can open an existing Transaction of any type by the following these steps:

Method 1: By Entering the Transaction Number		
Step Number	User Action	Application Response
1	❖ Access the OID Application and login with your credentials.	❖ If your credentials are valid, the Application logs you in successfully. The Home Page is displayed.
2	❖ Click <b>Tasks</b> → <b>ESOP Scheme – Annexure I Transaction</b> (for example).	❖ The selected Transaction page opens in <b>ADD</b> mode. All enterable fields are cleared.
3	❖ Enter the complete Transaction Number, and click <b>Get</b> .	❖ The Application opens the Transaction with that Number, if it exists. If the Transaction with that Number does not exist, an error will be displayed. If the Transaction exists but its current status does not permit modifications, the data will be loaded in <b>read-only</b> mode.





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Method 2: By Searching for a Transaction Using the Search Screen		
1	❖ Access the OID Application and login with your credentials.	❖ If your credentials are valid, the Application logs you in successfully. The Home Page is displayed.
2	❖ Click <b>Tasks</b> → <b>ESOP Scheme – Annexure I Transaction</b> (for example).	❖ The selected Transaction page opens in <b>ADD</b> mode. All enterable fields are cleared.
3	❖ Click the search button next to the ‘Transaction Number’ field. <b>If you remember a portion of the Transaction Number, you can type it in the Transaction Number field</b> and then click the search button.	❖ The Application opens the Transaction search window. If you typed a partial Transaction Number, the results are filtered accordingly; otherwise, all available Transactions are shown. For Bank Users, only Transactions created by own Bank are shown. By default, the search window displays <b>10</b> results only.
4	❖ Click the Transaction you want to work with. If you cannot find the Transaction, use the navigation buttons to scroll forward or backward.	❖ The Application retrieves a maximum of <b>10</b> results at a time.
5	❖ Click the record selector next to the Transaction you wish to open.	❖ The selected row is highlighted.
6	❖ Click <b>OK</b> to choose the selected Transaction.	❖ The search window closes and the Transaction main page automatically performs a <b>GET</b> operation with the selected Transaction Number. If the <b>GET</b> operation was successful, the data is loaded into page fields, and page changes to <b>UPDATE</b> mode.



**5.2. DELETING AN EXISTING TRANSACTION**

You can only delete a Transaction that is in **PENDING** status. That is, **as long as you have not submitted a Transaction to RBI, you can delete it at any time**. The deletion is permanent and the deleted Transaction cannot be recovered.

Deleting a Transaction		
Step Number	User Action	Application Response
1	❖ Access the OID Application and login with your credentials.	❖ If your credentials are valid, the Application logs you in successfully. The Home Page is displayed.
2	❖ Click <b>Tasks</b> → <b>ESOP Scheme – Annexure I Transaction</b> (for example).	❖ The selected Transaction page opens in <b>ADD</b> mode. All enterable fields are cleared.
3	❖ Retrieve the Transaction you want to delete, using the retrieval procedure described in the previous section.	❖ The Application displays the Transaction data on the screen.
4	❖ Change the Transaction Status to <b>CANCELLED</b> , and click <b>Update</b> .	❖ The Application displays a <b>Delete Confirmation Dialog</b> , asking for your permission to proceed.
5	❖ Click <b>Yes</b> on the <b>Delete Confirmation Dialog</b> if you are sure you want to permanently delete this Transaction.	❖ The Application deletes the selected Transaction from the database. <b>No information is conveyed to RBI about deletion of Transactions by the Bank, since Transactions in PENDING status are not visible to RBI.</b>
	❖ Click <b>No</b> if you do not wish to delete this Transaction.	❖ The Application saves your Transaction in <b>PENDING</b> status.



**5.3. COMMON ELEMENTS IN ALL TRANSACTION SCREENS**

Some concepts and GUI elements are common across all Transaction pages, and are explained in the following sections.

**5.3.1. The Confirmation Dialogs**

Whenever your confirmation is required to proceed and perform an operation, a confirmation dialog will be shown. There will be 2 buttons – **Yes** and **No**. Click **Yes** to perform the operation, or click **No** to cancel the operation. The kinds of dialogs that appear to you depend upon your privilege level, as discussed below.

**5.3.1.1. The Submit Confirmation Dialog**

This dialog appears to **all Bank Users and RBI Users with the privilege level to create new Transactions**. The dialog is only shown when you **change the status of the Transaction from PENDING to REPORTED/SUBMITTED TO RBI**; that is, you wish to **send the Transaction to RBI**.

Welcome, State Bank of India [Bank Users Group] Troubleshoot

Home Setup Tasks Query

**Confirm Submission**

Do you wish to submit the data you have entered to RBI?

Click **Yes** to submit this Transaction to RBI. After it is submitted, you **cannot** modify it.  
Click **No** to save this Transaction with **Pending** status. The Transaction will **not** be submitted to RBI.

**PART I - AUTOMATIC ROUTE**

000001520090001	31/08/2009 12:52:19 PM
000	STATE BANK OF INDIA
0000015	BAHRAICH
31/08/2009	
Transaction Status *	Reported/Submitted to RBI
	Status Date

Click **Yes** to send your Transaction to RBI. Click **No** to remain in Pending status.

The 'Confirm Submission' dialog appears to ask for your permission to proceed and **submit data to RBI**. The dialog **does not** appear when you save Transactions in **PENDING** status.



**5.3.1.2. The Cancel (Delete) Confirmation Dialog**

This dialog appears to **all Bank Users and RBI Users with the privilege level to create new Transactions**. The dialog is only shown when you **change the status of the Transaction from PENDING to CANCELLED**; that is, you wish to **permanently delete the Transaction** without submitting it to RBI.

**Foreign Exchange Department  
Overseas Investment Application**

Welcome, State Bank of India [Bank Users Group]      02-November-2009 06:05:29 PM

Home Setup Tasks Query      Troubleshoot | Logout

**Confirm Cancellation**

Do you wish to delete this Transaction?

Click **Yes** to permanently delete this Transaction (including details, if any).  
Click **No** to save this Transaction with **Pending** status.

**Yes**   **No**

**PART I - AUTOMATIC ROUTE**

Transaction No and Date *	000000120090017	19	2009 06:35:36 PM
Bank Code *	000	STATE BANK OF	
Authorized Dealer (AD) *	0000001	CALCUTTA	BRANCH
Reporting Date *	02/11/2009		
Transaction Status *	Cancelled		Status Date 02/11/2009 05:24:05 PM
Purpose of Investment *	Contribution in WC		
No of Indian Promoters *	1		

We hereby confirm that:

The 'Confirm Cancellation' dialog appears to ask for your permission to proceed and permanently delete this Transaction.

Click **Yes** to permanently delete this Transaction.  
Click **No** to save this Transaction in **Pending** status.



**5.3.1.3. The RBI Ratification Required Warning Dialog**

This dialog appears to **all Bank Users and RBI Users with the privilege level to create new Transactions**. The dialog is only shown after you click **Yes** in the **Submit Confirmation** dialog to submit your data; **but data validation failures occur that require your attention**. That is, when the data you are submitting fails one or more validation rules specified by RBI, you will see this dialog. **All validation failures are shown in the dialog and you can choose to proceed and submit or cancel and edit your Transaction.**

The screenshot shows the 'Foreign Exchange Department Overseas Investment Application' interface. At the top, there is a header with the State Bank of India logo, the title 'Foreign Exchange Department Overseas Investment Application', the date '02-November-2009 06:55:18 PM', and navigation links 'Home Setup Tasks Query'. A 'Troubleshoot | Logout' link is also present. The main content area is titled 'RBI Ratification Required' and contains a warning icon, a message: 'This transaction will be forwarded to RBI for their ratification due to the following reason(s):', a list item: 'The difference between Remittance Date and Reporting Date is more than 55 days.', and instructions: 'You need to submit an explanation for the above in writing at the following address: Foreign Exchange Department, Overseas Investment Division, Amar Building, Reserve Bank of India, Fort, Mumbai 400 001'. Below this, there are instructions to click 'Yes' to submit data or 'No' to continue with a 'Pending' status. At the bottom of the dialog are 'Yes' and 'No' buttons. Below the dialog is a form titled 'PART II - REPORTING OF REMITTANCES' with fields for Transaction No and Date, Bank Code, Authorized Dealer (AD), Reporting Date, Transaction Status, UIN, Indian Promoter Name, and Promoter Code. A red box highlights the 'Yes' and 'No' buttons, and a red callout box points to them from the right.

The 'RBI Ratification Required' warning dialog lists all validation failures that occurred on the **Transaction Main page or any child (inner) page**. In this example, the warning arises from the Remittance Details (child) screen.

Note that you can click **Yes** to send the data to RBI despite the presence of validation failures. However, such a Transaction will **always require RBI ratification**; and will be **inactive unless and until RBI approves it**. Click **No** to save the Transaction in the **default status – Pending** (for new Transactions) or **Referred-Back** (for Transactions that have been referred-back by RBI).



**5.3.1.4. The Information Dialog**

This dialog appears for all users whenever one or more **error, warning or information messages** have to be displayed. The information dialog has different behavior depending on what kind of message it is displaying.

**Error Messages:** When one or more **severe business validation errors** occur in your Master or Transaction page, the messages are displayed in the **Information Dialog** as follows:

The screenshot shows the 'Foreign Exchange Department Overseas Investment Application' web interface. At the top, there is a header with the State Bank of India logo, the title 'Foreign Exchange Department Overseas Investment Application', the date '02-November-2009 07:39:38 PM', and navigation links 'Home Setup Tasks Query'. Below the header, a dark red banner contains the text 'Welcome, State Bank of India [Bank Users Group]' and 'Troubleshoot | Logout'. The main content area is divided into three sections:

- Information:** A section with a red 'X' icon and a red border. It contains a message: 'The following error / warning message(s) were received. Please correct your data and retry. The data on this page has NOT been saved.' followed by three red error messages:
  - The Sum of the % stake of all Promoters defined in the Capital Structure Details page must equal 100%.
  - You have not completed Remittance Details for this Part I - Automatic Route. Please complete Remittance Details before submitting this transaction to RBI.
  - You have not completed Section D for this Part I - Automatic Route. Please complete Section D before submitting this transaction to RBI.
  - Part I - Section A (Financial Particulars) detail must be entered for all the 3 consecutive financial years.
- Next Steps:** A section with a blue arrow icon. It contains instructions: 'To complete this Part I Transaction, you must provide data for the following sections:' followed by three sections:
  - Section A** - Provide details about Indian Promoters participating in this UIN, their Financial Particulars, details about other Projects participated in, and Remittances (if any) already performed by each Promoter in this Project. [Part I - Section A](#)
  - Section B** - Provide details about the Project such as Name, Communication Details, Currency etc, and the current Capital Structure pattern for each Indian and Foreign Promoter participating in this Project. [Part I - Section B](#)
  - Section D** - Provide details about the Funding pattern and Financial Commitment of each Indian Promoter for this Project. [Part I - Section D](#)It concludes with: 'After entering all the relevant details in Section A, Section B and Section D, please change the status of the transaction to **Reported/Submitted to RBI** and click the **Update** button.'
- PART I - AUTOMATIC ROUTE:** A form section with three rows of input fields:
  - Transaction No and Date \*: 000000120090017 | 19/08/2009 06:35:36 PM
  - Bank Code \*: 000 | STATE BANK OF INDIA
  - Authorized Dealer (AD) \*: 0000001 | CALCUTTA, MAIN BRANCH

Red circles with numbers '1' and '2' are placed on the right side of the 'Information' and 'Next Steps' sections respectively. The bottom of the screenshot shows a Windows taskbar with 'Done', 'Local intranet', and '100%' zoom level.



Legend	Description
1	<b>Multiple severe validation failures</b> occurred when attempting to MODIFY this Transaction. <b>The nature of the errors is such that the Transaction cannot be posted to RBI without correction at your end.</b> Error messages are displayed in a bulleted list in bold red color. The <b>Next Steps dialog</b> is shown to enable you to enter child (inner) sections and perform corrections. Unless all errors are corrected, this Transaction <b>cannot</b> be submitted to RBI.
2	The ' <b>Next Steps</b> ' dialog appears to enable you correct errors in Transaction child (inner) pages.

When one or more **data integrity errors** occur, the **Information Dialog** displays the errors as above; but in this case the **Next Steps dialog will not be shown, since the errors are on the main Transaction page** itself.

The screenshot shows the 'Overseas Investment Application' web interface. At the top, there is a navigation bar with 'Home', 'Setup', 'Tasks', and 'Query'. The main header area includes the State Bank of India logo, the title 'Overseas Investment Application', the time '08:25:55 PM', and the text 'Welcome, State Bank of India [Bank Users Group]'. Below this is a sub-header 'Information' with a red 'X' icon and the message: 'No such UIN exists or UIN may be in closed status. Please provide a valid UIN.' The main form area is titled 'PART II - REPORTING OF REMITTANCES' and contains several input fields: 'Transaction No and Date' (000000120090067, 02/11/2009 06:36:40 PM), 'Bank Code' (000, STATE BANK OF INDIA), 'Authorized Dealer (AD)' (0000001, CALCUTTA, MAIN BRANCH), 'Reporting Date' (02/11/2009), 'Transaction Status' (Pending), 'Status Date' (02/11/2009 07:00), 'UIN' (IllegalValue), 'Indian Promoter Name' (No Indian Promoters in the Selected UIN), and 'Promoter Code'. A red circle highlights the 'UIN' field. Below the form is a confirmation section: 'We hereby confirm that the Remittance: (i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR (ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR (iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conf... with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad.' The bottom section is 'REPORTING AD DETAILS' with fields for 'Point of Contact' (Mr. Hiren Shah), 'Point of Contact Designation' (CTO), 'Telephone Number' (033-40004500), 'Fax Number' (033-45104000), 'Date' (02/11/2009), and 'City' (Mumbai). At the bottom of the form are 'Update', 'Clear', and 'Exit' buttons. A red callout box on the right side of the screenshot contains the text: 'An invalid value for the UIN was provided to simulate this data integrity error condition. Note that Next Steps dialog does not display; it will display only after you correct the data on the main page and successfully save it.'



**Information Messages:** These messages appear to help you understand what to do next. For example, after adding a new Indian Party in **Part I – Section A**, the following message appears:

The screenshot shows a web application interface. At the top, there is a black header with the word "Information" in white. Below this, a yellow information dialog box contains an information icon and the text: "Please select the Indian Promoter and click 'Edit' button to display relevant links for adding JV/WOS details, Financial Particulars (if applicable) and Remittance Details (if applicable)." Below the dialog is a form titled "PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF INDIAN PROMOTERS". The form contains various input fields for details like Transaction No, Authorized Dealer (AD), Indian Promoter Code, Group to Which Company Belongs, Major Activity, Is the Activity Related to Financial Services?, Whether Complied with REG 7 of FEMA 120?, Status, PAN Number, Address Line 1 & 2, City, State, Pincode, Telephone No, Fax Number, Point of Contact Name, Point of Contact Designation, and Email ID. At the bottom of the form are "Add", "Clear", and "Close" buttons. Below the form is a table with the following data:

	Promoter Code	Promoter Name	PAN Number	City	State	POC Name
<input type="radio"/>	AA00061200	AAKANKSHA MGT AND CONSULTANCY HOLDINGS P LTD	AA00061200	CHENNAI	Tamil Nadu	Harish
<input type="radio"/>	AB0004EDG1	ABHINAV ENGINEERS PVT. LTD.	AB0004EDG1	NEWDELHI	Delhi	dfsdf

At the bottom of the screenshot, a Windows taskbar is visible with "Done" on the left and "Local intranet" and "98%" on the right.

The Information Dialog displays a help message informing you what to do next.

A new Indian Party record was added to the existing Part I Transaction.





### 5.3.2. The Fatal Error Page

This page displays when your command could not be processed at all due to a **serious data error**, an **unknown command**, or when an **inappropriate command** is received that cannot be executed. If you see this page, it is possible that your data was corrupted in transit, or the URL was altered in some way.



When you see this page, you will see the **'Home Page'** button if you were working with a Transaction main page (above); or a **'Close'** button for an inner page. In either case, **you cannot return to the screen you were working with. The unsaved has already been discarded. It is recommended that you do not use your browser's Back or Forward buttons. Instead, re-open the Transaction from the menu.**

Please contact RBI Application Administrators to determine the exact cause of the error(s). **Before contacting RBI, please see the checklist below to determine if the problem lies at your end:**

- 1) **Incomplete Data:** The most common cause for this error screen. Whenever expected data (mandatory fields) are not completely filled-in, and you attempt to proceed to a



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child page, this error screen may appear. Ensure that all mandatory fields (marked with a \* on the screen) are duly filled up with accurate data.

- 2) **Access Declined**: If you attempt to access a screen for which you do not have access permission granted by RBI, you will see this error page. If you need access to the concerned screen (Master / Transaction / Report), please submit a request for access to RBI. **After access is granted by RBI, you must re-login to gain access to that screen.**
- 3) **Corrupted Data**: The Application employs encryption to protect data. If data provided by you was **corrupted in transit and could therefore not be decoded at the Server side**, you will not be able to proceed, and you will see this error page. Please contact RBI to troubleshoot the problem.
- 4) **Invalid or Misspelled URL**: If you manually alter the URL in the browser's address bar, you may see this error page. Never edit the URLs appearing the address bar; instead always work through the Menu items. **We strongly recommend that you do not use the Back, Forward, Refresh and Go buttons on your browser while working with this Application. Doing so can lead to issues due to page expiration, or non-submission of required data.**



**5.3.3. The Concurrent Modification Error Page**

This error may occur if more than one user is working on the same Transaction or Master page. For example, Banks are allowed to have multiple user IDs for the OID Application. **If more than one user attempts to modify the same Transaction or Master screen, the user who updated the data first will succeed, while the other user’s operation will fail.** The objective of this feature is that **if data has been updated by another user, the current user must be informed, and required to reload the data in order to get the most current information.** Hence, this feature ensures that you are always working with the latest data, and not stale data that have been modified by another user. This feature is known as **Concurrency Handling**.

There are multiple levels of checking implemented to ensure data integrity. Taking Part I – Automatic Route as an example, we explain below how Concurrency Handling has been implemented.

**Two users, A and B, are working with the same Part I – Automatic Route Transaction Number: 000000120090023.**

Step	User A’s Action	User B’s Action	OID Application’s Response
1	Opens Transaction (selects Transaction Number and clicks Get button).	Opens Transaction (selects Transaction Number and clicks Get button).	Application permits both users to open the same Transaction.
2	User A changes data on the Transaction main page and clicks Update.	Clicks on Section A Link.	Application successfully completes both actions.
		Selects a Section A – Indian Party record and clicks Edit.	Application allows User B to open the requested Indian Party details.



Step	User A's Action	User B's Action	OID Application's Response
		Changes the selected Indian Party record and clicks Update.	Application fails to perform User B's update, and shows Concurrency Error Message. <b>Reason: User A updated Transaction main page before User B attempted to update Section A record. Since the Transaction main page information has changed, User B's request is declined.</b>
3	Enters Section B.	Re-queries Part I Transaction and enters Section A again.	Application successfully performs both operations.
4	Updates Section B.	Updates a record from Section A.	Application successfully performs both operations.
5	Closes Section B and opens Section A.		Application successfully performs User A's actions.
6	Opens the same Section A record that was just modified by User B. Performs data changes and clicks Update.		Application successfully performs User A's actions. <b>Note that User A has the latest copy of data, that is, User A can now see changes made by User B.</b>
7	Opens Remittance Details page from Section A.	Closes Section A and returns to Transaction main page. Changes the Transaction status to 'Submitted to RBI' and clicks Update.	Application successfully performs both operations.



Step	User A's Action	User B's Action	OID Application's Response
8	Attempts to add a new Remittance Detail record.		Application fails to perform User A's update, and shows Concurrency Error message. <b>Reason:</b> <b>User B updated the Transaction's main page before User A attempted to add a Remittance detail record. Since the Transaction main page information (status) has changed, User A's request is declined.</b>

Concurrency messages are displayed on top of the page.

The screenshot shows a web application interface. At the top, there is an 'Information' box with a red 'X' icon and the following text: 'The UPDATE operation FAILED, since this Part I Transaction's main page was updated by another user while you were working on this page. Please take the following steps: 1) Click Close to return to the Transaction's main page. 2) Click Clear on the main page. 3) Re-open the Transaction again to obtain current data. 4) Navigate back to this page to continue working. Add, Update and Delete operations on this page, and links to detail pages (if any) will be declined until you complete the above steps.' Below this is a section titled 'PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF INDIAN PROMOTERS'. It contains a form with fields for PAN (000000120090023), Date (18/09/2009 09:53:51 AM), Branch (CALCUTTA - MAIN BRANCH), and a 'Get Promoter Details' button. Below the button, the name 'AASHEESHA HOSPITALITY SERVICES & HOLDING P LTD' is displayed. Further down, there are more form fields for 'Selected Indian Promoter Details', including a dropdown menu for 'Persons without any affiliation to any particular industry (including fresh entrants to labour force)', a 'Private Limited Company' dropdown, and fields for Address Line 1, Address Line 2, City, State (Andhra Pradesh), Pincode, Telephone No (2461 7358), and Fax Number (2461 7360). A red callout box on the left side of the screenshot contains the text: 'Failure to perform an UPDATE due to concurrency failure condition. Follow the instructions to resolve the error condition. Note that the links on Section A do not appear; they have been disabled until you re-query the Transaction.'



You can only recover from a Concurrency error condition by following the instructions provided in the error message. No further actions (add / update / delete) are permitted on the page that displayed the error.

To minimize Concurrency errors, we recommend that you:

1. Do not distribute work in a single Transaction to more than one user.
2. Do not update anything on the main Transaction page when you are working with a detail page as this will cause a Concurrency error on the detail page.

#### 5.3.4. Attaching Documents to a Transaction

You can attach documents to a Transaction as part of the Transaction data. Such attached files can contain additional information about the Transaction. The following file formats are currently supported:

File Extension	Description
.jpg, .gif, .tiff	These are Image file types. You can, for example, obtain a scanned copy of a document in one of these formats and upload it.
.doc	Microsoft Word Document type.
.xls	Microsoft Excel Document type.
.pdf	Adobe Portable Document Format type.
.txt	Text type.

#### Notes:

- ❖ Bank Users can only upload (optionally) documents for Part I – Approval Route Transaction. The attachments are expected to contain further information to enable RBI decide whether to approve the Transaction or not.
- ❖ RBI Users can attach documents to any Transaction.
- ❖ A single attachment can be up to 5 MB in size. Attachments larger than this size cannot be uploaded.
- ❖ There is no upper limit on the number of attachments for any Transaction.
- ❖ Attachments are optional and Transaction workflow is not affected.
- ❖ The file name cannot contain more than 50 characters.

How to attach, view, delete and download documents is explained in the following pages.



1. When the Attach Document functionality is available, a link appears in the Header portion of the Transaction, as shown below:



2. Click the **Attach / View Documents** link. The link opens in a new window, as shown below:

**PART I - APPROVAL ROUTE**

Transaction No and Date \* 999000120090002 28/08/2009 06:49:19 PM

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

**Upload Files**

File to Upload (Maximum Size: 5 MB) \*  Browse...

File Description \*

Upload Close

File Name	Description
No files have been uploaded yet.	

Browse and select a file from your computer. Type the description of the file contents (mandatory). Then click **Upload** to attach your file to the Transaction.





3. Once your file is uploaded, it will appear in the list of uploaded files. The **Download** and **Delete** buttons become available:

Attach Files to Transaction - Windows Internet Explorer

You have successfully attached the document to this Transaction.

Transaction No and Date \* 999000120090002 28/08/2009 06:49:19 PM

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

**Upload Files**

File to Upload (Maximum Size: 5 MB) \*  Browse...

File Description \*

Upload Close

**The following files have been uploaded for this Transaction:**

File Name	Description	Size (in bytes)
<input type="radio"/> ANT Documentation.doc	Supporting documentation for this Transaction.	572416

Download Delete

The new file has been successfully uploaded.



4. Note that on the Transaction main page, the attachment count is immediately updated:

**PART I - APPROVAL ROUTE**

Transaction No and Date \* 999000120090002 28/08/2009 06:49:19 PM

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

Reporting Date \* 05/01/2010

Transaction Status \* Pending Status Date 28/08/2009 06:55:15 PM

[Attach / View Documents \(1\)](#)

5. To view the contents of an attachment, click the selector and click Download. You can then view or download the file:

Attach Files to Transaction - Windows Internet Explorer

**PART I - APPROVAL ROUTE**

Transaction No and Date \* 999000120090002 28/08/2009 06:49:19 PM

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

**Upload File**

File to Upload (Maximum Size: 5 MB) \*

File Description \*

**File Download**

Do you want to open or save this file?

Name: ANT\_Documentation.doc  
Type: Microsoft Word Document  
From: 10.118.6.41

Open Save Cancel

While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. [What's the risk?](#)

**The following files have been uploaded for this Transaction:**

File Name	Description	Size (in bytes)
<input checked="" type="radio"/> ANT Documentation.doc	Supporting documentation for this Transaction	572416

Download Delete

Select the file and click **Download**. You will be prompted to save or view the document.

6. To permanently **delete** an attached document, select that record and click **Delete**. The **Delete Confirmation dialog** will appear. Click **OK** to permanently delete the attached document. Deleted attachments cannot be recovered.



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### 5.3.5. Working with the History List

On most Transaction detail pages (accessed through links from the **Next Steps** Dialog), you will find that **multiple records are allowed / required**. This section helps you work with such records.

For example, in Part I – Automatic Route Transaction – Section A, multiple Indian Party records are expected to be added depending on how many Indian Parties were declared on the main page. The records added to the Transaction are shown in a ‘history list’ near the bottom of the page. The ‘history list’ appears on a number of Transaction pages; these are listed below:

- ❖ Part I – Section A.
- ❖ Part I – Section A – Financial Particulars.
- ❖ Part I – Section A – Details of Existing JV/WOS.
- ❖ Part I – Section A – Remittance Details.
- ❖ Part I – Section B – Capital Structure Details
- ❖ Part I – Section D.
- ❖ Part I – Section C – Capital Structure Details
- ❖ Part I – Section C – Section D.
- ❖ Part II – Remittance Details.
- ❖ Part III – Investment in Step-down Subsidiaries.

**Part II – Remittance Details page is used as an example for the following sub-sections.**

#### 5.3.5.1. Adding a detail record

1. Login as Bank user 999, select Tasks → Part II – Reporting of Remittances, and open an existing Part II Transaction in Pending status. The ‘**Next Steps Dialog**’ is displayed, as shown below:



Foreign Exchange Department  
Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 12:39:23 PM

28-December-2009 12:41:11 PM

Troubleshoot | Logout

Home Setup Tasks Query

The following Part II - Remittance detail record was retrieved successfully.

**Next Steps**

The following Section is available for this Part II Transaction. You may view, add, update or delete information in this Section.

[Remittance Details](#) - Provide details of Remittances performed by the Indian Promoter in this Project.

**PART II - REPORTING OF REMITTANCES**

Transaction No and Date \* 999000120090041 28/12/2009 12:38:31 PM

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

Reporting Date \* 28/12/2009

Transaction Status \* Pending Status Date 28/12/2009 12:38:31 PM

UIN \* NDWRA19960011 1003-NDWRA19960011-To be updated

Indian Promoter Name \* BHARATI INFOTEL PRIVATE LTD

Promoter Code \* LOIPJ8765E

The 'Next Steps Dialog' box containing a link to the Remittance Detail page is displayed after a successful Get operation.

2. Click the Remittance Details link. The blank details page opens as shown below:

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS**

(Amount in Actuals in FCY)

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

UIN NDWRA19960011 1003-NDWRA19960011-To be updated

Indian Promoter LOIPJ8765E BHARATI INFOTEL PRIVATE LTD

Method of Investment \* ----- Select Investment Method -----

Category of Investment \* ----- Select Investment Category -----

Foreign Currency Code \* [Search]

Remittance Amount \* 0.00

Remittance Amount (In Words) [Text Area]

Remittance Date \* [Calendar]

Add Clear Close

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
No Remittances have been added yet.				

Edit Delete

The 'history list' area. Currently this area is empty, as no remittances have been added so far.



3. Add all mandatory information on this page, and click **Add**. The record is successfully added (assuming that all validations were passed) and appears in the history list:

Remittance detail record was added successfully.

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION  
UIN NDWRA19960011 1003-NDWRA19960011-To be updated  
Indian Promoter LOIPJ8765E BHARATI INFOTEL PRIVATE LTD  
Method of Investment \* ----- Select Investment Method -----  
Category of Investment \* ----- Select Investment Category -----  
Foreign Currency Code \* [Search] [0.00]

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
<input type="radio"/> Cash Remittance - EEFC	Equity	USD - American Dollar	45000.00	01/12/2009

**The record selector:**  
Click the selector to select this row.

The newly added record appears in the **history list**.

**Edit and Delete** buttons are available for each record in the history list. These buttons are initially disabled; **they become enabled when you click the record selector.**



4. Add one more record. The newly added record also appears in the history list:

Remittance detail record was added successfully.

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

UIN NDWRA19960011 1003-NDWRA19960011-To be updated

Indian Promoter LOIPJ8765E BHARATI INFOTEL PRIVATE LTD

Method of Investment \* ----- Select Investment Method -----

Category of Investment \* ----- Select Investment Category -----

Foreign Currency Code \* [Search Box]

Remittance Amount \* 0.00

Remittance Amount (In Words) [Text Box]

Remittance Date \* [Calendar]

	Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
<input type="radio"/>	Cash Remittance - EEFC	Equity	USD - American Dollar	45000.00	01/12/2009
<input type="radio"/>	Cash Remittance - EEFC	Loan	USD - American Dollar	21000.00	01/12/2009

The **history list** now contains two rows, one for each record. Note that **each record has a selector** on the extreme left.



- To work with a particular record, first **click the selector for that row**. The row becomes highlighted. Then click **Edit** to load that record into the fields on the page for editing. The **Add** button is replaced with the **Update** button:

The data for the selected row is loaded into these fields.

The **Update** button appears to save your changes.

This record has been loaded for editing. Note that the selector for this row is disabled.

The specified Remittance Detail record was retrieved successfully.

### II - REPORTING OF REMITTANCES - REMITTANCE DETAILS

(Amount in Actuals in FCY)

9990001 DUMMY AD FOR DATA MIGRATION

NDWRA19960011 1003-NDWRA19960011-To be updated

LOIPJ8765E BHARATI INFOTEL PRIVATE LTD

Cash Remittance - EEFC

Loan

USD American Dollar

21000.00

Twenty One Thousand, (Fraction) Zero Only

01/12/2009

Update Clear Close

	Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
<input type="radio"/>	Cash Remittance - EEFC	Equity	USD - American Dollar	45000.00	01/12/2009
<input type="radio"/>	Cash Remittance - EEFC	Loan	USD - American Dollar	21000.00	01/12/2009

Edit Delete

- After performing your changes, click Update to save the record into the database.

**Note:** Upon a successful Add or Update operation, enterable fields are immediately cleared; this is meant to enable you rapidly add another record.



- 7. To delete a record, click that record's selector, and click Delete. You will receive a Delete Confirmation Warning box. **The warning is meant to alert you that the deletion will be permanent, and the record cannot be recovered under any circumstances:**

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \*

UIN

Indian Promoter

Method of Investment \*

Category of Investment \*

Foreign Currency Code \*

Remittance Amount \*

Remittance Amount (In Words)

Remittance Date \*

Method of Invest	Amount	Remittance Date
<input type="radio"/> Cash Remittance - EEFC	45000.00	01/12/2009
<input checked="" type="radio"/> Cash Remittance - EEFC <input type="checkbox"/> Loan <input type="text" value="USD - American Dollar"/>	21000.00	01/12/2009

Record selected for deletion.

Windows Internet Explorer  
Caution: This Remittance detail record will be permanently deleted and cannot be recovered. Proceed?

**Delete Confirmation** warning dialog. Click **OK** to delete, **Cancel** to keep the record.





- 8. Click OK to permanently delete this record. **The record will be physically deleted from the database, and the history list will be updated accordingly:**

The selected Part II - Remittance record was deleted successfully.

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

9990001 DUMMY AD FOR DATA MIGRATION  
NDWRA19960011 1003-NDWRA19960011-To be updated  
LOIPJ8765E BHARATI INFOTEL PRIVATE LTD  
----- Select Investment Method -----  
----- Select Investment Category -----

Foreign Currency Code \*  
Remittance Amount \* 0.00  
Remittance Amount (In Words)  
Remittance Date \*

Add Clear Close

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
Cash Remittance - EEFC	Equity	USD - American Dollar	45000.00	01/12/2009

Edit Delete

The Message Bar indicates that the deletion was successful.

The page has been cleared for data entry.

The history list has been updated accordingly.



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## 5.4. UNDERSTANDING TRANSACTION WORKFLOW

### 5.4.1. Introduction to Workflow in the OID Application

Essentially, Workflow refers to two features:

- 1) **Transaction Routing Mechanism:** Every Transaction that has data discrepancies (and some Transactions by default) will be routed to RBI for scrutiny and further action. The Data Providers (Banks and ADs) have no control over the routing mechanism. RBI retains the final authority to approve, reject or refer-back any pending Transaction at its discretion.
- 2) **Data Accessibility Restrictions:** Users are grouped into Roles and permissions are applied to those Roles. As described in the [User Permissions Matrix](#), the Application ensures that Transactions lying in a particular status have restricted visibility or are un-modifiable.



**5.4.2. When is the Workflow Triggered?**

The Workflow is triggered when the **status of a Transaction changes**.

**5.4.3. Bank Users' Workflow (Reporting a New Transaction to RBI)**

- 1) The workflow for a Bank User begins when you create a fresh Transaction (or open a referred-back Transaction) and change the Transaction Status to **“Reported/Submitted to RBI”**.

Home Setup Tasks Query

Part II - Remittance Transaction was added successfully.

**Next Steps**

The following Section is available for this Part II Transaction. You may view, add, update or delete information in this Section.

[Remittance Details](#) - Provide details of Remittances performed by the Indian Promoter in this Project.

**PART II - REPORTING OF REMITTANCES**

Transaction No and Date \* 999000120090037 23/12/2009 03:25:23 PM

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

Reporting Date \* 23/12/2009

Transaction Status \* **Reported/Submitted to RBI** Status Date 23/12/2009

UIN \* MAWRA19960012 1002-MAWRA19960012-Updated 2

Indian Promoter Name \* PRECOT MILLS LTD. 1

Promoter Code \* AAQPU99809

**We hereby confirm that the Remittance:**

- (i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR
- (ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR
- (iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conformity with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad.

**REPORTING AD DETAILS**

Point of Contact \* P. Ramesh

MANAGER

022-28295555 Fax Number \* 022-28297451

23/12/2009 City \* MUMBAI

Click **Update** button to initiate the workflow.

**Update** Clear Exit

Local intranet 100%



2) The Application displays a 'Submit Confirmation' dialog box:

The screenshot shows a web application interface with a navigation bar at the top containing 'Home', 'Setup', 'Tasks', and 'Query'. A 'Confirm Submission' dialog box is highlighted with a red border. The dialog box contains a question mark icon and the text: 'Do you wish to submit the data you have entered to RBI? Click Yes to submit this Transaction to RBI. After it is submitted, you cannot modify it. Click No to save this Transaction with Pending status. The Transaction will not be submitted to RBI.' Below the text are 'Yes' and 'No' buttons. Below the dialog box is a form titled 'PART II - REPORTING OF REMITTANCES'. The form contains several fields: 'Transaction No and Date' (999000120090037, 23/12/2009 03:25:23 PM), 'Bank Code' (999, Dummy Bank for Data Migration), 'Authorized Dealer (AD)' (9990001, DUMMY AD FOR DATA MIGRATION), 'Reporting Date' (24/12/2009), 'Transaction Status' (Reported/Submitted to RBI), 'Status Date' (23/12/2009 03:25), 'UIN' (MAWRA19960012, 1002-MAWRA19960012-Updated 2), 'Indian Promoter Name' (PRECOT MILLS LTD. 1), and 'Promoter Code' (AAQPU99809). Below the form is a section titled 'We hereby confirm that the Remittance:' with three sub-items: (i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR, (ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR, and (iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conformity with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad. Below this is a section titled 'REPORTING AD DETAILS' with fields for 'Point of Contact' (P. Ramesh), 'Point of Contact Designation' (MANAGER), 'Telephone Number' (022-28295555), 'Fax Number' (022-28297451), 'Date' (24/12/2009), and 'City' (MUMBAI). At the bottom of the form are 'Clear' and 'Exit' buttons. A red callout box points to the dialog box with the text: 'The 'Submit Confirmation Dialog' is displayed when you change the status to send data to RBI. Note that the rest of the page is read-only.'

- 3) Click **Yes** if you want to continue and submit this Transaction to RBI. Click **No** to remain in Pending status.
- 4) If you click **Yes**, **business validations will run** on the data you are attempting to submit. This may generate errors, **if there are discrepancies in the data** such that the Transaction cannot be submitted without further correction:



Foreign Exchange Department  
Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 12:43:21 PM

24-December-2009 01:03:33 PM  
Troubleshoot | Logout

Home Setup Tasks Query

**Information**

No such AD Code exists in the AD Master or the AD Code may be inactive. Please provide a valid value for AD Code.

**Next Steps**

The following Section is available for this Part II Transaction. You may view, add, update or delete information in this Section.

[Remittance Details](#) - Provide details of Remittances performed by the Indian Promoter

**PART II - REPORTING OF REMITTANCES**

Transaction No and Date *	999000120090039	24/12/2009 01:01:06 PM
Bank Code *	999	Dummy Bank for Data Migration
Authorized Dealer (AD) *	9990001	DUMMY AD FOR DATA MIGRATION
Reporting Date *	24/12/2009	
Transaction Status *	Pending	Status Date 24/12/2009
UIN *	MAWRA19960012	1002-MAWRA19960012-Updated 2
Indian Promoter Name *	PRECOT MILLS LTD. 1	

**AD Code temporarily de-activated to simulate an error condition.**  
Errors, if any, in your Transaction, **\*must\*** be resolved before you can submit it to RBI.

- 5) If there are discrepancies that require RBI's approval, you will be informed accordingly through the 'Ratification Warning Dialog', as shown below:





## Foreign Exchange Department Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 12:43:21 PM

24-December-2009  
01:17:44 PM

[Troubleshoot](#) | [Logout](#)

Home Setup Tasks Query

**RBI Ratification Required**

This transaction will be forwarded to RBI for their ratification due to the following reason(s):

- The difference between Remittance Date and Reporting Date is more than 55 days.

**You need to submit an explanation for the above in writing at the following address:**



**Foreign Exchange Department,  
Overseas Investment Division,  
Reserve Bank of India, Amar Building,  
Fort, Mumbai 400 001**

Click **Yes** to submit your data to RBI for ratification. After submission, you **cannot** edit the data. The data will become available to RBI.

Click **No** to continue working with this transaction with **Pending** status. The data will **not** be submitted to RBI.

**PART II - REPORTING OF REMITTANCES**

Transaction No and Date *	999000120090039	24/12/2009 01:01:06 PM
Bank Code *	999	Dummy Bank for Data Migration
Authorized Dealer (AD) *	9990001	DUMMY AD FOR DATA MIGRATION
Reporting Date *	24/12/2009	
Transaction Status *	Reported/Submitted to RBI	Status Date 24/
UIN *	MAWRA19960012	1002-MAWRA19960012-Updated 2
Indian Promoter Name *	PRECOT MILLS LTD. 1	<input type="button" value="UIN Details"/>
Promoter Code *	AAQPU99809	

The 'Ratification Warning Dialog' informs you that you may submit your Transaction to RBI, but **it will be routed for RBI ratification**. Click **Yes** to submit, **No** to cancel. Note that until RBI ratifies or refers-back this Transaction, it will remain **read-only**. UIN will **NOT** be generated (for Part I Transaction).



- 6) If the Transaction contains no errors or discrepancies, it will be submitted to RBI successfully. The confirmation message appears as shown below:

The screenshot displays the 'Foreign Exchange Department Overseas Investment Application' web interface. At the top, it shows the date '24-December-2009 01:29:07 PM' and the user's login status 'You logged in at 12:43:21 PM'. A navigation bar includes 'Home', 'Setup', 'Tasks', and 'Query'. A blue notification bar at the top states 'Part II - Remittance Transaction was updated successfully.' Below this, an 'Information' section contains a message: 'This Part II - Remittance Transaction has been successfully completed and submitted to RBI.' A 'Next Steps' section follows, indicating that the current status does not allow further additions or modifications, but provides a link to 'Remittance Details'. The main section is titled 'PART II - REPORTING OF REMITTANCES' and contains a form with the following fields: Transaction No and Date (999000120090039, 24/12/2009 01:01:06 PM), Bank Code (999, Dummy Bank for Data Migration), Authorized Dealer (AD) (9990001, DUMMY AD FOR DATA MIGRATION), Reporting Date (24/12/2009), Transaction Status (Reported/Submitted to RBI), Status Date (24/12/2009), UIN (MAWRA19960012, 1002-MAWRA19960012-Updated 2), Indian Promoter Name (PRECOT MILLS LTD. 1), and Promoter Code (AAQP99809). A confirmation statement follows, stating 'We hereby confirm that the Remittance:' followed by three conditions (i), (ii), and (iii). A red callout box on the right side of the screenshot contains the following text: 'A Confirmation message appears to inform you that the Transaction has been successfully submitted. Note that the entire page, including the detail page(s), all appears read-only. No further data update is possible, and the Transaction now becomes visible to RBI. UIN will be generated and displayed where applicable (Part I- Automatic Route Transaction).'



**5.4.4. Email Updates Triggered by Workflow**

Emails are automatically sent to **relevant email IDs maintained in RBI database when certain workflow actions are performed**. These emails are sent from an automated mailbox. Such emails are for your information only; you should not reply to these emails since replies are automatically discarded.

The following table specifies when and to whom emails are automatically sent.

Transactions	Triggering Action	Application Response
<ul style="list-style-type: none"> <li>❖ Part I (both Automatic and Approval Routes)</li> <li>❖ Part II – Reporting of Remittances</li> <li>❖ Part III - Annual Performance Report Transaction</li> <li>❖ Part I – Section C</li> </ul>	<ul style="list-style-type: none"> <li>❖ Bank User changes Transaction status from <b>PENDING to REPORTED / SUBMITTED TO RBI.</b></li> <li>❖ RBI User <b>Approves, Rejects, or Refers-Back</b> a Transaction to the concerned Bank.</li> </ul>	<p>Email containing the relevant information is sent to the following recipient list:</p> <p><b>TO:</b> Bank  <b>CC:</b> RBI Approving authorities for this Transaction type, Concerned Authorized Dealer, Concerned Indian Party.</p>
<ul style="list-style-type: none"> <li>❖ ESOP Scheme – Annexure I Transaction</li> <li>❖ ESOP Scheme – Annexure II Transaction</li> <li>❖ Investment by Mutual Funds Transaction</li> <li>❖ Portfolio Investments (Under AP DIR Circular 66) Transaction</li> </ul>	<ul style="list-style-type: none"> <li>❖ Bank User changes Transaction status from <b>PENDING to REPORTED / SUBMITTED TO RBI.</b></li> <li>❖ RBI User <b>Approves, Rejects, or Refers-Back</b> a Transaction to the concerned Bank.</li> </ul>	<p>Email containing the relevant information is sent to the following recipient list:</p> <p><b>TO:</b> Bank  <b>CC:</b> RBI Approving authorities for this Transaction type, Concerned Authorized Dealer.</p>





**5.5. PART I – AUTOMATIC ROUTE TRANSACTION**

Part I Transaction enables the Bank user to provide information to RBI about the new Projects set up by one or more Indian companies with or without foreign collaboration. The Bank can report a Project under Automatic Route **only if the Transaction complies with all extant RBI guidelines**. The following table shows you, step by step, the complete workflow for the Part I – Automatic Route Transaction. **The Bank User login used is 999 – Dummy Bank.**

Step Number	User Actions	Application Actions
1	❖ Login to the OID Application with User Name <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click the <b>Menu link</b> titled ' <b>Part I – Automatic Route</b> '	❖ Application opens the Part I – Automatic Route Transaction page. The blank screen is shown below:

**Foreign Exchange Department Overseas Investment Application**  
 Welcome, Dummy Bank for Data Migration [Bank Users Group]  
 You logged in at 05:20:10 PM

21-December-2009 05:20:22 PM  
 Troubleshoot | Logout

Home Setup Tasks Query

**PART I - AUTOMATIC ROUTE**

Transaction No and Date \* [ ] [ ]  
 Bank Code \* 999 Dummy Bank for Data Migration  
 Authorized Dealer (AD) \* [ ] [ ]  
 Reporting Date \* 21/12/2009  
 Transaction Status \* Pending Status Date [ ]  
 Purpose of Investment \* [----- Select Investment Purpose -----]  
 No of Indian Promoters \* 0

**We hereby confirm that:**  
 i) All the details being submitted are in adherence to all FEMA / RBI guidelines. \*   
 ii) We have retained Section E and Section F strictly as per RBI formats. \*

**REPORTING AD DETAILS**

Point of Contact \* [ ]  
 Point of Contact Designation \* [ ]  
 Telephone Number \* [ ] Fax Number \* [ ]  
 Date \* 21/12/2009 City \* [ ]

Get Add Clear Exit



Step Number	User Action	Application Response
2	❖ Enter all required details for this Transaction. The mandatory fields are marked by a * symbol on the page.	❖ The Application successfully creates a new Part I – Automatic Route Transaction and displays the Transaction Number, and links for Section A, B and D, as shown below:

**Foreign Exchange Department  
Overseas Investment Application**

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 05:20:10 PM

21-December-2009 05:32:52 PM

Troubleshoot | Logout

Home Setup Tasks Query

Part I - Automatic Route Transaction was added successfully.

**Next Steps**

The following Sections are available for this Part I Transaction. You may view, add, update or delete information in each Section.

**Section A** - Provide details about Indian Promoters participating in this UIN, their Financial Particulars, details about other Projects participated in, and Remittances (if any) already performed by each Promoter in this Project.

**Section B** - Provide details about the Project such as Name, Communication Details, Currency etc, and the current Capital Structure pattern for each Indian and Foreign Promoter participating in this Project.

**Section D** - Provide details about the Funding pattern and Financial Commitment of each Indian Promoter for this Project.

After entering all the relevant details in **Section A**, **Section B** and **Section D**, please change the status of the Transaction to **Reported/Submitted to RBI** and click the **Update** button.

**PART I - AUTOMATIC ROUTE**

Transaction No and Date \*

Bank Code \*

Authorized Dealer (AD) \*

Reporting Date \*

Transaction Status \*  Status Date

Purpose of Investment \*

No of Indian Promoters \*

No of Foreign Promoters \*

**We hereby confirm that:**

i) All the details being submitted are in adherence to all FEMA / RBI guidelines. \*

ii) We have retained Section E and Section F strictly as per RBI formats. \*

**REPORTING AD DETAILS**

Point of Contact \*

Point of Contact Designation \*

Telephone Number \*  Fax Number \*

Date \*  City \*

Done Local intranet 100%



Step Number	User Action	Application Response
3	❖ Click the link for Section A.	❖ Application opens Section A in a new window. The blank Section A page is shown below:

The selected PART I - SECTION A record was retrieved successfully.

### Next Steps

The following Sections are available for this Part I - Section A screen. You may view, add, update or delete information in each Section.

[Particulars of Existing JV and WOS](#) - Provide details of other JV and WOS Projects participated in by the selected Indian Party and the Party's Group Company. **This section is optional.**

[Remittance Details](#) - Provide details of Remittances already performed, if any, by the selected Indian Party.

### PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF INDIAN PROMOTERS

Transaction No

Authorized Dealer (AD)

#### Retrieve Indian Party Details by PAN

Indian Party's PAN Number \*

Indian Party's Name

Under - Investigation/ Export Caution List/ Banking Default List - **YES** For further details please [Click Here](#)

#### Selected Indian Party Details

Group to Which Company Belongs

Activity \*

Is the Activity Related to Financial Services ? \*

Whether Complied with REG 7 of FEMA 120 ? \*

Status \*



---

**INVESTIGATION DETAILS:**

INVESTIGATION DETAILS		
Indian Party <input type="text" value="AQLPK1430F"/>		
Under- Investigation/ Export Caution List/ Banking Default List	From Date	To Date
Bank Caution List	14/10/2013	15/10/2013
DOE	01/08/2013	
CBI	03/08/2013	



---

Part I (Automatic Route) – Section A Page – ADD mode		
Step Number	User Action	Application Response
4	<p>You have the option to specify the Indian Party by PAN Number, or by Party Code.</p> <ul style="list-style-type: none"><li>❖ Enter the valid 10-character PAN (example: <b>KJHUI9988Y</b>) and click <b>Get Party Details</b> button.</li></ul> <p>- OR In Case:</p>	<ul style="list-style-type: none"><li>❖ If the PAN was valid and available in the application’s database, the application will populate the details from the Indian Party Master.</li></ul>
	<ul style="list-style-type: none"><li>❖ If the PAN Number you entered does not exist in the application’s database, <b>you will be prompted to search for the Indian Party by Party Code and/or Name</b>. The search button now becomes available. Type the Code and/or the Name of the Indian Party (partially or completely) and click the search button. All Indian Parties with the matching name will be displayed in the search results window. Select the correct Indian Party and click <b>OK</b>.</li></ul>	<ul style="list-style-type: none"><li>❖ The Application loads the data pertaining to the Indian Party you selected and populates the data into the fields. Both scenarios are shown below:</li></ul>



**Scenario 1:** The specified PAN was valid and matched an Indian Party in the Master. The Party's details are obtained from the Indian Party Master and populated into Section A page:

**PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF INDIAN PROMOTERS**

Transaction No: 999000120090048 21/12/2009 05:31:00 PM  
Authorized Dealer (AD): 9990001 Dummy AD for Data Migration

**Retrieve Indian Promoter Details by PAN**

Indian Promoter's PAN Number \*: ABCDE1234F   
Indian Promoter's Name: ACME TECHNOLOGIES PVT. LTD

**Selected Indian Promoter Details**

Group to Which Company Belongs:   
Activity \*: 1000  Persons without any affiliation to any particular industry (including fresh entrants to labour force)  
Is the Activity Related to Financial Services ? \*:   
Whether Complied with REG 7 of FEMA 120 ? \*:   
Status \*: Private Limited Company  
PAN Number \*: ABCDE1234F  
Address Line 1 \*: K-2, SOMDATTA TOWERS, 6TH FLR., SECTOR 18,, NOIDA,  
Address Line 2:   
City \*:   
State \*: Andhra Pradesh  
Pincode:   
Telephone No:   
Fax Number:   
Point of Contact Name:   
Point of Contact Designation:   
Email ID:

Promoter Code	Promoter Name	POC Name
---------------	---------------	----------

The Indian Party's details are retrieved from the Master and populated into Section A fields. Any changes you make will be saved with the **Transaction**; the **Master will NOT be updated, except for change to the PAN, which will be updated into the Master.**



Scenario 2: The specified PAN was invalid; the **Party Search** option becomes available:

**Information**

**No Indian Promoter with the specified PAN could be found. What you can do:**

- 1) Use the Search utility to search by Promoter Code and Name, OR
- 2) Click Clear to search again by PAN Number.

---

**PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF INDIAN PROMOTERS**

Transaction No: 999000120090048    21/12/2009 05:31:00 PM

Authorized Dealer (AD): 9990001    Dummy AD for Data Migration

**Retrieve Indian Promoter's Details by Promoter Code**

Indian Promoter Code and Name \*

**Selected Indian Promoter Details**

Group to Which Company Belongs

Activity \*

The 'Retrieve Indian Party Details by Party Code' becomes available. Clicking the search button brings up the Party Master search, as shown below:

**Information**

Only those Indian Promoters that do NOT have a valid PAN Number are shown below. If you do not find the Promoter in this list, it is possible that:

- 1) The Indian Promoter already exists with a valid PAN Number.
- 2) The Indian Promoter record does not exist in RBI's database.

If you cannot locate the Promoter (either through PAN search or on this screen), contact RBI with relevant details to insert the new Promoter.

---

**Indian Promoter Search**

Indian Promoter Code:

Indian Promoter Name:

Sort By: Code

Showing Records 1 to 10 of Total 5008 Results

Indian Promoter Code	Indian Promoter Name
<input type="radio"/> AB0010	ABG HEAVY INDUSTRIES LTD
<input type="radio"/> AB0011	ABM ARCHITECTS PVT.LTD.
<input type="radio"/> AB0019	ABAN OFFSHORE LTD



**Note:**

If you cannot locate the Indian Party from the search screen, the Indian Party may not exist in the OID application’s database. You will have to send an email requesting addition of the new Indian Party (**with the new Indian Party details in the prescribed format – below**) to RBI’s Centralized Helpdesk at [helpoid@rbi.org.in](mailto:helpoid@rbi.org.in).

<b>Indian Party Name *</b>	
<b>Group to Which Company Belongs</b>	
<b>Status *</b>	Public Limited Company/Private Limited Company/Public Sector Undertaking/Registered Partnership/Proprietorship/Unregistered Partnership/Trust/Society/Others
<b>Activity Code as per NIC 1987 Classification *</b>	
<b>Address 1 *</b>	
<b>Address 2</b>	
<b>City *</b>	
<b>State *</b>	
<b>Pin Code</b>	
<b>Point of Contact</b>	
<b>Point of Contact Designation</b>	
<b>PAN Number *</b>	
<b>Telephone Number with STD Code</b>	
<b>Fax Number</b>	
<b>Indian Party Email ID</b>	





Part I (Automatic Route) – Section A Page – ADD mode		
Step Number	User Action	Application Response
4	❖ Once the Party Details are populated, ensure that all mandatory fields are entered with valid data. Check the <b>'Is the Activity Related to Financial Services'</b> and <b>'FEMA Compliance'</b> flags. Click <b>Add</b> to add this Party to this Project.	❖ Application successfully adds the new Party into this Project. The PAN provided will replace the existing IP code in the second scenario. An <b>Information message</b> appears at the top, providing instructions on how to proceed:

**Information**

Please select the Indian Promoter and click 'Edit' button to display relevant links for adding JV/WOS details, Financial Particulars (if applicable) and Remittance Details (if applicable).

**PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF INDIAN PROMOTERS**

Transaction No: 999000120090048 | 21/12/2009 05:31:00 PM  
Authorized Dealer (AD): 9990001 | Dummy AD for Data Migration

**Retrieve Indian Promoter Details by PAN**

Indian Promoter's PAN Number \*    
Indian Promoter's Name

**Selected Indian Promoter Details**

Group to Which Company Belongs   
Activity \*    
Is the Activity Related to Financial Services ? \*   
Whether Complied with REG 7 of FEMA 120 ? \*   
Status \*   
PAN Number \*   
Address Line 1 \*   
Address Line 2   
City \*   
State \*   
Pincode   
Telephone No   
Fax Number

**Indian Party successfully added to the Part I Transaction.**

Promoter Code	Promoter Name	PAN Number	City	State	POC Name
<input type="radio"/> ABCDE1234F	ACME TECHNOLOGIES PVT. LTD	ABCDE1234F	Hyderabad	Andhra Pradesh	

**Information Message:** Instructions on how to enter detailed information for the newly added Indian Party.



Part I (Automatic Route) – Section A Page – MODIFY mode		
Step Number	User Action	Application Response
5	❖ Click the Indian Party record selector and click <b>Edit</b> .	❖ Application loads the data for the Indian Party, and shows the <b>Next Steps Dialog</b> , containing links to detail pages.
	❖ Change any data you wish to change on the page. For example, enter or update the email address, POC Name etc. Click Update.	❖ The Application successfully updates the data. <b>All data fields are cleared to enable you add another record.</b> An Information message appears at the top, providing instructions on how to proceed.
	❖ Again, click the Indian Party record selector and click <b>Edit</b> .	❖ Application loads the data for the Indian Party, and shows the <b>Next Steps Dialog</b> , containing links to detail pages.
	❖ Click the <b>'Financial Particulars'</b> link.	❖ The <b>'Financial Particulars for the Past 3 Years'</b> page opens. Both screens are shown below:

The specified Part I - Section A record was retrieved successfully.

**Next Steps**

The following Sections are available for this Part I - Section A screen. You may view, add, update or delete information in each Section.

[Financial Particulars](#) - Provide details of the selected Indian Promoter's Financial particulars for the past 3 years.

[Particulars of Existing JV and WOS](#) - Provide details of other JV and WOS Projects participated in by the selected Indian Promoter and the Promoter's Group Company. **This section is optional.**

[Remittance Details](#) - Provide details of Remittances already performed, if any, by the selected Indian Promoter.

**PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF INDIAN PROMOTERS**

999000120090048    21/12/2009 05:31:00 PM

9990001    Dummy AD for Data Migration

**Retrieve Indian Promoter Details by PAN**

Number \*    ABCDE1234F    **Get Promoter Details**

ACME TECHNOLOGIES PVT. LTD

**Selected Indian Promoter Details**

The **'Next Steps Dialog'** becomes visible when you select a Section A record and click **Edit**.



**PART I (AUTOMATIC ROUTE) - SECTION A - FINANCIAL PARTICULARS OF THE INDIAN PROMOTER FOR THE LAST 3 YEARS** (Amount in Actuals in INR)

Transaction No	999000120090048	21/12/2009 05:31:00 PM
Authorized Dealer (AD)	9990001	Dummy AD for Data Migration
Indian Promoter *	ABCDE1234F	ACME TECHNOLOGIES PVT. LTD
Financial Particulars As On *	<input type="text"/>	<input type="text"/>
Foreign Exchange Earnings (Excluding Equity Exports to JV/WOS)	<input type="text"/>	0.00
Net Profit *	<input type="text"/>	0.00
Paid-up Capital *	<input type="text"/>	0.00
Net Worth of Indian Promoter *	<input type="text"/>	0.00
Net Worth of Group Company	<input type="text"/>	0.00

As On	Forex Earnings	Net Profits	Paid-up Capital	Net Worth of Indian Promoter	Net Worth of Group Company
No Financial particulars have been added yet.					

The Financial Particulars page appears in Add mode. **All enterable fields are empty.** Type your data into the fields and click **Add**.



Part I (Automatic Route) – Section A – Financial Particulars Page – ADD mode		
Step Number	User Action	Application Response
6	❖ Enter the mandatory fields and click <b>Add</b> button.	❖ Application successfully inserts the record and displays it in the list at the bottom of page. All data fields are cleared automatically, so that you can add another record.
	❖ Add Financial Details for three consecutive years.	❖ Application inserts data successfully for 3 consecutive years.

Part I - Section A - Financial Particular detail record was added successfully.

**PART I (AUTOMATIC ROUTE) - SECTION A - FINANCIAL PARTICULARS OF THE INDIAN PROMOTER FOR THE LAST 3 YEARS**  
(Amount in Actuals in INR)

Transaction No: 999000120090048 | 21/12/2009 05:31:00 PM

Authorized Dealer (AD): 9990001 | Dummy AD for Data Migration

Indian Promoter \*: ABCDE1234F | ACME TECHNOLOGIES PVT. LTD

Financial Particulars As On \*: [Date Picker]

Foreign Exchange Earnings (Excluding Equity Exports to JV/WOS): 0.00

Net Profit \*: 0.00

Paid-up Capital \*: 0.00

Net Worth of Indian Promoter \*: 0.00

Net Worth of Group Company: 0.00

[Add] [Clear] [Exit]

	As On Date	Forex Earnings	Net Profits	Paid-up Capital	Net Worth of Indian Promoter	Net Worth of Group Company
<input type="radio"/>	01/12/2007	0.00	45000.00	1245000.00	1444552000.00	0.00
<input type="radio"/>	01/12/2008	550000.00	14520000.00	890300000.00	14589000.00	789125000.00
<input type="radio"/>	01/12/2009	12500.00	155000.00	45203010.00	7854000.00	890300000.00

[Edit] [Delete]

Financial details have been added for three consecutive years for this Indian Party.



Part I (Automatic Route) – Section A – Financial Particulars Page – MODIFY mode		
Step Number	User Action	Application Response
7	❖ To modify a record, click the selector button to the left, and click Edit.	❖ Application opens the selected record and populates all the fields.
	❖ Perform the desired changes to data, and click Update.	❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list.

The specified Part I - Section A - Financial Particular detail record was retrieved successfully.

**PART I (AUTOMATIC ROUTE) - SECTION A - FINANCIAL PARTICULARS OF THE INDIAN PROMOTER FOR THE LAST 3 YEARS**  
(Amount in Actuals in INR)

Transaction No: 999000120090048 | 21/12/2009 05:31:00 PM

Authorized Dealer (AD): 9990001 | Dummy AD for Data Migration

Indian Promoter \*: ABCDE1234F | ACME TECHNOLOGIES PVT. LTD

Financial Particulars As On \*: 01/12/2007

Foreign Exchange Earnings (Excluding Equity Exports to JV/WOS): 0.00

Net Profit \*: 45000.00

Paid-up Capital \*: 1245000.00

Net Worth of Indian Promoter \*: 1444552000.00

Net Worth of Group Company: 155000.00

	As On Date	Forex Earnings	Net Profits	Paid-up Capital	Net Worth of Indian Promoter	Net Worth of Group Company
<input checked="" type="radio"/>	01/12/2007	0.00	45000.00	1245000.00	1444552000.00	0.00
<input type="radio"/>	01/12/2008	550000.00	14520000.00	890300000.00	14589000.00	789125000.00
<input type="radio"/>	01/12/2009	12500.00	155000.00	45203010.00	7854000.00	890300000.00

The selected record's data is loaded into the fields. You can edit the data in each field.

This record has been opened for editing. Make your changes and click **Update** to save the record.



Part I (Automatic Route) – Section A – Financial Particulars Page – DELETE mode		
Step Number	User Action	Application Response
8	<p>You can delete one or more Financial Particular detail records, but the delete is permanent and you cannot recover any record you have deleted. Also, note that without Financial data for past three consecutive years, you cannot submit your data to RBI, if the Indian Party in question is engaged in Financial Services activities.</p> <ul style="list-style-type: none"> <li>Select the record you want to delete.</li> <li>Click the <b>Delete</b> button.</li> </ul>	<ul style="list-style-type: none"> <li>Application displays a <b>Delete Warning box</b> asking for your confirmation.</li> </ul>
	<ul style="list-style-type: none"> <li>Click the <b>OK</b> button on the Delete Warning box.</li> </ul>	<ul style="list-style-type: none"> <li>Application deletes the selected record and updates the list.</li> </ul>

The screenshot shows a web browser window displaying the 'PART I (AUTOMATIC ROUTE) - SECTION A - FINANCIAL PARTICULARS OF THE INDIAN PROMOTER FOR THE LAST 3 YEARS' page. The page includes a form with fields for Transaction No, Authorized Dealer (AD), Indian Promoter, and various financial metrics. A table at the bottom lists data for three years: 01/12/2007, 01/12/2008, and 01/12/2009. A 'Delete Warning' dialog box is overlaid on the table, with a red box highlighting the 'Delete' button in the table and another red box pointing to the dialog box. A callout box explains the warning message and the actions to take.

**Windows Internet Explorer**

Caution: This Financial Particular detail record will be permanently deleted and cannot be recovered. Proceed?

OK Cancel

**The 'Delete Warning' box displays a warning message. Click OK to delete, or Cancel to keep the record.**

As On Date	Forex Earnings	Net Profits	Paid-up Capital	Net Worth of Indian Promoter	Net Worth of Group Company
01/12/2007	0.00	45000.00	1245000.00	1444552000.00	0.00
<b>01/12/2008</b>	<b>550000.00</b>	<b>14520000.00</b>	<b>890300000.00</b>	<b>14589000.00</b>	<b>789125000.00</b>
01/12/2009	12500.00	155000.00	45203010.00	7854000.00	890300000.00

**Record selected for deletion.**

Edit Delete



The selected Part I - Section A - Financial Particular detail record was deleted successfully.

**PART I (AUTOMATIC ROUTE) - SECTION A - FINANCIAL PARTICULARS OF THE INDIAN PROMOTER FOR THE LAST 3 YEARS**  
(Amount in Actuals in INR)

Transaction No: 999000120090048 | 21/12/2009 05:31:00 PM  
Authorized Dealer (AD): 9990001 | Dummy AD for Data Migration  
Indian Promoter \*: ABCDE1234F | ACME TECHNOLOGIES PVT. LTD  
Financial Particulars As On \*: [ ]  
Foreign Exchange Earnings (Excluding Equity Exports to JV/WOS): 0.00  
Net Profit \*: 0.00  
Paid-up Capital \*: 0.00  
Net Worth of Indian Promoter \*: 0.00  
Net Worth of Group Company: 0.00

	As On Date	Forex Earnings	Net Profits	Paid-up Capital	Net Worth of Indian Promoter	Net Worth of Group Company
<input type="radio"/>	01/12/2007	0.00	45000.00	1245000.00	1444552000.00	0.00
<input type="radio"/>	01/12/2009	12500.00	155000.00	45203010.00	7854000.00	890300000.00

The selected record was deleted and no longer appears in the list.



Part I (Automatic Route) – Section A – Details of Existing JV/WOS Page – ADD mode		
Step Number	User Action	Application Response
9	❖ You have <b>successfully completed the Financial particulars details</b> for the selected Indian Party. Click <b>Exit</b> .	❖ Application takes you back to Section A page.
	❖ Click the ' <b>Particulars of Existing JV/WOS</b> ' link.	❖ Application opens the ' <b>Details of Existing JV/WOS</b> ' screen. The blank screen is shown below:

Part I (Automatic Route) – Section A – Details of Existing JV/WOS Page – ADD mode		
Step Number	User Actions	Application Actions
9	<p>In this page, you can provide the UIN of other Projects in which the specified Indian Party has participated.</p> <p>❖ Type a valid UIN and click 'Populate Indian Parties' button.</p>	<p>❖ The Application populates a list of <b>Indian Parties who have participated in that Project</b>. If no such UIN was found, the application shows an appropriate error message.</p>





- ❖ Select an Indian Party from the list, and click Add button.
- ❖ Application successfully inserts the record and displays it below the buttons panel, as shown:

Part I - Section A - Existing JV/WOS Detail record was added successfully.

**PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF EXISTING JOINT VENTURES AND WHOLLY OWNED SUBSIDIARIES**

Transaction No: 999000120090048 | 21/12/2009 05:31:00 PM

Authorized Dealer (AD): 9990001 | Dummy AD for Data Migration

Indian Promoter \*: ABCDE1234F | ACME TECHNOLOGIES PVT. LTD

UIN \*: | Populate Indian Promoters

Indian Promoter \*: Please specify the UIN.

Add Clear Exit

	UIN	Promoter Code	Promoter Name
<input type="radio"/>	NDJRA19960016	AL0004	ALPHA CREATIONS LTD.
<input type="radio"/>	NDWRA19960024	IN0035	INTER SOFTWARE & TECHNOLOGIES LTD
<input type="radio"/>	NDWRA19960011	BH0034	BHARATI INFOTEL PRIVATE LTD

Edit Delete

A list of other Projects the specified Indian Party (**ACME TECHNOLOGIES PVT LTD** in this example) or the Indian Party's Group Company has participated in.



Part I (Automatic Route) – Section A – Details of Existing JV/WOS Page – MODIFY mode		
Step Number	User Action	Application Response
10	❖ To modify a record, click the selector button to the left, and click <b>Edit</b> .	❖ Application opens the selected record and populates all the fields.
	❖ Perform the desired changes to data, and click <b>Update</b> .	❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list.

The specified Part I - Section A - Existing JV/WOS Detail record was retrieved successfully.

**PART I (AUTOMATIC ROUTE) - SECTION A - DETAILS OF EXISTING JOINT VENTURES AND WHOLLY OWNED SUBSIDIARIES**

Transaction No: 636000220090032 | 11/12/2009 10:45:24 AM

Authorized Dealer (AD): 6360002 | CENTRAL OFFICE

Indian Promoter \*: ABCDE1234F | ACME TECHNOLOGIES PVT. LTD

UIN \*: NDWRA19960011 |

Indian Promoter \*: BHARATI INFOTEL PRIVATE LTD

	UIN	Promoter Code	Promoter Name
<input type="radio"/>	BYJGX19680002	GR0002	GRASIM INDUSTRIES LTD.
<input checked="" type="radio"/>	NDWRA19960011	BH0034	BHARATI INFOTEL PRIVATE LTD

This record has been opened for editing.

This record has been opened for editing. Make your changes and click **Update** to save the record.



**Remittance Details Page- Detail of Method of investment and Category of Investment.**

Method or Source of Investments	Category of Investments				
Cash Remittance – EEFC	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Cash Remittance – Market Purchase	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
ECB	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
FCCB	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
ADR	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
GDR	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Swap of Shares	Equity				
Capitalization – Exports	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Capitalization – Others (Specify)	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Others – Fund based (Specify)	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Corporate or Personal Guarantee Issued	Corporate Guarantee by Indian party		Personal Guarantee by third party	Corporate Guarantee by third party	
Performance Guarantee	Performance Guarantee				
Bank Guarantee Issued (Name of the Bank)	Bank Guarantee Issued				
Creation of Charge	Shares of JV /		Movable &	Other Financial	



	WOS	Immovable Properties	Assets
Others – Non fund based (Specify)	(Specify)		

Part I (Automatic Route) – Section A – Remittance Details Page – ADD mode		
Step Number	User Actions	Application Actions
11	❖ You have <b>successfully completed the ‘Details of Existing JV and WOS’</b> screen for the selected Indian Party. Click <b>Exit</b> .	❖ Application takes you back to Section A page.
	❖ Click the ‘Remittance Details’ link.	❖ Application opens the ‘ <b>Remittance Details</b> ’ screen. The blank screen is shown below:

**Part I (Automatic Route) – Section A – Remittance Details Page – ADD mode**

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \*

Indian Promoter

Method of Investment \*

Category of Investment \*

Foreign Currency Code \*

Remittance Amount \*

Remittance Amount (In Words)

Remittance Date \*

**We hereby confirm that the Remittance:**

(i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR

(ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR

(iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conformity with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad.

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
No Remittances have been added yet.				



Step Number	User Actions	Application Actions
11	❖ Enter the mandatory fields and click <b>Add</b> button.	❖ Application successfully inserts the record and displays it in the list below buttons panel. All data fields are cleared automatically, so that you can add another record.
	❖ Add all the remittances for this Indian Party.	❖ Application inserts Remittance data successfully against the selected Indian Party. This is shown below:

Remittance detail record was added successfully.

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \*

Indian Promoter

Method of Investment \*

Category of Investment \*

Foreign Currency Code \*

Remittance Amount \*

Remittance Amount (In Words)

Remittance Date \*

**We hereby confirm that the Remittance:**

(i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR

(ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR

(iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conformity with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad.

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
Cash Remittance - EEFC	Equity	USD - American Dollar	45000.00	01/12/2009

Remittance record for selected Indian Party added successfully.



Part I (Automatic Route) – Section A – Remittance Details Page – MODIFY mode		
Step Number	User Actions	Application Actions
12	❖ To modify a record, click the selector button to the left, and click <b>Edit</b> .	❖ Application opens the selected record and populates all the fields.
	❖ Perform the desired changes to data, and click <b>Update</b> .	❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list.

The specified Remittance Detail record was retrieved successfully.

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \*

UIN

Indian Promoter

Method of Investment \*

Category of Investment \*

Foreign Currency Code \*

Remittance Amount \*

Remittance Amount (In Words)

Remittance Date \*

**We hereby confirm that the Remittance:**

(i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR

(ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR

(iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conformity with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad.

	Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
<input type="radio"/>	Cash Remittance - Market purchase	Equity	AED - Uae	100.00	16/09/2009
<input type="radio"/>	Cash Remittance - EEFC	<small>This record has been opened for editing.</small>	AED - Uae	100.00	16/09/2009

This record has been opened for editing. Make your changes and click **Update** to save the record.



---

Part I (Automatic Route) – Leaving Section A		
Step Number	User Action	Application Response
13	❖ Click <b>Exit</b> on the 'Remittance Details' page.	❖ Application <b>reloads the Section A page</b> from where you opened Remittance page.
	❖ Click <b>Close</b> on the Section A page.	❖ Application displays an information box asking for confirmation. Click <b>OK</b> and the Section A page closes.



Part I (Automatic Route) –Section B – MODIFY mode		
Step Number	User Action	Application Response
14	❖ Click the link for Section B on the Transaction main page.	❖ Application opens the Section B page, as shown below. <b>The Capital Structure Details link is initially not shown. You must fill up the Section B main page before the links will be shown to you.</b>

The following Part I - Section B details were successfully retrieved.

**Information**

Please provide all mandatory information on this page and click 'Update'. Once the data is saved, the Capital Structure Details link will become visible.

**PART I (AUTOMATIC ROUTE) - SECTION B - DETAILS OF INVESTMENT IN NEW PROJECT**

Transaction No: 999000120090048    21/12/2009 05:31:00 PM

9990001    Dummy AD for Data Migration

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ 0.00

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Starting Month or Accounting Year for JV/WOS/Other \*    --- Select Month ---

Activity \*

Is the Activity Related to Real Estate ? \*   

Is the activity Related to Banking Business ? \*   

Is the Activity Related to Financial Services ? \*   

Whether Complied to REG 7 of FEMA 120 ? \*   

Whether JV/WOS/Other is SPV ? \*   

Whether JV/WOS/Other is Listed in the Overseas Stock Exchange ? \*   

**Update**    **Close**

You need to fill up all mandatory fields on Section B page. The **Capital Structure Details** link is shown only after Section B page is completed.





Part I (Automatic Route) – Section B – MODIFY mode		
Step Number	User Action	Application Response
14	❖ Provide all mandatory data and click <b>Update</b> .	❖ Application saves your data and shows the link for entering <b>Capital Structure Details</b> . The screenshot is shown below:

The selected Part I - Section B record was updated successfully.

**Next Steps**

The following Section is available for Part I - Section B. You may view, add, update or delete information in this Section.

[Capital Structure Details](#) - Provide details about the Capital Structure pattern for each Indian and Foreign participant in this Project.

**PART I (AUTOMATIC ROUTE) - SECTION B - DETAILS OF INVESTMENT IN NEW PROJECT**

Transaction No	999000120090048	21/12/2009 05:31:00 PM
Author (AD)	9990001	Dummy AD for Data Migration
Type the Name of the JV or WOS Here		
Type the Address of the JV or WOS Here		
4514500000.00		
USD	American Dollar	
USA	United States of America	
newfund@fundname.com		
Starting Month of Accounting Year for JV/WOS/Other *	January	
Activity *	10	Plantation of tea
Is the Activity Related to Real Estate ? *	<input type="checkbox"/>	
Is the activity Related to Banking Business ? *	<input type="checkbox"/>	
Is the Activity Related to Financial Services ? *	<input type="checkbox"/>	
Whether Complied to REG 7 of FEMA 120 ? *	<input type="checkbox"/>	
Whether JV/WOS/Other is SPV ? *	<input checked="" type="checkbox"/>	
Whether JV/WOS/Other is Listed in the Overseas Stock Exchange ? *	<input type="checkbox"/>	

The **Capital Structure Details** link becomes visible after Section B main page is successfully saved.



---

Part I (Automatic Route) – Section B – Capital Structure Details – ADD mode		
Step Number	User Action	Application Response
15	❖ Provide all mandatory data and click <b>Add</b> .	❖ Application saves your data and shows the newly added record in a list below the buttons panel. The screenshot is shown below:

Section B - Capital Structure record was added successfully.

**PART I (AUTOMATIC ROUTE) - SECTION B - CAPITAL STRUCTURE DETAILS**

Transaction No: 999000120090048    21/12/2009 05:31:00 PM

Authorized Dealer (AD): 9990001    Dummy AD for Data Migration

Party Type \*: --- Select ---

% Stake \*: 0.000

Party Type	Party Name	% Stake
<input type="radio"/> Indian	ACME TECHNOLOGIES PVT. LTD	45.000

Newly added Capital Structure Detail record.



Part I (Automatic Route) – Section B – Capital Structure Details – MODIFY mode		
Step Number	User Action	Application Response
16	❖ To modify a record, click the selector button to the left, and click <b>Edit</b> .	❖ Application opens the selected record and populates all the fields.
	❖ Perform the desired changes to data, and click <b>Update</b> .	❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list.

The specified Capital Structure record was retrieved successfully.

**PART I (AUTOMATIC ROUTE) - SECTION B - CAPITAL STRUCTURE DETAILS**

Transaction No: 999000120090048    21/12/2009 05:31:00 PM

Authorized Dealer (AD): 9990001    Dummy AD for Data Migration

Party Type \*: Indian

Party \*: ACME TECHNOLOGIES PVT. LTD

% Stake \*: 45.000

	Party Type	Party Name	% Stake
<input type="radio"/>	Indian	ACME TECHNOLOGIES PVT. LTD	45.000

This record has been opened for editing.

This record has been opened for editing. Make your changes and click **Update** to save the record.

Part I (Automatic Route) – Section B – Capital Structure Details – MODIFY mode		
Step Number	User Action	Application Response
16	<ul style="list-style-type: none"> <li>❖ Enter the Capital Structure Details for all participants in the Project. The sum of stakes held by all stakeholders must equal 100%</li> <li>❖ Once all data is entered, click <b>Exit</b> to go back to Section B page.</li> <li>❖ Click Close on the Section B page.</li> </ul>	<ul style="list-style-type: none"> <li>❖ Application reloads and displays the Section B page.</li> <li>❖ The Application closes Section B page and returns to the Transaction main page.</li> </ul>



---

Part I (Automatic Route) – Section D – Funding of JV/WOS – ADD mode		
Step Number	User Action	Application Response
17	❖ Click the Section D link on the main Transaction page.	❖ Application opens the Section D page in <b>ADD</b> mode. All fields are cleared and enabled for data entry, as shown in the screenshot:



**PART I (AUTOMATIC ROUTE) - SECTION D - FUNDING OF JV / WOS**

Transaction No: 999000120090048 | 21/12/2009 05:31:00 PM

Authorized Dealer (AD): 9990001 | Dummy AD for Data Migration

Indian Promoter \* : ----- Select Indian Promoter -----

Foreign Currency Code \* : USD | American Dollar

Full Value of Overseas Investment \* : 4514500000.00

Estimated Cost of the Overseas Investment for Indian Party \* : 0.00

**Financial Commitment**

Equity: 0.00  
 Loan: 0.00  
 Guarantee: 0.00  
 Total: 0.00

**Methods of Investment**

**a. Cash Remittance** 0.00  
 i. EEFC: 0.00  
 ii. Market Purchase: 0.00

**b. Capitalization Of** 0.00  
 i. Export of Plant and Machinery: 0.00  
 ii. Others: 0.00  
 Others Details: \_\_\_\_\_

**c. ADRs/GDRs (Raised Overseas)** 0.00

**d. ECB / FCCB** 0.00

**e. Swap of Shares** 0.00

**f. Others** 0.00  
 Others Details: \_\_\_\_\_

**Total** 0.00

**SPV Details**

**a. Purpose of SPV \*** \_\_\_\_\_

i. Is the Step Down Activity Related to Financial Services ?

ii. Confirm Compliance With REG 7 of FEMA 120

**b. Full Value of the Overseas Acquisition**

i. Direct / Indirect infusion by SPV: 0.00

ii. Funds Raised Overseas With Guarantee / Counter-guarantee From Applicant: 0.00

iii. Funds Contributed in the Form of Equity / Preference Equity / Shareholder's Loans by Foreign Investors: 0.00

iv. Securitization: 0.00

v. Any Other Mode: 0.00

Other Mode Details: \_\_\_\_\_

**Total** 0.00

Add Clear Close

Promoter Code	Promoter Name	Full Value of Overseas Investment	Estimated Cost to the Indian Party	Equity	Loan	Guarantee
No funding details for JV / WOS have been added yet.						

Edit Delete

Section D screen in ADD mode. All enterable fields are enabled for data entry. The SPV Section appears only if the SPV flag was marked in Section B.



Part I (Automatic Route) – Section D – Funding of JV/WOS – ADD mode		
Step Number	User Action	Application Response
17	❖ Enter all mandatory data and click <b>Add</b> .	❖ Application saves your data and shows the newly added record in a list below the buttons panel. The screenshot is shown below:

**a. Purpose of SPV \***

i. Is the Step Down Activity Related to Financial Services ?

ii. Confirm Compliance With REG 7 of FEMA 120

**b. Full Value of the Overseas Acquisition**

i. Direct / Indirect infusion by SPV

ii. Funds Raised Overseas With Guarantee / Counter-guarantee From Applicant

iii. Funds Contributed in the Form of Equity / Preference Equity / Shareholder's Loans by Foreign Investors

iv. Securitization

v. Any Other Mode

Other Mode Details

**Total**

**Add** **Clear** **Close**

Promoter Code	Promoter Name	Full Value of Overseas Investment	Estimated Cost to the Indian Party	Equity	Loan	Guarantee
ABCDE1234F	ACME TECHNOLOGIES PVT. LTD	4514500000.00	145000.00	0.00	0.00	0.00

**Edit** **Delete**

Done Local intranet 100%

Newly added Section D – Funding detail record.



---

Part I (Automatic Route) – Section D – Funding of JV/WOS – MODIFY mode		
Step Number	User Action	Application Response
18	❖ To modify a record, click the selector button to the left, and click <b>Edit</b> .	❖ Application opens the selected record and populates all the fields.
	❖ Perform the desired changes to data, and click <b>Update</b> .	❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list, as shown below:



The specified Part I - Section D record was retrieved successfully.

**PART I (AUTOMATIC ROUTE) - SECTION D - FUNDING OF JV / WOS**

Transaction No: 999000120090048 | 21/12/2009 05:31:00 PM

Authorized Dealer (AD): 9990001 | Dummy AD for Data Migration

Indian Promoter \*: ACME TECHNOLOGIES PVT. LTD

Foreign Currency Code \*: USD | American Dollar

Full Value of Overseas Investment \*: 4514500000.00

Estimated Cost of the Overseas Investment for Indian Party \*: 145000.00

**Financial Commitment**

Equity	0.00
Loan	0.00
Guarantee	0.00
<b>Total</b>	<b>0.00</b>

**Methods of Investment**

**a. Cash Remittance** 0.00

- i. EEFC 0.00
- ii. Market Purchase 0.00

**b. Capitalization Of** 0.00

- i. Export of Plant and Machinery 0.00
- ii. Others 0.00

Others Details: \_\_\_\_\_

**c. ADRs/GDRs (Raised Overseas)** 0.00

**d. ECB / FCCB** 0.00

**e. Swap of Shares** 0.00

**f. Others** 45000.00

Others Details: Enter Other Mode of Investment Detail Here

**Total** 45000.00

**SPV Details**

**a. Purpose of SPV \***

Enter SPV Details Here. \_\_\_\_\_

- i. Is the Step Down Activity Related to Financial Services ?
- ii. Confirm Compliance With REG 7 of FEMA 120

**b. Full Value of the Overseas Acquisition**

- i. Direct / Indirect infusion by SPV 0.00
- ii. Funds Raised Overseas With Guarantee / Counter-guarantee From Applicant 0.00

Equity / Loans by \_\_\_\_\_ 0.00

\_\_\_\_\_ 0.00

\_\_\_\_\_ 450.00

Enter Other Mode Details Here \_\_\_\_\_

Agree to the guidelines?

\_\_\_\_\_ 450.00

This record has been opened for editing. Make your changes and click **Update** to save the record.

Update Clear Close

Promoter Code	Promoter Name	Full Value of Overseas Investment	Estimated Cost to the Indian Party	Equity	Loan	Guarantee
ABCDE1234F	ACME TECHNOLOGIES PVT. LTD	4514500000.00	145000.00	0.00	0.00	0.00

Edit Delete





<b>Part I (Automatic Route) – Closing Section D</b>		
<b>Step Number</b>	<b>User Action</b>	<b>Application Response</b>
<b>19</b>	❖ Once all required data has been entered into Section D, click <b>Close</b> .	❖ The Application closes Section D window.



Part I (Automatic Route) – Submitting Transaction to RBI		
Step Number	User Action	Application Response
20	Once you have completed Sections A, B and D, you can submit the data to RBI.	
	❖ On the Part I – Automatic Route Transaction’s main page, change the Transaction Status from <b>Pending</b> to <b>Reported/Submitted to RBI</b> .	❖ Application displays a <b>Submit Confirmation dialog</b> box.
	❖ Click <b>Yes</b> on the <b>Submit Confirmation dialog</b> to proceed.	❖ The Application applies validations on your data. You may receive error and/or warning messages, as shown in the example below:

The screenshot shows a web application interface with a navigation bar (Home, Setup, Tasks, Query) and a main content area. The content area is divided into three sections:

- Information:** A red box with a white 'X' icon contains the following error/warning messages:
  - The following error / warning message(s) were received. Please correct your data and retry. The data on this page has NOT been saved.
  - The Sum of the % stake of all Promoters defined in the Capital Structure Details page must equal 100%.
  - Total number of Foreign Promoters in Capital Structure Details cannot be less than the 'Number of Foreign Promoters' specified on this page.
  - You have not completed Remittance Details for this Part I - Automatic Route. Please complete Remittance Details before submitting this Transaction to RBI.
  - Part I - Section A (Financial Particulars) detail must be entered for all the 3 consecutive financial years.
  - Equity Amount under 'Financial Commitment' in Section D must be more than 0.
- Next Steps:** A blue box with a white arrow icon contains instructions:
  - The following Sections are available for this Part I Transaction. You may view, add, update or delete information in each Section.
  - Section A** - Provide details about Indian Promoters participating in this UIN, their Financial Particulars about other Projects participated in, and Remittances (if any) already performed by each Promoter.
  - Section B** - Provide details about the Project such as Name, Communication Details, Currency etc and current Capital Structure pattern for each Indian and Foreign Promoter participating in this Project.
  - Section D** - Provide details about the Funding pattern and Financial Commitment of each Indian Promoter in this Project.
- PART I - AUTOMATIC ROUTE:** A form with the following fields:
  - Transaction No and Date: 999000120090048 | 21/12/2009 05:31:00 PM
  - Bank Code: 999 | Dummy Bank for Data Migration
  - Authorized Dealer (AD): 9990001 | Dummy AD for Data Migration
  - Reporting Date: 22/12/2009
  - Transaction Status: Pending | Status Date: 21/12/2009 05:31:00 PM
  - Purpose of Investment: Participation in JV

A red callout box on the right side of the screenshot contains the text: "If your data contains errors, or if you have not completed all mandatory Sections, you will see errors in the Information box. You \*must resolve\* these errors before you can send this Transaction to RBI."



---

Part I (Automatic Route) – Submitting Transaction to RBI		
Step Number	User Action	Application Response
20	Once you have corrected errors (if any), you can once again attempt to submit the data to RBI.  ❖ On the Part I – Automatic Route Transaction’s main page, change the Transaction Status from <b>Pending</b> to <b>Reported/Submitted to RBI</b> .	❖ Application displays a <b>Submit Confirmation dialog</b> box.
	❖ Click Yes on the <b>Submit Confirmation dialog</b> to proceed.	❖ The Application once again applies validations on your data. In the following screenshot, warning messages are generated and displayed.



### Approval Confirmation

This Transaction has the following error / warning message(s) requiring your scrutiny.

- The selected Indian Party: 3K0001 is under export caution list.
- The selected Indian Party: 3K0001 is under banking default list.
- The selected Indian Party: 3K0001 is under Investigation.
- The difference between Remittance Date and Reporting Date is more than 90 days.



**You have the authority to issue an Approval for this Transaction at your discretion.**

Click **Yes** if you wish to approve this Transaction. The Transaction will change to **Approved** status and UIN (if applicable) will be generated.

Click **No** if you do not wish to issue an Approval for this Transaction at this time. This Transaction will continue to appear in the list of Transactions awaiting your approval.

Yes

No

### PART I - AUTOMATIC ROUTE

Transaction No and Date *	000000220130002	15/03/2013 10:03:07 AM
Bank Code *	000	STATE BANK OF INDIA
Authorized Dealer (AD) *	0000002	SBI DELHI NODAL BRANCH



Part I (Automatic Route) – Submitting Transaction to RBI		
Step Number	User Action	Application Response
20	<p>You can choose to send the data to RBI. The Transaction will be automatically routed for RBI ratification. The UIN will NOT be generated until after RBI ratifies your Transaction.</p> <ul style="list-style-type: none"><li>❖ On the '<b>Approval Warning</b>' dialog, click <b>Yes</b> to submit your Transaction to RBI.</li></ul>	<ul style="list-style-type: none"><li>❖ Application successfully saves the Transaction with the status '<b>Pending for RBI Ratification</b>'.</li><li>❖ <b>For Bank Users, the entire Transaction becomes read-only.</b></li><li>❖ The Transaction is <b>now made visible to appropriate RBI users</b> with the privilege to approve, reject, refer-back this Transaction.</li></ul>
	<ul style="list-style-type: none"><li>❖ On the '<b>Approval Warning</b>' dialog, click <b>No</b> to cancel submission to RBI.</li></ul>	<ul style="list-style-type: none"><li>❖ Application saves the Transaction in the default status – <b>Pending for new Transaction, or Referred-Back</b> for Transaction which has been previously referred-back by RBI.</li><li>❖ The Transaction is <b>still available to you (Bank User) in edit mode</b>. You can edit and submit the data later.</li></ul>

The Bank User’s workflow stops at this point until the submitted Transaction is acted upon by RBI.

**Notes:**

- ❖ In case there are no discrepancies, the **UIN is generated and displayed immediately**.
- ❖ Please see the Section [Understanding Transaction Workflow](#) section for a detailed explanation of the Bank User workflow.



---

**5.6. PART I – APPROVAL ROUTE TRANSACTION**

Part I Transaction enables the Bank user to provide information to RBI about the new Projects set up by one or more Indian companies with or without foreign collaboration. The Bank must report a Project under Approval Route **if the Transaction may not comply with one or more extant RBI guidelines, and therefore requires explicit approval from RBI**. The data entry screens and workflow are identical to the Automatic Route with the following exceptions:

1. **Remittances cannot be reported** as part of Part I – Section A screen.
2. Upon submission, the Transaction **will always go into ‘Pending for RBI Ratification / Approval’ status**. The UIN **will not be generated** at this point.
3. The UIN will be generated by the system **after an authorized RBI user grants approval**. This UIN will be communicated to the Bank through an email and also through offline mechanism (hard-copy).
4. The authorized RBI User will have to explicitly set the **UIN status** to **Live** before any further actions are possible for that UIN (such as reporting Remittances etc).

**All other workflow actions and screen layouts are similar to the Automatic Route Transaction described above; please go through the same for usage instructions.**



---

**5.7. PART I – SECTION C TRANSACTION**

This screen is used to update the Capital Structure and Funding pattern of a JV/WOS in case of any changes in the existing capital or financial structure of the Project: for example, if an Indian Party wants to enhance the investment by purchasing stake from either an Indian Party or Foreign Party as part of an UIN. Every change in the investment pattern would also affect the funding pattern committed to in Part I – Section D. **So in each Part I – Section C Transaction, the Part I – Section D can also be updated by the user.**

The restructuring in the existing Capital Structure may also undergo changes by way of expansion, merger, complete or partial disinvestment, or infusion of additional capital etc.

If no existing transaction for the UIN exists, the User must add the Capital structure details of the UIN. Otherwise, user would be able to both add (in case new Indian Party is added) or update the existing capital structure details.

Detailed instructions for working with Part I – Section C Transaction are provided below.



Part I – Section C Transaction – ADD Mode		
Step Number	User Actions	Application Response
1	❖ Login to the OID Application with User Name <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click the <b>Menu link</b> titled ‘Part I – Section C’	❖ Application opens the Part I – Section C Transaction page. The blank screen is shown below:

Foreign Exchange Department  
Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 03:12:59 PM

28-December-2009 03:13:52 PM  
Troubleshoot | Logout

Home Setup Tasks Query

**PART I - SECTION C - INVESTMENT IN EXISTING PROJECT**

Transaction No and Date \*

Bank Code \*  Dummy Bank for Data Migration

Authorized Dealer (AD) \*

Reporting Date \*

Transaction Status \*  Status Date

UIN \*

Purpose of Supplementary Investment \*

Full Value of the Overseas Investment (Change, if any)

**REPORTING AD DETAILS**

Point of Contact \*

Point of Contact Designation \*

Telephone Number \*  Fax Number \*

Date \*  City \*

Get Add Clear Exit





Part I – Section C Transaction – ADD Mode		
Step Number	User Action	Application Response
2	❖ Enter all required details for this Transaction. The mandatory fields are marked by a * symbol on the page.	❖ The Application successfully creates a new Part I – Section C Transaction and displays the Transaction Number, and <b>links for Capital Structure Details and Section D</b> , as shown below. The page now goes into <b>UPDATE</b> mode.

12:11:54 PM

**Overseas Investment Application**  
Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 12:11:00 PM Troubleshoot | Logout

Home Setup Tasks Query

Part I - Section C Transaction was added successfully.

**Next Steps**

The following Sections are available for this Part I - Section C Transaction. You may view, add, update or delete information in each Section.

[Capital Structure Details](#) - Provide details about the Capital Structure pattern for each Indian and Foreign participant in this Project.

[Section D](#) - Provide details about the Funding pattern and Financial Commitment of each Indian Promoter for this Project.

**PART I - SECTION C - INVESTMENT IN EXISTING PROJECT**

Transaction No and Date \*

Bank Code \*

Authorized Dealer (AD) \*

Reporting Date \*

Transaction Status \*  Status Date

UIN \*

Purpose of Supplementary Investment \*

Full Value of the Overseas Investment (Change, if any)

**REPORTING AD DETAILS**

Point of Contact \*

Point of Contact Designation \*

Telephone Number \*  Fax Number \*

Date \*  City \*

Done Local intranet 100%



Part I – Section C Transaction – UPDATE Mode		
Step Number	User Action	Application Response
3	❖ If any data was wrongly entered, you can correct it and click <b>Update</b> button.	❖ The Application saves your data successfully and returns back to the same mode (UPDATE).
	❖ Click the link titled ' <b>Capital Structure Details</b> '.	❖ Application opens the <b>Capital Structure Details</b> screen in a new window in ADD mode, as shown below:

**PART I - SECTION C - CAPITAL STRUCTURE DETAILS**

Transaction No: 999000120090002 | 29/12/2009 00:10:11 PM

Authorized Dealer (AD): 9990001 | DUMMY AD FOR DATA MIGRATION

UIN: NDWRA19960011 | 1003-NDWRA19960011-To be updated

Party Type: --- Select ---

% Stake: 0.000

Buttons: Add, Clear, Close

Party Type	Party Name	% Stake
Indian	BHARATI INFOTEL PRIVATE LTD	100.000

Buttons: Edit, Delete

This Capital Structure Detail record already exists in the selected UIN.



Part I – Section C Transaction – Capital Structure Details – UPDATE Mode		
Step Number	User Action	Application Response
4	❖ Select the existing record and click <b>Edit</b> .	❖ The Application loads the selected record and populates the data into the fields. The screen goes into <b>UPDATE</b> mode.
	❖ Change the stake percent to 60% and click <b>Update</b> button.	❖ Application successfully saves the record. The page once again goes into <b>ADD</b> mode, as shown below:

The selected Section C - Capital Structure record was updated successfully.

**PART I - SECTION C - CAPITAL STRUCTURE DETAILS**

Transaction No: 999000120090002    29/12/2009 00:10:11 PM

Authorized Dealer (AD): 9990001    DUMMY AD FOR DATA MIGRATION

UIN: NDWRA19960011    1003-NDWRA19960011-To be updated

Party Type \*: --- Select ---

% Stake \*\*: 0.000

Add   Clear   Close

Party Type	Party Name	% Stake
<input type="radio"/> Indian	BHARATI INFOTEL PRIVATE LTD	60.000

Edit   Delete

The % Stake for this Indian Party has been reduced to 60%.



Part I – Section C Transaction – Capital Structure Details – ADD Mode		
Step Number	User Action	Application Response
5	<ul style="list-style-type: none"><li>❖ Add a new Foreign Party with a stake of 40%</li><li>❖ Change the stake percent to 60% and click <b>Update</b> button.</li></ul>	<ul style="list-style-type: none"><li>❖ Application successfully adds the new Foreign Party and returns the page to <b>ADD</b> mode. All enterable fields are cleared.</li><li>❖ The newly added Foreign Party record appears in the history list, as shown:</li></ul>

Section B - Capital Structure record was added successfully.

**PART I - SECTION C - CAPITAL STRUCTURE DETAILS**

Transaction No: 999000120090002    29/12/2009 00:10:11 PM

Authorized Dealer (AD): 9990001    DUMMY AD FOR DATA MIGRATION

UIN: NDWRA19960011    1003-NDWRA19960011-To be updated

Party Type \*: --- Select ---

% Stake \*: 0.000

Add    Clear    Close

Party Type	Party Name	% Stake
<input type="radio"/> Indian	BHARATI INFOTEL PRIVATE LTD	60.000
<input type="radio"/> Foreign	ESURE FINANCIALS LIMITED	40.000

Edit    Delete

A new Foreign Party has been added to this UIN, with a stake of 60%.



**Note 1:** You cannot delete any record not added through Part I – Section C. For example, if you attempt to delete the pre-existing Indian Party (BHARTI INFOTEL in this example), you will receive an error:

**Information**

You cannot delete this Section C - Capital Structure detail record, since this record was not added through Section C. You can only delete records added through Section C Transaction.

**PART I - SECTION C - CAPITAL STRUCTURE DETAILS**

Transaction No: 999000120090002 | 29/12/2009 00:10:11 PM  
 Authorized Dealer (AD): 9990001 | DUMMY AD FOR DATA MIGRATION  
 UIN: NDWRA19960011 | 1003-NDWRA19960011-To be updated  
 Party Type: --- Select ---  
 % Stake: 0.000

Add Clear Close

Party Type	Party Name	% Stake
<input type="radio"/> Indian	BHARATI INFOTEL PRIVATE LTD	60.000
<input type="radio"/> Foreign	ESURE FINANCIALS LIMITED	40.000

Edit Delete

Attempting to delete the pre-existing Indian Party fails with an error.

**Note 2:** If an existing stake-holder in this UIN is to be removed from the UIN, you must make the % Stake for that Indian Party or Foreign Party to zero. That stake can then be distributed to a new or existing stake-holder for this UIN. This is subject to the condition that the sum total of % Stake held by Indian Parties can never be zero. This scenario is shown below:

Section B - Capital Structure record was added successfully.

**PART I - SECTION C - CAPITAL STRUCTURE DETAILS**

Transaction No: 999000120090002 | 29/12/2009 00:10:11 PM  
 Authorized Dealer (AD): 9990001 | DUMMY AD FOR DATA MIGRATION  
 UIN: NDWRA19960011 | 1003-NDWRA19960011-To be updated  
 Party Type: --- Select ---  
 % Stake: 0.000

Add Clear Close

Party Type	Party Name	% Stake
<input type="radio"/> Indian	BHARATI INFOTEL PRIVATE LTD	60.000
<input type="radio"/> Foreign	ESURE FINANCIALS LIMITED	0.000
<input type="radio"/> Other Indian Entity	SOME OTHER INDIAN ENTITY	40.000

Edit Delete

The Foreign Party's stake is reduced to zero, and the remaining stake of 40% is transferred to another Indian Entity.



Part I – Section C Transaction – Leaving Capital Structure Details screen		
Step Number	User Action	Application Response
6	❖ Click Close button to leave the page.	❖ Application closes the page and returns you back to <b>Part I – Section C main page</b> .
Part I – Section C Transaction – Section D – UPDATE Mode		
Step Number	User Action	Application Response
7	❖ Click the link for <b>Part I – Section D</b> .	❖ Application opens the Section D screen in a new window in <b>ADD</b> mode. All enterable fields are cleared for data entry.
	❖ Enter all mandatory fields (marked with * on the page). Click <b>Add</b> button to save the new record.	❖ Application successfully saves the new Section D record. The screen is brought back to <b>ADD</b> mode and all enterable fields are cleared.
Part I – Section C Transaction – Section D – UPDATE Mode		
Step Number	User Action	Application Response
8	❖ Click the link for Part I – Section D.	❖ Application opens the Section D screen in a new window in <b>ADD</b> mode. All enterable fields are cleared for data entry.
	❖ Enter all mandatory fields (marked with * on the page). Click <b>Add</b> button to save the new record.	❖ Application successfully saves the new Section D record. The screen is brought back to <b>ADD</b> mode and all enterable fields are cleared.
Part I – Section C Transaction – Submitting to RBI		
Step Number	User Action	Application Response
9	❖ On the Part I – Section C – Main page, change the Transaction status from <b>PENDING</b> to <b>REPORTED/SUBMITTED</b> TO RBI. Click the <b>Update</b> button.	❖ Application submits the data to RBI, provided that all business validations are passed. <b>If there are discrepancies that require RBI approval, the warning message(s) will be shown to you. If you choose to proceed, the Transaction will be automatically routed for RBI approval. The data is now available to RBI.</b> Read-only permissions are applied to the page for Bank User.



**5.8. PART II - REPORTING OF REMITTANCES TRANSACTION**

This screen will be used by authorized OID users to submit supplementary remittances (second remittance and onwards) made by an Indian Party overseas in respect of a live UIN. User would not be able to submit any remittances without an existing UIN. Remittance amount must be entered in Actuals of the specified foreign currency.

The link to enter supplementary remittances appears in the 'Next Steps' dialog once the main Transaction has been added successfully.

If all the information is correct and do not violate any business rules then the Part II transaction will be submitted directly to RBI. If there are discrepancies, the data will be routed to RBI for ratification.

**Table Remittance Details Page-** Detail of Method of investment and Category of Investment.

Method or Source of Investments	Category of Investments				
Cash Remittance – EEFC	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Cash Remittance – Market Purchase	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
ECB	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
FCCB	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
ADR	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
GDR	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Swap of Shares	Equity				
Capitalization – Exports	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Capitalization – Others (Specify)	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked



Others – Fund based (Specify)	Equity	CCPS	Other Preference Shares	Loan	Guarantee Invoked
Corporate or Personal Guarantee Issued	Corporate Guarantee by Indian party		Personal Guarantee by third party	Corporate Guarantee by third party	
Performance Guarantee	Performance Guarantee				
Bank Guarantee Issued (Name of the Bank)	Bank Guarantee Issued				
Creation of Charge	Shares of JV / WOS	Movable & Immovable Properties		Other Financial Assets	
Others – Non fund based (Specify)	(Specify)				

<b>Part II - Reporting of Remittances – ADD Mode</b>		
<b>Step Number</b>	<b>User Actions</b>	<b>Application Response</b>
<b>1</b>	❖ Login to the OID Application with User Name <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click the <b>Menu link</b> titled ' <b>Part II - Reporting of Remittances</b> ' in <b>Tasks</b> menu item.	❖ Application opens the Part II - Reporting of Remittances Transaction page. The blank screen is shown below:





29-December-2009  
03:08:18 PM

## Foreign Exchange Department Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 03:08:09 PM

Troubleshoot | Logout

Home Setup Tasks Query

---

**PART II - REPORTING OF REMITTANCES**

Transaction No and Date \*

Bank Code \*  Dummy Bank for Data Migration

Authorized Dealer (AD) \*

Reporting Date \*

Transaction Status \*  Status Date

---

UIN \*

Indian Promoter Name \*

Promoter Code \*

**We hereby confirm that the Remittance:**

(i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR

(ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR

(iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conformity with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad.

---

**REPORTING AD DETAILS**

Point of Contact \*

Point of Contact Designation \*

Telephone Number \*  Fax Number \*

Date \*  City \*

Part II – Reporting of Remittances – ADD Mode		
Step Number	User Action	Application Response
2	<ul style="list-style-type: none"> <li>❖ Enter all required details for this Transaction. The mandatory fields are marked by a * symbol on the page.</li> </ul>	<ul style="list-style-type: none"> <li>❖ The Application successfully creates a new Part II – Reporting of Remittances Transaction and displays the Transaction Number and a <b>link for Remittance Details screen</b> (in the <b>Next Steps</b> section), as shown below. The page now goes into <b>UPDATE</b> mode.</li> </ul>



Home Setup Tasks Query

Part II - Remittance Transaction was added successfully.

**Next Steps**

The following Section is available for this Part II Transaction. You may view, add, update or delete information in this Section.

[Remittance Details](#) - Provide details of Remittances performed by the Indian Promoter in this Project.

**PART II - REPORTING OF REMITTANCES**

Transaction No and Date \* 999000120090042 29/12/2009 03:25:59 PM

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

Reporting Date \* 29/12/2009

Transaction Status \* Pending Status Date 29/12/2009 03:25:59 PM

UIN \* NDWRA19960011 1003-NDWRA19960011-To be updated

Indian Promoter Name \* BHARATI INFOTEL PRIVATE LTD

Promoter Code \* LOIPJ8765E

**We hereby confirm that the Remittance:**

(i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR

(ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR

(iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conformity with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad.

**REPORTING AD DETAILS**

Point of Contact \* P. Ramesh

Point of Contact Designation \* MANAGER

Telephone Number \* 022-28295555 Fax Number \* 022-28297451

Date \* 29/12/2009 City \* MUMBAI

Update Clear Exit

Part II – Reporting of Remittances Transaction – UPDATE Mode		
Step Number	User Action	Application Response
3	❖ If any data was wrongly entered, you can correct it and click <b>Update</b> button.	❖ The Application saves your data successfully and returns the screen back to the same mode ( <b>UPDATE</b> ).
	❖ Click the link titled ' <b>Remittance Details</b> '.	❖ Application opens the Remittance Detail screen in <b>ADD</b> mode with all enterable fields cleared, as shown below:



**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS**

**(Amount in Actuals in FCY)**

Authorized Dealer (AD) \*

UIN

Indian Promoter

Method of Investment \*

Category of Investment \*

Foreign Currency Code \*

Remittance Amount \*

Remittance Amount (In Words)

Remittance Date \*

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
No Remittances have been added yet.				

Part II – Reporting of Remittances – Remittance Detail screen – ADD Mode		
Step Number	User Action	Application Response
4	❖ Enter all mandatory information and click Add.	❖ If any business validation warnings were generated, these will be shown above the page, as shown below:



**RBI Ratification Required**

This transaction will be forwarded to RBI for their ratification due to the following reason(s):

- The selected Indian Party: GGGGG5555G is under export caution list.
- The selected Indian Party: GGGGG5555G is under banking default list.
- The selected Indian Party: GGGGG5555G is under Investigation.

**You need to submit an explanation for the above in writing at the following address:**

Foreign Exchange Department,  
Overseas Investment Division,  
Reserve Bank of India, Amar Building,  
Fort, Mumbai 400 001

Click **Yes** to submit your data to RBI for ratification. After submission, you **cannot** edit the data. The data will become available to RBI.

Click **No** to continue working with this transaction with **Pending** status. The data will **not** be submitted to RBI.

---

**PART II - REPORTING OF REMITTANCES**

Transaction No and Date *	<input type="text" value="000000220130020"/>	<input type="text" value="09/09/2013 01:17:19 PM"/>	
Bank Code *	<input type="text" value="000"/>	<input type="text" value="STATE BANK OF INDIA"/>	
Authorized Dealer (AD) *	<input type="text" value="0000002"/>	<input type="text" value="SBI DELHI NODAL BRANCH"/>	
Reporting Date *	<input type="text" value="09/09/2013"/>		
Transaction Status *	<input type="text" value="Reported/Submitted to RBI"/>	Status Date	<input type="text" value="09/09/2013 01:17:54 PM"/>

**Note:** The Application requires a response from you before it can complete the **ADD** or **UPDATE** operation. Click **Yes** to continue, or **No** to cancel the operation.

<b>Part II – Reporting of Remittances – Remittance Detail screen – ADD Mode</b>		
Step Number	User Action	Application Response
5	❖ Click <b>Yes</b> to add the new record.	❖ The Application successfully adds the new record. The page returns back to <b>ADD</b> mode and all enterable fields are cleared. The record appears in the history list.



Remittance detail record was added successfully.

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \*

UIN

Indian Promoter

Method of Investment \*

Category of Investment \*

Foreign Currency Code \*

Remittance Amount \*

Remittance Amount (In Words)

Remittance Date \*

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
<input type="radio"/> Cash Remittance - EEFC	Loan	USD - American Dollar	4512000.00	01/12/2007

Newly added record appears in the history list.

Part II – Reporting of Remittances – Remittance Detail screen – Adding and Updating records		
Step Number	User Action	Application Response
6	❖ Click the <b>record selector</b> and click <b>Edit</b> button.	❖ The Application loads the selected record and populates data into the fields. The screen goes into <b>UPDATE</b> mode.
	❖ Change the data as required and click <b>Update</b> button.	❖ Application successfully saves the record. The page once again goes into <b>ADD</b> mode.
	❖ Add all the remittances, as described above, for this Indian Party.	❖ Application successfully saves each record. The page goes into <b>ADD</b> mode after each successful <b>ADD</b> operation.



---

Part II – Reporting of Remittances – Remittance Detail screen – Deleting records		
Step Number	User Action	Application Response
7	❖ Click the <b>record selector</b> and click <b>Delete</b> button.	❖ The Application displays a Delete Confirmation Warning dialog, as shown below.
	❖ Click OK on the Confirmation dialog.	❖ The Application permanently deletes the selected record. The deleted record is removed from the history list.



Remittance detail record was added successfully.

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION  
UIN NDWRA19960011 1003-NDWRA19960011-To be updated  
Indian Promoter LOIPJ8765E BHARATI INFOTEL PRIVATE LTD  
Method of Investment \* ----- Select Investment Method -----  
Category of Investment \* ----- Select Investment Category -----  
Foreign Currency Code \* [Search] [ ]  
Remittance Amount \* [ ] 0.00  
Remittance Amount (In Words) [ ]  
Remittance Date \* [ ]

Windows Internet Explorer

Caution: This Remittance detail record will be permanently deleted and cannot be recovered. Proceed?

OK Cancel

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
<input checked="" type="radio"/> Cash Remittance - EEFC		USD - American Dollar	4512000.00	01/12/2007

Edit Delete

Click OK to permanently delete the selected record.

The selected Part II - Remittance record was deleted successfully.

**PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS** (Amount in Actuals in FCY)

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION  
UIN NDWRA19960011 1003-NDWRA19960011-To be updated  
Indian Promoter LOIPJ8765E BHARATI INFOTEL PRIVATE LTD  
Method of Investment \* ----- Select Investment Method -----  
Category of Investment \* ----- Select Investment Category -----  
Foreign Currency Code \* [Search] [ ]  
Remittance Amount \* [ ] 0.00  
Remittance Amount (In Words) [ ]  
Remittance Date \* [ ]

Add Clear Close

Method of Investment	Category of Investment	Currency	Remittance Amount	Remittance Date
No Remittances have been added yet.				

Edit Delete

The deleted record is removed from the history list.



---

Part II – Reporting of Remittances – Closing Remittance Detail screen		
Step Number	User Action	Application Response
8	❖ Click <b>Close</b> button, and click <b>OK</b> on the confirmation dialog.	❖ The Application closes the Remittance Detail screen and takes you back to <b>Part II – Reporting of Remittances main page.</b>
Part II – Reporting of Remittances – Submitting the Transaction to RBI		
Step Number	User Action	Application Response
9	❖ On the <b>Part II – Reporting of Remittances Transaction main page</b> , change the Transaction status from <b>PENDING</b> to <b>REPORTED/SUBMITTED</b> TO RBI. Click the <b>Update</b> button.	❖ Application submits the data to RBI, provided that all business validations are passed. <b>If there are discrepancies that require RBI approval, the <a href="#">warning message(s) will be shown to you.</a> If you choose to proceed, the Transaction will be automatically routed for RBI approval. The data then becomes available to RBI.</b> Read-only permissions are applied to the page for Bank User, as shown below.





**Information**

**This Part II - Remittance Transaction has been successfully completed and submitted to RBI.**

**Next Steps**

**The current status of this Transaction does not allow further addition or modification of Remittance data.** However, you can **view** the Remittance Details screen using the link below.

[Remittance Details](#) - View details of Remittances performed by the Indian Promoter in this Project.

**PART II - REPORTING OF REMITTANCES**

Transaction No and Date *	999000120090042	29/12/2009 03:25:59 PM
Bank Code *	999	Dummy Bank for Data Migration
Authorized Dealer (AD) *	9990001	DUMMY AD FOR DATA MIGRATION
Reporting Date *	29/12/2009	
Transaction Status *	Reported/Submitted to RBI	Status Date 29/12/2009 04:38:28 PM
UIN *	NDWRA19960011	1003-NDWRA19960011-To be updated
Indian Promoter Name *	BHARATI INFOTEL PRIVATE LTD	
Promoter Code *	LOIPJ8765E	

**We hereby confirm that the Remittance:**

- (i) Has been allowed under the Automatic Route based on the certification given by the Statutory Auditors confirming compliance with the prescribed terms and conditions by the Indian party; OR
- (ii) Is in accordance with the terms and conditions of the approval letter issued by the Reserve Bank; OR
- (iii) In respect of the invoked guarantee remittance has been made after satisfying that the claim is in conformity with the terms and conditions of the guarantee issued to/on behalf of the JV/WOS abroad.

**REPORTING AD DETAILS**

Point of Contact *	P. Ramesh		
Point of Contact Designation *	MANAGER		
Telephone Number *	022-28295555	Fax Number *	022-28297451
Date *	29/12/2009	City *	MUMBAI

For Bank User, as soon as the Transaction is submitted, **data becomes read-only**. No further modifications are allowed since the Transaction is now visible to RBI.

User Manual for the OID Application (Bank Users)  
Project RBI-SI

Page 153 of 177



**5.9. PART III - ANNUAL PERFORMANCE REPORT TRANSACTION**

This screen is used to capture, at the Project (UIN) level, the Annual Performance Report (APR) for that Project (UIN).

The “**Update Indian Party PAN**” link is provided on the Transaction’s main page, to enable the user update the PAN of Indian Parties involved in the UIN selected. User needs to update the PAN of Indian Party(s) for whom a valid PAN is not available in the Master. Without updating the PAN, the transaction cannot be submitted to RBI.

Another link is provided to capture **investment in Step down subsidiaries, if any**. The link appears in the ‘**Next Steps**’ dialog once the main Transaction is successfully added.

Part III - Annual Performance Report Transaction – ADD Mode		
Step Number	User Action	Application Response
1	❖ Login to the OID Application with User Name <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click the <b>Menu link</b> titled ‘ <b>Part III - Annual Performance Report</b> ’ in <b>Tasks</b> menu item.	❖ Application opens the Part III - Annual Performance Report Transaction page.
2	❖ Select the UIN for which you are entering this Part III - Annual Performance Report Transaction.	❖ If one or more Indian Parties in the UIN do not have a valid PAN in the Master, the ‘ <b>Change Party PAN</b> ’ link appears, as shown below:

The screenshot shows a web form with the following fields:
 

- Transaction Status: Pending
- Status Date: [Empty]
- UIN: BYWRA19960015 (with a search icon) and 1006-BYWRA19960015-To be updated
- Accounting Year: 1992
- Date of Finalization of Account: [Empty]
- Foreign Currency Code: [Empty]

 A red circle highlights a blue link labeled "Update PAN of Indian Promoter(s)" located below the UIN field. A red callout box points to this link.

The ‘**Update PAN of Indian Party(s)**’ link appears if, in the UIN you selected, there are **participating Indian Party(s) who do not have a valid PAN** in the Master.



Part III - Annual Performance Report Transaction – ADD Mode		
Step Number	User Action	Application Response
3	❖ Click the 'Update PAN of Indian Party(s)' link.	❖ The Application opens the PAN change screen, as shown below.
4	❖ Provide valid PAN for each Indian Party who does not have one, and click Submit.	❖ The Application successfully updates the Master with the PAN you provided.

The following Indian Promoters require PAN Number update.

Promoter Code	Promoter Name	PAN
TR0004	TRANS IMPEX LTD.	TRANS1533P
VI0056	VIDECON INDUSTRIES LTD	VIDEO1934E

Submit Close

The following Indian Parties do not have valid PAN.

Provide valid PAN for each Indian Party and click Submit. **This will update the Indian Party Master.**



Part III - Annual Performance Report Transaction – ADD Mode		
Step Number	User Action	Application Response
5	❖ Enter all mandatory fields on the main page and click <b>Add</b> .	❖ The Application successfully adds the new Part III - Annual Performance Report Transaction. The screen goes into <b>UPDATE</b> mode.
Part III - Annual Performance Report Transaction – UPDATE Mode		
Step Number	User Action	Application Response
6	❖ If any data was wrongly entered, you can correct it and click <b>Update</b> button.	❖ The Application saves your data successfully and returns the screen back to the same mode ( <b>UPDATE</b> ).
	❖ Click the link titled 'Investments in Step Down Subsidiaries' in the Next Steps dialog.	❖ The Application opens the Investments in Step Down Subsidiaries screen in a new window, as shown below:

**INVESTMENTS IN STEP DOWN SUBSIDIARIES SINCE LAST REPORTING**

(Amounts in Actuals of FCY)

Transaction No and Date \*      000000120090019      29/12/2009 05:18:43 PM

Authorized Dealer (AD)      0000001      CALCUTTA, MAIN BRANCH

UIN      BYWRA19960015      1006-BYWRA19960015-To be updated

Major Activity \*      ----- Select Activity -----

Is the Activity Related to Financial Services ?     

Certified That the Indian Promoter Has Complied With Regulation 7(2) Where the Step Down Subsidiary is Engaged in Financial Services Sector     

Currency \*     

Country \*     

Type of Investment \*      ----- Select Investment Type -----

Name of JV/WOS (Step Down Subsidiary) \*     

Amount of Investment \*       0.00

Country Code	Country Name	JV/WOS Name	Investment Amount
No Subsidiary Investment details added yet.			



Part III - Annual Performance Report Transaction – Investments in Step Down Subsidiaries – ADD Mode		
Step Number	User Action	Application Response
7	❖ Enter all mandatory information and click Add.	❖ If any business validation warnings were generated, these will be shown above the page, in the 'User Confirmation Required' dialog. If there are no validation failures, the record is added and appears in the history list:

Part III - Step Down Subsidiaries record was added successfully.

**INVESTMENTS IN STEP DOWN SUBSIDIARIES SINCE LAST REPORTING** (Amounts in Actuals of FCY)

Transaction No and Date \*      000000120090019      29/12/2009 05:18:43 PM

Authorized Dealer (AD)      0000001      CALCUTTA, MAIN BRANCH

UIN      BYWRA19960015      1006-BYWRA19960015-To be updated

Major Activity \*      ----- Select Activity -----

Is the Activity Related to Financial Services ?     

Certified That the Indian Promoter Has Complied With Regulation 7(2) Where the Step Down Subsidiary is Engaged in Financial Services Sector     

Currency \*     

Country \*     

Type of Investment \*      ----- Select Investment Type -----

Name of JV/WOS (Step Down Subsidiary) \*     

Amount of Investment \*     

Country Code	Country Name	JV/WOS Name	Investment Amount
<input type="radio"/> ARG	Argentina	NAME OF THE SUBSIDIARY	45123000.00



Part III - Annual Performance Report Transaction – Investments in Step-Down Subsidiaries – Adding and Updating records		
Step Number	User Action	Application Response
8	❖ Click the <b>record selector</b> and click <b>Edit</b> button.	❖ The Application loads the selected record and populates data into the fields. The screen goes into <b>UPDATE</b> mode.
	❖ Change the data as required and click <b>Update</b> button.	❖ Application successfully saves the record. The page once again goes into <b>ADD</b> mode.
	❖ Add all the available Investments data, as described above, for this UIN.	❖ Application successfully saves each record. The page goes into <b>ADD</b> mode after each successful <b>ADD</b> operation.
Part III - Annual Performance Report Transaction – Investments in Step-Down Subsidiaries – Deleting records		
Step Number	User Action	Application Response
9	❖ Click the <b>record selector</b> and click <b>Delete</b> button.	❖ The Application displays a <b>Delete Warning</b> dialog.
	❖ Click OK on the <b>Delete Warning</b> dialog.	❖ The Application permanently deletes the selected record. The deleted record is removed from the history list.
Part III - Annual Performance Report Transaction – Investments in Step Down Subsidiaries – Closing		
Step Number	User Action	Application Response
10	❖ Click <b>Close</b> button, and click <b>OK</b> on the confirmation dialog.	❖ The Application closes the Remittance Detail screen and takes you back to <b>Part III - Annual Performance Report Transaction main page</b> .
Part III - Annual Performance Report Transaction – Submitting the Transaction to RBI		
Step Number	User Action	Application Response



11	<p>❖ On the <b>Part III - Annual Performance Report Transaction main page</b>, change the Transaction status from <b>PENDING</b> to <b>REPORTED/SUBMITTED TO RBI</b>. Click the <b>Update</b> button.</p>	<p>❖ Application submits the data to RBI, provided that all business validations are passed. <b>If there are discrepancies that require RBI approval, the <a href="#">warning message(s) will be shown to you</a>.</b> If you choose to proceed, the Transaction will be automatically routed for RBI approval. The data then becomes available to RBI. Read-only permissions are applied to the page for Bank User, as shown below.</p>
----	---	--

Home Setup Tasks Query

Part III - APR Transaction was updated successfully.

**Information**

This Part III - APR Transaction has been successfully submitted to RBI and is currently pending for RBI ratification.

**Next Steps**

The current status of this transaction does not allow addition, modification or deletion of data. However, you can view the data using the link below.

[Investment in Step Down Subsidiaries Since Last Reporting](#) - View details of investments into Step Down Subsidiaries performed by Indian Promoters participating in this Project.

**PART III - ANNUAL PERFORMANCE REPORT (APR)**

Transaction No and Date \* 000000120090019 29/12/2009 05:18:43 PM

Bank Code \* 000 STATE BANK OF INDIA

Authorized Dealer (AD) \* 0000001 CALCUTTA, MAIN BRANCH

Reporting Date \* 29/12/2009

Transaction Status \* Pending for RBI Ratification/Approval Status Date 29/12/2009 05:41:37 PM

UIN BYWRA19960015 1006-BYWRA19960015-To be updated

Accounting Year \* 1992

Date of Finalization of Account \* 01/12/2009

Foreign Currency Code \* ARS Argentinian Peso

**Present Capital Structure in case of any change since last reporting**

	Amount	(Amounts in Actuals of FCY)	% Stake
I. Indian Promoter	0.00		0.000
II. Foreign Promoter	0.00		0.000

**Operational details of the JV/WOS for the last two years**

	Previous Year	(Amounts in Actuals of FCY)	Current Year

Done Local intranet 100%



	During Last Year Ended	Since Commencement of Business
I. Dividend	0.00	0.00
II. Repayment of Loans	0.00	0.00
III. Non-Equity Exports Realised (in INR)	0.00	0.00
IV. Royalties	0.00	0.00
V. Technical Know-how Fees	0.00	0.00
VI. Consultancy Fees	0.00	0.00
VII. Others	0.00	0.00
Others (Please Specify)		
Profit	0.00	0.00
Retained Earnings	178.00	422
Investments into India	0.00	0.00

Whether Documents are Verified ?

In Terms of Para 3 of AP(Dir. Series) Circular no 14 dated September 5,2008 ?

**REPORTING AD DETAILS**

Point of Contact \*

Point of Contact Designation \*

Telephone Number \*  Fax Number \*

Date \*  City \*

**Overseas Investment Application**

Welcome, Adarsh Kumar [OID Normal Users Group]  
You logged in at 12:44:15 PM

Contact Us | Help


Home Setup Tasks Query Reports Circulars

**RBI Ratification Required**

This transaction will be forwarded to RBI for their ratification due to the following reason(s):

- The transaction requires ratification by the Reserve Bank as the last date for submission of APR is June 30th every year in terms of A.P. (DIR Series) Circular No. 29 dated Sep 12, 2012

**You need to submit an explanation for the above in writing at the following address:**

 Foreign Exchange Department,  
Overseas Investment Division,  
Reserve Bank of India, Amar Building,  
Fort, Mumbai 400 001

Click **Yes** to submit your data to RBI for ratification. After submission, you **cannot** edit the data. The data will become available to RBI.

Click **No** to continue working with this transaction with **Pending** status. The data will **not** be submitted to RBI.

**PART III - ANNUAL PERFORMANCE REPORT (APR)**

Transaction No and Date \*

Bank Code \*

**5.10. INVESTMENT BY MUTUAL FUNDS TRANSACTION**

This screen is used to submit investment details made in terms of AP Dir series Circular No. 72. This Transaction needs to be submitted on a monthly basis by Authorized Dealers. If no investment is made during a month, the user can submit the Transaction without entering the amount fields. This will be treated as a NIL statement.





No approval is required from RBI users for these transactions submitted by ADs.

Investment by Mutual Funds Transaction – ADD Mode		
Step Number	User Action	Application Response
1	❖ Login to the OID Application with User Name <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click the <b>Menu link</b> titled ' <b>Investment by Mutual Funds</b> ' in <b>Tasks</b> menu item.	❖ Application opens the <b>Investment by Mutual Funds Transaction</b> page.
2	❖ Enter all mandatory information. Select the Mutual Fund House from the list provided. However, if the Mutual Fund House does not appear in the list, you can it, as shown below:	❖ The Application adds the new Mutual Fund House Name and Location into the Master table.



Investments in Mutual Fund / Portfolio Investments - Windows Internet Explorer

http://10.118.6.41/oiduat/trans/InvMFAction.do?dispatch=PopulateDealerDetails

File Edit View Favorites Tools Help

Links Rediff Log in to My HCL.in

Investments in Mutual Fund / Portfolio

29-December-2009 07:15:48 PM

Troubleshoot | Logout

Home Setup Tasks Query

Transaction No and Date \*  
Bank Code \*  
Authorized Dealer (AD) \*  
Reporting Date \*  
Transaction Status \*  
Month \*  
For Year \*  
Mutual Fund Name \*  
Mutual Fund Location \*

----- Select a Mutual Fund House -----  
ABN AMRO CHINA INDIA FUND  
AIG WORLD GOLD FUND  
BIRLA MUTUAL FUND  
DEUTSCHE MUTUAL FUND  
DSP BKACK ROCK NEW ENERGY FUND  
DSP BLACK ROCK WORLD ENERGY FUND  
FIDELITY MUTUAL FUND  
FRANKLIN ASIAN EQUITY FUND  
HSBC MUTUAL FUND  
ING VYSYA MUTUAL FUND  
JP MORGAN MUTUAL FUND  
KOTAK MAHINDRA MUTUAL FUND  
MIRAE ASSET MUTUAL FUND PVT. LTD.  
MORGAN STANLEY MUTUAL FUND  
OPTIMIX  
PRINCIPAL PNB ASSET MANAGEMENT (I) PVT. LTD.  
RELIANCE BANKING FUND  
RELIANCE DIVERSIFIED POWER SECTOR FUND  
RELIANCE GROWTH FUND  
RELIANCE NATURAL RESOURCES FUND  
STANDARD CHARTERED MUTUAL FUND  
SUNDARAM  
SUNDARAM PNB PARIBAS MUTUAL FUND  
TATA GROWING ECONOMIES INFRASTRUCTURE FUND 'A'  
TATA GROWING ECONOMIES INFRASTRUCTURE FUND 'B'  
TATA INDO GLOBAL INFRASTRUCTURE FUND  
TATA MUTUAL FUND  
TEMPLETON ASSET MANAGEMENT (I) PVT. LTD.  
**ADD A NEW MUTUAL FUND HOUSE...**  
----- Select a Mutual Fund House -----

Investment Details

(Figures in USD Millions)

Month \*  
For Year \*  
Mutual Fund Name \*  
New Mutual Fund Name \*  
Mutual Fund Location \*

December  
2009  
ADD A NEW MUTUAL FUND HOUSE...  
THIS IS A NEW FUND HOUSE NAME  
FORT, MUMBAI

Investment Details

(Figures in USD Millions)

**Notes:**

- ❖ Before adding a new Mutual Fund House Name and Location, **please ensure that the Fund House Name does not already appear in the list provided.** Adding duplicate Fund House Names violates data integrity and may cause errors in reports.
- ❖ The newly entered Fund House will be **added to the Master table when you successfully save your Investment by Mutual Funds Transaction.** Subsequently, the new name will appear in the list and will be visible to all users of the Application.



Investment by Mutual Funds Transaction – ADD Mode		
Step Number	User Action	Application Response
3	❖ After entering all required fields, click <b>Add</b> .	❖ The Application successfully adds a new Investment by Mutual Funds Transaction record. The Transaction Number is generated and page changes to <b>UPDATE</b> mode, as shown below. If a new Mutual Fund House was added, it is inserted into the Master and appears in the list.

Home Setup Tasks Query

Investment by Mutual Fund Transaction was added successfully.

### INVESTMENT BY MUTUAL FUNDS

Transaction No and Date \* 999000120090001 29/12/2009 07:32:18 PM

Bank Code \* 999 Dummy Bank for Data Migration

Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION

Reporting Date \* 29/12/2009

Transaction Status \* Pending Status Date 29/12/2009 07:32:18 PM

Month \* January

For Year \* 2009

Mutual Fund Name \* NEWLY ADDED FUND HOUSE

Mutual Fund Location \* FORT, MUMBAI

**Investment Details**

(Figures in USD Millions)

	ADR/GDR	Debt Instruments	Equity	ETF (Securities)	Mutual Funds	Total
I. Net Amount of Investment held abroad (Opening Balance)	0.00	0.00	0.00	0.00	0.00	0.00
II. Investments made during the month (Outflow)	0.00	0.00	0.00	0.00	0.00	0.00
III. Dis-investments made during the month (Inflow)	0.00	0.00	0.00	0.00	0.00	0.00
IV. Net Amount of Investments held abroad (Closing Balance)	0.00	0.00	0.00	0.00	0.00	0.00

**REPORTING AD DETAILS**

Point of Contact \* P. Ramesh

Point of Contact Designation \* MANAGER

Telephone Number \* 022-28295555 Fax Number \* 022-28297451

Date \* 29/12/2009 City \* MUMBAI

Update Clear Exit

Newly-added Fund House Name appears in the list and will be visible to all Users of the Application.



---

Investment by Mutual Funds Transaction – UPDATE Mode		
Step Number	User Action	Application Response
4	❖ If any data was wrongly entered, you can correct it and click <b>Update</b> button.	❖ The Application saves your data successfully and returns the screen back to the same mode ( <b>UPDATE</b> ).
Investment by Mutual Funds Transaction – Submitting to RBI		
Step Number	User Action	Application Response
5	❖ On the Transaction page, change the Transaction status from <b>PENDING</b> to <b>REPORTED/SUBMITTED TO RBI</b> . Click the <b>Update</b> button.	❖ Application submits the data to RBI. <b>The data then becomes available to RBI.</b> Read-only permissions are applied to the page for Bank User.

**Note:** As of now, no business validations are defined for this Transaction; and so **Investment by Mutual Funds Transactions do not require RBI ratification.**



**5.11. PORTFOLIO INVESTMENTS (UNDER AP DIR CIRCULAR 66) TRANSACTION**

This screen is used to submit investment details made in terms of AP Dir series Circular No. 66. This Transaction needs to be submitted on a monthly basis by Authorized Dealers. If no investment is made during a month, the user can submit the Transaction without entering the amount fields. This will be treated as a NIL statement.

No approval is required from RBI users for these transactions submitted by ADs.

Portfolio Investments (Under AP DIR Circular 66) Transaction – ADD Mode		
Step Number	User Action	Application Response
1	❖ Login to the OID Application with User Name <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click the <b>Menu link</b> titled ' <b>Portfolio Investments (Under AP DIR Circular 66)</b> ' in <b>Tasks</b> menu item.	❖ Application opens the <b>Portfolio Investments (Under AP DIR Circular 66) Transaction</b> page.
2	❖ Enter all mandatory information. If there is no investment for the month, you can leave the ' <b>Number of Investors</b> ' and ' <b>Amount</b> ' fields to the default value of 0. Click <b>Add</b> .	❖ The Application adds the new Portfolio Investments (Under AP DIR Circular 66) Transaction record. The Transaction Number is generated and page changes to <b>UPDATE</b> mode, as shown below.



Foreign Exchange Department  
Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 11:57:45 AM

30-December-2009 12:19:31 PM  
Troubleshoot | Logout

Home Setup Tasks Query

Portfolio Investment Transaction was added successfully.

**INVESTMENT MADE IN TERMS OF AP DIR SER. CIRCULAR NO. 66**

Transaction No and Date \* 999000120090010 30/12/2009 00:17:49 PM  
 Bank Code \* 999 Dummy Bank for Data Migration  
 Authorized Dealer (AD) \* 9990001 DUMMY AD FOR DATA MIGRATION  
 Reporting Date \* 30/12/2009  
 Transaction Status \* Pending Status Date 30/12/2009 00:17:49 PM  
 Month \* September  
 For Year \* 2009

**Corporate Investments** (Figures in USD Millions)

	No. Of Investors	Amount
III. Dis-investments made during the month (Inflow)	899	5473000.00
IV. Net Amount of Investments held abroad (Closing Balance)	1210	6452105.00
I. Net Amount of Investment held abroad (Opening Balance)	1500	4510000.00
II. Investments made during the month (Outflow)	253	123000.00

**REPORTING AD DETAILS**

Point of Contact \* P. Ramesh  
 Point of Contact Designation \* MANAGER  
 Telephone Number \* 022-28295555 Fax Number \* 022-28297451  
 Date \* 30/12/2009 City \* MUMBAI

Update Clear Exit

Portfolio Investments (Under AP DIR Circular 66) Transaction – UPDATE Mode		
Step Number	User Action	Application Response
3	❖ If any data was wrongly entered, you can correct it and click <b>Update</b> button.	❖ The Application saves your data successfully and returns the screen back to the same mode ( <b>UPDATE</b> ).
Portfolio Investments (Under AP DIR Circular 66) Transaction – Submitting to RBI		
Step Number	User Action	Application Response



---

4	❖ On the Transaction page, change the Transaction status from <b>PENDING</b> to <b>REPORTED/SUBMITTED TO RBI</b> . Click the <b>Update</b> button.	❖ Application submits the data to RBI. <b>The data then becomes available to RBI</b> . Read-only permissions are applied to the page for Bank User.
---	--	---

**Note:** As of now, no business validations are defined for this Transaction; and so **Portfolio Investment (Under AP DIR Circular 66) Transactions do not require RBI ratification.**



**5.12. ESOP SCHEME – ANNEXURE I TRANSACTION**

This screen is used to inform RBI about the number of shares allotted by a Foreign Company to Indian employees belonging to an Indian company. This Transaction needs to be submitted annually.

**No approval is required from RBI users for these transactions submitted by ADs.**

ESOP Scheme – Annexure I Transaction – ADD Mode		
Step Number	User Action	Application Response
1	❖ Login to the OID Application with User Name <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click the <b>Menu link</b> titled ‘ <b>ESOP Scheme – Annexure I</b> ’ in <b>Tasks</b> menu item.	❖ Application opens the <b>ESOP Scheme – Annexure I Transaction</b> page.
2	❖ Enter all mandatory information and click <b>Add</b> .	❖ The Application adds the new ESOP Scheme – Annexure I Transaction record. The Transaction Number is generated and page changes to <b>UPDATE</b> mode, as shown below.





30-December-2009  
12:41:49 PM

**Foreign Exchange Department**  
**Overseas Investment Application**

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 11:57:45 AM

Troubleshoot | Logout

Home Setup Tasks Query

ESOP Scheme - Annex I Transaction was added successfully.

**ESOP SCHEME - STATEMENT OF SHARES ALLOTTED TO INDIAN EMPLOYEES / DIRECTORS**

Transaction No and Date \*

Bank Code \*

Authorized Dealer (AD) \*

Reporting Date \*

Transaction Status \*  Status Date

**(Amount in Actuals of USD)**

Indian Promoter Name

Foreign Company Name \*

For Year \*

No. of Shares Allotted \*

No. of Employees / Directors Who Accepted the Shares \*

Amount Remitted \*

**Declarations:**

(i) Effective holding of the foreign company in the Indian company is not less than 51%;

(ii) The information furnished above is true and correct to the best of our knowledge and belief.

**REPORTING AD DETAILS**

Point of Contact \*

Point of Contact Designation \*

Telephone Number \*  Fax Number \*

Date \*  City \*

Done Local intranet 100%

ESOP Scheme – Annexure I Transaction – UPDATE Mode		
Step Number	User Action	Application Response
3	❖ If any data was wrongly entered, you can correct it and click <b>Update</b> button.	❖ The Application saves your data successfully and returns the screen back to the same mode ( <b>UPDATE</b> ).
ESOP Scheme – Annexure I Transaction – Submitting to RBI		
Step Number	User Action	Application Response



---

4	❖ On the Transaction page, change the Transaction status from <b>PENDING</b> to <b>REPORTED/SUBMITTED TO RBI</b> . Click the <b>Update</b> button.	❖ Application submits the data to RBI. <b>The data then becomes available to RBI</b> . Read-only permissions are applied to the page for Bank User.
---	--	---

**Note:** As of now, no business validations are defined for this Transaction; and so **ESOP Scheme – Annexure I Transactions do not require RBI ratification**.



**5.13. ESOP SCHEME – ANNEXURE II TRANSACTION**

This screen is used to inform RBI about the number of shares re-purchased by a Foreign Company from Indian employees and directors belonging to an Indian company. This Transaction needs to be submitted annually.

**No approval is required from RBI users for these transactions submitted by ADs.**

ESOP Scheme – Annexure II Transaction – ADD Mode		
Step Number	User Action	Application Response
1	❖ Login to the OID Application with User Name <b>999</b> and Password <b>999</b> . (See Section <a href="#">3.1</a> for help with login.)	❖ Application successfully logs you in.
	❖ Click the <b>Menu link</b> titled ' <b>ESOP Scheme – Annexure II</b> ' in <b>Tasks</b> menu item.	❖ Application opens the <b>ESOP Scheme – Annexure II Transaction</b> page.
2	❖ Enter all mandatory information and click <b>Add</b> .	❖ The Application adds the new ESOP Scheme – Annexure II Transaction record. The Transaction Number is generated and page changes to <b>UPDATE</b> mode, as shown below.



12:48:08 PM

## Overseas Investment Application

Welcome, Dummy Bank for Data Migration [Bank Users Group]  
You logged in at 11:57:45 AM

Troubleshoot | Logout

Home Setup Tasks Query

ESOP Scheme - Annex II Transaction was added successfully.

### ESOP SCHEME - STATEMENT OF SHARES REPURCHASED BY THE ISSUING COMPANY FROM INDIAN EMPLOYEES / DIRECTORS

Transaction No and Date \*

Bank Code \*

Authorized Dealer (AD) \*

Reporting Date \*

Transaction Status \*  Status Date

(Amount in Actuals of USD)

Indian Promoter Name

Foreign Company Name \*

For Year \*

No. of Shares Repurchased \*

No. of Employees / Directors Who Sold Shares \*

Amount of Remittance (Inward) \*

**Declarations:**

(i) Effective holding of the foreign company in the Indian company is not less than 51%;

(ii) The information furnished above is true and correct to the best of our knowledge and belief.

### REPORTING AD DETAILS

Point of Contact \*

Point of Contact Designation \*

Telephone Number \*  Fax Number \*

Date \*  City \*

ESOP Scheme – Annexure II Transaction – UPDATE Mode		
Step Number	User Action	Application Response
3	❖ If any data was wrongly entered, you can correct it and click <b>Update</b> button.	❖ The Application saves your data successfully and returns the screen back to the same mode ( <b>UPDATE</b> ).
ESOP Scheme – Annexure II Transaction – Submitting to RBI		
Step Number	User Action	Application Response



---

4	❖ On the Transaction page, change the Transaction status from <b>PENDING</b> to <b>REPORTED/SUBMITTED TO RBI</b> . Click the <b>Update</b> button.	❖ Application submits the data to RBI. <b>The data then becomes available to RBI</b> . Read-only permissions are applied to the page for Bank User.
---	--	---

**Note:** As of now, no business validations are defined for this Transaction; and so **ESOP Scheme – Annexure II Transactions do not require RBI ratification**.

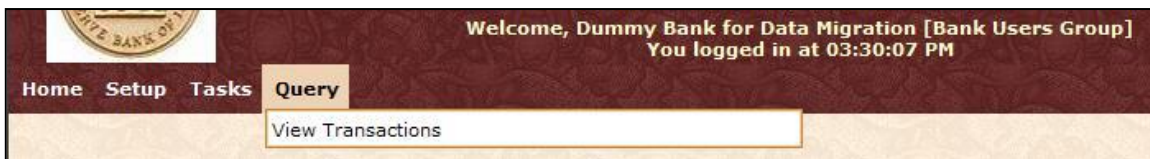


## 6. WORKING WITH QUERIES

Query screens are provided to enable users search for Transactions that match a given set of criteria.

### 6.1. ACCESSIBILITY RESTRICTIONS FOR QUERIES

Bank Users have restricted access to queries. The only option available from the Menu is ‘View Transactions’, as shown below:



RBI Approving authorities have **unrestricted access** to all query options. The RBI User’s menu is shown below:



### 6.2. VIEW TRANSACTIONS

**This query option is available to all Users.** This option searches for all Transactions that fulfill the user’s criteria. Matching Transactions are listed in the search results. The user may then select Transactions, one at a time, to view the data contained in that Transaction.

Bank Users have restricted access to this query option – they cannot change the Bank Code or Name. **In effect, they can only view Transactions reported by their Bank.** No restrictions apply to RBI Approver / Overrider profiles.



View Transactions		
Step Number	User Action	Application Response
1	❖ Click Query → View Transactions	❖ The Application opens the query screen, as shown below:

View Transactions		
Step Number	User Action	Application Response
2	❖ Select the Transaction Name (mandatory). Optionally, you can provide the Status, Transaction Number, Bank Code (NA for Bank Users), Authorized Dealer Code, UIN and Reporting Date range. Click <b>Search</b> .	❖ The Application performs a search using your criteria and shows the Transactions that matched, as shown below:



Home Setup Tasks Query Reports Circulars

The following Transactions matched the search criteria you provided.

**VIEW TRANSACTIONS**

Transaction Name

Transaction Status

Transaction Number

Bank

Authorized Dealer (AD)

UIN

Status Date - From  Status Date - To

Showing Records 1-10 of Total 42

Transaction No	Transaction Date	Status	Status Date	UIN	Category Of Investment	File Reference No	AD Name
<input type="radio"/> 000000020130021	05/10/2013	Approved	23/10/2013	NDJAZ20130049	CCPS: USD: 4000000 Guarantee Invoked: USD: 7500000 Loan: USD: 5000000 Other Preference Shares: USD: 5000000		STATE BANK OF INDIA
<input type="radio"/> 691003920130038	18/10/2013	Pending	18/10/2013	BYJAZ20130044	Equity: USD: 3123123123		IDBI BANK LTD
<input type="radio"/> 000000020130028	16/10/2013	Pending	16/10/2013		Others Non Fund Based: :		STATE BANK OF INDIA
<input type="radio"/> 000000020130027	16/10/2013	Pending for RBI Ratification/Approval	16/10/2013		CCPS: USD: 1000000000 USD: 657657 Corporate Guarantees by Indian Party: USD: 1000000000 Equity: ARS: 1000000000 Movable and Immovable properties: USD: 1000000000		STATE BANK OF INDIA

**View Transactions**





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Step Number	User Action	Application Response
3	❖ Select the Transaction you wish to open, and click <b>View Transaction</b> .	❖ The Application opens the selected Transaction in a <b>new window</b> . Restricted permissions may apply to the Bank User depending on Transaction Status.

**Notes:**

- ❖ The first time you click **View Transaction**, the selected Transaction will **open in a new browser window**. Subsequently, that same window will be used when you open another Transaction from the search results. That is, the **same browser window will be re-used**. This is done to **conserve computer resources**. **The implication of this is that, if you change data for a Transaction, and open another Transaction before you save the previous one, your changes will be lost**. Hence, we recommend that you work with one Transaction at a time, and ensure you save the Transaction before opening another one from the search results.

No other query options are currently available to Bank Users.

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